

# HOUSING ASSOCIATIONS AND MANAGING AGENTS

Performance assessment framework  
for housing associations  
working with managing agents

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## FOREWORD

The Housing Corporation aims to minimise unnecessary bureaucracy. That is the spirit of this guidance which is a tool to improve working in partnership.

A large proportion of supported housing owned by housing associations is managed on their behalf by managing agents. The Corporation values this important relationship and the wide range of supported housing that it has developed.

Supporting People has changed the nature of these relationships and this new good practice guidance reflects the changes. What has not changed is that residents in agent-managed property remain housing association tenants and should expect the same standards and quality of housing services as other tenants.

The performance assessment framework is not a requirement in itself. But the themes that it embodies: proportionate regulation; risk focus; transparency; performance measurement; and continuous improvement are all expectations of our Regulatory Code.

We hope that this guide will assist associations in meeting the standards of the Code and promote good joint working with managing agents.

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**Regulation & Best Value**

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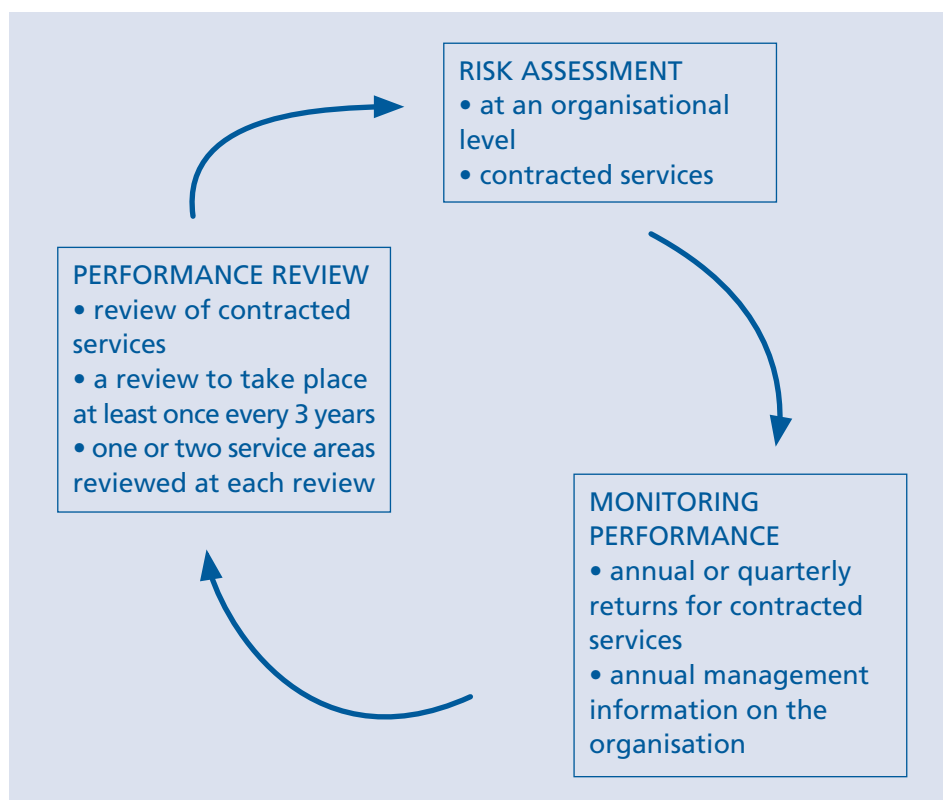
## 1. INTRODUCTION

The Performance Assessment Framework (PAF) aims to establish good practice where a housing association works with a managing agent, or a support provider, to deliver housing management, support or care services.

The main purpose of a housing association working with another organisation is to ensure that residents receive an appropriate housing and support service. Ultimately the end user should benefit from the arrangements and both parties should work together to achieve a high quality service.

It is important to emphasise that residents living in properties owned by housing associations are tenants or licensees of the association, irrespective of the management arrangements. These residents have the same rights as other housing association residents to repairs, improvements and transfers.

The PAF takes account of the new regulatory and financial context for housing associations working with managing agents. The diagram below summarises the PAF process, which starts with a risk assessment to determine the level and frequency of monitoring and review.



## 2. THE NEW CONTEXT

There have been significant changes to the regulation of the housing and support sector, including the introduction of the Housing Corporation's Regulatory Code, the implementation of the Supporting People programme and the inspection role of the Audit Commission.

These changes have resulted in a separation of responsibilities for housing and support services and, as a consequence, there are now much clearer contractual arrangements. In particular Supporting People has involved the transfer of funding for support services to Administering Authorities (AAs), which are now responsible for commissioning and monitoring these services.

Housing associations are only expected to monitor services that they have contracted from a managing agent, or a support provider. They should not monitor support where there is a direct contract between the provider of support and the AA.

Joint working makes monitoring arrangements more effective and this approach involves:

- Developing long-term relationships
- Continuous improvement of performance and quality (both by the association and the managing agent)
- Focusing on the customer (i.e. residents)
- Effective communication

The benefits of this approach are:

- Less intrusive monitoring
- Improved performance
- Increased trust and confidence

### THE HOUSING CORPORATION'S REGULATORY CODE

The Housing Corporation's Regulatory Code is outcome focused and places an emphasis on housing associations demonstrating how they have met the standards required. The Corporation expects associations to assess their own performance and aims to adopt less intrusive regulation for successful associations. The key standards are (See Appendix 3):

- Viable
- Properly governed
- Properly managed

#### Viable

Associations must operate a framework that identifies and manages risk. This approach should apply to working with a managing agent, as an organisation, as well as the services that are contracted from an agent.

The Housing Corporation has issued detailed guidance on ‘Internal controls assurance’ (Circular R2-25/01) that sets out in more detail the requirements on assurance. This guidance explains that associations may gain assurance from external regulatory reports (e.g. those for registered care homes). Assurance can also be gained from the findings of reports produced by Supporting People Administering Authorities (AAs) and the Audit Commission.

### Properly governed

Associations must maintain the highest standards of probity in all their dealings. Associations must have sound procurement practices in place and contractual arrangements or partnerships with other bodies should be clearly defined and documented. Associations will need to select managing agents against clear criteria and enter into a contract to provide services, or an agreement to work in partnership.

### Properly managed

Associations must have clear reporting and review mechanisms where there are contracts with managing agents or other partners. Where a housing association has contracted services from a managing agent it will need to establish systems for collecting monitoring information, and processes for review.

The Audit Commission carries out inspections of housing associations. This includes the inspection of housing and support schemes, focusing on housing management arrangements. The Audit Commission wants to ensure that these inspections add value to their inspections of AAs.

## SUPPORTING PEOPLE

Associations should be satisfied about another organisation’s viability and probity before entering a relationship. Supporting People Administering Authorities (AAs) are responsible for assessing the viability and probity of support providers and for commissioning support services. AAs therefore have the responsibility for creating and sustaining a support provider market, and monitoring the performance and quality of support services.

The Supporting People programme expects all providers to be accredited by AAs, although different approaches to accreditation may be adopted by each authority. Where a managing agent, or a support provider, is already accredited there should be no need for a housing association to scrutinise the organisation’s viability and probity. Although it will always be up to the association to satisfy itself of viability and probity.

AAs are responsible for carrying out periodic service reviews to assess the strategic relevance, quality, performance and cost effectiveness of support services. AAs should consult key stakeholders, including housing associations, and keep them informed of the review.

The Audit Commission regulates the administration of the Supporting People programme by AAs. This process involves inspections of authorities and visits to services that have been commissioned under the Supporting People programme.

## 3. MONITORING THE ARRANGEMENTS

### INTRODUCTION

Housing associations should only monitor contracted services, for which they make a payment (or a fee). Where an association does not make a payment then a contract will not exist and there should be no monitoring. Housing associations can contract housing management services as well as support or care services.

This chapter examines the different types of arrangements between associations and managing agents, or support providers, and identifies when monitoring should take place. The term monitoring means the process of collecting, analysing and acting upon information about contracted services.

### LEGAL RELATIONSHIP

Housing associations working with managing agents, or support providers, can either enter into a contract for a service or a non contractual agreement where they agree to work together (e.g. service level agreement). Associations should monitor contracts, but not other types of agreement.

<b>Contracts</b>	<p>A contract exists where there is an agreement by one party to accept an offer made by another party and there is:</p> <ul style="list-style-type: none"> <li>• a consideration</li> <li>• an intention to create a legally binding relationship.</li> </ul> <p>A consideration is anything of material value such as a payment.</p>
<b>Agreements</b>	<p>An agreement is where two parties agree to work together, bringing together their skills and expertise to provide different services. This is not a contractual arrangement as no consideration passes from one party to another and there is no legally binding relationship.</p>

Where a managing agent provides housing management services, on behalf of a housing association, a contract will exist. The agent collects the rent, issues occupancy agreements, and is paid a fee from the rental income. The association is the landlord as it retains the legal interest in the property and the residents are tenants or licensees of the association.

The wording of the contract should ensure that any reference to care and support (if not being contracted) does not make the association responsible for these services. Where support or care services are not contracted by the association, references should only be made to the general responsibilities of each party. This is explained below:

<b>Tenancy agreements</b>	Support services should not be included within tenancy or licence agreements unless they form part of the charges to tenants and the landlord is responsible for providing them. Tenancy or licence agreements can make reference to the provision of support by third parties.
<b>Management agreements (Housing management contracts)</b>	Management agreements should not specify the support or care services that are to be provided by the managing agent as this could imply that the housing association has contracted these services. (see FLAP guidance)

## FINANCIAL RISK

There are a variety of arrangements between managing agents and housing associations, all with different degrees of risk transfer. The majority of these involve the transfer of financial risk to the agent in relation to rent collection and void losses. Under such arrangements the agent pays a fixed amount to the association, irrespective of the level of rent collected.

Where the financial risk is transferred to a managing agent the housing association should ensure the agent maintains effective rent collection and arrears control, as these are part of the housing management services being undertaken on their behalf. However the association will not be affected financially by any failure by the agent to collect the rent, as the agent will bear this financial loss.

Where an association passes responsibility for lettings and rent collection to the agent, but remains responsible for any loss of rental income, detailed monitoring of void losses and arrears control will be required. This is because the financial risk will be retained by the association.

## TYPES OF ARRANGEMENTS AND MONITORING IMPLICATIONS

The different types of arrangements, and related monitoring implications, are shown in the table below. Management agreements are referred to as Housing Management Contracts to emphasise that these involve the contracting of housing management services. The monitoring of housing management services is explained in Chapters 6 and 7, while that for support and care services is explained in Chapter 8.

CONTRACTS	Housing management	Support
<b>Lease</b>	<p>Where a lease is more than 21 years the managing association/managing agent acts as the landlord and the owning association is not required to monitor performance.</p> <p>For leases of less than 21 years associations should only monitor housing management services provided by managing agents that are not registered with the Corporation.</p>	The managing association/unregistered body holds the support contract and is accountable to the Supporting People Administering Authority (AA).
<b>Housing management contract</b>	<p>The housing association contracts with the managing agent which acts as the agent of the association.</p> <p>The housing association monitors housing management performance and is regulated by the Housing Corporation.</p>	The managing agent holds the support contract and is accountable to the AA.
<b>Housing management and support contract</b>	<p>The housing association contracts with the managing agent which acts as the agent of the association.</p> <p>The housing association monitors housing management performance and is regulated by the Housing Corporation.</p>	<p>The housing association holds the support contract and sub contracts it to the managing agent.</p> <p>The housing association monitors the support services and is accountable to the AA.</p>
<b>Support contract</b>	The housing association provides the housing management service itself and is regulated by the Housing Corporation.	<p>The housing association holds the support contract and sub contracts it to the support provider.</p> <p>The housing association monitors the support services and is accountable to the AA.</p>
<b>AGREEMENTS</b>		
<b>Service level agreement</b>	The housing association provides the housing management service itself and is regulated by the Housing Corporation.	The support provider holds the support contract and is accountable to the SP Administering Authority

A housing association can lease property to an organisation that is not registered with the Housing Corporation. Each case is considered on its individual merits by the Corporation. Section 9 consent must be given by the Corporation to such leases. Leasing by unregistered bodies may be more appropriate for residential care homes as these are regulated by the Commission for Social Care Inspection.

Where a support provider delivers support services to people living in accommodation managed by different landlords, a floating support protocol may be agreed with each landlord. Such a protocol clarifies referral arrangements between the two parties and is not an agreement to provide services.

Monitoring should only be undertaken on contracted services. It is, however, good practice to share information on those services that have not been contracted. Sharing information is an important principle of joint working and the processes for doing so should be set out in the contracts or agreements.

### LOCAL PROTOCOLS

A protocol agreed between the housing association, the provider of support and the Administering Authority can facilitate communication, help manage risk and improve services to residents. The exact nature of such a protocol will need to be agreed between the parties.

The main purpose of a protocol is to ensure that decisions on the use of accommodation and the provision of support services are not taken in isolation. A protocol can ensure that all the elements are considered together, even though there may be separate arrangements for each.

A model Joint Working Protocol has been developed and this can provide a basis for drawing up a protocol at a local level. The Housing Corporation encourages the use of local protocols as a means of creating better joint working arrangements and for improving services to residents.

## 4. THE PERFORMANCE ASSESSMENT FRAMEWORK

The Performance Assessment Framework (PAF) for housing associations working with managing agents requires monitoring to be tailored, appropriate and proportionate to the risks identified. Housing associations should undertake a risk assessment of the managing agent, as well as the contracted services, so that the level of monitoring reflects risk. This approach also applies where an association contracts support or care services from a support provider.

Where housing management services have been contracted, managing agents can assess themselves against the service standards for housing management based on the requirements of the Regulatory Code and good practice. Where support services have been contracted these should be assessed against the Quality Assessment Framework.

The main elements of the PAF for housing associations working with managing agents are summarised in the following table, showing how these relate to different types of contracts and service level agreements. Chapters 5, 6 and 7 explain each element of the PAF in more detail, particularly how the framework should be applied to housing management services contracted from a managing agent.

**PERFORMANCE ASSESSMENT FRAMEWORK**

	<b>Lease</b>	<b>Housing management contract</b>	<b>Housing management and support contract</b>	<b>Support contract</b>	<b>Service level agreement</b>
<b>Risk assessment</b>	An initial risk assessment of the managing association or the unregistered body	A risk assessment of the managing agent A risk assessment of the services to be contracted	A risk assessment of the managing agent A risk assessment of the services to be contracted	A risk assessment of the support provider A risk assessment of the services to be contracted	Assessment of the business risk of working with the support provider* No risk assessment required of services
<b>Monitoring performance</b>	No performance returns required (except for leases less than 21 years with unregistered managing agents)	Quarterly or annual return on housing management services Annual management information on the agent	Quarterly or annual return on housing management services Quarterly return on support services Annual management information on the agent	Quarterly return on support services Annual management information on the support provider	No performance return required
<b>Performance review</b>	No performance review required (except for leases less than 21 years with unregistered managing agents) Arrangements should be reviewed according to the terms of the lease	Normally once every three years for low risk services More frequently for higher risk services (e.g. once a year)	Normally once every three years for low risk services More frequently for higher risk services (e.g. once a year)	Normally once every three years for low risk services More frequently for higher risk services (e.g. once a year)	No performance review required The agreement should specify what information should be shared

\*In most instances the business risk will be minimal as the support provider will be contracted and monitored by the SP Administering Authorities

## 5. RISK ASSESSMENT AND MANAGEMENT

### INTRODUCTION

The Housing Corporation's Regulatory Code expects each housing association to operate a framework that effectively identifies and manages risks. The assessment and management of risks also applies where an association enters into a contract with a managing agent or a support provider.

The frequency of monitoring will depend on the level of risk assessed by an association. Housing associations should assess the impact of the risks identified and categorise them, for example as high, medium and low risks. This guidance does not explain how to assess risks as the Housing Corporation regularly produces guidance on risk assessment and management (see bibliography).

### RISK ASSESSMENT AND RISK MANAGEMENT: WORKING WITH ANOTHER ORGANISATION

Housing associations should carry out a risk assessment of working with individual organisations, where they enter into an arrangement with a managing agent or a support provider.

It will always be for associations to satisfy themselves that such organisations will remain in business for the foreseeable future and develop appropriate monitoring systems to mitigate risk. Some arrangements will involve a low business risk, particularly non-contractual agreements. Risk assessment should be proportionate to the nature of the agreement.

Housing associations should consider whether it is necessary for it to carry out a risk assessment at an organisational level where a managing agent, or a support provider, has already been accredited by an AA (apart from its competence to provide contracted services). Where accreditation has not taken place the association should assess key risk areas and take account of other frameworks under which the provider is accredited.

Associations should consider the risks and benefits of working with new or emerging managing agents or support providers. These may be assessed as a high risk because they have no track record of providing contracted services. Where risks can be properly managed, associations can help achieve greater diversity by working with recently established organisations.

The key risk areas shown in the table overleaf have been largely based on the accreditation framework for Supporting People and can read across to the main heading of the Housing Corporation's Regulatory Code (shown in brackets).

### Statutory Bodies

Where a housing association is contracting with a statutory body it will need to take a strategic view about business risk. Statutory bodies are unlikely to become bankrupt and their governance is regulated by government. However, the

Key Risk Areas	Assessment of Risk
<b>Governance</b> (Properly governed)	<ul style="list-style-type: none"> <li>• The organisation is properly constituted</li> <li>• The committee has a sufficient level of skills and experience</li> <li>• Responsibilities which are delegated to staff are documented</li> </ul>
<b>Financial viability</b> (Viable)	<ul style="list-style-type: none"> <li>• Business plan</li> <li>• Financial projections</li> <li>• Banker's reference</li> <li>• The annual accounts of the agency</li> <li>• Systems for monitoring of the annual budget</li> </ul>
<b>Employment of staff</b> (Properly managed)	<ul style="list-style-type: none"> <li>• Equal opportunities policy</li> <li>• Health and safety policy</li> <li>• Induction programme for new staff</li> <li>• Operational manual for service delivery</li> <li>• Support and supervision of staff</li> <li>• Regular staff appraisals</li> </ul>
<b>Competence to provide the services</b> (Properly managed)	<ul style="list-style-type: none"> <li>• Understanding of the needs of the proposed residents</li> <li>• Experience and competence at the right level to undertake services contracted by the association</li> </ul>

association should always assess the competence of the statutory body to provide contracted services.

Under the Housing Corporation's Social Housing Grant eligibility criteria statutory bodies must not manage housing association accommodation. This means that they cannot provide housing management services as a managing agent, but they can provide care or support services either under contract or through a service level agreement.

### Housing Associations

Where a housing association wishes to enter into a contract with another association, there should be no need to assess the association's governance or financial viability as these areas are regulated by the Housing Corporation. Furthermore, if the other association has been accredited under Supporting People it should not be necessary to carry out a risk assessment at an organisational level, apart from assessing the association's competence to provide the contracted services.

### Support Provider

Where a housing association enters into a service level agreement with a support provider it should assess the business risk of working with the organisation, taking into account any relevant accreditation including that for Supporting People. This risk assessment should be minimal as the AA is responsible for commissioning the support service and there will be no contract between the association and the support provider.

### Risk Assessment Summary

	Risk assessment of a managing agent/ support provider	Risk assessment of a statutory body	Risk assessment of a housing association
<b>Contract for housing management services</b>	The managing agent and its competence to provide the contracted services (housing management)	Business risk of working with the body and its competence to provide the contracted services (housing management)	Areas other than governance or financial viability Contract for housing management and support services
<b>Contract for housing management and support services</b>	The managing agent and its competence to provide the contracted services (housing management and support)	Business risk of working with the body and its competence to provide the contracted services (housing management and support)	Areas other than governance of financial viability
<b>Contract for support services</b>	The support provider and its competence to provide the contracted services (support)	Business risk of working with the body and its competence to provide the contracted services (support)	Areas other than governance of financial viability
<b>A service level agreement to provide support services</b>	Business risk of working with the support provider (minimum assessment)	Business risk of working with the body (minimum assessment)	Business risk of working with another association (minimum assessment)

### Managing organisational risks

Although accreditation under Supporting People provides some assurance that an organisation will remain in business for the foreseeable future, it is reasonable for a housing association to ask for key information each year. This is similar to type of information that is expected from any approved contractor (e.g. a building contractor). Where the risk assessment has identified a high level of organisational risk then more detailed information may be required annually.

The table below shows the type information that housing associations should require annually, where they have entered into a contract or a service level agreement. The annual accounts of the managing agent should be scrutinised by a competent person, e.g. a qualified officer in the association's finance department.

Key Areas	Annual Management Information
<b>Governance</b>	<ul style="list-style-type: none"> <li>• Copy of annual report</li> <li>• AGM minutes (including list of committee members or directors of the company)</li> </ul>
<b>Financial viability</b>	<ul style="list-style-type: none"> <li>• Annual accounts</li> <li>• Business risks including imminent changes to contracts that may affect the agent's ongoing viability</li> </ul>

A protocol between the parties should help the AA, the association and the provider of support to communicate and liaise over any action to be taken where there are viability or governance concerns.

### RISK ASSESSMENT AND RISK MANAGEMENT: CONTRACTED SERVICES

Housing associations should also assess the risks associated with the contracted services. This will involve a risk assessment at a scheme level and will determine the level and frequency of monitoring.

The table below shows the key housing management services that should be assessed.

Housing Management Areas	Risk Assessment
<b>Selection and allocation</b>	<ul style="list-style-type: none"> <li>• Clear and appropriate referral and allocation criteria</li> <li>• Lettings policies that are fair and reflect the diversity of the client group</li> </ul>
<b>Rent collection</b>	<ul style="list-style-type: none"> <li>• Systems for the efficient and effective collection rents and charges</li> <li>• Residents have information about rent levels and service charges</li> </ul>
<b>Health and safety</b>	<ul style="list-style-type: none"> <li>• Systems for monitoring and recording health and safety related to the property</li> <li>• Risk assessments are in place e.g. fire risk</li> </ul>
<b>Management of the accommodation</b>	<ul style="list-style-type: none"> <li>• Strategies in place to tackle anti-social behaviour and nuisance</li> <li>• Policies for dealing effectively with racial harassment</li> <li>• High standards of customer care</li> <li>• Complaints policy</li> <li>• Move on policy</li> </ul>
<b>Tenure and possession</b>	<ul style="list-style-type: none"> <li>• Most secure form of tenure that is compatible with the purpose of the accommodation</li> <li>• Processes for enforcement of the tenancy</li> </ul>
<b>Resident participation</b>	<ul style="list-style-type: none"> <li>• Strategies or policies to encourage greater participation</li> </ul>
<b>Performance management</b>	<ul style="list-style-type: none"> <li>• Appropriate arrangements to ensure that activities are appropriately monitored</li> <li>• Processes that aim to deliver continuous improvement</li> </ul>
<b>Maintenance</b> (where contracted)	<ul style="list-style-type: none"> <li>• Maintained in a lettable condition</li> <li>• There is a responsive repair service</li> <li>• Necessary investment in the future of the stock</li> </ul>

Not all these areas will be contracted. For instance maintenance is usually carried out by housing associations. Other areas will be determined by the association, as the landlord, including the level of rent and the type of tenure.

Low risk services should only be expected to submit an annual performance return and be reviewed once every three years. Higher risk services may require quarterly performance returns and an annual review. The approaches to monitoring housing management risks are explained in the subsequent chapters.

There may be other services that are contracted by an association, for instance support or care services. Where this is the case the association should assess the risks posed by using the QAF (see Chapter 8 on Support and Care).

## 6. MONITORING HOUSING MANAGEMENT PERFORMANCE

### INTRODUCTION

Housing associations should monitor the performance of housing management services where these have been contracted from a managing agent.

As managing agents may work with more than one association it is more efficient if associations collect common performance information. This chapter sets out standard performance information that should be collected on housing management services from a managing agent. The monitoring of care and support services is dealt with in Chapter 8.

### PERFORMANCE MONITORING

Housing associations are required to provide the Housing Corporation with annual performance information on their activities. This information is obtained from the CORE lettings data and the Regulatory and Statistical Return (RSR).

Where the financial risk of managing supported housing is transferred to a managing agent the Corporation no longer requires associations to provide financial information on this stock. Since the introduction of the Supporting People programme in April 2003, the Corporation no longer collects specialist supported housing Performance Indicators (i.e. consultation, individual plans, positive departures, shared bedrooms).

Standard good practice performance indicators are set out in the table below. These are recommended for use by housing associations in monitoring managing agents.

Key areas	
<b>Fair Access*</b>	Associations should monitor lettings data collected through CORE to ensure that fair access is provided to people who are eligible for the service. This will include the percentage of lettings to BME households.
<b>Average re-let times*</b>	The average length of time a supported housing dwelling is vacant between lettings. The calculation is made from CORE data.
<b>Occupancy</b>	The calculation for occupancy should be the same as that used for Supporting People. This would ensure consistency of data reporting and reduce the workload for managing agents. The same reporting periods should also apply.
<b>Rent Arrears</b>	The percentage of rent debit in arrears. Arrears is based on the total amount of former and current tenant's rent (including service charges) outstanding at the end of the year. The rent debit is the gross rental income (or rent due for the year) including service charges.
<b>Rent Written Off</b>	The percentage of rent debit written off (actual) during the year. The rent debit is the gross rental income (or rent due for the year) including service charges.

\* HAs can obtain this data from the CORE returns

As care homes, registered under the Care Standards Act 2000, are excluded from rent restructuring they should not be expected to supply performance information on rental income. The charges for a care home comprise an all inclusive fee for accommodation, care and services and as a result the concept of rental income does not apply to this type of scheme. Although housing associations can set a 'notional rent' for care homes, to reflect the amount required from the charges to cover the association's costs, they should focus on collecting relevant performance information e.g. on occupancy levels.

Normally the provision of maintenance is the responsibility of the housing association, although this function can sometimes be contracted from a managing agent. Where maintenance is carried out by the managing agent, performance on the following indicators will need to be collected:

<b>Emergency repairs</b>	The percentage of emergency repairs completed within the association's target for repairs of this type.
<b>Urgent Repairs</b>	The percentage of urgent repairs completed within the association's target for repairs of this type.
<b>Routine repairs</b>	The percentage of routine repairs completed within the association's target for repairs of this type.

## PERFORMANCE RETURN

Managing agents should submit regular performance information to housing associations using a standard performance return. This return will provide information on a number of key areas of housing management performance to enable associations to monitor the agent. Performance information will normally need to be collected from managing agents on the following areas:

- Occupancy levels
- Rent arrears
- Rent written off

Separate performance returns will need to be completed for each contracted service. Where possible performance information should be aggregated for similar types of schemes that are managed on behalf of each association. This approach will reduce the workload for managing agents and associations.

The frequency for collection of performance information should be based on the risks assessed. Performance information should be collected annually for services that consistently perform well, and are assessed as a low risk. For higher risk services performance information should be collected quarterly.

A standard return is set out in Appendix 4 for collecting performance information.

## RSR INFORMATION

In order to complete the RSR, housing associations are required to collect statistical information from managing agents. Associations should already have information on the type of housing stock managed by an agent. However, information related to lettings and other areas will need to be collected annually.

Associations should send each managing agent an annual return to collect management information for the RSR. The following table illustrates the type of information that may be required for supported housing (this may change each year).

RSR Area	Management Information
<b>Occupancy</b>	Total number of bedspaces or units occupied on 31st March.
<b>Availability</b>	Total units or bedspaces vacant and available for letting on 31st March. Total units or bedspaces vacant and not available for letting on 31st March.
<b>Lettings</b>	Total number of lettings broken down by relets and new lets (to validate CORE)
<b>Nominations</b>	Were local authority nominations received? The number of local authority nominations rejected for supported housing. Of these how many were statutory nominations and how many other homeless nominations.
<b>Evictions</b>	Number of evictions. Reasons for eviction — arrears, antisocial behaviour, both, other.
<b>Demoted tenancies</b>	Number of demoted tenancies

Appendix 5 sets out an illustrative RSR return for use by housing associations.

## FINANCIAL PERFORMANCE

Housing associations should not routinely require managing agents to provide scheme budgets. Housing associations should only be concerned about the performance of contracted housing management services, which can be monitored by regular performance returns. Administering Authorities are responsible for commissioning support services under the Supporting People programme and for assessing the financial viability of a support service.

Housing associations are responsible for setting rents under rent restructuring. The target rent is pre-determined by a formula and each year associations should inform agents of the rent that must be charged according to the rent plan. Associations, however, will need to obtain information from managing agents on the annual budget and outturn figures for service charges that are set by the agent (Appendix 6 shows a standard format for providing this information).

Where a housing association is concerned about the financial viability of a scheme, and has assessed the housing management service as a high risk, it can ask for an annual scheme budget in the agent's format. The association does not need to approve the budget, but can ask for the financial information necessary to monitor the viability of the scheme.

### **THE ASSOCIATION'S PERFORMANCE**

Housing associations have an obligation to ensure that high quality services are provided to their residents, including those living in stock managed by a managing agent. Associations must ensure that its own housing services do not place vulnerable people at risk.

This is particularly the case where the association provides a maintenance service, as this is a contractual responsibility under the occupancy agreement with the resident. Associations should also provide their residents with information on the responsibilities of both parties and how to complain to the Ombudsman.

It is good practice for associations to provide managing agents and residents with published performance information about its services.

## 7. PERFORMANCE REVIEW

### INTRODUCTION

The Housing Corporation Regulatory Code expects housing associations to review services that are contracted from a managing agent or a support provider. The purpose of such a review is to:

- Check the quality of the services
- Verify the information provided for performance monitoring
- Review the contractual arrangements.

Normally housing associations should review contracted services once every three years. A performance review should take place more frequently where the service, or the managing agent, has been assessed as a high risk, for instance once a year.

A performance review also provides an opportunity for reviewing the contractual arrangements with the managing agent or support provider. The association should periodically consider whether changes are required to a housing management or support contract.

### PERFORMANCE REVIEW PROCESS

Performance reviews are only necessary for contracted services. Service level agreements should be reviewed according to the terms of the agreement.

The purpose of a performance review is to look in more detail at the services that are contracted. A review should not be onerous and should simply involve a check on one or two of the contracted service areas.

A performance review should be carried out in one or more of the following ways:

<b>A Desk Top review</b>	This will involve checking that policies and procedures have been updated.
<b>Service visit</b>	This will involve a 'reality check' at a service level and may include examining information on processes such as referrals and allocations, rent collection, maintenance reporting and tenant involvement. A visit could involve talking to residents.
<b>Managing agent visit</b>	This will involve talking to staff, checking performance data at the agent's office.

The review process should involve assessing the quality and performance of contracted services, including examining written documentation, checking performance information and obtaining feedback. Wherever possible information sharing should reduce duplication. The review can, for example, draw on reports of the Audit Commission inspection visits or findings of Supporting People service review.

The service areas for housing management services are explained in this chapter while the arrangements for care and support are set out in Chapter 8.

## RESIDENT FEEDBACK

Resident feedback can form an important part of the regular performance review process. It is essential that housing associations co-ordinate any visits with other resident consultation processes, particularly those relating to Supporting People. Housing associations need to be aware that residents may find visits intrusive and may not fully understand the role of the landlord.

Associations can adopt a number of approaches to obtaining feedback from residents including:

- Obtaining information on complaints
- Meeting individual residents at a scheme
- Using advocates
- Undertaking a residents' survey
- Asking the managing agent to include specific questions in an agent's survey of residents

Some housing associations carry out periodic resident surveys that include those living in properties managed by managing agents. These types of surveys usually take place once every three years.

## HOUSING MANAGEMENT SERVICES

The provision of contracted housing management services should be checked at the regular performance reviews. Associations should adopt a similar approach to that used for reviews of their own housing management services.

Associations do not need to examine all the contracted housing management services at each review. They should either concentrate on areas of concern or adopt a rolling programme that examines different areas at each review. Each review should only look at one or two of the following housing management service areas:

Housing Management Areas	Key housing management issues
Selection and allocation	<ul style="list-style-type: none"> <li>• Selection criteria</li> <li>• Selection and allocation process</li> <li>• Diversity policy</li> </ul>
Rent collection	<ul style="list-style-type: none"> <li>• Service charge setting</li> <li>• Rent accounting</li> <li>• Arrears and bad debts</li> </ul>
continued...	

Housing Management Areas	Key housing management issues
Health and safety	<ul style="list-style-type: none"> <li>• Risk assessment and management</li> <li>• Fire prevention and fire procedures</li> </ul>
Management of the accommodation	<ul style="list-style-type: none"> <li>• Anti-social behaviour and nuisance</li> <li>• Racial harassment</li> <li>• Customer care</li> <li>• Complaints</li> <li>• Move on accommodation</li> </ul>
Tenure and possession	<ul style="list-style-type: none"> <li>• Type of tenure</li> <li>• Processes for enforcement of the tenancy</li> </ul>
Tenant participation	<ul style="list-style-type: none"> <li>• Strategies or policies to encourage greater participation</li> </ul>
Performance management	<ul style="list-style-type: none"> <li>• Service standards</li> <li>• Performance monitoring</li> </ul>
Maintenance (where contracted)	<ul style="list-style-type: none"> <li>• Responsive repairs</li> <li>• Stock kept in good condition</li> </ul>

The format in Appendix 7 shows these areas with an illustrative checklist.

The performance review process also provides an opportunity to give an association feedback on the services for which it is responsible e.g. maintenance.

### REVIEW OF THE ARRANGEMENTS WITH A MANAGING AGENT

Generally the performance of a managing agent, as an organisation, should not need to be reviewed unless concerns have arisen. Where a managing agent is accredited under Supporting People, and the association has identified concerns, it should liaise with the Administering Authority (through a protocol if there is one in place).

However, associations may wish to use the performance review process to review the contract with a managing agent. The association may want to enter into a different type of contract. For instance it may want to provide housing management services itself (and enter into a service level agreement). Or it may want to decide whether to renew the contract if it is due to end.

## 8. SUPPORT AND CARE

### INTRODUCTION

Support and care services are usually contracted directly with providers of these services. Sometimes housing associations can act as the main contractor for support or care services and sub-contract these to a managing agent or support provider.

The most significant source of funding for support services is through the Supporting People programme for housing related support services. However, other types of care or support services, provided to residents living in housing association schemes, can be funded by health authorities, Primary Care Trusts (PCT), social services departments, housing departments and government departments.

### CONTRACTED SUPPORT OR CARE SERVICES

Where a housing association enters into a contract to provide support or care services, it is responsible for the performance and quality of these services, even where they have been sub-contracted. The association, as the main contractor, is responsible to the funding body for performance and quality. Housing associations are not responsible for monitoring support or care services where they are not contracted to provide these services.

### Supporting People services

The ODPM has developed tools and guidance for monitoring the quality and performance of Supporting People services. Housing associations that have been contracted by AAs should use these tools to monitor the support services that they sub-contract to a managing agent or a support provider. The regular monitoring requirements can be summarised as follows:

#### Quality Assessment Framework

The Quality Assessment Framework has six core service objectives that are:

- Needs and risk assessment
- Support Planning
- Security, Health and Safety
- Protection from Abuse
- Fair Access Diversity and Inclusion
- Complaints

In addition there are 11 supplementary service objectives.

Providers are expected to self-assess themselves against the QAF and AAs are required to collect self-assessment on the six core objectives and carry out QAF validation visits

continued...

<p><b>Performance Framework</b></p>	<p>The ODPM Performance Framework has the following groups of performance indicators</p> <p>KPIs</p> <ul style="list-style-type: none"> <li>• Outcomes for service users</li> <li>• Fair access to SP services</li> </ul> <p>SPIs</p> <ul style="list-style-type: none"> <li>• Availability</li> <li>• Utilisation</li> <li>• Staffing Levels</li> <li>• Throughput</li> </ul> <p>Performance data is collected quarterly from providers using a quarterly return.</p>
<p><b>SP Client Record System</b></p>	<p>A client record form needs to be completed for each person who accesses an SP service. This should be completed by the support provider. The SP client record form and the CORE log have now been fully integrated for accommodation based services.</p>

**Care services**

Care commissioning agencies can contract housing associations to provide care services that are then sub-contracted to another provider. For example, where a long stay hospital is re-provided by a PCT, a housing association can be commissioned to provide the “bricks and mortar” as well as the care. If an association sub-contracts care services it will be responsible for monitoring the quality and performance of these services.

Although the Department of Health publishes national performance indicators (Performance Assessment Framework for Personal Social Services), these are not always suitable for monitoring at a service level. Care commissioning agencies may have their own local performance indicators, or rely on the reports of other regulators such as the Commission for Social Care Inspection. Where the service is not registered under the Care Standards Act 2000, quality standards should be specified by the care commissioning agency and monitored by the housing association.

**SUPPORT OR CARE SERVICES THAT ARE NOT CONTRACTED**

Where a managing agent, or a support provider, is funded to provide support or care services it is responsible for providing performance and monitoring information directly to the commissioning agency. The housing association has no reason to monitor the support or care services as a contract does not exist as there is no payment (or fee).

Associations may enter into formal arrangements with a support provider using a service level agreement, where the support provider agrees to deliver support services to the association’s residents. These agreements should improve liaison arrangements between the housing and support provider in order to help sustain tenancies. These types of agreements are protocols, not contracts. They set out:

- the services to be provided by each party
- liaison arrangements
- the information that is to be shared

The type of information that can be shared would include findings of Supporting People service reviews.

### **CARE HOMES REGISTERED UNDER THE CARE STANDARDS ACT 2000**

Care Homes registered under the Care Standards Act 2000 are inspected by the Commission for Social Care Inspection (CSCI). The reports produced by CSCI should be shared with the housing association, particularly as they may have implications for repairs or improvements to the physical structure of the property. Where the managing agent (or support provider) is responsible for the business of care, as the registered 'person in control', the housing association should not monitor the care services provided.

In most circumstances the 'person in control' of the scheme is also responsible for the business of care. However, some regional offices of the CSCI may insist on the owner of the property being registered as the 'person in control'. Where a housing association is the registered 'person in control' it is required to visit the care home monthly to check on key service areas including the delivery of care. In these circumstances the association is responsible for monitoring care services, as it has a legal duty under the Care Standards Act 2000 to check on these services. Housing associations need to be aware of the risks involved with this type of arrangement.

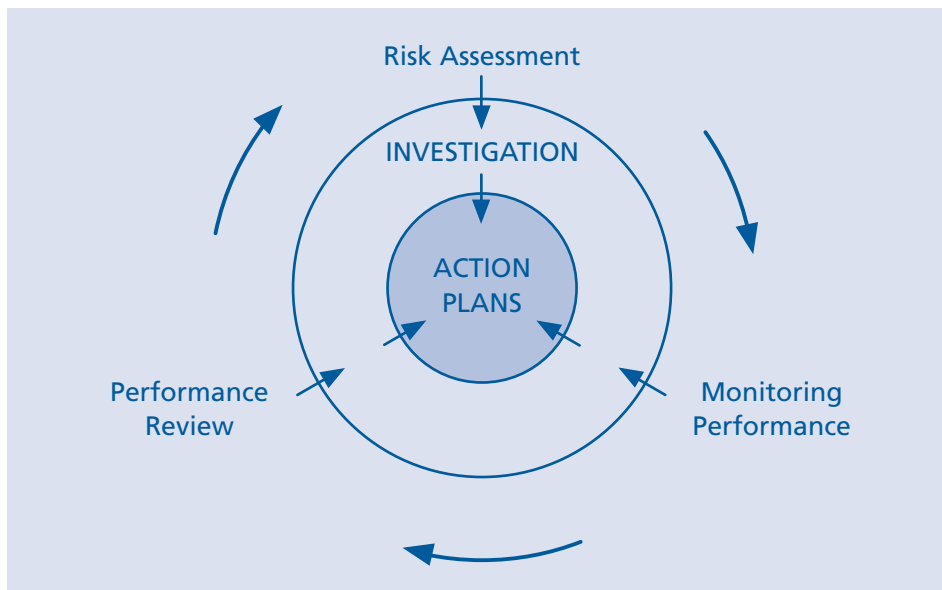
## 9. DEALING WITH POOR PERFORMANCE

### INTRODUCTION

A poor quality service, either contracted or provided directly by the association, has an impact on the association's residents. Housing associations can intervene in a number of different ways to deal with poor performance that has been identified by monitoring. Intervention should be proportionate to the risks identified, with the aim of improving the performance of contracted services.

Where a contract has been breached the association should take appropriate steps to rectify the situation. A breach of contract can occur for a number of different reasons including consistently poor performance. The option of termination of the contract should be considered a last resort, unless there are major concerns, for instance enforcement action under the Care Standards Act 2000.

The diagram below illustrates the main types of interventions that can take place as a result of applying the PAF.



### INVESTIGATION

Where poor performance has been identified, as result of routine monitoring, the association should carry out an investigation to find out the causes. This may simply involve a telephone call to the managing agent or a meeting with a service manager. It may not be necessary to produce an action plan, particularly where an issue can be resolved promptly.

An investigation should focus on those services that have been contracted. Where there are concerns about services that have not been contracted, or about the future viability of the managing agent, the association should liaise with the appropriate Administering Authority or other stakeholders.

## ACTION PLANNING

The most positive way to deal with poor performance is through action planning. Action planning should:

- Establish what action should be taken to improve performance
- Set target dates for achieving improvements
- Be agreed between the managing agent and the association

Action planning can take place at each stage within the PAF including:

- **Risk Assessment** — action plans can be developed to address issues identified by the risk assessment e.g. the need to develop policies and procedures. These action plans can be monitored as part of the monitoring arrangements.
- **Monitoring Performance** — action plans can be developed to improve performance in relation to the contracted services. These action plans can set targets which can be monitored through the regular performance returns.
- **Performance Review** — actions plans can be developed to improve the quality of the contracted service e.g. improve the level of information that is provided to residents. The performance review can also review previous action plans and change the arrangements with the managing agent if there have not been any or sufficient improvements.

## DEALING WITH CRISES

As the PAF is based on risk appraisal it should focus an association's resources on those managing agents that are more likely to encounter a crisis. However, crises can occur even where a low risk has been identified, for example:

- Unforeseen loss of funding to the service, making it financially unviable
- Significant loss of funding making the agent itself financially unviable
- Unforeseen increases in expenditure e.g. where CSCI require a higher level of staff cover for a registered service
- The managing agent experiencing governance problems or its management committee ceasing to function

The type of intervention required will be dictated by the nature of the crisis. The housing association may need to liaise with other stakeholders, such as the AA, particularly where the crisis may have an impact of the future viability of the managing agent.

The housing association should take steps to minimise the impact of the crisis on the residents. The association may need to make contingency arrangements, where the managing agent could cease trading, for instance taking the service in-house or transferring the management of the scheme to another agent. Before taking this type of action the association should always liaise with the AA, where Supporting People funding is involved, or other commissioning agencies.

### TAKING ACTION THROUGH THE CONTRACT

Associations can take action through the contract to improve performance. Most contracts prescribe stages for dealing with issues such as poor performance and set out the circumstances under which a contract can be terminated.

Associations should only take the contract route to improve performance where all other action has been exhausted. A good working relationship is critical to improving performance and taking action through the contract will indicate that the relationship is not working. Prior to terminating a contract with a managing agent, or a support provider, the association should liaise with the AA, or other stakeholders, and take into account any legal implications e.g. TUPE (Transfer of Undertakings (Protection of Employment) Regulations).

### WORKING WITH OTHER STAKEHOLDERS

It is essential that housing associations work with other stakeholders to resolve any major problems. In particular, housing associations should consider a local protocol where the support service is funded through Supporting People.

Where there are serious concerns about the governance or viability of the managing agent, then the association will need to take immediate action as this could result in the collapse of the service. The association will need to work with the AA to develop an action plan that should be agreed with the agent. Should agreement not be reached with the agent or the AA, the RSL must consider the future of that scheme, for example contract termination and commissioning a new agent. Where the association is working with a managing agent that provides services that fall outside of the Supporting People programme the association should liaise with the appropriate funder or key stakeholder.

## APPENDIX 1 GLOSSARY OF TERMS

<b>Accreditation</b>	A process for assessing the viability and competence of an organisation and formally recognising their ability to provide services.
<b>Administering Authority (AA)</b>	Supporting People Administering Authorities. These are county and unitary authorities that are responsible for administering the Supporting People programme.
<b>Best Value</b>	Statutory duty on local authorities to secure continuous improvement in the way in which they exercise their functions. The Housing Corporation expects housing associations to adopt a Best Value approach to the delivery of services.
<b>Care homes</b>	Care homes are registered under the Care Standards Act 2000 that provide residential care or nursing care.
<b>CORE</b>	A national database of details of new supported housing tenants, including information on client group and referral source.
<b>FLAP</b>	Financial and legal advisory panel set up to review management arrangements between associations and agents prior to the implementation of Supporting People. Included representatives from SITRA, NHF, ODPM, Housing Corporation, local authorities, managing agents and housing associations.
<b>Housing association</b>	'Housing association' is used as a generic term for registered social landlords.
<b>Managing agent</b>	Managing agent describes the organisation that delivers contracted housing management services to residents living in housing association accommodation (together with support services that may also be contracted by a third party or by the association).
<b>Management Agreement</b>	An agreement between a housing association and a managing agent where the agent manages the property on behalf of the association. This guide uses the term 'Housing Management Contract' for such agreements.
<b>Performance indicators</b>	Specific information used in a planned way to measure and assess performance.
<b>Personal service charge</b>	Service charges that are normally ineligible for housing benefit and cover tenants' personal needs e.g. food.
<b>QAF</b>	The Quality Assessment Framework for Supporting People. The QAF defines service objectives (core and supplementary) against which providers can carry out self-assessments.
<b>Residents' Charter</b>	The Housing Corporation has provided a charter for housing association applicants and residents that sets out what they can expect.
<b>RSL</b>	Registered Social Landlord (RSL) is the technical name for social landlords that are registered with the Housing Corporation - most are housing associations, but there are also trusts, co-operatives and companies.

<b>Service charge</b>	A charge for the provision of specific services e.g. furniture.
<b>Service review</b>	A review of the strategic relevance and the quality, performance and cost-effectiveness of a Supporting People service prior to the expiry of its contract.
<b>Social Housing Grant (SHG)</b>	A grant from the Housing Corporation for housing association developments. SHG meets a proportion of the total capital cost of a scheme.
<b>Supported Housing</b>	There are two types of supported housing: purpose designed supported housing and designated supported housing. The term 'supported housing' excludes floating support or move-on support within general needs stock.
<b>Supporting People grant</b>	The grant provided to local authorities to pay for the costs of support services from April 2003.
<b>Support Provider</b>	The organisation that provides support and/or care services, either under contract to the association, or where there is an agreement to work together. A support provider does not provide housing management services.

## APPENDIX 2 BIBLIOGRAPHY

### Regulatory Framework

- *The way forward. Our approach to regulation* Housing Corporation 2002
- *Circular R2–25/01 Internal Controls assurance* Housing Corporation 2001
- *Circular 03/03 The General Consent Includes Disposing of Land* which advises registered and unregistered housing associations on the requirements of Section 9 of the Housing Act 1996. Housing Corporation 2003
- *A charter for housing association applicants and residents* Housing Corporation 2003

### Legal and Financial Framework

- *Supporting People and RSL/Agency Relationships — Guidance on Partnership Arrangements* FLAP — National Housing Federation/SITRA 2002

### Risk

- *Risk management topic paper 6: Reputation, Risk and Governance* Housing Corporation 2004
- *Risk management topic paper 5: A practical approach to identifying risk* Housing Corporation 2003
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- *Housing association risk data sharing project* Housing Corporation 2003
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- *A strategy for success: Effective risk and business management* Housing Corporation 2001
- *Accreditation of Supporting People Providers* ODPM 2004
- *Joint Working Protocol* National Housing Federation/SITRA 2002

### Performance

- *The Corporation's Response to the Consultation on the Proposed Changes to the FPIs* Housing Corporation 2004
- *The Performance Framework for Supporting People 2004/05* ODPM 2004

### Quality and Continuous Improvement

- *Best Value: housing and support* Housing Corporation/National Housing Federation 2002
- *The Quality Assessment Framework* ODPM 2004
- *Housing Management Manual for Supported Housing* National Housing Federation 2001

**WEBSITES**

- The Housing Corporation  
[www.housingcorp.gov.uk](http://www.housingcorp.gov.uk)
- Regulatory and Statistical Return  
[www.rsrsurvey.co.uk](http://www.rsrsurvey.co.uk)
- Housing association performance indicators  
[www.housingpis.co.uk](http://www.housingpis.co.uk)
- Bank of good practice for continuous improvement  
[www.bankofgoodpractice.org](http://www.bankofgoodpractice.org)
- National Housing Federation  
[www.housing.org.uk](http://www.housing.org.uk)
- ODPM  
Supporting People Knowledge Web  
[www.spkweb.org.uk](http://www.spkweb.org.uk)
- SITRA  
[www.sitra.org](http://www.sitra.org)

### APPENDIX 3 HOUSING CORPORATION REGULATORY CODE (KEY RELEVANT STANDARDS)

#### Viable

Regulatory Code	Regulatory Guidance
<p>1.2 Housing associations must operate a framework that effectively identifies and manages risks:</p> <p>1.2.1 identifying all major risk areas that might prevent them achieving their objectives;</p> <p>1.2.2 with the necessary arrangements to manage risks and mitigate their effects</p>	<p>1.2 a. The association's risk management framework highlights key risks and how they are to be managed.</p> <p>b. The governing body regularly reviews activities and policies and all new business decisions and there is a clear case for the proposed or existing direction of the association.</p> <p>c. Approved terms of reference for the governing body and other committees and delegated authorities for staff are in place.</p> <p>d. There are internal control systems. Their effectiveness is regularly reviewed by the governing body and reported in the annual report.</p>

#### Properly governed

Regulatory Code	Regulatory Guidance
<p>2.3 Housing associations must maintain the highest standards of probity in all their dealings:</p> <p>2.3.1 acting to maintain the good reputation of the sector, and not bringing it into disrepute;</p> <p>2.3.2 fostering positive relationships with stakeholders;</p> <p>2.3.3 conducting their business so that they are accessible, accountable and transparent to residents and other stakeholders;</p> <p>2.3.4 only entering into relationships with other organisations when the rights and obligations are clear to all.</p>	<p>2.3 a. A code of conduct for the governing body and staff, together with a payments and benefits policy, is in place. Sound procurement practices are in place and contractual arrangements or partnerships with other bodies are clearly defined and documented.</p> <p>b. The association maintains a dialogue about its strategic objectives with its key stakeholders.</p>

**Properly managed****Regulatory Code**

- 3.2 Housing associations must have management arrangements, resources, skills and systems which are appropriate to their circumstances, scale and scope of operation and ensure that their activities :
- 3.2.1 are adequately monitored
  - 3.2.2 are undertaken efficiently and effectively
  - 3.2.3 are backed up by proper systems of assurance for internal control

**Regulatory Guidance**

- 3.2 a. The governing body receives regular reports on all areas of the association's performance. The association benchmarks its performance against other associations and organisations
- b. All lettings and sales are recorded in the Continuous Recording of lettings system (CORE)
- c. Services can be demonstrated to be relevant and accessible to customers and potential customers
- d. There are clear contractual arrangements and reporting and review mechanisms for the use of partners and agents

The full Regulatory Code can be found in *The way forward. Our approach to regulation*, Housing Corporation 2002.

**APPENDIX 4  
PERFORMANCE RETURN**

SUPPORTED HOUSING  
**PERFORMANCE RETURN FOR  
MANAGING AGENTS**

<p><b>Registered Social Landlord</b></p> <p>RSL name <input style="width: 100%;" type="text"/></p> <p>RSL Address <input style="width: 100%; height: 40px;" type="text"/></p> <hr/> <p><b>Property Details</b></p> <p>Address(es): <input style="width: 100%; height: 60px;" type="text"/></p> <p><i>(please attach a separate schedule if necessary)</i></p>	<p><b>Managing agent</b></p> <p>Name of Organisation <input style="width: 100%;" type="text"/></p> <p>Managing agent address <input style="width: 100%; height: 40px;" type="text"/></p> <p>Contact Phone email <input style="width: 100%; height: 25px;" type="text"/></p> <hr/> <p><b>Reporting period</b> <span style="float: right;"><i>Note 1</i></span></p> <p style="text-align: center;">From <input style="width: 50px;" type="text"/> to <input style="width: 50px;" type="text"/></p> <p><b>NUMBER OF UNITS / BEDSPACES</b> <span style="float: right;"><i>Note 2</i></span></p> <p>Number of units or bedspaces managed by the agent on behalf of the RSL <input style="width: 100%;" type="text"/></p> <hr/> <p><b>OCCUPANCY</b> <span style="float: right;"><i>Note 3</i></span></p> <p>Number of occupied unit days/ weeks as a percentage of the number of available unit days/ weeks in the period. <input style="width: 100%;" type="text"/></p>
<p><b>RENT ARREARS</b> <span style="float: right;"><i>Note 4</i></span></p> <p>Rent arrears as a percentage of the rent collectable for the previous twelve months <input style="width: 100%;" type="text"/></p> <p><b>BAD DEBTS</b> <span style="float: right;"><i>Note 5</i></span></p> <p>Bad debts written off as a percentage of the rent collectable for the period <input style="width: 100%;" type="text"/></p>	<p>I confirm that the information provided in this return is accurate to the best of my knowledge and belief.</p> <p style="text-align: right;">Position: <input style="width: 150px;" type="text"/> Date <input style="width: 50px;" type="text"/></p> <hr/> <p><b>Notes</b></p> <p>1. If the RSL requests quarterly reports, the start and end date and the entries for occupancy and bad debts should be for each separate quarter (not the cumulative period). For the arrears calculation, the rent and service charges receivable should always be based on the 12 months ending on the last day of the quarter.</p> <p>2. <b>Units / bedspaces</b> The number of units or bedspaces refers to the number of tenancies or licences. For example, a 1-bedroom flat occupied by one person would be counted as one unit. If two people share the flat but have separate tenancy or licence agreements, it would be counted as two bedspaces.</p> <p>3. <b>Occupancy</b> Select the basis for calculating occupancy (weeks or days) <input style="width: 50px;" type="text"/></p> <p>Number of days in the period <input style="width: 50px;" type="text"/></p> <p>Number of unit days in the period <input style="width: 50px;" type="text"/></p> <p>Number of available unit days in the period <input style="width: 50px;" type="text"/></p> <p><b>Number of occupied unit or bedspace days in the period.</b> <input style="width: 50px;" type="text"/></p> <p>The number of occupied unit days is the number of days each unit or bedspace was occupied throughout the period. For example, if there are three bedspaces and one was empty for 21 days during the year, the number of occupied bedspaces would be <math>2 \times 365 + 1 (365 - 21) = 1,074</math> bedspace days.</p> <p>Occupancy = number of occupied unit / bedspace days x available unit / bedspace days in the period x 100</p>

SUPPORTED HOUSING  
**PERFORMANCE RETURN FOR  
 MANAGING AGENTS**

4.	<p><b>Rent arrears</b></p> <p>a. Total rent receivable from all units or bedspaces in the past twelve months <input style="width: 150px;" type="text"/></p> <p>b. Total HB-eligible service charges receivable from all units or bedspaces in the past twelve months ..... <input style="width: 150px;" type="text"/></p> <p>c. Total rent and HB-eligible service charges receivable (a + b) <input style="width: 150px;" type="text"/></p> <p>d. Rent arrears (current tenants / licensees - rent &amp; HB eligible charges only) <input style="width: 150px;" type="text"/></p> <p>e. Rent arrears (former tenants / licensees - rent and HB eligible charges only) <input style="width: 150px;" type="text"/></p> <p>f. Total rent arrears (d + e) <input style="width: 150px;" type="text"/></p> <p>Percentage arrears = <math>f \div c \times 100</math></p>
5.	<p><b>Bad debts written off</b></p> <p>g. Total rent and HB-eligible service charges receivable in the period <input style="width: 150px;" type="text"/></p> <p>h. Total bad debts written off in the period (rent &amp; HB-eligible charges only) <input style="width: 150px;" type="text"/></p> <p>Percentage bad debts = <math>h \div g \times 100</math></p>

**APPENDIX 5  
RSR RETURN**

SUPPORTED HOUSING

**REGULATORY AND STATISTICAL RETURN - COLLECTION OF DATA FROM MANAGING AGENTS**

<p><b>Registered Social Landlord</b></p> <p>RSL name <input style="width: 100%;" type="text"/></p> <p>RSL Address <input style="width: 100%; height: 40px;" type="text"/></p>	<p><b>Managing agent</b></p> <p>Agent name <input style="width: 100%;" type="text"/></p> <p>Agent address <input style="width: 100%; height: 40px;" type="text"/></p> <p>Contact Phone <input style="width: 100%;" type="text"/></p> <p>email <input style="width: 100%;" type="text"/></p>																																		
<p><b>Property Details</b></p> <p>Address(es): <input style="width: 100%; height: 40px;" type="text"/></p> <p><i>(please attach a separate schedule if necessary)</i></p>	<p><b>Reporting period</b></p> <p>Year ended 31st March <input style="width: 50px;" type="text"/></p>																																		
<table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 20%;"></th> <th style="width: 15%; text-align: center;"><i>Col a</i></th> <th style="width: 15%; text-align: center;"><i>Col b</i></th> <th style="width: 15%; text-align: center;"><i>Col c</i></th> <th style="width: 15%; text-align: center;"><i>Col d</i></th> <th style="width: 20%; text-align: center;"><i>Col d</i></th> </tr> <tr> <td></td> <td style="text-align: center;">Total number of units / bedspaces managed for the RSL</td> <td style="text-align: center;">Vacant units or bedspaces unavailable for letting on 31 Mar</td> <td style="text-align: center;">Vacant units or bedspaces available for letting on 31 Mar</td> <td style="text-align: center;">Units or bedspaces occupied on 31 Mar</td> <td style="text-align: center;">Number of demoted tenancies at 31 Mar</td> </tr> </thead> <tbody> <tr> <td>Supported housing:</td> <td style="text-align: center;"><input style="width: 50px;" type="text"/></td> <td style="text-align: center;"><input style="width: 50px;" type="text"/></td> <td style="text-align: center;"><input style="width: 50px;" type="text"/></td> <td style="text-align: center;"><input style="width: 50px;" type="text"/></td> <td rowspan="3" style="text-align: center; vertical-align: middle;">} <input style="width: 50px;" type="text"/></td> </tr> <tr> <td>Self-contained units</td> <td style="text-align: center;"><input style="width: 50px;" type="text"/></td> <td style="text-align: center;"><input style="width: 50px;" type="text"/></td> <td style="text-align: center;"><input style="width: 50px;" type="text"/></td> <td style="text-align: center;"><input style="width: 50px;" type="text"/></td> </tr> <tr> <td>Shared housing bedspaces</td> <td style="text-align: center;"><input style="width: 50px;" type="text"/></td> <td style="text-align: center;"><input style="width: 50px;" type="text"/></td> <td style="text-align: center;"><input style="width: 50px;" type="text"/></td> <td style="text-align: center;"><input style="width: 50px;" type="text"/></td> </tr> <tr> <td><b>Total</b></td> <td style="text-align: center;"><input style="width: 50px;" type="text"/></td> <td style="text-align: center;"><input style="width: 50px;" type="text"/></td> <td style="text-align: center;"><input style="width: 50px;" type="text"/></td> <td style="text-align: center;"><input style="width: 50px;" type="text"/></td> <td></td> </tr> </tbody> </table>			<i>Col a</i>	<i>Col b</i>	<i>Col c</i>	<i>Col d</i>	<i>Col d</i>		Total number of units / bedspaces managed for the RSL	Vacant units or bedspaces unavailable for letting on 31 Mar	Vacant units or bedspaces available for letting on 31 Mar	Units or bedspaces occupied on 31 Mar	Number of demoted tenancies at 31 Mar	Supported housing:	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>	} <input style="width: 50px;" type="text"/>	Self-contained units	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>	Shared housing bedspaces	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>	<b>Total</b>	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>	<input style="width: 50px;" type="text"/>	
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<p>Col a Column a should show the total number of dwellings subject to the management agreement with the RSL.</p> <p>Col b Column b should show all dwelling closed for major repairs.</p> <p>Col c Column c should show all vacant dwellings available for letting, including those awaiting planned or routine maintenance or redecoration.</p> <p>Col d All units in column a, less those in columns b and c.</p> <p>Col e Demoted tenancies, are those which a demotion order has been granted by the court in accordance with the Anti Social Behaviour Act 2003. (Include tenancies of both self contained and shared dwellings)</p>																																			
<p>Number of new lettings (units or bedspaces) during the year <input style="width: 50px;" type="text"/></p> <p>Number of re-lettings during the year <input style="width: 50px;" type="text"/></p> <p><b>Total number of lettings during the year</b> <input style="width: 50px;" type="text"/></p>																																			
<p>Were any local authority nominations received ? (Y or N) <input style="width: 50px;" type="text"/></p> <p>How many of the nominations were rejected ? <input style="width: 50px;" type="text"/></p> <p>How many of those rejected were statutory nominations or other homeless nominations ? <input style="width: 50px;" type="text"/></p> <p><i>(Statutory nominations' refers to nominations only of statutory homeless households)</i></p>																																			
<p>How many evictions were carried out because of rent arrears ? <input style="width: 50px;" type="text"/></p> <p>How many evictions were carried out because of anti-social behaviour (demoted tenancies) ? <input style="width: 50px;" type="text"/></p> <p>How many evictions were carried out because of anti-social behaviour (other) ? <input style="width: 50px;" type="text"/></p> <p>How many other evictions were carried out ? <input style="width: 50px;" type="text"/></p> <p><b>Total number of evictions during the year</b> <input style="width: 50px;" type="text"/></p>																																			
<p>I confirm that the information provided in this return is accurate to the best of my knowledge and belief. Signed: <input style="width: 100px;" type="text"/> <input style="width: 50px;" type="text"/></p> <p style="text-align: center;">Position: <input style="width: 100px;" type="text"/></p>																																			



## APPENDIX 7 PERFORMANCE REVIEW OF HOUSING MANAGEMENT

<b>Selection and Allocation</b>	<ul style="list-style-type: none"> <li>• There is published information on the service for referral bodies</li> <li>• The selection criteria clearly states who is eligible and who is ineligible</li> <li>• The applications process is clear and provides potential applicants with relevant information</li> <li>• There are clear timescales for each stage of the selection process</li> <li>• There is a system for informing applicants of the outcome of the process</li> <li>• There is a confidentiality policy and the resident is informed about what information is to be shared before disclosing it</li> <li>• There is evidence that the letting is fair and reflects the diversity of the client group</li> <li>• Performance targets are set to redress inequality</li> </ul>
<b>Rent collection</b>	<ul style="list-style-type: none"> <li>• The rent is set in accordance with the housing association's restructured rent</li> <li>• The service charges are defined by the cost of the services and what is actually provided</li> <li>• The personal service charge is fair and affordable</li> <li>• Tenants are informed about the rent and services charges</li> <li>• Tenants are consulted about service charges</li> <li>• The rent accounting system is efficient</li> <li>• There are up to date records of all tenants in arrears</li> <li>• Residents are contacted at the earliest reasonable time about their arrears</li> </ul>
<b>Health and safety</b>	<ul style="list-style-type: none"> <li>• There is an up to date health and safety policy</li> <li>• Assessments of risk and hazards are carried out and how these can be reduced</li> <li>• There is a system for monitoring and recording health and safety checks</li> <li>• There are policies and procedure in relation to fire (that are appropriate for the type of scheme)</li> <li>• Training and guidance is given to staff and residents</li> </ul>
<b>Management of the accommodation</b>	<ul style="list-style-type: none"> <li>• The process of voids management is efficient</li> <li>• There are policies to tackle anti-social behaviour and nuisance</li> <li>• Racial harassment is dealt with effectively</li> <li>• Tenants are provided with information on their rights</li> <li>• A complaints procedure is available and provided to residents.</li> <li>• Complaints are dealt with effectively</li> <li>• There is a policy on move on and residents are prepared for moving on</li> </ul>
<b>Tenure and possession</b>	<ul style="list-style-type: none"> <li>• The tenure granted is agreed by the housing association and is compatible with the purpose of the service</li> <li>• Assured shorthold tenancies should be regularly reviewed by the agent in accordance with the Corporation Code on Tenure</li> <li>• The legal framework on tenure needs to be made available to staff and residents</li> <li>• The notice period and serving of notice should be correctly handled</li> <li>• Where the agent takes possession proceedings on behalf of the association it shall be according to the law and the HA should be notified</li> </ul>

<b>Resident participation</b>	<ul style="list-style-type: none"><li>• There should be mechanisms for consulting residents on issues that affect the management of their home</li><li>• Residents should be appropriately involved in decision making e.g. selection of residents</li></ul>
<b>Performance management</b>	<ul style="list-style-type: none"><li>• There should be service standards set for the housing management service provided i.e. what is expected</li><li>• The performance of each service should be monitored and appropriate targets set</li><li>• Performance information should be summarised for the committee, staff and residents</li><li>• The monitoring information should be used to review the service</li></ul>
<b>Maintenance</b>	<ul style="list-style-type: none"><li>• Residents should be clear about their rights and obligations in relation to repairs</li><li>• Residents should be informed about out of hours repair services</li><li>• Repairs should be defined as emergency, urgent or routine and targets set for these categories</li><li>• There should be regular inspection of the structure of the building</li><li>• Clear guidelines should be adopted for keeping a panel of approved contractors</li><li>• Contractors should be reviewed annually</li><li>• Inspections of repairs should be carried out where they can improve standards</li></ul>





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