Compliance Monitoring Policy

PRN-29: Compliance Monitoring Policy
Company Name: AI Auto-Tech Ltd
Trading/Business Name: CAREHOPES
Company Registration Number: 15556946
SIC Code: 88100 – Social Work Activities Without Accommodation for the Elderly and Disabled
Email: admin@carehopes.com
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1. Policy Introduction

CAREHOPES, the trading name of AI Auto-Tech Ltd, is committed to maintaining the highest standards of regulatory compliance, safeguarding integrity, operational excellence, and ethical conduct. Compliance monitoring ensures that all staff, systems, processes, and activities meet legal, regulatory, contractual, and internal policy requirements.

This policy outlines how compliance is monitored, measured, reported, and improved across the organisation.

2. Key Principles

- **Accountability:** Compliance is a shared responsibility across all roles.
- **Transparency:** Monitoring processes must be clear, fair, and consistent.
- **Proactivity:** Issues are identified early and addressed promptly.
- **Integrity:** Compliance protects service users, staff, and organisational reputation.
- **Continuous Improvement:** Monitoring informs ongoing development and refinement.
- **Safeguarding:** Compliance ensures safe, lawful, and ethical practice.

3. Policy Statement

CAREHOPES ensures that:

- All staff follow organisational policies and procedures
- Compliance is monitored through structured systems
- Safeguarding requirements are consistently upheld

- Data protection and confidentiality standards are maintained
- Operational activities meet regulatory expectations
- Non-compliance is addressed promptly and proportionately
- Continuous improvement is embedded in all services

4. Purpose

- Ensure adherence to legal and regulatory requirements
- Protect vulnerable adults and children
- Maintain organisational integrity and accountability
- Identify risks and areas for improvement
- Support staff through clear expectations and guidance
- Strengthen governance and quality assurance

5. Scope

This policy applies to:

- All employees
- Volunteers
- Contractors
- Agency workers
- Zero-contract workers (**PRN-149**)
- Trustees and governance personnel

It covers compliance monitoring in:

- Safeguarding
- Data protection
- Operational delivery
- HR and workforce management
- Health and safety
- Governance
- Quality assurance
- Digital systems

- Multi-agency collaboration

6. Related Policies

PRN-104 Policy Review PRN-109 Companionship Standards Policy PRN-112 Data Protection and GDPR Policy PRN-131 Prevent Duty Awareness Policy PRN-129 Modern Slavery and Human Trafficking Policy PRN-143 Wellbeing Monitoring Policy PRN-147 Proxy Working Principle PRN-145 Working in Pairs and Multi-Staff Working Policy PRN-146 Working with Other Social Workers and Carers Policy PRN-150 Working with Vulnerable Children Policy

7. Compliance Monitoring Framework

CAREHOPES uses a structured framework to monitor compliance across all operational and governance areas.

7.1 Policy Compliance

Monitoring includes:

- Staff adherence to policies
- Policy implementation checks
- Policy review cycles (PRN-104)
- Spot checks and audits

7.2 Safeguarding Compliance

Monitoring includes:

- Allocation rules
- Reporting procedures
- DSL oversight
- Multi-staff working compliance
- Proxy working prevention
- Documentation accuracy

7.3 Operational Compliance

Monitoring includes:

- Companionship delivery standards
- Risk assessments
- Session documentation

- Multi-agency collaboration
- Avoiding duplication of services
- Boundary adherence

7.4 Workforce Compliance

Monitoring includes:

- DBS checks
- Right-to-work verification
- Training completion
- Performance reviews
- Attendance and punctuality
- Zero-contract obligations

7.5 Digital Compliance

Monitoring includes:

- Cyber security controls (PRN-111)
- GDPR compliance (PRN-112)
- Confidentiality standards
- Secure data handling
- Device usage (PRN-148)

7.6 Health and Safety Compliance

Monitoring includes:

- Fire safety
- First aid readiness
- Manual handling awareness
- Personal security
- Lone working procedures

8. Compliance Monitoring Methods

8.1 Audits

- Scheduled audits

- Unannounced audits
- Thematic audits (e.g., safeguarding, documentation)

8.2 Spot Checks

- Random checks on sessions
- Documentation reviews
- Behavioural observations

8.3 Digital Monitoring

- System access logs
- Data protection compliance checks
- Device usage monitoring

8.4 Reporting Systems

- Incident reports
- Safeguarding reports
- Whistleblowing reports
- Complaints and feedback

8.5 Staff Feedback

- Surveys
- Reflective practice sessions
- Team meetings

9. Roles and Responsibilities

9.1 Trustees

- Oversee compliance governance
- Ensure regulatory alignment
- Review audit outcomes

9.2 Senior Management

- Lead compliance strategy
- Approve corrective actions
- Ensure policy implementation

9.3 DSL (Designated Safeguarding Lead)

- Monitor safeguarding compliance
- Review reports and escalations
- Provide training and guidance

9.4 Managers and Supervisors

- Conduct audits and spot checks
- Support staff compliance
- Address non-compliance promptly

9.5 Staff

- Follow all policies and procedures
- Report concerns immediately
- Maintain professional boundaries
- Complete required training

10. Non-Compliance

Non-compliance may include:

- Policy breaches
- Safeguarding failures
- Proxy working
- Unauthorised shift swapping
- Data protection violations
- Poor documentation
- Failure to follow instructions
- Misrepresentation

Consequences may include:

- Retraining
- Formal warnings
- Suspension
- Termination

- Referral to safeguarding authorities
- Legal action

11. Continuous Improvement

Compliance monitoring informs:

- Policy updates
- Training enhancements
- Operational improvements
- Risk mitigation strategies
- Governance decisions

12. Documentation & Record Keeping

Records must include:

- Audit reports
- Compliance logs
- Incident reports
- Safeguarding escalations
- Corrective actions
- Training records

All records must be factual, objective, and securely stored.

13. Policy Review

This policy will be reviewed annually or sooner if required due to:

- Legislative changes
- Regulatory updates
- Safeguarding developments
- Organisational changes