



## An tÚdarás Rialála Comhlachtaí Tithíochta Ceadaithe Approved Housing Bodies Regulatory Authority

# Housing Practitioners Conference

Thursday 11<sup>th</sup> May

## How AHBRA Regulates AHBs

Leona McMahon (Chair), Steven Sheridan, Ken Jackson, Jenny Murphy

AHBRA

*Registration queries* contact  
[registration@ahbregulator.ie](mailto:registration@ahbregulator.ie)

*General queries* contact  
[info@ahbregulator.ie](mailto:info@ahbregulator.ie)

To join our *mailing list* contact  
[communications@ahbregulator.ie](mailto:communications@ahbregulator.ie)

# Today's Workshop Topics



- Introduction by Chair
- About AHBRA
- Learnings from Pilot Assessments
- Looking forward to Planned Assessment
- Update on Notifiable Events
- Reporting Events to AHBRA
- Sectoral Analysis Overview
- Monitoring Regulatory Findings
- Q&A





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Tithíochta Ceadaithe

Approved Housing Bodies  
Regulatory Authority



**The Housing (Regulation of Approved Housing Bodies) Act 2019** provides for the regulation of Approved Housing Bodies (AHBs) for the purposes of protecting housing assets provided or managed by such bodies

# Strategic Statement



## Our Vision

Our vision is of a sector, in which AHBs demonstrate best practice in the areas of governance, finance, property, and tenancy management and who provide quality homes for their tenants.

## Our Values



Integrity



Independent,  
proportionate and Fair



Accountable and  
Transparent



Co-operative



Innovative



## Our Mission

Our mission is to protect housing provided and managed by AHBs through effective regulation.

## Our Five Strategic Objectives

Reliable and efficient AHB Registration framework

Proportionate standards and compliance frameworks

Transparent and consistent risk-based regulation

Consistent and effective communication with our stakeholders

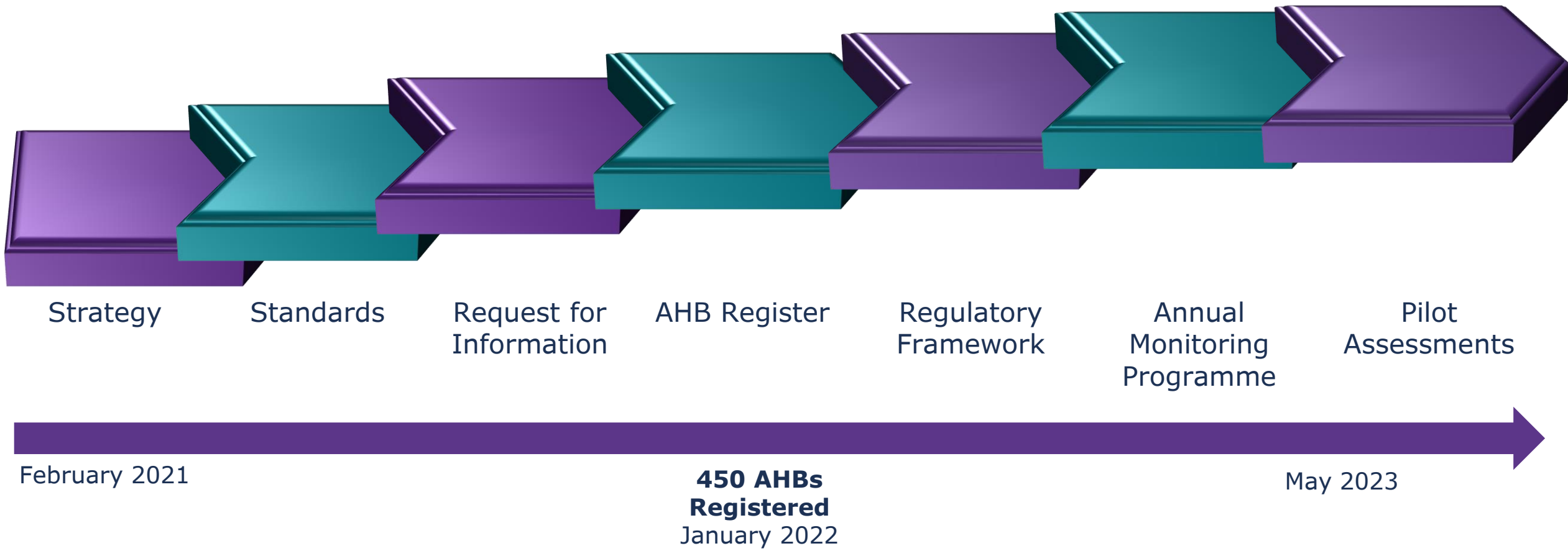
An agile, flexible and accountable organisation

# Regulatory Functions & Powers

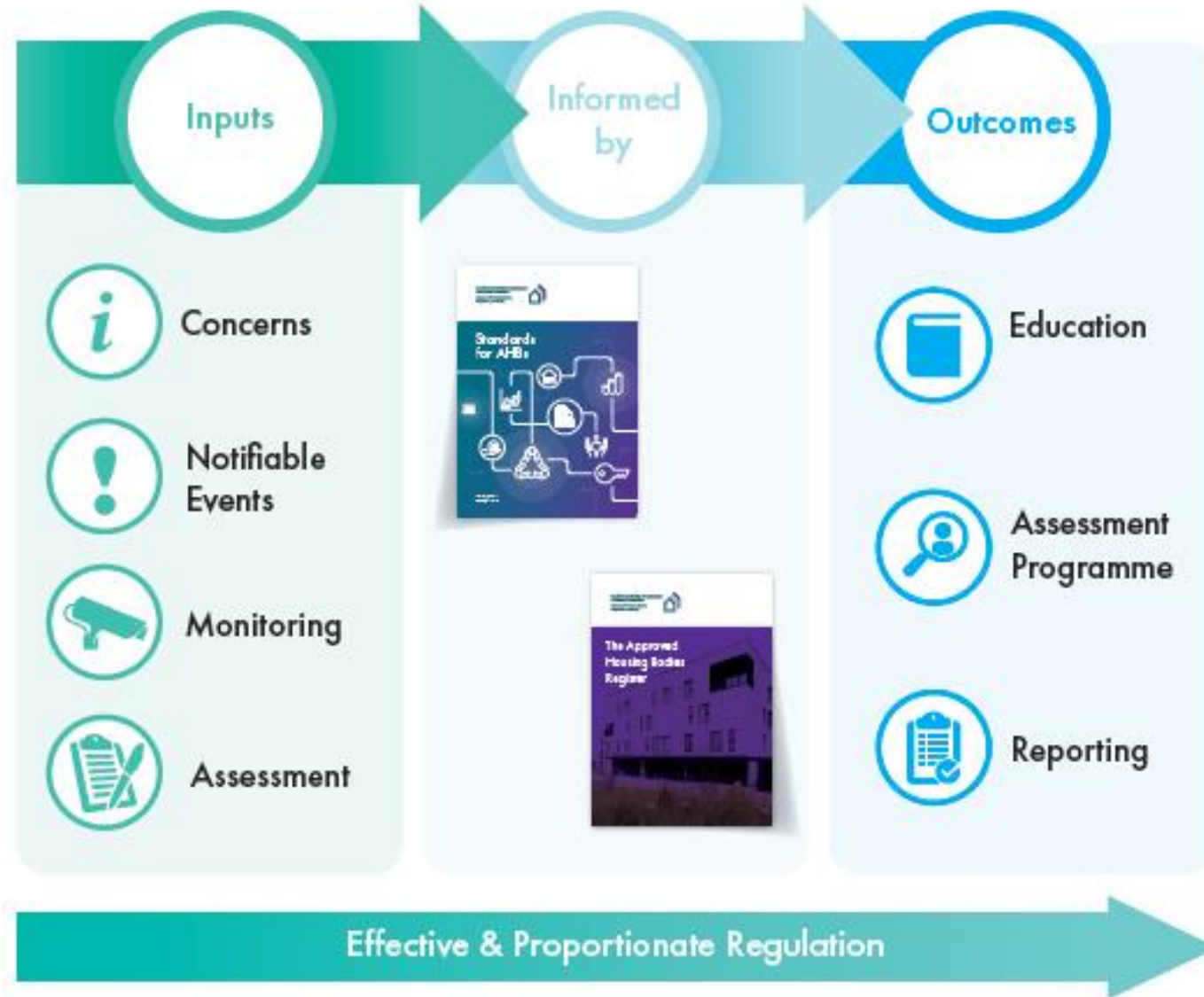


- the registration of AHBs
- setting standards for AHBs, subject to the approval of the Minister
- monitoring and assessing compliance by AHBs with the standards prepared by the Regulator
- undertaking investigations into AHBs, where necessary
- Promotion & awareness
- the cancellation of registration of AHBs, where appropriate
- the right to seek Court orders to protect the assets of AHBs in certain circumstances

# A Phased Introduction



# Regulatory Framework





# Standards for AHBs



- ✓ Four areas of focus
- ✓ Standards are outcomes-based
- ✓ Emphasis is on measurable outcomes
- ✓ Enables Risk-based Regulation
- ✓ Standards form part of wider regulatory framework
- ✓ Focus on Achievement of certain goals/objectives
- ✓ Assurances & evidence sit with AHB
- ✓ Take account of diversity
- ✓ Not prescriptive allowing for innovation and new approaches





# Guidance for the Standards



**Tenancy Management Standard**  
Guidance for AHBs  
ahbregulator.ie

**Governance Standard**  
Guidance for AHBs  
ahbregulator.ie

**Property & Asset Management Standard**  
Guidance for AHBs  
ahbregulator.ie

**Financial Standard**  
Guidance for AHBs  
ahbregulator.ie

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# Pilot Assessment Programme

# The Pilot Assessment Programme



1. Provide a learning environment

2. Test and evaluate the effectiveness of our internal policies and procedures using a **cross section of AHBs**

3. Gain feedback from each AHB involved, and their experience of the pilot assessment programme

# The Pilot Assessment Programme

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Selected AHBs informed in August 2022

Formal notification requesting the information issued in September 2022

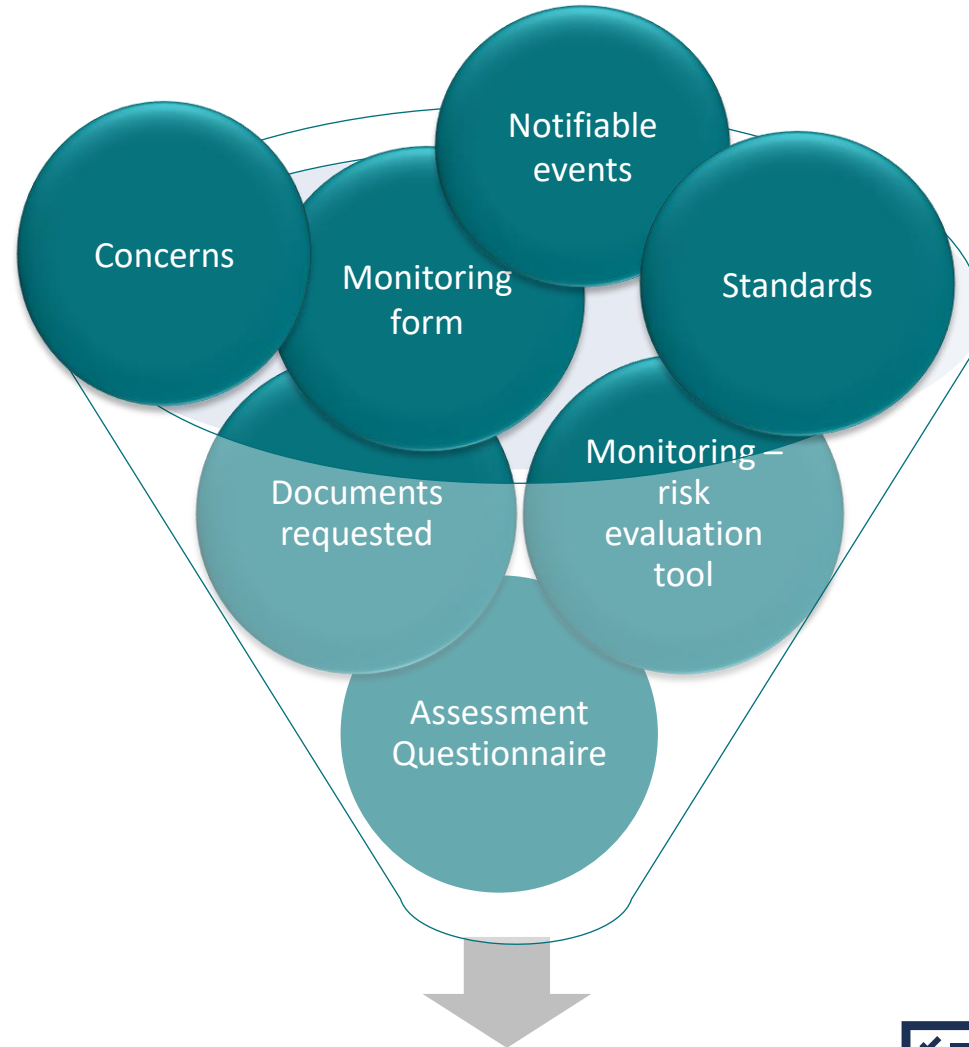
6 weeks to submit information

Series of webinars held to provide training and support to participating AHBs

# The Pilot Assessment Approach



1. Risk Evaluation
2. Proportional
3. Outcomes based Standards



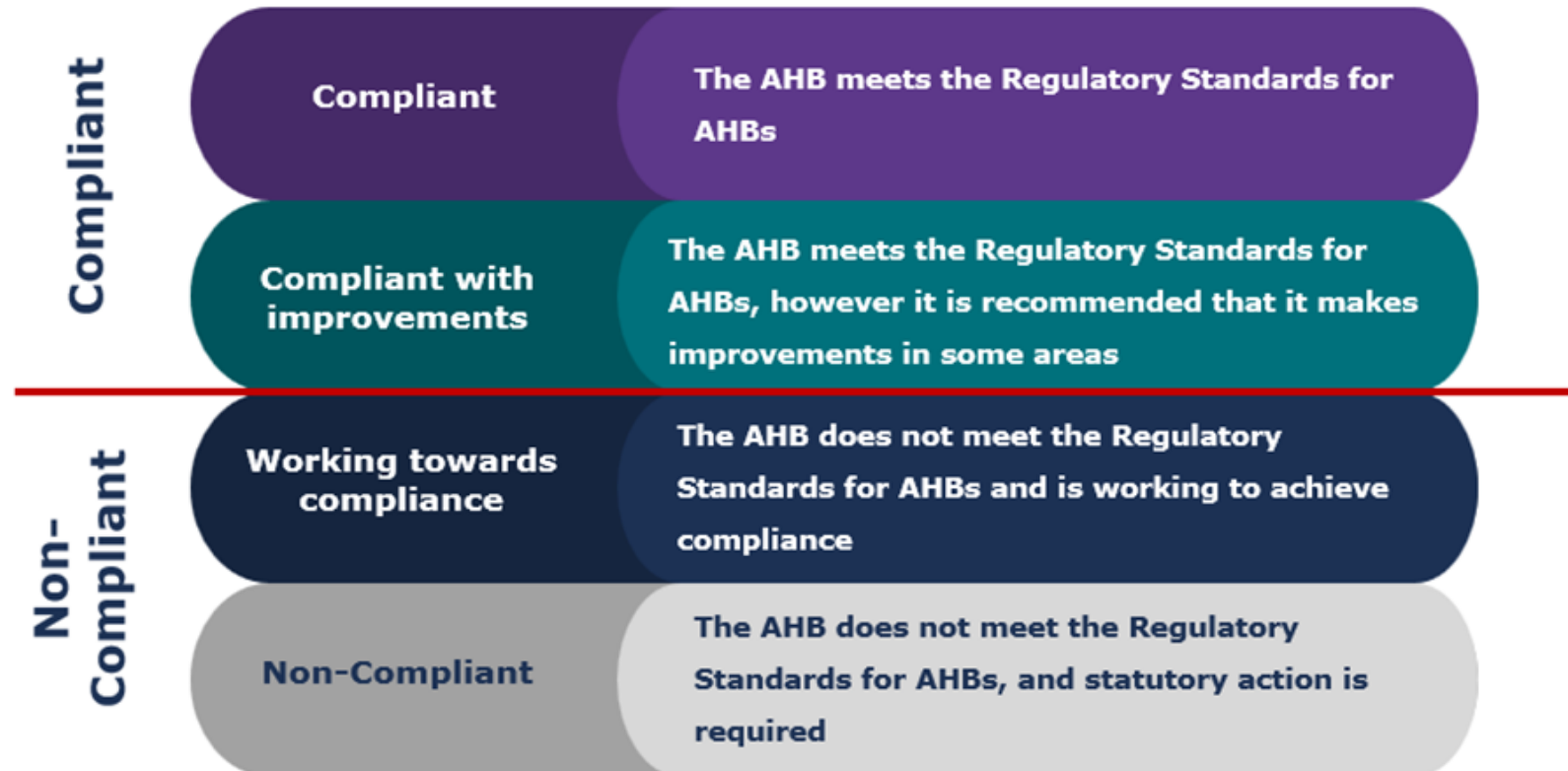
Pilot assessment findings



# Assessment Outcomes



In order to assess compliance against the 4 Standards, AHBRA have identified 4 outcomes.



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# Pilot Assessment Learnings



# Feedback from AHBs



Supporting documents provided good opportunity to demonstrate compliance.

We requested documents and information that AHBs already had.

Supports available were useful – Guidance, Webinars & Videos.

Sharing of documents – IT solution for submission of documents.

More interaction & request clarification.

Timing of assessment & notice received.





## Importance of supporting documents

### Board & Sub-Committee Minutes

- Do your organisation's minutes reflect what happens at meetings?
- Are key decisions documented?

### Risk Register

- Is your risk register up to date?
- Are those risks discussed at Board/ sub-committee meetings?

# Pilot Assessment Learnings

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Assessing Outcome Based Standards

Quality of Information

Engagement & Communication with AHB

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# Planned Assessment Programme

# Planned Assessment Process

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**1. AHBRA Issue Written Notice  
of Upcoming Standards  
Assessment to AHB**

**2. Information submitted to  
AHBRA by AHB**

**3. AHBRA with conduct standards  
assessment of compliance against  
standards**

**4. AHBRA will issue a draft Standards  
Assessment Report to the AHB**

**5. AHB may write to AHBRA with  
representations**

**6. AHBRA will issue final Standards  
Assessment Report**



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# Notifiable Events – One year Review

11<sup>th</sup> May 2023

Ken Jackson  
Senior Regulatory Manager  
Legal & Compliance





1. Recap - Notifiable Events
2. Notifiable Events received – One year review
3. Recent Developments
4. Takeaway points for AHBs and Local Authorities



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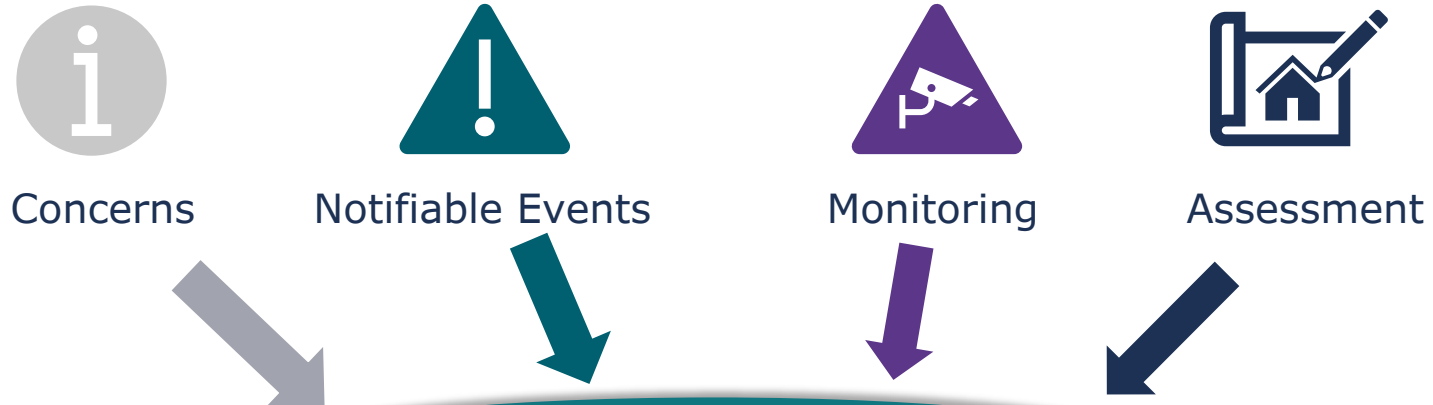
## **Recap – Notifiable Events**

# Regulatory Functions & Powers



- the registration of AHBs
- setting standards for AHBs, subject to the approval of the Minister
- monitoring and assessing compliance by AHBs with the standards prepared by the Regulator
- undertaking investigations into AHBs, where necessary
- Promotion & awareness
- the cancellation of registration of AHBs, where appropriate
- the right to seek Court orders to protect the assets of AHBs in certain circumstances

# Regulatory Framework



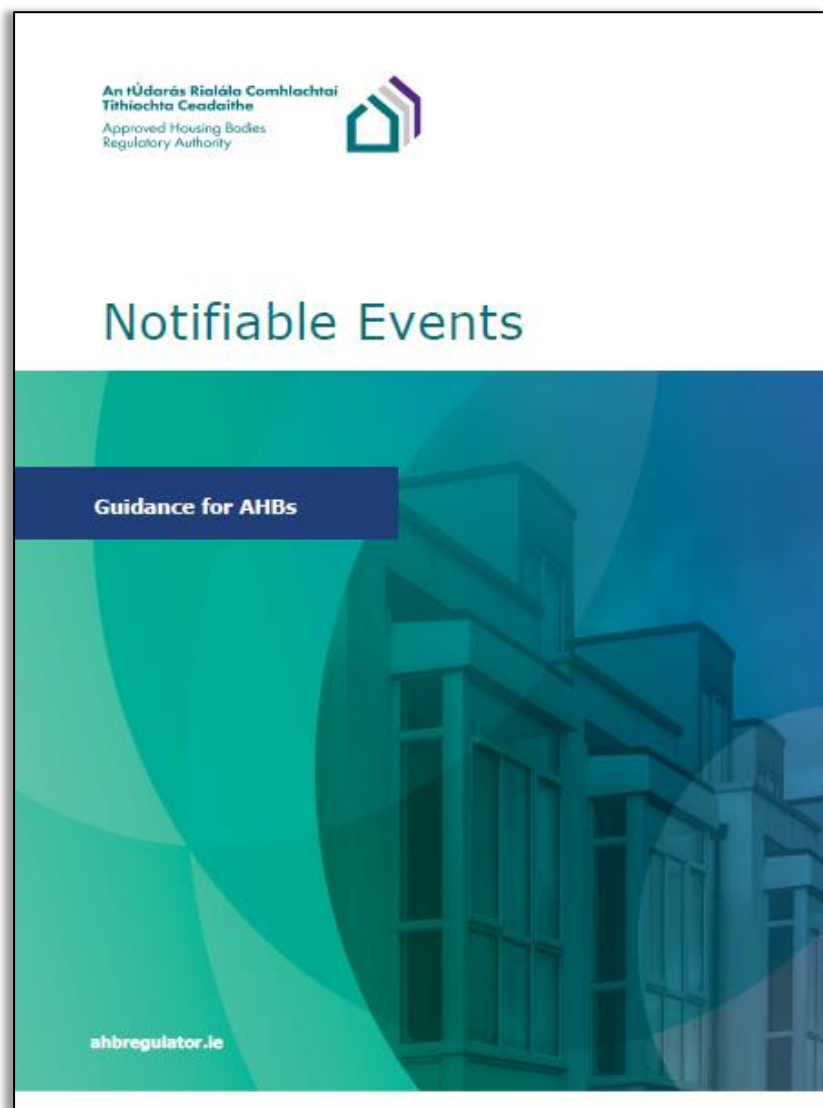
The Regulatory Framework for  
Approved Housing Bodies in Ireland



*Effective Regulation – Proportionate Response*

Informs





## 2. Examples of Notifiable Events

As set out above, a Notifiable Event is a material, significant, or exceptional issue, event, or change within the organisation, which must be notified to AHBRA. In considering whether an event is a Notifiable Event, an AHB should consider the level of risk and potential impact on the organisation. Examples of events where the AHB may be expected to contact AHBRA include, but are not limited to the following:

### Examples of Tenancy & Asset Management Notifiable Events

- Board consideration of a significant disposal of assets
- Material breaches of health and safety which present significant risk to tenant safety
- Report findings that there is a serious risk of accident or injury to a tenant in their home (for example, fire inspections)
- Threat of a major service delivery failure (for example, contractor goes into liquidation)
- Adverse reports by a regulator or state agency relating to key services provided to tenants
- Any significant natural disaster that impacts on the AHB's business (for example, fire, flood, building collapse)
- Adverse internal or external reports relating to key services provided to tenants
- Adverse internal or external reports relating to the management of property by the AHB
- Unfavourable determination in a case with the RTB
- Where the AHB becomes aware of potential negative media coverage about the AHB, which may impact its reputation, or the reputation of the AHB sector
- Any other events which could give serious cause for concern

### Examples of Governance Notifiable Events

- Board consideration of mergers or acquisitions with other AHBs
- Resignation or dismissal of a Chair, CEO or Finance Director
- Proposed dismissal of a Chair, CEO or Finance Director
- Proposed removal of any Board member by the AHB
- Where the AHB becomes aware of actual or potential non-compliance with the Standards for AHBs
- Serious issue regarding a parent, subsidiary or connected organisation
- Serious complaint, allegation or disciplinary investigation involving a director or senior executive
- Senior executive is absent for a prolonged period of time
- Breach of code of conduct by director(s)
- Plans to set up a non-subsidiary or re-structure within with the current group structure
- Breach or potential breach of charitable obligations
- Whistleblowing allegations within an AHB

# Recap - Notifiable Events Guidance Summary



1. What is a Notifiable Event?
2. When should an AHB notify AHBRA?
3. How to notify AHBRA?
4. Who should notify AHBRA?
5. What action will AHBRA take?

# Recap - What is a Notifiable Event?



A Notifiable Event is a material, significant, or exceptional issue, event or change within an organisation

# Recap – Possible examples of Notifiable Events\*



Consideration of Disposal  
of Assets



Serious health & safety  
risk to tenants



Consideration of  
Mergers / Acquisitions



Key Personnel Changes



Criminal or Regulatory  
Investigation



Changes to constitution



Fraud or theft



Reduction in  
income / funding



Liquidity issues

**\*Non-  
exhaustive  
list!**





## 2. Examples of Notifiable Events

As set out above, a Notifiable Event is a material, significant, or exceptional issue, event, or change within the organisation, which must be notified to AHBRA. In considering whether an event is a Notifiable Event, an AHB should consider the level of risk and potential impact

Does the event:

- Seriously affect the interests or safety of tenants?
- Result in a substantive change to the organisation or its strategy?
- Create a significant risk to the governance and financial health of the organisation?
- Result in non-compliance with the Standards for AHBs ?
- Impact the reputation of an AHB, or the AHB sector?
- Materially affect the organisation's status as an AHB?

- Senior executive is absent for a prolonged period of time
- Breach of code of conduct by director(s)
- Plans to set up a non-subsidiary or re-structure within with the current group structure
- Breach or potential breach of charitable obligations
- Whistleblowing allegations within an AHB

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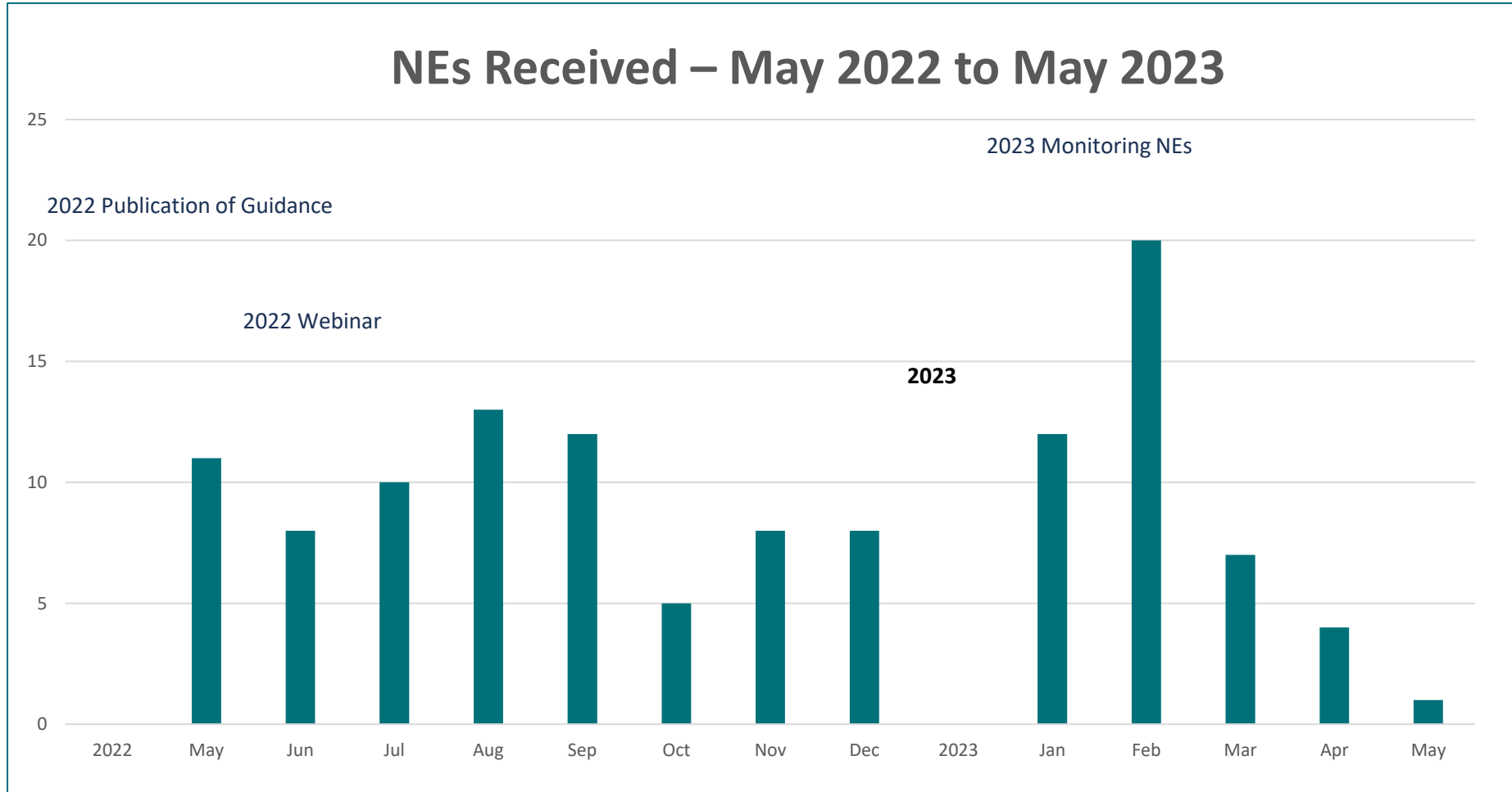
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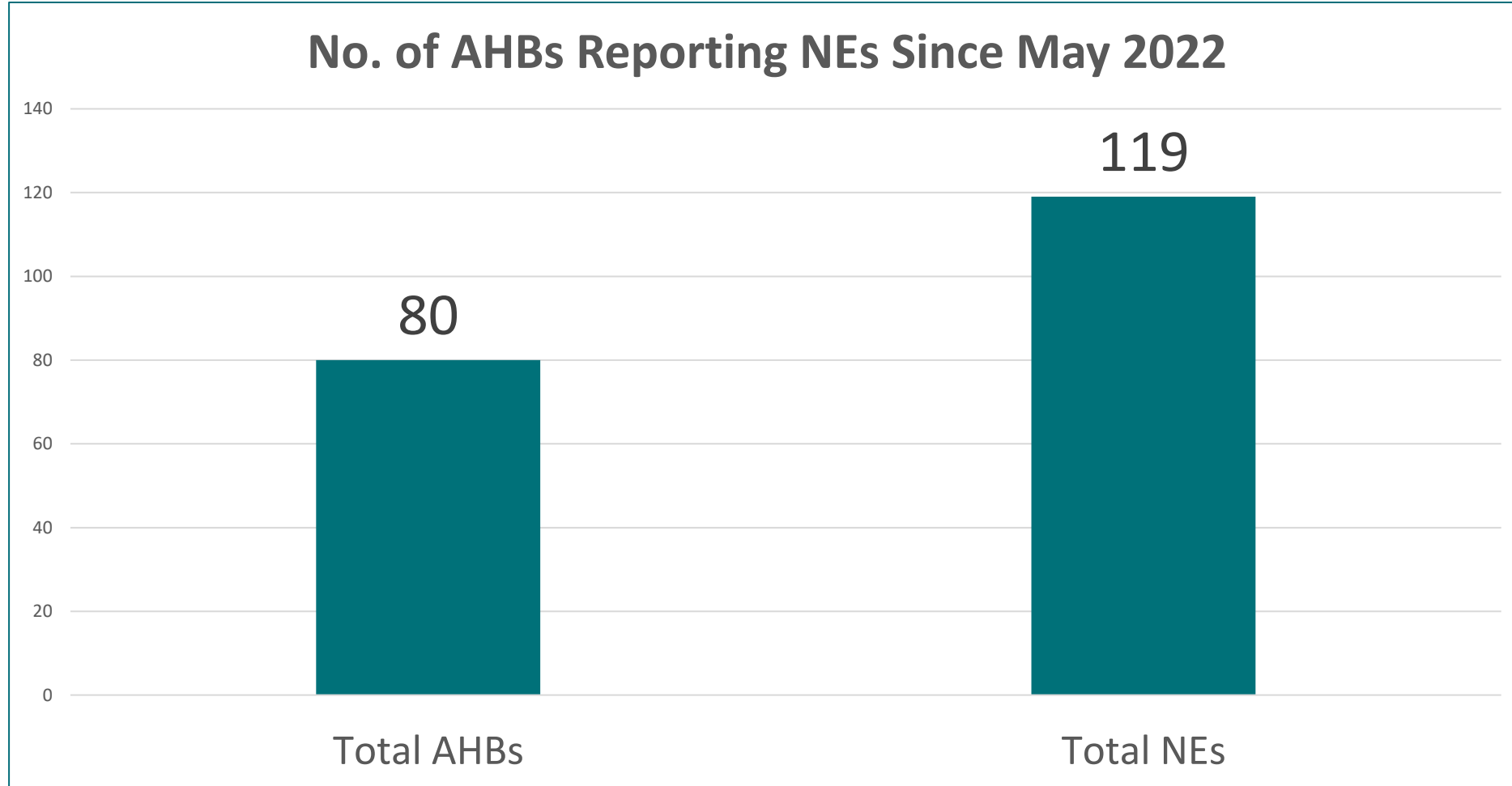
# **Notifiable Events Received**

## **One Year Review**

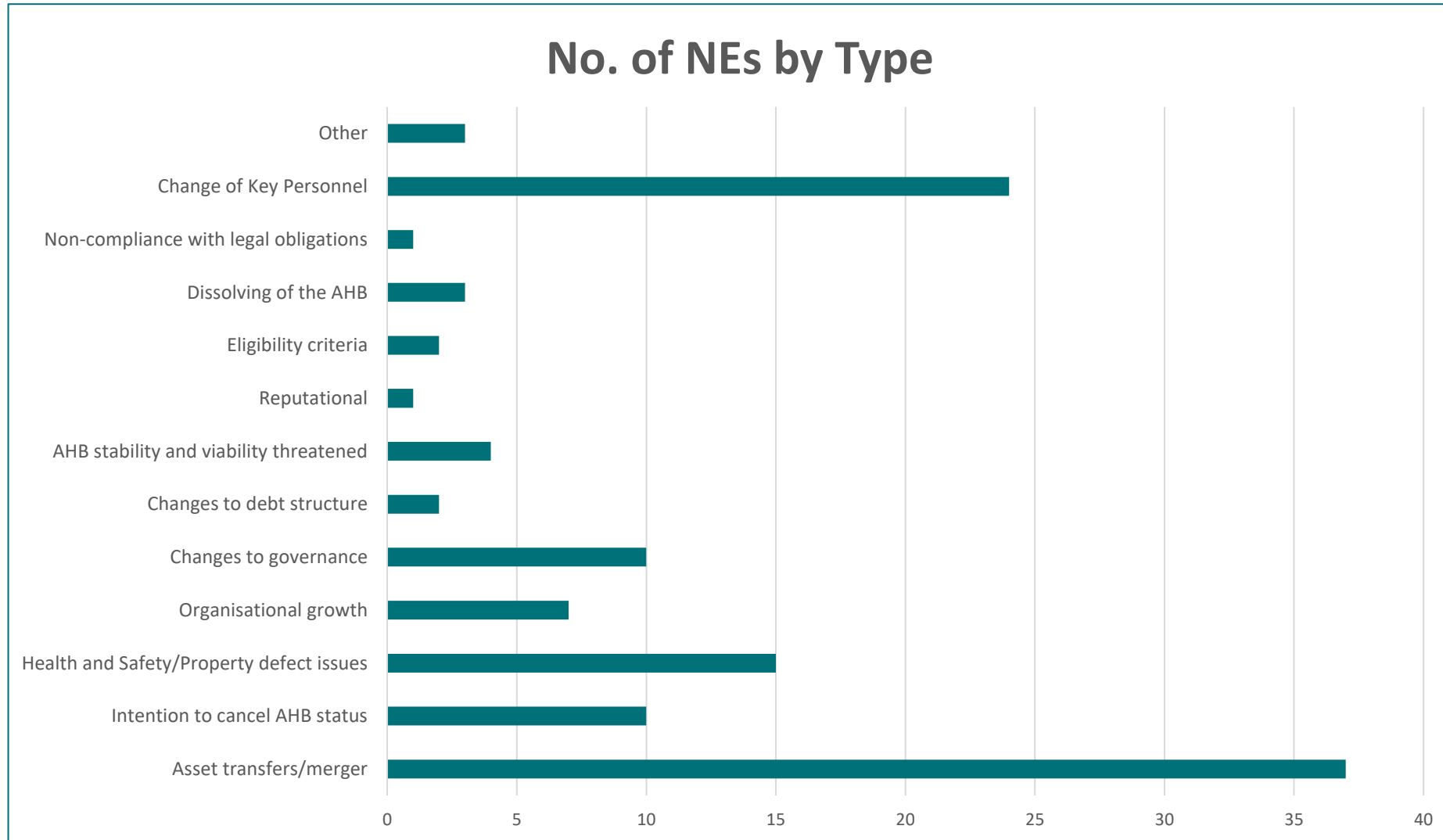
# Notifiable Events – One Year Review



# Notifiable Events – One Year Review



# Notifiable Events – One Year Review



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**Notifiable Events**

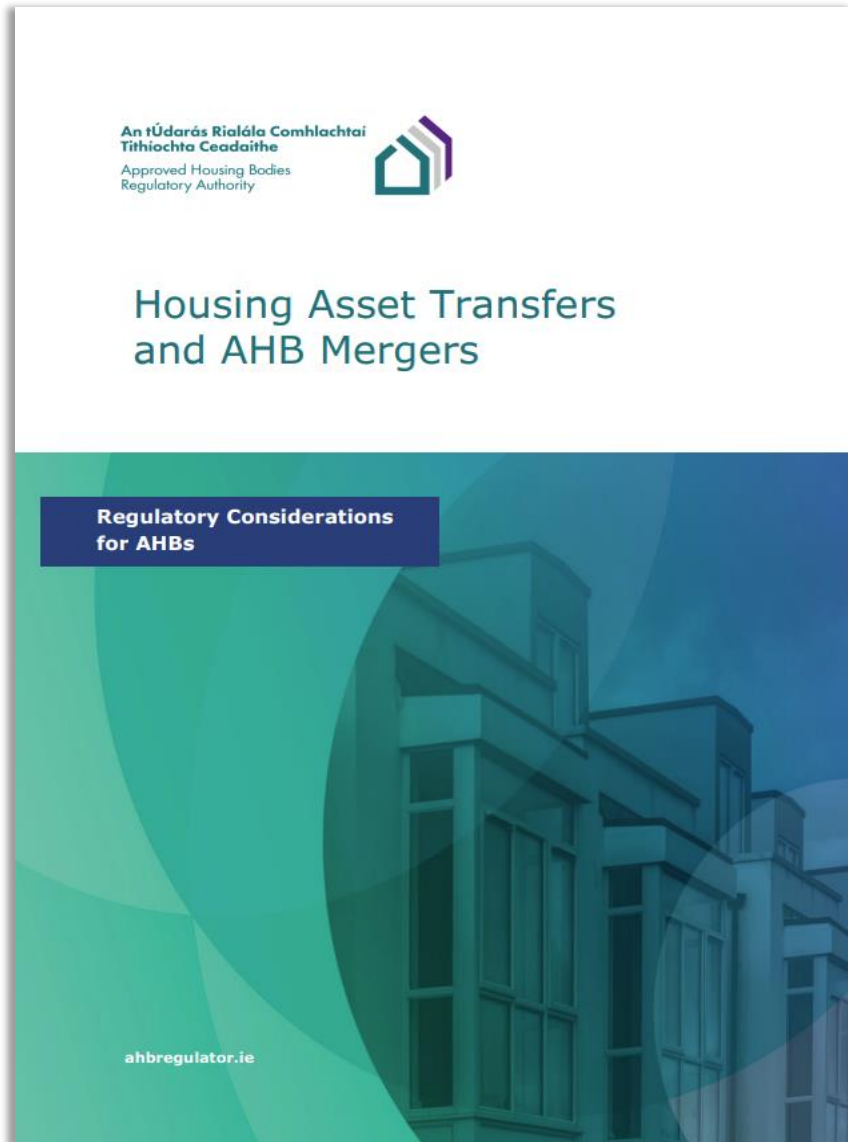
**Recent Developments**

# Learnings and Actions taken based on our findings so far



- New Publication – Housing Assets Transfers & Mergers
- Increasing awareness of Notifiable Events Process
- Getting the right information – Notifiable Events Form

# New Publication



- Published March 2023
- Regulatory Considerations for AHBs
- Sets out regulatory requirements and expectations
  - *Oversight and management*
  - *Notifiable Events*
  - *Registration*
  - *Cancelation*





## AHBRA Notifiable Event Form

### Contact Information

Please enter the name of the AHB and the details of the person completing this form

1. Name of AHB

2. AHB Registration Number (please refer to our user guide, if required)

Please enter in format AHB-XXXXX



3. Name of person filling in this form and their role in the AHB

4. Email address of person filling in this form

- To be launched shortly
- Online form – [www.ahbregulator.ie](http://www.ahbregulator.ie)
- Directs AHBs to answer specific questions based on type of event reported
- Capture information first time
- Guidance document also published

# Notifiable Events Form



 AHBRA Notifiable Event Form 

\* Required

## Notification Type

7. What sort of notification do you wish to make? \*

I am notifying AHBRA of a 'Notifiable Event' - a material, significant, or exceptional issue, event, or change within the organisation

I am notifying AHBRA of a routine update for information purposes (e.g. routine change of Chair)

Never give out your password. [Report abuse](#)

# Online Notifiable Events Form



8. The event relates to the following:

- Asset transfers and/or merger
- Intention to cancel the organisation's status as an AHB
- Expansion/organisational growth
- Health and safety issues/property defect issues
- Changes in governance structure (our Board) and/or change to the AHB's constitution
- Significant changes to the AHB's debt structure
- An event that may threaten the stability, efficiency, operations and general viability of the AHB
- An event that may negatively impact on the AHB's reputation
- An event that relates to changes to the AHB's charitable status
- Our AHB no longer satisfies the eligibility criteria
- An event that relates to an improvement/prohibition notice received by the AHB
- Event(s) that relates to the dissolving/termination of the organisation
- Potential non-compliance with the AHB's legal obligations
- Other

- Will direct AHBs to answer specific questions depending on type of event
- Clear and user friendly
- Reduces need for AHBRA to seek follow-up information

# Notifiable Events Form



## 9. Details of the Notifiable Event

Please provide a summary of the event

Enter your answer

← Details of event

## 10. Impacts of the Event

Please provide details of who and what may be impacted by the event.

Enter your answer

← Impacts

## 11. Risk Assessment

Has your organisation completed a risk assessment as a result of the event?

Please provide a summary of the risks, including the AHB's assessment of the impact of these risks.

Enter your answer

← Risk assessment

## 12. Actions

Based on the level of risk, does the AHB have an appropriate action plan in place to actively manage all identified risks?

Please provide a summary of the main actions and associated timelines.

Enter your answer

← Actions

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## **Notifiable Events**

# **Takeaway Points for AHBs and Local Authorities**



AHBs should:

1. Familiarise themselves with the Notifiable Events  
Guidance and other documentation
2. Know what a Notifiable Event is
3. Notify us as soon as possible if a Notifiable Event  
arises
4. Know who is responsible for notifying us
5. Actively manage the event

# Important Takeaway Points for Local Authorities



- Certain Notifiable Events may lead us to contact you to verify information (for example, if properties are still in mortgage)
- If an AHB contacts you and you think it may be a Notifiable Event, refer them to our guidance documents

# Further Information



Web:

<https://www.ahbregulator.ie/for-ahbs/notifiable-events/>

<https://www.ahbregulator.ie/information-guidance/guidance-documents/>

Contact:

[info@ahbregulator.ie](mailto:info@ahbregulator.ie)





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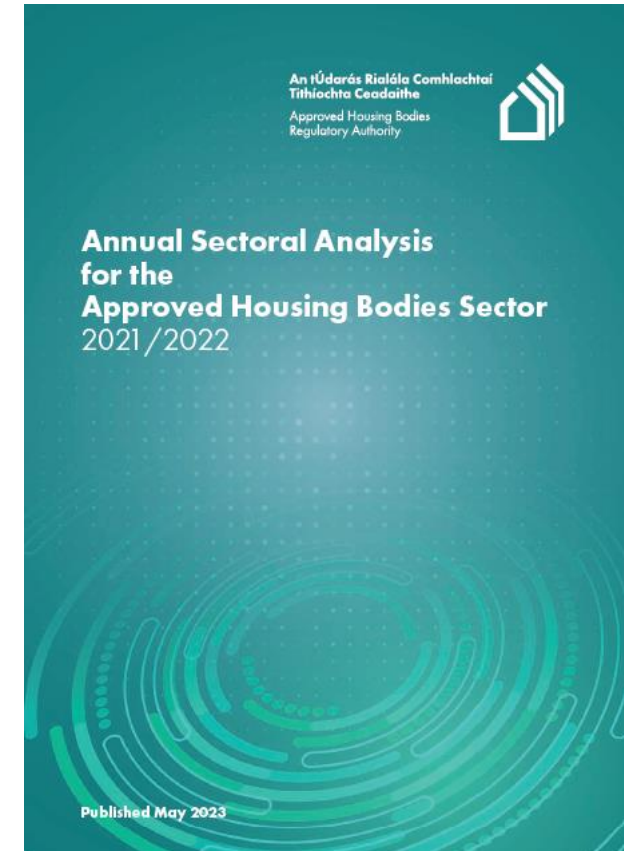
# **Annual Sectoral Analysis**

## **An Overview**

# Sectoral Analysis Report



- AHBRA first Annual Sectoral Analysis Report
- Report is based on data and information self reported by AHBs
- Comprehensive overview of AHB sector including:
  - Dwellings number
  - Financial information
  - Growth Plans
  - Funding Mechanisms



# Sectoral Analysis – Sector Highlights



## Sector Highlights 2021/2022<sup>1</sup>



**387 AHBs**  
included in report



**54,196**  
dwellings owned,  
managed or leased by  
AHBs



**19,256**  
new dwellings projected  
over next 3 years



**3%**  
of total dwellings void



**€1.7 billion**  
in income



**€7 billion**  
in fixed assets



**€5.7 billion**  
in liabilities



**€3.6 billion**  
in loan financing



**€1.5 billion**  
in government  
grant liabilities



**89%**  
of AHBs intend  
to register



**8**  
board members  
on average



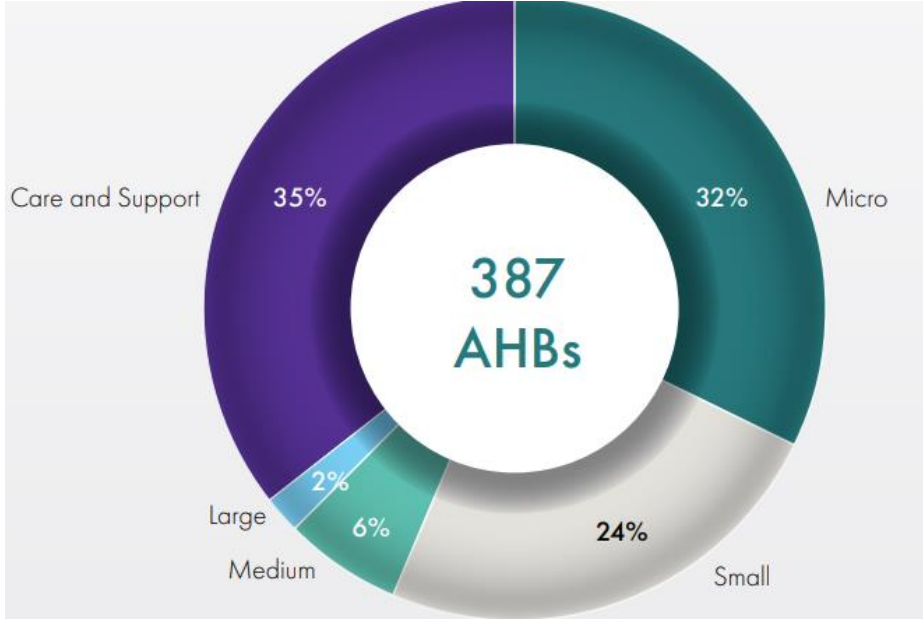
**6**  
board meetings  
on average

<sup>1</sup>This information is self reported by AHB and is directional only.

# AHB – Categorisation



AHB category	Categorisation	Number of AHBs
Micro	Less than 20 dwellings	124
Small	Between 20 and 100 dwellings	94
Medium	Between 100 and 1,000 dwellings	24
Large	1,000 dwellings or more	8
Care and Support	Less than 1,000 dwellings and one of the following criteria More than 50% of the income comes from HSE and/or Tusla More than 200 FTE employees Income per dwelling is more than €20,000 No dwellings but has income	137
<b>Total</b>		<b>387</b>



Categorisation allows for greater clarification on organisation types, and operational and funding models within the AHB sector

# Sector Analysis – Dwellings – September 2022



Total dwellings 2022	Owned	Leased	Managed	Total	%
Large	27,295	2,512	6,257	36,064	67%
Care and Support	5,808	884	711	7,403	14%
Medium	5,011	764	583*	6,358	12%
Small	2,883	287	77	3,247	6%
Micro	1,057	32	35	1,124	2%
<b>Grand Total</b>	<b>42,054</b>	<b>4,479</b>	<b>7,663</b>	<b>54,196</b>	

\* Reduction in dwellings is due to transfer of dwellings between AHBs

# Sector Analysis – Dwellings – December 2021

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Total dwellings December 2021	Owned	Leased	Managed	Total	%
Large	25,541	2,524	5,935	<b>34,000</b>	<b>66%</b>
Care and Support	5,367	808	574	<b>6,749</b>	<b>13%</b>
Medium	4,816	853	890	<b>6,559</b>	<b>13%</b>
Small	2,854	232	58	<b>3,144</b>	<b>6%</b>
Micro	1,059	26	26	<b>1,111</b>	<b>2%</b>
<b>Grand Total</b>	<b>39,637</b>	<b>4,443</b>	<b>7,483</b>	<b>51,563</b>	

# Sector Analysis– AHBs by Size



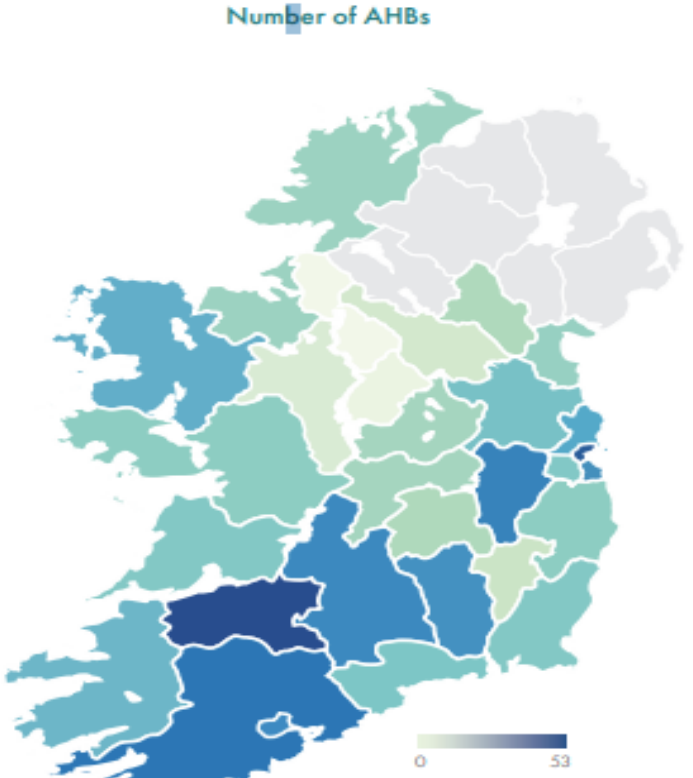
Number of dwellings <sup>3</sup>	Number of AHBs	Number of dwellings	% of AHBs	% of Dwellings
Less than 20	210	1,631	54%	3%
20-49	98	2,855	25%	5%
50-99	34	2,271	9%	4%
100-999	37	11,375	10%	21%
Over 1000	8	36,064	2%	67%
<b>Totals</b>	<b>387</b>	<b>54,196</b>		

Small number of very large AHBs. With a high volume of small community based organisations

# Sector Analysis– Local Authority Areas



Local Authority	Number of AHBs*
Limerick City & County	53
Dublin City	50
Cork County	43
Kildare	40
Tipperary	39
Cork City	39
Kilkenny	37
Dun Laoghaire – Rathdown	36
Fingal	31
Mayo	30
Kerry	28
Meath	26
Waterford City & County	25
South Dublin	24
Wexford	24
Clare	24
Wicklow	23
Galway County	23
Louth	22
Galway City	22
Donegal	21
Sligo	21
Offaly	20
Westmeath	20
Laois	19
Monaghan	19
Carlow	15
Cavan	14
Roscommon	13
Longford	11
Leitrim	10



Large number of AHBs operating in most LA areas

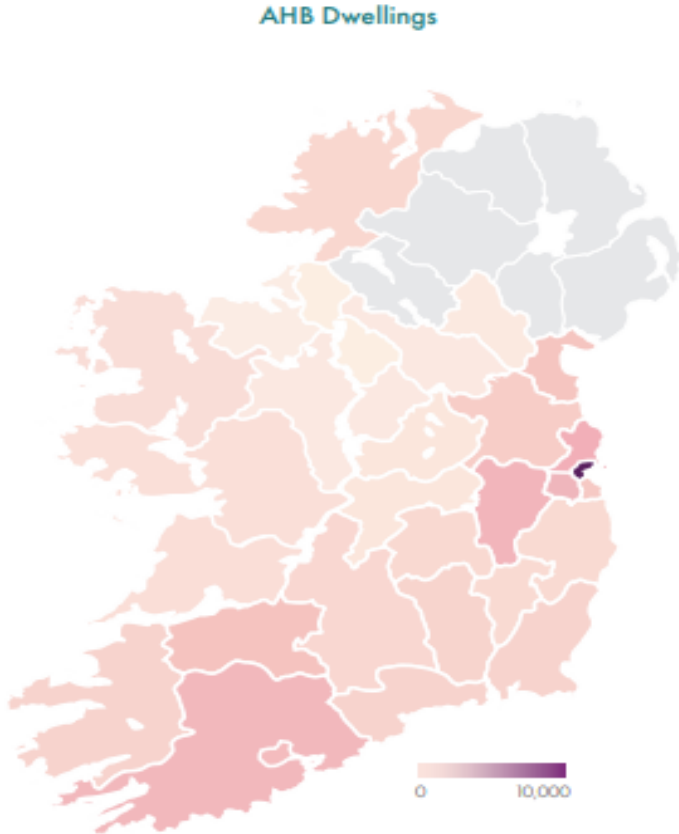
\* Some AHBs operate across several Local Authority areas



# Sector Analysis– Local Authority Areas



Local Authority	Number of AHB Dwellings
Dublin City	10,094
South Dublin	3,553
Fingal	3,292
Kildare	2,867
Cork County	2,749
Cork City	2,637
Limerick City & County	2,237
Louth	2,131
Dun Laoghaire – Rathdown	1,938
Waterford City & County	1,646
Meath	1,631
Tipperary	1,487
Wexford	1,382
Kilkenny	1,375
Kerry	1,340
Galway City	1,167
Donegal	1,166
Laois	1,115
Carlow	1,054
Wicklow	991
Mayo	844
Clare	835
Galway County	771
Offaly	681
Monaghan	568
Sligo	510
Westmeath	422
Cavan	322
Longford	322
Roscommon	291
Leitrim	145



AHBs spread across all LA areas – concentrated in urban areas

# Sector Analysis– AHB Funding



Total owned 2021	CALF	CLSS	CAS	Other	Private Finance	CREL <sup>4</sup>	Out of Mortgage	Total
Large	12,767	7,850	3,361	552	23	65	923	25,541
Care and Support	140	104	3,126	487	166	0	1,344	5,367
Medium	1,290	902	2,163	174	26	0	261	4,816
Small	44	261	1,778	176	59	0	536	2,854
Micro	0	72	623	121	52	0	191	1,059
<b>Grand Total</b>	<b>14,241</b>	<b>9,189</b>	<b>11,051</b>	<b>1,510</b>	<b>326</b>	<b>65</b>	<b>3,255</b>	<b>39,637</b>

<sup>4</sup> Cost Rental Equity Loan (CREL)

36% of all owned dwellings funded utilising CALF

# Sector Analysis - Forecasted Growth



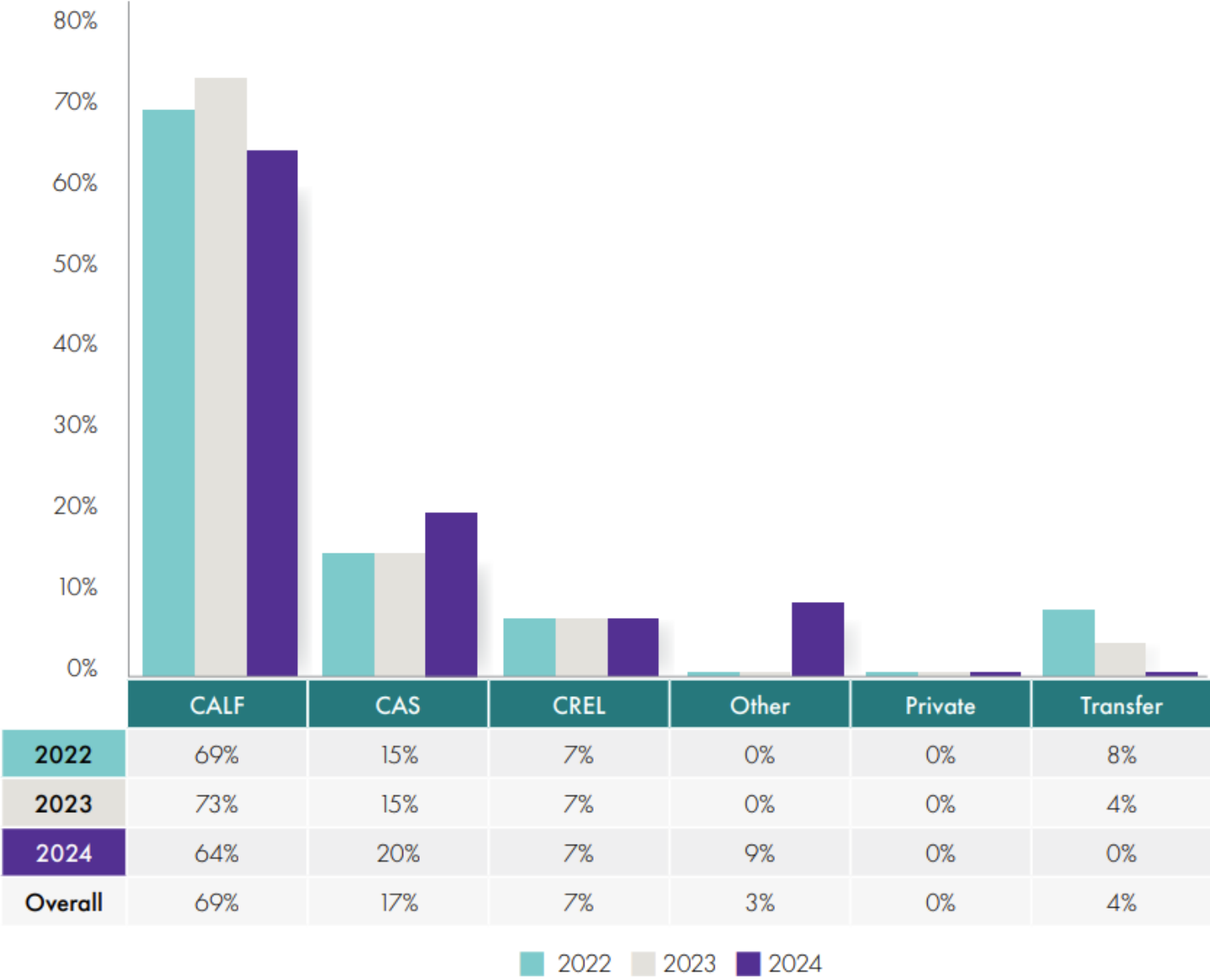
Forecasted Growth	2022	2023	2024	Total	%
Large	4,476	5,177	5,392	15,045	78%
Care and Support	834	526	708	2,068	11%
Medium	222	616	432	1,270	7%
Small	275	206	400	881	5%
Micro	-62	20	34	-8	0%
<b>Totals</b>	<b>5,745</b>	<b>6,545</b>	<b>6,966</b>	<b>19,256</b>	



# Sector Analysis - Forecasted Funding



Funding sources



# Sector Analysis - Assets & Liabilities



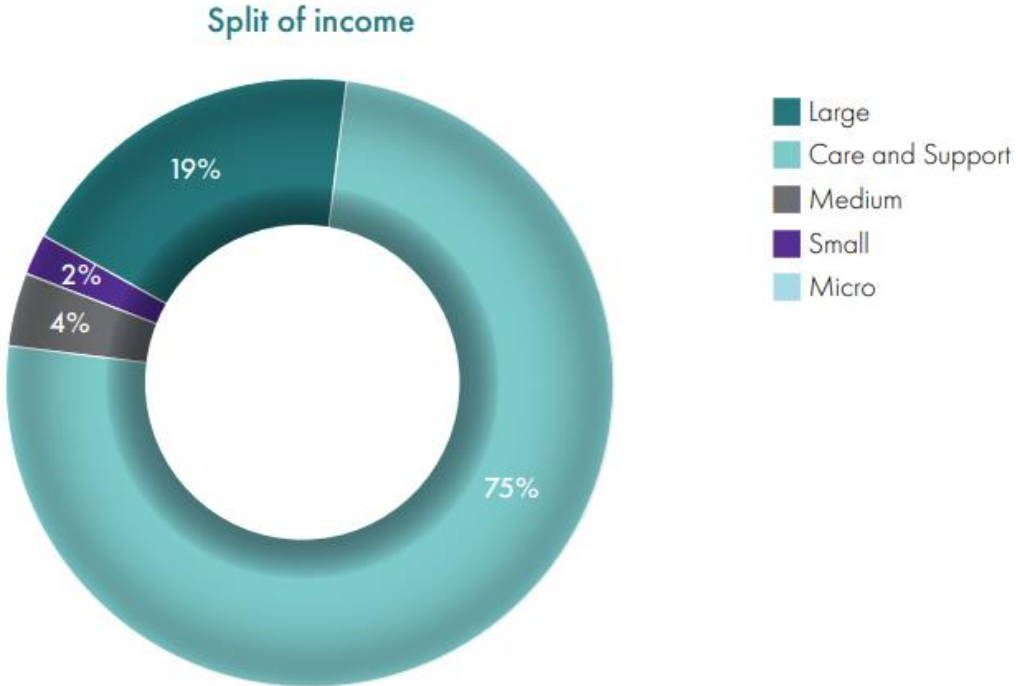
Category	Fixed Assets (€m)	%	Loan Financing (€m)	Grants (€m)	Other liabilities (€m)	Total (€m)
Large	4,856	70%	3,364	815	365	4,544
Care and Support	1,110	16%	39	237	132	407
Medium	645	9%	174	286	68	528
Small	280	4%	22	126	19	167
Micro	82	1%	6	31	9	46
<b>Totals</b>	<b>6,973</b>	<b>100%</b>	<b>3,604</b>	<b>1,495</b>	<b>592</b>	<b>5,692</b>



# Sector Analysis - Income



AHB Category	AHBs	Total Income (€m)	%
Large	8	326	19%
Care and Support	137	1,276	75%
Medium	24	72	4%
Small	94	25	1%
Micro	124	8	0%
<b>Totals</b>	<b>387</b>	<b>1,707</b>	



# Sector Analysis - Income



Income Type	Large (€m)	Care and Support (€m)	Medium (€m)	Small (€m)	Micro (€m)	Total (€m)	%
Housing related	262	56	40	13	5	376	22%
Revenue grants	7	941	13	4	1	964	56%
Other non-housing income	3	84	3	2	0	92	5%
Fundraising	2	115	2	2	0	121	7%
Amortisation	50	13	12	5	1	81	5%
Other income	3	67	3	2	1	75	4%
<b>Total income</b>	<b>326</b>	<b>1,276</b>	<b>72</b>	<b>25</b>	<b>8</b>	<b>1,707</b>	

Majority of Income in AHBs is Revenue grants and non-housing related income

# Sector Analysis - Staffing



AHB Category	Dwellings	Total Staff	Housing Staff	Proportion of Housing Staff	Volunteers
Large	36,064	975	752	77%	66
Care and Support	7,403	21,505	996	5%	688
Medium	6,358	478	252	53%	9
Small	3,247	248	99	40%	189
Micro	1,124	42	19	44%	480
<b>Totals</b>	<b>54,196</b>	<b>23,248</b>	<b>2,118</b>	<b>9%</b>	<b>1,432</b>





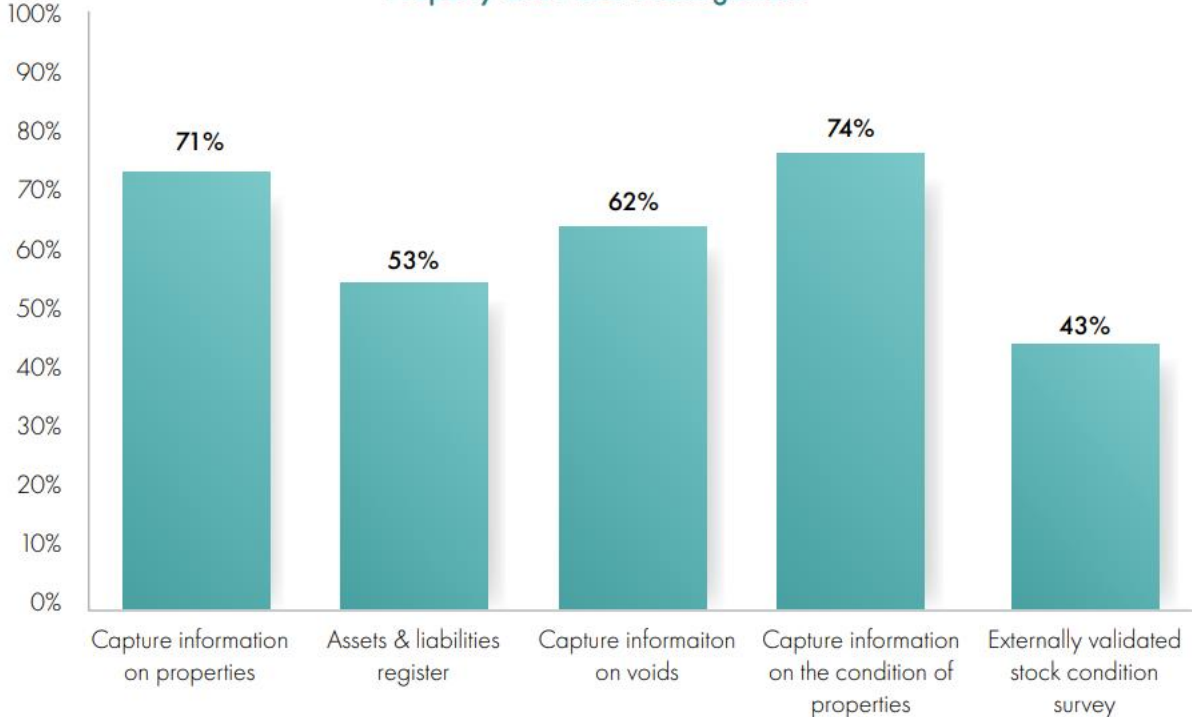
- AHBs were asked to provide information on areas relating to :
  - Property and Asset Management
  - Governance
  - Tenancy Management
  - Financial Management and Reporting
- This information is useful in informing future guidance and education within the sector



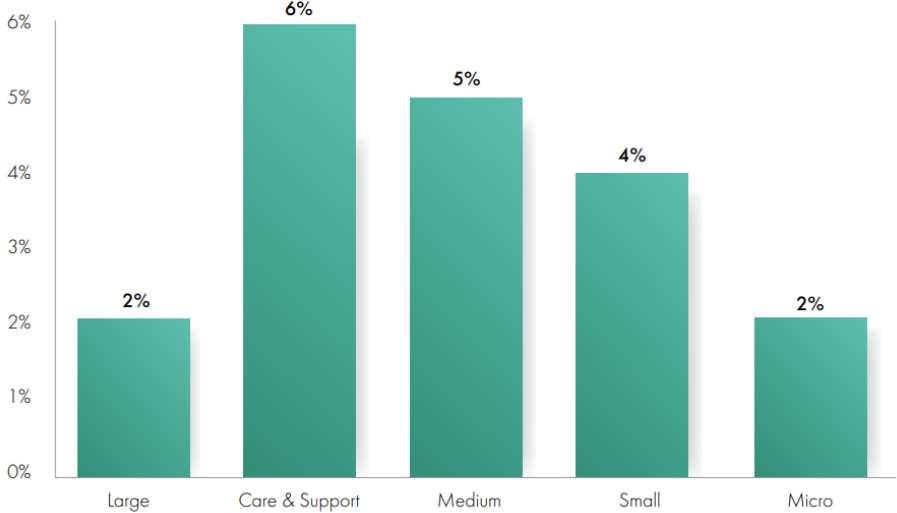
# Regulatory Findings – Property & Asset Management



Property and Asset Management



Percentage of dwellings void

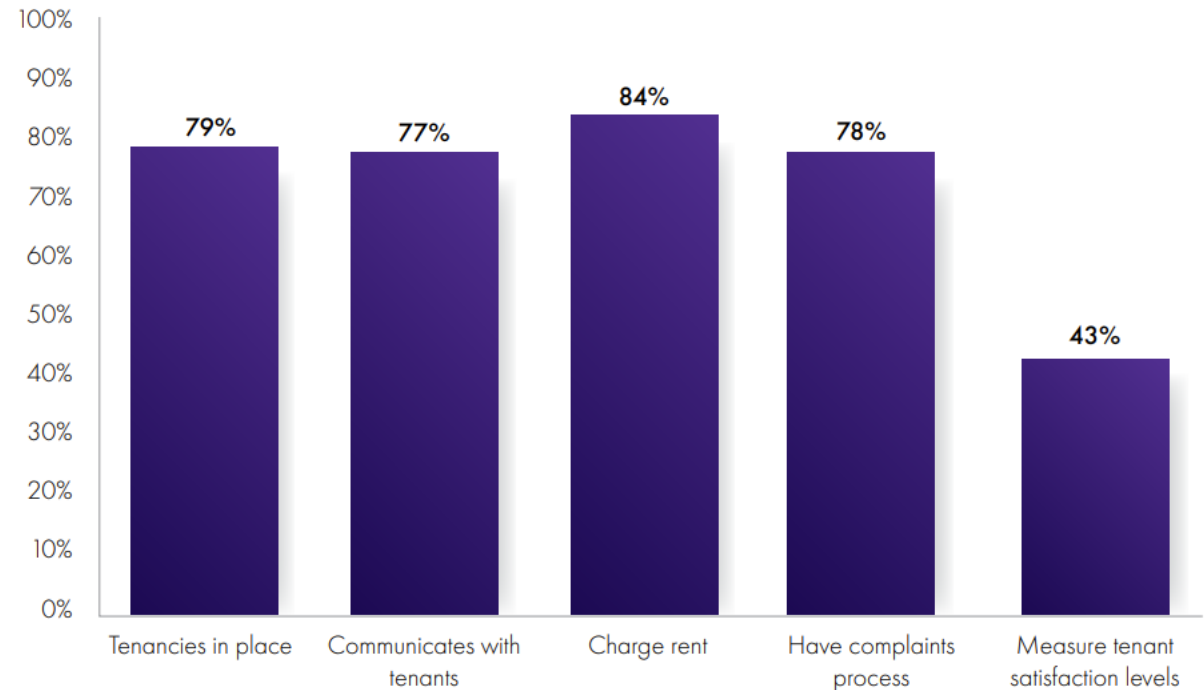


Property and Asset Management	Large	Care & Support	Medium	Small	Micro	Sector Average
Captures property information	100%	70%	96%	86%	54%	71%
Has assets and liabilities register	100%	64%	92%	53%	29%	53%
Captures voids info	100%	56%	96%	79%	48%	62%
Captures info on property condition	100%	66%	96%	84%	68%	74%
Carries out externally validated stock condition survey	100%	38%	83%	47%	34%	43%

# Regulatory Findings – Tenant Management



Tenancy Management



Tenancy Management	Large	Care & Support	Medium	Small	Micro	Sector Average
Tenancies in place	100%	61%	96%	88%	88%	79%
Communicates with tenants	100%	69%	92%	86%	75%	77%
Charges rent	100%	70%	100%	94%	90%	84%
Has a complaints process	100%	81%	100%	84%	65%	78%
Measures tenant satisfaction	100%	47%	46%	41%	34%	43%

# Regulatory Findings – Governance



Category	No. of AHBs	Dwellings	No. of Board Members	Average No. of Board Members
Large	8	36,064	84	11
Care and Support	137	7,403	1,110	8
Medium	24	6,358	185	8
Small	94	3,247	752	8
Micro	124	1,124	822	7
<b>Totals</b>	<b>387</b>	<b>54,196</b>	<b>2,953</b>	<b>8</b>

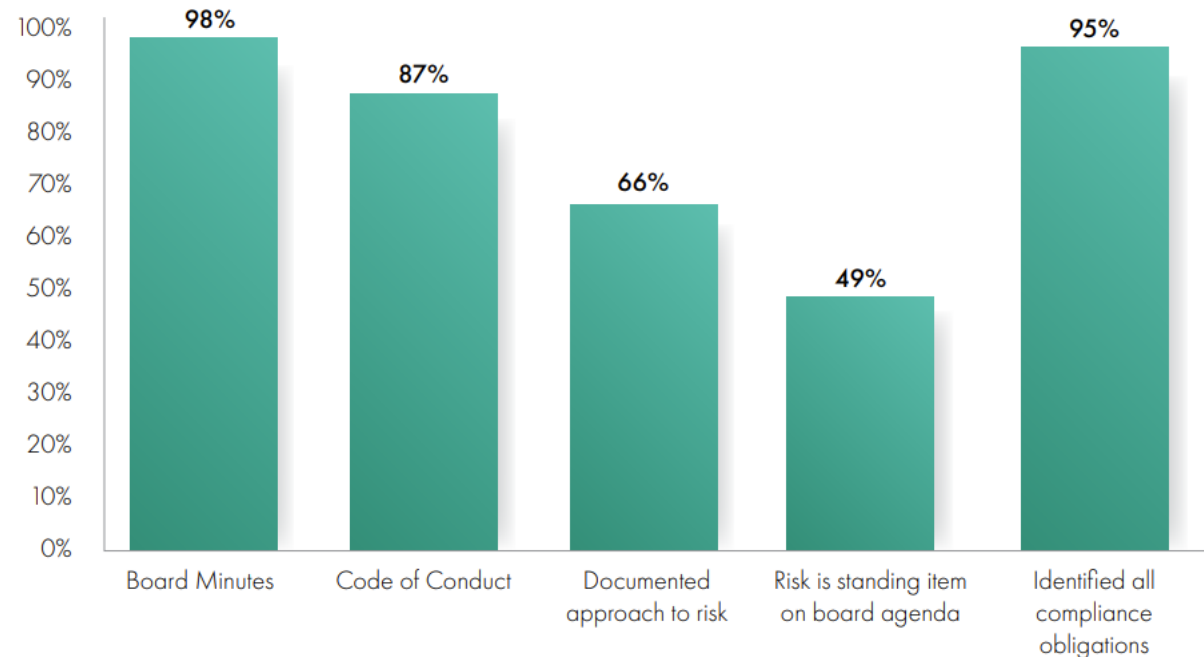
Board Meetings	Average (2021)
Large	8
Care and Support	8
Medium	7
Small	6
Micro	5
<b>Sector Average</b>	<b>6</b>

- **22 AHBs** reported less than 5 Board Members
- **68 AHBs** reported they met less than 3 times per year
- **29 AHBs** reported only meeting once or not at all

# Regulatory Findings – Governance



## Governance

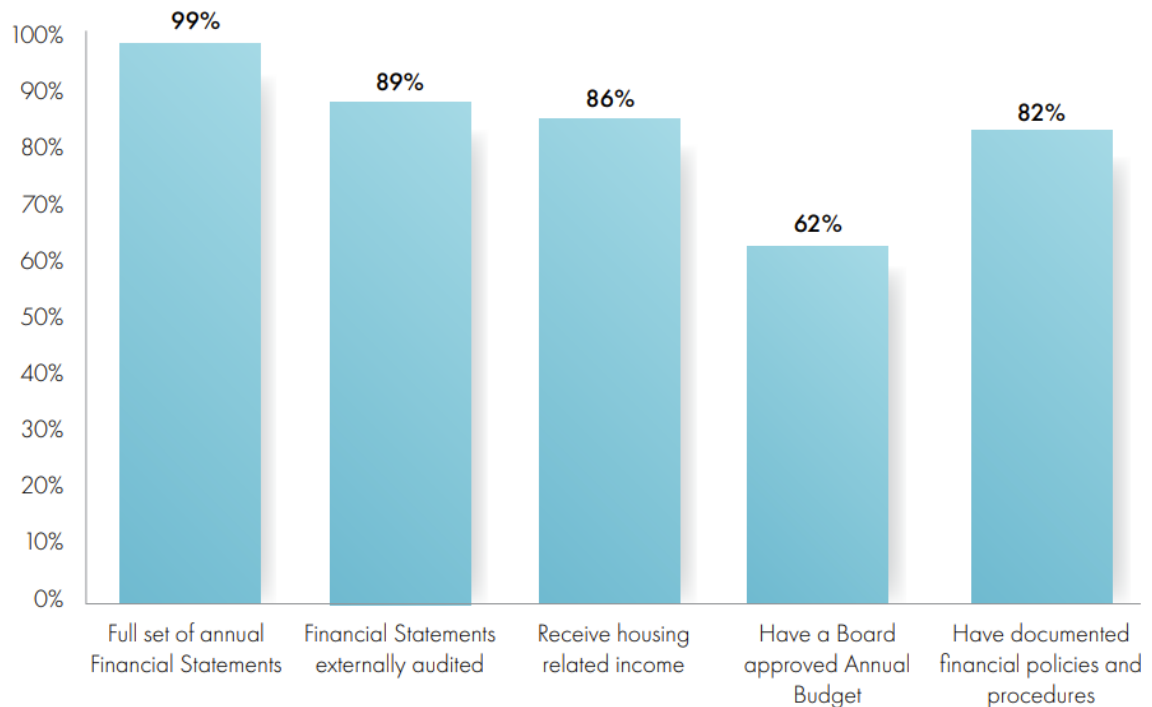


Governance	Large	Care & Support	Medium	Small	Micro	Sector Average
Minutes approved by board	100%	100%	100%	98%	96%	98%
Code of conduct in place	100%	96%	96%	85%	74%	87%
Risk management approach	100%	81%	96%	67%	40%	66%
Risk is standing item on board agenda	100%	61%	67%	40%	34%	49%
Identified all obligations	100%	98%	100%	98%	89%	95%

# Regulatory Findings – Finance Management & Reporting

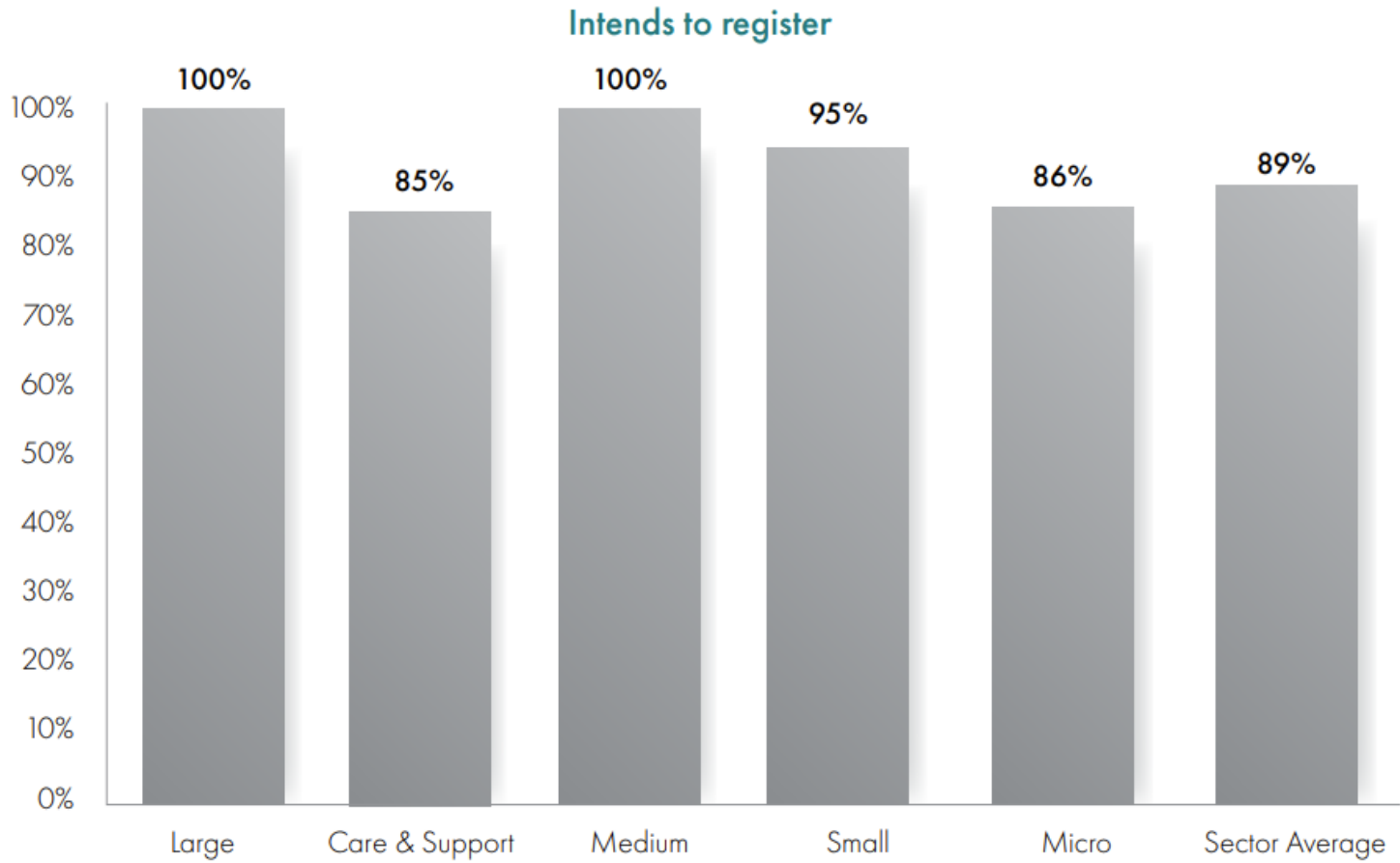


Financial Management and Reporting



Financial Management	Large	Care & Support	Medium	Small	Micro	Sector Average
Produces financial statements	100%	100%	100%	100%	97%	99%
Financial statements externally audited	100%	99%	100%	90%	75%	89%
Receives housing income	100%	72%	100%	97%	88%	86%
Annual budget	100%	86%	96%	55%	31%	62%
Financial policies and procedures	100%	96%	96%	78%	65%	82%

# Regulatory Findings – Future Intentions



**89%**  
of AHBs intend  
to register with  
AHBRA



THANK YOU

Questions?