Choosing with Care

Risk Assessment Survey

for:- Example Organisation

September 2006

This report contains the results of the recent Risk Assessment Survey undertaken for your organisation and it is based on information provided by 11 respondents.

This report has been prepared with every care and in good faith.
No liability can be accepted by the interpreter or by Selby & Mills Limited.

The report should be read in conjunction with
Working with Care: A guide to protecting the vulnerable from abuse

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Contents

Scoring Guide

Less than 35%	There is minimal evidence that the organisation provides a safe place for either service users or staff. Major weaknesses are likely to exist in most if not all areas addressed by the questionnaire. These weaknesses threaten the achievement of the organisation's objectives. Remedial action is required urgently.
35 to 50%	Although a number of elements are in place, the overall approach is ad hoc and lacking in systematic development. Standards are unlikely to be common or consistent across the organisation or department under review and there may be wide variations in the scores for different elements. The results provide the basis for general improvement and further development.
50 to 65%	A generally systematic approach with critical factors addressed and operating arrangements in place. The approach is generally consistent with basic organisational objectives. However, significant gaps and inconsistencies are likely to exist between respondents within individual departments and across the organisation. There is a good basis for development of service standards through the identification and careful consideration of areas of weakness and undertaking remedial action.
65 to 80%	The organisation has a systematic and generally effective approach to the management of abuse. Although inconsistencies are likely to exist between respondents within individual departments and across the organisation, this is likely to be as much the result of uncertainty amongst respondents as negative perceptions. The organisation's approach is integrated with the needs of the organisation and provides a sound basis for continuous improvement. There are also likely to be instances of good practice which could be shared between members of the department and disseminated across the organisation.
Over 80%	The approach is comprehensive, highly developed and well managed. It is effective and meets requirements to a high degree. There appear to be no significant weaknesses and the approach is constantly evolving to meet changing needs. Service standards are perceived to be high and the organisation is likely to enjoy an outstanding reputation in its field.

SUMMARY

		Mean	Percent
Part 1	Awareness, Culture & Values	2.01	66.8%
Part 2	Resources	1.69	56.3%
Part 3	Policies & Procedures	2.07	69.0%
Part 4	Staff Recruitment & Selection	1.74	58.1%
Part 5	Training & Development	1.84	61.4%
Part 6	Management & Supervision	1.87	62.3%
Part 7	Action on Abuse	1.96	65.2%
	OVERALL	**1.88**	**62.8%**
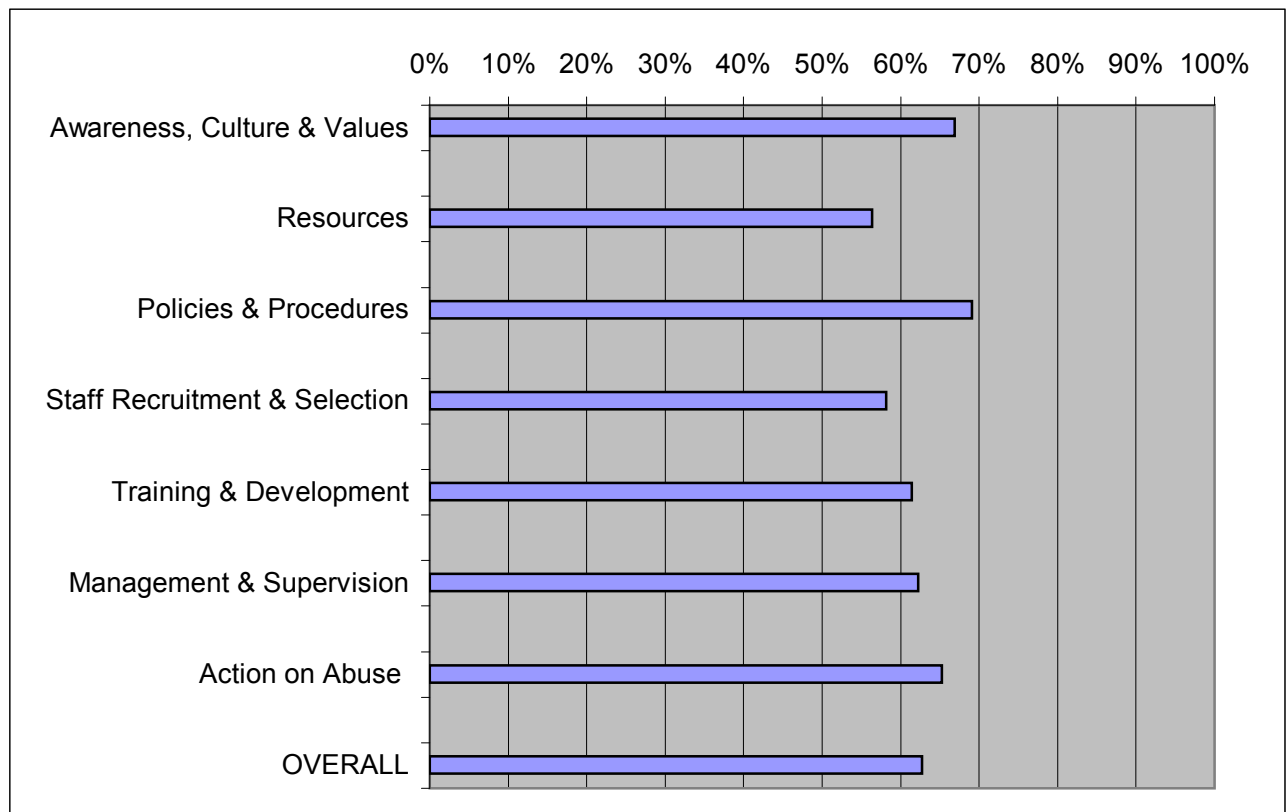
PART 1
AWARENESS, CULTURE & VALUES

		Mean	Min	Max	
1.01	Senior management places strong emphasis on creating a safe place for staff and service users	2.57	2	3	86%
1.02	Marketing and promotional materials (as well as recruitment) always refer to creating a safe place for staff and service users	1.14	0	2	38%
1.03	The potential for abuse is openly acknowledged by employers and carers	2.57	2	3	86%
1.04	The services we provide offer service users an appropriate amount of choice	1.57	0	3	52%
1.05	Staff always display respectful attitudes and behaviour towards service users	1.43	1	2	48%
1.06	The rights of mentally competent service users to not take advice or to refuse consent are respected	2.00	1	3	67%
1.07	Staff have a clear understanding of what constitutes abusive behaviour appropriate to their position	2.00	1	3	67%
1.08	All staff and service users know that violence, threats or abuse to staff are not acceptable	1.43	0	3	48%
1.09	Service users are provided with clear guidance on how they can raise any concerns and complaints confidentially	2.14	2	3	71%
1.10	Our organisation's policy on abuse is based on zero tolerance	2.43	1	3	81%
1.11	All staff are personally and actively accountable for ensuring that they promote and protect the interests of service users in their care	2.43	2	3	81%
1.12	There is a clear understanding that staff must respect the rights of every individual not to be abused	2.71	2	3	90%
1.13	The rights of staff whilst under investigation following allegations of abuse will be respected	2.43	2	3	81%
1.14	The rights of a person alleging abuse would be respected	2.43	2	3	81%
1.15	The dignity and privacy of service users are respected and maintained	2.14	1	3	71%
1.16	All incidents of alleged or suspected abuse would be investigated carefully and thoroughly	2.71	2	3	90%
1.17	Service users with whom I work are encouraged to talk openly to staff other than their direct carer	2.29	1	3	76%
1.18	If any member of staff believed that any abusive behaviour had occurred they would always report the matter	1.43	0	3	48%
1.19	Staff are aware that they must not behave in a way, in work or outside work, which would call into question their suitability to work in this organisation or in social care	1.00	0	2	33%
1.20	Particular members of staff and service users do not have nicknames suggestive of abusive behaviour	1.57	1	3	52%
1.21	Workplace relationships are always declared so that potential conflicts of interest can be addressed	1.43	0	3	48%
1.22	Staff feel free to raise their personal concerns with a colleague	1.86	0	3	62%
1.23	Integrity and respect for people is a fundamental value of the organisation	2.43	1	3	81%
1.24	Staff in positions of authority do not take advantage of other members of staff	1.57	0	3	52%
1.25	The consequences for anyone transgressing the organisation's policy on internet use has been made clear to all employees	2.29	2	3	76%
1.26	Management and supervisory processes are fair and equitable	2.14	0	3	71%

Overall		**Overall**	**2.01**			**67%**

PART 1
AWARENESS, CULTURE & VALUES
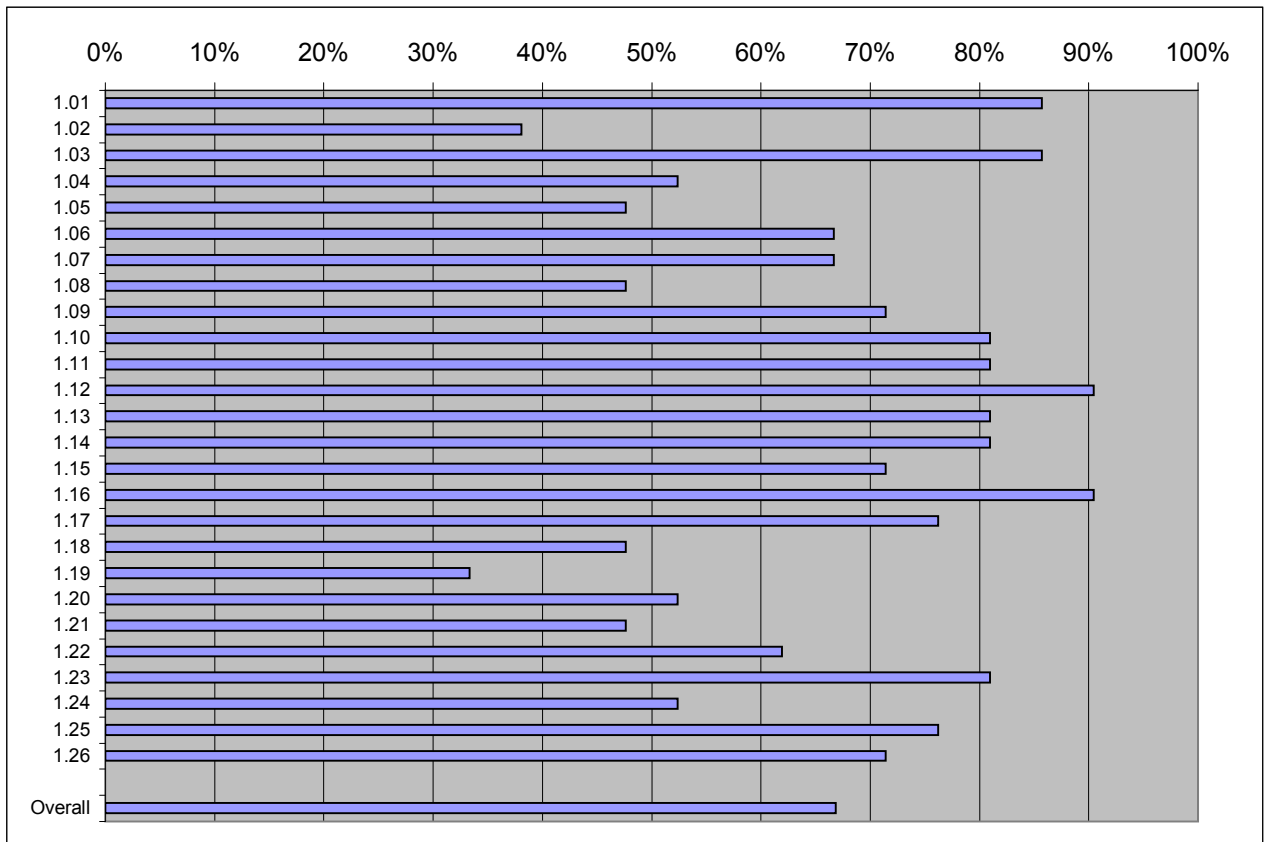
PART 2
RESOURCES

		Mean	Min	Max	
2.01	Responsibility for overseeing policy on abuse, risk assessment, and its implementation is vested in a senior member of management	1.71	1	3	57%
2.02	The working environment is conducive to caring	2.43	2	3	81%
2.03	Morale amongst staff is good	1.86	1	3	62%
2.04	Absence and sickness levels amongst staff are not disruptive to service quality	0.57	0	2	19%
2.05	Staff do not work under undue stress	0.57	0	1	19%
2.06	Staffing levels are sufficient to provide consistently high standards of care	1.43	0	3	48%
2.07	Staff are not required to undertake excessive shift or weekend working	1.57	0	2	52%
2.08	The organisation has access to specialist expertise on the subject of abuse	2.14	0	3	71%
2.09	All staff have access to an independent counselling service	0.14	0	1	5%
2.10	Personnel files of staff provide a proper record of personal data, employment history with the organisation, training and qualifications	1.71	0	3	57%
2.11	Staff records of employment and attendance are retained as necessary	2.00	0	3	67%
2.12	Records of disciplinary offences involving abuse or concerns are retained	2.33	2	3	78%
2.13	Personal records of service users are complete and up to date	1.83	0	3	61%
2.14	Service user information is held securely	2.00	0	3	67%
2.15	Service users have access to an independent counselling service	1.86	0	3	62%
2.16	The balance between part-time and full-time staff does not adversely affect service standards	2.00	1	3	67%
2.17	The organisation is not overly reliant on agency staff to provide continuity of care to service users	1.14	0	2	38%
2.18	The gender mix of the staff does not give rise to problems in caring for service users	1.57	0	2	52%
2.19	Our staff speak sufficient English and other languages to care for our service users	1.71	0	3	57%
2.20	Staff always try to speak in the appropriate language of the service user when in their presence	1.57	0	2	52%
2.21	Staff are aware of and respect the cultural backgrounds of our service users	1.86	0	3	62%
2.22	We have good links with Social Services and other key agencies	2.43	2	3	81%
2.23	The organisation provides a safe place for service users	2.43	2	3	81%

| **Overall** | | **Overall** | **1.69** | | | 56% |

PART 2
RESOURCES
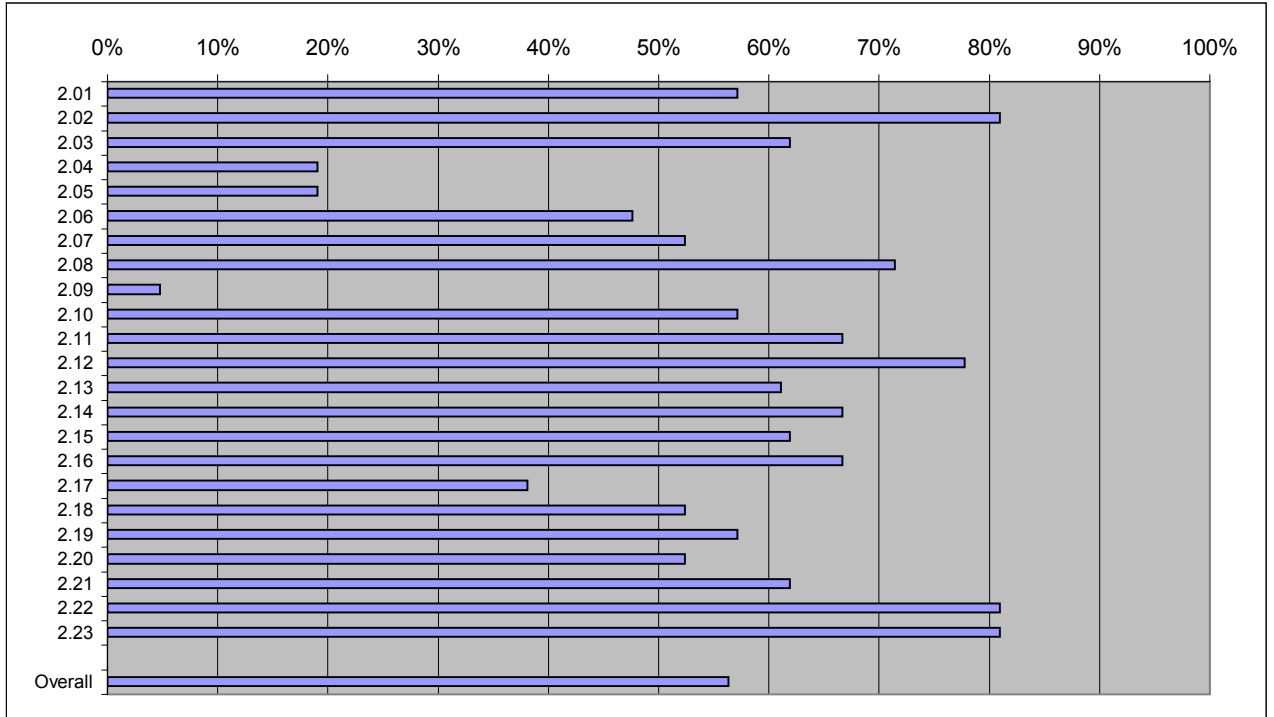
PART 3
POLICIES & PROCEDURES

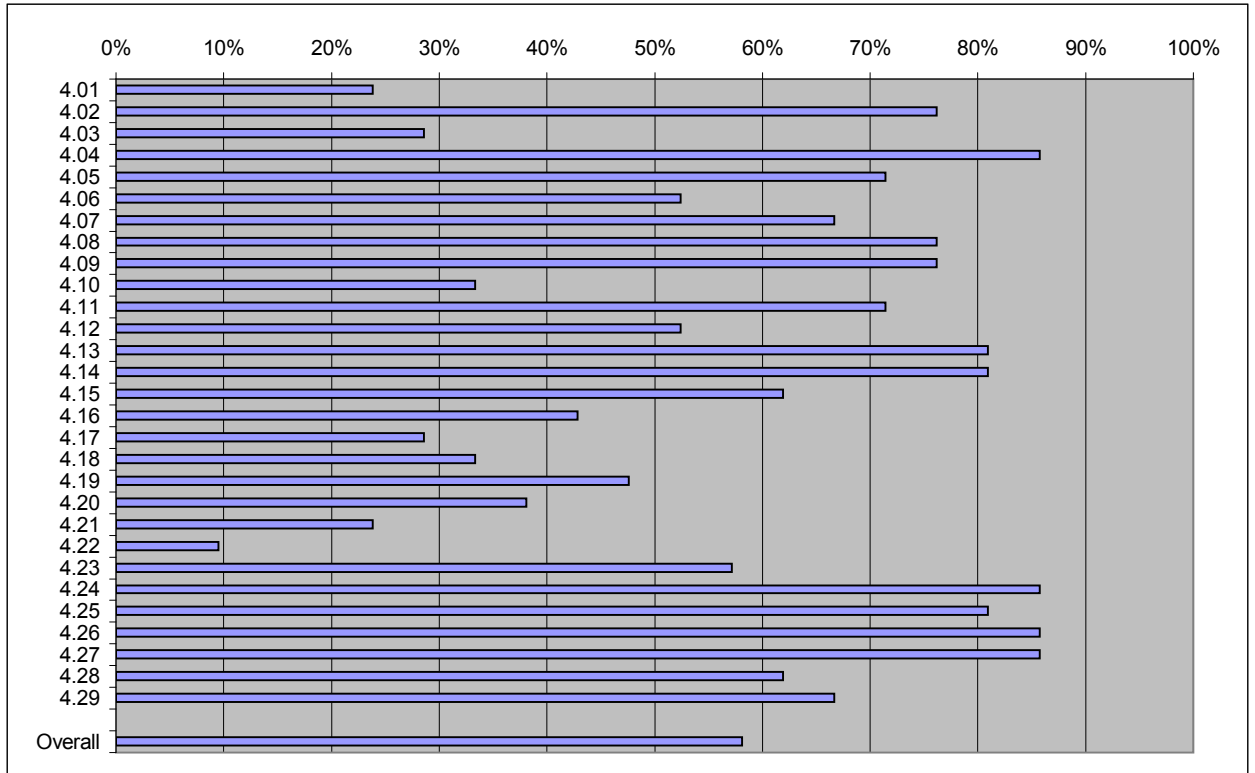|		Mean	Min	Max	
3.01	Guidelines and policies clearly define the carer-service user relationship, both in terms of protecting vulnerable people and managing boundaries	2.29	1	3	76%
3.02	We have procedures for moving and handling service users	2.57	2	3	86%
3.03	Our procedures include arrangements for handling and administering medicines	2.71	2	3	90%
3.04	There are clearly defined policies and procedures for minimising the risk of violence and managing violent incidents	2.14	1	3	71%
3.05	Policies and support arrangements have been defined for carers who work in isolation to maximise the safety of both the service users and the carer	2.14	1	3	71%
3.06	We have a confidentiality agreement in place to protect the interests of the organisation and service users	2.00	0	3	67%
3.07	We have written policies concerning the acceptance of money and gifts from service users or staff	2.71	2	3	90%
3.08	The organisation's policies and procedures relating to abuse are regularly reviewed at team meetings	1.00	0	2	33%
3.09	We have a clear employment policy covering relationships between staff and between staff and service users	2.00	1	3	67%
3.10	Procedures for dealing with suspected abuse are clearly defined	2.29	1	3	76%
3.11	There is a clearly defined policy for dealing with allegations of abuse	2.57	2	3	86%
3.12	Our procedures for dealing with abuse provide protection to staff in instances of false or malicious allegation	1.43	0	2	48%
3.13	There is a clearly defined policy for dealing with the press on the issue of abuse	1.57	0	3	52%
3.14	The action to be taken in the event of an allegation of abuse by a service user is clearly defined	1.86	0	3	62%
3.15	The action to be taken in the event of an allegation of abuse by a staff member is clearly defined	2.29	1	3	76%
3.16	The action to be taken in the event of an allegation of abuse of one staff member by another is clearly defined	2.29	1	3	76%
3.17	Our procedures specify the action to be taken in the event of abuse by service users	1.43	0	3	48%
3.18	We have clearly defined procedures for reporting allegations of abuse to Social Services, the Police and other authorities	2.57	2	3	86%
3.19	In the event of an allegation of abuse, procedures are in place for dealing with third parties and groups	2.29	2	3	76%
3.20	Our policy for dealing with allegations of abuse recognises the range of conflicts that can arise (for example between alleged offenders and victims, their families, and supporters, work team and colleagues, supervisors and managers, other departments, accountants and lawyers, the employment agency and union, courts, and media)	1.43	0	3	48%
3.21	Policies for dealing with harassment in the workplace are effective	1.71	0	3	57%
3.22	Our protection arrangements extend to those other than direct carers who could pose a risk, for example those who have access to confidential data or records	2.29	1	3	76%
Overall	**Overall**	**2.07**			69%

PART 3
POLICIES & PROCEDURES
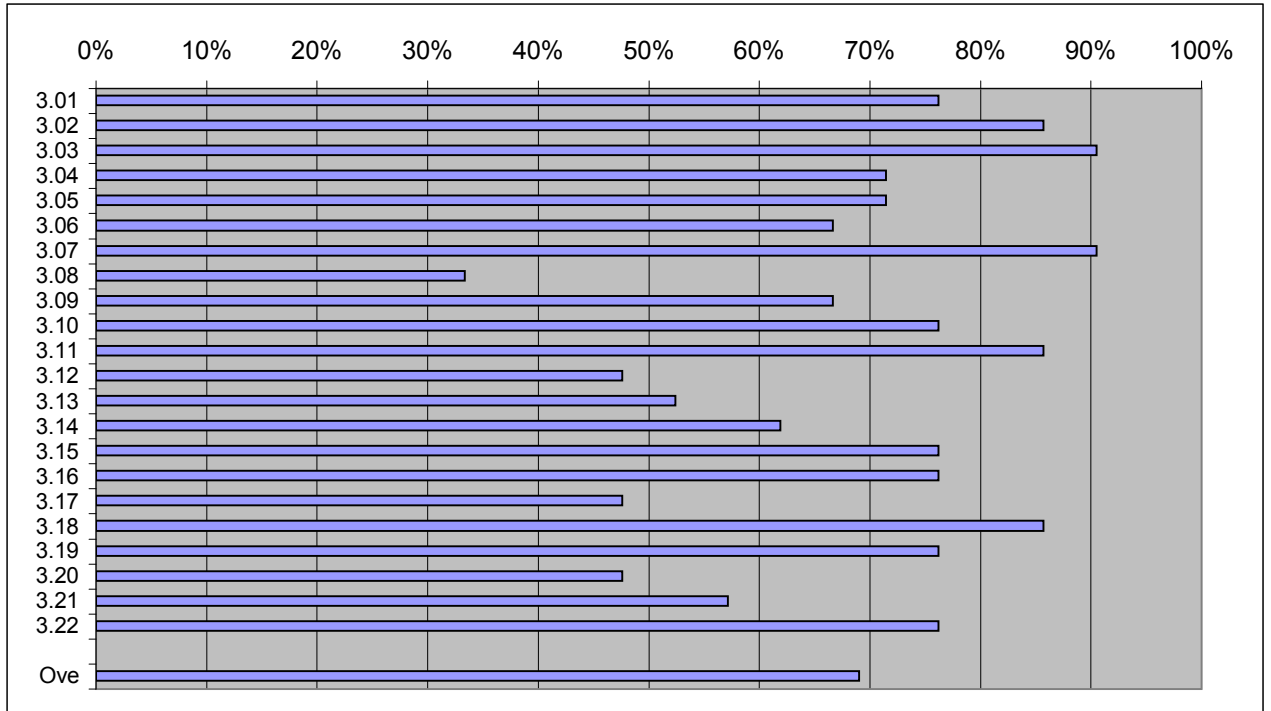
PART 4
RECRUITMENT & SELECTION

		Mean	Min	Max	
4.01	We do not have difficulty in recruiting staff to deliver our services to service users	0.71	0	2	24%
4.02	We have in place appropriate vetting and selection processes to ensure people are recruited to a high standard	2.29	1	3	76%
4.03	Our job advertisements refer to creating a safe place for service users and staff	0.86	0	2	29%
4.04	All applicants receive a copy of the job description and person specification for the post applied for	2.57	2	3	86%
4.05	Applicants are required to provide a full employment history including periods of unemployment, with dates to the nearest month and the names and addresses of past employers	2.14	0	3	71%
4.06	Applicants are told that if short-listed any previous employer or line manager may be approached about their character and performance	1.57	0	3	52%
4.07	Applicants are free to provide the name of a referee in addition to an employer if they wish	2.00	1	3	67%
4.08	Referees are always asked to provide a written reference and provided with a copy of the job description and person specification	2.29	1	3	76%
4.09	Referees are always asked to comment frankly on the applicant's strengths and weaknesses in relation to the job description and person specification	2.29	2	3	76%
4.10	References are always checked to ensure their authenticity	1.00	0	2	33%
4.11	Where necessary any aspect of a reference may be followed up by telephone with a current or past employer	2.14	1	3	71%
4.12	Records are kept of conversations with referees and shared with those responsible for making appointments	1.57	0	3	52%
4.13	No applicant would be appointed without at least two satisfactory references	2.43	2	3	81%
4.14	All short-listed candidates are interviewed by a panel of at least two people	2.43	1	3	81%
4.15	People are only assigned to interview panels if they have had appropriate training	1.86	0	3	62%
4.16	External assessors are appointed to interview panels when it is difficult to appoint a panel without an independent element	1.29	0	2	43%
4.17	Written exercises are used in the selection process to assess the suitability of applicants	0.86	0	2	29%
4.18	All short-listed candidates are required, where appropriate, to visit the premises and meet other staff and service users in advance of the interview	1.00	0	2	33%
4.19	Following visits, information about the interaction between candidates and staff and service users is made available to the selection panel	1.43	0	3	48%
4.20	Appropriate assessment exercises are used as part of the normal selection process for short-listed candidates	1.14	0	2	38%
4.21	Preliminary interviews are used as a standard part of establishing a fuller picture of the character and attitudes of short-listed candidates	0.71	0	3	24%
4.22	Interviewers have been trained to assess whether applicants are likely to be abusive in their behaviour	0.29	0	1	10%
4.23	The birth certificates, passports, educational and professional qualifications of applicants are always checked as part of the appointment process	1.71	0	3	57%
4.24	Statutory checks are undertaken for all applicants offered eligible posts	2.57	2	3	86%
4.25	Appointments are never confirmed until checks with Criminal Record Bureau (CRB) and relevant registers and barring lists have been completed	2.43	2	3	81%
4.26	Every appointment is conditional upon satisfactory completion of a probationary period	2.57	2	3	86%
4.27	Every staff member is given a written contract of employment	2.57	2	3	86%
4.28	The agencies we use carry out full CRB and other statutory checks	1.86	1	3	62%
4.29	Our selection procedures apply to staff provided through the agencies and volunteers	2.00	0	3	67%
Overall		**Overall**	**1.74**			**58%**

PART 4
RECRUITMENT & SELECTION

PART 5
TRAINING & DEVELOPMENT

		Mean	Min	Max	
5.01	There is a formal and published policy setting out the requirement for all staff to receive training and their entitlement to further development	2.43	2	3	81%
5.02	All staff are issued with a copy of the General Social Care Council (GSCC) or other appropriate Code of Practice in an appropriate and understandable format	2.14	1	3	71%
5.03	Specific arrangements exist for the provision of induction, basic training and continuous development	2.57	2	3	86%
5.04	Induction training includes discussion of the organisation's policy of zero tolerance to abuse	2.43	2	3	81%
5.05	Basic training is provided for all staff to ensure proper standards of care are delivered to service users	2.57	2	3	86%
5.06	Staff understand all the different forms of abuse that may take place, including sexual, physical, psychological, verbal, neglect, financial or material	2.14	1	3	71%
5.07	Training is provided to all staff to ensure understanding of how, why and where abuse occurs	2.57	2	3	86%
5.08	All staff receive training in recognising particular risks and situations likely to result in abuse	2.43	1	3	81%
5.09	All staff are trained to understand what is appropriate conduct with service users at all times	2.00	1	3	67%
5.10	Training is provided for all staff in dealing with difficult, manipulative or challenging service users	1.71	0	3	57%
5.11	Staff understand why personal relationships with vulnerable service users are never acceptable and have signed a statement to this effect	1.00	0	3	33%
5.12	Staff can recognise the strategies adopted by abusers including seduction, grooming, bribery, expressions of anger, etc.	1.29	1	2	43%
5.13	The issue of abuse is regularly addressed through refresher training for all staff	1.86	1	3	62%
5.14	Staff know how to act as an advocate of a service user	1.00	0	2	33%
5.15	All members of staff know the action to be taken in the event of an allegation of abuse against them	1.57	0	3	52%
5.16	Staff are told that committing an act of abuse may constitute a criminal offence and can lead to criminal proceedings	2.29	1	3	76%
5.17	Staff are informed of the impact that an allegation of abuse would have upon their careers, future employment, relations with colleagues at work and their families	1.86	0	3	62%
5.18	Training is provided for staff to deal with instances of false allegation and accusation	1.00	0	2	33%
5.19	Staff are aware that any action such as innuendo, touching, hugging, lingering and standing close inappropriately may constitute abuse	1.57	0	3	52%
5.20	Staff are trained to be aware that factors such as 'testing' and 'grooming' can lead to abuse	1.14	0	2	38%
5.21	Training is provided in how to recognise the attitudes and behaviours associated with people who have been convicted of abuse	0.43	0	2	14%
5.22	Training methods are appropriate to the attitudes, knowledge and skills required, including group discussion, case studies, role play, role reversal, reflective practice	1.86	1	3	62%
5.23	Assessments of training needs are conducted on a regular basis	1.86	1	3	62%
5.24	Those responsible for providing training, including team leaders, supervisors and managers, have received appropriate training to fulfil their role	2.00	1	3	67%
5.25	Arrangements exist for effective workplace assessment and practice learning	1.71	0	3	57%
5.26	Staff in posts subject to registration receive support to meet the General Social Care Council (GSCC) eligibility criteria for registration	1.57	1	3	52%
5.27	Training records are properly maintained	2.14	1	3	71%
5.28	Training budgets and resources are sufficient to fulfil requirements	2.00	1	3	67%
5.29	Training provision is evaluated to ensure it is meeting its objectives	2.29	1	3	76%
Overall		**Overall**	**1.84**		61%

PART 5
TRAINING & DEVELOPMENT
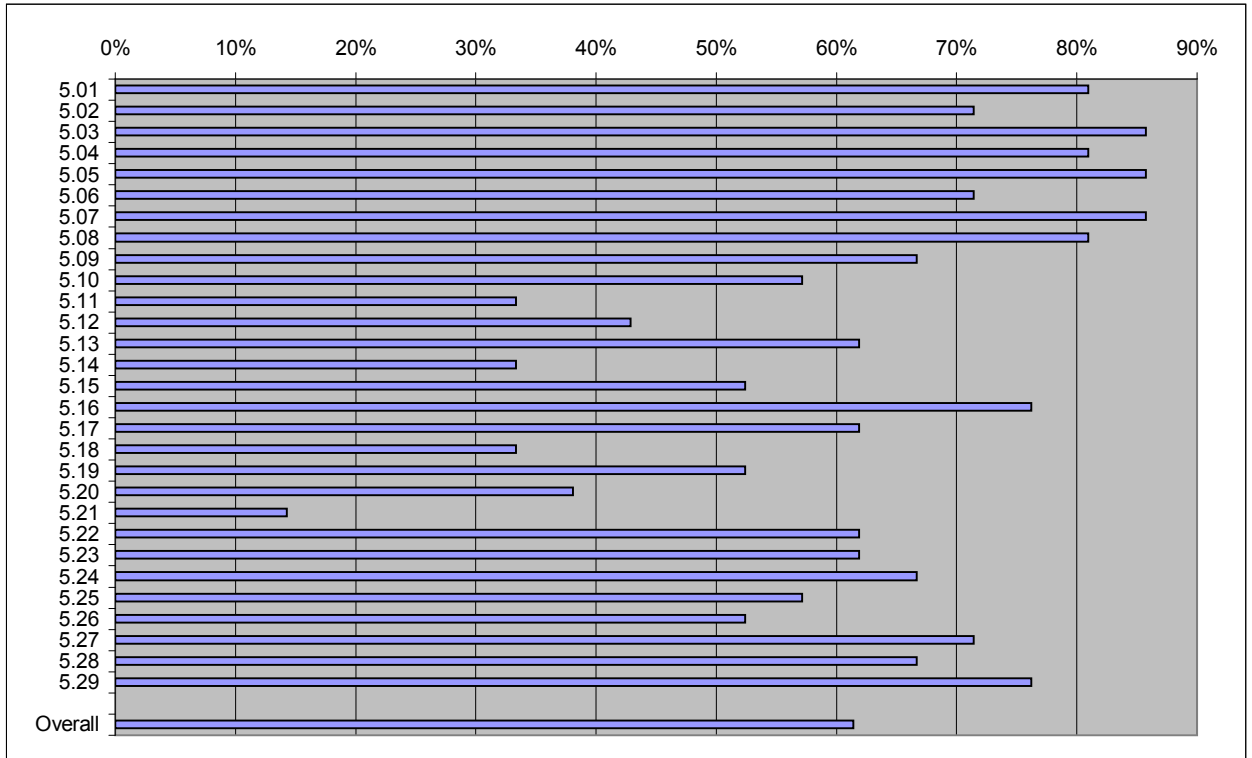
PART 6
MANAGEMENT & SUPERVISION

|		Mean	Min	Max	
6.01	All staff receive clear information about their roles and responsibilities, relevant legislation and organisational policies and procedures they must follow in their work	2.29	2	3	76%
6.02	Managers and supervisors have received appropriate training to fulfil their role	2.29	1	3	76%
6.03	No employee is allowed unsupervised access to service users until all pre-employment checks have been completed	2.57	2	3	86%
6.04	Staff do not feel inhibited from reporting abuse because of pressure from other staff	1.57	0	3	52%
6.05	Supervisors feel empowered to take action to prevent abuse whenever necessary	2.00	1	3	67%
6.06	Supervisors know how to recognise situations likely to result in abuse	1.86	1	3	62%
6.07	Supervisors are aware of attitudes and behaviours that might indicate that someone is abusing or being abused	1.43	0	2	48%
6.08	Staff are always accompanied when undertaking intimate procedures with a service user	1.00	0	3	33%
6.09	Staff are able to raise any concerns about the welfare or treatment of a service user with their supervisor	2.57	2	3	86%
6.10	Staff are able to raise any concerns about a service user and their care through an independent staff support service	1.57	0	3	52%
6.11	Management have taken all reasonable steps to restrict unauthorised use of the internet	1.86	0	3	62%
6.12	The organisation's policy on internet abuse is regularly communicated to employees	1.29	0	3	43%
6.13	Policies and procedures intended to protect service users and staff from abuse are strictly adhered to	2.17	0	3	72%
6.14	The findings of public inquiries into instances of alleged and actual abuse are incorporated into policies, procedures and training arrangements	2.00	1	3	67%
6.15	The risk of a member of staff committing an act of abuse and not being found out is very small	1.57	0	3	52%

Overall   **Overall**   **1.87**   **62%**
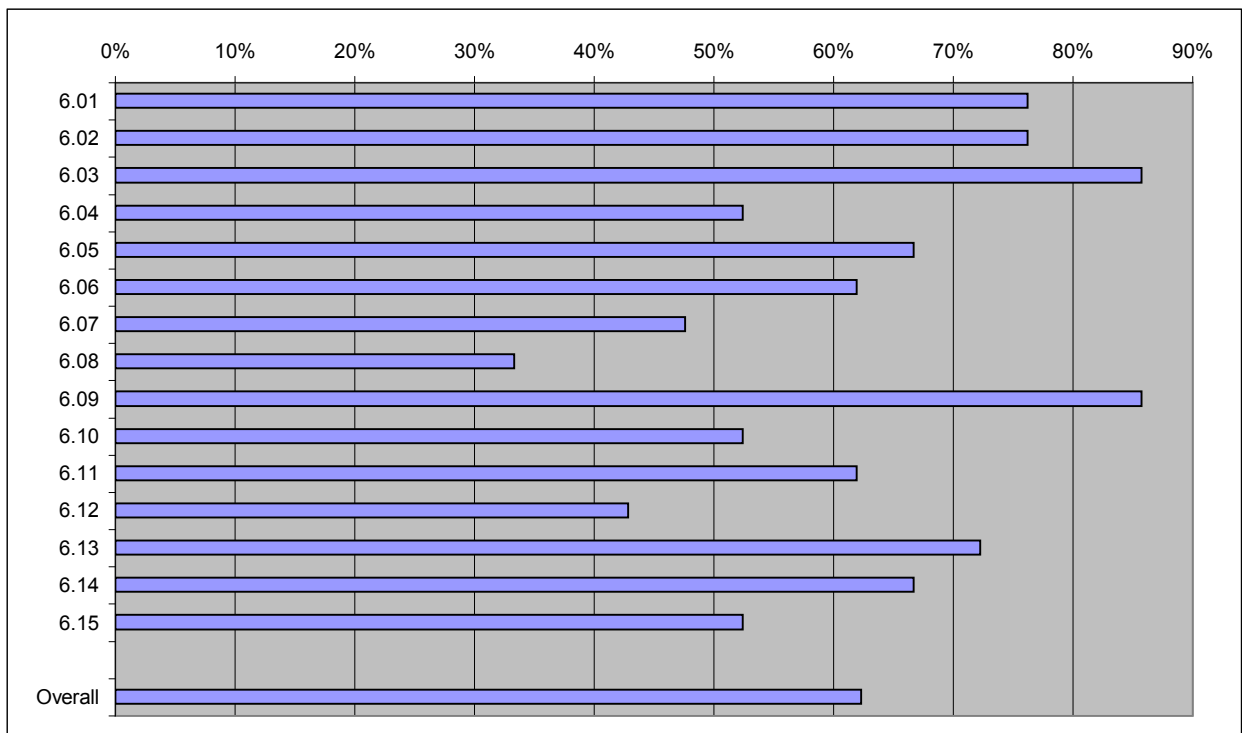
PART 7
ACTION ON ABUSE (or MISCONDUCT)

		Mean	Min	Max	
7.01	We have carried out a risk assessment to minimise the risk of incidents of abuse for each of our service user groups	1.29	0	2	43%
7.02	There is a clearly defined process for investigating allegations of abuse	2.57	2	3	86%
7.03	All service users and staff receive information on the action to take in the event of abuse or a suspicion of the possibility of abuse, of themselves or someone else	2.29	1	3	76%
7.04	Supervisors always act upon suspicions or reported allegations of abuse	2.00	1	3	67%
7.05	An allegation of abuse that indicated a criminal offence may have been committed would always be referred to the police as a matter of urgency	2.57	2	3	86%
7.06	An individual who is alleged to have committed an act of abuse would be assessed by an independent assessor	1.33	0	3	44%
7.07	Incidents of abuse would always be recorded in the report book and service users' files	1.57	1	3	52%
7.08	A member of staff accused of abuse would be offered independent support	1.57	0	3	52%
7.09	A victim of abuse would be offered specialist support	2.14	1	3	71%
7.10	Incidents or allegations of abuse are always reported and reviewed at staff meetings	0.71	0	3	24%
7.11	Any member of staff who is alleged to have committed an act of abuse would always be suspended from their current duties	1.86	0	3	62%
7.12	If a member of staff was suspended contact between them and other staff would be stopped immediately	2.00	0	3	67%
7.13	During suspension the member of staff would not have access to any data associated with the investigation except such as was necessary to prepare their own defence	2.57	2	3	86%
7.14	Members of staff subject to investigation for abuse would always be given the opportunity to defend themselves	2.71	2	3	90%
7.15	Following an instance of abuse, the offender's work colleagues would always be given the opportunity to debrief and discuss the issues	1.14	0	2	38%
7.16	Resignation of a staff member to avoid suspension would never be encouraged	2.43	0	3	81%
7.17	A proven allegation of abuse would always result in disciplinary action	2.43	0	3	81%
7.18	Proven allegations of professional misconduct would always be reported to the appropriate authorities and professional bodies	2.57	1	3	86%
7.19	The incidence and costs of abuse in the workplace are regularly monitored	1.43	0	3	48%

Overall		**Overall**	**1.96**		**65%**
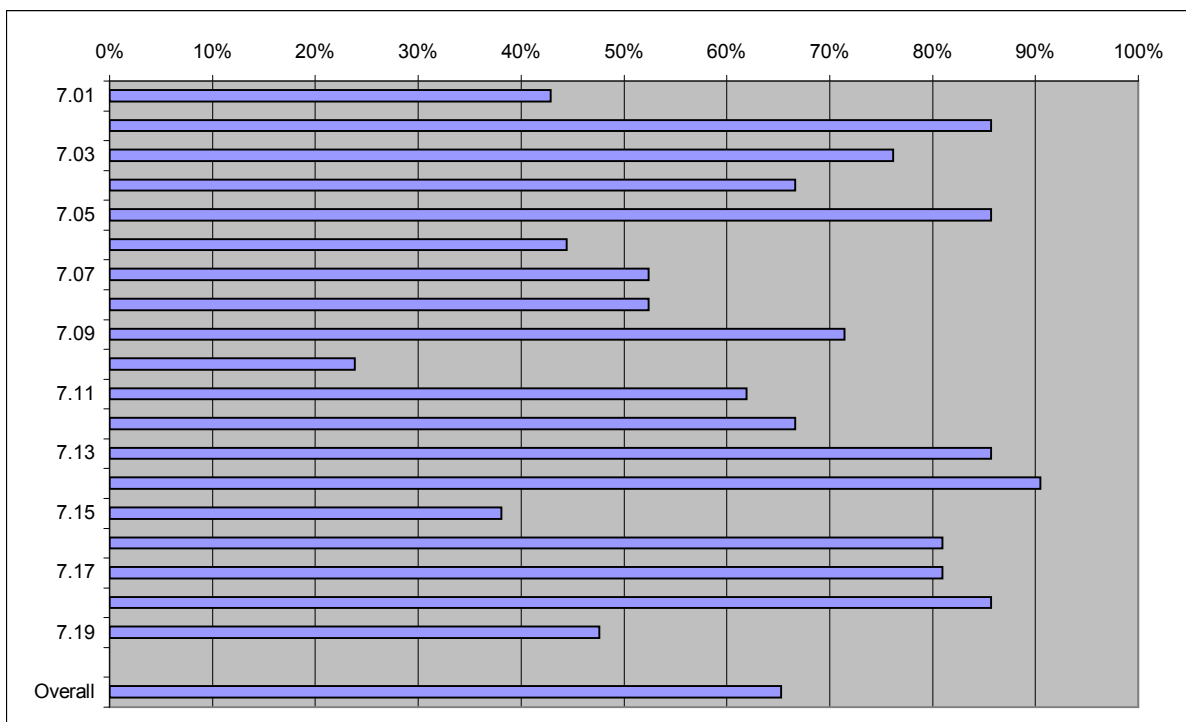
Comments

Some of the questions I was unable to answer as positive as a reflection of the position I am in eg with recruitment and written assessment. I am aware that these procedures are adherd to for my level and above but I have never had to recruit at this level

There are several double questions in the questionnaire There are some questions where I felt I wanted to be able to explain or ask further questions proir to answering I answered these questions at the end of a busy day and wonder if the answers may have been different if responded to at a different time.

I WOULD ALLWAYS REMIND STAFF ABOUT PERSONNEL BOUNDARIES AND RELATIONSHIPS.

I found some of these questions quite difficult to give a clear answer to as some would depend on the situation. Have answered as well as I could with the information provided.