

Regulations and Compliance Work

The following table focuses on compliance work particularly related to housing associations and providers of sheltered and residential care.

Regulatory Body/Regulations	Compliance Work
<p>Housing & Regeneration Act:</p> <p>National Housing Federation(NHF)</p> <p>The Regulator of Social Housing (RSH)</p> <p>(Regulating social housing)</p>	<p>Annual return, plus consolidated report and Auditor's opinion to Financial Regulation Section and submission of accounts to Regulation Division</p> <p>Compliance with rent structures</p> <p>Compliance with the Regulatory Frameworks</p> <p>Affordable Housing and Local Government Framework</p> <p>Compliance with RSH & NHF Regulatory Code and Guidance</p> <p>Requirement for housing associations to incorporate principles of choice based lettings by 2010 under Homelessness Act 2002</p> <p>CORE returns (completion of form for each new resident)</p> <p>Annual report to residents</p> <p>Annual Value for Money Statement</p>
<p>Care Quality Commission (CQC)</p> <p>(Regulating residential care)</p> <p>Kent County Council (KCC)</p>	<p>Compliance with Essential Standards of Quality and Safety.</p> <p>Announced and/or unannounced inspections, on schedules decided by CQC</p> <p>Provide Compliance Assessment Evidence</p> <p>Forms to CQC reporting hazardous occurrences, hospital admissions, deaths, as they occur</p> <p>Written reports to CQC on hospital admissions, injuries requiring medical attention and deaths</p> <p>Care Plans to be revised and signed by residents monthly</p> <p>Residents Risk Assessments to be revised monthly</p>

Regulatory Body/Regulations	Compliance Work
KCC Contracts Department Dynamic Purchasing System for Older Person's Residential Care (Care Home Admissions) (Other local authorities funding residents require separate and slightly different information)	Completion of self-assessment documents and returns as required Inspections to check compliance with contract Written notification of death or admission to hospital of KCC supported resident Resident Tendering Procedure. Admission visits within 48 hours. Key Performance Indicator returns, monthly, quarterly or annually Various Policies & Procedures, Risk Assessments, Equipment checks, Care Plans, and other documentation required by KCC under their Dynamic Purchasing System for Older Person's Residential Care Monthly invoicing for payments
Rent Office	Application to register fair rent with Rent Officer on remaining secure tenancies every two years
Financial Conduct Authority	Annual return
Policy Documents (Required/inspected by HCA, CQC and Supporting People Team)	Each to be revised every 3 years. Currently approximately 250 documents, plus Staff Handbook, House Handbook, Flats Residents Handbooks, Maintenance Handbook and Finance Department Procedure Manual. Examination of policy documents forms the core of CQC inspections.

Regulatory Body/Regulations	Compliance Work
<p>Employment Requirements</p> <p>(Required/inspected by CQC and Supporting People Team)</p>	<p>On appointment:</p> <p>Application to DBS and Adult First.</p> <p>Signed declarations regarding all policies and procedures, especially Health and Safety Policy, Fire Procedures and Staff Handbook, Driving at Work Policy</p> <p>Rockdale House staff training requirements: Common induction standards for all care staff to be met within 3 months of starting All staff who administer drugs must hold "Safe Handling of Medicines" certificate All Rockdale House day care staff and catering staff must hold "Basic Food Hygiene" certificate 50% of all care staff must have at least NVQ2 or equivalent standard in place – this is no longer an absolute requirement, but we are maintaining this as a demonstration that we have "sufficiently" trained staff.</p> <p>Identity checks (also required by Home Office) through photocopies of passport or birth certificate, Worker Registration Scheme (if appropriate) and photographs on file</p> <p>During employment:</p> <p>Ensuring all staff have the right to work in the UK by annually checking their documents and ensuring they are updated as necessary</p> <p>DBS checks every 3 years</p> <p>Minuted regular supervision meetings for all staff – including some group supervision and annual appraisals.</p> <p>Annually checking driving licence, MOT and Car insurance for any employee who drives on business</p> <p>Annual employee declarations regarding awareness of policies & procedures.</p> <p>Employment & Regulatory Reform Act 2013</p>

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<p>Health and Safety Regulations</p> <p>(Required by law, and inspected by Care Quality Commission and Supporting People Team)</p>	<p>Inspections by Sevenoaks District Council Environmental Health Department, and Fire Safety Officer</p> <p>Risk Assessments (approximately 140) to be reviewed and signed annually</p> <p>Arrangement of two yearly free eye tests for all employees using computers</p> <p>Maintenance of asbestos register, and policy on management of asbestos</p> <p>Completion of accident forms</p> <p>Quarterly ladder checks</p> <p>Regular recordings of temperatures in hot water systems</p> <p>Annual testing of all portable electric equipment (approximately 700 items)</p> <p>Maintenance of COSHH records</p> <p>Regular health and safety training for all staff</p> <p>Regular recordings of fire bell checks and fire drills</p> <p>Regular testing of emergency lighting</p> <p>Provision of fire action notices in common areas</p> <p>Daily recordings in Rockdale House of: Each resident's meal choices Each main dish's core temperature All refrigerator temperatures Fire panel checks</p> <p>Regular checks of Rockdale House Plant Room and Pump Stations</p> <p>Registration with Health and Safety Executive of maintenance projects over a certain size under the Construction (Design and Management) Regulations 2007, with requirements as to how the project is managed.</p>
<p>Money Laundering Regulations - National Criminal Intelligence Service</p>	<p>These regulations particularly relate to the sale of leasehold flats.</p> <p>Appointment and training of Nominated Officer</p> <p>Keeping records of clients' identities</p> <p>Reporting suspicions to National Criminal Intelligence Service</p>

Regulatory Body/Regulations	Compliance Work
Data Protection Act	Annual Return Notification of changes
Commonhold and Leasehold Reform Act 2002	Summary of tenants' rights and obligations to accompany all service charge demands for leasehold apartments Prescribed form of notification and consultation for all major repair and redecoration projects in leasehold properties
Office of Government Commerce (OGC)	Requirement for Registered Social Landlords to go through European Tendering Procedures for contracts over specified limits