

**Appendices:
Licence to Practice
Programme**



AUDIT COMMITTEE REPORT

Report Title	Overview of the Licence to Practice Programme
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AGENDA STATUS: PUBLIC

Audit Committee Meeting Date:	27th June 2017
Policy Document:	Licence to Practice Programme
Directorate:	Borough Secretary
Accountable Cabinet Member:	Brandon Eldred – Finance

1. Purpose

1.1 This report sets out progress made to date on formulating, commissioning and implementing the Council's Licence to Practice organisational training and development programme.

2. Recommendations

2.1 Consider the actions taken to date and to provide guidance to Officers on any of the areas of the Licence To Practice programme that they would require further information, action or prioritisation on.

3. Issues and Choices

3.1 Report Background

3.1.1 As part of the Governance Action Plan a corporate programme of training and development for officers across FY 2017/18 to ensure that all officers understand their governance responsibilities, and have the necessary skills and abilities to do so, has been developed. This programme is termed Licence to Practice (LTP) and is attached at Appendix 1 to this report.

3.1.2 After the initial phases of this programme no officer will be allowed to perform any key role at the Council without having demonstrated that they understand and can use and comply with the necessary governance policies and procedures. The programme will be a key part of driving and supporting the

training, development and assessment of staff to a much higher standard of practice and develop a much stronger central capacity which in turn will be key to improving the Council's control environment and driving any changes required from the Council.

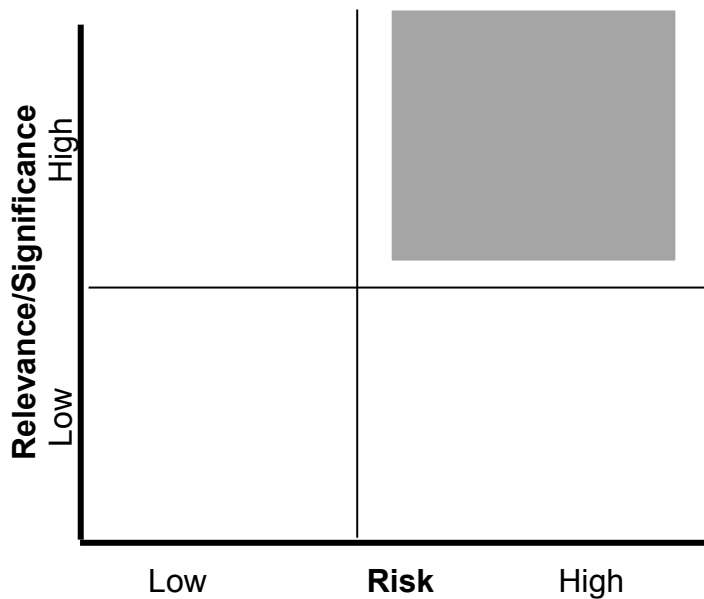
3.1.3 Chief Officers, Directors, Statutory Officers, Divisional Directors, Heads of Service have been designated as the initial cohort of attendees for the Programme but with the rolling out the training to other key officers, such as service-managers and team-leaders, subsequent to this.

3.1.4 The Programme of training has been developed in association with the Council's organisational development specialist.

3.1.5 To date some 23 modules have been identified and prioritised on a broad indicative basis for delivery as outlined below:-

LTP MODULE	Priority
Risk Identification & Risk Management	Very High
Preparing a Business Case	Very High
Due Diligence - Legal Dimension	Very High
Due Diligence – Financial Dimension	Very High
Code of Governance & Whistleblowing	Very High
Major Project & Major Programme Management	High
Competitive Tendering	High
Declaration of Interests	High
Fiduciary Duties	High
Recording Decisions & Records & Delegations	High
General Data Protection Regulations	High
Pre-Cabinet Process, Report-Writing & Exempt Info	Medium
Credit Risk	Medium
Overview of Finance & Budget Management	Medium
Enterprise & Commercialisation	Medium
Corporate Vision, Mission, Planning & Objective Setting	Medium
Equalities, Human Rights & Employee Code of Conduct	Medium
Train the Trainer	Low
People and Performance Management	Low
Members & Officers	Low
Corporate Health & Safety	Low
Insurance	Low
Business Continuity & Emergency Planning	Low

3.2.6 Prioritisation of the course modules has been based on consideration of firstly the risks inherent in the subject matter of the module and secondly the relevance or significance of that area to the organisation, as outlined pictorially below:-



3.2.7 The PWC report on Sixfields has been key in identifying the programme of training and prioritisation. Further to the above model modules which are of higher subject matter inherent risk and also of higher organisational relevance have been prioritised in the Programme as indicated by the shaded area above.

3.2.8 After having sought a number of quotes from the market for delivery of the high-priority modules, it has been decided that the programme of training will in the main be delivered by CIPFA as a single provider over the coming months and who will be commissioned as an organisational partner to work with the Council and to facilitate the majority of the training modules.

3.2.9 In choosing CIPFA as its key training partner for the LTP the Council believes that this course of action optimises its considerations of price, quality and value-for money in commissioning the Programme and also of achieving the purpose and objectives of the LTP.

3.2 Issues & Choices

3.2.1 The committee have the opportunity to comment and ask any questions direct to Council staff on the Licence to Practice and to provide guidance to officers on the areas covered by the modules and their prioritisation.

4. Implications (including financial implications)

4.1 Policy

4.1.1 As outlined above no officer will be allowed to perform any key role at the Council without having demonstrated that they understand and can use and comply with the necessary policies and procedures

4.2 Resources and Risk

- 4.2.1 Should the LTP Programme not be resourced and implemented the Council is exposed to a much higher risk of a weakened control environment and so that a similar event to Six Fields could occur again.
- 4.2.2 Both internal and external resources will be used to support the Programme. Further details of Programme costs will be reported to the Audit Committee when available.

4.3 Legal

- 4.3.1 There are no specific legal implications to this report. However the enhanced training will reduce the risk and improve governance at the Council.

4.4 Equality

- 4.4.1 There are no specific equalities implications to this report.

4.5 Consultees (Internal and External)

- 4.5.1 The Council's Management Board and its Corporate Governance and Support Officer Programme Board have been internally consulted to date and will be in the future as the LTP progresses and it is also expected that all boards and key groups will be similarly consulted.
- 4.5.2 There has been no external consultation to date.

4.6 Other Implications

- 4.6.1 None

5. Background Papers

- 5.1 There are no background papers.

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