



# **EVIDENCE GUIDELINES**

## **COMMUNITY HOUSING REGULATORY FRAMEWORK**

### **APPENDIX D**

## About the Community Housing Regulatory Framework

The Community Housing Regulatory Framework (Framework) is a regulatory system designed to achieve a well governed and managed community housing sector and provide a platform for the ongoing development and viability of community housing.

Community housing providers (providers) are organisations that deliver social or affordable housing for people on lower incomes and housing-associated services covered by the social and affordable housing policies of government agencies.

The key objectives of the Framework are to:

- ensure that oversight of Providers is targeted to key areas of sector risk and to the aims and intended outcomes of social housing
- provide a consistent regulatory environment to support the growth and sustainable development of the community housing sector
- ensure public investment in community housing is adequately protected against inappropriate use and retained for legitimate sector purposes; and
- provide confidence to governments and financial institutions that organisations are financially viable and well governed.

A suite of Operational Guidelines guides the overall operation of the Framework.

The scope of the Community Housing Registration Office (CHRO) functions under the Framework is limited to regulatory activities. The Department of Communities will continue to have responsibility for policy, funding and industry development decisions.

## Purpose of this document

The National Regulatory Code (Code) sets out the performance outcomes and requirements that must be met by registered community housing providers under the Framework. Community housing providers must demonstrate their capacity to comply with the Code on application and once registered, must demonstrate ongoing compliance with the Code.

The Evidence Guidelines (Appendix D of the Framework) describe the performance indicators, thresholds, and evidence sources for assessing providers against the Code performance outcomes and requirements, for each tier of provider (classified as Tier 1, 2 and 3 providers).

The Evidence Guidelines are proportionate to levels of risk and aim to minimise the reporting burden. All tiers have minimum evidence sources so that a minimum level of regulatory engagement can be maintained for providers that are consistently well performing and/or have a simple business model.

The Evidence Guidelines are not intended to be prescriptive and allow for a provider to propose alternative evidence sources.

These guidelines should be read in conjunction with:

- the Framework
- the National Regulatory Code (Appendix B)
- Conditions of Registration (Appendix C)
- and Guidance Notes and Factsheets published by the Community Housing Registration Office.

When assessing a provider's performance under the Code, the Community Housing Registration Office (CHRO) is required to apply the principles of good regulation. The CHRO must undertake every assessment in the context of the provider's business and must consistently apply the guidelines.

## Principles

The following principles underpin the administration of the Framework and supporting appendices:

- **Proportionate** - reflecting the scale and scope of regulated activities.
- **Accountable** - able to justify regulatory assessment and be subject to scrutiny.
- **Consistent** - based on standardised information and methods.
- **Transparent** - clear and open processes and decisions
- **Flexible** - avoiding unnecessary rules about how Providers organise their business and demonstrate compliance with the National Regulatory Code.
- **Targeted** - focused on the core purposes of improved tenant outcomes and protecting vulnerable tenants; protecting government funding and equity; and ensuring investor and partner confidence.

## Tiers of Registration

The Evidence Guidelines set performance indicators, thresholds, and evidence requirements in accordance with three tiers of registration. The tier of registration is determined by an entity's level of risk arising from the scale and scope of its community housing activities, which in turn determines the intensity of regulatory engagement and oversight. For example, organisations involved in activities that require management of a higher-level risk (e.g., property development and leveraging assets) will be subject to a higher level of regulatory requirements and engagement than organisations managing lower-level risks (e.g., small-scale tenancy management). For example, Tier 1 and 2 providers have an annual compliance assessment, whereas Tier 3 providers have a compliance assessment every two years.

It is important to note that the CHRO's determination regarding the tier of a provider is different from a determination regarding compliance, which is based on an assessment of actual risks associated with a provider's compliance with the Framework and Code. Within any tier, the CHRO may vary the amount of regulatory engagement depending on actual risk presented at any given time.

## **Risk and regulation**

Performance and assessment data is used to inform a risk-based assessment of all registered providers to determine compliance with the Framework and Code. This determines the nature of regulatory engagement and, where necessary, action. Risk-based engagement recognises:

- the impact of complex business structures, for instance with multi-jurisdictional providers, group structures,
- potential or actual problems from providers taking on risky activities,
- potential or actual problems due to weaknesses in management or governance.

For providers with a simple business model, engagement will be minimal. All providers will be informed of the expected level of engagement. This engagement will be regularly reviewed considering changing business focus and complexity and performance.

Regulation will be responsive, proportionate and consistently applied. In broad terms risk-based engagement allows the CHRO to:

- maintain a minimum level of regulatory engagement for consistently well-performing providers (for these providers more reliance is placed on monitoring basic data and health checks and on the provider advising the regulator of any change of circumstances)
- develop a new approach for multi-jurisdictional providers where there is an increased level of risk arising from size or the amount of money, they receive for development
- engage with providers more intensively where higher levels of risk are identified, in ways that reflect their circumstances.

## **Evidence sources**

For the most part, the Evidence Guidelines rely upon the business documentation and data that providers' governing bodies would require to be satisfied that their community housing delivery is well governed, well managed and financially viable.

The Evidence Guidelines are not intended to be prescriptive or exhaustive and the provider may look to alternative business documentation or data. A single evidence source may be listed and used for assessing multiple performance requirements. A

provider can present evidence in its existing form and is not expected to reconfigure its key business documents. Providers can also present multiple evidence sources in one document. such as:

- its resident feedback findings and action plan (for performance outcome 1),
- a list of partnership arrangements (for performance outcome 1, 2 and 3)
- the local community profile and strategies for contributing to the local community (for performance outcome 3)
- its governance structure and expertise base and profiles of each governing body member (for performance outcome 4).

However, the provider must indicate where evidence relating to a performance requirement is located, to ensure all relevant evidence is considered during the assessment.

It is ultimately the decision of the CHRO as to whether an evidence source is relevant and is used in an assessment. A provider may submit the required evidence, but that evidence may be insufficient to demonstrate performance, or that evidence may be in an alternative form that results in the CHRO requiring additional evidence from the provider. The types of additional evidence that may be requested have been included in the performance outcomes tables later in this document.

Evidence sources are divided into two categories:

1. evidence sources to demonstrate the provider's capacity to meet the Code
2. evidence sources to demonstrate the provider's ongoing compliance with the Code.

In practical terms, the provider must demonstrate capacity to comply with the Framework and Code at the point of registration.

When a provider applies for registration, the CHRO will consider whether the entity has capacity in its current operations to comply with the Framework and Code requirements. For instance, the CHRO will use the entity's current financial performance data and forecasts to judge its operating capacity at registration and use this to make an assessment as to whether it can operate in a compliant manner in the future.

To determine whether an entity has the capacity to comply with the Framework and Code, the CHRO will review evidence sources that include a performance reporting dataset and a financial performance report, in addition to documentation.

## **Recognising evidence from other assurance systems**

The Evidence Guidelines are not prescriptive and enable evidence from other assurance systems to be submitted for registration and compliance assessment. This approach aims to minimise the regulatory burden on providers by ensuring the

Framework effectively co-exists with other assurance systems regarding data collection, reporting and information sharing.

To demonstrate performance against the Code, providers may use documentation required by other regulators or funding bodies where the documentation is also a requirement contained in the Code. This evidence can be submitted in the form that it exists. Providers are not expected to adjust existing key documents or plans to meet the specific description in the guidelines, with the exception of the Financial Performance Report.

## **Obtaining evidence from other sources**

To make an assessment on registration and ongoing compliance, the CHRO will require, on occasion, information from sources other than the provider. Those sources may include, but are not restricted to, the following:

- Other areas within the Department of Communities
- The National Regulatory System for Community Housing (NRSCH) Registrars
- The Victorian Housing Registrar
- Record of complaints and notifications under the Framework
- Other regulatory authorities
- Public record (this might include information about the provider's body corporate status, court or tribunal decisions, or media)

The CHRO may discuss with the provider the need for this information and will only obtain information from other sources in accordance with:

- exercising the functions of the Framework
- Consent to Share Information agreements
- Memorandums of Understanding with other regulators, i.e., the NRSCH Registrars or Victorian Housing Registrar; and
- any relevant requirements relating to confidentiality.

## **Assessing evidence**

The CHRO will use the Evidence Guidelines when undertaking registration and compliance assessments, and decision-making. The CHRO uses all relevant information to assess the provider's performance outcomes.

A provider demonstrates its capacity or ongoing compliance by meeting specified Code performance outcomes and requirements. When the CHRO assesses a provider's compliance for the purposes of registration or on an ongoing basis, the CHRO will assess:

- whether the provider meets the relevant eligibility requirements in the Framework and in the Tier Guidelines

- whether the provider has the capacity to meet the Code requirements
- whether the provider complies with other requirements of the Framework and its appendices, including the Conditions of Registration.

The CHRO undertakes every assessment in the context of the provider's business, with an understanding of the provider's scale and scope, operating environment, business plan and outcomes, and history of delivering community housing.

The Evidence Guidelines include thresholds for some requirements as an indicative guide to measuring performance results against the Code outcomes and requirements. The thresholds in themselves do not determine capacity or compliance but provide a transparent level of performance as a starting point against which the CHRO can assess performance results.

Performance results that are below, or are trending below, a threshold or a combination of thresholds, will raise a flag that there may be a performance concern that requires further exploration when assessing the provider's capacity or ongoing compliance. The CHRO will seek to understand whether the provider is not complying with the performance requirement or whether the level of performance relates to particular circumstances.

In some cases, performance results below the threshold may be acceptable in the context of a given provider's operating environment, business plan and outcomes, or once specific factors affecting the performance results or data have been considered.

In each case where a provider's performance result is below a relevant threshold, the CHRO will determine whether this amounts to a lack of capacity or non-compliance by examining the particular performance outcome and requirement, the seriousness of the performance concern and the underlying cause of the performance result. If no acceptable explanation exists, providers will be required to remedy any underperformance.

The Evidence Guidelines are subject to evaluation and continuous improvements and may be varied from time to time.

<b>Performance Outcome 1: Tenant and housing services</b> The community housing provider is fair, transparent and responsive in delivering housing assistance to tenants, residents and other clients				
Performance Requirements	Performance Indicators	Thresholds	EXAMPLES of Evidence sources to demonstrate capacity	EXAMPLES of Evidence sources to demonstrate compliance
a. Determining and managing eligibility, allocation, and termination of housing assistance	The provider makes information about its tenancy management policies and procedures available in a variety of formats	<ul style="list-style-type: none"> <li>All applicants / tenants / residents receive information to enable the applicant / tenant/resident to make informed decisions and to understand decisions made by the provider</li> <li>The policies and procedures are applied so that there are no significant and ongoing or repeated failure to treat applicants and tenants/residents fairly and transparently</li> </ul>	<p>Tiers 1, 2 and 3</p> <ul style="list-style-type: none"> <li>Tenancy management policies and procedures (including: the process to determine eligibility; allocation; rent; charges; complaints; appeals; and termination of tenancy)</li> <li>Documents, such as brochures, booklets or information kits which are provided to applicants, tenants/residents and other stakeholders. For example, Tenant Handbook, Fact Sheets.</li> </ul> <p>Tiers 1 and 2</p> <ul style="list-style-type: none"> <li>Website</li> </ul> <p>Tier 1</p> <ul style="list-style-type: none"> <li>Information for the range of housing services delivered</li> </ul> <p>May be requested</p> <ul style="list-style-type: none"> <li>Standard letters and forms to applicants and tenants/residents used in tenancy agreement</li> <li>Outsourcing engagement (if applicable)</li> </ul>	<p>Tiers 1, 2 and 3</p> <ul style="list-style-type: none"> <li>Tenancy management policies and procedures where there has been a significant change</li> <li>Evidence that significant changes in policies and procedures have been communicated to tenants/residents (for example, letters to tenants/residents; brochures; posters; factsheet etc)</li> <li>Record of feedback from tenants/residents and response or action</li> </ul> <p>Tiers 1 and 2</p> <ul style="list-style-type: none"> <li>Tenant/resident survey results and analysis, undertaken at least every two years, addressing the information provided to tenants/residents.</li> <li>Website information</li> <li>Tenancy data</li> <li>Appeals register/data</li> </ul> <p>May be requested</p> <ul style="list-style-type: none"> <li>Records that confirm the provider complies with its own tenancy management policies and procedures and other legal and policy requirements relevant to its jurisdiction</li> </ul>



<b>Performance Outcome 1: Tenant and housing services</b> The community housing provider is fair, transparent and responsive in delivering housing assistance to tenants, residents and other clients				
Performance Requirements	Performance Indicators	Thresholds	EXAMPLES of Evidence sources to demonstrate capacity	EXAMPLES of Evidence sources to demonstrate compliance
	The provider manages housing assistance in accordance with its policies and the legal and policy requirements relevant to its jurisdiction	<ul style="list-style-type: none"> <li>The policies and procedures are applied so that there are no significant and ongoing or repeated failures to manage housing assistance in accordance with policy and legal requirements</li> <li>Tenancy management policies and procedures reference legal and jurisdictional policy requirements where appropriate</li> </ul>	<p>Tiers 1, 2 and 3</p> <ul style="list-style-type: none"> <li>Tenancy management policies and procedures</li> </ul> <p>Tier 2</p> <ul style="list-style-type: none"> <li>System and processes for monitoring compliance with its own policies and the legal and policy requirements relevant to its jurisdiction</li> </ul> <p>Tier 1</p> <ul style="list-style-type: none"> <li>Integrated system and processes for monitoring compliance with its own policies and the legal and policy requirements relevant to its jurisdiction</li> </ul> <p>May be requested</p> <ul style="list-style-type: none"> <li>Sample tenancy/residency agreement</li> </ul>	<p>Tiers 1, 2 and 3</p> <ul style="list-style-type: none"> <li>Tenancy management policies and procedures where there has been a significant change</li> <li>Tenancy data</li> <li>Complaints and Appeals Register</li> </ul> <p>May be requested</p> <ul style="list-style-type: none"> <li>Records that confirm the provider complies with its own tenancy management policies and procedures and other legal and policy requirements relevant to its jurisdiction</li> </ul> <p>Other sources</p> <ul style="list-style-type: none"> <li>Decisions of appeals/reviews in relevant tribunals or bodies</li> <li>Record of complaints and notifications under the Framework</li> </ul>
b. Determining and managing rents	The provider makes information about its policies and procedures to determine and manage rents available in a variety of formats	<ul style="list-style-type: none"> <li>All applicants / tenants / residents receive information to enable the applicant / tenant/resident make informed decisions and to understand options</li> <li>The policies and procedures are applied so that there are no significant and ongoing or repeated failure to treat applicants and residents/tenants fairly and transparently</li> </ul>	<p>Tiers 1, 2 and 3</p> <ul style="list-style-type: none"> <li>Rent policies and procedures</li> <li>Documents, such as brochures, booklets or information kits which are provided to applicants, tenants/residents and other stakeholders</li> </ul> <p>Tiers 1 and 2</p> <ul style="list-style-type: none"> <li>Website</li> </ul> <p>Tier 1</p> <ul style="list-style-type: none"> <li>Information for the range of housing services delivered</li> </ul> <p>May be requested</p> <ul style="list-style-type: none"> <li>Standard letters and forms to applicants and tenants/ residents used in tenancy management</li> <li>Outsourcing agreement (if applicable)</li> </ul>	<p>Tiers 1, 2 and 3</p> <ul style="list-style-type: none"> <li>Rent policies and procedures where there has been a significant change</li> <li>Evidence that significant changes in policies and procedures have been communicated to tenants / residents</li> <li>Record of feedback from tenants/residents and response or action</li> </ul> <p>Tiers 1 and 2</p> <ul style="list-style-type: none"> <li>Tenant/resident survey results and analysis, addressing the adequacy of information provided to tenants/residents.</li> <li>Website</li> </ul>

<b>Performance Outcome 1: Tenant and housing services</b> The community housing provider is fair, transparent and responsive in delivering housing assistance to tenants, residents and other clients				
Performance Requirements	Performance Indicators	Thresholds	EXAMPLES of Evidence sources to demonstrate capacity	EXAMPLES of Evidence sources to demonstrate compliance
	The provider manages rent in accordance with the specific legal and policy requirements of each jurisdiction	<ul style="list-style-type: none"> <li>Tenancy management policies and procedures reference legal and jurisdictional policy requirements where appropriate</li> <li>All tenants/residents are charged rent in accordance with jurisdictional policy requirements</li> </ul>	<p>Tiers 1, 2 and 3</p> <ul style="list-style-type: none"> <li>Rent policies and procedures</li> </ul> <p>Tier 2</p> <ul style="list-style-type: none"> <li>Systems and processes for monitoring compliance with its own policies and the legal and policy requirements relevant to its jurisdiction</li> </ul> <p>Tier 1</p> <ul style="list-style-type: none"> <li>Integrated system and processes for monitoring compliance with its own policies and the legal and policy requirements relevant to its jurisdiction</li> </ul> <p>May be requested</p> <ul style="list-style-type: none"> <li>Sample tenancy/ residency agreement</li> </ul>	<p>Tiers 1, 2 and 3</p> <ul style="list-style-type: none"> <li>Rent policies and procedures where there has been a significant change</li> <li>Tenancy data</li> <li>Complaints and appeals data</li> <li>Copies of rent review undertaken and letters informing tenants</li> <li>Rent arrears payment plans</li> </ul> <p>May be requested</p> <ul style="list-style-type: none"> <li>Records that confirm the provider complies with its own rent management policies and procedures and other legal and policy requirements relevant to its jurisdiction</li> </ul> <p>Other sources</p> <ul style="list-style-type: none"> <li>Decisions of appeals/reviews in relevant tribunals or bodies</li> <li>Record of complaints and notifications under the Framework</li> </ul>
c. Setting and meeting relevant housing service standards	The provider communicates and monitors what tenants and residents can expect from the service	<ul style="list-style-type: none"> <li>Standards address operating hours, response times, privacy, conduct and communication.</li> <li>Standards address access across geographical location (Tiers 1 and 2)</li> </ul>	<p>Tiers 1, 2 and 3</p> <ul style="list-style-type: none"> <li>Service charter or relevant policies and procedures</li> </ul>	<p>Tiers 1, 2 and 3</p> <ul style="list-style-type: none"> <li>Service charter or relevant policies and procedures where there has been a significant change</li> </ul> <p>May be requested</p> <ul style="list-style-type: none"> <li>Records that demonstrate the provider monitors the implementation and effectiveness of the service charter or relevant policies and procedures</li> </ul>

<b>Performance Outcome 1: Tenant and housing services</b> The community housing provider is fair, transparent and responsive in delivering housing assistance to tenants, residents and other clients				
Performance Requirements	Performance Indicators	Thresholds	EXAMPLES of Evidence sources to demonstrate capacity	EXAMPLES of Evidence sources to demonstrate compliance
d. Supporting tenant and resident engagement	The provider involves tenants and residents in the planning and delivery of housing services in a variety of accessible ways	<ul style="list-style-type: none"> <li>All tenants/residents are provided appropriate opportunities to be involved in the planning and delivery of housing services</li> <li>Formal tenant/resident engagement mechanisms such as governing body positions, representative forum, surveys, tenant advocate position etc. (Tiers 1 and 2)</li> <li>Tenant/resident survey is conducted at least every two years with positive outcomes for tenant and resident involvement (Tiers 1 and 2)</li> </ul>	Tiers 1, 2 and 3 <ul style="list-style-type: none"> <li>Tenant/resident engagement policies and procedures or strategy</li> </ul>	Tiers 1, 2 and 3 <ul style="list-style-type: none"> <li>Annual Report</li> <li>Tenant/resident engagement policies and procedures or strategy where there has been a significant change</li> <li>Records of tenant/resident engagement (e.g. tenant/resident meetings; consultations etc) and actions taken as a result</li> </ul> Tiers 1 and 2 <ul style="list-style-type: none"> <li>Tenant/resident survey results and analysis addresses the involvement of tenants/residents in planning and delivery of housing services</li> </ul>
	The provider promotes appropriate opportunities for tenants and residents to be involved in their community	<ul style="list-style-type: none"> <li>All tenants / residents are made aware of appropriate opportunities to be involved in their community</li> </ul>	Tiers 1, 2 and 3 <ul style="list-style-type: none"> <li>Tenant/resident engagement plans/strategy and/or policies and procedures</li> <li>Website Information</li> </ul>	Tiers 1, 2 and 3 <ul style="list-style-type: none"> <li>Annual Report</li> <li>Tenant/resident engagement plans/strategy and/or policies and procedures where there has been a significant change</li> <li>Newsletter and/or posters advertising upcoming events</li> </ul> Tiers 1 and 2 <ul style="list-style-type: none"> <li>Plans or programs of opportunities for tenants to be involved in community</li> </ul> Tier 1 <ul style="list-style-type: none"> <li>Communications to residents/tenants of opportunities to be involved in community (such as newsletters)</li> </ul>

<b>Performance Outcome 1: Tenant and housing services</b> The community housing provider is fair, transparent and responsive in delivering housing assistance to tenants, residents and other clients				
Performance Requirements	Performance Indicators	Thresholds	EXAMPLES of Evidence sources to demonstrate capacity	EXAMPLES of Evidence sources to demonstrate compliance
	The provider obtains feedback from tenants and residents on its services, and consults with them on proposals that will affect them	<ul style="list-style-type: none"> <li>All tenants/residents are provided appropriate opportunities to provide feedback and to be consulted</li> <li>Formal mechanisms such as governing body positions, representative forum, surveys, tenant advocate position etc. (Tiers 1 and 2)</li> <li>Tenant/resident survey is conducted at least every two years with positive outcomes for feedback and consultation opportunities (Tiers 1 and 2)</li> </ul>	Tiers 1, 2 and 3 <ul style="list-style-type: none"> <li>Tenant/resident engagement plans/strategy and/or policies and procedures</li> <li>Feedback mechanisms (for example: written surveys, suggestion box, verbal feedback sought during tenant/resident contact)</li> </ul> Tiers 1 and 2 <ul style="list-style-type: none"> <li>Methodology for the collection of tenant/resident feedback</li> </ul>	Tiers 1, 2 and 3 <ul style="list-style-type: none"> <li>Annual Report</li> <li>Tenant/resident engagement policies and procedures or strategy where there has been a significant change</li> <li>Records of tenant/resident engagement (e.g. tenant/resident meetings; consultations etc)</li> <li>Complaints data</li> <li>Appeals data</li> </ul> Tiers 1 and 2 <ul style="list-style-type: none"> <li>Tenant/resident survey results and analysis</li> </ul>
e. Facilitating access to support for social housing applicants and tenants with complex needs	The provider establishes and maintains arrangements that are adequate to ensure tenants and residents with support needs receive appropriate support, if relevant and where available, to maintain their tenancies		Tiers 1, 2 and 3 <ul style="list-style-type: none"> <li>Business Plan</li> <li>Tenant/resident support facilitation policies and procedures inclusive of responding to changing resident/tenant needs</li> <li>List of current or proposed partnership arrangements through which support is facilitated for residents and tenants in need</li> </ul> Tiers 1 and 2 <ul style="list-style-type: none"> <li>List of current or proposed formal partnership arrangements through which support is facilitated for residents and tenants in need</li> </ul>	Tiers 1, 2 and 3 <ul style="list-style-type: none"> <li>Tenant/resident support facilitation policies and procedures where there has been a significant change</li> <li>Annual Report</li> <li>Complaints and Appeals Register</li> <li>Support register/data</li> </ul> Tiers 1 and 2 <ul style="list-style-type: none"> <li>Sample of formal support partnership agreements and minutes of meetings with support partners</li> <li>Tenant/resident survey results and analysis, undertaken at least every two years, addressing access to support</li> </ul> May be requested <ul style="list-style-type: none"> <li>Records relating to the systems in place for monitoring and maintaining arrangements (tiers 1 and 2)</li> </ul>

<b>Performance Outcome 1: Tenant and housing services</b> The community housing provider is fair, transparent and responsive in delivering housing assistance to tenants, residents and other clients				
Performance Requirements	Performance Indicators	Thresholds	EXAMPLES of Evidence sources to demonstrate capacity	EXAMPLES of Evidence sources to demonstrate compliance
f. Managing and addressing complaints and appeals relating to the provision of housing services	Information is readily available and promoted to tenants on complaints and appeals	<ul style="list-style-type: none"> <li>All applicants, tenants/residents receive information to enable the applicant, tenant/resident to make informed decisions about managing complaints and appeals</li> </ul>	Tiers 1, 2 and 3 <ul style="list-style-type: none"> <li>Complaint and appeal policies and procedures</li> <li>Documents, such as brochures, booklets or information kits which are provided to applicants, tenants/residents and other stakeholders</li> </ul> Tiers 1 and 2 <ul style="list-style-type: none"> <li>Website</li> </ul>	Tiers 1, 2 and 3 <ul style="list-style-type: none"> <li>Complaint and appeal policies and procedures where there has been significant change</li> <li>Complaints register/data</li> <li>Appeals register/data</li> <li>Support register/data</li> </ul> Tiers 1 and 2 <ul style="list-style-type: none"> <li>Website</li> <li>Communications to residents/tenants (such as newsletters)</li> </ul>
	The provider manages complaints and appeals promptly and fairly	<ul style="list-style-type: none"> <li>Complaints and appeals are managed so that there are no significant and ongoing or repeated failures in promptness or fairness</li> <li>There are no significant and ongoing or repeated failures to complaints and appeals are dealt with promptly and fairly.</li> </ul>	Tiers 1, 2 and 3 <ul style="list-style-type: none"> <li>Complaint and appeal policies and procedures</li> <li>Service charter or relevant policies and procedures</li> </ul> Tiers 1 and 2 <ul style="list-style-type: none"> <li>Website</li> </ul>	Tiers 1, 2 and 3 <ul style="list-style-type: none"> <li>Complaint and appeal policies and procedures where there has been significant change</li> <li>Complaints register/data</li> <li>Appeals register/data</li> </ul> Tiers 1 and 2 <ul style="list-style-type: none"> <li>Website</li> </ul>
	The provider regularly monitors the effectiveness of the complaints and appeals system	<ul style="list-style-type: none"> <li>The type, number and outcome of complaints and appeals are reviewed regularly to inform the fair, transparent and responsive delivery of the complaints and appeals system</li> </ul>	Tiers 1, 2 and 3 <ul style="list-style-type: none"> <li>Complaint and appeal policies and procedures</li> </ul> Tiers 1 and 2 <ul style="list-style-type: none"> <li>Systems and processes for monitoring compliance with its own policies and the legal and policy requirements relevant to its jurisdiction</li> </ul>	Tiers 1, 2 and 3 <ul style="list-style-type: none"> <li>Business Plan</li> <li>Annual Report</li> <li>Complaint and appeal policies and procedures where there have been significant changes</li> </ul> Tiers 1 and 2 <ul style="list-style-type: none"> <li>Records of the Risk and Audit Committee</li> </ul>



Performance Outcome 1: Tenant and housing services				
The community housing provider is fair, transparent and responsive in delivering housing assistance to tenants, residents and other clients				
Performance Requirements	Performance Indicators	Thresholds	EXAMPLES of Evidence sources to demonstrate capacity	EXAMPLES of Evidence sources to demonstrate compliance
g. Maintaining satisfaction with the overall quality of housing assistance	The provider maintains a satisfactory level of tenant and resident satisfaction	<ul style="list-style-type: none"> <li>Housing assistance is delivered so that there are no significant and ongoing or repeated dissatisfaction with the overall quality of services provided</li> <li>Satisfaction rate with the overall quality of services <math>\geq 75\%</math></li> <li>Tenant/resident survey is conducted at least every two years (Tiers 1 and 2)</li> </ul>	<p>Tiers 1, 2 and 3</p> <ul style="list-style-type: none"> <li>Feedback mechanisms</li> </ul> <p>Tiers 1 and 2</p> <ul style="list-style-type: none"> <li>Methodology for the collection of tenant/resident feedback</li> </ul>	<p>Tiers 1, 2 and 3</p> <ul style="list-style-type: none"> <li>Business Plan</li> <li>Annual Report</li> <li>Records of tenant/resident feedback (e.g. tenant/resident meetings; consultations etc) and actions taken as a result</li> <li>Complaints register/data</li> <li>Appeals register/data</li> </ul> <p>Tiers 1 and 2</p> <ul style="list-style-type: none"> <li>Tenant/resident survey results and analysis addresses satisfaction with the overall quality of housing services</li> </ul>

Examples and Notes – Performance Outcome 1 -
<ul style="list-style-type: none"> <li><b>Outsourcing Agreement:</b> This evidence is relevant where transactional activities are outsourced to another agency, for example, a real estate agent. The agreement (e.g. contract) may include conditions for service delivery related to quality and the rights of residents / tenants; and will be subject to review to monitor compliance with the requirements of the formal agreement.</li> <li><b>The provider makes its tenancy management policies and procedures available in a variety of formats:</b> Information about eligibility, allocation and ongoing tenancy / residency management processes should be made available to applicants and residents / tenants to ensure that the processes are transparent and readily understood. Similarly, information about internal complaints and appeals processes should be accessible to applicants and residents / tenants. This information can be communicated through a range of media such as (but not limited to) brochures; booklets; information kit; posters; audio; and online.</li> <li><b>Complaint &amp; Appeal Data:</b> This evidence is reviewed to ensure there is no significant and ongoing or repeated failure to treat applicants and residents fairly.</li> </ul>

Performance Outcome 2: Housing assets				
The community housing provider manages its community housing assets in a manner that ensures suitable properties are available at present and in the future				
Performance Requirements	Performance Indicators	Thresholds	EXAMPLES of Evidence sources to demonstrate capacity	EXAMPLES of Evidence sources to demonstrate compliance
a. Determining changing housing needs and planning asset acquisitions, disposals and reconfiguration to respond (strategic asset management)	The provider plans for the management of its housing assets to optimise outcomes on financial investment, service delivery and meeting housing needs.		<p>Tiers 1, 2 and 3</p> <ul style="list-style-type: none"> <li>• Business Plan</li> <li>• Asset management policies and procedures</li> </ul> <p>Tiers 1 and 2</p> <ul style="list-style-type: none"> <li>• Strategic asset management plan</li> </ul>	<p>Tiers 1, 2 and 3</p> <ul style="list-style-type: none"> <li>• Business Plan</li> <li>• Annual Report</li> <li>• NRSCH Financial Performance Report</li> </ul> <p>Tiers 1 and 2</p> <ul style="list-style-type: none"> <li>• Strategic asset management plan</li> <li>• Record of housing needs analysis at present and in the future</li> </ul>
b. Setting and meeting relevant property condition standards	The provider manages community housing assets in accordance with the specific legal and policy property condition requirements relevant to its jurisdiction	<ul style="list-style-type: none"> <li>• ≥70% of all community housing assets managed by the provider meet state housing authorities property condition standards, or other property condition standards adopted by the provider that exceed state housing authorities standards against which the properties were inspected</li> <li>• Improving property condition standards (e.g. star ratings) over time</li> <li>• There are no significant and ongoing or repeated failures to meet property condition standards</li> </ul>	<p>Tiers 1, 2 and 3</p> <ul style="list-style-type: none"> <li>• Asset management policies and procedures</li> <li>• Asset maintenance plan</li> <li>• Property condition standards</li> </ul> <p>Tiers 1 and 2</p> <ul style="list-style-type: none"> <li>• Strategic asset management plan</li> <li>• System and processes for monitoring compliance with its own policies and the legal and policy requirements relevant to its jurisdiction</li> </ul> <p>Tier 1</p> <ul style="list-style-type: none"> <li>• Integrated system and processes for monitoring compliance with its own policies and the legal and policy requirements relevant to its jurisdiction</li> </ul>	<p>Tiers 1, 2 and 3</p> <ul style="list-style-type: none"> <li>• Asset management policies and procedures where there has been a significant change</li> <li>• Reports against the asset maintenance plan</li> <li>• Maintenance data</li> <li>• Complaints register/data</li> <li>• Appeals register/data</li> </ul> <p>Tiers 1 and 2</p> <ul style="list-style-type: none"> <li>• Reports against the strategic asset management plan</li> </ul> <p>May be requested</p> <ul style="list-style-type: none"> <li>• Records that confirm the provider complies with its own asset management policies and procedures and other legal and policy requirements relevant to its jurisdiction (tiers 1 and 2)</li> </ul> <p>Other sources</p> <ul style="list-style-type: none"> <li>• Decisions of appeals/reviews in relevant tribunals or bodies</li> <li>• Record of complaints and notifications under the Framework</li> </ul>

<b>Performance Outcome 2: Housing assets</b> The community housing provider manages its community housing assets in a manner that ensures suitable properties are available at present and in the future				
Performance Requirements	Performance Indicators	Thresholds	EXAMPLES of Evidence sources to demonstrate capacity	EXAMPLES of Evidence sources to demonstrate compliance
c. Planning and undertaking responsive, cyclical and life-cycle maintenance to maintain property conditions (asset maintenance)	The provider ensures (commensurate with its responsibilities): <ul style="list-style-type: none"> <li>- properties are well maintained</li> <li>- maintenance is undertaken in a timely manner</li> <li>- maintenance work is undertaken by suitably qualified staff / contractors / consultants</li> </ul>	<ul style="list-style-type: none"> <li>• The condition of each property is inspected at least every three years by a party with appropriate qualifications and/or experience in the building/construction/maintenance fields or ability to identify issues and escalate within an appropriate system (Tiers 1 and 2)</li> <li>• Cyclical and life-cycle maintenance is scoped and budget allocated</li> <li>• Maintenance time frames are set and met in accordance with legal requirements relevant to its jurisdiction</li> <li>• Asset maintenance plan is for a minimum 10 year rolling period with budget forecasts (Tiers 1 and 2)</li> </ul>	Tiers 1, 2 and 3 <ul style="list-style-type: none"> <li>• Asset management policies and procedures</li> <li>• Asset maintenance plan</li> </ul> Tiers 1 and 2 <ul style="list-style-type: none"> <li>• Strategic asset management plan</li> </ul>	Tiers 1, 2 and 3 <ul style="list-style-type: none"> <li>• Asset management policies and procedures where there has been significant change</li> <li>• NRSCH Financial Performance Report</li> <li>• Maintenance data</li> <li>• Complaints register/data</li> <li>• Appeals register/data</li> </ul> Tiers 1 and 2 <ul style="list-style-type: none"> <li>• Reports against the strategic asset management plan</li> </ul> May be requested <ul style="list-style-type: none"> <li>• Reports against the asset maintenance plan</li> <li>• Certification to the specific legal and policy requirements relevant to its jurisdiction</li> <li>• Maintenance procurement processes and contracts</li> <li>• Example of an inspection report by a party with appropriate qualifications</li> <li>• Qualifications and experience requirements in relevant employment contracts</li> <li>• Qualifications and experience requirements in relevant maintenance procurement processes and contracts</li> <li>• Records that confirm the provider complies with its own asset maintenance policies and procedures and other legal and policy requirements relevant to its jurisdiction (Tiers 1 and 2)</li> </ul>



<b>Performance Outcome 2: Housing assets</b> The community housing provider manages its community housing assets in a manner that ensures suitable properties are available at present and in the future				
Performance Requirements	Performance Indicators	Thresholds	EXAMPLES of Evidence sources to demonstrate capacity	EXAMPLES of Evidence sources to demonstrate compliance
	Tenants are provided with easy to use information on repairs and maintenance	<ul style="list-style-type: none"> <li>All tenants/residents receive information to enable the tenant/resident to make informed decisions about repairs and maintenance</li> </ul>	Tiers 1, 2 and 3 <ul style="list-style-type: none"> <li>Asset management policies and procedures</li> <li>Documents, such as brochures, booklets or information kits which are provided to applicants, tenants/residents and other stakeholders</li> </ul> Tiers 1 and 2 <ul style="list-style-type: none"> <li>Website</li> </ul>	Tiers 1, 2 and 3 <ul style="list-style-type: none"> <li>Asset management policies and procedures where there has been a significant change</li> <li>Complaints data</li> <li>Appeals data</li> </ul> Tiers 1 and 2 <ul style="list-style-type: none"> <li>Website</li> <li>Communications to residents/tenants (such as newsletters)</li> </ul> Other sources <ul style="list-style-type: none"> <li>Decisions of appeals/reviews in relevant tribunals or bodies</li> <li>Record of complaints and notifications under the Framework</li> </ul>
	The provider maintains a satisfactory level of tenant and resident satisfaction with maintenance and housing amenity	<ul style="list-style-type: none"> <li>Tenant/resident survey is conducted at least every two years (Tiers 1 and 2)</li> <li>≥75 percent of tenants/residents are satisfied with the condition of the property</li> <li>≥75 percent of tenants/residents are satisfied with the maintenance of the property</li> <li>Records of complaints and appeals do not indicate ongoing and repeated instances of resident dissatisfaction with maintenance and/or housing amenity</li> </ul>	Tiers 1, 2 and 3 <ul style="list-style-type: none"> <li>Feedback mechanisms</li> </ul> Tiers 1 and 2 <ul style="list-style-type: none"> <li>Methodology for the collection of tenant/resident feedback</li> </ul>	Tiers 1, 2 and 3 <ul style="list-style-type: none"> <li>Business Plan</li> <li>Annual Report</li> <li>Records of tenant/resident feedback (e.g. tenant/resident meetings; consultations etc) and actions taken as a result</li> <li>Complaints data</li> <li>Appeals data</li> </ul> Tiers 1 and 2 <ul style="list-style-type: none"> <li>Tenant/resident survey results and analysis addressing satisfaction with the overall quality of housing services</li> </ul>

<b>Performance Outcome 2: Housing assets</b> The community housing provider manages its community housing assets in a manner that ensures suitable properties are available at present and in the future				
Performance Requirements	Performance Indicators	Thresholds	EXAMPLES of Evidence sources to demonstrate capacity	EXAMPLES of Evidence sources to demonstrate compliance
d. Planning and delivering its housing development program (asset development)	The provider plans, monitors and reviews its development program to ensure effective and efficient delivery of new housing	<ul style="list-style-type: none"> <li>• Development program and projects are managed to minimise variation to timeframe and/or budget</li> <li>• Expertise capable of ensuring development projects are delivered effectively and efficiently</li> <li>• Risks are identified and mitigated</li> </ul>	<p>Tiers 1 and 2</p> <ul style="list-style-type: none"> <li>• Business Plan</li> <li>• Strategic asset management plan</li> <li>• Financial planning and forecasting</li> <li>• Risk management plan</li> <li>• Project management methodology</li> <li>• Industry partnerships</li> <li>• Corporate structure</li> </ul> <p>Tier 1</p> <ul style="list-style-type: none"> <li>• Strategic / development / growth plan</li> <li>• Debt financing arrangements and covenants</li> </ul>	<p>Tiers 1 and 2</p> <ul style="list-style-type: none"> <li>• Business Plan</li> <li>• Strategic asset management plan</li> <li>• Financial planning and forecasting</li> <li>• Risk management plan and register</li> <li>• Industry partnership engagements, contracts and agreements</li> <li>• Project progress reports &amp; closure reports</li> <li>• Development data</li> </ul> <p>Tier 1</p> <ul style="list-style-type: none"> <li>• Strategic / development / growth plan</li> <li>• Scenario planning / stress testing</li> <li>• Debt financing arrangements and covenants</li> <li>• Capital structure</li> </ul> <p>Other sources</p> <ul style="list-style-type: none"> <li>• Record of complaints and notifications under the Framework</li> </ul>

<b>Performance Outcome 3: Community engagement</b> The community housing provider works in partnership with relevant organisations to promote community housing and to contribute to socially inclusive communities				
Performance Requirements	Performance Indicators	Thresholds	EXAMPLES of Evidence sources to demonstrate capacity	EXAMPLES of Evidence sources to demonstrate compliance
a. Promoting community housing to local organisations that work with potential residents, tenants or clients	The provider engages with relevant organisations using appropriate communication tools to promote community housing and benefits of partnership	<ul style="list-style-type: none"> <li>Organisations are provided with information about community housing and its benefits</li> </ul>	Tiers 1, 2 and 3 <ul style="list-style-type: none"> <li>Business Plan</li> <li>List of proposed engagements or documents</li> </ul> Tiers 1 and 2 <ul style="list-style-type: none"> <li>Community engagement policies and procedures or strategy</li> <li>Website</li> </ul>	Tiers 1, 2 and 3 <ul style="list-style-type: none"> <li>Business Plan</li> <li>Annual Report</li> <li>Records that demonstrate the provider engages with relevant organisations</li> <li>Newsletter</li> </ul> Tiers 1 and 2 <ul style="list-style-type: none"> <li>Community engagement policies and procedures where there has been a significant change</li> <li>Website</li> </ul>
b. Contributing to place renewal and social inclusion partnerships and planning relevant to the provider's community housing activities	The provider works with others to maximise positive economic and social outcomes for tenants and the community through place renewal (Tier 1 only)		Tier 1 <ul style="list-style-type: none"> <li>Business Plan</li> <li>Community engagement policies and procedures or strategy</li> <li>List of current or proposed formal partnership arrangements through which the provider contributes to place renewal</li> <li>Website</li> </ul>	Tier 1 <ul style="list-style-type: none"> <li>Business Plan</li> <li>Annual Report</li> <li>Website</li> </ul> May be requested <ul style="list-style-type: none"> <li>Sample of formal partnership arrangements and minutes of meetings with partner</li> </ul>
	The provider works with others to maximise positive economic and social outcomes for tenants and the community through social inclusion		Tiers 1 and 2 <ul style="list-style-type: none"> <li>Business Plan</li> <li>Community engagement policies and procedures or strategy</li> <li>List of current or proposed formal partnership arrangements through which the provider contributes to social inclusion</li> <li>Website</li> </ul>	Tiers 1 and 2 <ul style="list-style-type: none"> <li>Business Plan</li> <li>Annual Report</li> <li>Website</li> </ul> May be requested <ul style="list-style-type: none"> <li>Sample of formal partnership arrangements and minutes of meetings with partner</li> </ul>

<b>Performance Outcome 4: Governance</b> The community housing provider is well-governed to support the aims and intended outcomes of its business				
Performance Requirements	Performance Indicators	Thresholds	EXAMPLES of Evidence sources to demonstrate capacity	EXAMPLES of Evidence sources to demonstrate compliance
a. Ensuring coherent and robust strategic, operational, financial and risk planning	<p>The governing body sets and implements its strategic directions and scrutinises performance using:</p> <ul style="list-style-type: none"> <li>- Business planning</li> <li>- Financial planning</li> <li>- Risk management planning</li> <li>- Business continuity planning</li> </ul> <p>The governing body provides effective control of affiliated entity arrangements (for example, through a group structure agreement, service level agreement, partnership agreement, or contract.)</p>	<ul style="list-style-type: none"> <li>• The governing body meets regularly; at least six times a year in quorum with the Treasurer and / or other financial expertise and/or consistent with Constitution</li> <li>• The governing body has an appropriate subcommittee structure in place including an audit and risk management committee (or similar), with the risk management committee meeting at least four times a year (Tier 1 and 2)</li> <li>• The risk management system is consistent with AUS/NZ ISO 31000:2018 (Tier 1 and 2)</li> <li>• Affiliated entity arrangements appropriately address: <ul style="list-style-type: none"> <li>- relevant corporations law in relation to directors duties and exposure to liabilities in relation to non-wholly owned subsidiaries</li> <li>- actual or perceived conflicts of interest and conflicts of duty in the board's decision making where there are shared directors or executives</li> <li>- protocols for managing directors' duties and the sharing of information in accordance with relevant corporations law</li> <li>- the independence of the chairperson (non-employee of the provider or affiliated entities)</li> <li>- separate independent Chair to that of other affiliated entities where shared Board arrangements are in place</li> <li>- appropriate balance between independent directors and executive directors</li> <li>- clear and transparent policies and/or agreements on affiliated entity arrangements where contracting or sharing services that are relevant to the achievement of performance outcomes under the National Regulatory Code</li> <li>- corporations law requirements (particularly in relation to shadow directors, insolvent trading scheme, and consolidated financial reporting)</li> </ul> </li> </ul>	<p>Tiers 1, 2 and 3</p> <ul style="list-style-type: none"> <li>• Constitution, charter or equivalent</li> <li>• Affiliated entity arrangements, and service agreements and contracts</li> <li>• Documented governance structure and governance policies and procedures</li> <li>• Business Plan</li> </ul> <p>Tiers 1 and 2</p> <ul style="list-style-type: none"> <li>• Financial plan</li> <li>• Risk management plan and risk register</li> <li>• Business continuity plan</li> <li>• System for monitoring performance against its business plan</li> <li>• Sub-committee structure and associated terms of reference</li> </ul> <p>Tier 1</p> <ul style="list-style-type: none"> <li>• Integrated system and processes for monitoring performance against its business plan</li> <li>• Financial plan and scenario testing</li> </ul>	<p>Tiers 1, 2 and 3</p> <ul style="list-style-type: none"> <li>• Business Plan</li> <li>• Annual Report</li> <li>• Related party arrangements where there has been a significant change</li> <li>• Governance structure and governance policies and procedures where there has been significant change</li> <li>• Annual General Meeting minutes and reports</li> <li>• Certification or accreditation of the provider relating to recognised standards, where relevant</li> <li>• NRSCH Financial Performance Report</li> </ul> <p>Tiers 1 and 2</p> <ul style="list-style-type: none"> <li>• Financial plan</li> <li>• Risk management plan and risk register</li> <li>• Business continuity plan where there has been significant change</li> </ul> <p>Tier 1</p> <ul style="list-style-type: none"> <li>• Financial planning and scenario testing</li> </ul>

Performance Outcome 4: Governance				
The community housing provider is well-governed to support the aims and intended outcomes of its business				
Performance Requirements	Performance Indicators	Thresholds	EXAMPLES of Evidence sources to demonstrate capacity	EXAMPLES of Evidence sources to demonstrate compliance
		<ul style="list-style-type: none"> <li>- risks in relation to reputation, governance, corporate entity and financial</li> </ul>		
b. Ensuring effective, transparent and accountable arrangements and controls are in place for decision making to give effect to strategic, operational, financial and risk plans	<p>The provider operates in accordance with a code of governance, consistent with the ASX Corporate Governance Principles, including in relation to:</p> <ul style="list-style-type: none"> <li>- roles and responsibilities of the governing body and sub-committees</li> <li>- decision making process</li> <li>- management of conflicts of interest</li> <li>- internal business compliance</li> <li>- selection and performance of the CEO</li> </ul>	<ul style="list-style-type: none"> <li>• There are no significant and ongoing or repeated failures to achieve the performance outcomes defined in the Regulatory Code</li> <li>• Independent chairperson (non-employee of the provider or affiliated entity)</li> </ul>	<p>Tiers 1, 2 and 3</p> <ul style="list-style-type: none"> <li>• Constitution, charter or equivalent</li> <li>• Documented governance structure and governance policies and procedures</li> <li>• Business Plan</li> <li>• Schedule of delegations</li> <li>• Code of governance</li> <li>• Conflict of interests policies and procedures</li> <li>• Standing financial instructions and key financial reporting requirements</li> <li>• Sample governing body meeting minutes including agendas, reports on progress against business plan and action items</li> </ul> <p>Tiers 1 and 2</p> <ul style="list-style-type: none"> <li>• Sub-committee structure and associated terms of reference</li> </ul>	<p>Tiers 1, 2 and 3</p> <ul style="list-style-type: none"> <li>• Business Plan</li> <li>• Annual Report</li> <li>• Governance code, structures, policies and procedures where there has been a significant change</li> <li>• Schedule of delegations where there has been a significant change</li> <li>• Conflict of interest register or record</li> </ul> <p>Tiers 1 and 2</p> <ul style="list-style-type: none"> <li>• Risk management plan and register</li> <li>• Records of compliance reporting to the governing body</li> </ul> <p>May be requested</p> <ul style="list-style-type: none"> <li>• Sample governing body meeting minutes including agendas, reports on progress against plans (strategic, operational, financial and risk) and action items</li> <li>• Records that confirm the provider is performing against its code of governance (tiers 1 and 2)</li> </ul>
c. Complying with legal requirements and relevant government policies	The provider has a system in place to ensure compliance with all applicable legal requirements and relevant government policies	<ul style="list-style-type: none"> <li>• There are no significant and ongoing or repeated failures to meet legal requirements and relevant government policies</li> <li>• Any instance of non-compliance is dealt with in a prompt and effective manner</li> </ul>	<p>Tiers 1, 2 and 3</p> <ul style="list-style-type: none"> <li>• Systems or processes for monitoring compliance with legal requirements and relevant government policies</li> <li>• Policies and procedures or processes for ensuring staff understand and comply with legal requirements and relevant government policies (such as training)</li> </ul> <p>Tiers 1 and 2</p> <ul style="list-style-type: none"> <li>• Risk Management System</li> </ul>	<p>Tiers 1, 2 and 3</p> <ul style="list-style-type: none"> <li>• Records that confirm the provider is complying with legal requirements and relevant government policies (such as a report of compliance to the governing body)</li> <li>• Annual report</li> </ul> <p>Tiers 1 and 2</p> <ul style="list-style-type: none"> <li>• Risk Management Plan and register</li> <li>• Audit and risk committee agendas, minutes and reports</li> </ul>



<b>Performance Outcome 4: Governance</b> The community housing provider is well-governed to support the aims and intended outcomes of its business				
Performance Requirements	Performance Indicators	Thresholds	EXAMPLES of Evidence sources to demonstrate capacity	EXAMPLES of Evidence sources to demonstrate compliance
			Tier 1 <ul style="list-style-type: none"> <li>Integrated system and processes for monitoring compliance with its own policies and the legal and policy requirements relevant to its jurisdiction</li> </ul>	Tier 1 <ul style="list-style-type: none"> <li>Debt financing arrangements and covenants</li> </ul> Other sources <ul style="list-style-type: none"> <li>Decisions of appeals/reviews in relevant tribunals or bodies</li> <li>Decisions of other regulatory authorities</li> <li>Record of complaints and notifications under the Framework</li> </ul>
d. Ensuring that the governing body has members with appropriate expertise or that such is available to the governing body	The provider has fair and transparent processes in place to ensure the governing body has members with, or access to, an appropriate range of skills and knowledge to deliver on its business plan and manage the risks in its business, including in relation to, where undertaken: <ul style="list-style-type: none"> <li>- Recruitment and selection</li> <li>- Induction</li> <li>- Professional development</li> <li>- Succession</li> <li>- Engaging external expertise</li> <li>- Remuneration</li> <li>- Performance assessment of the governing body</li> </ul>	<ul style="list-style-type: none"> <li>The business plan includes maintaining appropriate governance structure, skills and knowledge</li> <li>There is a clear process for identifying and acquiring the skills and knowledge needed for effective governance in the context of its business plan</li> <li>The governing body accesses external advice, independent of the provider's management, where appropriate</li> <li>The governing body undertakes a governance review at least 3 yearly, or after significant change, with external input (Tiers 1 and 2)</li> </ul>	Tier 1, 2 and 3 <ul style="list-style-type: none"> <li>Constitution, charter or equivalent</li> <li>Business Plan</li> <li>Documented governance structure and governance policies and procedures</li> <li>Profiles of current governing body members identifying their skills and expertise</li> <li>Governing body induction and training plan</li> </ul> May be requested <ul style="list-style-type: none"> <li>Recruitment, induction, professional development, succession, remuneration and/or performance assessment policies and procedure</li> </ul>	Tiers 1, 2 and 3 <ul style="list-style-type: none"> <li>Business Plan</li> <li>Annual Report</li> <li>Board member profiles / CV's</li> <li>Annual general meeting minutes and reports</li> <li>NRSCH Financial Performance Report</li> </ul> Tiers 1 and 2 <ul style="list-style-type: none"> <li>Methodology and outcome of governance reviews where they have been undertaken</li> <li>Website</li> </ul> May be requested <ul style="list-style-type: none"> <li>Recruitment, induction, professional development, succession, remuneration and/or performance assessment records</li> </ul>

Examples and Notes – Performance Outcome 4 -
<ul style="list-style-type: none"> <li>• <b>Reports to the governing body:</b> Reports in the key operational areas assist the governing body to make informed decisions. A review of reports considered by the governing body assists to ascertain whether the provider receives appropriate information for the size and scope of its operation. Reports may be from internal or external sources.</li> <li>• <b>Schedule of delegations:</b> The provider should have policies and procedures which have been approved by the governing body relating to governance which details the responsibilities of the governing body for decision making. Delegations should be in place which authorise decision making for the governing body, management and operational staff.</li> <li>• <b>Expertise:</b> The knowledge and skills of governing body members, or those available to the governing body, may include: financial management; asset management; risk management; human resource management; and housing management</li> </ul>

<b>Performance Outcome 5: Probity</b> The community housing provider maintains high standards of probity relating to the business of the provider				
Performance Requirements	Performance Indicators	Thresholds	EXAMPLES of Evidence sources to demonstrate capacity	EXAMPLES of Evidence sources to demonstrate compliance
a. Establishing and administering a code of conduct	The provider has a code of conduct designed (or is supported by additional policies and procedures) to ensure it maintains high standards of probity, including in relation to: <ul style="list-style-type: none"> <li>- whistle blowing</li> <li>- conflict of interest</li> <li>- gifts and hospitality</li> <li>- procurement</li> </ul>	<ul style="list-style-type: none"> <li>• All board members, staff members and volunteers have provided a written undertaking that they understand and will comply with the code of conduct</li> <li>• The provider regularly promotes the code of conduct</li> <li>• There are no significant and ongoing or repeated failures to abide by the code of conduct</li> </ul>	Tiers 1, 2 and 3 <ul style="list-style-type: none"> <li>• Code of governance</li> <li>• Code of conduct</li> <li>• Probity policies and procedures (such as whistle blowing; conflict of interest; gifts and hospitality; procurement)</li> </ul>	Tiers 1, 2 and 3 <ul style="list-style-type: none"> <li>• Code of governance and code of conduct where there has been a significant change</li> <li>• Probity policies and procedures where there has been significant change</li> <li>• Conflict of interests register or records</li> <li>• Gift register or records</li> <li>• Records of governing body and staff training (such as a plan or calendar)</li> <li>• Annual Report</li> </ul> Tiers 1 and 2 <ul style="list-style-type: none"> <li>• Website</li> </ul> May be requested <ul style="list-style-type: none"> <li>• Sample of de-identified signed agreements to abide by the code of conduct</li> <li>• Records that demonstrate the provider complies with its code of conduct (tiers 1 and 2)</li> <li>• Other sources</li> <li>• Record of complaints and notifications under the Framework</li> <li>• Media reports</li> <li>• Court decisions</li> </ul>
b. Establishing and administering a system of employment and appointment checks	The provider conducts checks for governing body members, employees, volunteers and agents commensurate with the requirements of the position, including in relation to relevant: <ul style="list-style-type: none"> <li>- Referees and previous employment</li> </ul>	<ul style="list-style-type: none"> <li>• There are no significant and ongoing or repeated failures to conduct appropriate employment and appointment checks</li> </ul>	Tiers 1, 2 and 3 <ul style="list-style-type: none"> <li>• System or processes to undertake employment and appointment checks</li> </ul>	Tiers 1, 2 and 3 <ul style="list-style-type: none"> <li>• Annual Report</li> <li>• Audit management letters (where they have been issued)</li> </ul> May be requested <ul style="list-style-type: none"> <li>• Sample employment and appointment check forms (e.g. police clearance, references, working with children, NDIS and others)</li> <li>• Employment checks policies and procedures</li> </ul>



<b>Performance Outcome 5: Probity</b> The community housing provider maintains high standards of probity relating to the business of the provider				
Performance Requirements	Performance Indicators	Thresholds	EXAMPLES of Evidence sources to demonstrate capacity	EXAMPLES of Evidence sources to demonstrate compliance
	<ul style="list-style-type: none"> <li>- Criminal record</li> <li>- Bankruptcy</li> <li>- Working with children</li> <li>- NDIS/others</li> </ul>			
c. Establishing and administering a system for preventing, detecting, reporting on, and responding to, instances of fraud, corruption and criminal conduct	The provider's system is consistent with good practice established by relevant anti-fraud, anti-corruption and anti-crime agencies and professional standards bodies in the relevant jurisdiction.	<ul style="list-style-type: none"> <li>• There are no significant and ongoing or repeated instances of fraud, corruption or criminal conduct</li> <li>• Any instance of fraud, corruption or criminal conduct is dealt with in a prompt and effective manner</li> </ul>	<p>Tiers 1, 2 and 3</p> <ul style="list-style-type: none"> <li>• Systems and processes for detecting and responding to fraud, corruption and criminal conduct</li> </ul> <p>Tiers 1 and 2</p> <ul style="list-style-type: none"> <li>• Fraud, corruption and criminal conduct prevention plan, policies and procedures</li> <li>• Risk Management System and risk register</li> </ul> <p>Tier 1</p> <ul style="list-style-type: none"> <li>• Integrated system and processes for detecting and responding to fraud, corruption and criminal conduct</li> </ul>	<p>Tiers 1, 2 and 3</p> <ul style="list-style-type: none"> <li>• Audit management letters (where they have been issued)</li> <li>• Annual Report</li> </ul> <p>Tiers 1 and 2</p> <ul style="list-style-type: none"> <li>• Risk Register</li> </ul> <p>May be requested</p> <ul style="list-style-type: none"> <li>• Records that demonstrate the provider's system for preventing, detecting, reporting on and responding to instances of fraud, corruption and criminal conduct are effective</li> <li>• Procurement and contracting controls</li> <li>• Financial controls</li> </ul> <p>Other sources</p> <ul style="list-style-type: none"> <li>• Record of complaints and notifications under the Framework</li> <li>• Media reports</li> <li>• Court decision</li> </ul>
d. Maintaining the reputation of the community housing sector	The provider notifies the Community Housing Registration Office of any incident related to its operations (and its response) that damages or has the potential to damage the reputation of the community housing sector	<ul style="list-style-type: none"> <li>• There are no significant and ongoing or repeated instances of incidents that damage or may damage the reputation of the community housing sector</li> <li>• Any incident that damages or may damage the reputation of the community housing sector is dealt with in a prompt and effective manner</li> <li>• Notifications are made consistent with the Provider Notification Guidance Note and WA Community Housing Regulatory Framework</li> </ul>	<p>Tiers 1, 2 and 3</p> <ul style="list-style-type: none"> <li>• Notification policies and procedures</li> </ul>	<p>Tiers 1, 2 and 3</p> <ul style="list-style-type: none"> <li>• Complaints data</li> <li>• Appeals data</li> <li>• Notifications policy</li> <li>• Notifications report</li> </ul> <p>Tiers 1 and 2</p> <ul style="list-style-type: none"> <li>• Audit and risk committee meeting minutes</li> <li>• Risk register</li> </ul>

Performance Outcome 5: Probity The community housing provider maintains high standards of probity relating to the business of the provider				
Performance Requirements	Performance Indicators	Thresholds	EXAMPLES of Evidence sources to demonstrate capacity	EXAMPLES of Evidence sources to demonstrate compliance
				Other Sources <ul style="list-style-type: none"> <li>Record of complaints and notifications under the WA Community Housing Regulatory Framework</li> <li>Decisions of appeals/reviews/matters in relevant tribunals, bodies or courts</li> <li>Decisions of other regulatory authorities</li> <li>Media reports</li> <li>Court decisions</li> </ul>

Examples and Notes – Performance Outcome 5
<ul style="list-style-type: none"> <li><b>Probity</b> refers to integrity and honesty in the agency's operations and in the conduct of its governing body, volunteers and standards. The performance standards require the agency to establish or adopt a code of conduct incorporating measures such as mechanisms to manage conflicts of interest and to make policy and business decisions within an ethical framework.</li> <li>The <b>code of conduct</b> describes the behaviour and responsibilities an organisation requires of its people. The code of conduct will include requirements for ethical and appropriate conduct. A provider's code of conduct and a signed undertaking that a staff, governing body and volunteer member has read, understood and will abide by the code of conduct demonstrates a provider's commitment to guiding staff in ethical conduct. It is recommended that training and induction of staff, governing body and volunteer members should include training in the code of conduct.</li> </ul>

<b>Performance Outcome 6: Management</b> <b>The community housing provider manages its resources in a cost effective manner</b>				
Performance Requirements	Performance Indicators	Thresholds	EXAMPLES of Evidence sources to demonstrate capacity	EXAMPLES of Evidence sources to demonstrate compliance
a. Demonstrating it utilises its assets and funding to meet business goals	The business planning process includes an assessment of costs and returns on assets and funding to meet its business goals	<ul style="list-style-type: none"> <li>Costs are controlled and, where possible, are minimised</li> <li>Returns (financial and/or social) are sustained and, where possible, maximised</li> <li>Where cost-effective opportunities for improving financial and/or social returns are identified, they are achieved</li> </ul>	Tiers 1, 2 and 3 <ul style="list-style-type: none"> <li>Business Plan</li> </ul> Tier 1 <ul style="list-style-type: none"> <li>Strategic / development / growth plan</li> </ul>	Tiers 1, 2 and 3 <ul style="list-style-type: none"> <li>Business Plan</li> <li>Annual Report</li> <li>NRS Financial Performance Report</li> <li>Asset data</li> <li>Financial data</li> </ul> Tiers 1 and 2 <ul style="list-style-type: none"> <li>Development data</li> </ul> Tier 1 <ul style="list-style-type: none"> <li>Strategic / development / growth plan</li> <li>Scenario planning / stress testing</li> </ul>
	The provider generates and utilises surplus to achieve its business goals (Tiers 1 and 2 only)	<ul style="list-style-type: none"> <li>Return on assets</li> <li>Operating expense composition</li> <li>Equity and reserve composition</li> </ul>	Tiers 1 and 2 <ul style="list-style-type: none"> <li>Business Plan</li> <li>Strategic asset management plan</li> </ul> Tier 1 <ul style="list-style-type: none"> <li>Strategic / development / growth plan</li> </ul>	Tiers 1 and 2 <ul style="list-style-type: none"> <li>Business Plan</li> <li>Annual Report</li> <li>NRSCH Financial Performance Report</li> <li>Asset data</li> <li>Financial data</li> </ul> Tier 1 <ul style="list-style-type: none"> <li>Strategic / development / growth plan</li> <li>Scenario planning / stress testing</li> </ul>

<b>Performance Outcome 6: Management</b> <b>The community housing provider manages its resources in a cost effective manner</b>				
Performance Requirements	Performance Indicators	Thresholds	EXAMPLES of Evidence sources to demonstrate capacity	EXAMPLES of Evidence sources to demonstrate compliance
b. Implementing appropriate management structures, systems, policies and procedures to ensure the operational needs of its business can be met (including having people with the right skills and experience and the systems and resources to achieve the intended outcomes of its business)	The provider's management structure, systems, policies and procedures are fit-for-purpose	<ul style="list-style-type: none"> <li>The provider's management structure, systems, policies and procedures are subject to regular review and enhancement, and when there has been significant change to the scale and scope of its business.</li> </ul>	Tiers 1, 2 and 3 <ul style="list-style-type: none"> <li>Business Plan</li> <li>Corporate structure and systems</li> </ul>	Tiers 1, 2 and 3 <ul style="list-style-type: none"> <li>Business Plan</li> <li>Annual Report</li> <li>Audit management letters (where issued)</li> </ul> Tiers 1 and 2 <ul style="list-style-type: none"> <li>Audit and Risk Committee meeting minutes</li> <li>Risk register</li> </ul> May be requested <ul style="list-style-type: none"> <li>Methodology and outcome of management structure, systems, policies and procedures review where they have been undertaken</li> <li>Quality management systems manual/policy or, if relevant, accreditation (tier 1 only)</li> </ul> Other sources <ul style="list-style-type: none"> <li>Record of complaints and notifications under the Framework</li> </ul>

Examples and Notes – Performance Outcome 6
<ul style="list-style-type: none"> <li>Newly established provider with no history of tenancy management, should have a plan and clear business model that demonstrates how it intends to operationalise the business in a cost-effective manner. Assumptions should be reasonable and realistic.</li> </ul>

<b>Performance Outcome 7: Financial viability</b> <b>The community housing provider is financially viable at all times</b>				
Performance Requirements	Performance Indicators	Thresholds	EXAMPLES of Evidence sources to demonstrate capacity	EXAMPLES of Evidence sources to demonstrate compliance
a. Ensuring a viable capital structure	The provider monitors and manages its capital structure to achieve its business goals	<ul style="list-style-type: none"> <li>Capital adequacy – the provider has sufficient capital resources to be able to absorb unexpected losses and to manage adverse shocks so that it can meet its commitments to investors</li> </ul>	<p>Tiers 1,2 and 3</p> <ul style="list-style-type: none"> <li>Business planning documents</li> <li>Recent governing body (and relevant sub-committees if applicable) minutes reflecting discussions about capital structure with relevant operational and financial reports</li> <li>Annual Report</li> <li>Audited financial statements for the last two financial years</li> <li>Audit management letter for the most recent financial year (where they have been issued)</li> <li>NRSCH financial performance report</li> <li>Financial viability measures data</li> <li>Board approved budget and forecast</li> <li>Assumptions underpinning forecasts</li> <li>Financial planning, sensitivity analysis and scenario testing</li> <li>Debt financing arrangements and covenants</li> <li>Property development and related financial plans</li> <li>Evidence of state's equity in housing assets</li> </ul> <p>May be requested</p> <ul style="list-style-type: none"> <li>Recent project proposals (development and capital investments) and governing body consideration and approval (sample minutes).</li> </ul>	<p>Tiers 1, 2 and 3</p> <ul style="list-style-type: none"> <li>Business planning documents</li> <li>Recent governing body (and relevant sub-committees if applicable) minutes reflecting discussions about capital structure with relevant operational and financial reports</li> <li>Annual Report</li> <li>Audited financial statements for the last two financial years</li> <li>Audit management letter for the most recent financial year (where they have been issued)</li> <li>NRSCH financial performance report</li> <li>Financial viability measures data</li> <li>Board approved budget and forecast</li> <li>Assumptions underpinning forecasts</li> <li>Financial planning, sensitivity analysis and scenario testing</li> <li>Debt financing arrangements and covenants</li> <li>Property development and related financial plans</li> <li>Evidence of state's equity in housing assets</li> <li>Report of actions taken to address previous recommendations</li> </ul> <p>May be requested</p> <ul style="list-style-type: none"> <li>Recent project proposals (development and capital investments) and governing body consideration and approval (sample minutes).</li> </ul>

<b>Performance Outcome 7: Financial viability</b> <b>The community housing provider is financially viable at all times</b>				
Performance Requirements	Performance Indicators	Thresholds	EXAMPLES of Evidence sources to demonstrate capacity	EXAMPLES of Evidence sources to demonstrate compliance
b. Maintaining appropriate financial performance	The provider monitors and manages its financial performance to achieve its business goals	<ul style="list-style-type: none"> <li>Financial performance is monitored and managed for short, medium and long term viability</li> <li>There are no significant and ongoing or repeated instances of incidents of inappropriate financial performance and/or failure to achieve business goals due to inappropriate financial performance</li> </ul>	<p>Tiers 1, 2 and 3</p> <ul style="list-style-type: none"> <li>Business planning documents</li> <li>Recent governing body (and relevant sub-committees if applicable) minutes reflecting discussions about capital structure with relevant operational and financial reports</li> <li>Annual Report</li> <li>Audited financial statements for the last two financial years</li> <li>Audit management letter for the most recent financial year (where they have been issued)</li> <li>NRSCH financial performance report</li> <li>Financial viability measures data</li> <li>Board approved budget and forecast</li> <li>Assumptions underpinning forecasts</li> <li>Financial planning, sensitivity analysis and scenario testing</li> <li>Debt financing arrangements and covenants</li> <li>Property development and related financial plans</li> <li>Evidence of state's equity in housing assets</li> </ul> <p>May be requested</p> <ul style="list-style-type: none"> <li>Recent project proposals (development and capital investments) and governing body consideration and approval (sample minutes).</li> <li>Budget proposal and discussion papers and Governing body minutes reflecting approval.</li> </ul>	<p>Tiers 1, 2 and 3</p> <ul style="list-style-type: none"> <li>Business planning documents</li> <li>Recent governing body (and relevant sub-committees if applicable) minutes reflecting discussions about capital structure with relevant operational and financial reports</li> <li>Annual Report</li> <li>Audited financial statements for the last two financial years</li> <li>Audit management letter for the most recent financial year (where they have been issued)</li> <li>NRSCH financial performance report</li> <li>Financial viability measures data</li> <li>Board approved budget and forecast</li> <li>Assumptions underpinning forecasts</li> <li>Financial planning, sensitivity analysis and scenario testing</li> <li>Debt financing arrangements and covenants</li> <li>Property development and related financial plans</li> <li>Evidence of state's equity in housing assets</li> </ul> <p>May be requested</p> <ul style="list-style-type: none"> <li>Recent project proposals (development and capital investments) and governing body consideration and approval (sample minutes).</li> </ul> <p>Other sources</p> <ul style="list-style-type: none"> <li>Record of complaints and notifications under the Framework.</li> </ul>

<b>Performance Outcome 7: Financial viability</b> <b>The community housing provider is financially viable at all times</b>				
Performance Requirements	Performance Indicators	Thresholds	EXAMPLES of Evidence sources to demonstrate capacity	EXAMPLES of Evidence sources to demonstrate compliance
c. Managing financial risk exposure	The provider monitors and manages its financial risk exposure to protect its financial interests and the interests of investors	<ul style="list-style-type: none"> <li>• Opportunities for financial risks to crystallise are minimised</li> <li>• There are no significant and ongoing or repeated instances of risks crystallising</li> <li>• Any crystallising risks are dealt with in a prompt and effective manner</li> </ul>	<p>Tiers 1, 2 and 3</p> <ul style="list-style-type: none"> <li>• Business planning documents</li> <li>• Audited financial statements for the last three financial years</li> <li>• NRSCH financial performance report</li> <li>• Financial and risk management policies and procedures</li> <li>• Financial risk management process</li> <li>• Governing body (and relevant sub-committee if applicable)</li> <li>• minutes reflecting discussions about financial events and risk management (sample)</li> <li>• Financial planning, sensitivity analysis and scenario testing</li> <li>• Documented risk management system</li> <li>• Risk management plan</li> <li>• Risk Register</li> <li>• Debt financing arrangements and covenants</li> </ul>	<p>Tiers 1, 2 and 3</p> <ul style="list-style-type: none"> <li>• Business planning documents</li> <li>• Audited financial statements for the last three financial years</li> <li>• NRSCH financial performance report</li> <li>• Financial and risk management policies and procedures</li> <li>• Financial risk management process</li> <li>• Governing body (and relevant sub-committee if applicable)</li> <li>• minutes reflecting discussions about financial events and risk management (sample)</li> <li>• Financial planning, sensitivity analysis and scenario testing</li> <li>• Documented risk management system</li> <li>• Risk management plan</li> <li>• Risk Register</li> <li>• Debt financing arrangements and covenants</li> </ul> <p>Other sources</p> <ul style="list-style-type: none"> <li>• Record of complaints and notifications under the Framework</li> </ul>



## Document Control

Responsible Officer	Contact Officer	Review Date	Next Review Date	File Number	Associated Documents
Community Housing Registrar	<a href="mailto:registrar@communities.wa.gov.au">registrar@communities.wa.gov.au</a>	September 2021	3 years from the review date	2021/27797	<ul style="list-style-type: none"> <li>Community Housing Regulatory Framework</li> <li>Appendix A – Tiers Guidelines</li> <li>Appendix B - National Regulatory Code</li> <li>Appendix C- Conditions of Registration</li> <li>Enforcement Guidelines</li> <li>Affiliated Entity Arrangements Guidance Note</li> </ul>
Community Housing Registrar	<a href="mailto:registrar@communities.wa.gov.au">registrar@communities.wa.gov.au</a>	August 2024	3 years from the review date	2024/48706	<ul style="list-style-type: none"> <li>Community Housing Regulatory Framework</li> <li>Appendix A – Tiers Guidelines</li> <li>Appendix B - National Regulatory Code</li> <li>Appendix C- Conditions of Registration</li> <li>Enforcement Guidelines</li> <li>Affiliated Entity Arrangements Guidance Note</li> </ul>
Community Housing Registrar	<a href="mailto:registrar@communities.wa.gov.au">registrar@communities.wa.gov.au</a>	January 2025	3 years from the review date	2024/73774	<ul style="list-style-type: none"> <li>Community Housing Regulatory Framework</li> <li>Appendix A – Tiers Guidelines</li> <li>Appendix B - National Regulatory Code</li> <li>Appendix C- Conditions of Registration</li> <li>Enforcement Guidelines</li> <li>Affiliated Entity Arrangements Guidance Note</li> </ul>