
Changes to legislation: Housing Act 1996, SCHEDULE 1 is up to date with all changes known to be in force on or before 13 April 2024. There are changes that may be brought into force at a future date. Changes that have been made appear in the content and are referenced with annotations. (See end of Document for details) View outstanding changes

SCHEDULES

SCHEDULE 1

Section 7.

REGISTERED SOCIAL LANDLORDS: REGULATION

PART I

CONTROL OF PAYMENTS TO MEMBERS, &C

Payments by way of gift, dividend or bonus

- 1 (1) A registered social landlord shall not make a gift or pay a sum by way of dividend or bonus to—
- (a) a person who is or has been a member of the body,
 - (b) a person who is a member of the family of a person within paragraph (a), or
 - (c) a company of which a person within paragraph (a) or (b) is a director,
- except as permitted by this paragraph.
- (2) The following are permitted—
- (a) the payment of a sum which, in accordance with the constitution or rules of the body, is paid as interest on capital lent to the body or subscribed by way of shares in the body;
 - (b) the payment by a fully mutual housing association to a person who has ceased to be a member of the association of a sum which is due to him either under his tenancy agreement with the association or under the terms of the agreement under which he became a member of the association.
 - [^{F1}(c) the payment of a sum, in accordance with the constitution or rules of the body, to a registered social landlord which is a subsidiary or associate of the body.]
- (3) Where [^{F2}a registered society] or [^{F3}a company] pays a sum or makes a gift in contravention of this paragraph, the society or company may recover the sum or the value of the gift, and proceedings for its recovery shall be taken if the [^{F4}Relevant Authority] so directs.

Textual Amendments

- F1** Sch. 1 para. 1(2)(c) inserted (18.1.2005) by [Housing Act 2004 \(c. 34\)](#), s. 270(3)(c), [Sch. 11 para. 14](#)
- F2** Words in Act substituted (1.8.2014) by [Co-operative and Community Benefit Societies Act 2014 \(c. 14\)](#), s. 154, [Sch. 4 para. 56](#) (with [Sch. 5](#))
- F3** Words in Sch. 1 para. 1(3) substituted (1.10.2009) by [The Companies Act 2006 \(Consequential Amendments, Transitional Provisions and Savings\) Order 2009 \(S.I. 2009/1941\)](#), art. 1(2), [Sch. 1 para. 161\(10\)\(a\)](#) (with art. 10)

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F4 Words in Pt. I substituted (1.11.1998) by 1998 c. 38, s. 140, **Sch. 16 para. 82(1)(2)** (with ss. 139(2), 141(1), 143(2)); S.I. 1998/2244, **art.5**.

Payments and benefits to officers and employees, &c.

- 2 (1) A registered social landlord which is [^{F2}a registered society] or [^{F5}a company] shall not make a payment or grant a benefit to—
- (a) an officer or employee of the society or company,
 - (b) a person who at any time within the preceding twelve months has been a person within paragraph (a),
 - (c) a close relative of a person within paragraph (a) or (b), or
 - (d) a business trading for profit of which a person falling within paragraph (a), (b) or (c) is a principal proprietor or in the management of which such a person is directly concerned,
- except as permitted by this paragraph.
- (2) The following are permitted—
- (a) payments made or benefits granted to an officer or employee of the society or company under his contract of employment with the society or company;
 - (b) the payment of remuneration or expenses to an officer of the society or company who does not have a contract of employment with the society or company;
 - (c) any such payment as may be made in accordance with paragraph 1(2) (interest payable in accordance with the rules and certain sums payable by a fully mutual housing association to a person who has ceased to be a member);
 - (d) the grant or renewal of a tenancy by a co-operative housing association;
 - (e) where a tenancy of a house has been granted to, or to a close relative of, a person who later became an officer or employee, the grant to that tenant of a new tenancy whether of the same or another house;
 - (f) payments made or benefits granted in accordance with any determination made by the [^{F6}Relevant Authority].
- (3) A determination for the purposes of sub-paragraph (2)(f) may specify the class or classes of case in which a payment may be made or benefit granted and specify the maximum amount.
- (4) Where a society or company pays a sum or grants a benefit in contravention of this paragraph, the society or company may recover the sum or value of the benefit; and proceedings for its recovery shall be taken if the [^{F6}Relevant Authority] so directs.

Textual Amendments

- F2** Words in Act substituted (1.8.2014) by Co-operative and **Community Benefit Societies Act 2014 (c. 14), s. 154, Sch. 4 para. 56** (with **Sch. 5**)
- F5** Words in Sch. 1 para. 2(1) substituted (1.10.2009) by **The Companies Act 2006 (Consequential Amendments, Transitional Provisions and Savings) Order 2009 (S.I. 2009/1941), art. 1(2), Sch. 1 para. 161(10)(a)** (with art. 10)
- F6** Words in Pt. I substituted (1.11.1998) by 1998 c. 38, s. 140, **Sch. 16 para. 82(1)(2)** (with ss. 139(2), 141(1), 143(2)); S.I. 1998/2244, **art.5**.

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Commencement Information

- I1** Sch. 1 para. 2 wholly in force at 1.10.1996; Sch. 1 para. 2 not in force at Royal Assent; Sch. 1 para. 2(2) (f) in force for certain purposes at 1.8.1996 by [S.I. 1996/2048, art. 3](#); Sch. 1 para. 2 in force at 1.10.1996 to the extent that it is not already in force by [S.I. 1996/2404, art. 3](#) (subject to the transitional provisions and savings in the Sch. of that S.I.)

Maximum amounts payable by way of fees, expenses, &c.

- 3 (1) The [^{F7}Relevant Authority] may from time to time specify the maximum amounts which may be paid by a registered social landlord which is [^{F2}a registered society] or [^{F8}a company] —
- (a) by way of fees or other remuneration, or by way of expenses, to a member of the society or company who is not an officer or employee of the society or company, or
 - (b) by way of remuneration or expenses to an officer of the society or company who does not have a contract of employment with the society or company.
- (2) Different amounts may be so specified for different purposes.
- (3) Where a society or company makes a payment in excess of the maximum permitted under this paragraph, the society or company may recover the excess, and proceedings for its recovery shall be taken if the [^{F7}Relevant Authority] so directs.

Textual Amendments

- F2** Words in Act substituted (1.8.2014) by Co-operative and [Community Benefit Societies Act 2014 \(c. 14\), s. 154, Sch. 4 para. 56](#) (with [Sch. 5](#))
- F7** Words in Pt. I substituted (1.11.1998) by [1998 c. 38, s. 140, Sch. 16 para. 82\(1\)\(2\)](#) (with [ss. 139\(2\), 141\(1\), 143\(2\)](#)); [S.I. 1998/2244, art.5](#).
- F8** Words in Sch. 1 para. 3(1) substituted (1.10.2009) by [The Companies Act 2006 \(Consequential Amendments, Transitional Provisions and Savings\) Order 2009 \(S.I. 2009/1941\), art. 1\(2\), Sch. 1 para. 161\(10\)\(a\)](#) (with [art. 10](#))

Commencement Information

- I2** Sch. 1 para. 3 wholly in force 1.10.1996; Sch. 1 para. 3 not in force at Royal Assent see [s. 232\(3\)](#); Sch. 1 para. 3(1)(2) in force at 1.8.1996 by [1996/2048, art. 2\(1\)](#); Sch. 1 para. 3 in force at 1.10.1996 to the extent it is not already in force, by [S.I. 1996/2402, art. 3](#) (subject to the transitional provisions in the Sch. to that S.I.)

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PART II

CONSTITUTION, CHANGE OF RULES, AMALGAMATION AND DISSOLUTION

General power to remove [F⁹ officer]

Textual Amendments

F9 Words in Sch. 1 para. 4 heading substituted (18.10.2011) by [Housing \(Wales\) Measure 2011 \(nawm 5\)](#), ss. 84(2), 90(2); S.I. 2011/2475, arts. 1(2), 2(s)

- 4 (1) The [F¹⁰ Relevant Authority] may, in accordance with the following provisions, by order remove [F¹¹ an officer of a registered social landlord] —
- F¹²(a)
- F¹²(b)
- F¹²(c)
- (2) The [F¹⁰ Relevant Authority] may make an order removing any such person if—
- (a) he has been [F¹³ made] bankrupt or [F¹⁴ a debt relief order (under Part 7A of the Insolvency Act 1986) has been made in respect of him, or he] has made an arrangement with his creditors;
- [F¹⁵(b) he is subject to a disqualification order or disqualification undertaking under the Company Directors Disqualification Act 1986 or the Company Directors Disqualification (Northern Ireland) Order 2002;]
- (c) he is subject to an order under section 429(2) of the ^{M1}Insolvency Act 1986 (failure to pay under county court administration order);
- (d) he is disqualified under [F¹⁶ section 178 of the Charities Act 2011] from being a charity trustee;
- (e) he is incapable of acting by reason of mental disorder;
- (f) he has not acted; or
- (g) he cannot be found or does not act and his absence or failure to act is impeding the [F¹⁷ registered social landlord's compliance with a requirement imposed by or under an enactment].
- (3) Before making an order the [F¹⁰ Relevant Authority] shall give at least 14 days' notice of its intention to do so to the person whom it intends to remove, and to the registered social landlord.
- (4) That notice may be given by post, and if so given to the person whom the [F¹⁰ Relevant Authority] intend to remove may be addressed to his last known address in the United Kingdom.
- (5) A person who is ordered to be removed under this paragraph may appeal against the order to the High Court.

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Textual Amendments

- F10** Words in Pt. I substituted (1.11.1998) by 1998 c. 38, s. 140, **Sch. 16 para. 82(1)(2)** (with ss. 139(2), 141(1), 143(2)); S.I. 1998/2244, **art. 5**.
- F11** Words in Sch. 1 para. 4(1) inserted (18.10.2011) by Housing (Wales) Measure 2011 (nawm 5), **ss. 84(3)(a), 90(2)**; S.I. 2011/2475, arts. 1(2), 2(s)
- F12** Sch. 1 para. 4(1)(a)-(c) omitted (18.10.2011) by virtue of Housing (Wales) Measure 2011 (nawm 5), **ss. 84(3)(b), 90(2)**; S.I. 2011/2475, arts. 1(2), 2(s)
- F13** Word in Sch. 1 para. 4(2)(a) substituted (6.4.2016) by The Enterprise and Regulatory Reform Act 2013 (Consequential Amendments) (Bankruptcy) and the Small Business, Enterprise and Employment Act 2015 (Consequential Amendments) Regulations 2016 (S.I. 2016/481), reg. 1, **Sch. 1 para. 18**
- F14** Words in Sch. 1 para. 4(2)(a) inserted (1.10.2012) by The Tribunals, Courts and Enforcement Act 2007 (Consequential Amendments) Order 2012 (S.I. 2012/2404), art. 1, **Sch. 2 para. 36** (with art. 5)
- F15** Sch. 1 para. 4(2)(b) substituted (1.10.2009) by The Companies Act 2006 (Consequential Amendments, Transitional Provisions and Savings) Order 2009 (S.I. 2009/1941), art. 1(2), **Sch. 1 para. 161(10)(b)** (with art. 10)
- F16** Words in Sch. 1 para. 4(2)(d) substituted (14.3.2012) by Charities Act 2011 (c. 25), s. 355, **Sch. 7 para. 72(2)** (with s. 20(2), Sch. 8)
- F17** Words in Sch. 1 para. 4(2)(g) substituted (15.8.2018) by Regulation of Registered Social Landlords (Wales) Act 2018 (anaw 4), **ss. 6(2), 19(2)**; S.I. 2018/777, art. 3(b)

Marginal Citations

- M1** 1986 c. 45.

Restriction on power of removal in case of registered charity

- 5 (1) The [^{F18}Relevant Authority] may make an order under paragraph 4 removing [^{F19}an officer] of a registered charity only if the charity has [^{F20}received public assistance]^{F21}...

^{F22}(2)

Textual Amendments

- F18** Words in Pt. I substituted (1.11.1998) by 1998 c. 38, s. 140, **Sch. 16 para. 82(1)(2)** (with ss. 139(2), 141(1), 143(2)); S.I. 1998/2244, **art.5**.
- F19** Words in Sch. 1 para. 5(1) substituted (18.10.2011) by Housing (Wales) Measure 2011 (nawm 5), **ss. 84(4), 90(2)**; S.I. 2011/2475, arts. 1(2), 2(s)
- F20** Words in Sch. 1 para. 5(1) inserted (18.10.2011) by Housing (Wales) Measure 2011 (nawm 5), s. 90(2), **Sch. para. 13(a)(i)**; S.I. 2011/2475, arts. 1(2), 2(v)
- F21** Words in Sch. 1 para. 5(1) omitted (18.10.2011) by virtue of Housing (Wales) Measure 2011 (nawm 5), s. 90(2), **Sch. para. 13(a)(ii)**; S.I. 2011/2475, arts. 1(2), 2(v)
- F22** Sch. 1 para. 5(2) omitted (18.10.2011) by virtue of Housing (Wales) Measure 2011 (nawm 5), s. 90(2), **Sch. para. 13(b)**; S.I. 2011/2475, arts. 1(2), 2(v)

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Registered charity: power to appoint new ^{F23}officer]

Textual Amendments

F23 Words in Sch. 1 para. 6 cross-heading substituted (18.10.2011) by [Housing \(Wales\) Measure 2011](#) (nawm 5), [ss. 85\(2\), 90\(2\)](#); S.I. 2011/2475, [arts. 1\(2\), 2\(s\)](#)

- 6 (1) The ^{F24}Relevant Authority] may by order appoint a person to be a ^{F25}officer] of a registered social landlord which is a registered charity—
- (a) in place of a person removed by the ^{F24}Relevant Authority],
 - (b) where there are ^{F26}no officers], or
 - (c) where the ^{F24}Relevant Authority] is of the opinion that it is necessary ^{F27}to have an additional officer in order to ensure that the company complies with a requirement imposed by or under an enactment].

The power conferred by paragraph (c) may be exercised notwithstanding that it will cause the maximum number of ^{F28}officers] permissible under the charity's constitution to be exceeded.

- (2) The ^{F24}Relevant Authority] shall only exercise its power under sub-paragraph (1) if—
 - (a) the charity has, at any time before the power is exercised, received ^{F29}public assistance], and
 - (b) the ^{F24}Relevant Authority] has consulted the ^{F30}Charity Commission].
- (3) A person may be so appointed notwithstanding any restrictions on appointment in the charity's constitution or rules.
- (4) A person appointed under this paragraph shall hold office for such period and on such terms as the ^{F24}Relevant Authority] may specify; and on the expiry of the appointment the ^{F24}Relevant Authority] may renew the appointment for such period as it may specify.

This does not prevent a person appointed under this paragraph from retiring in accordance with the charity's constitution or rules.

- (5) A person appointed under this paragraph as ^{F31}an officer] of a registered charity is entitled—
 - (a) to attend, speak and vote at any general meeting of the charity and to receive all notices of and other communications relating to any such meeting which a member is entitled to receive,
 - (b) to move a resolution at any general meeting of the charity, and
 - (c) to require a general meeting of the charity to be convened within 21 days of a request to that effect made in writing to the directors or trustees.

Textual Amendments

F24 Words in Pt. I substituted (1.11.1998) by 1998 c. 38, s. 140, [Sch. 16 para. 82\(1\)\(2\)](#) (with [ss. 139\(2\), 141\(1\), 143\(2\)](#)); S.I. 1998/2244, [art.5](#).

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- F25** Words in Sch. 1 para. 6(1) substituted (18.10.2011) by [Housing \(Wales\) Measure 2011 \(nawm 5\), ss. 85\(3\)\(a\), 90\(2\); S.I. 2011/2475, arts. 1\(2\), 2\(s\)](#)
- F26** Words in Sch. 1 para. 6(1)(b) substituted (18.10.2011) by [Housing \(Wales\) Measure 2011 \(nawm 5\), ss. 85\(3\)\(b\), 90\(2\); S.I. 2011/2475, arts. 1\(2\), 2\(s\)](#)
- F27** Words in Sch. 1 para. 6(1)(c) substituted (15.8.2018) by [Regulation of Registered Social Landlords \(Wales\) Act 2018 \(anaw 4\), ss. 6\(3\), 19\(2\); S.I. 2018/777, art. 3\(b\)](#)
- F28** Words in Sch. 1 para. 6(1) substituted (18.10.2011) by [Housing \(Wales\) Measure 2011 \(nawm 5\), ss. 85\(3\)\(d\), 90\(2\); S.I. 2011/2475, arts. 1\(2\), 2\(s\)](#)
- F29** Words in Sch. 1 para. 6(2)(a) substituted (18.10.2011) by [Housing \(Wales\) Measure 2011 \(nawm 5\), s. 90\(2\), Sch. para. 14; S.I. 2011/2475, arts. 1\(2\), 2\(v\)](#)
- F30** Words in Sch. 1 para. 6(2) substituted (27.2.2007) by [Charities Act 2006 \(c. 50\), s. 79\(2\), Sch. 8 para. 192\(2\); S.I. 2007/309, art. 2, Sch.](#)
- F31** Words in Sch. 1 para. 6(5) substituted (18.10.2011) by [Housing \(Wales\) Measure 2011 \(nawm 5\), ss. 85\(3\)\(e\), 90\(2\); S.I. 2011/2475, arts. 1\(2\), 2\(s\)](#)

Company: power to appoint new ^{F32}officer

Textual Amendments

- F32** Word in Sch. 1 para. 7 cross-heading substituted (18.10.2011) by [Housing \(Wales\) Measure 2011 \(nawm 5\), ss. 85\(4\), 90\(2\); S.I. 2011/2475, arts. 1\(2\), 2\(s\)](#)

- 7 (1) The ^{F33}Relevant Authority] may by order appoint a person to be ^{F34}an officer] of a registered social landlord which is ^{F35}a company] —
- in place of ^{F34}an officer] removed by the ^{F33}Relevant Authority],
 - where there are ^{F36}no officers], or
 - where the ^{F33}Relevant Authority] is of the opinion that it is necessary ^{F37}to have an additional officer in order to ensure that the company complies with a requirement imposed by or under an enactment].
- (2) A person may be so appointed whether or not he is a member of the company and notwithstanding anything in the company's articles of association.
- (3) Where a person is appointed under this paragraph—
- he shall hold office for such period and on such terms as the ^{F33}Relevant Authority] may specify, and
 - on the expiry of the appointment the ^{F33}Relevant Authority] may renew the appointment for such period as it may specify.

This does not prevent a person from retiring in accordance with the company's articles of association.

- ^{F38}(4) A person appointed under this paragraph is entitled—
- to receive all such communications relating to a written resolution proposed to be agreed to by the company as are required to be supplied to a member of the company;
 - to receive all notices of, and other communications relating to, any general meeting which a member of the company is entitled to receive, and to attend, speak and vote at any such meeting;

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- (c) to move a resolution at any general meeting of the company; and
- (d) to require a general meeting of the company to be convened within 21 days of a request to that effect made in writing to the directors of the company.]

Textual Amendments

- F33** Words in Pt. I substituted (1.11.1998) by 1998 c. 38, s. 140, **Sch. 16 para. 82(1)(2)** (with ss. 139(2), 141(1), 143(2)); S.I. 1998/2244, **art.5**.
- F34** Words in Sch. 1 para. 7(1) substituted (18.10.2011) by Housing (Wales) Measure 2011 (nawm 5), **ss. 85(5)(a), 90(2)**; S.I. 2011/2475, arts. 1(2), 2(s)
- F35** Words in Sch. 1 para. 7(1) substituted (1.10.2009) by The Companies Act 2006 (Consequential Amendments, Transitional Provisions and Savings) Order 2009 (S.I. 2009/1941), art. 1(2), **Sch. 1 para. 161(10)(a)** (with art. 10)
- F36** Words in Sch. 1 para. 7(1)(b) substituted (18.10.2011) by Housing (Wales) Measure 2011 (nawm 5), **ss. 85(5)(b), 90(2)**; S.I. 2011/2475, arts. 1(2), 2(s)
- F37** Words in Sch. 1 para. 7(1)(c) substituted (15.8.2018) by Regulation of Registered Social Landlords (Wales) Act 2018 (anaw 4), **ss. 6(4), 19(2)**; S.I. 2018/777, art. 3(b)
- F38** Sch. 1 para. 7(4) substituted (1.10.2007) by The Companies Act 2006 (Commencement No. 3, Consequential Amendments, Transitional Provisions and Savings) Order 2007 (S.I. 2007/2194), art. 1(3) (a), **Sch. 4 para. 88(2)** (with art. 12)

[^{F39}Registered society]: power to appoint [^{F40}officer]

Textual Amendments

- F39** Words in Sch. 1 para. 8 heading substituted (1.8.2014) by Co-operative and Community Benefit Societies Act 2014 (c. 14), s. 154, **Sch. 4 para. 65(2)** (with Sch. 5)
- F40** Words in Sch. 1 para. 8 cross-heading substituted (18.10.2011) by Housing (Wales) Measure 2011 (nawm 5), **ss. 85(6), 90(2)**; S.I. 2011/2475, arts. 1(2), 2(s)

- 8 (1) The [^{F41}Relevant Authority] may by order appoint a person to be [^{F42}an officer] of a registered social landlord which is [^{F2}a registered society] —
- (a) in place of a person removed by the [^{F41}Relevant Authority],
 - (b) where there are [^{F43}no officers], or
 - (c) where the [^{F41}Relevant Authority] is of the opinion that it is necessary [^{F44}to have an additional officer in order to ensure that the society complies with a requirement imposed by or under an enactment].

The power conferred by paragraph (c) may be exercised notwithstanding that it will cause the maximum number of [^{F45}officers] permissible under the society's constitution to be exceeded.

- (2) A person may be so appointed whether or not he is a member of the society and, if he is not, notwithstanding that the rules of the society restrict appointment to members.
- (3) A person appointed under this paragraph shall hold office for such period and on such terms as the [^{F41}Relevant Authority] may specify; and on the expiry of the

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appointment the [^{F41}Relevant Authority] may renew the appointment for such period as it may specify.

This does not prevent a person appointed under this paragraph from retiring in accordance with the rules of the society.

- (4) A person appointed under this paragraph is entitled—
- (a) to attend, speak and vote at any general meeting of the society and to receive all notices of and other communications relating to any general meeting which a member of the society is entitled to receive,
 - (b) to move a resolution at any general meeting of the society, and
 - (c) to require a general meeting of the society to be convened within 21 days of a request to that effect made in writing to the committee of the society.

Textual Amendments

- F2** Words in Act substituted (1.8.2014) by Co-operative and Community Benefit Societies Act 2014 (c. 14), s. 154, **Sch. 4 para. 56** (with Sch. 5)
- F41** Words in Pt. I substituted (1.11.1998) by 1998 c. 38, s. 140, **Sch. 16 para. 82(1)(2)** (with ss. 139(2), 141(1), 143(2)); S.I. 1998/2244, **art.5**.
- F42** Words in Sch. 1 para. 8(1) substituted (18.10.2011) by Housing (Wales) Measure 2011 (nawm 5), **ss. 85(7)(a), 90(2)**; S.I. 2011/2475, arts. 1(2), 2(s)
- F43** Words in Sch. 1 para. 8(1) substituted (18.10.2011) by Housing (Wales) Measure 2011 (nawm 5), **ss. 85(7)(d), 90(2)**; S.I. 2011/2475, arts. 1(2), 2(s)
- F44** Words in Sch. 1 para. 8(1)(c) substituted (15.8.2018) by Regulation of Registered Social Landlords (Wales) Act 2018 (anaw 4), **ss. 6(5), 19(2)**; S.I. 2018/777, art. 3(b)
- F45** Words in Sch. 1 para. 8(1)(b) substituted (18.10.2011) by Housing (Wales) Measure 2011 (nawm 5), **ss. 85(7)(b), 90(2)**; S.I. 2011/2475, arts. 1(2), 2(s)

Change of rules, &c. by [^{F46}registered society]

Textual Amendments

- F46** Words in Sch. 1 para. 9 heading substituted (1.8.2014) by Co-operative and Community Benefit Societies Act 2014 (c. 14), s. 154, **Sch. 4 para. 65(3)** (with Sch. 5)

- 9 (1) This paragraph applies to [^{F2}a registered society] whose registration as a social landlord has been recorded by the [^{F47}Financial Conduct Authority].
- [^{F48}(2) The registered society must notify the Welsh Ministers of any amendment to its rules (including a change in its registered office or name).
- (3) The reference in sub-paragraph (2) to an amendment to the rules of a society is to be interpreted in accordance with section 149 of the Co-operative and Community Benefit Societies Act 2014 (c. 14).]

Textual Amendments

- F2** Words in Act substituted (1.8.2014) by Co-operative and Community Benefit Societies Act 2014 (c. 14), s. 154, **Sch. 4 para. 56** (with Sch. 5)

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- F47** Words in Sch. 1 para. 9 substituted (1.4.2013) by [The Financial Services Act 2012 \(Mutual Societies\) Order 2013 \(S.I. 2013/496\)](#), art. 1(1), Sch. 11 para. 5(1)(2)(f) (with Sch. 12)
- F48** Sch. 1 para. 9(2)(3) substituted for Sch. 1 para. 9(2)-(5) (15.8.2018) by [Regulation of Registered Social Landlords \(Wales\) Act 2018 \(anaw 4\)](#), ss. 3(2), 19(2); S.I. 2018/777, art. 3(a)

Change of objects by certain charities

- 10 (1) This paragraph applies to a registered social landlord—
- (a) which is a registered charity and is not ^[F49]a company], and
 - (b) whose registration under this Part of this Act has been recorded by the ^[F50]Charity Commission] in accordance with section 3(3).
- (2) No power contained in the provisions establishing the registered social landlord as a charity, or regulating its purposes or administration, to vary or add to its objects may be exercised without the consent of the ^[F50]Charity Commission] .

Before giving ^[F51]its] consent the ^[F50]Charity Commission] shall consult the ^[F52]Relevant Authority].

Textual Amendments

- F49** Words in Sch. 1 para. 10(1)(a) substituted (1.10.2009) by [The Companies Act 2006 \(Consequential Amendments, Transitional Provisions and Savings\) Order 2009 \(S.I. 2009/1941\)](#), art. 1(2), **Sch. 1 para. 161(10)(c)** (with art. 10)
- F50** Words in Sch. 1 para. 10(1)(2) substituted (27.2.2007) by [Charities Act 2006 \(c. 50\)](#), s. 79(2), **Sch. 8 para. 192(3)(a)**; S.I. 2007/309, art. 2, Sch.
- F51** Word in Sch. 1 para. 10(2) substituted (27.2.2007) by [Charities Act 2006 \(c. 50\)](#), s. 79(2), **Sch. 8 para. 192(3)(b)**; S.I. 2007/309, art. 2, Sch.
- F52** Words in Pt. I substituted (1.11.1998) by [1998 c. 38](#), s. 140, **Sch. 16 para. 82(1)(2)** (with ss. 139(2), 141(1), 143(2)); S.I. 1998/2244, **art.5**.

Change of ^[F53]articles] of company

Textual Amendments

- F53** Word in Sch. 1 para. 11 heading substituted (1.10.2009) by [The Companies Act 2006 \(Consequential Amendments, Transitional Provisions and Savings\) Order 2009 \(S.I. 2009/1941\)](#), art. 1(2), **Sch. 1 para. 161(10)(d)(i)** (with art. 10)

- 11 (1) This paragraph applies to ^[F54]a company (including a company that is a registered charity)] whose registration as a social landlord has been recorded by the registrar of companies.

- ^[F55](2) The company must notify the Welsh Ministers of any change to—
- (a) its name;
 - (b) the address of its registered office;
 - (c) its articles of association.]

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Textual Amendments

- F54** Words in Sch. 1 para. 11(1) substituted (1.10.2009) by [The Companies Act 2006 \(Consequential Amendments, Transitional Provisions and Savings\) Order 2009 \(S.I. 2009/1941\)](#), art. 1(2), **Sch. 1 para. 161(10)(d)(ii)** (with art. 10)
- F55** Sch. 1 para. 11(2) substituted for Sch. 1 para. 11(2)-(4) (15.8.2018) by [Regulation of Registered Social Landlords \(Wales\) Act 2018 \(anaw 4\)](#), **ss. 3(3)**, 19(2); S.I. 2018/777, art. 3(a)

Amalgamation and dissolution &c. of ^{F56}registered society

Textual Amendments

- F56** Words in Sch. 1 para. 12 heading substituted (1.8.2014) by [Co-operative and Community Benefit Societies Act 2014 \(c. 14\)](#), s. 154, **Sch. 4 para. 65(5)** (with Sch. 5)

- 12 (1) This paragraph applies to [^{F2}a registered society] whose registration as a social landlord has been recorded by the [^{F57}Financial Conduct Authority].
- (2) [^{F58}The society must notify the Welsh Ministers of a special resolution which it has passed for the purposes of—
- [^{F59}(a) section 109 of the Co-operative and Community Benefit Societies Act 2014 (“the 2014 Act”) (amalgamation of societies),
- (b) section 110 of that Act (transfer of engagements between societies), or
- (c) section 112 of that Act (conversion of society into a company etc).]
- ^{F60} ...
- [^{F61}(2A) On giving notification under sub-paragraph (2), a society must also provide the Welsh Ministers with a statement about the consultation carried out by the society with its tenants before passing the resolution to which the notification relates.
- (2B) But the requirement in sub-paragraph (2A) does not apply in respect of a resolution passed for the purposes of paragraph (a) of section 112(1) of the 2014 Act (conversion of society into a company).]
- (3) Any new body created by the amalgamation or conversion or, in the case of a transfer of engagements, the transferee, shall be deemed to be registered as a social landlord forthwith upon the amalgamation, conversion or transfer taking effect.
- (4) If the society resolves by special resolution that it be wound up voluntarily under the ^{M2}Insolvency Act 1986, [^{F62}the society must notify the Welsh Ministers of the resolution.]
- [^{F63}(5) If an instrument of dissolution is approved in accordance with section 119(3) of the 2014 Act (dissolution of society by instrument), the society to which the instrument relates must notify the Welsh Ministers of the approval.]
- ^{F64}(6)

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Textual Amendments

- F2** Words in Act substituted (1.8.2014) by Co-operative and Community Benefit Societies Act 2014 (c. 14), s. 154, **Sch. 4 para. 56** (with Sch. 5)
- F57** Words in Sch. 1 para. 12 substituted (1.4.2013) by The Financial Services Act 2012 (Mutual Societies) Order 2013 (S.I. 2013/496), art. 1(1), Sch. 11 para. 5(1)(2)(f) (with Sch. 12)
- F58** Words in Sch. 1 para. 12(2) substituted (15.8.2018) by Regulation of Registered Social Landlords (Wales) Act 2018 (anaw 4), **ss. 4(2)(a)**, 19(2); S.I. 2018/777, art. 3(a)
- F59** Sch. 1 para. 12(2)(a)-(c) substituted (1.8.2014) by Co-operative and Community Benefit Societies Act 2014 (c. 14), s. 154, **Sch. 4 para. 65(6)(a)** (with Sch. 5)
- F60** Words in Sch. 1 para. 12(2) omitted (15.8.2018) by virtue of Regulation of Registered Social Landlords (Wales) Act 2018 (anaw 4), **ss. 4(2)(b)**, 19(2); S.I. 2018/777, art. 3(a)
- F61** Sch. 1 para. 12(2A)(2B) inserted (15.8.2018) by Regulation of Registered Social Landlords (Wales) Act 2018 (anaw 4), **ss. 4(3)**, 19(2); S.I. 2018/777, art. 3(a)
- F62** Words in Sch. 1 para. 12(4) substituted (15.8.2018) by Regulation of Registered Social Landlords (Wales) Act 2018 (anaw 4), **ss. 4(4)**, 19(2); S.I. 2018/777, art. 3(a)
- F63** Sch. 1 para. 12(5) substituted (15.8.2018) by Regulation of Registered Social Landlords (Wales) Act 2018 (anaw 4), **ss. 4(5)**, 19(2); S.I. 2018/777, art. 3(a)
- F64** Sch. 1 para. 12(6) omitted (15.8.2018) by virtue of Regulation of Registered Social Landlords (Wales) Act 2018 (anaw 4), **ss. 4(6)**, 19(2); S.I. 2018/777, art. 3(a)

Marginal Citations

- M2** 1986 c. 45.

Arrangement, reconstruction, &c. of company

- 13 (1) This paragraph applies to [^{F65}a company] whose registration as a social landlord has been recorded by the registrar of companies.
- [^{F66}(2) If a court makes an order under section 899 of the Companies Act 2006 (sanction of compromise or arrangement with creditors or members) in relation to the company, the company must notify the Welsh Ministers of the order.
- (3) If a court makes an order under section 900 of the Companies Act 2006 (powers of court to facilitate reconstruction or amalgamation) in relation to the company, the company must notify the Welsh Ministers of the order.
- [^{F67}(3A) If a court makes an order under section 901F of the Companies Act 2006 (sanction of compromise or arrangement with creditors or members) in relation to the company, the company must notify the Welsh Ministers of the order.
- (3B) If a court makes an order under section 901J of the Companies Act 2006 (powers of court to facilitate reconstruction or amalgamation) in relation to the company, the company must notify the Welsh Ministers of the order.]
- (4) If the company passes a resolution under section 115 of the Co-operative and Community Benefit Societies Act 2014 (conversion of company into registered society), the company must notify the Welsh Ministers of the resolution.
- (5) If a voluntary arrangement is proposed under Part 1 of the Insolvency Act 1986 in relation to a company, the company must notify the Welsh Ministers of the proposal.]

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(6) If the company resolves by special resolution that it be wound up voluntarily under the Insolvency Act 1986, [^{F68}the company must notify the Welsh Ministers of the resolution.]

^{F69}(7)

(8) Where sub-paragraph (3)[^{F70}, (3B)] or (4) applies, the transferee or, as the case may be, any new body created by the conversion shall be deemed to be registered as a social landlord forthwith upon the transfer or conversion taking effect.

Textual Amendments

- F65** Words in Sch. 1 para. 13(1) substituted (1.10.2009) by [The Companies Act 2006 \(Consequential Amendments, Transitional Provisions and Savings\) Order 2009 \(S.I. 2009/1941\)](#), art. 1(2), **Sch. 1 para. 161(10)(a)** (with art. 10)
- F66** Sch. 1 para. 13(2)-(5) substituted (15.8.2018) by [Regulation of Registered Social Landlords \(Wales\) Act 2018 \(anaw 4\)](#), **ss. 4(7)**, 19(2); S.I. 2018/777, art. 3(a)
- F67** Sch. 1 para. 13(3A)(3B) inserted (26.6.2020) by [Corporate Insolvency and Governance Act 2020 \(c. 12\)](#), s. 49(1), **Sch. 9 para. 16(2)** (with ss. 2(2), 5(2))
- F68** Words in Sch. 1 para. 13(6) substituted (15.8.2018) by [Regulation of Registered Social Landlords \(Wales\) Act 2018 \(anaw 4\)](#), **ss. 4(8)**, 19(2); S.I. 2018/777, art. 3(a)
- F69** Sch. 1 para. 13(7) omitted (15.8.2018) by virtue of [Regulation of Registered Social Landlords \(Wales\) Act 2018 \(anaw 4\)](#), **ss. 4(9)**, 19(2); S.I. 2018/777, art. 3(a)
- F70** Word in Sch. 1 para. 13(8) inserted (26.6.2020) by [Corporate Insolvency and Governance Act 2020 \(c. 12\)](#), s. 49(1), **Sch. 9 para. 16(3)** (with ss. 2(2), 5(2))

[^{F71}Directions to registered social landlords about notifications

Textual Amendments

- F71** Sch. 1 para. 13A and cross-heading inserted (15.8.2018) by [Regulation of Registered Social Landlords \(Wales\) Act 2018 \(anaw 4\)](#), **ss. 5**, 19(2); S.I. 2018/777, art. 3(a)

- 13A (1) The Welsh Ministers may give directions to registered social landlords about—
- (a) the delivery, form and content of a notification given to the Welsh Ministers under paragraph 9, 11, 12 or 13;
 - (b) the deadline for giving a notification referred to in paragraph (a).
- (2) The Welsh Ministers may give directions to registered social landlords dispensing with a requirement to give a notification referred to in sub-paragraph (1)(a).
- (3) A direction under this paragraph may be given generally in respect of all registered social landlords, or in respect of a particular registered social landlord or a particular type of registered social landlord, and may make provision about notifications generally, or about particular notifications or types of notification.
- (4) A direction may vary or revoke a previous direction under this paragraph.
- (5) A registered social landlord must comply with a direction under this paragraph.]

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[^{F72}Relevant Authority’s] power to petition for winding up

Textual Amendments
F72 Words in Pt. I substituted (1.11.1998) by 1998 c. 38, s. 140, **Sch. 16 para. 82(1)(2)** (with ss. 139(2), 141(1), 143(2)); S.I. 1998/2244, **art.5**.

^{F73}14

Textual Amendments
F73 Sch. 1 para. 14 omitted (15.8.2018) by virtue of **Regulation of Registered Social Landlords (Wales) Act 2018 (anaw 4), ss. 4(10), 19(2); S.I. 2018/777, art. 3(a)**

Transfer of net assets on dissolution or winding up

- 15 (1) This paragraph applies—
- (a) where a registered social landlord which is [^{F72}a registered society] is dissolved as mentioned in [^{F74}section 119 or 123 of the Co-operative and Community Benefit Societies Act 2014 (dissolution by instrument of dissolution or by winding up)], and
 - (b) where a registered social landlord which is [^{F75}a company (including a company that is a registered charity)] is wound up under the Insolvency Act 1986.
- (2) On such a dissolution or winding-up, so much of the property of the society or company as remains after meeting the claims of its creditors and any other liabilities arising on or before the dissolution or winding-up shall be transferred to the [^{F76}Relevant Authority] or, if the [^{F76}Relevant Authority] so directs, to a specified registered social landlord.
- The above provision has effect notwithstanding anything in [^{F77}the Co-operative and Community Benefit Societies Act 2014], [^{F78}the Companies Act 2006] or the Insolvency Act 1986, or in the rules of the society or, as the case may be, in the [^{F78}articles] of the company.
- (3) In order to avoid the necessity for the sale of land belonging to the registered social landlord and thereby secure the transfer of the land under this paragraph, the [^{F76}Relevant Authority] may, if it appears to it appropriate to do so, make payments to discharge such claims or liabilities as are referred to in sub-paragraph (2).
- (4) Where the registered social landlord which is dissolved or wound up is a charity, the [^{F76}Relevant Authority] may dispose of property transferred to it by virtue of this paragraph only to another registered social landlord—
- (a) which is also a charity, and
 - (b) the objects of which appear to the [^{F76}Relevant Authority] to be, as nearly as practicable, akin to those of the body which is dissolved or wound up.
- [^{F79}(5) In any other case the Welsh Ministers may dispose of property transferred to them by virtue of this paragraph to a registered social landlord.]

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- (6) Where property transferred to the [^{F76}Relevant Authority] by virtue of this paragraph includes land subject to an existing mortgage or charge (whether in favour of the [^{F76}Relevant Authority] or not), the [^{F76}Relevant Authority] may, in exercise of its powers under Part III of the ^{M3}Housing Associations Act 1985, dispose of the land either—
- (a) subject to that mortgage or charge, or
 - (b) subject to a new mortgage or charge in favour of the [^{F76}Relevant Authority] securing such amount as appears to the [^{F76}Relevant Authority] to be appropriate in the circumstances.

Textual Amendments

- F2** Words in Act substituted (1.8.2014) by Co-operative and Community Benefit Societies Act 2014 (c. 14), s. 154, **Sch. 4 para. 56** (with Sch. 5)
- F74** Words in Sch. 1 para. 15(1)(a) substituted (1.8.2014) by Co-operative and Community Benefit Societies Act 2014 (c. 14), s. 154, **Sch. 4 para. 65(9)(a)** (with Sch. 5)
- F75** Words in Sch. 1 para. 15(1)(b) substituted (1.10.2009) by The Companies Act 2006 (Consequential Amendments, Transitional Provisions and Savings) Order 2009 (S.I. 2009/1941), art. 1(2), **Sch. 1 para. 161(10)(g)(ii)** (with art. 10)
- F76** Words in Pt. I substituted (1.11.1998) by 1998 c. 38, s. 140, **Sch. 16 para. 82(1)(2)** (with ss. 139(2), 141(1), 143(2)); S.I. 1998/2244, **art.5**.
- F77** Words in Sch. 1 para. 15(2) substituted (1.8.2014) by Co-operative and Community Benefit Societies Act 2014 (c. 14), s. 154, **Sch. 4 para. 65(9)(b)** (with Sch. 5)
- F78** Word in Sch. 1 para. 15(2) substituted (1.10.2009) by The Companies Act 2006 (Consequential Amendments, Transitional Provisions and Savings) Order 2009 (S.I. 2009/1941), art. 1(2), **Sch. 1 para. 161(10)(g)(iii)** (with art. 10)
- F79** Sch. 1 para. 15(5) substituted (1.4.2010) by The Housing and Regeneration Act 2008 (Consequential Provisions) Order 2010 (S.I. 2010/866), art. 1(2), **Sch. 2 para. 106(6)** (with art. 6, Sch. 3)

Marginal Citations

- M3** 1985 c. 69.

[^{F80}Transfer of net assets on termination of charity not within paragraph 15(1)]

Textual Amendments

- F80** Sch. 1 para. 15A and preceding cross-heading inserted (18.11.2004 for specified purposes) by Housing Act 2004 (c. 34), s. 270(2)(b), **Sch. 11 para. 16**

- 15A (1) The [^{F81} Welsh Ministers] may by regulations provide for any provisions of paragraph 15(2) to (6) to apply in relation to a registered social landlord within sub-paragraph (2)—
- (a) in such circumstances, and
 - (b) with such modifications,
- as may be specified in the regulations.
- (2) A registered social landlord is within this sub-paragraph if—
- (a) it is a registered charity, and

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- (b) it does not fall within sub-paragraph (1) of paragraph 15.
- (3) Regulations under this paragraph may in particular provide that any provision of the regulations requiring the transfer of any property of the charity is to have effect notwithstanding—
- (a) anything in the terms of its trusts, or
 - (b) any resolution, order or other thing done for the purposes of, or in connection with, the termination of the charity in any manner specified in the regulations.
- (4) Any regulations under this paragraph shall be made by statutory instrument which shall be subject to annulment in pursuance of a resolution of [^{F82}the National Assembly for Wales] .]

Textual Amendments

- F81** Words in Sch. 1 para. 15A(1) substituted (1.4.2010) by [Housing and Regeneration Act 2008 \(c. 17\)](#), [ss. 62\(a\), 325\(1\)](#); [S.I. 2010/862](#), [art. 2](#) (with [Sch.](#))
- F82** Words in Sch. 1 para. 15A(4) substituted (1.4.2010) by [Housing and Regeneration Act 2008 \(c. 17\)](#), [ss. 63, 325\(1\)](#); [S.I. 2010/862](#), [art. 2](#) (with [Sch.](#))

[^{F83}Management etc

Textual Amendments

- F83** Sch. 1 para. 15B and cross-heading inserted (18.10.2011 for specified purposes, 2.12.2011 in so far as not already in force) by [Housing \(Wales\) Measure 2011 \(nawm 5\)](#), [ss. 72, 90\(2\)](#); [S.I. 2011/2475](#), [arts. 1\(2\), 2\(o\), 3\(h\)](#)

Management tender

- 15B (1) This paragraph applies if the Welsh Ministers are satisfied [^{F84}that a registered social landlord has failed to comply with a requirement imposed by or under an enactment.]
- (2) But this paragraph does not apply [^{F85}if the failure] relates only to the registered social landlord's provision of housing in England.
- (3) The Welsh Ministers may require the registered social landlord to implement a process specified by them for the purpose of—
- (a) inviting persons to apply to undertake management functions of the registered social landlord, and
 - (b) selecting from the applications and making an appointment.
- (4) A requirement may relate to—
- (a) the registered social landlord's affairs generally, or
 - (b) specified affairs.
- (5) A requirement must include—
- (a) provision about the constitution of a selection panel (which must include provision for ensuring representation of tenants' interests),

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- (b) provision for ensuring best procurement practice (and consistent with any applicable procurement law), and
- (c) provision about the terms and conditions on which the manager is to be appointed (including provision about—
 - (i) setting, monitoring and enforcing performance standards, and
 - (ii) resources).]

Textual Amendments

- F84** Words in Sch. 1 para. 15B(1) substituted (15.8.2018) by [Regulation of Registered Social Landlords \(Wales\) Act 2018 \(anaw 4\), ss. 7\(2\), 19\(2\); S.I. 2018/777, art. 3\(b\)](#)
- F85** Words in Sch. 1 para. 15B(2) substituted (15.8.2018) by [Regulation of Registered Social Landlords \(Wales\) Act 2018 \(anaw 4\), ss. 7\(3\), 19\(2\); S.I. 2018/777, art. 3\(b\)](#)

Management tender: supplemental

- [^{F86}15C(1) Before acting under paragraph 15B(3) the Welsh Ministers must give the registered social landlord a notice—
- (a) specifying grounds on which action might be taken under that paragraph,
 - (b) warning the landlord that the Welsh Ministers are considering action under that paragraph, and
 - (c) explaining the effect of this paragraph.
- (2) The notice must specify a period during which the registered social landlord may make representations to the Welsh Ministers.
- (3) The period must—
- (a) be a period of at least 28 days, and
 - (b) begin with the date on which the registered social landlord receives the notice.
- (4) The Welsh Ministers must send a copy of a notice under sub-paragraph (1) to any person they think appropriate (having regard, in particular, to any person who provided information as a result of which the notice is given).
- (5) A notice under sub-paragraph (1) must—
- (a) refer to section 6A, and
 - (b) indicate whether or to what extent the Welsh Ministers would accept a voluntary undertaking instead of, or in mitigation of, action under paragraph 15B(3).
- (6) Notice under sub-paragraph (1) may be combined with notice under one or more of the following—
- (a) sections 50K and 50S,
 - (b) paragraphs 15E and 15G.
- (7) In imposing a requirement the Welsh Ministers must have regard to views of—
- (a) relevant tenants,
 - (b) the registered social landlord, and
 - (c) if they think it appropriate, any relevant local housing authority.

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- (8) A registered social landlord may appeal to the High Court against a requirement under paragraph 15B(3).]

Textual Amendments

F86 Sch. 1 para. 15C inserted (18.10.2011) by [Housing \(Wales\) Measure 2011 \(nawm 5\)](#), **ss. 73, 90(2)**; S.I. 2011/2475, arts. 1(2), 2(p)

Management transfer

[^{F87}15D(1) This paragraph applies if, as a result of an inquiry under paragraph 20 or an audit under paragraph 22, the Welsh Ministers are satisfied [^{F88}that a registered social landlord has failed to comply with a requirement imposed by or under an enactment.]

[^{F89}(2) But this paragraph does not apply if the failure relates only to the registered social landlord's provision of housing in England.]

(3) The Welsh Ministers may require the registered social landlord to transfer management functions to a specified person.

(4) A requirement may relate to—

- (a) the registered social landlord's affairs generally, or
- (b) specified affairs.

(5) Transfer is to be on terms and conditions (including as to remuneration) specified in, or determined in accordance with, the requirement.

(6) A transferee manager is to have—

- (a) any power specified in the requirement, and
- (b) any other power in relation to the registered social landlord's affairs required by the manager for the purposes specified in the requirement (including the power to enter into agreements and take other action on behalf of the registered social landlord).]

Textual Amendments

F87 Sch. 1 para. 15D inserted (18.10.2011) by [Housing \(Wales\) Measure 2011 \(nawm 5\)](#), **ss. 74, 90(2)**; S.I. 2011/2475, arts. 1(2), 2(p)

F88 Words in Sch. 1 para. 15D(1) substituted (15.8.2018) by [Regulation of Registered Social Landlords \(Wales\) Act 2018 \(anaw 4\)](#), **ss. 7(4), 19(2)**; S.I. 2018/777, art. 3(b)

F89 Sch. 1 para. 15D(2) substituted (15.8.2018) by [Regulation of Registered Social Landlords \(Wales\) Act 2018 \(anaw 4\)](#), **ss. 7(5), 19(2)**; S.I. 2018/777, art. 3(b)

Management transfer: supplemental

[^{F90}15H(1) Before acting under paragraph 15D(3) the Welsh Ministers must give the registered social landlord a notice—

- (a) specifying grounds on which action might be taken under that paragraph,
- (b) warning the landlord that the Welsh Ministers are considering action under that paragraph, and
- (c) explaining the effect of this paragraph.

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- (2) The notice must specify a period during which the registered social landlord may make representations to the Welsh Ministers.
- (3) The period must—
 - (a) be a period of at least 28 days, and
 - (b) begin with the date on which the registered social landlord receives the notice.
- (4) The Welsh Ministers must send a copy of a notice under sub-paragraph (1) to any person they think appropriate (having regard, in particular, to any person who provided information as a result of which the notice is given).
- (5) A notice under sub-paragraph (1) must—
 - (a) refer to section 6A, and
 - (b) indicate whether or to what extent the social landlord would accept a voluntary undertaking instead of, or in mitigation of, action under paragraph 15D(3).
- (6) Notice under sub-paragraph (1) may be combined with notice under one or more of the following—
 - (a) sections 50K and 50S,
 - (b) paragraphs 15C and 15G.
- (7) In imposing a requirement the Welsh Ministers must have regard to views of—
 - (a) relevant tenants,
 - (b) the registered social landlord, and
 - (c) if they think it appropriate, any relevant local housing authority.
- (8) A registered social landlord may appeal to the High Court against a requirement under paragraph 15D(3).]

Textual Amendments

F90 Sch. 1 para. 15E inserted (18.10.2011) by [Housing \(Wales\) Measure 2011 \(nawm 5\)](#), ss. 75, 90(2); S.I. 2011/2475, arts. 1(2), 2(p)

Appointment of manager of registered social landlord

- [^{F91}15F(1) This paragraph applies if the Welsh Ministers are satisfied [^{F92}that a registered social landlord has failed to comply with a requirement imposed by or under an enactment.]
- (2) But this paragraph does not apply [^{F93}if the failure] relates only to the registered social landlord's provision of housing in England.
 - (3) The Welsh Ministers may—
 - (a) appoint an individual as a manager of the registered social landlord, or
 - (b) require the registered social landlord to appoint an individual as a manager.
 - (4) An appointment or requirement may relate to the management of—
 - (a) the registered social landlord's affairs generally, or
 - (b) specified affairs.

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- (5) Appointment is to be on terms and conditions (including as to remuneration) specified in, or determined in accordance with, the appointment or requirement.
- (6) A manager is to have—
 - (a) any power specified in the appointment or requirement, and
 - (b) any other power in relation to the registered social landlord's affairs required by the manager for the purposes specified in the appointment or requirement (including the power to enter into agreements and take other action on behalf of the registered social landlord).]

Textual Amendments

- F91** Sch. 1 para. 15F inserted (18.10.2011 for specified purposes, 2.12.2011 in so far as not already in force) by [Housing \(Wales\) Measure 2011 \(nawm 5\), ss. 76, 90\(2\); S.I. 2011/2475, arts. 1\(2\), 2\(q\), 3\(i\)](#)
- F92** Words in Sch. 1 para. 15F(1) substituted (15.8.2018) by [Regulation of Registered Social Landlords \(Wales\) Act 2018 \(anaw 4\), ss. 8\(2\), 19\(2\); S.I. 2018/777, art. 3\(b\)](#)
- F93** Words in Sch. 1 para. 15F(2) substituted (15.8.2018) by [Regulation of Registered Social Landlords \(Wales\) Act 2018 \(anaw 4\), ss. 8\(3\), 19\(2\); S.I. 2018/777, art. 3\(b\)](#)

Appointment of manager: supplemental

- [^{F94}15(1) Before acting under paragraph 15F(3) the Welsh Ministers must give the registered social landlord a notice—
- (a) specifying grounds on which action might be taken under that paragraph,
 - (b) warning the landlord that the Welsh Ministers are considering action under that paragraph, and
 - (c) explaining the effect of this paragraph.
- (2) The notice must specify a period during which the registered social landlord may make representations to the Welsh Ministers.
- (3) The period must—
- (a) be a period of at least 28 days, and
 - (b) begin with the date on which the registered social landlord receives the notice.
- (4) The Welsh Ministers must send a copy of a notice under sub-paragraph (1) to any person they think appropriate (having regard, in particular, to any person who provided information as a result of which the notice is given).
- (5) A notice under sub-paragraph (1) must—
- (a) refer to section 6A, and
 - (b) indicate whether or to what extent the Welsh Ministers would accept a voluntary undertaking instead of, or in mitigation of, action under paragraph 15F(3).
- (6) Notice under sub-paragraph (1) may be combined with notice under one or more of the following—
- (a) sections 50K and 50S,
 - (b) paragraphs 15C and 15E.

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- (7) The Welsh Ministers may require a manager to report to them on the affairs specified in the appointment or requirement under paragraph 15F(3).
- (8) A registered social landlord may appeal to the High Court against an appointment or requirement under paragraph 15F(3).]

Textual Amendments

F94 Sch. 1 para. 15G inserted (18.10.2011) by [Housing \(Wales\) Measure 2011 \(nawm 5\)](#), ss. 77, 90(2); S.I. 2011/2475, arts. 1(2), 2(r)

Amalgamation

- [^{F95}15H(1) This paragraph applies if as a result of an inquiry under paragraph 20 or an audit under paragraph 22, the Welsh Ministers are satisfied [^{F96}that a registered social landlord which is a registered society has failed to comply with a requirement imposed by or under an enactment.]
- [^{F97}(2) But this paragraph does not apply if the failure relates only to the registered social landlord's provision of housing in England.]
- (3) The Welsh Ministers may make and execute on behalf of the society an instrument providing for the amalgamation of the society with [^{F98}another registered society].
 - (4) An instrument providing for the amalgamation of a society (“S1”) with another has the same effect as a special resolution by S1 under [^{F99}section 109 of the Co-operative and Community Benefit Societies Act 2014] (amalgamation of societies by special resolution).
 - (5) A copy of an instrument must be sent to and registered by the [^{F100}Financial Conduct Authority].
 - (6) An instrument does not take effect until the copy is registered.
 - (7) The copy must be sent for registration during the period of 14 days beginning with the date of execution, but a copy registered after that period is valid.
 - (8) Any body created by virtue of an amalgamation must be registered as a social landlord by the Welsh Ministers, and pending registration is to be treated as registered.]

Textual Amendments

F95 Sch. 1 para. 15H inserted (18.10.2011) by [Housing \(Wales\) Measure 2011 \(nawm 5\)](#), ss. 78, 90(2); S.I. 2011/2475, arts. 1(2), 2(r)

F96 Words in Sch. 1 para. 15H(1) substituted (15.8.2018) by [Regulation of Registered Social Landlords \(Wales\) Act 2018 \(anaw 4\)](#), ss. 9(2), 19(2); S.I. 2018/777, art. 3(b)

F97 Sch. 1 para. 15H(2) substituted (15.8.2018) by [Regulation of Registered Social Landlords \(Wales\) Act 2018 \(anaw 4\)](#), ss. 9(3), 19(2); S.I. 2018/777, art. 3(b)

F98 Words in Sch. 1 para. 15H(3) substituted (1.8.2014) by [Co-operative and Community Benefit Societies Act 2014 \(c. 14\)](#), s. 154, [Sch. 4 para. 65\(10\)\(b\)](#) (with Sch. 5)

F99 Words in Sch. 1 para. 15H(4) substituted (1.8.2014) by [Co-operative and Community Benefit Societies Act 2014 \(c. 14\)](#), s. 154, [Sch. 4 para. 65\(10\)\(c\)](#) (with Sch. 5)

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F100 Words in Sch. 1 para. 15H(5) substituted (1.4.2013) by [The Financial Services Act 2012 \(Mutual Societies\) Order 2013 \(S.I. 2013/496\)](#), art. 1(1), Sch. 11 para. 5(1)(2)(f) (with Sch. 12)

PART III

ACCOUNTS AND AUDIT

General requirements as to accounts and audit

- 16 (1) The [^{F101}Relevant Authority] may from time to time determine accounting requirements for registered social landlords with a view to ensuring that the accounts of every registered social landlord—
- (a) are prepared in a proper form, and
 - (b) give a true and fair view of—
 - (i) the state of affairs of the landlord, so far as its housing activities are concerned, and
 - (ii) the disposition of funds and assets which are, or at any time have been, in its hands in connection with those activities.
- (2) The [^{F101}Relevant Authority] by a determination under sub-paragraph (1) may lay down a method by which a registered charity is to distinguish in its accounts between its housing activities and other activities.
- (3) The accounts of every registered social landlord shall comply with the requirements laid down under this paragraph.
- ^{F102}(4)
- [^{F103}(5) Every registered social landlord shall furnish to the Relevant Authority—
- (a) a copy of its accounts, and
 - (b) (subject to sub-paragraph (7)) a copy of the auditor’s report in respect of them,
- within six months of the end of the period to which they relate.
- (6) The auditor’s report shall state, in addition to any other matters which it is required to state, whether in the auditor’s opinion the accounts comply with the requirements laid down under this paragraph.
- (7) The provisions of sub-paragraphs (5)(b) and (6) do not apply where, by virtue of any enactment—
- (a) any accounts of a registered social landlord are not required to be audited, and
 - (b) instead a report is required to be prepared in respect of them by a person appointed for the purpose (“the reporting accountant”),
- and sub-paragraph (8) shall apply in place of those provisions.
- (8) In such a case—
- (a) the registered social landlord shall furnish to the Relevant Authority a copy of the reporting accountant’s report in respect of the accounts within six months of the end of the period to which they relate; and

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- (b) that report shall state, in addition to any other matters which it is required to state, whether in the reporting accountant's opinion the accounts comply with the requirements laid down under this paragraph.]

Textual Amendments

- F101** Words in Pt. I substituted (1.11.1998) by 1998 c. 38, s. 140, **Sch. 16 para. 82(1)(2)** (with ss. 139(2), 141(1), 143(2)); S.I. 1998/2244, **art.5**.
- F102** Sch. 1 para. 16(4) repealed (18.1.2005) by **Housing Act 2004 (c. 34)**, s. 270(3)(c), Sch. 11 para. 17(2), **Sch. 16**
- F103** Sch. 1 para. 16(5)-(8) substituted for Sch. 1 para. 16(5) (18.1.2005) by **Housing Act 2004 (c. 34)**, s. 270(3)(c), **Sch. 11 para. 17(3)**

Modifications etc. (not altering text)

- C1** Sch. 1 para. 16(3)-(5) extended (16.9.1996) by S.I. 1996/2402, **art. 3**, **Sch. para. 5**

Commencement Information

- I3** Sch. 1 para. 16 wholly in force 1.10.1996; Sch. 1 para. 16 not in force at Royal Assent see s. 232(3) ; Sch. 1 para. 16(1)(2) in force at 1.8.1996 by 1996/2048, art. 2(1); Sch. 1 para. 16 in force at 1.10.1996 to the extent not already in force, by S.I. 1996/2402, **art. 3** (subject to the transitional savings in the Sch. to that S.I.)

^{F104} Companies exempt from audit requirements: accountant's report

Textual Amendments

- F104** Sch. 1 para. 16A and cross-heading inserted (18.1.2005) by **Housing Act 2004 (c. 34)**, s. 270(3)(c), **Sch. 11 para. 18**

^{F105}16A(1) This paragraph applies to a registered social landlord that—

- (a) is a company,
 - (b) is exempt from the audit requirements of the Companies Act 2006 by virtue of section 477 of that Act (small companies' exemption), and
 - (c) is not a charity.
- (2) The directors of the company must cause a report to be prepared in accordance with paragraph 16B and made to the company's members in respect of the company's individual accounts for any year in which the company takes advantage of its exemption from audit.
- (3) The Relevant Authority may, in respect of any such financial year, give a direction to the company requiring it—
- (a) to appoint a qualified auditor to audit its accounts and balance sheet for that year, and
 - (b) to furnish to the Relevant Authority a copy of the auditor's report by such date as is specified in the direction.
- (4) A direction under sub-paragraph (3) may not be given until after the end of the financial year to which it relates.

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Textual Amendments

F105 Sch. 1 paras. 16A-16E substituted for Sch. 1 para. 16A (6.4.2008) by [The Companies Act 2006 \(Consequential Amendments etc\) Order 2008 \(S.I. 2008/948\)](#), art. 2(2), **Sch. 1 para. 202(3)** (with arts. 6, 11, 12)

- 16B. (1) The report required for the purposes of paragraph 16A(2) must be prepared by a person (“the reporting accountant”) who is eligible under paragraph 16C.
- (2) The report must state whether in the opinion of the reporting accountant making it—
- (a) the accounts of the company for the financial year in question are in agreement with the accounting records kept by the company under section 386 of the Companies Act 2006, and
 - (b) having regard only to, and on the basis of, the information contained in those accounting records, those accounts have been drawn up in a manner consistent with the provisions of Part 15 of that Act, so far as applicable to the company.
- (3) The report must also state that in the opinion of the reporting accountant, having regard only to, and on the basis of, the information contained in the accounting records kept by the company under section 386 of the Companies Act 2006, the company is entitled to exemption from audit under section 477 of that Act (small companies’ exemption) for the financial year in question.
- (4) The report must state the name of the reporting accountant and be signed and dated.
- (5) The report must be signed—
- (a) where the reporting accountant is an individual, by that individual;
 - (b) where the reporting accountant is a firm, for and on behalf of the firm by an individual authorised to do so.

Textual Amendments

F105 Sch. 1 paras. 16A-16E substituted for Sch. 1 para. 16A (6.4.2008) by [The Companies Act 2006 \(Consequential Amendments etc\) Order 2008 \(S.I. 2008/948\)](#), art. 2(2), **Sch. 1 para. 202(3)** (with arts. 6, 11, 12)

- 16C. (1) The reporting accountant must be either—
- (a) a member of a body listed in sub-paragraph (4) who, under the rules of the body—
 - (i) is entitled to engage in public practice, and
 - (ii) is not ineligible for appointment as a reporting accountant, or
 - (b) any person (whether or not a member of any such body) who—
 - (i) is subject to the rules of any such body in seeking appointment or acting as a statutory auditor under Part 42 of the Companies Act 2006, and
 - (ii) under those rules, is eligible for such appointment.
- (2) In sub-paragraph (1), references to the rules of a body listed in sub-paragraph (4) are to the rules (whether or not laid down by the body itself) which the body has power to enforce and which are relevant for the purposes of Part 42 of the Companies Act 2006 (statutory auditors) or this paragraph.

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This includes rules relating to the admission and expulsion of members of the body, so far as relevant for the purposes of that Part or this paragraph.

- (3) An individual or a firm may be appointed as a reporting accountant, and section 1216 of the Companies Act 2006 (effect of appointment of partnership) applies to the appointment as reporting accountant of a partnership constituted under the law of England and Wales or Northern Ireland, or under the law of any other country or territory in which a partnership is not a legal person.
- (4) The bodies referred to in sub-paragraphs (1) and (2) are—
 - (a) the Institute of Chartered Accountants in England and Wales,
 - (b) the Institute of Chartered Accountants of Scotland,
 - (c) the Institute of Chartered Accountants in Ireland,
 - (d) the Association of Chartered Certified Accountants,
 - (e) the Association of Authorised Public Accountants,
 - (f) the Association of Accounting Technicians,
 - (g) the Association of International Accountants,
 - (h) the Chartered Institute of Management Accountants, and
 - (i) the Institute of Chartered Secretaries and Administrators.
- (5) The Secretary of State may by order amend sub-paragraph (4) by adding or removing a body to or from the list in that sub-paragraph or by varying any entry for the time being included in that list.
- (6) An order under sub-paragraph (5) shall be made by statutory instrument which shall be subject to annulment in pursuance of a resolution of either House of Parliament.
- (7) A person may not be appointed by a company as reporting accountant if he would be prohibited from acting as auditor of that company by virtue of section 1214 of the Companies Act 2006 (independence requirement).

Textual Amendments

F105 Sch. 1 paras. 16A-16E substituted for Sch. 1 para. 16A (6.4.2008) by [The Companies Act 2006 \(Consequential Amendments etc\) Order 2008 \(S.I. 2008/948\)](#), art. 2(2), [Sch. 1 para. 202\(3\)](#) (with arts. 6, 11, 12)

- 16D. (1) The provisions of the Companies Act 2006 listed in sub-paragraph (2) apply to the reporting accountant and a reporting accountant's report as they apply to an auditor of the company and an auditor's report on the company's accounts, subject to any necessary modifications.
- (2) The provisions are—
- (a) sections 423 to 425 (duty to circulate copies of annual accounts);
 - (b) sections 431 and 432 (right of member or debenture holder to demand copies of accounts);
 - (c) sections 434 to 436 (requirements in connection with publication of accounts);
 - (d) sections 437 and 438 (public companies: laying of accounts before general meeting);
 - (e) sections 441 to 444 (duty to file accounts with registrar of companies);

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- (f) section 454(4)(b) and regulations made under that provision (functions of auditor in relation to revised accounts);
- (g) sections 499 to 501 (auditor’s right to information);
- (h) sections 505 and 506 (name of auditor to be stated in published copies of report).

(3) In sections 505 and 506 as they apply by virtue of this paragraph in a case where the reporting accountant is a firm, any reference to the senior statutory auditor shall be read as a reference to the person who signed the report on behalf of the firm.

Textual Amendments

F105 Sch. 1 paras. 16A-16E substituted for Sch. 1 para. 16A (6.4.2008) by [The Companies Act 2006 \(Consequential Amendments etc\) Order 2008 \(S.I. 2008/948\)](#), art. 2(2), **Sch. 1 para. 202(3)** (with arts. 6, 11, 12)

16E. In paragraphs 16A to 16D—

“company” means a company registered under the Companies Act 1985;
 “financial year” has the meaning given by section 390 of the Companies Act 2006;

“firm” has the meaning given by section 1173(1) of that Act;

“individual accounts” has the meaning given by section 394 of that Act;

“qualified auditor”, in relation to a company, means a person who—

- (a) is eligible for appointment as a statutory auditor of the company under Part 42 of that Act, and
- (b) is not prohibited from acting as statutory auditor of the company by virtue of section 1214 of that Act (independence requirement).]

Textual Amendments

F105 Sch. 1 paras. 16A-16E substituted for Sch. 1 para. 16A (6.4.2008) by [The Companies Act 2006 \(Consequential Amendments etc\) Order 2008 \(S.I. 2008/948\)](#), art. 2(2), **Sch. 1 para. 202(3)** (with arts. 6, 11, 12)

[^{F106}[^{F107}Registered societies] exempt from audit requirements: accountant’s report

Textual Amendments

F106 Sch. 1 para. 17 and cross-heading substituted (18.1.2005) by [Housing Act 2004 \(c. 34\)](#), s. 270(3)(c), **Sch. 11 para. 19**

F107 Words in Sch. 1 para. 17 heading substituted (1.8.2014) by [Co-operative and Community Benefit Societies Act 2014 \(c. 14\)](#), s. 154, **Sch. 4 para. 65(11)** (with Sch. 5)

17 (1) This paragraph applies to registered social landlords which are [^{F108}registered societies].

[^{F109}(2) Section 85 of the Co-operative and Community Benefit Societies Act 2014 (“the 2014 Act”) (duty to obtain accountant’s report) has effect, in its application to such

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a landlord, with the omission of subsection (1)(b) (accountant's report required only where turnover exceeds a specified sum).]

(3) The Relevant Authority may, in respect of any relevant year of account of such a landlord, give a direction to the landlord requiring it—

- (a) to appoint a qualified auditor to audit its accounts and balance sheet for that year, and
- (b) to furnish to the Relevant Authority a copy of the auditor's report by such date as is specified in the direction.

(4) For the purposes of sub-paragraph (3), a year of account of a landlord is a “relevant year of account” if—

- (a) it precedes that in which the direction is given, and
- [^{F110}(b) section 83 of the 2014 Act (duty to appoint auditors) did not apply for the year because of a resolution under section 84 of that Act (power to disapply auditing requirements).]

[^{F111}(5) In this paragraph “qualified auditor” and “year of account” have the same meaning as in Part 7 of the 2014 Act (for “year of account” see sections 77 and 78 of that Act).]

Textual Amendments

- F108** Words in Sch. 1 para. 17(1) substituted (1.8.2014) by [Co-operative and Community Benefit Societies Act 2014 \(c. 14\), s. 154, Sch. 4 para. 65\(12\)\(a\)](#) (with Sch. 5)
- F109** Sch. 1 para. 17(2) substituted (1.8.2014) by [Co-operative and Community Benefit Societies Act 2014 \(c. 14\), s. 154, Sch. 4 para. 65\(12\)\(b\)](#) (with Sch. 5)
- F110** Sch. 1 para. 17(4)(b) substituted (1.8.2014) by [Co-operative and Community Benefit Societies Act 2014 \(c. 14\), s. 154, Sch. 4 para. 65\(12\)\(c\)](#) (with Sch. 5)
- F111** Sch. 1 para. 17(5) substituted (1.8.2014) by [Co-operative and Community Benefit Societies Act 2014 \(c. 14\), s. 154, Sch. 4 para. 65\(12\)\(d\)](#) (with Sch. 5)

Accounting and audit [^{F112} or reporting] requirements for charities

Textual Amendments

- F112** Words in Sch. 1 para. 18 cross-heading inserted (18.1.2005) by [Housing Act 2004 \(c. 34\), s. 270\(3\)\(c\), Sch. 11 para. 20\(2\)](#)

18 (1) A registered social landlord which is a registered charity shall, in respect of its housing activities (and separately from its other activities, if any), be subject to the following provisions ^{F113} ...

^{F113} ...

(2) The charity shall in respect of its housing activities—

- (a) cause to be kept properly books of account showing its transactions and its assets and liabilities, and
- (b) establish and maintain a satisfactory system of control of its books of accounts, its cash holdings and all its receipts and remittances.

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The books of account must be such as to enable a true and fair view to be given of the state of affairs of the charity in respect of its housing activities, and to explain its transactions in the course of those activities.

- (3) The charity shall for each period of account prepare—
- (a) a revenue account giving a true and fair view of the charity’s income and expenditure in the period, so far as arising in connection with its housing activities, and
 - (b) a balance sheet giving a true and fair view as at the end of the period of the state of the charity’s affairs.

The revenue account and balance sheet must be signed by at least two directors or trustees of the charity.

^{F114}^{F115}(4) The charity must appoint a qualified auditor (“the auditor”) to audit the accounts prepared in accordance with sub-paragraph (3) in respect of each period of account in which—

- (a) the charity's gross income arising in connection with its housing activities exceeds the sum for the time being specified in section 144(1)(a) of the Charities Act 2011, or
- (b) the charity's gross income arising in that connection exceeds the accounts threshold and at the end of that period the aggregate value of its assets (before deduction of liabilities) in respect of its housing activities exceeds the sum for the time being specified in section 144(1)(b) of that Act;

and in this sub-paragraph “gross income” and “accounts threshold” have the same meanings as in section 144 of that Act.]

(4A) Where sub-paragraph (4) does not apply in respect of a period of account, the charity must appoint a qualified auditor (“the reporting accountant”) to make such a report as is mentioned in paragraph 18A(1) in respect of the period of account.

^{F116}(4B) In sub-paragraphs (4) and (4A) “qualified auditor” means a person who—

- (a) is eligible for appointment as a statutory auditor under Part 42 of the Companies Act 2006, and
- (b) if the appointment were an appointment as a statutory auditor, would not be prohibited from acting by virtue of section 1214 of that Act (independence requirement).]]

(5) The auditor shall make a report to the charity on the accounts audited by him, stating whether in his opinion—

- (a) the revenue account gives a true and fair view of the state of income and expenditure of the charity in respect of its housing activities and of any other matters to which it relates, and
- (b) the balance sheet gives a true and fair view of the state of affairs of the charity as at the end of the period of account.

(6) The auditor in preparing his report shall carry out such investigations as will enable him to form an opinion as to the following matters—

- (a) whether the association has kept, in respect of its housing activities, proper books of account in accordance with the requirements of this paragraph,
- (b) whether the charity has maintained a satisfactory system of control over its transactions in accordance with those requirements, and

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(c) whether the accounts are in agreement with the charity's books; and if he is of opinion that the charity has failed in any respect to comply with this paragraph, or if the accounts are not in agreement with the books, he shall state that fact in his report.

(7) The auditor—

(a) has a right of access at all times to the books, deeds and accounts of the charity, so far as relating to its housing activities, and to all other documents relating to those activities, and

(b) is entitled to require from officers of the charity such information and explanations as he thinks necessary for the performance of his duties;

and if he fails to obtain all the information and explanations which, to the best of his knowledge and belief, are necessary for the purposes of his audit, he shall state that fact in his report.

(8) A period of account for the purposes of this paragraph is twelve months or such other period not less than six months or more than 18 months as the charity may, with the consent of the [^{F117}Relevant Authority], determine.

Textual Amendments

F113 Words in Sch. 1 para. 18(1) repealed (18.1.2005) by [Housing Act 2004 \(c. 34\), s. 270\(3\)\(c\)](#), [Sch. 11 para. 20\(3\)](#), [Sch. 16](#)

F114 Sch. 1 para. 18(4)-(4B) substituted for Sch. 1 para. 18(4) (18.1.2005) by [Housing Act 2004 \(c. 34\), s. 270\(3\)\(c\)](#), [Sch. 11 para. 20\(4\)](#)

F115 Sch. 1 para. 18(4) substituted (14.3.2012) by [Charities Act 2011 \(c. 25\), s. 355](#), [Sch. 7 para. 72\(3\)](#) (with s. 20(2), [Sch. 8](#))

F116 Sch. 1 para. 18(4B) substituted (6.4.2008) by [The Companies Act 2006 \(Consequential Amendments etc\) Order 2008 \(S.I. 2008/948\), art. 2\(2\)](#), [Sch. 1 para. 20](#) (with arts. 6, 11, 12)

F117 Words in Pt. I substituted (1.11.1998) by [1998 c. 38, s. 140](#), [Sch. 16 para. 82\(1\)\(2\)](#) (with ss. 139(2), 141(1), 143(2)); [S.I. 1998/2244, art.5](#).

[^{F118}Charities exempt from audit requirements: accountant's report

Textual Amendments

F118 Sch. 1 para. 18A and cross-heading inserted (18.1.2005) by [Housing Act 2004 \(c. 34\), s. 270\(3\)\(c\)](#), [Sch. 11 para. 21](#)

18A (1) The report referred to in paragraph 18(4A) is a report—

(a) relating to the charity's accounts prepared in accordance with paragraph 18(3) in respect of the period of account in question, and

(b) complying with sub-paragraphs (2) and (3) below.

(2) The report must state whether, in the opinion of the reporting accountant—

(a) the revenue account or accounts and the balance sheet are in agreement with the books of account kept by the charity under paragraph 18(2),

(b) on the basis of the information contained in those books of account, the revenue account or accounts and the balance sheet comply with the requirements of [^{F119}the Charities Act 2011], and

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- (c) on the basis of the information contained in those books of account, paragraph 18(4A) applied to the charity in respect of the period of account in question.
- (3) The report must also state the name of the reporting accountant and be signed by him.
- (4) Paragraph 18(7) applies to the reporting accountant and his functions under this paragraph as it applies to an auditor and his functions under paragraph 18.
- (5) The Relevant Authority may, in respect of a relevant period of account of a charity, give a direction to the charity requiring it—
- (a) to appoint a qualified auditor to audit its accounts for that period, and
 - (b) to furnish to the Relevant Authority a copy of the auditor’s report by such date as is specified in the direction;
- and paragraph 18(5) to (7) apply to an auditor so appointed as they apply to an auditor appointed under paragraph 18.
- (6) For the purposes of sub-paragraph (5), a period of account of a charity is a relevant period of account if—
- (a) it precedes that in which the direction is given; and
 - (b) paragraph 18(4A) applied in relation to it.
- (7) In this paragraph “period of account” and “qualified auditor” have the same meaning as in paragraph 18(4A).]

Textual Amendments

F119 Words in Sch. 1 para. 18A(2)(b) substituted (14.3.2012) by [Charities Act 2011 \(c. 25\), s. 355, Sch. 7 para. 72\(4\)](#) (with [s. 20\(2\), Sch. 8](#))

Responsibility for securing compliance with accounting requirements

- 19 (1) Every responsible person, that is to say, every person who—
- (a) is directly concerned with the conduct and management of the affairs of a registered social landlord, and
 - (b) is in that capacity responsible for the preparation and audit of accounts,
- shall ensure that paragraph 16 (general requirements as to accounts and audit) and, where applicable, paragraph 18 (accounting and audit requirements for charities) are complied with by the registered social landlord.
- (2) If—
- (a) paragraph 16(5) (furnishing of accounts and auditor’s report) is not complied with,
 - (b) the accounts furnished to the [^{F120}Relevant Authority] under that provision do not comply with the accounting requirements laid down under paragraph 16(1),
 - (c) paragraph 18 (accounting and audit [^{F121} or reporting] requirements for charities), where applicable, is not complied with,
 - ^{F122}(d)
 - (e) any notice under section 26 (information relating to disposal proceeds fund) is not complied with,

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every responsible person, and the registered social landlord itself, commits a summary offence and is liable on conviction to a fine not exceeding [^{F123} level 5] on the standard scale.

- (3) In proceedings for an offence under this paragraph it is a defence—
- (a) for a responsible person to prove that he did everything that could reasonably have been expected of him by way of discharging the relevant duty;
 - (b) for a registered social landlord to prove that every responsible person did everything that could reasonably have been expected of him by way of discharging the relevant duty in relation to the registered social landlord.
- (4) Proceedings for an offence under this paragraph may be brought only by or with the consent of the [^{F120}Relevant Authority] or the Director of Public Prosecutions.

[Where any of paragraphs (a) to (e) of sub-paragraph (2) applies in respect of any ^{F124}(5) default on the part of a registered social landlord, the High Court may, on the application of the Relevant Authority, make such order as the court thinks fit for requiring the default to be made good.

Any such order may provide that all the costs or expenses of and incidental to the application shall be borne by the registered social landlord or by any of its officers who are responsible for the default.]

Textual Amendments

- F120** Words in Pt. I substituted (1.11.1998) by 1998 c. 38, s. 140, **Sch. 16 para. 82(1)(2)** (with ss. 139(2), 141(1), 143(2)); S.I. 1998/2244, **art.5**.
- F121** Words in Sch. 1 para. 19(2)(c) inserted (18.1.2005) by Housing Act 2004 (c. 34), s. 270(3)(c), **Sch. 11 para. 22(2)(a)**
- F122** Sch. 1 para. 19(2)(d) repealed (18.1.2005) by Housing Act 2004 (c. 34), s. 270(3)(c), Sch. 11 para. 22(2)(b), **Sch. 16**
- F123** Words in Sch. 1 para. 19(2) substituted (18.1.2005) by Housing Act 2004 (c. 34), s. 270(3)(c), **Sch. 11 para. 22(2)(c)** (with Sch. 11 para. 22(3))
- F124** Sch. 1 para. 19(5) inserted (18.1.2005) by Housing Act 2004 (c. 34), s. 270(3)(c), **Sch. 11 para. 22(4)**

[^{F125}Disclosure of information by auditors etc. to the Relevant Authority

Textual Amendments

- F125** Sch. 1 para. 19A and cross-heading inserted (18.1.2005) by Housing Act 2004 (c. 34), s. 270(3)(c), **Sch. 11 para. 23**

- 19A (1) A person who is, or has been, an auditor of a registered social landlord does not contravene any duty to which he is subject merely because he gives to the Relevant Authority —
- (a) information on a matter of which he became aware in his capacity as auditor of the registered social landlord, or
 - (b) his opinion on such a matter,
- if he is acting in good faith and he reasonably believes that the information or opinion is relevant to any functions of the Relevant Authority.

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- (2) Sub-paragraph (1) applies whether or not the person is responding to a request from the Relevant Authority.
- (3) This paragraph applies to a person who is, or has been, a reporting accountant as it applies to a person who is, or has been, an auditor.
- (4) A “reporting accountant” means a person appointed as mentioned in paragraph 16(7)(b).]]

[^{F126}PART 3A

INSPECTION

Textual Amendments

F126 Sch. 1 Pt. 3A and Sch. 1 para. 19B inserted (18.10.2011) by [Housing \(Wales\) Measure 2011 \(nawm 5\)](#), [ss. 43, 90\(2\)](#); [S.I. 2011/2475](#), [arts. 1\(2\), 2\(g\)](#)

Overview and application

- 19B (1) This Part provides for the inspection of a registered social landlord's affairs.
- (2) But this Part does not apply in relation to affairs relating only to the provision of housing in England.]

Inspection

- [^{F127}19C) The Welsh Ministers—
- (a) may inspect a registered social landlord's affairs, or
 - (b) may arrange for another person to do so.
- (2) An inspection may be general or specific.
- (3) If the Welsh Ministers arrange for a person to carry out an inspection, they may direct that person to discontinue it.
- (4) If the Welsh Ministers arrange for a person to carry out an inspection, the arrangements may include (among other things) provision about payments.]

Textual Amendments

F127 Sch. 1 para. 19C inserted (18.10.2011) by [Housing \(Wales\) Measure 2011 \(nawm 5\)](#), [ss. 44, 90\(2\)](#); [S.I. 2011/2475](#), [arts. 1\(2\), 2\(g\)](#)

Inspection: supplemental

- [^{F128}19D) The person carrying out the inspection must produce a written report.
- (2) The Welsh Ministers—
- (a) must give the registered social landlord a copy of the report, and
 - (b) may publish the report and related information.

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- (3) If the Welsh Ministers have arranged for a person to carry out the inspection, that person may publish the report and related information (whether or not the Welsh Ministers have done so).
- (4) If a registered social landlord is inspected, the Welsh Ministers may charge a fee.
- (5) A registered social landlord must pay any fee charged to—
 - (a) the person with whom the Welsh Ministers have made an arrangement to carry out an inspection (if any), or
 - (b) the Welsh Ministers.
- (6) The Welsh Ministers may direct a registered social landlord to pay the fee to one of those persons.
- (7) If a fee is paid to a person other than the Welsh Ministers, that person must notify the Welsh Ministers about the payment.]

Textual Amendments

F128 Sch. 1 para. 19D inserted (18.10.2011) by [Housing \(Wales\) Measure 2011 \(nawm 5\)](#), ss. 45, 90(2); S.I. 2011/2475, arts. 1(2), 2(g)

Inspector's powers to require provision of documents or information

[^{F129}19E] An inspector may by notice require a person to provide specified documents or information.

- (2) A requirement may specify—
 - (a) the form and manner in which a document or information is to be provided (which may include the provision of a legible copy of information stored electronically);
 - (b) when and where it is to be provided.
- (3) The inspector may copy or record documents or information provided.
- (4) Failure to comply with a requirement without reasonable excuse is an offence.
- (5) Intentionally altering, suppressing or destroying a document or information to which a requirement relates is an offence.
- (6) If a person fails to comply with a requirement the High Court may, on an application by the inspector, make an order for the purpose of remedying the failure.
- (7) In this paragraph “inspector” means—
 - (a) the Welsh Ministers, or
 - (b) a person authorised in writing by the Welsh Ministers to exercise the powers under this paragraph for the purpose of an inspection under paragraph 19C.]

Textual Amendments

F129 Sch. 1 para. 19E inserted (18.10.2011) by [Housing \(Wales\) Measure 2011 \(nawm 5\)](#), ss. 46, 90(2); S.I. 2011/2475, arts. 1(2), 2(g)

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Inspector's powers to require provision of documents or information: supplemental

- [^{F130}19F] A requirement does not require a person to disclose anything which the person would be entitled to refuse to disclose on grounds of legal professional privilege in proceedings in the High Court.
- (2) A requirement does not require a banker to breach a duty of confidentiality owed to a person who is not—
- (a) the registered social landlord to whose affairs or activities the document or information relates,
 - (b) a subsidiary of that landlord, or
 - (c) an associate of that landlord.
- (3) A person guilty of an offence under paragraph 19E(4) is liable on summary conviction to a fine not exceeding level 5 on the standard scale.
- (4) A person guilty of an offence under paragraph 19E(5) is liable—
- (a) on summary conviction, to a fine not exceeding the statutory maximum;
 - (b) on conviction on indictment, to—
 - (i) imprisonment for a term not exceeding two years,
 - (ii) a fine, or
 - (iii) both.
- (5) Proceedings for an offence under paragraph 19E(4) or (5) may be brought only by or with the consent of—
- (a) the Welsh Ministers, or
 - (b) the Director of Public Prosecutions.]

Textual Amendments

F130 Sch. 1 para. 19F inserted (18.10.2011) by [Housing \(Wales\) Measure 2011 \(nawm 5\)](#), **ss. 47, 90(2)**; [S.I. 2011/2475](#), arts. 1(2), 2(g)

Inspector's powers of entry and inspection

- [^{F131}19G] An inspector may at any reasonable time—
- (a) enter premises occupied by the registered social landlord which is being inspected, and
 - (b) inspect, copy or take away documents found there.
- (2) But the inspector may not enter residential accommodation (whether the residential accommodation is the whole of, or only part of, premises occupied by the registered social landlord).
- (3) The reference to documents found on the premises includes (but is not limited to)—
- (a) documents stored on computers or electronic storage devices on the premises, and
 - (b) documents stored elsewhere which can be accessed by computers on the premises.
- (4) The power to inspect documents includes (but is not limited to) the power to inspect any computer or electronic storage device on which they have been created or stored.

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- (5) An inspector may require any person on the premises to provide such facilities or assistance as the inspector reasonably requests.
- (6) For the purposes of sub-paragraphs (3) and (4) an inspector may require any person having charge of a computer to provide any assistance that the inspector reasonably requests.
- (7) It is an offence for a person without reasonable excuse to obstruct an inspector exercising the powers conferred by sub-paragraphs (1) to (6).
- (8) A person guilty of an offence is liable on summary conviction to a fine not exceeding level 3 on the standard scale.
- (9) Proceedings for an offence may be brought only by or with the consent of—
 - (a) the Welsh Ministers, or
 - (b) the Director of Public Prosecutions.
- (10) In this paragraph—
 - “inspector” means—
 - (a) the Welsh Ministers, or
 - (b) a person authorised in writing by the Welsh Ministers to exercise the powers under this paragraph for the purpose of an inspection under paragraph 19C;
 - “residential accommodation” means accommodation of any description (including, but not limited to, a dwelling or residential accommodation in a hostel) that is occupied by one or more persons as a permanent or temporary place of residence (whether or not it is also occupied by any person for any other purpose).]

Textual Amendments

F131 Sch. 1 para. 19G inserted (18.10.2011) by [Housing \(Wales\) Measure 2011 \(nawm 5\)](#), **ss. 48, 90(2)**; [S.I. 2011/2475](#), arts. 1(2), 2(g)

PART IV

INQUIRY INTO AFFAIRS OF REGISTERED SOCIAL LANDLORDS

Inquiry

- 20 (1) The [^{F132}Relevant Authority] may direct an inquiry into the affairs of a registered social landlord if it appears to the [^{F132}Relevant Authority] that [^{F133}the registered social landlord may have failed to comply with a requirement imposed by or under an enactment.]
- ^{F134} ...
- (2) Any such inquiry shall be conducted by one or more persons appointed by the [^{F132}Relevant Authority].
- ^{F135}(3)

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- (4) If the [^{F132}Relevant Authority] so directs, or if during the course of the inquiry the person or persons conducting the inquiry consider it necessary, the inquiry shall extend to the affairs of any other body which at any material time is or was a subsidiary or associate of the registered social landlord.
- [^{F136}(4A) The person or persons conducting the inquiry may determine the procedure to be followed in connection with the inquiry.]
- (5) The person or persons conducting the inquiry may, if they think fit during the course of the inquiry, make one or more interim reports on such matters as appear to them to be appropriate.
- (6) On completion of the inquiry the person or persons conducting the inquiry shall make a final report on such matters as the [^{F132}Relevant Authority] may specify.
- (7) An interim or final report shall be in such form as the [^{F132}Relevant Authority] may specify. [^{F137}, and the Relevant Authority may arrange for the whole or part of an interim or final report to be published in such manner as it considers appropriate.]
- [^{F138}(8) A local authority may, if they think fit, contribute to the expenses of the Relevant Authority in connection with any inquiry under this paragraph.]

Textual Amendments

- F132** Words in Pt. I substituted (1.11.1998) by 1998 c. 38, s. 140, **Sch. 16 para. 82(1)(2)** (with ss. 139(2), 141(1), 143(2)); S.I. 1998/2244, **art.5**.
- F133** Words in Sch. 1 para. 20(1) substituted (15.8.2018) by Regulation of Registered Social Landlords (Wales) Act 2018 (anaw 4), **ss. 10(2)**, 19(2); S.I. 2018/777, art. 3(c)
- F134** Words in Sch. 1 para. 20(1) omitted (18.10.2011) by virtue of Housing (Wales) Measure 2011 (nawm 5), s. 90(2), **Sch. para. 18**; S.I. 2011/2475, arts. 1(2), 2(v)
- F135** Sch. 1 para. 20(3) repealed (1.4.2010) by The Housing and Regeneration Act 2008 (Consequential Provisions) Order 2010 (S.I. 2010/866), art. 1(2), Sch. 2 para. 106(7), **Sch. 4** (with art. 6, Sch. 3)
- F136** Sch. 1 para. 20(4A) inserted (18.1.2005) by Housing Act 2004 (c. 34), s. 270(3)(c), **Sch. 11 para. 24(2)**
- F137** Words in Sch. 1 para. 20(7) added (18.1.2005) by Housing Act 2004 (c. 34), s. 270(3)(c), **Sch. 11 para. 24(3)**
- F138** Sch. 1 para. 20(8) inserted (18.1.2005) by Housing Act 2004 (c. 34), s. 270(3)(c), **Sch. 11 para. 24(4)**

Modifications etc. (not altering text)

- C2** Sch. 1 para. 20(3) modified (1.12.2008) by The Transfer of Housing Corporation Functions (Modifications and Transitional Provisions) Order 2008 (S.I. 2008/2839), arts. 1(1), 3, **Sch. para. 5** (with art. 6)

[^{F139}Evidence

Textual Amendments

- F139** Sch. 1 para. 20A and cross-heading inserted (18.1.2005) by Housing Act 2004 (c. 34), s. 270(3)(c), **Sch. 11 para. 25**

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- 20A (1) For the purposes of an inquiry the person or persons conducting it may serve a notice on an appropriate person directing him to attend at a specified time and place and do either or both of the following, namely—
- (a) give evidence;
 - (b) produce any specified documents, or documents of a specified description, which are in his custody or under his control and relate to any matter relevant to the inquiry.
- (2) The person or persons conducting such an inquiry—
- (a) may take evidence on oath and for that purpose administer oaths, or
 - (b) instead of administering an oath, require the person examined to make and subscribe a declaration of the truth of the matters about which he is examined.
- (3) In this paragraph—
- “appropriate person” means a person listed in section 30(2);
 - “document” has the same meaning as in section 30;
 - “inquiry” means an inquiry under paragraph 20.
- (4) A person may not be required under this paragraph to disclose anything that, by virtue of section 30(4), he could not be required to disclose under section 30.
- (5) Section 31 (enforcement of notice to provide information, &c) applies in relation to a notice given under this paragraph by the person or persons conducting an inquiry as it applies in relation to a notice given under section 30 by the Relevant Authority, but subject to sub-paragraph (6).
- (6) A person guilty of an offence under section 31(1) as it applies in accordance with sub-paragraph (5) is liable—
- (a) on summary conviction, to a fine not exceeding the statutory maximum;
 - (b) on conviction on indictment, to imprisonment for a term not exceeding two years or to a fine, or both.
- (7) Any person who, in purported compliance with a notice given under this paragraph by the person or persons conducting an inquiry, knowingly or recklessly provides any information which is false or misleading in a material particular commits an offence and is liable to the penalties mentioned in sub-paragraph (6).
- (8) Proceedings for an offence under sub-paragraph (7) may be brought only by or with the consent of the Relevant Authority or the Director of Public Prosecutions.]

Power of appointed person to obtain information

- 21 (1) A person appointed by the [F140Relevant Authority] under paragraph 20 to conduct an inquiry (or, if more than one person is so appointed, each of those persons) has, for the purposes of the inquiry, the same powers as are conferred on the [F140Relevant Authority] by section 30 (general power to obtain information).
- (2) Where by virtue of a notice under that section given by an appointed person any documents are produced to any person, the person to whom they are produced may take copies of or make extracts from them.
- (3) Section 31 (enforcement of notice to provide information, &c.) applies in relation to a notice given under this paragraph by an appointed person as it applies in relation

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to a notice given under section 30 by the [^{F140}Relevant Authority]. [^{F141} , but subject to sub-paragraph (4).]

- [^{F142}(4) A person guilty of an offence under section 31(1) as it applies in accordance with sub-paragraph (3) is liable—
- (a) on summary conviction, to a fine not exceeding the statutory maximum;
 - (b) on conviction on indictment, to imprisonment for a term not exceeding two years or to a fine, or both.
- (5) Any person who, in purported compliance with a notice given under this paragraph by an appointed person, knowingly or recklessly provides any information which is false or misleading in a material particular commits an offence and is liable to the penalties mentioned in sub-paragraph (4).
- (6) Proceedings for an offence under sub-paragraph (5) may be brought only by or with the consent of the Relevant Authority or the Director of Public Prosecutions.]

Textual Amendments

- F140** Words in Pt. I substituted (1.11.1998) by 1998 c. 38, s. 140, **Sch. 16 para. 82(1)(2)** (with ss. 139(2), 141(1), 143(2)); S.I. 1998/2244, **art.5**.
- F141** Words in Sch. 1 para. 21(3) added (18.1.2005) by Housing Act 2004 (c. 34), s. 270(3)(c), **Sch. 11 para. 26(2)** (with Sch. 11 para. 26(4))
- F142** Sch. 1 para. 21(4)-(6) inserted (18.1.2005) by Housing Act 2004 (c. 34), s. 270(3)(c), **Sch. 11 para. 26(3)** (with Sch. 11 para. 26(4))

Extraordinary audit for purposes of inquiry

- 22 (1) For the purposes of an inquiry under paragraph 20 the [^{F143}Relevant Authority] may require the accounts and balance sheet of the registered social landlord concerned, or such of them as the [^{F143}Relevant Authority] may specify, to be audited by a qualified auditor appointed by the [^{F143}Relevant Authority].
- (2) A person is a qualified auditor for this purpose if he would be eligible for appointment as auditor of the ordinary accounts of the registered social landlord.
- (3) On completion of the audit the appointed auditor shall make a report to the [^{F143}Relevant Authority] on such matters and in such form as the [^{F143}Relevant Authority] may specify.
- (4) The expenses of the audit, including the remuneration of the auditor, shall be paid by the [^{F143}Relevant Authority].
- (5) An audit under this paragraph is additional to, and does not affect, any audit made or to be made under any other enactment.

Textual Amendments

- F143** Words in Pt. I substituted (1.11.1998) by 1998 c. 38, s. 140, **Sch. 16 para. 82(1)(2)** (with ss. 139(2), 141(1), 143(2)); S.I. 1998/2244, **art.5**.

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Powers exercisable on interim basis

- 23 (1) The [F144Relevant Authority] may make an order under this paragraph—
- (a) where an inquiry has been directed under paragraph 20 and the [F144Relevant Authority] has reasonable grounds to believe—
 - [F145(i) that a registered social landlord has failed to comply with a requirement imposed by or under an enactment, and]
 - (ii) that immediate action is needed to protect the interests of the tenants of the registered social landlord or to protect the assets of the landlord; or
 - (b) where an interim report has been made under paragraph 20(5) as a result of which the [F144Relevant Authority] is satisfied that [F146a registered social landlord has failed to comply with a requirement imposed by or under an enactment.]
- (2) The orders that may be made under this paragraph are—
- (a) an order suspending any officer, employee or agent of the registered social landlord who appears to the [F144Relevant Authority] to have been responsible for or privy to the [F147failure] or by his conduct to have contributed to or facilitated it;
 - (b) an order directing any bank or other person who holds money or securities on behalf of the registered social landlord not to part with the money or securities without the approval of the [F144Relevant Authority];
 - (c) an order restricting the transactions which may be entered into, or the nature or amount of the payments which may be made, by the registered social landlord without the approval of the [F144Relevant Authority].
- [F148(2A) Before making an order under sub-paragraph (2)(b) or (c) the Welsh Ministers must take all reasonable steps to give notice to the registered social landlord and, in the case of an order under sub-paragraph (2)(b), to the person to whom the order is directed.]
- (3) An order under this paragraph, if not previously revoked by the [F144Relevant Authority], shall cease to have effect six months after the making of the final report under paragraph 20(6) unless the [F144Relevant Authority] renews it, which it may do for a further period of up to six months.
- (4) A person suspended by an order under sub-paragraph (2)(a) may appeal against the order to the High Court.
- (5) Where a person is suspended by such an order, the [F144Relevant Authority] may give directions with respect to the performance of his functions and otherwise as to matters arising from his suspension.
- The [F144Relevant Authority] may, in particular, appoint a named person to perform his functions.
- (6) A person who contravenes an order under sub-paragraph (2)(b) commits an offence and is liable on summary conviction to a fine not exceeding level 5 on the standard scale or imprisonment for a term not exceeding three months, or both.
- Proceedings for such an offence may be brought only by or with the consent of the [F144Relevant Authority] or the Director of Public Prosecutions.

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Textual Amendments

- F144** Words in Pt. I substituted (1.11.1998) by 1998 c. 38, s. 140, **Sch. 16 para. 82(1)(2)** (with ss. 139(2), 141(1), 143(2)); S.I. 1998/2244, **art.5**.
- F145** Sch. 1 para. 23(1)(a)(i) substituted (15.8.2018) by Regulation of Registered Social Landlords (Wales) Act 2018 (anaw 4), **ss. 10(3)(a)**, 19(2); S.I. 2018/777, art. 3(c)
- F146** Words in Sch. 1 para. 23(1)(b) substituted (15.8.2018) by Regulation of Registered Social Landlords (Wales) Act 2018 (anaw 4), **ss. 10(3)(b)**, 19(2); S.I. 2018/777, art. 3(c)
- F147** Word in Sch. 1 para. 23(2)(a) substituted (15.8.2018) by Regulation of Registered Social Landlords (Wales) Act 2018 (anaw 4), **ss. 10(4)**, 19(2); S.I. 2018/777, art. 3(c)
- F148** Sch. 1 para. 23(2A) inserted (18.10.2011) by Housing (Wales) Measure 2011 (nawm 5), **ss. 79**, 90(2); S.I. 2011/2475, arts. 1(2), 2(r)

Powers exercisable as a result of final report or audit

- 24 (1) Where the [^{F149}Relevant Authority] is satisfied, as the result of an inquiry under paragraph 20 or an audit under paragraph 22, that [^{F150}a registered social landlord has failed to comply with a requirement imposed by or under an enactment], it may make an order under this paragraph.
- (2) The orders that may be made under this paragraph are—
- (a) an order removing any officer, employee or agent of the registered social landlord who appears to the [^{F149}Relevant Authority] to have been responsible for or privy to the [^{F151}failure] or by his conduct to have contributed to or facilitated it;
 - (b) an order suspending any such person for up to six months, pending determination whether he should be removed;
 - (c) an order directing any bank or other person who holds money or securities on behalf of the registered social landlord not to part with the money or securities without the approval of the [^{F149}Relevant Authority];
 - (d) an order restricting the transactions which may be entered into, or the nature or amount of the payments which may be made, by the registered social landlord without the approval of the [^{F149}Relevant Authority].
- (3) Before making an order under sub-paragraph (2)(a) the [^{F149}Relevant Authority] shall give at least 14 days' notice of its intention to do so—
- (a) to the person it intends to remove, and
 - (b) to the registered social landlord concerned.

Notice under this sub-paragraph may be given by post, and if so given to the person whom the [^{F149}Relevant Authority] intends to remove may be addressed to his last known address in the United Kingdom.

- [^{F152}(3A) Before making an order under sub-paragraph (2)(c) or (d) the Welsh Ministers must take all reasonable steps to give notice to the registered social landlord and, in the case of an order under sub-paragraph (2)(c), to the person to whom the order is directed.]
- (4) A person who is ordered to be removed under sub-paragraph (2)(a) or suspended under sub-paragraph (2)(b) may appeal against the order to the High Court.

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- (5) Where a person is suspended under sub-paragraph (2)(b), the [F149Relevant Authority] may give directions with respect to the performance of his functions and otherwise as to matters arising from the suspension.

The [F149Relevant Authority] may, in particular, appoint a named person to perform his functions.

- (6) A person who contravenes an order under sub-paragraph (2)(c) commits an offence and is liable on summary conviction to a fine not exceeding level 5 on the standard scale or imprisonment for a term not exceeding three months, or both.

Proceedings for such an offence may be brought only by or with the consent of the [F149Relevant Authority] or the Director of Public Prosecutions.

- [F153(7) An order under sub-paragraph (2)(c) or (d) has effect until revoked by the Welsh Ministers.]

Textual Amendments

- F149** Words in Pt. I substituted (1.11.1998) by 1998 c. 38, s. 140, **Sch. 16 para. 82(1)(2)** (with ss. 139(2), 141(1), 143(2)); S.I. 1998/2244, **art.5**.
- F150** Words in Sch. 1 para. 24(1) substituted (15.8.2018) by **Regulation of Registered Social Landlords (Wales) Act 2018 (anaw 4), ss. 10(5), 19(2)**; S.I. 2018/777, art. 3(c)
- F151** Word in Sch. 1 para. 24(2)(a) substituted (15.8.2018) by **Regulation of Registered Social Landlords (Wales) Act 2018 (anaw 4), ss. 10(6), 19(2)**; S.I. 2018/777, art. 3(c)
- F152** Sch. 1 para. 24(3A) inserted (18.10.2011) by **Housing (Wales) Measure 2011 (nawm 5), ss. 80(2), 90(2)**; S.I. 2011/2475, arts. 1(2), 2(r)
- F153** Sch. 1 para. 24(7) added (18.10.2011) by **Housing (Wales) Measure 2011 (nawm 5), ss. 80(3), 90(2)**; S.I. 2011/2475, arts. 1(2), 2(r)

Disqualification as officer of registered social landlord.

- 25 [F154(1) A person is disqualified from acting as an officer of a registered social landlord if the person has been removed under—
- (a) paragraph 24(2)(a) (removal F155...), or
 - (b) section 260 of the Housing and Regeneration Act 2008, section 30(1)(a) of the Housing Associations Act 1985 or section 20(1)(a) of the Housing Act 1974 (other similar provisions).]
- (2) The [F156Relevant Authority] may, on the application of any such person, waive his disqualification either generally or in relation to a particular registered social landlord or particular class of registered social landlord.
- (3) Any waiver shall be notified in writing to the person concerned.
- (4) For the purposes of this paragraph the [F156Relevant Authority] shall keep, in such manner as it thinks fit, a register of all persons who have been removed from office by the [F156Relevant Authority] under the provisions mentioned in sub-paragraph (1).
- [F157(4A) The register must show details of any waivers.]
- (5) The register shall be available for public inspection at all reasonable times.

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Textual Amendments

- F154** Sch. 1 para. 25(1) substituted (1.4.2010) by [The Housing and Regeneration Act 2008 \(Consequential Provisions\) Order 2010](#) (S.I. 2010/866), art. 1(2), **Sch. 2 para. 106(8)** (with art. 6, Sch. 3)
- F155** Words in Sch. 1 para. 25(1)(a) omitted (15.8.2018) by virtue of [Regulation of Registered Social Landlords \(Wales\) Act 2018](#) (anaw 4), s. 19(2), **Sch. 2 para. 14**; S.I. 2018/777, art. 3(g)
- F156** Words in Pt. I substituted (1.11.1998) by 1998 c. 38, s. 140, **Sch. 16 para. 82(1)(2)** (with ss. 139(2), 141(1), 143(2)); S.I. 1998/2244, **art.5**.
- F157** Sch. 1 para. 25(4A) inserted (18.10.2011) by [Housing \(Wales\) Measure 2011](#) (nawm 5), **ss. 81(1), 90(2)**; S.I. 2011/2475, arts. 1(2), 2(r)

Persons acting as officer while disqualified.

- 26 (1) A person who acts as an officer of a registered social landlord while he is disqualified under paragraph 25(1) commits an offence.

A person guilty of such an offence is liable—

- (a) on summary conviction, to imprisonment for a term not exceeding [^{F158}the general limit in a magistrates' court] or to a fine not exceeding the statutory maximum, or both;
- (b) on conviction on indictment, to imprisonment for a term not exceeding two years or to a fine, or both.

[^{F159}(1A) In relation to an offence committed before [^{F160}2 May 2022] the reference in sub-paragraph (1)(a) to [^{F161}the general limit in a magistrates' court] has effect as if it were a reference to 6 months.]

(2) Proceedings for an offence under sub-paragraph (1) may be brought only by or with the consent of the [^{F162}Relevant Authority] or the Director of Public Prosecutions.

(3) Acts done as an officer of a registered social landlord by a person who is disqualified under paragraph 25(1) are not invalid by reason only of that disqualification.

(4) Where the [^{F162}Relevant Authority] is satisfied—

- (a) that a person has acted as an officer of a registered social landlord while disqualified under paragraph 25(1), and
- (b) that while so acting he has received from the registered social landlord any payments or benefits in connection with his so acting,

it may by order direct him to repay to the registered social landlord the whole or part of any such sums or, as the case may be, to pay to it the whole or part of the monetary value (as determined by it) of any such benefit.

[^{F163}(5) If a person fails to comply with an order directing repayment, the registered social landlord or the Welsh Ministers (as the case may be) may recover the sum or specified amount as a debt.]

Textual Amendments

- F158** Words in Sch. 1 para. 26(1)(a) substituted (7.2.2023 at 12.00 p.m.) by [The Judicial Review and Courts Act 2022 \(Magistrates' Court Sentencing Powers\) Regulations 2023](#) (S.I. 2023/149), regs. 1(2), 2(1), **Sch. Pt. 1** table

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- F159** Sch. 1 para. 26(1A) inserted (18.10.2011) by Housing (Wales) Measure 2011 (nawm 5), ss. 82(3), 90(2); S.I. 2011/2475, arts. 1(2), 2(r)
- F160** Words in Sch. 1 para. 26(1A) substituted (28.4.2022) by The Criminal Justice Act 2003 (Commencement No. 33) and Sentencing Act 2020 (Commencement No. 2) Regulations 2022 (S.I. 2022/500), regs. 1(2), 5(1), Sch. Pt. 1
- F161** Words in Sch. 1 para. 26(1A) substituted (7.2.2023 at 12.00 p.m.) by The Judicial Review and Courts Act 2022 (Magistrates' Court Sentencing Powers) Regulations 2023 (S.I. 2023/149), regs. 1(2), 2(1), Sch. Pt. 1 table
- F162** Words in Pt. I substituted (1.11.1998) by 1998 c. 38, s. 140, Sch. 16 para. 82(1)(2) (with ss. 139(2), 141(1), 143(2)); S.I. 1998/2244, art.5.
- F163** Sch. 1 para. 26(5) added (18.10.2011) by Housing (Wales) Measure 2011 (nawm 5), ss. 82(4), 90(2); S.I. 2011/2475, arts. 1(2), 2(r)

Power to direct transfer of land

- 27 (1) Where as a result of an inquiry under paragraph 20 or an audit under paragraph 22 the [^{F164}Relevant Authority] is satisfied as regards a registered social landlord—
- [^{F165}(a) that it has failed to comply with a requirement imposed by or under an enactment, and]
- (b) that the management of its land would be improved if its land were transferred in accordance with the provisions of this paragraph,
- ^{F166}^{F167}the [^{F164}Relevant Authority] may, . . . direct the registered social landlord to make such a transfer . . .
- (2) Where the registered social landlord concerned is a charity, the [^{F164}Relevant Authority] may only direct a transfer to be made to another registered social landlord—
- (a) which is also a charity, and
- (b) the objects of which appear to the [^{F164}Relevant Authority] to be, as nearly as practicable, akin to those of the registered social landlord concerned.
- (3) In any other case the [^{F164}Relevant Authority] may direct a transfer to be made to the [^{F164}Relevant Authority] or to another registered social landlord.
- (4) The transfer shall be on such terms as the [^{F164}Relevant Authority] may direct on the basis of principles determined by it.
- ^{F168} . . .
- (5) The price shall not be less than the amount certified by the district valuer to be the amount the property would command if sold by a willing seller to another registered social landlord.
- (6) The terms shall include provision as to the payment of debts and liabilities (including debts and liabilities secured on the land).

Textual Amendments

- F164** Words in Pt. I substituted (1.11.1998) by 1998 c. 38, s. 140, Sch. 16 para. 82(1)(2) (with ss. 139(2), 141(1), 143(2)); S.I. 1998/2244, art.5.
- F165** Sch. 1 para. 27(1)(a) substituted (15.8.2018) by Regulation of Registered Social Landlords (Wales) Act 2018 (anaw 4), ss. 10(7), 19(2); S.I. 2018/777, art. 3(c)

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F166 Words in Sch. 1 para. 27(1) repealed (1.11.1998) by 1998 c. 38, ss. 140, 152, Sch. 16 para. 96(6)(a), **Sch. 18 Pt.VI** (with ss. 137(1), 139(2), 141(1), 143(2)); S.I. 1998/2244, **art.5**.

F167 Words in Sch. 1 para. 27(1) repealed (1.4.2010) by The Housing and Regeneration Act 2008 (Consequential Provisions) Order 2010 (S.I. 2010/866), art. 1(2), Sch. 2 para. 106(9)(a), **Sch. 4** (with art. 6, Sch. 3)

F168 Words in Sch. 1 para. 27(4) repealed (1.4.2010) by The Housing and Regeneration Act 2008 (Consequential Provisions) Order 2010 (S.I. 2010/866), art. 1(2), Sch. 2 para. 106(9)(b), **Sch. 4** (with art. 6, Sch. 3)

Modifications etc. (not altering text)

C3 Sch. 1 para. 27(4) modified (1.12.2008) by The Transfer of Housing Corporation Functions (Modifications and Transitional Provisions) Order 2008 (S.I. 2008/2839), arts. 1(1), 3, **Sch. para. 5** (with art. 6)

Commencement Information

I4 Sch. 1 para. 27 wholly in force at 1.10.1996; Sch. 1 para. 27 not in force at Royal Assent see s. 232(3); Sch. 1 para. 27(4) in force for certain purposes at 1.8.1996 by S.I. 1996/2048, **art. 3**; Sch. 1 para. 27 in force at 1.10.1996 to the extent that it is not already in force, by S.I. 1996/2402, **art. 3** (subject to the transitional provisions and savings in the Sch. of that S.I.)

Availability of powers in relation to registered charities.

28 (1) The [^{F169}Relevant Authority] may exercise its powers under paragraphs 20 to 26 in relation to a registered charity only if the charity has [^{F170} received public assistance]^{F171} ...

^{F172}(2)

(3) In relation to a registered charity paragraphs 20 to 26 have effect with the following adaptations—

- (a) references to its affairs are confined to its housing activities and such other activities (if any) as are incidental to or connected with its housing activities;
- (b) references to its accounts do not include revenue accounts which do not relate to its housing activities, except so far as such accounts are necessary for the auditing of revenue accounts which do so relate or of the balance sheet;
- (c) a person is a qualified auditor for the purpose of paragraph 22 (extraordinary audit) only if he is an auditor qualified for the purposes of paragraph 18 (accounting and audit requirements for charities).

(4) The [^{F169}Relevant Authority] shall notify the [^{F173}Charity Commission] upon the exercise in relation to a registered charity of its powers under—

- (a) paragraph 20(1) (inquiry into affairs of registered social landlord),
- (b) paragraph 23(2)(a) (interim suspension of person ^{F174} ...), or
- (c) paragraph 24(2)(a) or (b) (removal of person ^{F175} ... or suspension with a view to removal).

Textual Amendments

F169 Words in Pt. I substituted (1.11.1998) by 1998 c. 38, s. 140, **Sch. 16 para. 82(1)(2)** (with ss. 139(2), 141(1), 143(2)); S.I. 1998/2244, **art.5**.

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- F170** Words in Sch. 1 para. 28(1) inserted (18.10.2011) by Housing (Wales) Measure 2011 (nawm 5), s. 90(2), **Sch. para. 20(a)(i)**; S.I. 2011/2475, arts. 1(2), 2(v)
- F171** Words in Sch. 1 para. 28(1) omitted (18.10.2011) by virtue of Housing (Wales) Measure 2011 (nawm 5), s. 90(2), **Sch. para. 20(a)(ii)**; S.I. 2011/2475, arts. 1(2), 2(v)
- F172** Sch. 1 para. 28(2) omitted (18.10.2011) by virtue of Housing (Wales) Measure 2011 (nawm 5), s. 90(2), **Sch. para. 20(b)**; S.I. 2011/2475, arts. 1(2), 2(v)
- F173** Words in Sch. 1 para. 28(4) substituted (27.2.2007) by Charities Act 2006 (c. 50), s. 79(2), **Sch. 8 para. 192(5)**; S.I. 2007/309, art. 2, Sch.
- F174** Words in Sch. 1 para. 28(4)(b) omitted (15.8.2018) by virtue of Regulation of Registered Social Landlords (Wales) Act 2018 (anaw 4), s. 19(2), **Sch. 2 para. 15(a)**; S.I. 2018/777, art. 3(g)
- F175** Words in Sch. 1 para. 28(4)(c) omitted (15.8.2018) by virtue of Regulation of Registered Social Landlords (Wales) Act 2018 (anaw 4), s. 19(2), **Sch. 2 para. 15(b)**; S.I. 2018/777, art. 3(g)

29 The [^{F176}Relevant Authority] may not exercise its powers under paragraph 27 in relation to a registered charity.

Textual Amendments

- F176** Words in Pt. I substituted (1.11.1998) by 1998 c. 38, s. 140, **Sch. 16 para. 82(1)(2)** (with ss. 139(2), 141(1), 143(2)); S.I. 1998/2244, **art.5**.

Changes to legislation:

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Changes and effects yet to be applied to :

- Sch. 1 para. 25(4) word substituted by [2011 nawm 5 Sch. para. 19](#)
- Sch. 1 para. 15(1)(b) words inserted by [2004 c. 34 Sch. 11 para. 15\(2\)](#)
- Sch. 1 para. 15(4) words inserted by [2004 c. 34 Sch. 11 para. 15\(3\)](#)
- Sch. 1 para. 23(6) words repealed by [2003 c. 44 Sch. 37 Pt. 9](#)
- Sch. 1 para. 24(6) words repealed by [2003 c. 44 Sch. 37 Pt. 9](#)
- Sch. 1 para. 18(8) words substituted by [2011 nawm 5 Sch. para. 17](#)
- Sch. 1 para. 22(4) words substituted by [2011 nawm 5 s. 49](#)
- Sch. 1 para. 4(2)(c) words substituted by [2007 c. 15 Sch. 16 para. 10](#)
- specified provision(s) savings for amendments by [2018 anaw 1, s. 6, Sch. 6](#) by [S.I. 2019/110 reg. 5](#)

Changes and effects yet to be applied to the whole Act associated Parts and Chapters:

- Act savings and transitional provisions for amendments by [S.I. 2022/1166](#) by [S.I. 2022/1172 Regulations](#)

Whole provisions yet to be inserted into this Act (including any effects on those provisions):

- s. 124(1A) inserted by [2016 c. 22 Sch. 7 para. 20\(2\)](#)
- s. 124(6) inserted by [2016 c. 22 Sch. 7 para. 20\(6\)](#)
- s. 124A124B inserted by [2016 c. 22 Sch. 7 para. 21](#)
- s. 125A(3A)(3B) inserted by [2016 c. 22 Sch. 7 para. 22\(3\)](#)
- s. 130A inserted by [2016 c. 22 Sch. 8 para. 7](#)
- s. 133(1A) inserted by [2016 c. 22 Sch. 8 para. 9\(2\)](#)
- s. 143J(3A) inserted by [2016 c. 22 Sch. 8 para. 13\(2\)](#)
- s. 143J(7)(a) words omitted by [S.I. 2022/1166 reg. 25\(11\)\(b\)](#) (This amendment comes into force immediately after [2016 c. 22, s. 120](#) and [Sch. 8 para. 13\(3\)](#) come into force)
- s. 143GA143GB inserted by [2016 c. 22 Sch. 8 para. 10](#)
- s. 143MA(3A)-(3D) inserted by [2016 c. 22 Sch. 7 para. 27\(3\)](#)
- s. 143MB inserted by [2016 c. 22 Sch. 7 para. 28](#)