



Excellence in Management & Partnership

# A toolkit for ALMOs and Councils

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The council/ALMO relationship, compliance and good practice checklist



This checklist provides practical questions to support local authorities with ALMOs to prepare for the implementation of the Social Housing White Paper and regulatory changes, as well.

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| 1. Overall council/ALMO relationship                    | 5. Audit                                 |
| 2. The resident voice                                   | 6. ALMO board and governance             |
| 3. Complaints   | 7. Risk management                       |
| 4. Performance monitoring function (clienting officers) | 8. Health and safety and building safety |

Council and ALMO officers having this conversation should understand where any findings or actions need to be reported to and those forums or colleagues made aware that checks are being undertaken. Where a key element of reassurance is missing, they should investigate and/or escalate.

Area	Do you have the necessary assurance?	Evidence/ Answer /plans for achieving assurance
<b>Overall council/ALMO relationship</b>		
Is there a formal structure for council/ALMO relationships in place?		
Are there clearly defined roles and responsibilities, both for organisations and individuals which avoid duplication of work?		
Do arrangements foster a partnership approach?		
Is there an open and honest culture where the ALMO could raise issues with the local authority and be supported to resolve them?		

Area	Do you have the necessary assurance?	Evidence/ Answer /plans for achieving assurance
How are new services or responsibilities integrated into the overall framework?		
Are there clear decision points with clarity over how decisions are recorded, agreed and communicated?		
Is there a process to monitor issues and concerns raised with the ALMO to make sure they are resolved?		

### The resident voice

Can the council assure itself that the voice of residents is shaping services within the ALMO? The <a href="#">Tpas/CWAG toolkit</a> can be of assistance here.		
Does the local authority have assurance that the ALMO is effectively listening to residents (both those already more engaged, and those who have less contact with the ALMO)? Does this include assurance that the ALMO acts on feedback and communicates with residents about how their feedback has been used?		
Does the local authority have assurance that the ALMO is able to meet the regulatory requirements to measure and report on the Tenant Satisfaction Measures?		
Do residents have a clear route into the local authority if they are dissatisfied with the ALMO?		

Area	Do you have the necessary assurance?	Evidence/ Answer /plans for achieving assurance
<b>Complaints</b>		
Does the local authority have assurance that complaints are being effectively managed and that the ALMO/council do not have blind spots?		
Where complaint management sits across the ALMO and the local authority, is there an effective process to make sure complaints don't get lost or delayed?		
<b>Performance monitoring function (clienting officers)</b>		
Is the council performance monitoring function sufficiently resourced with the right skills and seniority to provide the necessary assurance within the council?		
How are clienting KPIs set and monitored?		
How does the council check the quality of data provided by the ALMO and have assurance that data systems are robust?		
What other information does the client team use to triangulate the data and reports that the ALMO provides?		

Area	Do you have the necessary assurance?	Evidence/ Answer /plans for achieving assurance
Does the client team have a formal way of flagging up risk and concerns to senior officers in the council?		
How does the clienting officer/ team interface with the various responsible individuals in the council? (e.g. named person for consumer standards, named person for health and safety and the Accountable Person if applicable)?		
Has the ALMO undertaken a review against the current Consumer Standards, Social Housing White Paper and other relevant legislation?		
How is compliance against these evidenced to the local authority? Does the local authority have sufficient assurance that they could quickly demonstrate compliance with consumer standards and other regulation/ legislation in a regulatory review?		
How are the ALMO's contributions to meeting wider council strategic objectives measured and acknowledged?		
<b>Audit</b>		
Are the ALMO/ local authority audit processes effective and do they provide the necessary assurance to the ALMO board and local authority?		

Area	Do you have the necessary assurance?	Evidence/ Answer /plans for achieving assurance
How is the audit programme shaped by the ALMO's risk profile?		
How does the ALMO audit compliance against the 'big 6' health and safety risks and building safety for higher risk buildings?		
How does the ALMO utilise external specialists and accreditations to demonstrate compliance and performance to the local authority?		
<b>ALMO board and governance</b>		
Does the ALMO board use the NHF Code of Governance or equivalent and report to the local authority on the results of regular reviews against the code?		
How does the local authority have continuing assurance of the good governance of the ALMO board?		
<b>Risk management</b>		
Does the council have assurance that strategic risks are identified and well managed by the ALMO; and that the risk profile of the ALMO and the local authority are aligned?		

Area	Do you have the necessary assurance?	Evidence/ Answer /plans for achieving assurance
How do risks identified by the ALMO feed into local authority business assurance frameworks? How does the ALMO identify and inform the local authority of new and emerging risks?		
Are there effective processes in place within the ALMO to manage contractors, including assuring high quality data and record keeping?		
<b>Health and safety and building safety</b>		
Does the local authority have assurance that all buildings, both higher risk and others, are safe?		
Has the resident voice shaped the approach to building safety and is there a resident engagement strategy for higher risk buildings if applicable?		
Does the local authority have assurance that a resident who has safety concerns can highlight them and get a response quickly?		
For those with higher risk buildings, how does the local authority get assurance that all in-scope buildings are safe and that any duties carried out by the ALMO to support the local authority (as Accountable Person) have been fulfilled properly?		

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