Age UK York

Trustee Responsibility Policy

1. Introduction and Scope
   a) This Policy sets out the roles and responsibilities, other than the financial responsibilities, of the Trustees (the Trustees) of Age UK York (AUKY);
   b) Policy 79 sets out the financial responsibilities of the Trustees;
   c) All Trustees must sign a Declaration of Interest form at their commencement of the Trusteeship and at each meeting of the Trustee Board. This form is lodged within the administration file. A blank form is included as an appendix to this Policy;
   d) The key roles of the Trustees are set out in Appendix One below;
   e) The Constitution and Memorandum and Articles of Association of AUKY are set out within the policies file and also available elsewhere and explain the duties of Trustees as regards Trustee Board meetings, AGMs and other meetings.

2. Legislation
   a) The Trustees acknowledge and work within all UK legislation including, but not restricted to, legislation relating to finance, employment, health and safety and the terms of the Modern Slavery Act, 2015;
   b) On any occasion where any AUKY Policy conflicts with the requirements of any current UK Statute, the terms of that Statute will be adhered to;
   c) The Trustees have statutory responsibilities under the Charities Acts, including the Charities Act, 2011, and also are required to act and behave under the terms and guidance of the Charities Commission, to whom they are answerable.

3. Recruitment
   a) Potential Trustees are identified by AUKY Trustees themselves and by AUKY workers (staff and volunteers) and may also make an approach themselves to an AUKY worker. In all instances, the Chair will be made aware of the identification;
   b) All such potential Trustees will be sent an e-mail by Rebecca Hall thanking them for their interest with an application form attached. The application form is similar to that for other volunteers.
   c) The Chair of the Trustees will review the application form and seek comments from any workers who have brought this potential recruit to the attention of the Chair.
The Chair will then invite the individual to a meeting and will conduct an informal interview with this recruit, inviting the Chief Officer (CO) to join this interview;

d) This interview will be an opportunity for both the Chair and the potential recruit to find out more about AUKY itself, the reasons for wishing to become a Trustee and to discover what particular skills this recruit could bring to the Board of Trustees;

e) The Charity Commission guidance sets out the grounds on which some potential recruits might be refused;

f) The Board of Trustees is always aware of gaps, for example in the areas of knowledge, expertise, imbalance or lack of match with the local population profile but would not refuse to recruit a potential Trustee purely because of a lack of such knowledge etc, except as regards the Board of Trustees' limit on the numbers on its Board.

4. Induction and Guidance

a) If the Chair believes that the potential recruit should be invited to become a Trustee, a DBS check must be carried out, following which the recruit should be invited to a meeting of the Board of Trustees, as an observer. This will be the occasion for everyone to meet and introduce themselves;

b) Following this, the recruit will be asked if s/he wishes to become a Trustee and will then be invited to the subsequent Trustee Board meetings. The new Trustee may participate in discussion at the Board meetings and following election at the next AGM, may vote at Trustee Board meetings;

c) Formal Trustee Induction courses are held from time to time. The CO will arrange this. Meanwhile, the new Trustee will also attend the next Induction One training course held within AUKY when all new AUKY workers attend and meet each other, finding out more about both AUKY itself and the roles of other workers within AUKY;

d) The new Trustee will sign a Declaration of Interest form (see next paragraph);

e) The new Trustee will be given copies of:
   - The Constitution
   - The Memorandum and Articles of Association
   - The Annual Report and Accounts of the previous year
   - Any recent newsletters etc
   - Minutes and other reports from recent Trustee Board meetings
   - CC60 ‘The Hallmarks of an Effective Charity’
   - CC3 ‘The Essential Trustee – what you need to know’

f) The new Trustee will also be pointed to the following websites for guidance:
   http://www.smallcharities.org.uk/
   http://www.associationofchairs.org.uk/
   https://www.gov.uk/government/organisations/charity-commission/services-information
   http://trusteelearning.org

g) Arrangements will be made to include the new Trustee on e-mail and other communication listings and will have a meeting with the Information and Data Management Officer to assist with understanding and participating in AUKY’s ICT systems;
h) At appropriate times during the Induction and Guidance period, the new Trustee will also:

- Visit and have a general review of AUKY services, probably in the company of the CO, who will introduce the new Trustee to the heads of department and other workers as opportunity offers;
- Visit the AUKY and Age UK National websites;
- Be helped to understand the Age UK structure at national and local level;
- Receive a copy of the lines of authority chart;
- Have a discussion with one or more of the Trustees about the relationship of AUKY with the City of York Council and other organisations, voluntary and statutory, in York. This discussion will seek to fill in any gaps in knowledge since the new Trustee may already have a clear understanding of the situation, depending on their background;
- Consider what training courses and other appropriate meetings might be available to attend;

i) In discussion with the Chair, the new Trustee will identify which particular areas of Trustee role and responsibility could be led on, and could take on this lead role following election.

5. Declaration of Interest

a) All Trustees sign a Declaration of Interest form on appointment (either at election or co-option) and at each meeting of the Board of Trustees. (see Appendix Two);

b) A register of these interests is maintained within the administration system;

c) Trustee can be involved in other organisations but:

- They must always declare such involvement;
- They must in particular declare such involvement or interest where:
  - There is a subject under discussion or a decision is to be made where a Trustee has personal knowledge arising out of their involvement with such other organisations;
  - There is any possibility that such other organisation(s) might benefit financially or in some other way because of that involvement;

d) Trustees must sign a Declaration of Interest form at the start of any Trustee Board meeting (this is an agenda item at the start of any Trustee Board meeting), or must do so as soon as such interest becomes apparent, during the course of that Board meeting;

e) The Chair may use her/his discretion in requesting any Trustee declaring such interest to withdraw from the meeting, without prejudice, for the period of that discussion. The Trustee him or herself may similarly choose to withdraw. If a vote is to be taken in such cases, the Chair may take a view on whether the relevant Trustee should be allowed to vote, or may take a casting vote him or herself. The Chair's decision as to whether the relevant Trustee should be permitted to vote in such instances should not be influenced by the quoracy of the remaining Trustees. A vote may be held over until a subsequent meeting;

f) For transparency, and see Policy 7 on Purchasing and Procurement, a Trustee who might benefit financially or in some other way by a vote, will not be permitted to vote and might be required to withdraw from a meeting altogether while any such matter is discussed.
6. Professional advice

a) The Trustee Board from time to time includes members of various professions or with professional experience;

b) Such Trustees are invited to place their expertise for the benefit of the Board. However, where a decision is made, it is the responsibility of the whole Board and not of any individual Trustee;

c) The Trustee Board may seek professional advice from elsewhere when it chooses to do so.

7. Risk

a) As regards risk assessment, AUKY:
   - Recognises the value and importance of Risk Management which enables the identification, monitoring, evaluation and control of risks that influence its ability to meet its strategic aims and objectives;
   - Is enabled, through risk assessment, to anticipate and respond to changing social, environmental and legislative conditions;
   - Includes a Risk assessment statement in its Annual Report and Accounts;

b) The Trustees and all AUKY workers will be provided with the necessary training and skill sets to undertake risk assessment;

c) Risk Management is:
   - A continuous process involving the Trustees and all workers within a robust risk framework;
   - Integrated into the culture of AUKY;
   - The means whereby injury, loss and damage to AUKY, its workers and service provision to its service users is minimised;
   - Carried out via line management structures and systems that require regular monitoring and reporting, with consequent evaluation of current provision and future planning;

d) Risk identification:
   - Is carried out by an agreed method involving:
     ◦ Formal risk assessment;
     ◦ Audit recommendations;
     ◦ day to day operations;
   - Results in:
     ◦ A tool that prioritises risk controls allowing:
       ▪ Risks to be mapped;
       ▪ Control measures identified;
       ▪ Responsibility allocated appropriately to ensure ownership;
   - Is considered within the cycles of financial planning and resource allocation and features in both budget submissions and budget monitoring arrangements;
   - Is used to inform and/or support any Value for Money decisions made in relation to the delivery of the Value for Money Strategy.
Appendix One

Age UK York Trustee roles and duties

Charity Trustees are the people who serve on the governing body of a charity. They are equally responsible in law for the Board’s actions and decisions and have equal status as Trustees. Age UK York’s Charity Trustees have and must accept ultimate responsibility for the charity’s affairs. They use their personal skills and experience to ensure that Age UK York is solvent, well run, efficient and delivering its charitable outcomes.

The Trustee role can be very rewarding and enjoyable offering an opportunity to serve the community whilst learning new skills. The Trustees' role is to focus on the strategic direction of the Age UK York and to ensure effectiveness and accountability. Day-to-day operational decisions are delegated to the Chief Officer.

Board papers are sent to Trustees at least 5 days before the meeting. These include an agenda, minutes of the previous meeting, reports from the Chief Officer, Deputy Chief Officer and Finance Manager, financial reports and background information to aid decision-making and monitor strategic progress.

Every three years, the committee elects its officers, Chair, Vice Chair and Treasurer. The Chair has a key role which includes agreeing the agenda with staff, conducting meetings and ensuring the committee is working well.

Key Responsibilities of a Trustee

• Active contribution to the Board of Trustees, which:
  • Sets and maintains the vision, mission and values
  • Develops the strategic direction and longer-term strategies
  • Ensures compliance with the Governing Document
  • Ensures accountability, in that Age UK York applies its resources exclusively in furtherance of its objectives
  • Ensures compliance with the law
  • Maintains a proper fiscal oversight
  • Maintains effective Board performance
  • Promotes Age UK York
Ensures risk assessments are carried out
Participates actively and constructively at board meetings
Appoints, supports and monitors performance of the Chief Officer
Acts in the best interests of Age UK York

In addition to the above statutory duties, each Trustee should use any specific skills, knowledge or experience they have to help the Board of Trustees reach sound decisions.

**Person Specification**

- **Integrity**
- A commitment to Age UK York
- An understanding and acceptance of the legal duties, responsibilities and liabilities of trusteeship
- A willingness to devote the necessary time and effort to their duties as a Trustee
- Good independent judgement
- An ability to think creatively
- A willingness to speak their mind
- An ability to work effectively as a member of a team

The Board of Trustees needs overall skills and experience in the following areas:

- Setting targets, monitoring and evaluating performance and programmes in commercial and non-profit making organisations
- Financial management
- The type of work being done
- Legal matters
- Fundraising
- Recruitment and personnel management, including a knowledge of employment legislation
- Public relations
- Marketing
- Income generation

**Specific Duties of the Vice Chair Role**

In addition to the Key Responsibilities and Job Description of Trustees detailed above, the Vice Chair supports and deputises for the Chair when required.

To undertake specific tasks as requested by the Chair.

**Specific Purpose and Duties of the Treasurer Role**
• Oversee, approve and present budgets, accounts and financial statements to the Board of Trustees and at the Annual General meeting.
• Ensure that the financial resources of Age UK York meet its present and future needs.
• Ensure, in conjunction with the Board of Trustees, that Age UK York has an appropriate reserves policy.
• Ensure that the financial accounts are prepared accurately and to the satisfaction of the external auditors and that they are signed off in a timely way by the Board.
• Ensure that the accounts are prepared and disclosed in the form required by funders and the relevant statutory bodies, e.g. The Charity Commission and the Registrar of Companies.
• Ensure that any recommendations from the Auditors are acted upon as appropriate.
• Liaise with the Chief Officer regarding financial matters and to advise the Board on the financial implications of Age UK York’s strategic plans.
• Ensure that the charity has an appropriate investment policy.
• Ensure that there is no conflict between any investment held and the aims and objectives of Age UK York.
• Monitor the investment activity and ensure its consistency with Age UK York’s policies and legal responsibilities.
• Keep the Board informed about its financial duties and responsibilities and keep under review any financial risks to Age UK York and propose to the Board ways in which those risks can be minimised.

In addition to the above statutory duties of all trustees, each trustee should use any specific knowledge or experience they have to help the board of trustees reach sound decisions. This will involve scrutinising board papers, leading discussions, focusing on key issues, and providing advice and guidance requested by the board on new initiatives, or other issues relevant to the area of, the organisation's work in which the trustee has special expertise.

These role outlines are reviewed annually and may develop to meet the changing needs of Age UK York.

**DBS & References**
Appointments are made subject to AUKY receiving two satisfactory references and a satisfactory Disclosure & Barring Service disclosure at enhanced level.

**Out of pocket expenses**
Trustees will be reimbursed for reasonable and receipted out of pocket expenses (mileage, parking, public transport etc.) on a monthly basis, payable by BACS.

**Time Commitment**
- Approximately 6 Board meetings (approx.3 hours duration) per year.
- Approximately 6 Sub Group meetings per year.
- Preparation in advance of meetings.
- Annual General Meeting.
- Strategic planning meetings (ad hoc).
Appendix Two

Declaration of Interest Form

I………………………………………am an elected member of the Age UK York Board of Trustees, have set out below my interests that might conflict with those of the activities of Age UK York, as set out in our governing documents.

<table>
<thead>
<tr>
<th>Category</th>
<th>Please give details of the interest and whether it applies to yourself or, where appropriate a member of your family or some other person with whom you have a close connection</th>
</tr>
</thead>
<tbody>
<tr>
<td>Current employment and any previous employment in which you have a financial interest</td>
<td></td>
</tr>
<tr>
<td>Appointments (voluntary or otherwise) e.g. trusteeships, directorships, professional chairs, local authority membership etc.</td>
<td></td>
</tr>
<tr>
<td>Membership of any professional bodies, special; interest groups, or mutual support organisations. (it is not necessary to declare an interest if your interest in another charity is only as a subscription paying member</td>
<td></td>
</tr>
<tr>
<td>Investments in unlisted companies, partnerships and other forms of business, significant* shareholdings and beneficial interests in listed companies. * significant for this purpose means holding together with your family more than 5% of the issued voting shares of the company.</td>
<td></td>
</tr>
<tr>
<td>Significant gifts or hospitality (of more than £100) offered to you by external bodies and</td>
<td></td>
</tr>
</tbody>
</table>
whether this was declined or accepted in the last 12 months.

Any contractual relationship with an Age Concern or Age UK, or a subsidiary of an Age Concern or Age UK

Any other conflicts of interest not covered by the above.

To the best of my knowledge the above information is correct and complete. I undertake to advise the Chairman of the Age UK York Board of Trustees if any of the above information should change or if I become interested in any way that creates a potential conflict of interest with my position as a Trustee of Age UK York. I agree to review and update this declaration annually. I give my consent for this information to be used for the purposes described in the Age UK York Conflicts of Interest policy and for no other purpose.

Signed ………………………………………………………………………………………………

Name ………………………………………………………………………………………………

Date ………………………………………………………………………………………………

Version One reviewed September 2016
Version Two reviewed October 2018
Version Three reviewed October 2019
Agreed by the Trustee Board October 2019