



Licensing of Houses in Multiple Occupation (HMO's) Selective Licensing of other Residential Accommodation

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This guidance document is also available in Welsh. Please contact the tribunal for a Welsh version of this document

Part One - Introduction

What is the purpose of this Guidance?

This guidance explains the procedures that will be followed by a Residential Property Tribunal ("RPT") in respect of applications or appeals under the Housing Act 2004 in connection with licensing of Houses in Multiple Occupation (HMO's) or selective licensing of other residential accommodation. (Unless otherwise distinguished, an application or appeal is referred to below as an 'application').

The person who makes the application is referred to below as 'the applicant' and the person against whom it is made is known as 'the respondent.'

The guidance does not cover the law relating to licensing. An applicant who is in doubt as to whether an RPT can deal with their case should take independent legal advice from a solicitor or housing advisor or contact a Citizen's Advice Bureau.

Language Preference

The LVT welcomes receiving correspondence in Welsh or English. Any correspondence received in Welsh will be answered in Welsh and corresponding in Welsh will not lead to a delay in responding. The Tribunal also welcomes phone calls in Welsh or English.

You may submit forms, documents and make written representations to the LVT in Welsh or English.

What is a Residential Property Tribunal?

Residential Property Tribunals were set up under the provisions of the Rent Act 1977 and the Housing Act 2004 to deal with certain types of disputes relating to residential property. The membership of these tribunals is explained below.

Each tribunal is an independent decision making body which is completely unconnected to the parties. It will look at all of the evidence again and new evidence can be presented before the tribunal. Tribunals are organised by Rent Assessment Panels; part of the Residential Property Tribunal.

Who will deal with the matter once an application has been made to a tribunal?

From the time that the application is received a number of different people will deal with the paperwork involved and the parties. These include the following.

Clerks to the Tribunal

Clerks to the Tribunal are the administrative staff who will deal with the correspondence and other paperwork in the case from start to finish. The clerks are able to speak to parties about the processes and procedures relating to the application. They cannot give general legal advice or advise about the law relating to the matter in question.

The Tribunal Members

The Chair of the Tribunal, who will usually be a lawyer, is responsible for the smooth running of the proceedings and will write up the reasons for the tribunal's decision.

Other members of a tribunal may be lawyers, surveyors, other professional persons or lay persons. Lawyers are appointed by the Lord Chancellor whilst other members are appointed by the Welsh Ministers.

When a tribunal is set up to consider an application there will usually be three, but occasionally two, members including the Chairperson. Sometimes a chairperson sitting alone will exercise the powers of the tribunal. This will usually be when dealing with procedural and related matters although, in limited instances, a chairperson sitting alone can hear and determine the application.

The Residential Property Tribunal President

The Residential Property Tribunal President, assisted by a Vice President, is responsible for the members and, in particular, decides which member(s) should be appointed to hear and decide a particular case. They will not be involved in the decision in a case unless they are a member of the tribunal dealing with the case.

Part Two – Applications to the Tribunal

What types of application can be made to a tribunal?

The following types of application can be made:

HMO licensing

1. An appeal under section 62(7) of the Act against the decision of the Local Housing Authority (LHA) refusing to grant a Temporary Exemption Notice under section 62(6) of the Act.
2. An appeal under paragraph 31(1) of schedule 5 to the Act against a decision by the LHA to grant or to refuse to grant, a licence under Part 2 of the Act. (This includes an appeal against the terms of a licence)
3. An appeal under paragraph 32(1) of schedule 5 to the Act against a decision by the LHA to vary or revoke a licence or to refuse to vary or revoke a licence under Part 2 of the Act.
4. An appeal under section 255(9) of the Act against a decision of the LHA to serve an HMO declaration under section 255(1) of the Act.
5. An appeal under section 256(4) of the Act against a decision of the LHA to refuse to revoke an HMO declaration under section 256(1) of the Act.
6. An application by an occupier or LHA under section 73(5) of the Act for a rent repayment order.

Selective Licensing

7. An appeal under section 86(7) of the Act against a decision of the LHA refusing to grant a Temporary Exemption Notice under section 86(6) of the Act.
8. An appeal under paragraph 31(1) of schedule 5 to the Act against a decision by the LHA to grant or to refuse to grant, a licence under Part 3 of the Act.
9. An appeal under paragraph 32(1) of schedule 5 to the Act against a decision by the LHA to vary or revoke a licence or to refuse to vary or revoke a licence under Part 3 of the Act.
10. An application by an occupier or LHA under section 96(5) of the Act for a rent repayment order.

Who is to be the applicant and who is to be the Respondent?

The following table provides information on who the applicant and respondents are in each type of application listed above along with the applicable fee.

	Applicant	Respondent	Fee
1	The person having control of or managing the HMO who made the notification to the LHA under	The LHA	£155

	section 62(1)		
2	The applicant for the licence or any relevant person	The LHA	£155
3	The licence holder or any relevant person	The LHA	£155
4	Any relevant person	The LHA	None
5	The person who applied for the revocation	The LHA	None
6	An occupier of part of the HMO or the LHA seeking the order	The appropriate person	None
7	The person having control of or managing the HMO who made the notification under section 86(1)	The LHA	£155
8	The applicant for the licence or any relevant person	The LHA	£155
9	The licence holder or any relevant person	The appropriate person	£155
10	The occupier or the LHA seeking the order	The appropriate person	£155

In cases 2 and 8 above 'relevant person' means any person:

- a) who has some estate or interest in the HMO or Part 3 house; **or**
- b) who manages or has control of the HMO or Part 3 house; **or**
- c) on whom any obligation or restriction is imposed by the licence.

However it does not cover the applicant (and if different the licence holder) or a tenant holding under a lease with 3 years or less unexpired.

In cases 6 and 10 above the 'appropriate person' is the person who at the time of payment of housing benefit or periodical payments in respect of occupation of part of an HMO was entitled to receive on his own account periodical payments in respect of occupation of the dwelling. (For example a tenant's landlord).

It is important that the application is made within the prescribed time limit for the particular type of application. In the case of applications 1 to 5 inclusive and 7 to 9 inclusive the time limit is 28 days from the date that the LHA decision that is being appealed was made.

Can an application be made out of time?

In cases where a time limit for appeal is specified an RPT may allow an application to be made to it after the end of the appeal period, if the RPT is satisfied that there is a good reason for the failure to appeal before the end of that period, (and for any delay since then in applying for permission to appeal out of time).

Any such request must be in writing, giving reasons for the delay. It must also include a statement that the applicant believes that the facts stated in it are true and be accompanied by a completed application form. However the power to extend the appeal period does not apply in the case of applications 1, 4, 5 and 7.

Part three – How to apply

How can an application be made to the Residential Property Tribunal?

An application must be made on the appropriate form to the Residential Property Tribunal. Forms can be obtained from the Residential Property Tribunal.

Waiver of fees

A fee will not be payable in any of the above cases where the applicant or his or her partner is in receipt of any of the following benefits or assistance.

- Income Support
- Housing Benefit
- Income-based Job Seeker's Allowance
- Income related Employment and Support Allowance
- Working Tax Credit where:
 - a) *either* that credit includes a disability element *or* severe disability element (or both) or it is combined with child tax credit *and*
 - b) the gross annual income used to calculate the Working Tax Credit is £16,190 or less
- A Guarantee Credit under the State Pensions Credit Act 2002
- An income-related employment and support allowance payable under Part 1 of the Welfare Reform Act 2007.

To claim a waiver of fees an applicant must complete another form available from the Residential Property Tribunal office. The waiver form will not be copied to other parties in the proceedings. Any person in doubt about fees should contact the Residential Property Tribunal.

At what point must a fee be paid?

The fee must be paid with the application. Fees must be paid by a crossed cheque or by postal order drawn in favour of 'Welsh Government' or by Bank Transfer, details of which can be provided upon request.

The tribunal will not accept cash.

Is the tribunal empowered to order reimbursement of a fee that has been paid?

Yes. The tribunal may order any party to an application or appeal to reimburse any other party to the extent of the whole or part of any fee paid by that other party. However, this power is not available if, at the time the tribunal is considering this matter, it is satisfied that the party or his partner is in receipt of assistance under any of the benefits or assistance referred to above.

Part Four – Procedure following application

What will happen after the tribunal has received an application?

The clerk will write to the applicant acknowledging receipt and send a copy of the application to the respondent together with the accompanying documents. The clerk will also send to the respondent a notice specifying the date by which they must send the reply mentioned below.

A respondent who receives the notice must send the tribunal a written reply acknowledging receipt of the copy documents and stating whether or not they intend to oppose the application. They must return the notice by the date specified and must give the names and addresses of any interested persons known to the respondent.

For this purpose, an 'interested person' means any person other than the applicant who would have been entitled under the Housing Act 2004 to make the application or appeal.

Joining an appeal or application

A person may make a request to the tribunal to be joined as an applicant or respondent to the proceedings. Such a request must be made as soon as possible and the tribunal may grant or refuse such a request.

As soon as possible after reaching its decision the tribunal will notify the potential party of the decision and the reasons for it and send a copy of the notification to the existing parties. Any potential party whose request is granted will be treated as an applicant or respondent.

Will information be shared with other parties?

Yes. Copies of correspondence or documentation (including the original application form) will be sent to the other party/parties. Directions usually require applicants and respondents to send copies of documentation to each other. Such information is often referred to as 'bundles'.

Next steps

The clerk will send all parties and interested persons, of whom it has been notified, a copy of the application and directions for a hearing together with a date for the hearing and inspection of the property. Interested persons will be given instructions on how they can apply to be joined as a party. Any such application should then be made within the next 14 days.

What are Directions?

Directions are the orders made by the tribunal which require the parties to take specified steps to ensure that all the necessary information about an application is provided for the tribunal and all parties. They also set out a timetable for further progress of the case.

Where a party fails to comply with certain directions the tribunal may make an order dismissing or allowing the whole or part of the application.

Paper Determinations and Hearings

Unless a party has stated that they require a hearing, a chairperson may decide that the case is suitable for determination on the basis of the written evidence (a “paper determination”) without an oral hearing. He or she may then issue further directions.

If a paper determination is not appropriate, the Chairperson may direct that there should be a Case Management Conference (CMC). If a CMC is not arranged and a party feels that they would benefit from one, they should write to the clerk to request a CMC.

What is a Case Management Conference?

This is a short hearing which all parties and/or their representatives should attend. It is conducted by a tribunal chairperson, who may sit alone, or in some cases with either one or two other members. A Case Management Conference is NOT a hearing of the issues and the tribunal will not make any final decision on the case.

The CMC is a relatively informal hearing to try to identify the issues in the case and to see if any part of the dispute can be resolved by agreement at that stage. If not, the tribunal will decide what further steps need to be taken to enable the application to come to a full hearing.

After the CMC the tribunal will give directions setting out the steps to be taken by the parties to deal with the points mentioned above.

What is a preliminary hearing?

A preliminary hearing is different from a CMC. In some cases there may be doubt about the validity of an application or an issue as to whether the tribunal has jurisdiction to deal with an application.

For example it may be necessary to decide if an application has been received by the tribunal in time. In such cases the tribunal may arrange and notify the parties of a preliminary hearing to consider this matter alone.

If the tribunal decides that the application is valid or that it does have jurisdiction it may go on to consider the main issue on the same date (if this has been pre-arranged with the parties). If not, the case will progress thereafter in the normal way.

Is an expert necessary?

Experts are not always required but are sometimes needed where the dispute involves very technical matters; this is something a party may wish to discuss at a CMC.

If expert evidence is required then the expert will be asked to produce a report which sets out the evidence that they will give at the hearing of the application. If both parties intend to call expert evidence on a particular issue, the experts may be asked to exchange their reports and may also be asked to meet before the hearing to find out if any aspects of the matter can be agreed.

It may be possible to agree jointly to instruct one single independent expert.

Part Five – Inspections and hearings

Will the tribunal visit and inspect the premises?

Yes, the tribunal will usually require an inspection. An inspection will only take place on a date and at an approximate time notified to the parties. With the permission of any owner or occupier the tribunal will normally want to inspect the inside of the property as well as the outside and any common parts. The LHA is entitled to be present with the permission of any owner or occupier.

An inspection will usually be on the day of the hearing. If the tribunal is unable to gain access it may decide to make another appointment and adjourn the matter until then.

The tribunal may also decide that it has sufficient information, including that obtained from an external inspection, to be able to go ahead and make a decision in the absence of an internal inspection.

Can the parties say anything at the inspection?

Both parties can draw attention to any physical aspect of the property or the site that they wish the tribunal to see, but not to make any representations. Representations must be kept for the oral hearing (if any) or have been made in writing.

What is a hearing?

A 'hearing' is where the tribunal convenes at a particular time and place for the purpose of enabling the parties to put their respective cases to the tribunal. A party can speak themselves or somebody else, whether professionally qualified or not, can speak for them. It could be a relative or friend for example. Parties should produce documentation in advance of any hearing.

If a hearing is held will ordinary court procedures be followed?

No. Tribunals such as Residential Property Tribunals are decision making bodies, set up by Parliament, to enable certain types of disagreements to be dealt with speedily in a way that avoids the formality and cost that surrounds ordinary court proceedings.

Hearings are usually held in a convenient local building which may be the tribunal office.

Hearings are open to the public, although usually only the parties, their representatives and their witnesses, the tribunal and the clerk will be present. The proceedings are orderly but informal.

The applicant is asked to put their case. They can be questioned by the other party who can then put their case and be questioned in turn. The purpose of the proceedings is to enable both parties to put their case to the tribunal in their own words or through somebody else acting on their behalf. The Chairperson will seek to ensure that nobody is at disadvantage by not being represented.

The Chairperson will make sure that both parties understand what the other party is saying. The tribunal may ask questions of a party present to make sure that it has all the necessary facts.

What happens if one or both parties do not attend the hearing?

The tribunal can go ahead and make a decision even if one or both parties do not attend if it is satisfied that proper notice of the hearing has been given.

Can a hearing be postponed or adjourned by the tribunal?

Yes. A party has the right to ask the tribunal to postpone or adjourn a hearing and indeed the tribunal might decide to do this of its own accord. However, it will be done only if there is a compelling reason and the tribunal considers that no party is unfairly affected. If you wish to apply for a postponement you should write to the tribunal giving full reasons. You should copy your letter to the other party/parties and they will be invited to comment.

Can an applicant withdraw his or her application?

An applicant may withdraw the whole or part of his or her application at any time before determination of the application. In order to withdraw the applicant must write to the tribunal stating whether the whole or part of the application is withdrawn. A copy of this notice must be sent to all other parties and the tribunal must be notified that this has been done.

In some cases the tribunal may not allow the case to be withdrawn immediately if there are outstanding issues.

Part Six – The decision and after

When will the tribunal make its decision?

The tribunal will make its decision as soon as possible after the conclusion of the proceedings including any hearing.

How will the tribunal give its decision?

In some cases the tribunal will give its decision orally following a hearing. In all cases the clerk will write to the parties and enclose the written decision.

Can the tribunal order one party to pay another party's costs?

Yes, but only in exceptional cases. The Housing Act 2004 gives the tribunal a limited power to order that a party shall pay another party's costs.

This power can only be exercised when a party has failed to comply with an order made by the tribunal, or where an application has been dismissed or a party has acted frivolously, vexatiously, abusively, disruptively or otherwise unreasonably in connection with the proceedings. Such costs are limited to a maximum of £500 per person.

Such an order cannot be made unless the party has been given an opportunity of making representations on the matter to the tribunal. In all other cases each party must bear their own costs.

Can the tribunal's decision be challenged?

The tribunal cannot reconsider its own decision. However, any party can appeal the decision to the Upper Tribunal (Lands Chamber). Any application for permission to appeal must be made to the Residential Property Tribunal within 21 days of the date the decision was sent to the parties, although the tribunal has the power to extend that time in exceptional circumstances even if the 21 days has expired.

The Upper Tribunal (Lands Chamber) will not accept any application for permission to appeal unless permission has first been refused by the Residential Property Tribunal. Following a refusal by the Residential Property Tribunal the parties have 14 days to seek permission to appeal from the Upper Tribunal (Lands Chamber).

Are Residential Property Tribunal decisions publicly available?

All decisions made by Residential Property Tribunals are open to the public. Any request to withhold a decision or personal details contained within that decision must be made in writing to the Residential Property Tribunal. The request should set out the reasons for wanting the decision withheld. All requests will be considered on a case by case basis.

Does the Human Rights Act 1998 apply to tribunal proceedings?

Yes. Parties to an application are entitled to the benefit of the provisions of the Human Rights Act 1998. In effect, this entitles them to have their case determined in accordance with the European Convention on Human Rights.

Article 6 of the Convention provides that parties have the right to a fair hearing within a reasonable time and before an impartial tribunal. This includes their right to put their case and to question the case brought by the other party and to be given reasons for the decision of the tribunal.

Article 8 provides that everyone has the right to respect for their private life, their home and their correspondence and that any internal inspection of the property will only be undertaken with the consent of the owner or occupier.

In making their decisions, tribunals are obliged to have regard to the rights embodied in the Convention and where possible to interpret legislation consistently with those rights.

Assistance to Parties

In this instance the term “participant” means an applicant or a party or witness or other person taking part in proceedings relating to an application or to whom an order of the tribunal is addressed.

To enable participants to effectively participate in the proceedings assistance will be provided (free of charge) if, for example, they are:

- unable to read or speak or understand the English language or the Welsh language;
- unable to read English or Welsh as a consequence of being temporarily or permanently blind or partially sighted;
- able to speak in English or Welsh, but is unable to read or write in English or Welsh;
- without hearing or speech.

The requirement for a tribunal to provide a participant with the services of a person to read, write, or explain the nature and content of documents does not include a requirement for a tribunal to give any legal advice, but includes a requirement to explain the procedural steps in the proceedings.

A participant is entitled to assistance whether or not the participant is represented by someone else.

A participant requiring assistance but not receiving it must, at the earliest opportunity, notify the requirement for assistance to the tribunal.

Residential Property Tribunal

**Oak House,
Cleppa Park,
Celtic Springs,
Newport
NP10 8BD
Tel: 0300 025 2777
E-mail: rpt@gov.wales**

Disclaimer

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