Governance and Accountability Policy

PRN-72: **Governance and Accountability 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 governance, accountability, transparency, and ethical leadership. As a provider of companionship services to elderly adults, disabled adults, and vulnerable individuals, strong governance ensures safe, lawful, and high-quality service delivery.

This policy outlines the governance framework, leadership responsibilities, decision-making structures, and accountability mechanisms that guide CAREHOPES's operations.

2. Key Principles

- **Transparency:** Decisions and processes are clear, documented, and accessible.
- **Accountability:** Leaders and staff take responsibility for actions and outcomes.
- **Integrity:** Governance is grounded in ethical behaviour and compliance.
- **Safeguarding:** Governance prioritises the protection of vulnerable individuals.
- **Compliance:** All operations align with legal, regulatory, and sector standards.
- **Inclusivity:** Governance reflects diverse needs, cultures, and perspectives.
- **Continuous improvement:** Governance evolves through feedback, audits, and learning.

3. Policy Statement

CAREHOPES maintains a robust governance structure that ensures:

- Ethical leadership
- Effective oversight
- Clear accountability

- Strong safeguarding culture
- Compliance with statutory requirements
- Transparent decision-making
- High-quality service delivery

Governance applies to all staff, volunteers, contractors, and leaders.

4. Purpose

- Define governance responsibilities and expectations
- Strengthen organisational accountability
- Ensure compliance with safeguarding, legal, and regulatory frameworks
- Promote ethical leadership and decision-making
- Support continuous improvement and quality assurance
- Protect service users, staff, and organisational integrity

5. Scope

This policy applies to:

- Board members
- Directors
- Senior management
- Supervisors
- Employees
- Volunteers
- Contractors
- Agency workers

It covers governance across:

- Safeguarding
- Operational delivery
- Financial management
- HR and workforce management
- Digital governance

- Risk management
- Quality assurance

6. Related Policies (Selected ONLY from relevant categories)

Governance, Compliance & Oversight

- **PRN-005** Board Resolution Policy
- **PRN-045** Governance Board and Trustee Responsibilities Policy
- **PRN-060** Policy Development Review and Document Control Policy
- **PRN-102** Compliance Monitoring
- **PRN-063** Quality Audit and Service Inspection Procedure
- **PRN-104** Policy Review

Safeguarding & Protection

- **PRN-003** Adult Safeguarding Policy
- **PRN-136** Safeguarding Children Policy
- **PRN-144** Child Abuse Policy
- **PRN-131** Prevent Duty Awareness Policy
- **PRN-070** Safeguarding Reporting and Escalation Procedure
- **PRN-056** Mental Capacity Act Policy

Conduct, Ethics & Behaviour

- **PRN-014** Code of Conduct Policy
- **PRN-015** Code of Ethics
- **PRN-099** Professional Boundaries Policy
- **PRN-105** Anti-Bribery Policy
- **PRN-106** Anti-Fraud Policy

Human Resources & People Management

- **PRN-081** Supervision and Appraisal Policy
- **PRN-115** Disciplinary Policy
- **PRN-124** Grievance Policy
- **PRN-032** Employee Wellbeing Policy

Digital, Cyber & Information Governance

- **PRN-112** Data Protection and GDPR Policy
- **PRN-023** Confidential Information Management Policy
- **PRN-024** Confidentiality Policy
- **PRN-049** Information Governance and Cyber Security Policy

Safety, Health & Risk Management

- **PRN-046** Health and Safety Policy
- **PRN-069** Risk Assessment Policy

7. Definitions

Governance: The systems, processes, and structures that ensure the organisation operates ethically, safely, and effectively.

Accountability: Responsibility for decisions, actions, and outcomes.

Board: The governing body responsible for strategic oversight.

Senior Management: Leaders responsible for operational implementation and compliance.

8. Governance Structure

8.1 Board of Directors

Responsible for:

- Strategic leadership
- Legal compliance
- Financial oversight
- Safeguarding governance
- Policy approval
- Risk management

8.2 Senior Management

Responsible for:

- Operational leadership
- Staff supervision
- Policy implementation

- Safeguarding escalation
- Quality assurance
- Performance monitoring

8.3 Supervisors

Responsible for:

- Day-to-day oversight
- Staff support
- Incident management
- Compliance monitoring

8.4 Companions and Staff

Responsible for:

- Following policies
- Reporting concerns
- Upholding safeguarding
- Maintaining professional boundaries
- Ensuring service quality

9. Accountability Framework

9.1 Decision-Making

Decisions must be:

- Documented
- Transparent
- Evidence-based
- Ethical
- Compliant with policy

9.2 Reporting Lines

Clear reporting lines ensure:

- Effective communication
- Safeguarding escalation

- Operational clarity
- Accountability at all levels

9.3 Performance Monitoring

Includes:

- Supervision
- Appraisals
- Audits
- Feedback mechanisms
- Quality reviews

10. Safeguarding Governance

Governance ensures:

- Safeguarding is prioritised
- Concerns are escalated promptly
- Policies are followed consistently
- Staff receive appropriate training
- Risks are monitored and addressed

The DSL reports safeguarding trends to senior management and the board.

11. Risk Management

Governance includes:

- Identifying risks
- Assessing impact
- Implementing controls
- Monitoring effectiveness
- Reviewing risk registers regularly

Risks may relate to:

- Safeguarding
- Operational delivery
- Finance

- Digital systems
- Workforce capacity

12. Quality Assurance

Quality assurance includes:

- Regular audits
- Policy reviews
- Service user feedback
- Staff feedback
- Compliance checks
- Continuous improvement plans

13. Transparency & Ethical Conduct

Governance requires:

- Honest communication
- Ethical decision-making
- Avoidance of conflicts of interest
- Compliance with anti-fraud and anti-bribery policies

14. Documentation & Record Keeping

Governance records must be:

- Accurate
- Secure
- Accessible to authorised personnel
- Retained according to legal requirements

15. Policy Review

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

- Legislative changes
- Safeguarding updates
- Organisational changes
- Audit findings