

PUBLIC MINUTES
of the Regulation Committee meeting
held on 16 December 2014, 10am
QEII Centre, London

Present

Julian Ashby	Chairman
Richard Moriarty	
Jonathan Adlington	
Piers Williamson	(agenda items 1 – 12 only)
Sarah Wall	

In attendance

Andrew Rose	HCA Chief Executive
Matthew Bailes	Director of Regulation
Bronwen Rapley	Deputy Director Investigation and Enforcement
Mick Warner	Deputy Director Operations
Jonathan Walters	Deputy Director Strategy & Performance
Stephanie Fleck	Lawyer
Ros Poulson	Registrar
John O'Mahony	Assistant Director Regulatory Framework and Performance
Sandy Pacek	Head of Performance Management (Item 8)
Sara Le-Surf	Secretariat Assistant

1 Welcome and apologies

01/12/14 The Chairman welcomed everyone to the meeting. Apologies were received from Ceri Richards.

2 Declarations of Interest

02/12/14 Piers Williamson declared an interest in relation to Item 8 as THFC is a lender to the Sector.

3 Minutes of the meeting held on 16 September

03/12/14 The minutes of the meeting were AGREED as an accurate record of the meeting.

04/12/14 The Committee AGREED the proposed public minutes subject to some further redactions.

SLS

4 Matters Arising

05/12/14 Members NOTED the matters arising.

5 Committee forward look

06/12/14 Members NOTED the forward planner and suggested some further items. **SLS**

6 Regulation Director's update on key issues

11/12/14 Business Plan and Internal Audit – There had been no changes to report on the Business Plan targets which remained the same as the previous month and all Internal Audit actions for the year had been completed.

12/12/14 Media Coverage & Stakeholders – Members noted the media and stakeholder engagement.

13/12/14 Recruitment – Members received an update on the current recruitment campaign.

7 Regulatory Framework: Approval of Decision Making Pack

14/12/14 Members received and discussed the complete draft decision making pack.

27/12/14 Members AGREED that the pack could be published and DELEGATED the Chair to give the final sign off of any minor changes or changes needed arising from legal advice.

8 Accounting Direction

28/12/14 The Committee received a report which outlined the principles and drivers for a new Accounting Direction to be issued.

31/12/14 The Committee NOTED the report and it was AGREED that a revised report be brought back to the next meeting. **JW**

9 Compliance with the Regulators Code

32/12/14 Members NOTED a progress report on the Regulator meeting the obligations of the Regulators Code which came into effect in April 2014.

33/12/14 The Committee NOTED the report and asked officers to look at the approach currently taken with setting out the approach to risk in RTS and the level of consultation needed to satisfy the requirements of the Regulators' Code, to see if what is done currently meets the requirements of the Code and bring this back to Committee for further consideration. **JOM**

10 Consumer Regulation

34/12/14 Members considered this report noting the approach to be taken to dealing with consumer regulation cases where the units were owned by Local Authorities, including where they are managed by ALMOs.

35/12/14 The Committee agreed the approach.

11 Stocktake on recommendations from Cosmopolitan Report

36/12/14 Members NOTED the progress made on the Cosmopolitan Lessons Learned recommendations, including a large piece of work which continues on mergers. **JOM**

12 HCA-I Protocol

37/12/14 Members considered a tabled update from the Head of Legal on the protocol between Regulation and the HCA-I functions of the business.

38/12/14 Members AGREED that a further report be prepared for the next meeting. **JW**

13 Decisions of the Registrar

Richard Moriarty takes up the Chair position whilst the Chairman is absent from the room.

39/12/14 The Registrar advised the Committee of the decisions taken in accordance with the delegation to the Registrar on registrations, de-registrations and restructurings since November 2014.

41/12/14 In terms of new registrations of bodies, the Registrar approved Project 34 Limited and Goodwin Development Trust Limited as non-profit organisations on the register of providers of social housing.

42/12/14 Members also noted the restructurings by way of transfer of engagements, merger and amalgamations.

43/12/14 Members NOTED the report.

The Chairman returns to the meeting.

14 Regulatory Judgements

44/12/14 Members NOTED that eight regulatory judgements were published on the Agency's website at the end of November.

45/12/14 The Deputy Director Regulatory Operations informed members that in line with the approach set out in Regulating the Standards, six viability assessments were finalised where no Regulatory Judgement is to be published, all of which were confirmed as V1 judgements.

46/12/14 Members asked what grading new mergers are given.. The draft judgements would be subject to consideration at a stocktake before being published.

47/12/14 Members were also informed that judgements arising from the viability reviews produced by the external consultants would start coming through in January.

49/12/14 The Committee NOTED the report.

15 Investigation and Enforcement Update

50/12/14 The Deputy Director of Investigation and Enforcement updated Members on registered providers where a significant measure of under-performance had been identified during regulatory engagement and provided a detailed briefing on those cases which are of most concern.

58/12/14 Members also NOTED the further cases under Intensive Regulatory Engagement and those under Enhanced Regulatory Engagement.

59/12/14 Members NOTED the report.

15 Any Other Business

60/12/14 There was no other business.

Date of Next Meeting

61/12/14 The next meeting would take place on Monday 26th January 2015.