

What does a Governance and Compliance Officer need to know?

A three module training programme

£250 +VAT per delegate per day (£700 +VAT if attending all 3 modules)

This programme will equip Governance and Compliance Officers with the knowledge and tools you need to deliver a seamless service and fulfill all aspects of your role in a modern Registered Provider.

Using a very practical approach, and sharing learning experiences with your peers in a supportive environment, the programme will develop your skills to:

- Understand the governance and compliance roles and responsibilities
- Know where your role fits within a modern RP
- Undertake statutory and regulatory core tasks and duties
- Support the continuous improvement of governance
- Understand how to evaluate sector best practice and implement in a way that supports your organisation
- Know where to go and who to ask for advice and guidance

Each one-day module will run from 10.00am - 4.00pm.

The programme

Module 1: The role of the governance and compliance officer in a registered provider; understanding statutory requirements.

Module 2: The regulatory framework & your role; the importance of good governance.

Module 3: Building your toolkit for the job; how to best serve and support the board & manage stakeholder relationships.

On completion of all 3 modules participants will receive a Certificate in Corporate Governance from the Association of Corporate Governance Practitioners; individuals with 3 years' experience will be eligible for Association membership. For more details about the Association visit www.acgpglobal.org

Each of the modules is designed to also stand alone, so that more experienced officers attend only those modules that meet your needs.

Programme facilitator

Stephanie Bamford. Stephanie has an extensive background and experience in all aspects of governance, compliance and continuous improvement.

For further information please contact:

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Module 1

The role of the Governance and Compliance Officer in a registered provider; understanding statutory requirements

10.00am - 4.00pm

Morning session

Introduction: first and foremost - keep it legal! The programme begins with an overview of the regulatory context and statutory framework for the Governance/Compliance Officer role in the context of the regulatory framework and relevant legislation.

The key roles and responsibilities of the Governance/Compliance Officer and essential legislation

By the end of this session you will be able to:

- Understand the legal structures available to RPs
- Define the legal status of RPs (after Weaver v L&QHT), whether they are public bodies or not and why it matters
- Itemise the key responsibilities, relationships and
- core tasks in the role

Afternoon session

The 'nuts and bolts' information for all of your statutory responsibilities. By the end of this session you will be able to describe the requirements of the following:

- Statutory returns
- Statutory registers
- Statutory registrations
- Directors' Duties
- HMRC Requirements
- Health and safety, Corporate manslaughter
- Payments and benefits to members
- Bribery Act
- Money Laundering and Consumer Credit Act
- Equality Act
- External audit requirements
- Land Registry
- Housing Ombudsman Service
- And know where to seek further advice and guidance

Module 2

The regulatory framework & your role; the importance of good governance

10.00am - 4.00pm

Morning session

The regulatory framework & your role. This session will equip you to:

- Understand the regulatory requirements of the Office for Tenants and Social Landlords
- Appreciate how these link with the Homes and Communities Agency and Communities and Local Government
- Understand how to apply for constitutional consents, rule amendments etc.
- Understand the process for obtaining merger, de-merger and disposal consents
- Understand the basics of grant funding

Afternoon session

The processes and documentation which need to be in place to guide and record how your Board goes about achieving excellence in governance. By the end of this session you will be able to:

- Describe best practice drawing on codes of governance used by the sector and supporting guidance
- Appreciate the importance of having a full suite of excellent governance documents
- Describe best practice in:
 - Board member job descriptions, person specifications or core competencies/skill sets
 - Board member recruitment, selection, induction, training and development procedures
 - Board member roles and responsibilities, agreement for services, appointment letter
 - a Board member code of conduct
- Explain the process of Board member and whole Board appraisal and what documents and processes needs to flow from appraisal
- Describe how to deliver Board member renewal, removal, and succession planning

Module 3

Building your toolkit for the job; how to best serve and support the board & manage stakeholder relationships

10.00am - 4.00pm

Morning session

The procedural aspects of your job and how to organise them effectively. This session is information based and will cover the following:

- The important differences between what you need as a stand alone organisation versus what you need in a group
- Governing documents - Memorandum and Articles, Rules, Trust Deed
- Procedure and Service Level Agreements, Other Intra Group Agreements
- Standing Orders
- Delegated Authorities – who can approve what
- Urgency Procedures/ Chair's Actions
- Terms of Reference for Boards, Committees and Senior Management Teams
- What Boards/Committees/Executive Management Teams can and cannot do
- The power of/roles of residents in co-regulation and scrutiny
- Corporate and Company Secretarial calendars
- Managing information flows
- Board and committee agendas, documents, minutes
- Performance Management – who needs to see what, when, how often
- Internal controls
- Document management – what to keep, for how long, paper or electronic

Afternoon session

Your role in the day to day running of the Board and its Committees. This session explores the administrative details of meetings, the importance of maintaining records and registers and the sensitivities and risk management issues involved. The afternoon will also explore how to engage and work with staff colleagues and Board/committee members.

By the end of this session you will be able to:

- Summarise key issues of accountability and transparency
- Identify risks and consider strategies for managing them
- Appreciate your role in providing advice & making arrangements for Board
- Identify issues with agendas and documents, techniques for minute taking
- Identify issues of conflict of interest and how they might be managed
- Record declarations of interest, payments and benefits, gifts and hospitality, fraud, disposals, etc.
- Describe the importance of signing and sealing documents, and keeping the signing register up to date
- Explain the relevance of Insurance for Board members
- Improve your management of working relationships with Chairs, Chief Executive, Board members, Boards,
- Committees, co-regulatory/scrutiny groups, staff, regulators, external stakeholders and partners including auditors