



YOU ARE INVITED TO ATTEND A MEETING OF
THE BOARD OF PHOENIX COMMUNITY HOUSING
VENUE: THE GREEN MAN
355 Bromley Road, London SE6 2RP
TIME: 6.30PM – 9.00PM
DATE: 30 MAY 2019

**THERE WILL BE A PRE-BOARD BRIEFING
ON SAFEGUARDING 5.30PM – 6.15PM**

**The first Item to be discussed at 6.30pm
will be declarations of interest then item
No. 17, 9-11 Rushey Green from the
Confidential Board Papers**

OUR VISION

“To work together to build a better future for our Phoenix community”

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To build a better future for our Phoenix Community and embrace our gateway model of resident leadership and membership we need to build new homes and ensure our community is supported through physical and community regeneration activities.

To achieve this we will deliver excellent services being innovative and efficient, so Phoenix remains sustainable and we achieve our vision.

The Board has set four strategic priorities to support our vision:

1. Resident leadership and membership.
2. Excellent services, efficiently delivered with empathy and fun.
3. Growth in new homes and opportunities.
4. Sustainability-for our business and our community.

The four strategic objectives feed into one another. This is illustrated below:

Strategic Priorities in corporate Plan



WHAT WILL WE AIM TO ACHIEVE BY 2020

To guide the setting of annual corporate priorities our Board has set long term success factors to support the vision and our four strategic objectives.

1. Resident leadership and membership

- Residents, tenants, staff, other customers and stakeholders want to join Phoenix.
- We inspire others through the way we work and our model of resident leadership and involvement.
- Our organisation is innovative, responding and adapting to change and our governance structures are robust.
- We enable or run events that bring the whole community together and we use these events to help set our plans and improve our services.
- Most of our tenants are gold members.
- We have a clear Phoenix brand identifiable by residents, customers and stakeholders.

2. Excellent services, efficiently delivered with empathy and fun

- We maximise our contact with residents and customers to improve our services and find out more about their aspirations.
- Tenant satisfaction has been maintained at over 80% and we aim to achieve top quartile when compared to our peers. Leasehold satisfaction has improved.
- Our relationship with leaseholders has improved and they have influenced the services they receive.
- We work in collaboration and partnership with a range of organisations to meet the needs of our residents so that everyone in our community has a home that's right for them and has someone they can turn to.
- We have adapted our services to meet the needs of the different groups of residents and customers we serve.
- We have reprocured or changed the way we deliver our grounds maintenance service.
- We have programmed works and improvements to maintain our decent homes standard and our estates. All residents (leaseholders and tenants) know when to expect future works and have been able to influence the scope and programming of them.
- Most of our routine transactions are available to complete electronically and we produce less paper.

3. Growth in new homes and opportunities

- We have grown by the development of new homes and services. The new homes we have built are a range of tenures (including outright sale) to increase the homes we can build for low cost rent.
- The Fellowship has opened and is a flagship arts and music hub in our area.

- Hazelhurst Court is open and we have explored other areas of potential growth in providing services to older people, (homes and services, including equity release for older leaseholders).
- We provide services to other organisations and share services with others whose aims we support
- We have piloted and reviewed a private lettings management scheme.
- The Phoenix Repairs Service has added value to Phoenix and reached its growth aspirations by providing services to others (for example to private owners).
- We have maximised the opportunity to regenerate areas where we build new homes and have obtained income for community investment activities.

4. Sustainability-for our business and our community

- We have met our regulatory and legal obligations.
- We are confidently solvent (financially secure and viable in the long term).
- We have reduced our operating costs and maximised the efficiency of all our services to a level which is above the median when compared to our peers.
- The revenue streams for all our core landlord services have been protected.
- We have the finance in place to deliver our development plans.
- We have delivered a range of projects directly and through partners to regenerate our area and support our communities.
- We have maximised the social value from our services and through our contractors and partners.
- Our carbon footprint has reduced and we are working to achieve a minimum SAP* (Standard Assessment Procedure) for all our homes.
- We have a stable confident workforce that has grown to support a more diverse business and is one others want to join.
- We have maintained Investors in People gold and aim to achieve platinum in the future reflecting our investment in our staff and their contribution in delivering the performance, culture and values of our organisation.

*SAP is the methodology used by the Government to assess and compare the energy and environmental performance of homes.

Corporate Priorities 2019-20

Every year we review the corporate priorities we need to deliver our vision:

1. Resident leadership and membership

- Strengthen our business by making governance, service improvements and efficiencies based on resident insight and scrutiny, good practice and changes to our operating and regulatory framework.
- Respond to our resident satisfaction surveys and insight to improve services and increase resident satisfaction. (Added March 2019).
- Steered by residents start to deliver our refreshed Community Engagement Strategy for 2019-2022.
- Continue to promote and increase membership for residents and staff and maximise the ways our Gold Membership scheme adds value to members and our business.
- Deliver and refine our Communication Strategy to set out how we communicate with our residents as well as how we celebrate our successes and raise our internal and external profile so people want to join us or adopt our ways of working.

2. Excellent services, efficiently delivered with empathy and fun

- Maintain and improve customer experience for all our customers.
- In response to leaseholder feedback enhance the opportunities for leaseholders to influence our promises, expectations and plans for improvement and make sure they are delivered across Phoenix.
- Continue to deliver our project to implement customer relationship and electronic document management systems to maximise efficiency, deliver “Digital by Choice” options and improve customer experience.
- Deliver priorities for Equality, Diversity and Community Integration (cohesion) and set targets so we know who our residents and staff are and can adapt our services to meet their changing needs help build sustainable communities in our area.
- Plan and deliver our major works programmes so our homes continue to meet our decent homes standard and our community shapes our plans.

3. Growth in new homes and opportunities

- Deliver our approved development plans to build new homes tackling homelessness and housing need in our area as set out in our Development Strategy, including buying back homes to repair and rent at London affordable rent levels.
- Consulting and involving our residents and other stakeholders improve our community as a place to live through environmental works and leveraging in funding and support to strengthen our community.
- Monitor the delivery of our repairs service through Phoenix Repairs Services to ensure it increases resident satisfaction and adds value to Phoenix, through social value and efficiencies. Support it to deliver its aspirations to be the preferred maintenance provider for Phoenix.
- Review our community resources to assess how they can be used to maximise their benefits to the local community.
- Explore new business opportunities to increase our services to benefit our community and the number of homes we manage, through stock transfer opportunities.

4. Sustainability-for our business and our community

- Deliver our Value for Money and efficiency plans, so we confidently maintain our financial viability in the long term.
- Provide energy advice and start to deliver works to our homes that are the most energy inefficient.
- Deliver the "Aiming Higher Programme" continuing to learn to improve how we work together to meet our values so we enhance customer experience, promote equality and diversity and deliver innovation and efficiencies across Phoenix to meet our vision.
- Continue to maintain and improve our approach to health and safety and meet all relevant legislation and regulations.

Key projects to support the priorities

Milestones, projects, KPIs (Key performance Indicators) and new policies have been set to support the Corporate Priorities. The 7 key projects to support the priorities which may extend –into our next corporate plan are:

- Start to review our Phoenix standards and set our Corporate Plan for 2020 onwards; using our Satisfaction Survey of residents and other insight from our community.
- Deliver the actions from our external Governance review and review our Group Governance Structure to deliver transparency and excellence in governance.
- Continue to deliver our project to implement a customer relationship and electronic document management systems to maximise efficiency, compliance with Data Protection requirements, deliver “Digital by Choice” options and improve customer experience.
- Complete the regeneration plans for the Fellowship Inn.
- Deliver our approved development programme completing 37 new homes in 2019-2020 and buying back 15 more that were previously sold through the Right to Buy.
- Deliver our new operational plan for People Services.
- Complete our restructuring proposals to support our future plans.

As set out in our corporate priorities we will seek to embed VFM, innovation, communications and equality and diversity into these projects.

AGENDA

Item	Page	Report		
1	9	Apologies for Absence and Quorum		Chair Information
2	10	Introductions and Declarations of Interest		Chair Information
3	11	Minutes of last meeting		Chair Decision
4	16	Matters arising of minutes of last meeting		Chair Information
Board Decisions				
5	17	Policies	SL	Decision
6	55	Safeguarding Panel 2018-19	DW	Decision
Board Information				
7	67	Corporate Plan progress on milestones and targets for 2018-19	SL	Information
8	75	Management Accounts	CS	Information
9	90	CE Report	JR	Information
Board Information				
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DATE: 30/05/2019	PHOENIX COMMUNITY HOUSING BOARD MEETING	ITEM NO. 1
Open or Confidential	OPEN	
Report Title	Apologies for Absence & Quorum	
Lead Officer	Kevin Kelly, Governance Manager, 07515605102	
Lead Board Members	Anne McGurk	
This item is for	INFORMATION	

If you are unable to attend, please ensure you provide your questions, comments and views on the Board Papers to Kevin Kelly by Lunchtime Thursday 30 May 2019.



DATE: 30/05/2019	PHOENIX COMMUNITY HOUSING BOARD MEETING	ITEM NO. 2
Open or Confidential	OPEN	
Report Title	Introductions and Declarations of Interest	
Lead Officer	Kevin Kelly, Governance Manager, 07515605102	
Lead Board Members	Anne McGurk	
This item is for	INFORMATION	

DATE: 30/05/2019	PHOENIX COMMUNITY HOUSING BOARD MEETING	ITEM NO. 3
Open or Confidential	OPEN	
Report Title	Minutes of the meeting 28 March 2019	
Lead Officer	Kevin Kelly, Governance Manager, 07515605102	
Lead Board Members	Chair	
This item is for	DECISION	

Present

Anne McGurk (AMcG)	Chair
Carmen Simpson (CS)	Vice Chair
Michael Boniface (MB)	Board Member
Peace Ayiku-Nartey (PAN)	Board Member
Jamie Carswell (JC)	Board Member (arrived 6.45pm)
Kerry Heath (KH)	Board Member
Lucy Ferman (LF)	Board Member
Cllr Sue Hordijkeno (SH)	Board Member

Officers and Advisors

Jim Ripley (JR)	Chief Executive
Chris Starke (CS)	Director of Finance
Lesley Johnson (LJ)	Director of Property and New Business
David Westworth (DW)	Director of Customer Services
Nick Edwards (NE)	Assistant Director of ICT & Facilities
Say Leddington (SL)	Head of Performance & Quality
Emma McSweeney (EMcS)	Head of Specialist Housing Services
Leon Yohai (LY)	Head of Housing Management
Kevin Kelly (KK)	Governance Manager - Minutes

Apologies:

Mark Gayfer (MG)	Board Member
Gail Nicholas (GN)	Board Member
Cllr Olurotimi Ogunbadewa (OO)	Board Member

Jonathan Lawn (JL)	Head of People Services & Communications
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Observer:

Michael Tisdell (MT)	Potential Board Member
Keren Miller (KM)	Head of Community Regeneration
Martin Stanislaus (MS)	Housing Manager

William Cook
Justice Ezi
Hector Yu

Phoenix Futures
Phoenix Futures
Phoenix Futures

1	Apologies for Absence & Quorum	
1.1	Apologies as noted above.	
2	Introductions and Declarations of Interest	
2.1	Anne McGurk, Chair, welcomed everyone. She additionally welcomed Michael Tisdell, Martin Stanislaus and the observers from Phoenix Futures.	
2.2	Anne McGurk reminded all in attendance to use the microphones when speaking.	
2.3	Carmen Simpson, Vice Chair, declared an interest as Chair of the PAS Board. Chris Starke and Lesley Johnson declared an interest as PAS Board Members.	
3	Minutes of last meeting	
3.1	Proposed: Lucy Ferman Seconded: Kerry Heath The Board agreed the minutes.	KK
4	Matters Arising	
4.1	None.	
5	Policies	
5.1	Say Leddington presented the report.	
5.2	Anne McGurk asked about the clause in the shared ownership – eligibility and affordability policy regarding priority for serving British Armed Forces personnel and former members of the British Armed Forces. Emma McSweeney replied that the clause was required as part of legislation. Anne McGurk asked about priority in some circumstances for PCH tenants. Emma McSweeney replied that PCH will encourage tenants to apply but can only give priority as set out in the policy.	
5.3	Kerry Heath asked about the use of valuers for shared ownership. Emma McSweeney replied that it was not in the policy but PCH would use valuers from an approved list. .	
5.4	Kerry Heath asked if Board Members get a full list of policies. Say Leddington replied that Board Members receive a report on this every 6 months, alongside corporate plan updates and make all policies available on request. She offered to provide the full log on request as well.	
5.5	The Board: A. Approved the seven policies and one strategy listed in the Executive Summary:	SL

	<ul style="list-style-type: none"> • Abandoned and Unauthorised Vehicles (formerly Abandoned Vehicles) Policy. • Domestic Abuse (formerly Domestic Violence and Abuse) Policy. • Anti-Social Behaviour Strategy. • Home Ownership Management Policy. • Shared Ownership Rent and Service Charge Setting Policy. <ul style="list-style-type: none"> • Shared Ownership Eligibility and Affordability Policy. • Shared Ownership Staircasing and Resales Policy. • Home Ownership Arrears Policy – new <p>B. Noted that the Resident Policy Working Group completed an annual impact assessment of their work for 2018-19.</p>	
6	Corporate Plan, Vision and Strategic Priorities 2019-2020	
6.1	Say Leddington presented the report. She explained that the report title should be “2019-2020” not “2018-2020”.	
6.2	Lucy Ferman asked in regards to priority 2 excellent services whether PCH was emphasising wanting to improve services and drive up resident satisfaction enough and suggested amending bullet point 1 to “Improving service levels over time”. She suggested specifically mentioning RTB and buy backs in priority 3. She further suggested that priority 4 should include ensuring compliance with regulations and legislation.	SL
6.3	Say Leddington suggested amending the recommendation so “including amendments made at the Board” was added to the end.	
6.4	The Board approved the refreshed version of the Corporate Plan including amendments made at the Board.	SL
7	Response to the National Housing Federation Together with Tenants Plan	
7.1	Say Leddington presented the report. She asked for a steer on PCH’s response and noted the deadline was 19 April.	
7.2	Jamie Carswell asked what PCH was trying to achieve through its involvement. He noted that the NHFplan was very basic at the moment.	
7.3	Lucy Ferman noted that the commitments in the document were voluntary. She agreed with PCH getting involved and linking it to consultation on our new corporate plan 2020-2025 and the Phoenix standards. She further added that PCH should use it as an opportunity to highlight our	

	Community Gateway model. Kerry Heath stated she supported Lucy Ferman's comments and noted that PCH will be looked at as an early adopter and due to our Community Gateway model. She asked if there was anything in the document we can look at to improve what we do. Say Leddington replied that PCH does everything in the document but we could improve how we evidence that information. She added that she would circulate a draft response to Board Members for their comments and views.	SL
7.4	The Board agreed to delegate approval of our final draft response subject to Board Member comments to the Executive Team.	SL
8	Communications Performance	
8.1	Jim Ripley presented the report.	
8.2	Carmen Simpson asked how PCH were shaping their strategy with new tenants. Jim Ripley replied that the Residents Communications Group had a key role and we were continually reviewing the induction process for new tenants.	
8.3	The Board noted the report setting out Communications performance in 2017-18 to date.	JL
9	Ant-Social Behaviour Report and Operations Update	
9.1	Leon Yohai presented the report.	
9.2	Lucy Ferman asked what lessons had been learnt from the Bellingham incident. Jamie Carswell asked about the relationship with the wider community. He added that in London Borough of Lewisham (LBL) hate crime was increasing along with domestic violence and serious crime. He asked if PCH needed to reshape it's approach with more serious crime and improve our work with partners. David Westworth replied that community safety was relatively good on the ground but less so on a strategic level. He added that since the Bellingham incident we had worked more closely with partners. Leon Yohai added that PCH worked in partnership with a number of agencies including the police and the Children's Board. He noted that 1 in 8 violent crimes was knife related. He further added that lessons had been learnt on the issue of "County Lines" and issues around mental health and anti-social behaviour. Leon Yohai noted that the cuts elsewhere meant that PCH was increasingly becoming a reporting centre.	
9.3	The Board noted the performance for Anti-Social Behaviour for 2017-18.	LY

10	Management Accounts	
10.1	Chris Starke presented the report.	
10.2	Kevin Kelly explained that Mark Gayfer had emailed comments and questions for the Board due to his absence. He added that Mark had commented that the management accounts showed a positive position.	
10.3	Kerry Heath asked if we would be able to maintain the year end projected operating surplus. Chris Starke replied that he expected the year end operating surplus to be close to the forecast figure.	
10.4	The Board noted the report.	CS
11	Chief Executive Update Report	
11.1	Jim Ripley presented the report.	
11.2	Lucy Ferman stated that the cycle tour of Phoenix area would take place on the afternoon of 17 June.	
11.3	Kevin Kelly read out a comment from Mark Gayfer who stated he was pleased to note the number of Phoenix activities that are being acclaimed outside the organisation.	
11.4	The Board: <ul style="list-style-type: none"> • Noted the Board Updates. • Noted the Action Tracker. 	JR
12	Any Other Business	
12.1	Peace Ayiku-Nartey asked what PCH's policy was on LGBT issues. Say Leddington replied that PCH did not have a specific LGBT policy however all protected groups are recognised in the PCH Equality Charter.	
12.2	Peace Ayiku-Nartey noted that bins on estates appeared to be depleting. David Westworth replied that it was LBL's responsibility to replace bins.	

Approval

Approved by (Chair)	
Date	



DATE: 30/05/2019	PHOENIX COMMUNITY HOUSING BOARD MEETING	ITEM NO. 4
Open or Confidential	OPEN	
Report Title	Matters Arising of Minutes of last meeting	
Lead Officer	Kevin Kelly, Governance Manager, 07515605102	
Lead Board Members	Anne McGurk	
This item is for	INFORMATION	

DATE: 30/05/2019	PHOENIX COMMUNITY HOUSING BOARD MEETING	ITEM NO. 5
Open or Confidential	OPEN	
Report Title	Policies	
Lead Officer	Chantel Lynch, Service Improvement & Scrutiny Manager, 020 3121 0211	
Lead Board Members	Anne McGurk	
This item is for	DECISION	

1 Recommendations

A. The Board approves the policies listed in the Executive Summary.

Executive Summary

8 policies have been reviewed and recommended for approval by the Resident Policy Working Group (RPWG) and Executive Team.

The Group Electrical and Gas Safety policies have been updated following amendments to legislation and were due for review. All other policies have been reviewed as part of good practice and updated with the following key changes:

- **Mutual Exchange Policy**

Clarified wording on like for like exchanges. If an assured tenant is exchanging with another assured tenant or life time secure tenant of a local authority the exchange takes place by assignment of tenancies to each other. This is called a 'like for like' exchange. This type of exchange will also be used for assured tenants whose tenancy began after 1st April 2012 who are exchanging with a secure fixed term tenant or fixed term assured tenant of a registered social housing provider.

The Policy Working Group unanimously agreed to recommend to Board that the Mutual Exchange policy is approved.

- **Conversion of Green Spaces to Parking Policy**

Added a restrictive covenant on properties sold through the Preserved Right to Buy or Right to Acquire, the agreement restricts the use of private gardens for anything other than garden use. Exceptions include disability adaptations, in these cases, Phoenix will assess requests for conversion of green spaces to parking in accordance with the Equalities Act 2010. Any adaptations will be designed to minimise the environmental and visual impact on the property and streetscape.

Arrangements for change of use have also been added. Where Phoenix alters gardens and greens spaces to provide new homes or facilities that benefit our community, we will ensure that alternative green spaces are provided where possible.

The Policy Working Group unanimously agreed to recommend to Board that the Conversion of Green Spaces to Parking Policy is approved.

- **Internal Decoration Scheme Policy**

Added detail about the scheme; how it is run, the programme and how residents can register their interest. The policy also specifies that we can only deliver the scheme to approximately 30 residents each year and details how we will prioritise those with the greatest need if more than 30 residents apply for the scheme in a year.

The Policy Working Group unanimously agreed to recommend to Board that the Conversion to Green Spaces to Parking Policy is approved.

- **Translation and Interpretation Policy**

Expanded our aim of the policy to ensure staff proactively plan, understand how and when to access translation and interpretation services to meet customers' needs whilst delivering the best possible value for money.

Added a scope section to the policy, to make it clear that the policy applies to contact between Phoenix employees (and other representatives who work on our behalf) and residents.

Made it clearer that we will assess the impact when we refuse a translation request depending on the nature of the service and the translation. When promoting events, we will also highlight translation and interpretation services, however, these services may not be available at events unless requested in advance.

Committed to always providing interpretation services for anyone reporting domestic abuse, hate crimes or other crimes.

An Equality Impact Assessment has been completed for the Translation and Interpretation Policy. The impact is positive for all protected groups.

The Policy Working Group unanimously agreed to recommend to Board that the Translation and Interpretation Policy is approved.

- **Group Electrical Safety Policy**

The policy will follow the current 10-year frequency of completing Electrical Condition Reports. In making this recommendation, the Executive Team considered both the age and reported condition of our electrical installations along with previous investments made in the Decent Homes Programmes and the financial impact of implementing a change to a 5-year cycle.

Electrical Condition Reports will continue to be completed for Mutual Exchanges, Voids and Minor Works Electrical Repairs.

The Policy Working Group unanimously agreed to recommend to Board that the Group Electrical Safety Policy is approved.

- **Group Gas Safety Policy**

Amended to adopt an MOT style approach to gas servicing, with Landlord Gas Safety Records (LGSR) being undertaken within a 10-12 month period after the previous check. The LGSRs will only be completed a maximum of two months earlier than the deadline date. Where LGSRs are completed less than 10 months following the previous gas safety check, this will result in the “resetting of the clock” and the deadline date will be 12 months from the date of the latest check.

The Policy Working Group unanimously agreed to recommend to Board that the Group Gas Safety Policy is approved.

- **Group Asbestos Policy**

Amended to adopt the 6 steps to Manage Asbestos in Buildings (Health and Safety Executive Industry Guidance Document 223) and demonstrate a clear link of what Phoenix will do to fulfil its ‘duty to manage’ under regulation 4 of Control of Asbestos Regulation 2012.

Added that we will undertake a Demolition Destructive/Intrusive survey prior to development or refurbishments projects with partial demolition.

The timescale to complete low risk actions have changed from 6 months to 18 months.

The Policy Working Group unanimously agreed to recommend to Board that the Group Asbestos Policy is approved.

- **Group Anti-Money Laundering Policy**

This policy was due for review and update due to updates in the anti-money laundering regulations. It has been amended to reflect these regulations and that HomeMakers started trading in December 2018.

Specifically it includes the appointment of a Money Laundering Compliance Officer (‘MLCO’) to take overall responsibility for HomeMakers compliance with the anti-money laundering rules and regulations. This will need to be taken into consideration when recruiting for the independent board member for the subsidiary.

The Policy has been considered by both the Audit Committee and the Resident Policy Working Group and a final check has been provided by solicitors.

2 Corporate Plan Implications / Strategic Objectives

Strategic Objective: 1. Resident leadership and membership.

2019-20 Corporate Objective: • Strengthen our business by making governance, service improvements and efficiencies based on resident insight and scrutiny, good practice and changes to our operating and regulatory framework.

3 Background including appendices

In Phoenix's delegated authorities, (approved by the Board in May 2018), the Board is required to approve policies (amended following a timetabled review) after they have been approved by the Executive Team (ET) and residents have been consulted (on resident facing policies).

Any new policies and policies where significant changes have been made must be amended and any changes to policies summarised so the Board can request copies.

The following are appended as they have significant changes:

- Appendix 1 – Group Electrical Safety Policy
- Appendix 2 – Group Gas Safety Policy
- Appendix 3 - Group Asbestos Policy
- Appendix 4 - Group Anti Money Laundering Policy

The following policies are available upon request:

- Appendix 5 – Mutual Exchange Policy
- Appendix 6 – Conversion of Green Spaces to Parking Policy
- Appendix 7 – Internal Decorations Scheme Policy
- Appendix 8 - Translation and Interpretation Policy

4 Communications & Consultation Implications

The attached policies have been developed in consultation with senior and team managers and other key members of staff across the business. The Executive Team and Resident Policy Working Group have reviewed and recommended the policies for approval.

5 Other Implications

Legal

The Group Electrical, Gas Safety and Asbestos policies have adopted a building safety compliance approach and have been updated to 'group policy' to cover Phoenix, our subsidiaries and stock we own, manage and lease to others.

The policies have been checked by external advisers and as part of the review, key guidance and sources supported the changes, these include:

- Building a Safer Future (Implementation Plan) Dame Judith Hackitt Report
- Feedback from both internal and external audit.
- Resident feedback through customer satisfaction surveys and complaints
- Lessons learnt from Contract Management
- Changes to legislation:
 - The Gas Installation and Uses Regulation
 - 18th Edition (Electrical Safety Installations)
- Staff feedback

The Group Anti-Money Laundering Policy was checked by solicitors.

Equality & Diversity

All policies are reviewed to ensure Phoenix meets good practice and legal requirements related to Equality and Diversity.

An Equality Impact Assessment has been completed for the Translation and Interpretation Policy. The impact is positive for all protected groups.

Value for Money

The policies deliver value for money by providing clear policy guidance. In addition:

- The Gas Servicing MOT approach should provide saving of around £50k, every year when implemented.
- A robust approach to identifying money laundering should save both the public purse and Phoenix money if it takes place and is swiftly identified.

6 Risk Implications

The policy changes fit in with the risk appetite agreed by the Board:

- Risk adverse for resident leadership and compliance.
- Cautious approach for achieving budget and legal.
- Balanced approach for resident satisfaction, people capability and controls, technological and reputation.

7 Sustainability Implications

The Conversion of Green Spaces to Parking Policy supports the protection of gardens and green spaces on our estates by:

- Promoting the importance of hedging, trees and shrubbery to increase wildlife, wildlife habitats and local ecology.
- Reducing the risk of flash flooding on hard surfacing as rain is diverted putting extra pressure on drainage systems and impacting on climate change. This will also reduce repair and financial implications.

8 Resource Implications

Finance – changes to the policies can be resourced from existing budgets.

Staff - As part of the Translation and Interpretation Policy, we will maintain a staff language pool, based on existing fluency in languages other than English, to provide ‘as and when’ face to face or telephone interpretation.

Property – The Group Gas Safety and Asbestos Policies allow Phoenix as a last resort to use the Environmental Protection Act 1990 to force entry into properties where residents are not providing access. We will look to recover legal fees from residents incurred following the forced entry procedure.

IT – None.

9 Confidentiality - open

Approval

Approved by (Chair)	
Date	Click here to select date

GROUP ELECTRICAL SAFETY POLICY

Responsible Officer

Director of Property and New Business

Aim of the Policy

This policy outlines our approach to and arrangements for the management of electrical safety within our buildings.

Through the implementation of this policy we will ensure we:

- Comply with our legal duties relating to electrical safety.
- Takes reasonably practicable steps to protect residents, employees, contractors and others affected by our work activities, from the hazards of electricity.
- Demonstrates that the ongoing electrical safety of our properties is being managed effectively.

This policy links to Phoenix's overall vision 'To work together to build a better future for our Phoenix Community'.

Policy Scope

This document covers how Phoenix will manage its electrical safety responsibilities in tenants' homes, housing blocks, community facilities and commercial properties.

This document does not cover the internal areas of lessee properties apart from any mains electricity supply cables supplied by Phoenix from a communal area.

Policy Statement

Electrical safety is an important obligation for all Landlords. We fulfil our obligations by being committed to taking all reasonable steps to manage electrical safety in accordance with the relevant legislation and approved codes of practices.

We will implement arrangements for the management of electrical safety that comply with our statutory duties. Where reasonably practicable, we will meet any good practice recommendations associated with electrical safety.

We are committed to engaging with residents and stakeholders and will use a range of communication methods to consult with, listen to and promote awareness of electrical safety to ensure they are safe, and feel safe in their homes.

The Policy

1.0 Responsibilities

We recognise the importance of clearly defined responsibilities with commitment at all levels of our organisation including Board, Executive Team, Senior Managers, Team Members and Contractors we work with.

We will ensure these responsibilities are documented, embedded and demonstrated by means of a golden thread of leadership and commitment from senior management to employees through to engagement with our residents and contractors.

All members of staff are expected to follow this policy and associated procedures in relation to electrical safety.

1.1 Levels of accountability

- The Board has a role in providing safety leadership and ensuring Board decisions reflect the intentions outlined in the Electrical Safety Policy.
- The Board and the Chief Executive delegate responsibility for achieving the objectives to the Director of Property and New Business.
- The Director of Property and New Business is accountable for ensuring that Phoenix fulfils its legal obligations regarding the implementation of the Electrical Safety Policy and ensuring that adequate resources and support are made available to deliver against the arrangements for the management of electrical safety. The operational lead for electrical safety is the Health, Safety and Compliance Manager.
- The Executive Team assists the Board and Chief Executive in fulfilling their responsibilities and have extensive safety responsibilities of their own within their directorates.
- Heads of Service and Senior Managers are responsible for compliance with the Electrical Safety Policy and procedures within their service area.
- Every employee must ensure they are aware of and follow the Electrical Safety Policy and procedures. They will inform their managers of any concerns and contribute to the development of a positive safety and compliance culture throughout Phoenix.
- Residents and stakeholders also have a vital role to play in making sure the buildings they live in or use are safe. Through positive engagement residents and stakeholders will be encouraged to take an active interest in safety and compliance at Phoenix.
- Contractors and subcontractors must comply with the arrangements of this policy and demonstrate competency in the management of their work activities, in relation to Electrical Safety.

2.0 Arrangements for electrical safety

We will ensure that all electrical installations within our domestic and commercial properties are installed, certified and maintained to the relevant standards and are sufficient to meet the needs of tenants and staff.

2.1 Installations

We will ensure all Phoenix tenants have:

- A reasonable number of socket outlets are installed within dwellings.
- A Residual Current Device (RCD) installed where appropriate.
- Sufficient circuits installed to avoid danger and minimise inconvenience in the event of a fault.
- Cables, fittings and equipment are correctly specified.

2.1.1 External lighting

We will only consider installing external lighting when:

- Carrying out decent homes works and/or rewire to properties where it is deemed appropriate.
- A Crime Reference Number is produced by the tenant or our employee. This number will relate to a crime where security lighting may be considered to help the situation.
- A Phoenix employee deems it necessary to have installed due to the vulnerability of the resident.

We will repair or replace any defective external lighting we previously installed.

Tenants will be responsible for replacing failed lamps to any internal or external lighting we install.

2.1.2 Fire safety

To ensure fire safety within our properties we will not allow the installation of recessed downlights or any other type of electrical accessory that breaches compartmentation.

2.2 Frequency of testing

We will undertake an Electrical Installation Condition Report (EICR) to our properties and any that we manage on behalf of others at one of the following options:

Tenanted properties

- Electrical installations under 20 years old completed every 10 years.
- Electrical installations 20 years and over completed every five years.

Communal areas of blocks

- Completed every five years.

Offices, Community centres and welfare facilities

- Completed every five years.

2.3 Requirements

We will ensure:

- That on completion of an inspection, test and any necessary remedial works a satisfactory condition report is issued.

- Any unsatisfactory condition reports requiring major remedial works are reviewed by us and the necessary works prioritised accordingly.
- That all tenanted homes that we own or manage have a valid National Inspection Council for Electrical Installation Contracting (NICEIC), or equivalent, certificate or condition report.
- That all electrical installations, for which we are responsible, meet the current statutory and non-statutory requirements.

2.4 Procurement of competent contractors

We will ensure:

- All contractors procured and appointed are registered with an approved contractor scheme. Our preferred scheme is the National Inspection Council for Electrical Installation Contracting (NICEIC).
- Only people with the relevant knowledge, skills, experience and training carry out work on the electric installations that we are responsible for.

2.5 Voids and mutual exchanges

We will carry out an electrical condition report to any property that becomes void and any property that is a mutual exchange.

2.6 Portable appliances

We will:

- Be responsible for any portable appliances that we own.
- Ensure that portable appliances are safe when first supplied. Appropriate labelling of equipment and recording of all equipment will be undertaken in accordance with the Electrical Equipment (Safety) Regulations 1994 and Electricity at Work Regulations 1989.
- Develop a schedule of portable appliance testing for all equipment we own.
- Prevent employees from using their own electrical equipment for work activities.

2.7 Specifications

We will develop and maintain an Electrical Works Standard and any other relevant specifications to act as a specification of how we want others to carry out electrical works within our properties.

2.8 Access

We will:

- Take reasonable steps to gain access to our properties so we can carry out our legal responsibilities relating to electrical safety.

- Work with our tenants under the terms of your tenancy agreement, to allow access to their home for maintenance and/or safety checks to be carried out.
- Take account of the needs of residents that are at risk when attempting to gain access.
- As a last resort, will use the tenancy agreement, to force entry into properties where you are not providing access.
- We will look to recover from you the legal fees incurred when following the forced entry procedure.

3.0 Data management

We will:

- Develop and maintain an asset register of properties that require an electrical condition report (Electrical Register).
- Maintain accurate records of all completed electrical condition reports and associated completed remedial works from these reports and keep these for a period of not less than 10 years.
- Maintain records of any electrical safety related training undertaken by staff.
- Ensure robust processes and controls are in place to provide and maintain appropriate levels of security for all electrical safety related data.

4.0 Communication and information

Phoenix will:

- Develop a Health and Safety communications plan that sends out a positive message to ensure all residents are fully aware of the importance of electrical safety.
- When requested, send residents copies of the electrical information we hold on their home.
- Openly share the information from its Electrical Register with Phoenix staff, residents and contractors.
- Consult with employees on matters that affect their health and safety and consult with its employees on the development of this policy and procedure.
- Communicate and make residents aware of electrical safety within their home through the Tenant's Handbook and website.
- Make residents aware of their responsibility to request written permission from Phoenix to carry out any improvement works to their home.

5.0 Training and competency

We will:

- Employ qualified and experienced persons competent to fulfil the requirements of specific electrical safety roles.
- Develop a training matrix which will identify and provide electrical safety training to staff that is relevant to their roles.

Monitoring and review

We will:

- Develop and maintain key performance indicators to record, measure, actively monitor and review the effectiveness of our electrical safety activity.
- Report quarterly to the Health and Safety Committee, Audit Committee and the Board on electrical safety key performance indicators.
- Undertake monthly technical third party quality checks on electrical condition reports carried out on programmes of work. Any issues found will be monitored by Phoenix until they are completed. Any issues not completed will be escalated accordingly.

Policy review

We will review this policy every three years or sooner if there are changes to legislation, good practice or other learning.

Legislation

We are committed to achieving compliance against all our statutory, non-statutory and regulatory electrical safety responsibilities, including the following:

- Defective Premises Act 1972
- Landlord and Tenant Act 1985
- Housing Act 1988
- Health and Safety at Work etc Act 1974
- Workplace (Health, Safety and Welfare) Regulations 1992
- Management of Health and Safety at Work Act 1999
- Electricity at Work Regulations 1989
- Environmental Protection Act 1990
- Workplace (Health, Safety and Welfare) Regulations 1992
- Provisions and Use of Work Equipment Regulations 1998
- Housing Health and Safety Rating System – Housing Act 2004
- Building Regulations Part P
- British Standard 7671 – 18th Edition Wiring Regulations
- Homes (Fitness for Human Habitation) Act 2018
- Data Protection Act 2018

Associated documents, policies and procedures

Including:

- Phoenix Standards
- Phoenix Electrical Works Standard
- Group Fire Safety Policy
- Group Asbestos Policy
- Health and Safety Policy
- Mutual Exchange Policy
- Translation and Interpretation Policy
- Responsive Repairs Policy
- Recharges to Residents Policy
- Lateral Mains and Communal Lighting Specification
- Procurement Policy, Strategy and Toolkit
- Contractors, Suppliers and Service Providers Charter
- Asset Management Strategy
- Tenancy / Lease Agreement
- Supporting Residents 'At Risk' Policy
- Voids Policy
- Tenants Handbook

Definitions

Term/acronym	Description
Resident	Includes tenants and lessees.
Phoenix	Phoenix Community Housing.
We/us/our	Refers to Phoenix Community Housing.
You/your	Refers to Phoenix tenants and lessees.

Document Type:	Policy
Title:	Group Electrical Safety Policy
Author:	Electrical Contracts Manager
Department Owned By:	Property and New Business
Data Protection Impact Assessment:	No
Equalities Impact Assessment:	No
Approval Date:	Click here to enter a date.
Approved By:	In accordance with delegated authorities
Implementation Date:	Date implementation planned
Status:	Draft
Version No:	V7
Last updated:	20/05/2019
Issue Date:	Click here to enter a date.
File Path:	TBC

GROUP GAS SAFETY POLICY

Responsible Officer

Director of Property and New Business

Aim of the Policy

This policy outlines our group approach to managing gas safety in properties we own and manage. It ensures we:

- Comply with our legal duties relating to gas safety.
- Take reasonable steps to prevent our residents, employees, contractors and others being affected by the explosive force of natural gas and Carbon Monoxide.

This policy links to Phoenix's overall vision 'To work together to build a better future for our Phoenix Community'.

Policy Scope

This policy does not cover gas appliances, distribution pipework or gas meters belonging to lessee properties. Neither does it cover gas pipework belonging to the gas transportation company.

The Policy Statement

Gas safety is an important obligation for all Landlords. Phoenix fulfils its obligations by being committed to taking all reasonable steps to protect its residents, employees, contractors and others affected by its work activities from the effects of gas escapes and carbon monoxide leaks within its buildings.

We will implement arrangements for the management of gas safety that comply with our statutory duties. Where reasonable practicable, we will provide detection to alert residents to unsafe levels of carbon monoxide and explore initiatives to reduce the carbon footprint in our properties.

We will provide residents with information about the steps to take in the event of a gas escape or carbon monoxide leak to ensure they are safe, and feel safe, in their homes.

We are committed to engaging with residents and stakeholders and will use a range of communication methods to consult with, listen to and promote awareness towards gas safety and carbon monoxide.

The Policy

1.0 Responsibilities

We recognise the importance of clearly defined responsibilities with commitment at all levels of our organisation including Board, Executive Team, Senior Managers, Team Members and Contractors we work with.

We will ensure these responsibilities are documented, embedded and demonstrated by means of a golden thread of leadership and commitment from senior management to employees through to engagement with its residents and contractors.

All members of staff are expected to follow this policy and associated procedures in relation to Gas Safety.

1.1 Levels of accountability

- The Board has a role in providing gas safety leadership and ensuring Board decisions reflect the intention of the gas safety policy.
- The Board and the Chief Executive delegate responsibility for achieving its gas management objectives to the Director of Property and New Business.
- The Director of Property and New Business is accountable for ensuring that Phoenix fulfils its legal obligations regarding the implementation of the gas safety policy and ensuring that adequate resources and support are made available to deliver against the arrangements for the management of gas safety. The operational lead for gas safety is the Health, Safety and Compliance Manager.
- The Executive Team assists the Board and Chief Executive in fulfilling their responsibilities and have extensive safety responsibilities of their own within their directorates.
- Heads of Service and Senior Managers are responsible for driving and delivering compliance with the gas safety policy and supporting procedures within their service areas.
- Every employee must ensure they are aware of and follow the gas safety policy and procedures. They will inform their managers of any concerns and contribute to the development of a positive gas safety culture throughout Phoenix.
- Residents and stakeholders also have a vital role to play in making sure the buildings they live in or use are safe. Through positive engagement with residents and stakeholders will be encouraged to take an active interest in gas safety at Phoenix.
- Contractors and subcontractors must comply with the arrangements of this policy and demonstrate competency in the management of their work activities, in relation to gas safety.

Arrangements for management of gas safety

1.2 Co-operation and Co-ordination in shared buildings

In any shared premises or buildings, we will ensure that all stakeholders and Responsible Person(s) are:

- Informed of any identified 'risks' which may affect the safety of its employees along with remedial action to control or reduce the risks.
- Provided with a copy of the gas safety certificate and any warning notices.

2.0 Gas Safety Checks

2.1 Gas Safety Check Programme

We will undertake a robust gas safety inspection programme that is compliant with current legislation, relevant industry standards and best practice.

2.2 Frequency of checks

We will ensure gas safety checks are carried out as follows:

- Occupied Properties – Once every 12 months adopting the MOT style approach.
- When a property becomes void (empty), decanted for demolition or purchased for repair – the gas meter will be capped and made safe.
- When a property is reoccupied.
- When a Mutual Exchange takes place.
- When a property requires recommission after the report of a gas escape or activation of a carbon monoxide alarm.
- When a new gas boiler or new gas pipework is installed.
- When reinstating a gas supply that has been previously shut off by us or the gas transportation network.

2.3 Gas Safety Checks Data Management

We will:

- Ensure Gas safety certificates are issued to residents within 28 days of the gas safety check being completed.
- Store Gas Safety certificates will electronically and ensure robust processes and controls are in place to provide and maintain appropriate levels of security for all gas safety related data.
- Retain Gas Safety certificates for a minimum of two years.

2.4 Contractors

We will ensure:

- All contractors who are procured and appointed to work on gas appliances, gas installation or gas pipework within our buildings are appropriately trained, qualified and are registered to Gas Safe.
- There is a process in place to check an engineer's qualification and registrations with Gas Safe before allowing them to work in our buildings.

3.0 Access

3.1 Appointments

We will:

- Take reasonable steps to gain access to our properties so we can carry out our legal duties in relation to gas safety.
- Make reasonable attempts to access our properties.
- Take reasonable steps to communicate appointments with residents.
- Take into account the needs of residents that are 'at risk' when attempting to gain access.

3.2 Forced Entry

As a last resort, we will use the Environmental Protection Act 1990, to force entry into properties where residents are not providing access.

3.3 Cost Recovery

We will look to recover legal fees from residents incurred following the forced entry procedure

3.4 Emergency Situations

We will ensure we have a procedure in place to deal with any gas escape or carbon monoxide situation

3.5 Carbon Monoxide Investigation

When a tenant reports the activation of a carbon monoxide alarm within their property, we will:

- Ensure the property is made safe as soon as possible by switching of the gas supply.
- Undertake a carbon monoxide investigation.
- Disconnect any appliances found to be emitting unsafe levels of carbon monoxide.

4.0 Appliances

4.1 Unsafe Gas Appliances

- Any unsafe gas appliance will be disconnected from the gas supply and issued with a warning notice.
- Residents will be asked to read and sign the warning notice to ensure the contents is understood.
- Permission will be sort from the resident, before disconnecting any appliance an engineer considers to be at risk.
- Any appliance considered to be immediately dangerous will be disconnected whether we have permission or not.
- Where a resident restricts disconnection of an immediately dangerous gas appliance, we will seek assistance from the emergency gas service to shut off your supply.

4.2 Residents' own appliances

We will:

- Carry out a visual inspection of the tenant's own appliances during the gas safety check.
- Record the tenant's own appliances on the Landlord's Gas Safety Certificate.
- Disconnect the tenant's appliances if we believe them to be immediately dangerous.
- Disconnect, with the tenant's permission, any appliance believed to be at risk.

4.3 New Appliances

We will ensure:

- A specification is in place for the installation of new boilers.
- All new boiler installations undergo a third party quality inspection.
- All new boilers are registered for the manufacturer's warranty.

4.4 Gas Fires

- We will not allow the installation of flueless gas fires into any of our properties and aim to reduce the number of open flue gas appliances in our tenanted properties.
- When a gas fire owned by us reaches a state where it is beyond economical repair it will be isolated. If the dwelling is provided with a controllable form of central heating, the gas fire will not be replaced with any other form of heating.

5.0 Residents' Responsibilities

5.1 Access

- Residents are responsible for providing access to their homes for a gas safety check when reasonable notice is given.
- Residents are responsible for making reasonable access arrangements if an appointment is not appropriate.
- Residents are responsible for ensuring operatives have safe access to all gas appliances, gas meters and gas pipework.

5.2 Residents own appliances

Residents are responsible for ensuring their own gas appliances are:

- Installed by an appropriately qualified person.
- Serviced and maintained by an appropriately qualified person.

6.0 Quality Assurance

6.1 Quality Inspections

We will:

- Undertake quality inspections to 5% of all gas servicing and safety check work.
- Employ a third party contractor to undertake quality inspections.
- Keep record of all quality assurance inspections.
- Act upon any non-conformities reported in the quality inspections.

6.2 New Installations for New Built

We will:

- Require any contractor to submit all associated certification when completing the installation of gas appliances.
- Instruct a third party contractor to quality inspect all new boiler installations
- Phoenix will not release payment for new installations until all non-conformities identified at post inspect stage have been resolved.

7.0 Communication and information

We are committed to engaging with residents and stakeholders and will use a range of communication methods to consult with, listen to and promote awareness of gas safety.

We will:

- Develop a Health and Safety communications plan to promote awareness of gas and carbon monoxide safety.

- Communicate and make residents aware of gas safety within their home through the Tenant’s Handbook and website.
- Ensure residents are aware of the appropriate action to be taken in the event of a gas escape or carbon monoxide leak.

Monitoring and review

We will:

- Undertake monthly active monitoring of our policy arrangements and procedural operations of management of gas safety at a team level.
- Report quarterly to the Health and Safety Committee, Audit Committee and the Board on gas safety key performance indicators.
- Undertake annual third party audits of gas safety management and report the findings to the Audit Committee.

Policy Review

We will review this policy every three years or sooner if there are changes to legislation, good practice or other learning.

Legislation

Our statutory, non-statutory and regulatory gas safety responsibilities are included in the following:

- Defective Premises Act 1972
- The Health and Safety at Work Act 1974
- Landlord and Tenant Act 1985
- Housing Act 1988
- Environmental Protection Act 1990
- Workplace (Health, Safety and Welfare) Regulations 1992
- Gas Appliances (Safety) Regulation 1995
- Pipelines Safety Regulation 1996
- Provisions and Use of Work Equipment Regulation 1998
- The Gas Safety (Installation and Use) Regulations 1998
- Management of Health and Safety at Work Act 1999
- Dangerous Substance and Explosive Atmospheres Regulations 2002
- Housing Health and Safety Rating System – Housing Act 2004
- The Smoke and Carbon Monoxide Alarm (England) Regulation 2005
- Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013
- Homes (Fitness for Human Habitation) Act 2018
- Data Protection Act 2018

Associated documents, associated policies and procedures

Including:

- Phoenix Standards
- Health and Safety Policy
- Group Asbestos Policy
- Mutual Exchange Policy
- Translation and Interpretation Policy
- Responsive Repairs Policy
- Recharges to Tenants Policy
- Gas Safety Procedure
- Voids Policy
- Group Fire Safety Policy
- Procurement Policy, Strategy and Toolkit
- Tenants Handbook
- Contractors, Suppliers and Service Providers Charter
- Asset Management Strategy
- Tenancy / Lease Agreement
- Supporting Residents 'At Risk' Policy

Definitions

Term/acronym	Description
Resident	Includes residents, freeholders, shared owners and lessees.
Phoenix	Phoenix Community Housing.
We/us/our	Refers to Phoenix Community Housing
You/your	Refers to Phoenix residents and lessees

Document Type:	Policy
Title:	Group Gas Safety Policy
Author:	Contracts Manager
Department Owned By:	Property and New Business
Data Protection Impact Assessment:	Choose an item.
Equalities Impact Assessment:	Choose an item.
Approval Date:	Click here to enter a date.
Approved By:	In accordance with delegated authorities
Implementation Date:	Date implementation planned
Status:	DRAFT
Version No:	V7
Last updated:	2019-05-02
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File Path:	Click here to enter text.

GROUP ASBESTOS POLICY

Responsible Officer

Director of Property and New Business.

Aim of the Policy

This policy outlines our group approach to managing asbestos and ensures we:

- Comply with our statutory duties and approved codes of practice
- Control and minimise the risk of harm to residents, employees, contractors, and others affected by our work activities, from the hazards of asbestos.

This policy links to Phoenix's overall vision *'to work together to build a better future for our Phoenix Community.'*

Policy Scope

This policy covers how Phoenix will manage its asbestos management responsibilities in tenants' homes, housing blocks, community facilities, commercial properties and garages.

This policy does not cover asbestos-containing materials (ACM) located within lessees' and Homemakers properties.

Policy Statement

Asbestos management is an important obligation for all Landlords. Phoenix fulfils its obligations by being committed to taking all reasonable steps to manage asbestos in accordance with the relevant legislation and approved codes of practices.

We will implement arrangements for the management of asbestos to protect, control and minimise the risk of disturbance of ACMs.

We are committed to engaging with residents and stakeholders and will use a range of communication methods to consult with, listen to, respond and promote awareness of asbestos management to ensure they are safe, and feel safe, in their homes.

Our Asbestos Management Plan is made up of this policy, an Asbestos Register and Asbestos Procedures.

Policy

1.0 Responsibilities

We recognise the importance of clearly defined responsibilities with commitment at all levels of our organisation including Board, Executive Team, Senior Managers, Team Members and Contractors we work with.

We will ensure these responsibilities are documented, embedded and demonstrated by means of a golden thread of leadership and commitment from senior management to employees through to engagement with its residents and contractors.

All members of staff are expected to follow this policy and associated procedures in relation to Asbestos Management.

Levels of accountability

- The Board will provide safety leadership and ensure Board decisions reflect the intentions outlined in the Asbestos Policy.
- The Board and the Chief Executive delegate responsibility for achieving its asbestos management objectives to the Director of Property and New Business.
- The Director of Property and New Business is accountable for ensuring that Phoenix fulfils its legal obligations regarding the implementation of the asbestos policy and ensuring that adequate resources and support are made available to deliver the arrangements for the management of asbestos.
- The operational lead for the Asbestos Policy is the Health, Safety and Compliance Manager.
- The Executive Team will assist the Board and Chief Executive in fulfilling their responsibilities and have extensive safety responsibilities of their own within their directorates.
- Heads of Service and Senior Managers have the responsibility for driving and delivering compliance with the Asbestos Policy and supporting procedures within their service area.
- Every employee must ensure they are aware of and follow the Asbestos Policy and supporting procedures. They will inform their managers of any concerns and contribute to the development of a positive safety and compliance culture throughout Phoenix.
- Residents and stakeholders also have a vital role to play in making sure the buildings they live in or use are safe. Through positive engagement residents and stakeholders will be encouraged to take an active interest in safety and compliance at Phoenix.
- Contractors and subcontractors must comply with the arrangements of this policy and demonstrate competency in the management of their work activities, in relation to Asbestos.

2.0 Arrangements for the management of asbestos

We will:

- Take reasonable steps to determine the location of materials likely to contain asbestos.
- Presume materials to contain asbestos, unless there are good reasons not to do so.
- Keep and maintain an up-to-date record of the location, condition, maintenance, and removal of all ACMs and presumed ACMs on an Asbestos Register against each property.
- Share the above information as required with contractors and enforcement bodies.
- Assess, monitor and maintain the condition of ACMs and presumed ACMs
- Have arrangements and procedures in place, so that work which may disturb the materials complies with the Control of Asbestos Regulations 2012 (CAR).
- Assess the risk of exposure from ACMs and presumed ACMs and prepare a written plan of the actions and measures necessary to manage the risk.
- Review the plan every six months and update if circumstances change or because of any significant procedural or legislative changes.
- Make available appropriate information and advice about the management of ACMs to our residents.
- Carry out managed programme of asbestos surveys in all tenants' homes, housing blocks, community facilities, commercial properties and garages.
- Deal with ACMs in situ through effective management and control measures as a preference to whole-scale removal and disposal.

2.1 Identifying asbestos containing materials (ACMs)- Surveys

We will deliver a compliant survey and testing programme with recommended actions recorded and carried out according to the deadlines below.

We will complete four types of surveys:

- **Initial Survey** - A Management Survey (MS) for all newly acquired properties and buildings.
- **Re-inspection Survey**- Re-Inspection to existing properties completed every 2 years to known ACM and to locate any other ACM.
- **Refurbishment Destructive /Intrusive survey** completed as required by scope of works for Major Works and Improvements.
- **Demolition Destructive /Intrusive survey** prior to development projects as required.

2.2 Keeping and maintaining an up-to-date record - Asbestos Register

We will:

- Maintain an Asbestos Register using the results from all its asbestos surveys, including the location, product, condition and risk level of any ACMs.
- Ensure that the Asbestos Register is made available to employees and contractors to share the information with anyone planning or carrying out work on Phoenix's properties.
- Use the Asbestos Register to record all recommended remedial actions to be taken and will update it once remedial action has been completed.
- Where the asbestos information against a property has been drawn from cloned information, the Asbestos Register will indicate that clearly.

2.3 Assess, monitor and maintain the condition- Programme management

We will:

- Manage ACMs in good condition. If in good condition and unlikely to be worked on or disturbed, it will remain in place and be managed so that the risk to health is minimised.
- ACMs left in situ but not clearly visible will be labelled.
- Ensure ACMs that are significantly damaged or pose risk to health are removed or encapsulated.
- Seek to enhance the levels of detail held on the Asbestos Register at void stage by undertaking an intrusive survey where reasonably practicable.

2.4 Remedial actions

Following each asbestos survey, one of these management actions will be taken:

- Manage
- Encapsulate, label and manage or
- Remove

The timescale for completing the recommended actions will be as set out in the table below

High Risk	Short term	3 Months
Medium Risk	Medium Term	6 months
Low Risk	Long Term	18 months (Don't want to incur force entry cost, addition scope for liaison/engagement with residents especially "At risk residents")

2.5 Emergency Action Plan

In cases where asbestos is or may have been disturbed inside a resident's home or in a communal area, we will:

- Have an emergency plan in place to deal with immediate and significant risk of harm posed from any disturbances to an ACM, notifying the HSE as appropriate.
- Consider carrying out an air clearance test as necessary.

2.6 Procurement of Competent Contractors

We will:

- Only appoint contractors that hold one of the relevant British Occupational Hygiene Society (BOHS) qualifications, S301, P402 and P405 with three to five years' experience undertaking asbestos surveys.
- Only use external consultants or organisations accredited by UKAS and accreditation ISO 17025 for surveying and analytical services.
- Only appoint HSE licensed and competent contractors to carry out asbestos remedial work.
- Only procure, approve and appoint contractors to work on the fabric of our buildings if they have suitable and sufficient procedures and have completed appropriate training in the management of asbestos.
- Openly share the information from our Asbestos Register with our contractors or anyone authorised to carry out work on our behalf.

2.7 Access

We will:

- Monitor the Inspection Programme to ensure that attempts to gain access for re-inspection occur in a in a timely manner.
- Take reasonable steps to gain access so we can carry out our legal duties as they relate to Asbestos Management.
- Make reasonable attempts to access our properties
- Take reasonable steps to communicate appointments with residents.
- Take into account the needs of residents that are 'at risk' when attempting to gain access.

2.8 Forced Entry

As a last resort, will use the Environmental Protection Act 1990, to force entry into properties where you are not providing access.

2.9 Cost Recovery

We will look to recover from you the legal fees incurred when following the forced entry procedure.

3.0 Training

We will identify and provide asbestos management training to all staff that have specific or general responsibilities relating to this policy or procedure and ensure that we have an available source of expert asbestos advice.

4.0 Communication and information

We are committed to engaging with residents and stakeholders and will use a range of communication methods to consult with, listed to and promote awareness of asbestos management. We will:

- Develop a Health and Safety communications plan to help ensure all residents are fully aware of the known asbestos materials in their home and issues surrounding asbestos.
- Provide residents copies of the asbestos information they hold on their home upon request.
- openly share the information from its Asbestos Register with Phoenix staff, residents and contractors and ensure they are aware of how to report any damage.
- Add flags to the Housing Management System to alert employees that there is asbestos information available for them to view within the Asbestos Register.
- Expect residents to share their ACM information with anyone who they instruct to do work on their home.
- Inform the residents of any intended asbestos works likely to affect them.
- Ensure that when planning asbestos related works, the needs of residents and members of the public are considered.
- Consult with its employees on matters that affect their health and safety and consult with its employees on the development of this policy and the supporting working procedure.
- Make residents aware of the risks of ACMs within their home through the Tenant's Handbook, website and an Asbestos Safety booklet, including an easy read version.
- Make residents aware of their responsibility to request written permission from Phoenix to carry out any improvement works to their home.

5.0 Fire Safety

We will not allow any improvement work that will disturb ACM or breaches compartmentation.

6.0 Legislation

We recognise our duties and responsibilities under current legislation, related codes of practice and guidance concerning the management of asbestos, including:

- The Defective Premises Act 1972 in England and Wales
- The Health and Safety at Work Act 1974

- Landlord and Tenant Act 1985
- Housing Act 1988
- Environmental Protection Act 1990
- Workplace (Health, Safety and Welfare) Regulations 1992
- Provisions and Use of Work Equipment Regulations 1998
- The Management of Health & Safety at Work Regulations 1999
- Housing Health and Safety Rating System – Housing Act 2004
- The Control of Asbestos Regulation 2012
- HSG 264 Asbestos: The Survey Guide
- Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013
- The Construction Design and Management Regulation 2015
- Homes (Fitness for Human Habitation) Act 2018
- Data Protection Act 2018

Monitoring and Review

We will:

- Undertake monthly active monitoring of our policy arrangements and procedural operations at a team level.
- Report and monitored monthly performance related to asbestos management through key performance indicators as determined by the Board. Incidents of non-compliance will be reported or escalated to the Executive Team and Board as appropriate.
- Report key performance indicators quarterly to the Health and Safety Committee.
- Undertake periodic third party audits and report to the Audit Committee.

Policy Review

We will review this policy every 3 years, or sooner if there are changes to legislation, good practice or other learning.

Reference to other documents and associated policies and procedures

Including:

- Phoenix Standards
- Health & Safety Policy
- Responsive Repairs Policy
- Communal Clearance
- Group Gas Safety Policy
- Group Fire Safety Policy
- Group Electrical Safety Policy
- Tenancy and Lease Agreements

- Mutual Exchange Policy
- Translation and Interpretation Policy
- Recharges to Residents Policy
- Building a Safer Future- An Implementation Plan
- Audit Reports
- Procurement Policy, Strategy and Toolkit
- Voids Policy
- Contractors, Suppliers and Service Providers Charter
- Asset Management Strategy
- Tenants Handbook
- Supporting Residents 'At Risk' Policy

Definitions

Term/acronym	Description
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Document Type:	Policy
Title:	Group Asbestos Policy
Author:	Compliance Manager
Department Owned By:	Property and New Business
Data Protection Impact Assessment:	Choose an item.
Equalities Impact Assessment:	No
Approval Date:	Click here to enter a date.
Approved By:	In accordance with delegated authorities
Implementation Date:	Date implementation planned
Status:	Draft
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Issue Date:	Click here to enter a date.
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GROUP MONEY LAUNDERING POLICY AND PROCEDURE

Responsible Officer- Director of Finance

1 INTRODUCTION AND AIM OF THE POLICY

- 1.1 Changes to legislation concerning money laundering (the Proceeds of Crime Act 2002 and the Money Laundering Regulations 2003), broadened the definition of money laundering and increased the range of activities caught by the statutory framework. As a result, obligations impact on certain areas of Registered Provider's (RP's) business and require RPs to establish internal procedures to prevent the use of their services for money laundering.

Phoenix is committed to maintaining the highest standards of ethics and good governance. As part of this, Phoenix adopts a zero tolerance approach to all forms of fraud, bribery and corruption, including money laundering. This policy aims to sets out how Phoenix will meet its anti-money laundering requirements and suspicious activity reporting.

2 SCOPE OF THE POLICY AND RESPONSIBILITIES

- 2.1 This Policy applies to all Phoenix employees and volunteers in the Phoenix Group. It aims to maintain high standards of conduct and the prevention of criminal activity through money laundering and terrorist financing.

The Policy sets out the procedures which must be followed (for example, the reporting of suspicions of money laundering activity) to enable us to comply with our legal obligations.

- 2.2 The Phoenix Group is regulated by HMRC (Her Majesty's Revenue and Customs) and the FCA (Financial Conduct Authority) for anti-money laundering purposes.

- 2.3 Failure by a member of staff to comply with the procedures set out in this Policy may lead to disciplinary action being taken against them. Any disciplinary action will be dealt with in accordance with our Disciplinary Policy and Procedure.

Staff may also be personally liable if they fail to follow applicable anti-money laundering and terrorist financing legislation:

- Senior Managers can be personally liable for breaches of the Anti-Money Laundering Rules with potential punishments of fines and/or up to 2 years' imprisonment.
- All employees risk committing offences. Potential punishments include fines and/or up to 14 years' imprisonment.

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3 WHAT IS MONEY LAUNDERING?

3.1 Money laundering is defined as:

'The process by which funds derived from criminal activity are given the appearance of being legitimate'.

Remember: money laundering could arise from any form of criminal activity, even tax evasion.

Examples include:

- Using proceeds from crime e.g. using money from drug dealing to pay rent or deposits
- Buying a property using proceeds of crime

The following are prohibited acts under the legislation:

Principal offences:

Concealing, disguising, converting, transferring criminal property or removing it from the UK. ~~(section 327 of the 2002 Act);~~

Entering or becoming concerned in an arrangement which you know or suspect facilitates the acquisition, retention, use or control of criminal property by or on behalf of another person. ~~(section 328);~~

Acquiring, using or possessing criminal property. ~~(section 329);~~

Becoming concerned in an arrangement facilitating concealment, removal from the jurisdiction, transfer to nominees or any other retention or control of terrorist property. ~~(section 18 of the Terrorist Act 2000).~~

Secondary offences:

- Failure to report suspicious activity relating to one or more of the principal offences.
- Tipping off where that might prejudice or reduce the likelihood of an investigation.
- Continuing to act/proceeding in a transaction without consent from the National Crime Agency.

3.2 Potentially any member of staff could be caught by the money laundering provisions if they suspect money laundering or terrorist financing, and either become involved with it in some way and/or fail to report it.

3.3 ~~Whilst the risk to the association of contravening the legislation is low, it~~ *It is extremely important that all employees are familiar with their legal responsibilities; serious criminal sanctions may be imposed for breaches of the legislation.*

3.4 Staff will be provided with an induction and regular mandatory training on Money Laundering. Staff managing higher risk activity or acting as our appointed Money Laundering Reporting Officers will attend more specialist training.

4 WHAT ARE THE OBLIGATIONS ON PHOENIX?

4.1 We must:

Carry out a risk assessment of the money laundering and terrorist financing risks we face;

Implement policies based on risks identified;

Assess transactions based on specific factors and determine what level of due diligence is appropriate, including implementing enhanced due diligence where necessary to address a particular risk;

Appoint a Money Laundering Reporting Officer ('MLRO') to receive disclosures from employees of money laundering activity (their own or anyone else's);

Meet requirements for the treatment of politically exposed persons (PEP's);

Have specific procedures and contracts in place whenever we rely on 3rd parties to complete due diligence on Phoenix's behalf;

Implement a procedure to enable the reporting of suspicions of money laundering;

Maintain client identification procedures in certain circumstances;

Maintain record keeping procedures including data retention for the obligatory minimum periods; and

[If appropriate, having regard to the size and nature of Phoenix or its subsidiaries' business:

appoint a member of the board ~~or a senior manager~~ as a Money Laundering Compliance Officer ('MLCO') to take overall responsibility for Phoenix's compliance with the anti-money laundering rules and regulations;

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carry out screening of employees who are involved in Phoenix's compliance with anti-money laundering legislation or otherwise capable of contributing to the identification and prevention of money laundering and terrorist financing in Phoenix's business; and

establish an independent audit function to evaluate Phoenix's AML policies and procedures and monitor Phoenix's compliance with applicable anti-money laundering regulations.

- 4.2 Not all our business is 'relevant' for the purposes of the legislation; it is mainly the accountancy and audit services carried out by the Finance Team and the financial, company and property transactions undertaken by the Development, **Income** and Homeownership Teams and **HomeMakers**. However, the safest way to ensure compliance with the law is to apply them to all areas of work. This means all staff are required to comply with this policy and in particular with the reporting procedures set out in section 6 below.

5 THE MONEY LAUNDERING REPORTING OFFICER (MLRO)

- 5.1 The officers nominated to receive disclosures about money laundering activity within the association **are the Head of Specialist Housing and the Director of Finance.**
- 5.2 **The Money Laundering Reporting officers will ensure the Group takes a risk-based approach to money laundering and will implement enhanced due diligence and controls where risks are identified.**

6 DISCLOSURE PROCEDURE

Reporting to the Money Laundering Reporting Officer

- 6.1 Where you know or suspect that money laundering or terrorist financing activity is taking/has taken place, or become concerned that your or Phoenix's involvement in a matter may amount to a prohibited act under the legislation, you must disclose this as soon as practicable to the MLRO. The disclosure should be within 'hours' of the information coming to your attention, not weeks or months later. **SHOULD YOU NOT DO SO, THEN YOU MAY BE LIABLE TO PROSECUTION.**
- 6.2 Your disclosure should be made to the MLRO using the pro forma report (see separate form). The report must include as much detail as possible, for example:

Full details of the people involved (including yourself, if relevant), e.g. name, date of birth, address, company names, directorships, phone numbers, etc.

Full details of the nature of their/your involvement:

- If you are concerned that your involvement in the transaction would amount to a prohibited act **under sections 327-329 of the 2002 Act, then your** your report must include all relevant details, as Phoenix **may** need consent from the National Crime Agency (“NCA”) to take any further part in the transaction – you must not take any further steps in relation to the transaction until you have received approval to proceed by the MLRO.
- You should therefore make it clear in the report whether there are any relevant deadlines e.g. a completion date or court deadline, **to assist the MLRO in keeping you up-to-date.**

The type of money laundering activity involved / what has caused you to be suspicious:

- If possible, cite the section number(s) under which the report is being made e.g. a principal money laundering offence under the 2002 Act (or 2000 Act), or general reporting requirement under section 330 of the 2002 Act (or section 21A of the 2000 Act), or both. **set out the type of money laundering. The form will help you do this.**

The dates of such activities, including:

- whether the transactions have happened, are ongoing or are imminent:
 - Where they took place
 - How they were undertaken
 - The (likely) amount of money/assets involved
 - Why, exactly, you are suspicious – NCA will require full reasons.

Any other available information that may be useful to enable the MLRO to make a sound judgement as to whether there are reasonable grounds for knowledge or suspicion of money laundering, to determine whether a report should be made to NCA and, where appropriate, to enable a report to be prepared. You should also enclose copies of any relevant supporting documentation.

6.3 Once you have reported the matter to the MLRO, you must follow any directions given to you. You must NOT make any further enquiries into the matter yourself; any necessary investigation will be undertaken by NCA. Simply report your suspicions to the MLRO who will refer the matter on to NCA if appropriate. All members of staff will be required to co-operate with the MLRO and the authorities during any subsequent money laundering investigation. You should avoid discussing the report with other staff members

unless this is necessary, although you can seek further guidance from your line manager or the MLRO.

- 6.4 Similarly, at no time and under no circumstances should you voice any suspicions to the person(s) whom you suspect of money laundering, even if NCA has given consent to a particular transaction proceeding, without the specific consent of the MLRO; otherwise you may commit a criminal offence of 'tipping off'.
- 6.5 Do not, therefore, make any reference on a file to a report having been made to the MLRO – should the person involved exercise their right to see the file, then such a note will obviously tip them off to the report having been made and may render you liable to prosecution. The MLRO will keep the appropriate records in a confidential manner.

Consideration of the disclosure by the Money Laundering Reporting Officer

- 6.6 Upon receipt of a disclosure report, the MLRO must note the date of receipt on the appropriate section of the report and acknowledge receipt of it. You should also be advised of the timescale within which the MLRO expects to respond to you.
- 6.7 The MLRO will consider the report and any other available internal relevant information, e.g.:
- reviewing other transaction patterns and volumes;
 - the length of any business relationship involved;
 - the number of any one-off transactions and linked one-off transactions;
 - any identification evidence held;
- and undertake such other reasonable enquiries thought appropriate in order to ensure that all available information is taken into account in deciding whether a report to NCA is required (such enquiries being made in such a way as to avoid any appearance of tipping off those involved). The MLRO may also need to discuss the report with you.
- 6.8 Once the MLRO has evaluated the disclosure report and any other relevant information, a timely determination must be made as to whether:
- there is actual or suspected money laundering taking place; or
 - there are reasonable grounds to know or suspect that is the case; and
 - whether a report should be made to the NCA and (where relevant) whether consent from NCA should be sought for the transaction to proceed.

- 6.9 Where the MLRO does so conclude, then the matter must be disclosed as soon as practicable to NCA using their Suspicious Activity Report Online System and in the prescribed manner, unless there is a reasonable excuse for non-disclosure to NCA (for example, if you are a lawyer and you wish to claim legal professional privilege for not disclosing the information).
- 6.9.1 Where the MLRO suspects money laundering but has a reasonable excuse for non-disclosure, then the report must be noted accordingly; **the MLRO can at their discretion then immediately give his/her consent for any ongoing or imminent transactions to proceed.**
- 6.9.2 In cases where legal professional privilege may apply, the MLRO must liaise with the legal adviser to decide whether there is a reasonable excuse for not reporting the matter to NCA.
- 6.9.3 Where consent is required from NCA for a transaction to proceed, then the transaction(s) in question must not be undertaken or completed until NCA has specifically given consent, or there is deemed consent through the expiration of the relevant time limits without objection from NCA.
- 6.10 Where the MLRO considers that there are no reasonable grounds to suspect money laundering then the report must be marked accordingly and consent given for any ongoing or imminent transaction(s) to proceed.
- 6.11 All disclosure reports referred to the MLRO and reports made by the MLRO to the NCA must be retained by the MLRO in a confidential file kept for that purpose, for a minimum of five years.
- 6.12 *The MLRO commits a criminal offence if he or she knows or suspects or has reasonable grounds to do so, through a disclosure being made, that another person is engaged in money laundering and that is not disclosed as soon as practicable to NCA.*

7 CLIENT IDENTIFICATION PROCEDURE

- 7.1 Whenever Phoenix:
- a) forms an ongoing business relationship with a client; or
 - b) undertakes a one-off transaction involving payment by or to the client of 15,000 euro (approximately £10,000) or more; or
 - c) undertakes a series of linked one-off transactions involving total payment by or to the client(s) of 15,000 euro (approximately £10,000) or more; or
 - d) it is suspected that a one-off transaction (or a series of them) involves money laundering,

then this Client Identification Procedure must be followed **before** any business is undertaken for that client. Please note that, unlike the reporting procedure in paragraph 6, the client identification procedure only applies to those departments undertaking relevant business **i.e. the Finance and Development Departments.**

- 7.2 In the above circumstances, staff in the relevant section of the association must obtain satisfactory evidence of the identity of the prospective client, as soon as practicable after instructions are received (unless evidence of the client has already been obtained). This applies to existing clients, as well as new ones. **but identification evidence is not required for matters entered into prior to 1st May 2007.**
- 7.3 Once instructions to provide relevant business have been received, and it has been established that any of paragraphs 7.1(a) to (d) apply, evidence of identity should be obtained as follows:

Internal Clients

- 7.3.1 Appropriate evidence of identity for our departments will be signed written instructions on association headed notepaper or an email on the internal email system at the outset of a matter. Such correspondence should then be placed on our client file along with a prominent note explaining which correspondence constitutes the evidence and where it is located.

External Clients

- 7.3.2 The Finance Director will maintain a central file or general client identification evidence regarding the external organisations to whom **Phoenix Finance and Development Departments** provides services. You should check with the MLRO that the organisation in respect of which you require identification is included in the MLRO's central file and check the precise details contained in relation to that organisation. If the organisation is not included in the central file, you should discuss with the MLRO. You should also then obtain the following additional evidence:

For external clients, appropriate additional evidence of identity will be written instructions on the organisation's official letterhead at the outset of the matter or an email from the organisation's e-communication system. Such correspondence should then be placed on the association's client file along with a prominent note explaining which correspondence constitutes the evidence and where it is located (and including a reference to a search of the MLRO's central file, if undertaken).

- 7.3.3 **With instructions from new clients, or further instructions from a client not well known to you, additional evidence of the identity of key individuals in the organisation and of the organisation itself must be made. (See guidance on Politically Exposed People)**

- 7.4 In all cases, the evidence should be retained for at least five years from the end of the business relationship or the final transaction (see paragraph 9 below for more information).
- 7.5 If satisfactory evidence of identity is not obtained at the outset of the matter then the business relationship or one-off transaction(s) cannot proceed any further.

8 RELIANCE ON THIRD PARTIES

Where we rely on third parties to carry out due diligence on our behalf we will have a written agreement in place and obtain copies of the due diligence documents and information.

9 RECORD KEEPING PROCEDURES

- 9.1 Each team conducting relevant business must maintain records of:
- any documents and information obtained as part of the client due diligence process (including client identification documents and (where relevant) information on the source of funds for a transaction); and
 - details of all relevant business transactions carried out for clients (including sufficient supporting records and documents to enable the transaction to be reconstructed),
 - for five years, after the end of the business relationship with the client or the completion of the transaction in question (whichever is later). This is so that these may be used as evidence in any subsequent investigation by the authorities into money laundering.
- 9.2 The precise nature of the records is not prescribed by law, however they must be capable of providing an audit trail during any subsequent investigation, for example distinguishing the client and the relevant transaction and recording in what form any funds were received or paid. In practice, teams will be routinely making records of work carried out for clients in the course of normal business and these should be adequate.
- ## 10 FURTHER ADVICE
- 10.1 The legislative requirements concerning anti-money laundering and terrorist financing procedures are lengthy and complex. This Policy has been written so as to enable the association to meet the legal requirements in a way which is proportionate to the ~~very~~ risk to the association of contravening the legislation.
- 10.2 Should you have any concerns whatsoever regarding any transactions then you should contact one of the MLRO's

Reference to other documents and associated policies and procedures

Form- report to the Anti Money Laundering Reporting Officer
 Anti-Money Laundering Checklist
 Document Verification guidance
 Guidance from NCA for MLROs
 Supplier set up procedures
 Anti-Tax Evasion Policy

Guidance on dealing with Politically Exposed People

Reference to legislation

Proceeds of Crime Act 2002
 POCA Regulations 2007
 Terrorism Act 2000
 Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017

Definitions

Term/acronym	Description
Resident	Includes tenants, freeholders and leaseholders.
Phoenix	Phoenix Community Housing.
MLRO	Money Laundering Reporting Officer
MLCO	Money Laundering Compliance Officer
NCA	National Crime Agency
PEP	Politically Exposed People

To update

Document Type:	Policy
Title:	Anti-Money Laundering Policy
Author	Head of Specialist Housing Services
Department Owned By	Finance
Equalities Impact Assessment:	No
Approval Date:	2016-07-28
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Implementation Date :	Immediate- policy review not a new policy
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Finance- Policy and Procedure Anti - Money Laundering FINAL V2 July 2016

DATE: 30/05/2019	PHOENIX COMMUNITY HOUSING BOARD MEETING	ITEM NO. 6
Open or Confidential	OPEN	
Report Title	Safeguarding Panel 2018-19	
Lead Officer	David Westworth, Director of Customer Services & Designated Officer, 07525 906 608	
Lead Board Members	Anne McGurk	
This item is for	DECISION	

1 Recommendations

- A. The Board notes the key outcomes from the Safeguarding Panel.
- B. The Board approves the update report for the Lewisham Safeguarding Children's Board (LSCB) (Appendix 2).

Executive Summary

The Phoenix Safeguarding Panel promotes and supports Phoenix's responsibilities towards Safeguarding to ensure that everyone we work with is kept safe and protected from harm, neglect, abuse and injury.

The Panel is chaired by the Director of Customer Services who is also the Designated Officer and ultimately responsible for ensuring that Phoenix maintains compliance with its Safeguarding Policy, relevant law and good practice.

The Panel meets at least once quarterly, has an approved Terms of Reference and standing agenda items.

During 2018-19, the Panel implemented a revised panel structure to support the Designated Officer. The revised panel structure is available on request.

Key outcomes achieved by the Panel in 2018-19 include:

- Implemented the structure of the Safeguarding Panel, updated the Terms of Reference and reporting procedures.
- Maintained partnership working with Lewisham Safeguarding Adults Board and Lewisham Safeguarding Children Board.
- The Head of Customer Experience attends the Lewisham Safeguarding Adults Board Housing Forum and the Head of Housing attends the Lewisham Children Safeguarding Board.
- Continued to attend the Lewisham Safeguarding Adults Board (LSAB) Housing Providers Forum to promote good practice and other learning and took on Chairing the Forum.
- Completed the annual report to the Lewisham Safeguarding Adults Board in January 2019.

- The Designated Officer and Deputy attended Designated Officer training.
- Updated the Safeguarding Concern form.
- Continued to make referrals directly to the London Fire Brigade for fire risk assessments to be carried out for 'at risk' residents.
- Developed a Children, Young People & Young Adults Activity Checklist and Procedure to support staff.
- Delivered a workshop for staff on Modern Day Slavery.
- Reviewed our Supporting Residents 'At Risk' Strategy and created an overarching statement to support our Older Person's Strategy and Young People's Plan.
- Trained key staff to become Mental Health First Aiders.
- 87.65% compliance with Safeguarding Training at year-end.

The performance of the panel is summarised in Appendix 1.

Plans for 2019- 20

- Review our Safeguarding Policy and Procedures as part of good practice and to ensure that there is clear definition and separation of Adult and Children needs.
- Develop guidance for our teams when they offer work experience or volunteering for people under 18.
- Develop procedures and deliver training as part of our review of the NSPCC Safeguarding Standards for the Voluntary and Community Sector.
- Review our approach to safer recruitment and audit our contractors. (carried forward).
- Continue our work supporting residents who hoard working closely with partner agencies such the London Fire Brigade and social services.
- Implement guidance to support staff in their role as Mental Health First Aiders.
- Develop a 'listening circle' to listen and learn from front line staff experience to ensure that our overall approach to Safeguarding is shaped by frontline experience. (carried forward)
- Improve compliance with Safeguarding Training and implement a new training programme.

We have been asked by the Lewisham Safeguarding Children's Board (LSCB) to provide a copy of an annual review. This report is appended in Appendix 2.

2 Corporate Plan Implications / Strategic Objectives

Strategic Objective: 2. Excellent services, efficiently delivered with empathy and fun.

2019-20 Corporate Objective: • Strengthen our business by making governance, service improvements and efficiencies based on resident insight and scrutiny, good practice and changes to our operating and regulatory framework.

3 Background including appendices

The Phoenix Safeguarding Panel promotes and supports Phoenix's responsibilities towards Safeguarding to ensure that everyone we work with is kept safe and protected from harm, neglect, abuse and injury.

The Panel is chaired by the Director of Customer Services who is also the Designated Officer (DO) and ultimately responsible for ensuring that Phoenix maintains compliance with its Safeguarding Policy. The DO also reports to the Executive Team.

The Panel reports to the Board quarterly through Key Performance Indicators (KPIs) and through an annual performance report. In addition, the Panel reports to the Local Authority Adult and Children Safeguarding Boards through audit returns set by the Local Authority.

The Phoenix Safeguarding Policy was approved by Board in November 2016.

Appendix 1 – Safeguarding Annual Performance Report

Appendix 2 – Lewisham Safeguarding Children's Board Update Report

4 Communications & Consultation Implications

The Terms of Reference for the Safeguarding Panel will be reviewed following implementation of the Property and New Business and Customer Services restructure.

5 Other Implications

Legal

The Safeguarding Policy and Procedure are scheduled for review as part of good practice in 2019-20. The Terms of reference support Phoenix to meet good safeguarding practice.

Equality & Diversity – none.

Value for Money

The changes to the Safeguarding Panel Structure as provided clear roles, responsibilities and guidance, saving time. In addition, supporting residents who are hoarding saves time in missed appointments, repair costs, minimises the risk of fire and improves residents' well-being.

6 Risk Implications

The recommendations within this report fit in with the risk appetite agreed by the Board:

- Risk adverse for resident leadership and guidance
- Cautious approach for achieving budget and legal



- Balanced approach for resident satisfaction, people capability and controls, technological and reputation.

7 Sustainability Implications

The recommendations within this report support Phoenix to ensure that everyone we work with is kept safe and protected from harm, abuse, neglect and injury.

8 Resource Implications – the ongoing work of the Safeguarding Panel can be resourced from existing budgets.

Finance – none.

Staff - staff will receive training to support them in their role on the Safeguarding Panel.

Property – none.

IT - Safeguarding referrals are saved on the shared drive, access to the folder containing the files are restricted to key members of staff.

Safeguarding processes are included within the Customer Relationship Management (CRM) project.

9 Confidentiality - this is an open report.

Approval

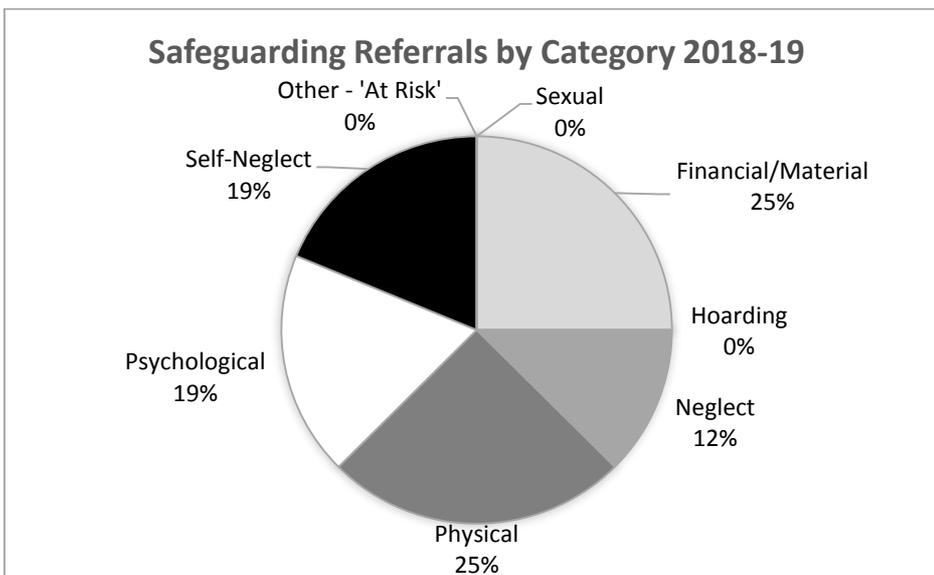
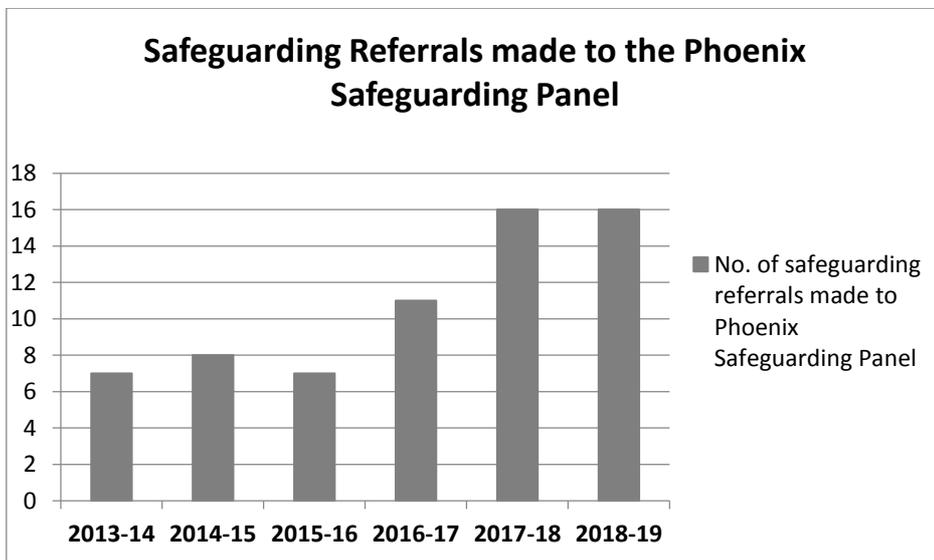
Approved by (Chair)	
Date	30-05-2019

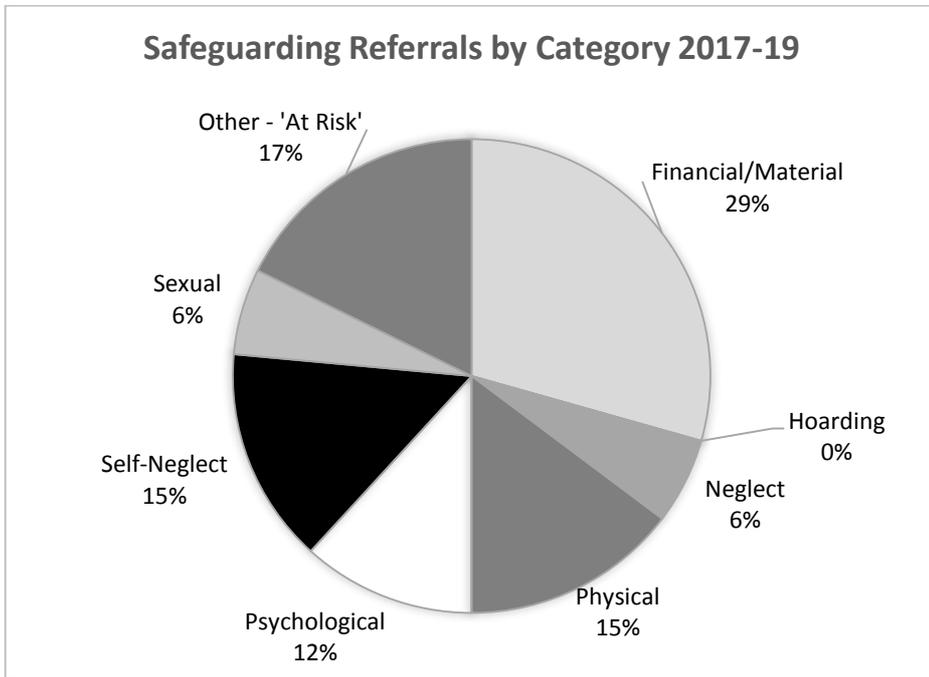
Safeguarding Performance

Key Performance Indicators 2018-19

Safeguarding Referrals

There have been 16 Safeguarding referrals made to the panel in 2018-19 of which 1 was from Notting Hill Genesis who provide the care at Hazelhurst Court Extra Care Scheme. During this period, 11 referrals were also made to the Head of Housing Management, these were considered as 'at risk' cases and added to the 'At Risk' monitoring log. There were 29 ongoing 'at risk' cases at the end of March.





Safeguarding referrals by category are also monitored. The Other 'At Risk' category includes:

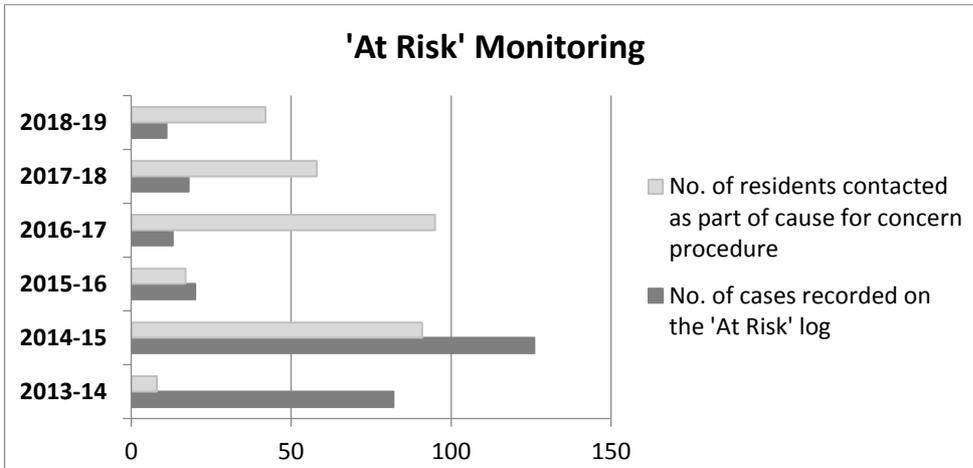
- Survivors of domestic abuse
- Anyone known to have a social worker, Community Psychiatric Nurse or other mental health support worker, drug or alcohol worker.
- People who are frail due to old age
- People leaving hospital, prison or care
- People whose physical or sensory impairment makes them vulnerable.

At Risk Monitoring

The Cause for Concern Procedure identifies tenants that:

- Have not had any contact with Phoenix in the last 6 months
- Have not had any repairs in the last 6 months
- Are in arrears of less than £400
- Are from households made up of two persons or less

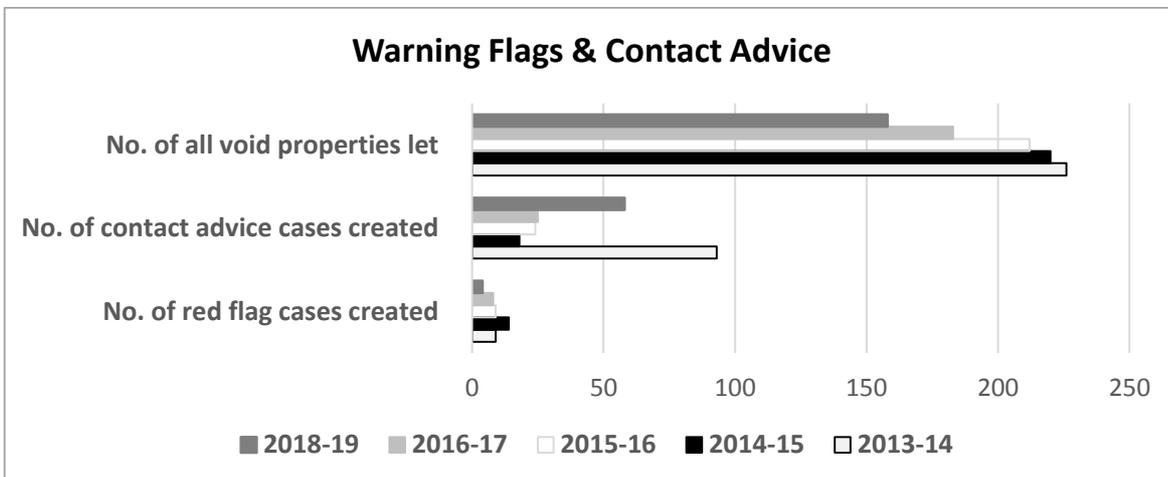
On a bi-weekly basis, Housing Officers telephone and residents 'flagged' on a Cause for Concern report to check that they are ok.



Warning Flags & Contact Advice

Contact Advice cases are created on the Housing Management database Orchard. The advice tells us important information relating to residents' contact needs such as knock loudly, be patient at the door and reminder call required; which reduce the number of no access visits by staff and contractors.

A summary of cases created over time is summarised below



2017-19 Section 11 & 'At Risk' Action Plan Progress

The table below highlights action plan progress

Total No. of Actions	Red Actions (overdue)	Amber Actions (in progress)	Green Actions (complete)	Not Started Actions
19	3	8	5	3

Appendix 1

Case Study 1 - Safeguarding

Tenant A has been working with the Tenancy Support Advisor (TSA) since 2017. She lives in a 3 bed house on her own. She has become increasingly frail and has COPD.

In November 2018 the TSA visited Tenant A and asked why she had not paid rent, she advised that a neighbour had her bank cards. When asked when she would get them back Tenant A said she did not know, the neighbour comes and goes. When asked why the neighbour had her cards and she said she was helping with debts.

In December 2018 the TSA discovered that the neighbour had still not returned the bank cards and Tenant A did not have any money to heat her home or pay for food. A Safeguarding alert was raised with the Local Authority. The ongoing investigation found that money was being taken from her bank account and the neighbours were also using the bedrooms in her property to store car parts. The neighbour was also knocking on Tenant A's wall and getting her to go shopping for her because she was looking after her children. The neighbour had also tried to get Tenant A to get her pension to be paid into her bank account.

In February 2019 Tenant A was placed in temporary accommodation by the Local Authority as the neighbour's behaviour became abusive and threatening when access to her money was stopped. The neighbour said Tenant A owed her money and that her partner was very angry which was witnessed by a member of PCH staff. The police were informed and interviewed Tenant A but she did not want to pursue the matter with the police as she was frightened.

In April 2019 a permanent new home was arranged for Tenant A in older persons accommodation.

Case Study 2 – Self Neglect

Tenant B has been working with the TSA since 2017 and lives in a 2 bed house on her own. The property is in a poor state of repair with an infestation of mice and pigeons which the tenant feeds. In September 2018 a serious leak occurred at the property. The leak emanated from the kitchen but could not be contained due to the poor condition of the property and the water supply had to be turned off to prevent the leak continuing. PCH supplied Tenant B with water and the TSA visited the property on a daily basis to check her welfare. Referrals were made to Adult Social Care and the GP was made aware of the concerns.

Significant works were required to bring the property up to a habitable standard and PCH believed Tenant B needed to be urgently decanted to another property in order for these works to be carried out.

Tenant B refused the offers of a decant and for the works to be carried out. PCH went to court in October 2018 and successfully gained an injunction which ordered Tenant B to move out temporarily while the works were carried out.

Appendix 1



In November 2018 Tenant B was decanted and the works to repair her property have now been carried out.

Lewisham Safeguarding Children Board Annual Report 2018-19

The Lewisham Safeguarding Children's Board (LSCB) brings together all the main organisations who work with children and families in Lewisham, with the aim of ensuring that they work together effectively to keep children safe.

The core legislation underpinning the work of the LSCB is the Children Act 1989 and the Children Act 2004. The LSCB's objectives, as set out in Working Together to Safeguard Children 2015, are:

- to co-ordinate the work of agencies to safeguard children and promote the welfare of children within Lewisham
- to ensure the effectiveness of safeguarding children in Lewisham

The LSCB has a number of Task Groups, which drive forward the work and priorities of the Board. The priorities of the Board for 2017-19 are to protect children from:

- Self-harm and suicide
- Neglect
- Governance, performance, analysis and outcomes
- Missing, exploitation and trafficking
- Voice of the child and community

Housing Services

Chaired by/Agency Representative:

Leon Yohai, Head of Housing Management, Phoenix Community Housing

What did we do in 2018-19?

(In relation to safeguarding children or to support the LSCB priorities 2018/2019)

In 2018-19 to support the LSCB in safeguarding children and deliver its priorities we:

LSCB Priority	Our Support
Neglect	<ul style="list-style-type: none"> • Implemented guidance for staff on what they should do if they come across children who are home alone when visiting properties.
Governance, performance, analysis and outcomes	<ul style="list-style-type: none"> • Implemented the restructure of our Safeguarding Panel, updated our Terms of Reference and reporting procedures. • Reviewed our Safeguarding training programme. • Ensured the Designated Officer and Deputy attended Designated Officer training.

Missing, exploitation and trafficking	<ul style="list-style-type: none"> Delivered a workshop for staff on Modern Day Slavery and continued to promote our Anti-Slavery and Human Trafficking Statement as part of our development of new services.
Voice of the child and community	<ul style="list-style-type: none"> Reviewed our Young Makers Agency activities and our approach to working with children and young people. Reviewed our Community Engagement and Empowerment Strategy, this includes specific objectives to support and empower children and young people.

Evidence for and evaluation of effectiveness

Evidence is monitored through an action plan by our Safeguarding Panel alongside a suite of key performance indicators (KPIs). The Safeguarding Panel is chaired by the Designated Officer and reports to the Executive Team quarterly. The Safeguarding Panel reports to the Board quarterly through KPIs and an annual performance report.

Our Phoenix Gateway Committee selected the suite of KPIs whilst our Resident Scrutiny Panel monitor them on quarterly.

We also reviewed our activities with children and young people against the NSPCC Safeguarding Standards and Guidance for the Voluntary and Community Sector.

Changes made as a result of previous learning/priorities and new developments

Fit with and contribution to LSCB current priorities

Our plans and priorities support the LSCBs priorities but as a landlord, we deliver limited activities and services directly to children and young people which means our impact is less direct.

What was the impact?

Learning and Impact of work

Key learning included:

- The need for clear specific guidance to support staff with facilitating or running children and young people activities.
- The benefits of separating our adult and children safeguarding procedures.
- The benefits of supporting staff dealing with safeguarding cases in different ways, for example: learning circles and Mental Health First Aiders.



Appendix 2

Views of parents/carers/children/young people

We have a specific complaints and feedback form for children and young people at our events and activities.

Improvements this year-what are we doing better as a result of the activity?

Following the restructure of our panel we are now able to monitor our cases more frequently and with structured reviews.

What we plan to do next?

What have you identified-This will inform priorities for next year

Challenges and priorities for this year (2019/2020)

Our Plans for 2019-20:

- Review our Safeguarding Policy as part of good practice and to ensure that there is clear definition and separation of Adult and Children needs.
- Develop guidance for our teams when they offer work experience or volunteering for people under 18
- Implement procedures and a commissioning checklist to support staff specifically working with children, young people and young adults.
- Improve compliance with Safeguarding Training (87.65% at year-end) and implement a new training programme.
- Start implementation of our reviewed Community Empowerment Strategy 2019-22. A key theme of the strategy is to improve life chances of children, young people and their families. Outcomes will be assessed against community based interventions as part of the delivery.
- Improve our approach to procurement with a focus on contract management audits. This will ensure that our contractors policies and procedures related to safeguarding are robust.

Example of effective practice

Our Community Engagement and Empowerment Strategy included reviewing current practice. We took a risk based approach to activities we will deliver directly and those where we will commission others who have more specialist skills to work on our behalf; particularly when this involves working with younger children.

DATE: 30/05/2019	PHOENIX COMMUNITY HOUSING BOARD MEETING	ITEM NO. 7
Open or Confidential	OPEN	
Report Title	Corporate Plan progress on milestones and targets for 2018-19	
Lead Officer	Say Leddington Head of Performance and Quality 0203 121 0193 Say.leddington@phoenixch.org.uk	
Lead Board Members	Anne McGurk	
This item is for	INFORMATION	

1 Recommendations

- A. The Board notes progress on the milestones, key projects and key performance indicators achieved 2018-19 to support the Corporate Plan.
- B. The Board notes that assurance on how we are delivering the priorities is available on request.

Executive Summary

The Board receives a progress update on key projects, milestones and performance indicators in the Corporate Plan every 6 months. This report covers 2018-19.

The report shows progress has been made delivering all of the priorities in the Corporate Plan reflecting the vision set by the Board “to work together to build a better future for our Phoenix community”, our strategic risks and our current operating environment.

Although there were 122 projects that support the plan many of these were business as usual. In setting the Corporate priorities for 2018-19 the Board agreed 8 key projects.

Overall

Key outputs and outcomes to highlight in the delivery of the plan so far this year include:

- Achieving key financial performance indicators for income collection within business plan assumptions and the more ambitious board targets for income collection. As well as supporting residents to obtain an additional £601k of income in benefits or grants so far this year.
- Delivery strong operational performance at upper or lower upper performance across the business, including 100% decency.
- Delivering our Board succession plans to be fully compliant with our Code of Governance at the September 2018 AGM.
- Continuing to raise our profile externally through both staff and joint staff and resident presentations at conferences and winning 5 awards.

- Completing set up so HomeMakers could start trading in December.
- Setting a new Community Engagement and Empowerment Strategy.
- Buying back 12 homes sold under the RTB to be repaired and let at London affordable rents.
- Completing our refinancing started in 2017-18 so we can build 200 new homes.

These outcomes have been achieved alongside some new risks, opportunities and challenges including:

- The roll out of universal credit (UC) which has resulted in 286 tenants claiming UC at year end.
- Some delays in delivery of the Fellowship milestones.
- Opportunities for stock transfers and to act as a development agent for a smaller association.
- Opportunities to promote our model
- Starting our Digital Together Project and shaping our new Customer Access Strategy.

Below is a summary of KPI performance, key projects and policies to support the delivery of the priorities.

Key Projects

In setting the key projects, milestones and performance indicators to support the delivery of the 2018-2020 Corporate Objectives the Board agreed 8 key projects. Progress is summarised below.

✓	Completed	1
✓ ▲	Ongoing and on track	4
◀ ▶	Some delays	3

Key Project	Progress
1. Review our Community Empowerment and Regeneration Strategy.	✓
2. Deliver the actions from our external Governance review.	✓ ▲
3. Implement our Digital Together Project- a Customer Relationship and Electronic Document Management system to maximise efficiency and support the delivery of a refreshed Customer Access Strategy.	◀ ▶
4. Complete the regeneration plans for the Fellowship Inn.	◀ ▶
5. Deliver our plans to improve how we meet the new Data Protection requirements.	◀ ▶
6. Review our Development Strategy and deliver our approved development programme.	✓ ▲
7. Develop and deliver an operational plan for People Services.	✓ ▲
8. Plan our next 10 years and start to set our Corporate Plan for 2020 onwards.	✓ ▲

In addition to these 8 projects the Executive Team is also actively monitoring and steering 33 other projects. These projects require a steer at Executive level because they relate to new business, opportunities, compliance or risk. The most significant of these are:

- Responding to and learning from the Grenfell fire and improving landlord compliance.
- Embedding our procurement strategy and key procurement projects
- Specific projects which are strands of growth and new business (for example the setting up of HomeMakers into a subsidiary and looking at stock transfer opportunities).
- Planned restructures.
- Mandatory training.

The ET has also added some new projects to the plan, responding to our external operating environment, to date these are:

- Making Tax digital
- Responding to the Social Housing Pension Scheme evaluation received in October.

Some structures have also been developed below ET to support the greater delegation from the Board and strengthen existing structures. This includes:

- The Project Board to look at all the strands relating to our Digital Together Project.
- Strengthening our safeguarding panel structures.
- Embedding our procurement working group with terms of reference.
- Setting up a Development and Acquisition Risk Panel, with agreed terms of reference.
- The Information Governance Group set up in 2017-18 to support our project to improve data protection compliance.

Projects (Key projects, projects monitored by ET and business as usual ones)

✓	Completed	88
◀ ▶	Some delays	27
x	Deferred or off track	7
	TOTAL	122

In assessing the annual projects to support the plan in 2018-19 projects that delivered everything planned for the year were assessed as completed.

In previous reports to the Board risks linked to project slippages were reported including:

- Some delays setting up the subsidiary for Home Makers- this started trading at the end of November.
- Developing an Older Person's Strategy
- Completing the Fellowship

Both HomeMakers and the Fellowship continued to experience delays and the Older Person's Strategy was deferred to allow staff to focus on the proposed restructure and Digital Together Project.

Two projects deferred or off track for 2018-19 were reported to the Board in November 2019:

- Information Strategy- this was deferred last year pending the ICT restructure. This restructure has now taken place however the new team are focusing on the Digital Together Project which will deliver how we manage our information going forward. So, it makes sense to defer the full strategy until that project is more developed.
- British Safety Standard Accreditation- this is an H&S accreditation which it is was decided not to go ahead with in 2018-19.

The other four projects deferred were:

Project	Reason for deferral
Project to deliver a programme of Mystery Shopping is set and delivered.	Resourcing and need to ensure previous recommendations acted on
Board Portal for Board and Executive Team	Need to integrate into Digital Together overall plans
Start to develop a knowledge network.	Delivered many actions to support this such as talking at conferences and winning awards but decided not to develop into a formal network
Continue to roll out refreshed signage on our estates.	Resourcing

KPIs

	Met	53
	Nearly met	5
	Not met	21
	Out of tolerance (and not met)	2
	TOTAL	79

Overall key financial targets are met and tenant income collection continues to be at over 100% with arrears reducing since 31-03-2018 by £62K, despite the introduction of Universal Credit and claimants increasing from 150 to 284, in the final Quarter. Former tenant arrears still require careful monitoring as the level of arrears increased by £25.7K over the year.

As well as maintaining our financial viability as a business we have supported our residents through our financial inclusion work, supporting them to gain grants or benefits of over £601K in the year and providing 403 energy advice sessions.

Progress has also been made this year reducing decent homes tenant refusals to 14 from 126 at the end of 2017-18.

Some operational KPIs and H&S non-compliance KPIs triggered by non-access to do checks or works continue to be carefully monitored to ensure risks do not increase.

A more detailed report on KPIs is included on the agenda for this board meeting. There are also more indicators to support the plan and our Phoenix Standards that will be summarised in the annual report and KPI report for residents.

Policies and Strategies:

✓	Completed	28
◀ ▶	Some delays carried forward to 2019-2020	14
x	Deferred or off track	6
	TOTAL	48

The number of policies due for review this year was high, reflecting a 3 year cycle in policy reviews; this also meant a number did not require significant change. In addition to the 28 policies others were also reviewed because the need to make changes emerged in the year or teams were ahead on their review schedule.

During the year a number of policies were amended to ensure they reflect the Group rather than just Phoenix

The policy paper elsewhere on this agenda notes progress completing reviews of a further 8 policies, reducing the number with delays to 8, (1 was done in advance).

Delayed policies or strategies not elsewhere on this agenda are:

Policy	Reason for delay / status
Compensation	Pending restructure
Community Volunteers	Policy approved subject to guidance being completed- Drafts completed corporate leads need to be set
Customer Access	In draft
Digital inclusion guidance	In Draft
CCTV	In Draft
Flexible and home working	Carried forward to 2019-2020
Supporting residents at risk status	In draft and scoped by Residents policy Working Group
Lone Working	Consultation with H&S committee and staff started

The 6 deferred policies were:

Policy	Reason deferral
Communications Strategy	Team changes (deferred from 2016-17), reported to Board Jan 2019
Rent Setting	Pending rent standard, policy checked to ensure it accounted for rent setting on

		purchase and repair properties 2018-19.
Information Strategy		See above under projects
Garage Policy		To be considered alongside our development plans
Remuneration Strategy		To be integrated into a People Strategy in 2019-2020

The full policy log is available on request.

Assurance

Examples of assurance to the Board on progress delivering each priority is available on request including more detailed reports considered by the Board, audits, performance and scrutiny reports.

The Scrutiny Panel has continued to assess how we are meeting the Phoenix standards and made recommendations for improvement through their scrutiny reports and by specifically looking at the Standards in Quarter 4 2018-19, when they agreed we were meeting the standards.

2 Corporate Plan Implications / Strategic Objectives

This report summarises progress against the Corporate Plan to provide assurance to the Board that plans it sets are being met. So the report relates most closely to:

Strategic Objective: 1. Resident leadership and membership.

2019-2020 Corporate Objective: • Strengthen our business by making governance, service improvements and efficiencies based on resident insight and scrutiny, good practice and changes to our operating and regulatory framework.

3 Background including appendices

In March 2018 the Board approved key projects, milestones and performance indicators to support the delivery of 2018-19 Corporate Objectives. The Board receives a progress update on key projects, milestones and performance indicators every 6 months. The last report considered by the Board was in November 2019.

Available on request is evidence of detailed updates on milestones, key projects and key performance indicators to support the Corporate Plan.

In May 2016 Board Members agreed that reporting on the corporate plan could be adopted on an exception basis setting out whether projects are completed on track or off track. This is included in the Executive Summary and has been adopted more widely for KPIs, projects and policies that support the plan too.

4 Communications & Consultation Implications

Staff one to ones and performance conversations are used to review performance achieved by individuals; these feed into team plans and the plan updates completed by managers.

Outcomes in this report will be highlighted to all staff and residents through our annual report.

5 Other Implications

Legal- No specific overall implications have been identified- although delivering the individual parts of the plan has had legal implications.

Equality & Diversity- This is a corporate priority. An action plan to enhance how we meet our Equality and Diversity Charter is being delivered and in October 2018 we celebrated diversity with our community at our annual diversity event.

During the year Equality Impact Assessments were carried out on service areas as well as key policies, including:

- Voids and lettings
- Complaints
- Involved residents and attendees at events
- Flexible

The findings are used to improve services or highlight areas for further exploration.

A separate performance report on equality and diversity was considered by the Board in January 2019.

Value for Money

As part of monitoring the plan the Value for Money (VFM) outcomes of each priority are set and will be reported back in full through our Value for Money Strategy update, later in the year.

In September 2018 the Board approved a refreshed VFM Strategy which includes the new VFM metrics now required by the Regulator of Social Housing.

Value for Money activity has been identified against over 39 projects in the Corporate Plan and there have been 37 entries in the VFM register, (2 more than last year). Outcomes from these will be collated to summarise in our VFM Strategy update to the Board in July 2019.

6 Risk Implications

There are risks related to each risk value driver included in the risk appetite set by the Board if Phoenix does not deliver its Corporate Priorities.

Failure to deliver or limited progress in delivering the Corporate Plan would be viewed as a risk by our lenders, regulator and other stakeholders.



Corporate plan updates provide assurance to the Board that risks are being managed within the risk appetite for the value drivers set in the risk appetite grid approved by the Board in May 2018.

Further evidence is available to support this report. The Residents Scrutiny Panel also considers how the Phoenix Standards are met in each of their reviews and recommends areas where they wish to see more evidence and are monitoring this, through an action plan.

7 Sustainability Implications

The Corporate Plan has a strategic priority of sustainability in the broadest sense- including financial sustainability as well as environmental sustainability. There is also a specific corporate priority related to environmental sustainability

8 Resource Implications

Finance- budgets for delivering the Corporate Priorities were included in the 2018-19 budgets. VFM outcomes are included in the updates; some of these outcomes need to be developed further before summarising them later in the year for our year end results.

Staff- staff resources for delivering the Corporate Priorities were included in the 2018-19 budgets.

Property- Priorities in the plan for ongoing improvement and investment in our homes; as well as our commitment to measuring and appraising the returns on our assets is ongoing.

IT- The last update on the Digital Together project was provided to the Board in March 2019. Most priorities and projects include ICT in some way.

9 Confidentiality

Open.

Approval

Approved by (Chair)	
Date	Click here to select date

DATE: 30/05/2019	PHOENIX COMMUNITY HOUSING BOARD MEETING	ITEM NO. 8
Open or Confidential	OPEN	
Report Title	Management Accounts to March 2019	
Lead Officer	Chris Starke, Director of Finance, 02031210121 Chris.starke@phoenixch.org.uk	
Lead Board Members	Mark Gayfer	
This item is for	INFORMATION	

1 Recommendations

A. That the Board notes the report.

Executive Summary

The purpose of this report is to provide the Board with information on the financial performance for the year to end March 2019 and compare this to the budget.

The March management accounts show a £8.6 million operating surplus compared to a budget operating surplus of £8.7 million for the year, an adverse variance of £0.1 million. The main elements within the variance are:

- bad debt charge £158,000 favourable due to rent collection being better than budget assumption;
- recharges to leaseholders £379,000 adverse as a result of the scope of rechargeable planned maintenance;
- planned and cyclical maintenance £574,000 favourable due to phasing of works; and
- staff costs £256,000 adverse due to agency staff costs covering absence and vacancies pending recruitment, staff for the Home Makers pilot pending the subsidiary commencing to trade, and the budget including some assumed savings arising from implementation of the Digital Together project in 2018/19. These savings will now be achieved in 2019/20.

The overall surplus of £7.5 million for the year compares to a budget overall surplus of £8.6 million, an adverse variance of £1.1 million. The main factor is a £1.0 million adverse variance on Right to Buy sales due to fewer sales and lower values than budget.

Financial covenants are met for the year. Additional information and detailed commentary on variances to budget for the year are provided in the appendices attached with this report.

2 Corporate Plan Implications / Strategic Objectives

Strategic Objective: 4. Sustainability-for our business and our community.
2019-20 Corporate Objective: • Deliver our Value for Money and efficiency plans, so we confidently maintain our financial viability in the long term.

This report provides information to the Board to demonstrate financial performance against budget.

There are some areas where figures are still to be finalised for the audited financial statements. Any variance between these estimates and the final costs will be reported when the statutory accounts are completed. These areas include:

- Review of bad debt provision for tenant and leaseholder arrears.
- Pensions costs – adjustments arising from the application of the Financial Reporting Standard 102 (international style accounting standard) following receipt of the report from the Lewisham Council Scheme actuary.
- Adoption of defined benefit accounting for the Social Housing Pension Scheme (CARE defined benefit section).
- Finalisation of depreciation for housing property.
- Assessment of impairment of any assets.

3 Background including appendices

- 3.1 The management accounts have been discussed with all the individual budget holders.

Appendix 1 Variances to Budget for March 2019 with commentary

Appendix 2 PCH March 2019 management accounts summary

Appendix 2b PCH March 2019 statement of financial position

Appendix 2c PCH March 2019 cash flow statement

Appendix 3 PAS March 2019 management accounts summary

4 Communications & Consultation Implications

- 4.1 The format of this report was agreed as part of the budget report to the Board in March 2017.

5 Other Implications

Legal

None.

Equality & Diversity

None.

Value for Money

The management accounts review process with the individual budget holders is used to identify examples of value for money for inclusion in the VFM register.

6 Risk Implications

- 6.1 The actual financial performance for the year shows an adverse variance compared to budget but this is principally due to Right to Buy (RTB) sales being lower than budget. Given that proceeds from RTB sales are being used to fund replacement of homes sold through the RTB, there is no detrimental impact on the business (no net loss of homes). This is consistent with the 'cautious' risk appetite agreed by the Board:

Risk appetite: *“Some actions considered that could lead to budget overspend; exposure is limited and opportunity or reward exceeds threat”.*

7 Sustainability Implications

None.

8 Resource Implications

Finance

The results demonstrate compliance with the financial covenant targets under the restated loan arrangements with Barclays: EBITDA MRI must be greater than 1.1 times interest payable (the ratio is 2.9) and net debt per unit below £30,000 (£11,600 at end March 2019). The financial covenant target for the Private Placement investor is EBITDA must be greater than 1.1 times interest payable (the ratio is 4.5).

Staff

None.

Property

None.

IT

None.

9 Confidentiality

- 9.1 The report is open.

Approval

Approved by (Chair)	
Date	Click here to select date

Appendix 1: Details of variances between budget and actual for the year: April 2018 to March 2019

Area of income or expenditure	Actual YTD Mar 19 £'000	Budget YTD Mar 19 £'000	Variance Fav/(adv) £'000	Explanation of difference	Report section
Total income	33,490	33,943	(453)	Lower bad debts reflecting rent collection performance offset by lower recharges to leaseholders relating to planned fire safety works	1
Housing Management and Service costs	2,952	2,980	28	Under spend on communal electricity, tree maintenance programme and bulk refuse costs	2.1 - 2.3
Responsive and void repairs	5,592	5,402	(190)	Higher volumes of responsive, communal & drainage repairs offset by lower voids work costs.	2.4
Planned & cyclical maintenance	934	1,508	574	Phasing of electrical works, and reduction in the programme for fire safety works.	2.5
Major works revenue	215	435	220	Lower asbestos and structural works	2.6
Staff costs	7,306	7,050	(256)	Agency staff costs covering absence and vacancies pending recruitment; delay in go live of Digital Together project	2.7
Office, IT & other operating expenses	4,022	3,932	90	Under spend on professional fees, legal fees & court costs	2.8
Depreciation	3,834	3,950	116	Non-cash item. IT capital expenditure lower than projected at end of 2017/18	2.9
Total expenditure	24,855	25,257	402		
Net Operating Surplus	8,635	8,686	(51)		
Net interest payable	(2,698)	(2,711)	13	Includes interest receivable	3.1
Sale of assets	1,556	2,599	(1,043)	10 RTB sales compared to 12 RTB sales and 1 RTA sale in budget. Average proceeds lower than budget assumption.	3.2
Overall Surplus	7,493	8,574	(1,081)		

1 Income

1.1 Gross Rents and Service charges receivable

Overall gross rental and service charge income (including garages) is £64,112 higher than budget. The additional income relates to the Home Makers pilot which was not included within the PCH budget. This income was received by PCH under the pilot scheme whilst waiting for the Home Makers subsidiary to commence trading.

1.2 Voids loss and bad debts

Void loss is £28,230 higher than budget. This is due to letting of the extra care scheme being slightly behind budget.

Bad debts are £158,230 lower than budget, reflecting the rent collection performance being better than assumed for the budget, and the mass migration of existing housing benefit claimants onto universal credit being deferred.

1.3 Revenue grant income

Revenue grant income for the Fellowship Inn project is £110,322 lower than budget. This is in line with lower revenue expenditure on the Fellowship project activities during the year (see section 2.8), with some activities now being delivered in the first quarter of 2019/20.

1.4 Other income

Other income overall is £537,188 lower than budget. The main variances are:

Under budget:	Variance
Recharge works for Leaseholders	£379,000
Aerial site leases	£76,000
Court costs recovered (lower costs incurred)	£57,000
Community hall hire	£22,000
Over budget:	
Fees & Charges (Home Makers pilot)	£18,000
Sponsorship for Phoenix Events	£13,000

The reduction in Leaseholders recharges reflect the scope and phasing of planned fire safety works delivered this year. The lower income from hire of the community halls is partially offset by lower running costs.

Aerial site lease income is lower than budgeted as anticipated increases in rent on new leases have not been achieved.

Appendix 1: Details of variances between budget and actual for the year: April 2018 to March 2019

2 Expenditure

2.1 Service Costs

Service costs are £44,761 higher than budget. The main variances to budget are:

Under budget:	Variance
Communal Electricity	£45,000
Tree maintenance	£32,000
Water rates	£22,000
Over budget:	
Green waste	£47,000
Play area maintenance	£32,000
Extra care catering service	£37,000

The lower spend on communal electricity costs is partly due to refunds from the previous supplier following a reprocurement of the contract and confirmation of actual consumption earlier in the year. Most blocks now have smart meters fitted to measure consumption.

There is lower spend on tree maintenance than anticipated. The lower spend for water rates are a result of additional reductions on charges to residents via Water Sure being identified by the financial inclusion team.

Green waste costs are a new direct cost that are directly attributable to the grounds maintenance service. The Grounds Maintenance team are investigating different options for the disposal of green waste and this service has been added to the 2019/20 procurement plan.

The higher expenditure on the play areas results from Health & Safety site inspections at the start of the year.

The extra care catering costs include some additional one off costs but the budget also omitted the cost of some elements in error.

2.2 Estate & Environment costs

Estate and environment costs are £7,344 lower than budget. The main variances to budget are:

Under budget:	Variance
Bulk refuse clearance	£16,000

The budget for bulk refuse is in Estates & Environment costs but the actual expenditure is now split between Service costs (for green waste costs from the in-house grounds maintenance team) and Estates costs (for refuse clearance). The net variance of bulk refuse and green waste is £31,000 higher than budget.

Appendix 1: Details of variances between budget and actual for the year: April 2018 to March 2019

2.3 Other Housing Management

Housing management costs are £65,468 lower than budget. The main variances to budget are:

Under budget:	Variance
Home Search letting service	£20,000
Financial Inclusion	£15,000

The delayed mass migration to universal credit for existing benefit claimants has reduced the anticipated use of the citizen's advice service.

The budget for Lewisham Home Search included VAT. The service is outside the scope of VAT and therefore no VAT is charged on these invoices.

2.4 Repairs and Voids

Repair costs are £289,546 higher than budget. The main variances to budget are:

Under budget:	Variance
Fencing	£133,000
Over budget:	
Responsive repairs	£184,000
Drainage and underground works	£72,000
Gas repairs	£52,000
Communal and estate repairs	£35,000

Void costs are £100,021 lower than budget due to a decrease in both the numbers and average costs for voids. The net variance of the repairs and voids total costs is £189,525 higher than budget.

2.5 Planned and cyclical maintenance

Planned and cyclical maintenance expenditure is £573,801 lower than budget. The main variances to budget are:

Under budget:	Variance
Fire safety works	£528,000
Electrical works & LED replacement	£63,000
Internal decorations	£35,000
Over budget:	
Water services	£157,000

The revised programme for fire safety works has started in February after the results of the surveys carried out in the first six months were collated. The anticipated scope of the works for 2018/19 has been reduced by £401,000.

Electrical works were below budget due to a lower level of remedial works arising from the electrical condition surveys.

Appendix 1: Details of variances between budget and actual for the year: April 2018 to March 2019

There was minimal expenditure on internal decoration works pending the review of the policy.

The cyclical water services work included additional works identified following the results of legionella inspection surveys.

2.6 Major works revenue

Major works revenue costs are £220,427 lower than budget. The costs relate to major works that are not capitalised. They include asbestos survey costs where there are no additional works required, partial central heating replacements, structural works and works to address damp.

2.7 Salaries and other staff costs

Total staffing costs (including agency) are £256,361 higher than budget. This is due to agency staff covering sickness absence and positions pending recruitment in housing, caretaking and the Home Makers pilot pending the subsidiary commencing to trade. The budget included some assumed savings arising from implementation of the Digital Together project in 2018/19. These savings will now be achieved in 2019/20.

2.8 Office, IT and other operating expenses

Office costs £8,308 higher than budget and IT costs are £127,265 higher than budget, partly offset by Other operating expenses £45,060 lower than budget. The main variances on expenditure are:

Under budget:	Variance
Professional fees	£67,000
Revenue related costs for Fellowship project (see 1.3)	£82,000
Court fees	£52,000
Over budget:	
Payments to Leaseholders (Home Makers pilot)	£77,000
Restructure costs	£52,000
Office equipment & repairs	£42,000
Mobile phones	£25,000
Additional software licence and third party support costs	£151,000

Some of the office repairs may be covered by the retention still held on the Green Man contract.

2.9 Depreciation

Depreciation is £115,863 lower than budget for the year due to lower than originally expected IT capital expenditure in 2017/18. This is a non-cash item.

3 Interest and Sales of Assets

3.1 Interest

Net interest is £13,827 lower than budget for the year, partly due to interest receivable on cash deposits.

Appendix 1: Details of variances between budget and actual for the year: April 2018 to March 2019

3.2 Sale of housing properties

The Council agreed to waive its share of Right to Buy (RTB) sales proceeds from April 2016, subject to the RTB sales proceeds being used for the provision of new homes.

There has been a total of 10 RTB sales in the year. The surplus is lower than budget due to fewer sales than assumed for the budget (12 RTB and 1 RTA) and the average sale proceeds (net of the discount) being £156,000, compared to £240,000 in the budget, reflecting the nature of the properties and the valuations being undertaken near the time of the original applications (2013 to 2017).

4 Statement of Financial Position

4.1 Acquisitions/development of property

Housing properties net book value was £201 million at the end of March 2019, with depreciation partly offsetting development expenditure and capitalised major works.

Development expenditure during the year is £4.6 million net of grant, primarily in respect of the Forster House scheme. There were delays to the Woodbank Road scheme following queries on the design from the contractor.

Included in creditors is the unamortised grant of £6.3 million for the Hazlehurst Extra Care scheme, Forster House and Woodbank Road schemes.

4.2 Purchase and repair

At the May 2018 Board an additional budget of £4,250,000 was approved for the purchase and repair of properties available within the Phoenix area. This additional budget is funded from the retained RTB receipts (see sections 3.2 Sale of housing properties, and 4.9 Restricted reserve).

The purchase of 12 properties for £3.3 million has been completed in the year.

4.3 Fellowship Inn

There has been £2.6 million of capital expenditure in the year. Capital grant claimed in the year is £2.3 million of which £1.5 million is receivable at March and included in debtors. Grant claimed is included in creditors pending completion of the project when it will be released to income.

4.4 Capitalised major works

Capital major works expenditure is £4.5 million for the year, which reflects an additional £350,000 of internal works identified to be delivered including the kitchen and bathroom programme for the year agreed by Board, ensuring that our promises to residents are met.

Capitalised works include some capital related asbestos works (£92,000), which is offset by the lower spend on major works revenue (see 2.6), and component replacements and other capital works (£236,000) on larger voids.

4.5 VAT Shelter

Under the VAT shelter arrangement agreed at transfer, Phoenix recovers the VAT paid on the major works and 50% of the VAT recovered is payable to the Council, which is capitalised as part of the cost of major works above.

4.6 Debtors

Debtors have reduced compared to the previous year end due to rent collection and lower grants receivable at the year end.

4.7 Creditors

Creditors have reduced compared to the year end mainly due to a reduction in trade creditors.

4.8 Loans

Debt at 31 March 2019 increased to £79.5 million net of transaction costs, with £20 million drawn in September and March from the private placement as planned and £5.25 million of the revolving credit facility being repaid from surplus cash.

4.9 Restricted reserve

The net surplus from RTB sales has been transferred to a restricted reserve. There were ten purchases of properties under the purchase and repair programme in the year (see section 4.2 Purchase and repair).

5 Cash Flow Statement

- 5.1 Net operating cash flow was £11.1 million for the year, nearly four times interest payable. Investing activities comprised expenditure on development and capitalised major works (£12.9 million), other fixed assets including the Fellowship Inn (£2.4 million) offset by grant received of £2.1 million. Sales of property through the RTB generated £1.9 million. Net debt funding of £14.75 million was received.

APPENDIX 2 - PCH MANAGEMENT ACCOUNTS SUMMARY

From 1st April 2018 to 31st March 2019

	Year to date		
	Actual £	Budget £	Variance £
OPERATING INCOME:			
Rents & Service Charges:			
Rent Receivable	28,657,269	28,683,164	(25,895)
Other Rents Receivable - Garage & misc	170,027	87,024	83,002
Service Charge Receivable	1,911,836	1,899,832	12,004
Service Charge Receivable - Leaseholders	227,453	215,768	11,685
Water rates, tenants' contents insurance	1,930,063	1,946,747	(16,684)
Subtotal: gross rent	32,896,648	32,832,535	64,112
Less: Void Loss	(303,650)	(275,420)	(28,230)
Bad debts	(154,928)	(313,158)	158,230
Total: net rent	32,438,070	32,243,957	194,113
Revenue grant (including amortisation)	135,923	246,245	(110,322)
Other Income:			
Other income	724,949	893,064	(168,115)
Commission (Water Rates)	157,348	145,000	12,348
Major works recharged to Leaseholders	6,081	385,110	(379,029)
VAT reclaimed on Overhead Costs	27,608	30,000	(2,392)
Total Other Income	915,986	1,453,174	(537,188)
TOTAL OPERATING INCOME	33,489,979	33,943,376	(453,397)
OPERATING EXPENDITURE:			
Housing Management and Services:			
Service costs	2,613,644	2,568,882	(44,761)
Estate & Environment costs	227,326	234,670	7,344
Other Housing Management costs	111,062	176,530	65,468
Total Housing Management and Services	2,952,032	2,980,082	28,050
Maintenance and Improvements:			
Responsive Repairs	4,276,683	3,987,137	(289,546)
Void works	1,314,889	1,414,909	100,021
Planned Maintenance	531,035	1,185,624	654,589
Cyclical maintenance	402,880	322,092	(80,788)
Major works revenue	214,573	435,000	220,427
Total Maintenance and Improvements	6,740,060	7,344,762	604,703
OPERATING EXPENDITURE CONTINUED:			
Staff Costs			
Salaries	5,631,644	5,642,263	10,619
NI Employer's	581,481	616,699	35,218
Pension costs	465,167	516,901	51,734
Agency staff costs	348,652	0	(348,652)
Other staff costs	279,434	274,154	(5,280)
Total Staff Costs	7,306,378	7,050,017	(256,361)
Other costs:			
Office costs	132,037	123,729	(8,308)
Other operating expenses	2,948,607	2,993,667	45,060
IT costs	941,516	814,251	(127,265)
Depreciation	3,834,153	3,950,016	115,863
Total other costs	7,856,313	7,881,663	25,350
TOTAL OPERATING EXPENDITURE	24,854,784	25,256,527	401,743
TOTAL OPERATING SURPLUS / (DEFICIT)	8,635,195	8,686,849	(51,654)

APPENDIX 2 - PCH MANAGEMENT ACCOUNTS SUMMARY

From 1st April 2018 to 31st March 2019

	Year to date		
	Actual £	Budget £	Variance £
OPERATING INCOME:			
Financing activities:			
Interest Receivable	55,624	3,000.00	52,624
Less: Interest Payable and charges	(2,753,255)	(2,714,458)	(38,797)
Net interest received/ (paid)	(2,697,631)	(2,711,458)	13,827
Sale of Assets:			
Housing Property sales	1,919,892	3,156,000	(1,236,108)
Less: Repayable to LB Lewisham	0	0	0
Less: Cost of sales	(364,314)	(556,880)	192,566
Total sales of assets	1,555,578	2,599,120	(1,043,542)
Surplus / (Deficit)	7,493,143	8,574,512	(1,081,369)

	Actual	Budget
Operating margin		
Operating surplus	8,635,195	8,686,849
Margin %	26%	26%

Earnings before interest, tax, depreciation and amortisation including major works		
EBITDA	12,477,972	12,592,865
Capitalised major works	(4,562,717)	(3,852,536)
EBITDA MRI	7,915,255	8,740,329
EBITDA MRI vs interest	2.9	3.2
EBITDA vs interest	4.5	4.6

**Phoenix Community Housing
Statement of Financial Position**

	31 March 2019 £'000	31 March 2018 £'000
Property	217,125	204,106
Property depreciation and impairment	<u>(16,130)</u>	<u>(12,910)</u>
	200,995	191,196
Investment property	185	185
Other fixed assets	14,361	11,109
Other fixed assets depreciation	<u>(3,349)</u>	<u>(2,736)</u>
Investment in subsidiary	625	600
Total fixed assets	<u>212,817</u>	<u>200,354</u>
Stock	0	0
Debtors	5,356	5,584
Grants receivable	1,574	1,720
Provision for bad debts	<u>(1,186)</u>	<u>(1,186)</u>
Cash	<u>18,233</u>	<u>6,784</u>
	23,977	12,902
Creditors less than 1 year	<u>(5,247)</u>	<u>(5,971)</u>
Unamortised grants	<u>(4,264)</u>	<u>(2,199)</u>
	<u>(9,511)</u>	<u>(8,170)</u>
Net current assets	<u>14,466</u>	<u>4,732</u>
Loans	<u>(79,513)</u>	<u>(64,763)</u>
Improvement works	<u>(148)</u>	<u>(148)</u>
Disposal Proceeds Fund	<u>(741)</u>	<u>(741)</u>
Unamortised grant	<u>(4,818)</u>	<u>(4,865)</u>
SHPS repayment agreement	<u>(124)</u>	<u>(124)</u>
Pension Asset/(Liability)	<u>(40)</u>	<u>(40)</u>
NET ASSETS	<u>141,899</u>	<u>134,405</u>
CAPITAL AND RESERVES		
Called up share capital	(4)	(4)
Revaluation reserve	(49,303)	(49,302)
Revenue reserve	(91,068)	(81,881)
Restricted reserve	<u>(1,525)</u>	<u>(3,218)</u>
	<u>(141,899)</u>	<u>(134,405)</u>

Cash flow statement

OPERATING CASH FLOW

£000

Operating surplus	8,635
Depreciation	3,833
Amortisation of grant	(47)
Pension adjustment	0
(Increase)/decrease in debtors	164
Increase/(decrease) in creditors	(1,509)
Net cash inflow/(outflow) from operating activities	<u>11,076</u>

RETURNS ON INVESTMENTS AND SERVICING OF FINANCE

Interest received	56
Interest paid	(3,138)
Cash inflow from investing and servicing of finance	<u>(3,082)</u>

CAPITAL EXPENDITURE

Capitalised major works	(4,505)
Capital grants received	2,119
Acquisition and development of property	(8,358)
Investment in subsidiary	(25)
Investment property	0
Purchase of other fixed assets	(2,405)
Net inflow/(outflow)	<u>(13,174)</u>

SALE OF PROPERTIES

Right to buy sales	1,920
Less cost of sales	(40)
Cash inflow from sale of properties	<u>1,880</u>

NET CASH OUTFLOW BEFORE FINANCING

(3,301)

FINANCING

Loans received	20,000
Loans repaid	(5,250)

INCREASE/(DECREASE) IN CASH IN THE YEAR TO DATE11,449

APPENDIX 3 - PAS MANAGEMENT ACCOUNTS SUMMARY

PHOENIX REPAIRS SERVICE

From 1st April 2018 to 31st March 2019

	Year to date		
	Actual £	Budget £	Variance £
INCOME:			
PCH Partnership Contract			
Responsive Repairs	3,611,538	3,273,344	338,194
Special works orders (SWO's)	485,613	500,000	(14,387)
Voids	1,362,967	1,296,849	66,117
Total	5,460,118	5,070,193	389,924
Other Income			
PCH additional works	1,325,742	1,326,000	(258)
Leaseholder & Homemaker service	3,724	54,680	(50,563)
LTV - Long Term Voids	228,251	42,000	186,251
Non Partnership Works	205,522	0	205,522
Total	1,763,631	1,422,680	340,951
TOTAL INCOME	7,223,749	6,492,873	730,875
EXPENDITURE:			
Direct service costs	5,142,022	4,362,797	(779,225)
Branch services costs	1,376,235	1,334,442	(41,793)
Other operating expenses	594,881	600,848	5,967
TOTAL EXPENDITURE	7,113,138	6,298,087	(815,051)
NET PROFIT / (LOSS)	110,611	194,786	(84,176)

DATE: 30/05/2019	PHOENIX COMMUNITY HOUSING BOARD MEETING	ITEM NO. 9
Open or Confidential	OPEN	
Report Title	Chief Executive's Update Report	
Lead Officer	Jim Ripley, Chief Executive, 07515605100	
Lead Board Members	Chair	
This item is for	Decision	

1 Recommendations

The Board are asked to:

- A. Note Board Updates (Appendix A).
- B. Note Action Tracker (Appendix B).

Executive Summary

This report provides brief updates on issues not requiring a full Board Report and keeps the Board up to date with action points from previous Board meetings.

2 Corporate Plan Implications / Strategic Objectives

Strategic Objective: 1. Resident leadership and membership.
2019-20 Corporate Objective: • Strengthen our business by making governance, service improvements and efficiencies based on resident insight and scrutiny, good practice and changes to our operating and regulatory framework.

3 Background including appendices

This is a standard report, included at every Board meeting.

Appendix A – Board Updates.
 Appendix B – Action Tracker.

4 Communications & Consultation Implications

Any Communications & Consultation implications are covered in the Board Updates.

5 Other Implications

Legal

Equality & Diversity



Value for Money

This paper reports on the work undertaken by the association. Including legal and equality & diversity issues. By including updates rather than producing full Board Reports on appropriate issues, time and money is saved.

6 Risk Implications

This paper reports on the work undertaken by the association. It highlights how we have dealt with some of the risks associated with our work and reports on progress in some other areas.

The recommendations are in line with the risk appetite on resident leadership, where the Board’s risk appetite is risk adverse.

7 Sustainability Implications

Any sustainability implications are covered in the Board Updates.

8 Resource Implications

Finance

Staff

Property

IT

Any resource implications are covered in the Board Updates. Although updates in this report, help to reduce the need for full board reports on some of the issues covered.

9 Confidentiality

Open.

Approval

Approved by (Chair)	
Date	Click here to select date

APPENDIX A – BOARD UPDATES

Shared Ownership

Our first foray into the shared ownership market went public in April with the launch of Springbank Court on the SharetoBuy website. In just 3 weeks we've had over 2,800 views of the scheme and have received 248 expressions of interest! This surpasses our expectations and we don't expect to have any problems selling the 8 properties that are available. A show home is expected to be staged, with open days/evenings taking place in June. The homes will be 'move in' ready in late July.

Inside Housing – Anne McGurk's regular column

We are very excited to announce that Inside Housing will be publishing a regular column written by our very own Chair of the Board, Anne McGurk. Her columns will be featured over the course of the year with the first instalment published today: <https://www.insidehousing.co.uk/comment/comment/lets-make-tenant-involvement-the-norm-in-the-sector-61412>

Project Search

From September 2019 Phoenix will be offering up to six work placements for students with learning disabilities or autistic conditions.

This follows an approach by a new Partnership Board made up of Lewisham Council, Lewisham Southwark College, the Department for Work and Pensions, Toucan Employment and an international programme – Project Search – which supports the transition to work programme for people with learning disabilities.

The placements will be for nine months and based on the standard hours and dates of Lewisham Southwark College. Students will spend the first weeks of the unpaid internships in an induction programme to familiarise themselves with the organisation before undertaking three work placements through the year with identified managers. Interns will receive additional support through job coaches attached to the programme.

There is no obligation for Phoenix to offer employment to any of the students during or at the end of the internship, but we will be expected to connect the interns with other potential local employers.

Work is underway with managers to identify suitable placements for the 2019-20 academic year and there will be a further update to the HR and Remuneration Committee in June.

DataForum

In May Phoenix hosted the Data Forum which is an information sharing group of associations.

The meeting included a presentation from the regulator on the importance of our regulatory returns as well as information sharing on document record management.

Regulating the Standards

In March the Regulator of Social Housing published Regulating the Standards- which can be found here <https://www.gov.uk/government/publications/regulating-the-standards>

Overall the document sets out the broad principles which underpin the Regulators approach to regulation

It provides:

- Details of key processes such as Stability Checks and IDAs.
- Information on their planned work and outlines the approach to reactive engagement, including notifications and consumer regulation.
- Emphasises the Regulators reliance on timely and accurate data and clarifies information requirements.
- Outlines the approach taken to issuing regulatory judgements, providing explanations of the straplines used
- Sets out how the register of providers is maintained, including our registration and de-registration activity.

Key changes are:

- Plans to carry out IDAs for the largest and/or most complex providers on a biennial basis.
- In 2019-2020 begin holding a face-to-face meeting with the executive teams of providers in the years when they are not carrying out IDAs.

In the April risk seminar of ET and SMT we considered the document including being ready for another IDA and reflecting on how our approach to stress testing aligns with the regulators expectations which are summarised in the document.

New Rent Standard

The Regulator of Social Housing published a consultation on a new Rent Standard, earlier this month. This is available here, <https://www.gov.uk/government/consultations/consultation-on-a-new-rent-standard-from-2020>. We have till the 30th of July to respond.

The scope to influence the standard is limited as it follows a directive from Central Government. We will be expected to comply in full with the new standard and policy statement. The standard sets out circumstances and properties to which it applies and does not apply. As well as specific expectations relating to the following areas:

- the 2020 limit; (this is a limit on rent increases for existing tenants)
- rules on Social Rent;
- rules on Affordable Rent;
- movement between different types of rent.

The new standard will come into force on the 1st April 2020. Although in practice we will need to implement through our rent increase 4 weeks before. Now this draft and a rent policy statement has been published we will begin to review our rent policy, procedures and Phoenix Rent Standard to align with it so the Board can approve the policy before we need to start to implement it in Quarter 4 2019-2020.

Community Chest

The Phoenix Community Chest is now entering its 7th year of funding. This year we extended the Community Chest voting period by two days due to a delay by the mailing house in despatching the postal voting forms. We achieved a total of 415 tenants voting for the large grants which is the highest number of votes cast. We saw a significant rise in on-line voting this year which accounted for 35% of the vote with the remaining 65% was via the post, Green Man and the Phoenix festival.

The successful projects are as follows:

Bellingham - We Love Health & Wellbeing	Small
Brent Knoll & Watergate Co-operative Trust Summer Holiday Programme	Large
Family Action - Creating Happy Memories	Large
Haskins Hall Seniors Group	Small
Healthy Living Therapies for over 55s	Large
Jelly Babies	Small
Parent Partnerships	Small
St John's Festival of the Arts	Small
Young Carers Holiday Club	Large
Youth First Summer Fun	Large

APPENDIX B – BOARD ACTION TRACKER

Board Meeting	Item	Action	Officer	Deadline	Status	Commentary
November 2018	Headline results of the Star Survey	Mark Gayfer noted the positive results in satisfaction with accessing Phoenix and the improvement in leaseholder satisfaction and he stated he wanted to understand more the satisfaction levels for repairs and maintenance. Jim Ripley replied that satisfaction with the last repair was good. He noted that sometimes PCH will tell a resident they can't do a repair, such as fencing, and said he wanted to look more at this issue.	JR	November 2019		<p>Most dissatisfaction with last repair is linked to Special Works Orders we are reviewing our processes related to these to improve them.</p> <p>We are also consulting and developing an environmental programme which should address the fencing issues referred to.</p> <p>The scrutiny panel are looking at Fencing and will be reporting back to the November 2019 Board Meeting.</p>
Board Meeting	Item	Action	Officer	Deadline	Status	Commentary
January 2019	Management Accounts	Anne McGurk asked that a training session for Board Members on	KK	July 2019		Added to Board Training Plan. Date and format to be decided in

		Management Accounts be added to the Board Training Plan. The Board agreed.				consultation with the Chair and Vice-Chair.
January 2019	Policies	David Rowson replied that one of the lessons of Grenfell was how a “Stay Put” policy should be properly advised to residents together with information on how this should be interpreted. He added that PCH stock is different from Grenfell Tower and in the event of a fire, the fire compartmentalisation for each flat in a block should contain it. He further added that “Stay Put” advice applies only if it was safe to do so. David Rowson stated that residents would not be compelled to stay if they could move and it was safe to leave.	JR	July 2019		We are looking at how we can communicate this with residents.

Board Meeting	Item	Action	Officer	Deadline	Status	Commentary
28 March 2019	Response to the National Housing Federation Together with Tenants Plan	Say Leddington added that she would circulate a draft response to Board Members for their comments and views.	SL	31 May 2019		This was circulated the day after the Board Meeting.



DATE: 30/05/2019	PHOENIX COMMUNITY HOUSING BOARD MEETING	ITEM NO. 10
Open or Confidential	OPEN	
Report Title	Any Other Business	
Lead Officer	Kevin Kelly, Governance Manager, 07515605102	
Lead Board Members	Anne McGurk	
This item is for	INFORMATION	