GOVERNANCE, BOARD AND TRUSTEE RESPONSIBILITIES POLICY

PRN-73: Governance, Board and Trustee Responsibilities 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. Purpose

The purpose of this policy is to establish clear governance arrangements and define the roles, responsibilities, and accountability of the Board, Trustees, Directors, and senior leaders within the organisation.

The organisation recognises that effective governance is essential to:

- Deliver safe and effective services.
- Achieve organisational objectives.
- Protect service users, employees, and volunteers.
- Ensure accountability and transparency.
- Promote good decision-making.
- Manage risks effectively.
- Maintain public confidence.

This policy supports good governance practices and provides a framework for strategic leadership and oversight.

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2. Scope

This policy applies to:

- Trustees
- Board Members
- Directors

- Senior Managers
- Committee Members
- Employees involved in governance activities

The policy applies to all governance activities undertaken on behalf of the organisation.

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3. Policy Statement

The organisation is committed to maintaining high standards of governance, integrity, accountability, and leadership.

Governance arrangements will:

- Support the organisation's vision and purpose.
- Ensure compliance with legal and regulatory requirements.
- Promote effective oversight.
- Encourage informed decision-making.
- Protect organisational resources.
- Support continuous improvement.

The Board and Trustees are collectively responsible for ensuring that the organisation is well managed and operates in the best interests of its beneficiaries.

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4. Governance Principles

The organisation's governance arrangements are based on the following principles:

Accountability

Those responsible for decisions must be accountable for their actions.

Integrity

Decisions must be ethical, honest, and transparent.

Leadership

Leaders should promote the organisation's values and objectives.

Openness

Decisions and actions should be communicated appropriately.

Stewardship

Resources should be managed responsibly.

Inclusivity

Stakeholders should have opportunities to contribute and be heard.

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5. Governance Structure

The organisation will maintain an appropriate governance structure which may include:

- Board of Trustees
- Directors
- Committees or Working Groups
- Senior Managers

The structure should be proportionate to the size and nature of the organisation.

Clear reporting lines should be maintained.

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6. Role of the Board of Trustees

The Board of Trustees is responsible for the overall governance and strategic direction of the organisation.

Key responsibilities include:

- Setting strategic direction.
- Protecting organisational values.
- Ensuring legal compliance.
- Monitoring performance.
- Managing risk.
- Protecting assets and resources.
- Ensuring effective safeguarding arrangements.
- Monitoring financial sustainability.

Trustees act collectively and share responsibility for Board decisions.

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7. Strategic Leadership Responsibilities

Trustees and Directors should ensure that the organisation:

- Operates in line with its objectives.
- Delivers quality services.
- Remains financially sustainable.
- Maintains appropriate risk management arrangements.
- Meets the needs of service users and stakeholders.

Strategic decisions should be evidence-based and aligned with organisational priorities.

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8. Legal Responsibilities of Trustees

Trustees are responsible for ensuring compliance with:

- Charity law (where applicable).
- Company law (where applicable).
- Data protection legislation.
- Health and safety legislation.
- Equality legislation.
- Safeguarding requirements.
- Employment legislation.

Trustees must act within governing documents and legal powers.

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9. Duty of Care

Trustees must act with reasonable care, skill, and diligence.

This includes:

- Reading relevant documentation.
- Participating in meetings.
- Seeking clarification where necessary.
- Making informed decisions.
- Challenging appropriately.

Trustees should act responsibly and in the best interests of the organisation.

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10. Role of Directors

Directors are responsible for:

- Implementing Board decisions.
- Managing day-to-day operations.
- Leading staff and volunteers.
- Managing organisational performance.
- Supporting regulatory compliance.
- Monitoring service quality.
- Reporting to the Board.

Directors should ensure that governance decisions are translated into effective operational practice.

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11. Role of Managers

Managers contribute to governance by:

- Implementing policies and procedures.
- Monitoring performance.
- Managing risks.
- Supporting employees and volunteers.
- Reporting concerns.
- Contributing to organisational improvement.

Managers should provide accurate information to support governance processes.

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12. Safeguarding Governance

The Board has responsibility for ensuring effective safeguarding arrangements.

This includes:

- Receiving safeguarding reports.
- Monitoring safeguarding activity.

- Reviewing serious safeguarding incidents.
- Ensuring safeguarding policies remain effective.
- Promoting a culture of safeguarding.

Safeguarding must remain a standing governance priority.

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13. Financial Governance

The Board is responsible for ensuring appropriate financial oversight.

Responsibilities include:

- Approving budgets.
- Monitoring expenditure.
- Reviewing financial performance.
- Managing financial risks.
- Ensuring appropriate financial controls.
- Monitoring reserves where appropriate.

Financial decisions should support long-term sustainability.

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14. Risk Management Governance

Trustees and Directors must ensure that risks are identified, monitored, and managed.

Governance oversight should include:

- Strategic risks.
- Operational risks.
- Safeguarding risks.
- Financial risks.
- Reputational risks.
- Information governance risks.

Risk registers should be reviewed regularly.

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15. Quality Assurance Governance

The Board should receive information relating to:

- Service quality.
- Complaints.
- Safeguarding.
- Incident reporting.
- Service user feedback.
- Audit outcomes.
- Performance indicators.

This information supports informed oversight and improvement.

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16. Policy Governance

Trustees are responsible for ensuring that organisational policies:

- Remain current.
- Reflect legislation and guidance.
- Support safe practice.
- Promote quality services.

Policies should be reviewed according to established review schedules.

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17. Equality, Diversity and Inclusion Governance

The Board will promote:

- Equality of opportunity.
- Diversity.
- Inclusion.
- Accessibility.

Governance decisions should consider the impact on service users, employees, volunteers, and communities.

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18. Board Meetings

The Board should meet regularly to fulfil its responsibilities.

Meetings should:

- Have clear agendas.
- Be appropriately documented.
- Support effective decision-making.
- Encourage constructive challenge.
- Monitor organisational performance.

Attendance should be recorded.

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19. Board Decision-Making

Board decisions should be:

- Evidence-based.
- Transparent.
- Properly recorded.
- Consistent with organisational values.
- In the best interests of beneficiaries.

Where appropriate, decisions should consider stakeholder feedback and organisational risks.

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20. Conflicts of Interest

Trustees, Directors, and Board Members must:

- Declare actual, potential, or perceived conflicts of interest.
- Act transparently.
- Follow organisational conflict of interest procedures.

Conflicts should be recorded and managed appropriately.

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21. Confidentiality

Trustees and Board Members may have access to confidential information.

They must:

- Maintain confidentiality.
- Protect sensitive information.
- Comply with data protection requirements.
- Use information only for legitimate governance purposes.

Confidentiality obligations continue after leaving office.

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22. Trustee Recruitment and Appointment

The organisation will seek to recruit trustees who bring:

- Relevant skills and experience.
- Commitment to organisational values.
- Integrity and sound judgement.
- Understanding of governance responsibilities.

Trustee recruitment should support diversity and effective governance.

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23. Trustee Induction

New Trustees should receive an induction covering:

- Organisational aims and objectives.
- Governance structure.
- Key policies.
- Financial arrangements.
- Safeguarding responsibilities.
- Legal duties.

Induction should support effective participation from the outset.

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24. Trustee Development

Trustees should be encouraged to undertake ongoing learning and development.

Topics may include:

- Governance.
- Safeguarding.
- Risk management.
- Equality and diversity.
- Finance.
- Regulatory responsibilities.

Continuous development supports effective governance.

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25. Committees and Delegated Authority

The Board may establish committees to support governance responsibilities.

Examples include:

- Finance Committee.
- Quality and Safeguarding Committee.
- Governance Committee.

Delegated authority arrangements should:

- Be clearly defined.
- Be documented.
- Be regularly reviewed.

The Board retains overall accountability.

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26. Stakeholder Engagement

The organisation values engagement with:

- Service users.
- Volunteers.
- Employees.
- Community partners.
- Funders.
- Regulatory bodies.

Stakeholder feedback should inform governance and strategic planning.

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27. Governance Records

Records should be maintained relating to:

- Board meetings.
- Decisions.
- Policies approved.
- Risk registers.
- Financial oversight.
- Governance reviews.

Records must be accurate, secure, and retained appropriately.

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28. Monitoring Governance Effectiveness

The organisation should periodically review:

- Board performance.
- Governance arrangements.
- Trustee skills and diversity.
- Committee effectiveness.
- Strategic objectives.
- Compliance arrangements.

Reviews support continuous governance improvement.

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29. Serious Incident Oversight

The Board should receive appropriate information regarding:

- Serious safeguarding incidents.
- Significant complaints.
- Major financial concerns.
- Data breaches.

- Business continuity events.
- Reputational risks.

The Board should ensure that lessons are learned and improvements implemented.

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30. Governance and Organisational Culture

Trustees and leaders should promote a culture of:

- Openness.
- Accountability.
- Respect.
- Learning.
- Inclusion.
- Ethical practice.

Leadership behaviour should reflect organisational values.

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31. Case Study

Scenario: Review of Safeguarding Governance

The Board receives reports showing an increase in safeguarding referrals over a six-month period.

Action Taken

- Trustees review safeguarding data.
- Additional safeguarding audits are commissioned.
- Staff training records are examined.
- Recommendations are made for further training and monitoring.

Outcome

Safeguarding oversight is strengthened and governance arrangements are improved.

Learning Point

Effective governance involves active monitoring, challenge, and continuous improvement.

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32. Responsibilities

Board of Trustees

Responsible for:

- Strategic leadership.
- Governance oversight.
- Financial stewardship.
- Risk management.
- Legal compliance.
- Safeguarding oversight.

Directors

Responsible for:

- Operational leadership.
- Delivery of Board decisions.
- Performance management.
- Reporting and assurance.

Managers

Responsible for:

- Implementing governance decisions.
- Supporting compliance.
- Providing accurate information.

Trustees

Responsible for:

- Acting in the organisation's best interests.
- Participating in governance activities.
- Maintaining accountability and integrity.

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33. Monitoring and Quality Assurance

The organisation will monitor:

- Board attendance.
- Governance effectiveness.
- Policy review compliance.
- Financial performance.
- Risk management effectiveness.
- Safeguarding oversight.
- Trustee development activity.

Monitoring outcomes will be used to strengthen governance and organisational performance.

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34. Review Arrangements

This policy will be reviewed:

- Annually.
- Following significant governance reviews.
- Following legislative or regulatory changes.
- Following serious incidents.
- Following organisational restructuring.

Related Policies

- Quality Assurance and Continuous Improvement Policy
- Adult Safeguarding Policy
- Financial Safeguarding Policy
- Risk Assessment Policy
- Records Management and Record Keeping Policy
- Business Continuity and Emergency Planning Policy
- Whistleblowing Policy
- Equality, Diversity and Inclusion Policy
- Code of Conduct Policy