

Tier 1 AHBs

Training Session:

Completing Your Annual Regulatory Return

29th September 2020

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What we are looking to cover today...

- Practical guide to completing the ARR
- What we are looking for and why we ask for specific information
- What is new in this year's Return
- Guidance on what to look out for in the Return
- Questions

ARR Overview & Changes

- ARR – same look & feel as previous versions
- Submission date – 31st October 2020
- 10 tabs within the ARR
- Main change to the ARR this year
 - Two sets of data - **2019 & September 2020**
- Please complete all applicable sections of the ARR
 - Provide as much explanation as possible

How to complete the ARR

The ARR provides ability to:

- Type in boxes provided – limited number of characters for some narrative questions (e.g. 600 max)

If the organisation does not issue rent records to tenants, please provide an explanation.

- Drop Down Menu's to choose from

Does the organisation have a risk register?

Please select **Yes/No**

- Enter numeric values only in number boxes provided

Please state total Board Members/ Trustees as of 2019 and September 2020 respectively

31st December 2019

- Input dates as required

Please state the date of the last AGM held

29/09/2020

- **Complete the Grey boxes only**

GENERAL INFORMATION

This section requires all key information about the AHB

- Organisational Name & Contact details
- Key Authorised Contacts
- Declaration
- Company Type & Primary Objective
- Staff & Volunteers
- Notifiable Events

Key Authorised Contacts

The Regulation Office will ONLY provide information to authorised key contacts within the organisation. By submitting the below details you are authorising the below contacts to receive communications relating to the organisation. The Regulation Office reserves the right to refuse to provide information to contacts where appropriate.

1.3 Authorised Key Contacts

Chairperson and Chief Executive (where there is no Chief Executive in place, please provide the name and contact details for a second Board Member)

Chairperson*

Contact. No*

Email*

Chief Executive or Second Board Member*

Contact. No*

Email*

Contact Person for Regulation Purposes
(if different from above)

Regulation Contact*

Role in Organisation*

Contact. No*

Email*

*denotes Mandatory information

The Regulation Office will only issue information regarding an AHB to the key authorised contacts inputted here.

Microsoft Excel



This value doesn't match the data validation restrictions defined for this cell.

Retry

Cancel

Help

You are unable to enter text into boxes which require numbers.

Declaration

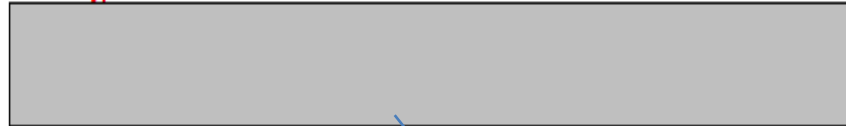
1.4 DECLARATION - THIS MUST BE COMPLETED

Please provide the DATE of the Board meeting (i.e. governing body or subcommittee delegated by the Board) where this **Annual Regulatory Return was reviewed and approved**.

I certify for, and on behalf of, the above organisation that the information reported in this Annual Regulatory Return is accurate and is a fair representation of the organisation.

Board Chairperson

Please type name



A typed Signature for the Board Chairperson is sufficient – electronic signature is not required.



The Board or a delegated governing body or subcommittee must approve the ARR.

All AHBs must complete a declaration.

Primary Objective & Staff/Volunteers



1.6 Primary Objective

Please state the primary objective of the organisation (as stated in your constitution)

Does the organisation provide any other services, for example day services, child care, etc?

Please select **Yes/No**

Is your organisation primarily Housing or does it provide a Care and Support service? This should match your constitution

1.7 Staff and/or Volunteer Details

Does the organisation employ paid staff?

Please select **Yes/No**

Please state the **Total** number of staff employed (Whole Time Equivalents, this should match your financial statements)

Please state the number of staff **directly employed in the provision and management of housing**

Does the organisation have volunteers?

Please select **Yes/No**

If Yes, please state number of Volunteers **directly involved in the provision of housing**

Check your 2019 Financial Statement for this information.

Provide the split of Staff and Volunteers **directly employed in housing**.

1.8 Notifiable Events

Is the Board aware of the requirement to alert the Regulation Office of notifiable events

Please select **Yes/No**

Guidance is available on the Regulation Office website.



PROPERTY INFORMATION

Property Information

Section 2: Property Information

AHB TO COMPLETE GREY BOXES ONLY

The Regulation Office requires total unit number as at 31st December 2019. Please ensure to scroll down and complete September 2020 section also.

AHBs should reference the Explanatory Note for step by step example on how to complete the below table if required.



Things to Consider

1. Number of units at 2019
2. Type of Units: Owned, Leased or Managed
3. Local Authority Area
4. Unit funding type
5. Units numbers should align with original funding type.
6. Number of units at September 2020

Location	Total Units	Owned	OWNED					Leased	LEASED			Managed	MANAGED		
			CAS	CLSS	Out Of Mortgage	P&A	Non State		From LA	Private	Other AHB		OBO LA	OBO Private	OBO OtherAHB
Cork City	0	0						0				0			
Cork County	0	0						0				0			
Donegal	0	0						0				0			
Dublin City	0	0						0				0			
Dun Laoghaire – Rathdown	0	0						0				0			
Fingal	0	0						0				0			
Galway City	0	0						0				0			
Galway County	0	0						0				0			
Kerry	0	0						0				0			
Kildare	0	0						0				0			
Kilkenny	0	0						0				0			
Laois	0	0						0				0			
Leitrim	0	0						0				0			
Limerick City & County	0	0						0				0			
Longford	0	0						0				0			
Louth	0	0						0				0			
Mayo	0	0						0				0			
Meath	0	0						0				0			
Monaghan	0	0						0				0			
Tipperary	0	0						0				0			
Offaly	0	0						0				0			
Roscommon	0	0						0				0			
Sligo	0	0						0				0			
South Dublin	0	0						0				0			
Waterford City & County	0	0						0				0			
Westmeath	0	0						0				0			
Wexford	0	0						0				0			
Wicklow	0	0						0				0			
TOTAL (31st December 2019)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Check	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

Please ensure this section is completed.

Summary Units	Actual YE 2019	30th September 2020	
Owned	0		Please provide the number of OWNED units at September 2020
Leased	0		Please provide the number of LEASED units at September 2020
Managed	0		Please provide the number of MANAGED units at September 2020
Totals	0	0	

Don't forget to scroll down and input the organisation's unit numbers at the 30th September 2020.

Section 2: Property Information (Unit Type)

2.2 Type of Unit

Of the units listed in Property Information, how many are:

Self-Contained Units?

Non-Self Contained Units

Number of properties:

AHB TO COMPLETE GREY BOXES ONLY

31st December 2019

30th September 2020

Note: we are looking for two sets of Data – **2019 & September 2020.**

A Self-contained unit has exclusive use of bath/shower and cooking facilities and a Non self-contained unit does not.

If the organisation has non self-contained units – input the number of properties these units are contained within.

The total number of self contained and non self contained units should match the total unit number in the Property Information Table.

Growth Plans

2.4 Growth/ Development Plans

AHBs that are planning to develop/add further units in the coming years are asked to provide the below information.

Does the organisation have plans to develop/add units?

Please select Yes/No

If Yes, please state number of planned units

	Projected 2020	Planned 2021	Planned 2022	Total Planned
CAS				0
Payment & Availability				0
Other' Funding				0
Leased				0
Managed				0
Total	0	0	0	0

If the organisation has indicated 'Other' funding, please provide details

AHBs should include the projected units they plan on delivering post September 2020.

AHB's total planned units for the 2020, 2021 and 2020 will automatically calculate here.

An AHB's growth plans is key information for the Regulation Office.

GOVERNANCE



This section requires all key information about the organisation's Governance

- Good governance is essential to the effective operation of organisations and the AHB sector
- We are seeking assurance that AHBs are well governed and that organisations have appropriate oversight, direction and control



Section 3: Governance

AHB to Complete Grey Boxes Only

3.1 The Board

Non-Executive means a non-paid member of the Board. An Executive member is any staff member of the AHB holding a position on the Board. AHBs solely managed and operated by volunteers are considered to have Non-Executive Board members.

Please state total Board Members/ Trustees as of 2019 and September 2020 respectively

How many times did the Board meet in 2019 and to September 2020?

Please state the date of the last AGM held

Does the Board have a suite of policies in place, including board membership and renewal, code of conduct, conflict of interest?

Does the Board have a Register of Interests in place?

When were these last reviewed and approved by the Board?

Does the Board have clarity regarding its roles and responsibilities?

Is the Board satisfied it is meeting the requirements of the Governance Standard for Tier 1 AHBs?

31st December 2019	30th September 2020
	Please select Yes/No
	Please select Yes/No
	Please select Yes/No
	Please select Yes/No

New this year - Director information for September 2020 – this should match CRO.

2019 information should match the number of directors listed on your Financial Statements.

Board Renewal & Succession Planning

3.2 Board Renewal & Succession Planning

How many current directors/ trustees have been on the Board for greater than 10 years?

How many directors/ trustees are anticipatee to retire in **2021/ next 12 months?**

Does the organisation have a succession plan in place for the Board?

Is the organisation actively seeking new directors?

Please select Yes/No
Please select Yes/No

New Section: Things to Consider

1. Is the Board aware of any skills gaps there may be on the Board?
2. Benefits of new input from new Board members.
3. Succession Planning helps the organisation progress and build on the important work you have done as volunteer directors.

Appropriate succession planning helps to ensure that any gaps in skills and expertise at board level are addressed.

Relationships with Other Organisations

3.4 Relationships with Other Organisations

Is your organisation part of a group structure, i.e. does it have a parent, subsidiary or sister entity?

Does the organisation have related parties?

What is the nature of the relationship?

Does the related party provide management, supports or services?

If yes, please provide details

Don't forget to provide
additional details

Is there appropriate documentation in place governing this arrangement?

If yes, please submit a copy with the Annual Return

Are there financial transactions/ interdependent liabilities between the related parties?

If yes, are there contractual arrangements in place relating to these transactions?

Are there common directors between the organisation and its related parties?

Is an employee of any related party on the Board or on a sub-committee of the AHB?

Is the organisation in receipt of funding from any public body (e.g. HSE, DRHE, TUSLA etc.)

Does that funding make up more than 50% of the organisations income?

Please select Yes/No

Please select Yes/No

Please select Yes/No

Please select Yes/No

Please select Yes/No

Please select Yes/No

Please select Yes/No

Please select Yes/No

Please select Yes/No

Please select Yes/No

Please provide as much additional information as possible.

Things to Consider

1. Where there are relationships between organisations these must be governed by formal written agreements.
2. Written agreements regarding these governance arrangements should be submitted with the ARR.

This is a requirement for all Tier 1 AHBs...

3.5 Risk Register

Tier 1 AHBs are required to have a Risk Register in place. A Risk Register is a tool used to manage and assess all potential risks that could affect the operations of the organisation. It is important that the Risk Register is reviewed and updated regularly to keep account of changing operational environments.

Does the organisation have a risk register?

Please select Yes/No

If yes, please submit a copy of the Risk Register

Don't forget to submit documentation where applicable

Things to Consider

1. Does not have to be extensive but should capture the key risks.
2. This should be a live document and kept up to date as risks progress.
3. The Charities Regulator has prepared some guidance which is available on their website.
4. This should be submitted with the ARR.

What are the key Risks to your organisation?.....are these risks reviewed regularly?

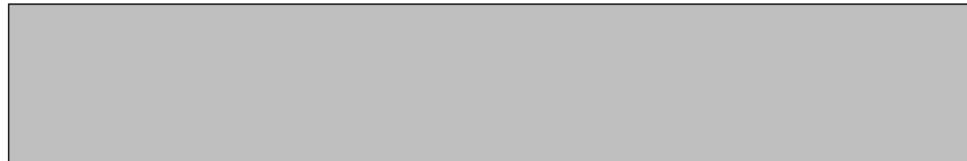
At end of the Governance Section, the AHB may add additional information regarding areas they will be reviewing over the next year and any additional commentary they wish....

3.6 Governance Commentary

Please outline any governance areas that the organisation will be reviewing over the next 12 months.



If the organisation wishes to provide additional commentary in relation to its governance it may do so here.



FINANCIAL & BUSINESS MANAGEMENT

This section requires all key information about the organisations Financial & Business Management

- We ask for a range of financial information so that we can understand the financial position of the AHB and its financial health
- We need to ensure the Government's investment in the AHB sector is managed effectively and that the social housing provided is available well into the future



Financial Statements & Management Accounts

4.1 Financial Statements & Management Accounts

Does the organisation have a full set of audited financial statements for financial year 2019?

Please provide a copy where the AHB does not file a full set of audited financial statements with the CRO.

If the organisation does not have full set of audited financial statements, please explain.

Please select Yes/No

Did the external auditor provide an Audit Management Letter in respect of 2019?

If Yes, please attach a copy alongside Annual Regulatory Return.

Please select Yes/No

Does the organisation have a set of Management Accounts?

If no, please provide an explanation.

Please select Yes/No

Things to Consider

1. Full Audited Financial Statements are key to the assessment process.
2. Abridged accounts do not enable a full review of financial viability.
3. **Submit full audited Financial statements with the ARR.**
4. If the organisation does not have a full set of Audited Financial Statements or Management Accounts, use the narrative boxes to provide an explanation.

Is it a condition for AHB status and the Code for full audited accounts to be made available.

4.2 Financial Management & Controls

Does the organisation complete an Annual Budget?

Please select **Yes/No**

Does the organisation have financial policies and procedures in place?

Please Select **Yes/No**

Does the organisation have segregation of duties relating to financial transactions?

Please select **Yes/No**

Is the Board satisfied with the arrangements relating to financial controls?

Please select **Yes/No**

This is a new section in this years ARR.

If you answer No, please provide an explanation in the commentary boxes provided.

Does the organisation have any concerns regarding its medium to long-term financials?

Please select **Yes/No**

If yes, please provide details.

At the end of the Finance Section, the AHB may add information regarding areas they will review in the next year & further details in relation to their financial management.....

4.5 Finance Commentary

Please outline any financial management and governance areas that the organisation will be reviewing in the next 12 months.

If the organisation wishes to provide any additional commentary in relation to its financial management, it may do so here.



PERFORMANCE MANAGEMENT

This section requires all key information about the organisations Performance Management

- We ask for a range of Performance Management information to seek assurance that properties are maintained, improved and repaired, rent collection, allocations and how tenancies are managed
- We are aware of the great work you and your organisations are doing looking after tenants and this section enables you to evidence this



Tenants and Service Users

5.1 **Tenants and Service Users**
Total Units at 30th September 2020: → This year we are looking for current information.

How many of the organisation's units have tenancies in place?

How many of the organisation's units have service user/ licensee agreements in place?

Where there is a service user/ licensee agreements in place, please provide further details.

Are all tenancies registered with the RTB?

If No, please provide explanation.

0

Please select Yes/No

The Performance section has a number of new questions this year.

Providing additional information as required is critical in this section.

Void Management, Rent Payment & Arrears

5.5 Void Management

2 Data sets this Year

Please state the total number of void properties

2019	2020

Please state the average length of voids in weeks

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Of the properties that were void at 31st December 2019 and 30th September 2020:

How many were void for:

0-6 weeks
6-12 weeks
12-26 weeks
26+ weeks

31st December 2019

30th September 2020

Please state the primary reasons for void properties

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5.6 Rent Payment & Arrears

Does the organisation charge rent?

Please select Yes/No

If No, please provide an explain

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What was the Total Amount of **RENT DUE**

What was the Total Amount of **RENT COLLECTED**

What was the Total Amount of **RENT ARREARS** owed to the organisation

Were there any rent arrears **WRITTEN OFF**

2019	2020
Please select Yes/No	Please select Yes/No

Things to Consider

- Provide as much information as you can!
- Avoid leaving sections blank.

5.10 Performance Management Commentary

Please outline any performance management areas that the organisation will be reviewing in the next 12 months.



If the organisation wishes to provide any additional commentary in relation to its performance management, it may do so here.



**OPINION
POLLS**

There are sufficient text boxes which enable you to provide more details.....don't forget to use them!

CHARTER OF COMMITMENT RENEWAL

Charter of Commitments Renewal



Voluntary Regulation Code - Charter of Commitments Renewal

for Approved Housing Bodies, valid from date of sign-off until 31st December 2021

Official Name of Approved
Housing Body

0

Tier Classification

Tier 1 AHB	YES	0-50 units with no development plans or development plans that keep the total under 50 units
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Confirmation of Charter of Commitment

We confirm that we will comply with the requirements set out in the Voluntary Regulation Code, appropriate to our organisational type. We are committed to reviewing our organisational practice against the Code on an annual basis.

Board Chairperson

Board Secretary

AHB to Complete Grey Boxes Only

The Charter of Commitment is required to be signed off on an annual basis. Completion of electronic signature provides confirmation of commitment to the Code

To complete the Charter of Commitments Renewal the organisation must provide a typed signature for both the Chairperson and Secretary.

Summary

- AHBs are asked to provide two sets of data – 2019 & September 2020
- More up to date information gives us a more current view
- It is key to provide as much additional information as possible
- Avoid leaving blanks where possible
- This is your opportunity to provide us with assurances regarding Governance, Finance and Performance
- Remember to submit additional documentation where required
- Last assessment under voluntary code – make the most of it!

Thank you for your time and
attention

.... Final questions.

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www.housingagency.ie/regulation

