

# Evidence guidelines

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## Introduction

Performance standards were established under section 93 of the *Housing Act* (the Act) and represent the standard of operation required of registered agencies while registered under the provisions of the Act.

The registered agency should note that compliance at all times with all standards, and the measures that apply to them, is mandatory.

The performance standards effective from 1 July 2014 replaced those gazetted under the Act on 8 August 2005. They combine the National Regulatory Code, developed as part of the National Regulatory System for Community Housing and specific aspects of the previous performance standards.

Performance standards and the Act seek to protect housing assets and ensure quality services to tenants by regulating well governed, well managed, financially viable registered agencies.

Failure to meet any measure of a standard may result in intervention under Division 8 of Part VIII of the Act where the Registrar is satisfied that intervention is appropriate in the circumstances and accords with the guidelines made by the Minister under section 130(3) of the Act.

These evidence guidelines support the performance standards. This publication lists the minimum documentation the Registrar expects to exist in any registered agency and will be reviewed as part of the assessment of a registered agency's compliance with performance standards. Agencies applying for registration are expected to provide sufficient evidence to demonstrate capacity to meet performance standards.

They are not exhaustive, and the agency may use additional business documentation to demonstrate compliance. If requested the registered agency must provide supporting evidence to show that performance standards have been met.

The Registrar will use the evidence guidelines when undertaking registration and ongoing monitoring and regulatory engagement. Registered agencies are required to provide evidence where there has been changes or revision of policies and procedures as part of ongoing regulation.

Assessments are undertaken in the context of the agency's business, with an understanding of the registered agency's scale and complexity and the associated risk. One of the principal mechanisms for measuring performance and improvement will be the registered agency's annual business plan and the measures of performance contained in that document.

The Registrar will determine whether an evidence source is relevant and used in an assessment. A registered agency may submit the required documentation, but it may be insufficient to demonstrate satisfactory performance, or documentation may be in an alternative form that results in the Registrar requiring additional evidence from the registered agency. The type of additional documentation that may be requested is also listed in this document.

# Performance outcome 1: Tenant and housing services

The community housing provider is fair, transparent and responsive in delivering housing assistance to tenants, residents and other clients particularly in relation to the following.

Performance requirements	Performance indicators	Evidence sources to demonstrate compliance
Determining and managing eligibility, allocation, and termination of housing assistance.	<p>The registered agency makes information about its tenancy management policies and procedures available in a variety of formats.</p>	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>• Tenant survey results and analysis undertaken at least every two years</li> <li>• Performance against performance standards</li> </ul> <p><b>May be requested</b></p> <ul style="list-style-type: none"> <li>• Documents printed in other languages</li> <li>• Access to interpreters</li> <li>• Evidence that significant change in policy and procedures has been communicated</li> <li>• Record of feedback from tenant and response or action taken</li> <li>• Tenancy packs</li> <li>• Brochures that are routinely provided to tenants</li> </ul>
	<p>The registered agency manages housing assistance in accordance with its policies and the legal and policy requirements.</p>	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>• Tenancy management KPMs e.g. allocations, turnover, evictions, turnaround time</li> <li>• Performance against performance standards</li> </ul> <p><b>May be requested</b></p> <ul style="list-style-type: none"> <li>• Complaints summary data</li> <li>• Nomination protocol/contractual requirements</li> </ul> <p><b>Other sources</b></p> <ul style="list-style-type: none"> <li>• DHHS feedback (compliance with funding agreements)</li> </ul>
	<p>The registered agency has developed policies about fair and equitable access and allocation of housing and strategies responsive to local needs to implement its policies.</p>	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>• Up to date tenancy management policy and procedures e.g. allocations, rent setting, changing needs</li> <li>• Performance against performance standards</li> </ul> <p><b>May be requested</b></p> <ul style="list-style-type: none"> <li>• Conflict of interest policies</li> <li>• Nomination protocol/contractual requirements</li> </ul> <p><b>Other sources</b></p> <ul style="list-style-type: none"> <li>• DHHS feedback (compliance with funding agreements)</li> </ul>

Performance requirements	Performance indicators	Evidence sources to demonstrate compliance
	<p>The registered agency's access and allocations policy is sensitive to clients with complex needs and low incomes and, to the extent permitted by other performance standards, ensures allocation of tenancies to this client group.</p>	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>Up to date tenancy management policy and procedures e.g. allocations, rent setting, changing needs, transfer policy,</li> <li>Performance against performance standards</li> </ul> <p><b>Other sources</b></p> <ul style="list-style-type: none"> <li>DHHS feedback (compliance with funding agreements)</li> <li>National Affordable Housing Agreement (NAHA) data</li> </ul>
	<p>The registered agency has policies and procedures which strive to sustain tenancies.</p>	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>Up to date tenancy management policy and procedures e.g. sustaining tenancies, arrears, rent setting, hardship, dealing with difficult behaviour</li> <li>Tenancy management KPMs e.g. tenancies maintained</li> <li>Performance against performance standards</li> </ul>
	<p>Enforced transfers are minimised and eviction is treated as a mechanism of last resort.</p>	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>Up to date tenancy management policy and procedures e.g. evictions, arrears, transfers</li> <li>Tenancy management KPMs e.g. evictions, transfers, tenancies maintained</li> <li>Performance against performance standards</li> </ul>
<p>Determining and managing rents.</p>	<p>The registered agency makes information about its policies and procedures to determine and manage rents available in a variety of formats.</p>	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>Performance against performance standards</li> </ul> <p><b>May be requested</b></p> <ul style="list-style-type: none"> <li>Documents printed in other languages or access to interpreters</li> <li>Evidence that significant change in policies and procedures have been communicated to tenants</li> <li>Copies of correspondence to tenants advising them of rent changes</li> <li>Tenancy packs</li> </ul>
	<p>The registered agency manages rent in accordance with the specific legal and policy requirements.</p>	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>Up to date tenancy management policy and procedures e.g. rent setting for different types of properties, allocation and arrears</li> <li>Performance against performance standards</li> </ul> <p><b>Other sources</b></p> <ul style="list-style-type: none"> <li>NAHA data</li> </ul>

Performance requirements	Performance indicators	Evidence sources to demonstrate compliance
	<p>The registered agency has policies and strategies to deliver housing services at affordable rents to low income tenants. The Registrar and registered agencies will monitor the extent to which rent charged is below 75 per cent of market rent and between 25 per cent and 30 per cent of tenant income (in compliance with the current affordable rent parameters).</p>	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>Up to date tenancy management policy and procedures e.g. rent setting, hardship and allocation</li> </ul> <p><b>Other sources</b></p> <ul style="list-style-type: none"> <li>NAHA data</li> </ul>
	<p>Policies developed by the registered agency under the preceding paragraph detail the method of assessing affordability, the treatment of Commonwealth Rent Assistance (CRA) in the assessment and the treatment of additional service charges if applicable.</p>	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>Up to date tenancy management policy and procedures e.g. rent setting, allocation and in particular the treatment of Commonwealth Rent Assistance (CRA)</li> </ul>
	<p>The registered agency has policies and strategies to deal with tenants in financial difficulties and with arrears of rent.</p>	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>Up to date tenancy management policy and procedures e.g. arrears, sustaining tenancies, hardship</li> <li>Tenancy management KPMs e.g. arrears</li> <li>Performance against performance standards</li> </ul> <p><b>May be requested</b></p> <ul style="list-style-type: none"> <li>Information that is provided to tenants to assist with rental arrears</li> </ul>
	<p>The registered agency has policies and strategies to ensure that service and other charges do not exceed fair market or actual charges.</p>	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>Up to date tenancy management policy and procedures where there has been a significant change</li> <li>Performance against performance standards</li> </ul>
<p>Setting and meeting relevant housing service standards.</p>	<p>The registered agency communicates and monitors what tenants and residents can expect from the service.</p>	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>Performance against performance standards</li> <li>Tenant Surveys</li> </ul> <p><b>May be requested</b></p> <ul style="list-style-type: none"> <li>Annual report</li> <li>Newsletters</li> <li>Tenancy packs</li> <li>Service charter</li> </ul>
	<p>The registered agency provides safe, secure and affordable housing, managed in accordance with requirements of the <i>Residential Tenancies Act 1997</i>.</p>	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>Up to date tenancy management policy and procedures e.g. rent setting, complaints, evictions</li> <li>Performance against performance standards</li> </ul>

Performance requirements	Performance indicators	Evidence sources to demonstrate compliance
Supporting tenant and resident engagement;	The registered agency involves tenants and residents in the planning and delivery of housing services in a variety of accessible ways.	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>Up to date tenant engagement policies and procedures</li> <li>Community engagement strategy or similar document that details how the agency involves tenants in the planning and delivery of services</li> <li>Performance against performance standards</li> </ul> <p><b>May be requested</b></p> <ul style="list-style-type: none"> <li>Records of tenant engagement/initiatives and outcomes</li> <li>Newsletters</li> </ul>
	The registered agency promotes appropriate opportunities for tenants and residents to be involved in their community.	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>Up to date tenant engagement policies and procedures e.g. sign up procedure</li> <li>Community engagement strategy or similar document that details how the agency promotes opportunities for tenants to be involved in their community</li> <li>Performance against performance standards</li> </ul> <p><b>May be requested</b></p> <ul style="list-style-type: none"> <li>Copies of any communication to tenants of opportunities to be involved in the community</li> <li>Tenancy packs</li> </ul>
	The registered agency obtains feedback from tenants and residents on its services and consults with them on proposals that will affect them.	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>Performance against business plan</li> <li>Performance against performance standards</li> <li>Tenant survey results</li> </ul> <p><b>May be requested</b></p> <ul style="list-style-type: none"> <li>Records that demonstrate tenants' engagement</li> <li>Providing feedback is easy to locate on agency website</li> </ul>
	The registered agency has identified the standards of performance it will achieve in tenant and housing services.	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>Business plan</li> <li>Performance against business plan</li> <li>Performance against performance standards</li> </ul> <p><b>May be requested</b></p> <ul style="list-style-type: none"> <li>Management reports (review of internal KPIs set by the board)</li> <li>Staff key performance measures</li> <li>Service charter</li> </ul>

Performance requirements	Performance indicators	Evidence sources to demonstrate compliance
	The dispute resolution procedure the registered agency has established under Section 97 of the Act is easily accessible by tenants and prospective tenants and provides for prompt and effective resolution of complaints.	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>Up to date complaints management policy and procedure Tenancy management KPM's e.g. complaints</li> <li>Performance against performance standards</li> </ul>
	The registered agency accepts and deals appropriately with client advocates.	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>Up to date complaints management policy and procedure</li> <li>Tenancy management KPMs e.g. complaints</li> <li>Performance against performance standards</li> </ul> <p><b>May be requested</b></p> <ul style="list-style-type: none"> <li>Complaints brochure</li> </ul>
Facilitating access to support for social housing applicants and tenants with complex needs.	The registered agency establishes and maintains arrangements that are adequate to ensure tenants and residents with support needs receive appropriate support, if relevant and where available, to maintain their tenancies.	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>Up to date support facilitation policies and procedures</li> <li>Performance against performance standards</li> </ul> <p><b>May be requested</b></p> <ul style="list-style-type: none"> <li>Formal support partnership agreements</li> </ul>
Managing and addressing complaints and appeals relating to the provision of housing services.	Information is readily available and promoted to tenants on complaints and appeals.	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>Information on how to lodge a complaint is included on the agency's website.</li> </ul> <p><b>May be requested</b></p> <ul style="list-style-type: none"> <li>Communication to tenants</li> <li>Tenancy packs</li> <li>Date the complaints policy and procedure was last updated</li> </ul>
	The registered agency manages complaints and appeals promptly and fairly.	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>Up to date complaints policies and procedures</li> <li>Tenancy management KPMs e.g. complaint resolution time</li> <li>Performance against performance standards</li> </ul>
	The registered agency regularly monitors the effectiveness of the complaints and appeals system.	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>Sample complaints register</li> <li>Performance against performance standards</li> </ul> <p><b>May be requested</b></p> <ul style="list-style-type: none"> <li>Evidence of complaints being reported to the board or relevant sub-committee</li> </ul>

<b>Performance requirements</b>	<b>Performance indicators</b>	<b>Evidence sources to demonstrate compliance</b>
Maintaining satisfaction with the overall quality of housing services.	The registered agency maintains a satisfactory level of tenant and resident satisfaction.	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>● Survey results</li> <li>● Performance against performance standards</li> </ul> <p><b>May be requested</b></p> <ul style="list-style-type: none"> <li>● Records of tenant consultation and actions taken as a result</li> <li>● Complaints summary data</li> </ul>

## Performance outcome 2: Housing assets

The registered agency manages its assets in a manner that ensures suitable properties are available now and into the future, particularly in relation to the following.

Performance requirements	Performance indicators	Evidence sources to demonstrate compliance
Determining changing housing needs and planning asset acquisitions, disposals and reconfiguration to respond (strategic asset management).	The registered agency plans for how it will manage its housing assets to optimise outcomes on financial investment, service delivery and meeting housing needs.	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>Up to date asset management policies and procedures e.g. asset planning, undertaking property condition surveys, inspections</li> <li>Business plan</li> <li>Financial performance report</li> <li>Asset management plan (agencies with responsibility for maintenance)</li> <li>Risk register and management plan (Housing Associations (HAs))</li> </ul> <p><b>May be requested</b></p> <ul style="list-style-type: none"> <li>Risk register and management plan (Housing Providers (HPs))</li> </ul>
Setting and meeting relevant property condition standards.	The registered agency manages community housing assets in accordance with the specific legal and policy property condition requirements relevant in Victoria.	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>Up to date asset management policies and procedures e.g. setting and meeting property condition standards</li> <li>Performance against performance standards</li> <li>Notification of relevant events via the 'reportable events' process that relate to the property condition</li> </ul> <p><b>May be requested</b></p> <ul style="list-style-type: none"> <li>Board reports against the asset management plan</li> <li>Reports or summaries from property condition reviews</li> </ul> <p><b>Other sources</b></p> <ul style="list-style-type: none"> <li>Substantiated complaints to the Housing Registrar relating to property condition</li> </ul>
Housing stock acquired meets building standards before being offered for occupation by tenants.		<p><b>Requested Information</b></p> <ul style="list-style-type: none"> <li>Up to date copies of asset management policies and procedures e.g. vacant maintenance procedure, sign up procedure</li> </ul>
	The registered agency maintains an accurate and current list of the properties it owns and manages.	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>Up to date copies policies and procedures that provide evidence of the internal procedure for ensuring the Housing Registrar asset list is updated within the prescribed timeframes</li> <li>Asset list updated within 14 days of any acquisition or disposal</li> <li>Asset list reconciled by 30 June each year</li> </ul>

Performance requirements	Performance indicators	Evidence sources to demonstrate compliance
	<p>The registered agency seeks consensual agreement with tenants in relation to access to properties that do not compromise tenants' rights under the <i>Residential Tenancies Act 1997</i>.</p>	<p><b>Requested Information</b></p> <ul style="list-style-type: none"> <li>Up to date copies of tenancy management policies and procedures e.g. inspection procedure</li> </ul>
<p>Planning and undertaking responsive, cyclical and life-cycle maintenance to maintain property conditions (asset maintenance).</p>	<p>The registered agency (commensurate with its responsibilities) ensures:</p> <ul style="list-style-type: none"> <li>properties are well maintained;</li> <li>maintenance is undertaken in a timely manner; and</li> <li>maintenance work is undertaken by suitably qualified staff/contractors/consultants.</li> </ul>	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>Up to date asset management policies and procedures e.g. undertaking maintenance, contractor inductions</li> <li>Financial performance report</li> <li>Complaints summary data</li> <li>Housing maintenance KPMs e.g. works completed, maintenance turnaround times</li> <li>Performance against performance standards</li> <li>Notification of relevant events via the 'reportable events' process that relate to maintenance</li> </ul> <p><b>May be requested</b></p> <ul style="list-style-type: none"> <li>Reports on performance against the asset management plan</li> <li>Maintenance forecast where not already included in the asset management plan or financial performance report</li> </ul> <p><b>Other sources</b></p> <ul style="list-style-type: none"> <li>Substantiated complaints to the Housing Registrar relating to maintenance</li> </ul>
<p>Planning and delivering its housing development program (asset development).</p>	<p>The registered agency plans, monitors and reviews its development program to ensure effective and efficient delivery of new housing.</p>	<p><b>Requested information (for agencies undertaking development)</b></p> <ul style="list-style-type: none"> <li>Up to date copies of asset management policies and procedures e.g. planning and undertaking new developments</li> <li>Business plan</li> <li>Asset management plan (agencies with responsibility maintenance)</li> <li>Risk register and management plan</li> <li>Half yearly financials where required</li> <li>Financial performance report</li> <li>Performance against performance standards</li> <li>Performance against business plan</li> </ul> <p><b>May be requested</b></p> <ul style="list-style-type: none"> <li>Leverage commitments</li> <li>Industry partnership engagements, contracts and agreements</li> <li>Debt financing arrangements and covenants</li> <li>Capital structure</li> </ul>

## Performance outcome 3: Community engagement

The registered agency works in partnership with relevant organisations to promote community housing and to contribute to socially inclusive communities, specifically in relation to the following.

Performance requirements	Performance indicators	Evidence sources to demonstrate compliance
Promoting community housing to local organisations that work with potential residents, tenants or clients, and agencies.	The registered agency engages with relevant organisations using appropriate communication tools to promote community housing and benefits of partnership.	<p><b>Requested information</b></p> <ul style="list-style-type: none"><li>Up to date copies of community engagement policies and procedures</li><li>Community engagement strategy or similar document that details how the agency works with other organisations to promote community housing</li></ul> <p><b>May be requested</b></p> <ul style="list-style-type: none"><li>Newsletters/ surveys and other marketing information</li><li>Partnership arrangements with support agencies and other service providers</li></ul>
Contributing to place renewal and social inclusion partnerships and planning relevant to the agency's community housing activities.	The registered agency works with others to maximise positive economic and social outcomes for tenants and the community through place renewal.	<p><b>Requested information</b></p> <ul style="list-style-type: none"><li>Up to date copies of community engagement policies and procedures</li><li>Community engagement strategy or similar document that details how the agency works with other organisations to improve outcomes for tenants</li></ul> <p><b>May be requested</b></p> <ul style="list-style-type: none"><li>Newsletters/ surveys and other marketing information</li><li>Partnership arrangements</li><li>Records of tenant engagement</li><li>Record of feedback from tenant surveys</li></ul>
	The registered agency works with others to maximise positive economic and social outcomes for tenants and the community through social inclusion.	<p><b>Requested information</b></p> <ul style="list-style-type: none"><li>Up to date copies of community engagement policies and procedures</li><li>Community engagement strategy or similar document that details how the agency works with other organisations to improve outcomes for tenants</li></ul> <p><b>May be requested</b></p> <ul style="list-style-type: none"><li>Newsletters/ surveys and other marketing material</li><li>Partnership arrangements</li><li>Records of tenant engagement</li><li>Record of feedback from tenant surveys</li></ul>

## Performance outcome 4: Governance

The registered agency is well-governed to support the aims and intended outcomes of its business, specifically in relation to the following.

Performance requirements	Performance indicators	Evidence sources to demonstrate compliance
Ensuring coherent and robust strategic, operational, financial and risk planning.	<p>The governing body sets and implements its strategic directions and scrutinises performance using:</p> <ul style="list-style-type: none"> <li>• business planning;</li> <li>• financial planning;</li> <li>• risk management planning; and</li> <li>• business continuity planning.</li> </ul>	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>• Up to date constitution, charter or equivalent Business plan</li> <li>• Updated governance structure and governance policies and procedures</li> <li>• Terms of reference of board sub-committees</li> <li>• Financial performance report</li> <li>• Risk register and management plan (HAs)</li> </ul> <p><b>May be requested</b></p> <ul style="list-style-type: none"> <li>• Annual General Meeting minutes and reports</li> <li>• Certification or accreditation of the provider relating to recognised standards, where relevant</li> <li>• Business continuity plan</li> <li>• Risk register and management plan (HPs)</li> </ul>
	The governing body provides effective control of related party arrangements (for example, through a group structure agreement, service level agreement, partnership agreement, or contract).	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>• Affiliated entity arrangements*</li> <li>• Company structure including board and CEO arrangements (where related parties/group structure exists)</li> </ul> <p><b>May be requested</b></p> <ul style="list-style-type: none"> <li>• Joint venture agreements where this exists</li> <li>• Partnership agreements where this exists</li> <li>• Service level agreement where this exists</li> <li>• Related party contracts where these exist</li> <li>• Trust deeds where these exist</li> <li>• Leases, service agreements, contracts where these exist with external parties</li> </ul> <p>* Note:</p> <p>Affiliated entity arrangements need to appropriately address:</p> <ul style="list-style-type: none"> <li>• relevant corporations law in relation to directors' duties and exposure to liabilities in relation to non-wholly owned subsidiaries</li> <li>• actual or perceived conflicts of interest and conflicts of duty in the board's decision making where there are shared directors or executives</li> <li>• protocols for managing directors' duties and the sharing of information in accordance with relevant corporations law the independence of the chairperson (non-employee of the provider or affiliated entities)</li> <li>• appropriate balance between independent directors and executive directors</li> </ul>

Performance requirements	Performance indicators	Evidence sources to demonstrate compliance
		<ul style="list-style-type: none"> <li>clear and transparent policies and/or agreements on affiliated entity arrangements where contracting or sharing services that are relevant to achieving performance outcomes under the Performance Standards</li> <li>corporations law requirements (particularly in relation to shadow directors, insolvent trading scheme, and consolidated financial reporting)</li> <li>risks in relation to reputation, governance, corporate entity and financial</li> </ul>
	<p>Where any aspect of the management of the registered agency's business or functions is outsourced, the registered agency ensures that the entity to which the business or functions are outsourced complies with these performance standards and with the registered agency's policies to the extent they apply to the business or functions outsourced.</p>	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>Up to date copies of board policies e.g. outsourcing of agency business, procurements, managing conflict of interest</li> <li>Performance against performance standards</li> </ul> <p><b>May be requested</b></p> <ul style="list-style-type: none"> <li>Outsource agreements (identified through engagement with agencies)</li> <li>Contractor induction procedure</li> </ul>
<p>Ensuring effective, transparent and accountable arrangements and controls are in place for decision making to give effect to strategic, operational, financial and risk plans.</p>	<p>The registered agency operates in accordance with a code of governance, consistent with the ASX Corporate Governance Principles, including in relation to:</p> <ul style="list-style-type: none"> <li>the roles and responsibilities of the governing body and sub-committees;</li> <li>decision making processes;</li> <li>managing conflicts of interest;</li> <li>internal business compliance; and</li> <li>the selection and performance of the Chief Executive Officer.</li> </ul>	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>Current schedule of delegations</li> <li>Business plan</li> <li>Up to date governance, policies and procedures e.g. conflict of interest, decision making, ensuring internal compliance, selection and appraisal of CEO</li> <li>Risk register and management plan (HAs)</li> <li>Up to date board structure and associated committees*</li> <li>Terms of reference for board sub committees where they exist</li> </ul> <p><b>May be requested</b></p> <ul style="list-style-type: none"> <li>Conflict of interest register or record</li> <li>Board and sub-committee papers</li> <li>Risk register and management plan (HPs)</li> </ul> <p><b>* Note</b></p> <ul style="list-style-type: none"> <li>Independent chairperson (non-employee of the provider or affiliated entities)</li> </ul>
<p>Complying with legal requirements and relevant government policies</p>	<p>The registered agency has a system in place to ensure compliance with all applicable legal requirements and relevant government policies.</p>	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>Risk register and management plan (HAs)</li> </ul> <p><b>May be requested</b></p> <ul style="list-style-type: none"> <li>A register that lists all relevant compliance requirements</li> <li>Compliance plan/schedule</li> <li>Internal audit report</li> <li>Risk register and management plan (HPs)</li> </ul>

Performance requirements	Performance indicators	Evidence sources to demonstrate compliance
	<p>The registered agency's core purpose, mission and values are aligned with the provision of affordable housing and the agency acts at all times in accordance with its core purpose.</p>	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>● Constitution</li> <li>● Performance against performance standards</li> <li>● Performance against business plan</li> </ul>
<p>Ensuring that the governing body has members with appropriate expertise or that such is available to the governing body.</p>	<p>The registered agency has fair and transparent processes in place to ensure the governing body has members with, or access to, an appropriate range of skills and knowledge to deliver on its business plan and manage the risks in its business, including in relation to, where undertaken:</p> <ul style="list-style-type: none"> <li>● recruitment and selection;</li> <li>● induction;</li> <li>● professional development;</li> <li>● succession;</li> <li>● engaging external expertise;</li> <li>● remuneration; and</li> <li>● performance assessment of the governing body.</li> </ul>	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>● Up to date governance policies and procedures e.g. appointment of board members, induction and development, remuneration and performance appraisal</li> <li>● Business plan</li> <li>● Board member profiles</li> <li>● Risk Register and management plan (HAs)</li> </ul> <p><b>May be requested</b></p> <ul style="list-style-type: none"> <li>● AGM minutes</li> <li>● Governing body induction and training plan</li> <li>● Risk register and management plan (HPs)</li> </ul>

## Performance outcome 5: Probity

The registered agency maintains high standards of probity relating to the business of the provider, specifically in relation to the following.

Performance requirements	Performance indicators	Evidence sources to demonstrate compliance
Establishing and administering a code of conduct.	<p>The registered agency has a code of conduct designed (or is supported by additional policies and procedures) to ensure it maintains high standards of probity, including in relation to:</p> <ul style="list-style-type: none"> <li>● whistle blowing;</li> <li>● conflict of interest;</li> <li>● gifts and hospitality;</li> <li>● procurement;</li> <li>● preventing exploitation of knowledge or information about the affairs of the agency for personal financial gain; and</li> <li>● observing the confidentiality of the registered agency's business transactions and the privacy of individuals dealing with the registered agency.</li> </ul>	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>● Up to date code of conduct</li> <li>● Up to date probity policies and procedures where there has been significant change</li> </ul> <p><b>May be requested</b></p> <ul style="list-style-type: none"> <li>● Conflict of interests register or records</li> <li>● Gift register or records</li> <li>● Records of relevant governing body and staff training</li> <li>● Procurement records</li> </ul>
Establishing and administering a system of employment and appointment checks.	<p>The registered agency conducts checks for governing body members, employees, volunteers and agents commensurate with the requirements of the position, including in relation to relevant:</p> <ul style="list-style-type: none"> <li>● referees and previous employment;</li> <li>● criminal record;</li> <li>● bankruptcy;</li> <li>● working with children; and</li> <li>● working with aged.</li> </ul>	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>● Up to date human resources policies and procedures</li> </ul> <p><b>May be requested</b></p> <ul style="list-style-type: none"> <li>● Evidence of checks being carried out</li> </ul>
Establishing and administering a system for preventing, detecting, reporting on, and responding to, instances of fraud, corruption and criminal conduct.	<p>The registered agency's system is consistent with good practice established by relevant anti-fraud, anti-corruption and anti-crime agencies and professional standards bodies.</p>	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>● Up to date policies and procedures relating to fraud or criminal behaviour e.g. probity, gifts, whistleblower</li> <li>● Up to date code of conduct for board and staff</li> <li>● Reportable event notification where this has occurred and/or is alleged / being investigated</li> </ul> <p><b>May be requested</b></p> <ul style="list-style-type: none"> <li>● Information on audit trails in the IT systems used by the agency</li> <li>● Reports on outcomes of internal investigations conducted by an agency</li> </ul>

Performance requirements	Performance indicators	Evidence sources to demonstrate compliance
Maintaining the reputation of the community housing sector.	The registered agency notifies the Registrar of any incident related to its operations (and its response) that damages or has the potential to damage the reputation of the community housing sector.	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>• Risk register and management plan (HAs)</li> <li>• Reportable event notification where this has occurred and/or is alleged / being investigated</li> </ul> <p><b>May be requested</b></p> <ul style="list-style-type: none"> <li>• Reports on outcomes of internal investigations conducted by an agency</li> <li>• Relevant committee meeting minutes</li> <li>• Risk register and management plan (HPs)</li> </ul>
	Decisions relating to the business and functions of the registered agency must be made ethically and conform to the registered agency's code of conduct.	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>• Updated code of conduct</li> <li>• Schedule of delegations</li> </ul> <p><b>May be requested</b></p> <ul style="list-style-type: none"> <li>• Board and subcommittee meeting papers and minutes</li> </ul>

## Performance outcome 6: Management

The registered agency manages its resources to achieve the intended outcomes of its business in a cost-effective manner, specifically in relation to the following.

Performance requirements	Performance indicators	Evidence sources to demonstrate compliance
Demonstrating it utilises its assets and funding to meet business goals.	The business planning process includes an assessment of costs and returns on assets and funding to meet its business goals.	<b>Requested information</b> <ul style="list-style-type: none"> <li>Business plan</li> <li>Financial performance report</li> <li>Annual audited financial statements</li> </ul> <b>May be requested</b> <ul style="list-style-type: none"> <li>Scenario planning or stress testing</li> <li>Strategic/development/growth plan</li> </ul>
	The registered agency generates and utilises surplus to achieve its business goals.	<b>Requested information</b> <ul style="list-style-type: none"> <li>Business plan</li> <li>Performance against business plan</li> <li>Financial performance report</li> <li>Annual audited financial statements</li> </ul> <b>May be requested</b> <ul style="list-style-type: none"> <li>Strategic/development/growth plan</li> <li>Scenario planning or stress testing</li> </ul>
Implementing appropriate management structures, systems, policies and procedures to ensure the operational needs of its business can be met (including having people with the right skills and experience and the systems and resources to achieve the intended outcomes of its business).	The registered agency's management structure, systems, policies and procedures are fit-for-purpose.	<b>Requested information</b> <ul style="list-style-type: none"> <li>Up to date policies and procedures e.g. staff recruitment, resource planning and information management systems</li> <li>Business plan</li> <li>Current organisational structure</li> <li>Risk register and management plan (HAs)</li> </ul> <b>May be requested</b> <ul style="list-style-type: none"> <li>Profiles of senior staff</li> <li>Staff induction and training information</li> <li>Risk register and management plan (HPs)</li> </ul>
	The registered agency must be managed effectively to achieve the outcomes of its business plan in a timely manner and within a continuous improvement framework.	<b>Requested information</b> <ul style="list-style-type: none"> <li>Business plan</li> <li>Financial performance report</li> <li>Performance against performance standards</li> <li>Performance against business plan</li> </ul> <b>May be requested</b> <ul style="list-style-type: none"> <li>Quality improvement plan</li> </ul>

Performance requirements	Performance indicators	Evidence sources to demonstrate compliance
	<p>The registered agency has privacy policies that comply with the Information Privacy Principles contained in the <i>Information Privacy Act 2000</i> and has strategies to ensure that tenants' privacy is maintained with respect to disclosure within the registered agency and to third parties.</p>	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>Up to date privacy policies</li> <li>Reportable event notification where privacy has been breached or is alleged to have been breached</li> </ul> <p><b>May be requested</b></p> <ul style="list-style-type: none"> <li>Privacy brochure</li> <li>Reports on outcomes of internal investigations conducted by an agency</li> </ul>
	<p>The business plan identifies:</p> <ul style="list-style-type: none"> <li>strategies to sustain, expand and develop its housing portfolio including leverage on its portfolio through such avenues as private investment, philanthropic agencies, and local government participation;</li> <li>strategies to optimise rent collection and recovery; and</li> <li>a plan for continuous improvement of its functions and services.</li> </ul>	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>Business plan</li> <li>Performance against performance standards</li> <li>Performance against business plan</li> <li>Asset management plan (agencies with responsibility for maintenance)</li> </ul> <p><b>May be requested</b></p> <ul style="list-style-type: none"> <li>Quality improvement plan</li> </ul>
	<p>The business plan is reviewed as required by the Registrar.</p>	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>Business plan</li> <li>Performance against business plan</li> <li>Performance against performance standards</li> </ul>
	<p>The registered agency meets mandatory verifiable measures of performance as agreed with the Registrar.</p>	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>KPM's submitted by 31 August each year</li> <li>Financial performance report</li> </ul>
	<p>Reports required to be produced to the Registrar or to the relevant regulatory body are provided when due and represent an accurate and balanced account of the matters reported.</p>	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>Performance against performance standards</li> <li>Audited financial accounts</li> <li>Annual declarations</li> <li>Up to date policies and procedures</li> <li>Business plan</li> <li>Up to date agency register and asset list</li> <li>KPMs</li> <li>Complaints summary data</li> <li>Financial performance report</li> <li>Reportable event notifications</li> <li>Half yearly financials where required</li> </ul>

## Performance outcome 7: Financial viability

The registered agency is financially viable at all times, specifically in relation to the following.

Performance requirements	Performance indicators	Evidence sources to demonstrate compliance
Ensuring a viable capital structure.	The registered agency monitors and manages its capital structure to achieve its business goals.	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>● Business plan</li> <li>● Annual audited financial reports</li> <li>● Financial performance report</li> <li>● Half yearly financial reports where required</li> <li>● Performance against performance standards</li> <li>● Reportable event notification where any intercompany related transactions have occurred</li> </ul> <p><b>May be requested</b></p> <ul style="list-style-type: none"> <li>● Audit management letter for the most recent financial year (where they have been issued)</li> <li>● Debt financing arrangements and covenants</li> <li>● Treasury management policy</li> </ul>
Maintaining appropriate financial performance.	The registered agency monitors and manages its financial performance to achieve its business goals.	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>● Business plan</li> <li>● Financial performance report</li> <li>● Audited financials accounts</li> <li>● Performance against performance standards</li> <li>● Half yearly financials where required</li> <li>● Risk register and management plan (HAs)</li> </ul> <p><b>May be requested</b></p> <ul style="list-style-type: none"> <li>● Audit management letter for the most recent financial year (where they have been issued)</li> <li>● Reports on scenario testing</li> <li>● Debt financing arrangements and covenants</li> <li>● Risk register and management plan (HPs)</li> </ul>
	The registered agency has policies and strategies to minimise prolonged vacancies in housing stock and loss of rental income.	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>● Up to date tenancy management and assets management policies e.g. vacant maintenance, managing insurance claims and abandoned goods</li> <li>● Tenancy Management KPMs e.g. turnaround times, void loss</li> <li>● Financial performance report</li> <li>● Half yearly financial reports where required</li> <li>● Audited financial accounts</li> <li>● Performance against performance standards</li> <li>● Asset management plan (agencies with responsibility for maintenance)</li> </ul>

Performance requirements	Performance indicators	Evidence sources to demonstrate compliance
	<p>The registered agency submits financial and other reports relevant to its ongoing viability and business operations in the form and reporting timeframe determined by the Registrar.</p>	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>● Financial performance report</li> <li>● Half-yearly financial reports where required</li> <li>● Audited financial accounts</li> <li>● Performance against performance standards</li> <li>● Reportable event notification relating to ongoing financial viability which may have an impact on an agency's ongoing viability</li> </ul>
<p>Managing financial risk exposure.</p>	<p>The registered agency monitors and manages its financial risk exposure to protect its financial interests and the interests of investors.</p>	<p><b>Requested information</b></p> <ul style="list-style-type: none"> <li>● Business plan</li> <li>● Financial performance report</li> <li>● Half-yearly financial reports where required</li> <li>● Audited financial accounts</li> <li>● Risk register and management policy (HAs)</li> <li>● Performance against performance standards</li> </ul> <p><b>May be requested</b></p> <ul style="list-style-type: none"> <li>● Cash management policy</li> <li>● Delegations of authority document</li> <li>● Reports on scenario testing</li> <li>● Debt financing arrangements and covenants</li> <li>● Treasury management policy</li> <li>● Intercompany related transactions</li> <li>● Risk register and management plan (HPs)</li> </ul>



