



# **REDS** INTHE **COMMUNITY**

REGISTERED CHARITY NO 1118735



## **Vulnerable Adults Safeguarding Policies & Procedures Handbook** February 2017

## RitC's Vulnerable Adults Safeguarding Policies and Procedures Handbook

**This handbook covers all the relevant policies and procedures relating to the safeguarding of vulnerable adults.** Because of the nature of the work undertaken by Reds in the Community (RitC), it is required by law to have in place robust policies and procedures to ensure the protection of children, young people and other vulnerable adults. This handbook has been put together to specifically address how RitC will take all steps necessary to protect and safeguard adults who utilise the Company's facilities and services – and who may be classed as vulnerable adults. It is essential that all RitC staff members and volunteers read every section of this handbook - as it clearly explains responsibilities - and how to respond in any given situation. If RitC's staff members or volunteers are ever in any doubt about how to deal with a situation that may arise in relation to the safeguarding of vulnerable adults, then they should immediately speak to either their line manager or RitC's Designated Safeguarding Officer.

In developing this handbook, RitC has framed its approach by following the most up to date best practice in regard to supporting vulnerable adults. To this end, RitC referred to latest legislation contained within **The Care Act 2014**, as well as following the eight minimum standards of best practice and guidance developed by Volunteer Now - in consultation with a safeguarding vulnerable adult's advisory expert group - which was drawn from key organisations who work with vulnerable adults in the voluntary, community and independent sectors.

The eight minimum standards are drawn from the **Safeguarding Vulnerable Adults - A Shared Responsibility** guidance and RitC has used this as the foundation of its own **Vulnerable Adults Safeguarding Policies and Procedures Handbook**, because it is applicable to the work undertaken by the organisation with different vulnerable adult groups and the different areas of vulnerability experienced. **Therefore, this handbook addresses the following eight core standards of best practice:**

- 1. RitC has a safeguarding vulnerable adult policy supported by robust procedures.**
- 2. RitC consistently applies a thorough and clearly defined method of recruiting staff and volunteers in line with legislative requirements and best practice.**
- 3. RitC has procedures in place for the effective management, support, supervision and training of staff and volunteers.**
- 4. RitC has clearly defined procedures for raising awareness of, responding to, recording and reporting concerns about actual or suspected incidents or abuse.**
- 5. RitC operates an effective procedure for assessing and managing risks with regard to safeguarding vulnerable adults.**
- 6. RitC has clear procedures for receiving comments and suggestions and for dealing with concerns and complaints about the organisation**
- 7. RitC has a clear policy on the management of records, confidentiality, and sharing of information.**
- 8. RitC has a written code that outlines the behaviour expected of all involved with the organisation, including visitors.**

**Understanding what is meant by safeguarding:** Generally, safeguarding is a term used to describe how RitC protects adults from abuse or neglect. It is an important shared priority of many public services, and a key responsibility of local authorities. It is also RitC's responsibility to safeguard vulnerable adults - or adults at risk - who use RitC's services. Vulnerable adult safeguarding is about protecting certain people (aged 18 years and over) who may be in vulnerable circumstances. These people may be at risk of abuse or neglect due to the actions - or lack of action - of another person. RitC will always work in partnership with the relevant Safeguarding Adults Boards (SAB's) to identify adults at risk - and put steps in place to help prevent abuse or neglect.

At times the term 'adult at risk' will be used to replace 'vulnerable adult'. This is because the term 'vulnerable adult' can sometimes wrongly imply that some of the fault for the abuse lies with the victim of abuse. Where RitC uses 'adult at risk' it is as an exact replacement for 'vulnerable adult'.

**RitC, through these policies, is committed to the following principles in all aspects of its safeguarding work with vulnerable adults:**

- **Empowerment:** Which means putting people first and helping those who lack mental capacity to feel involved and informed
- **Protection:** This is about supporting victims so they can take action
- **Prevention:** Achieved by RitC responding quickly to suspected cases of abuse
- **Proportionality:** Making sure that what RitC does is appropriate to the situation and for the individual
- **Partnership:** Through sharing the right information in the right way
- **Accountability:** Which is about making sure that all staff and volunteers understand their role and responsibilities for safeguarding vulnerable adults

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This Vulnerable Adults Safeguarding Policies and Procedures Handbook has been produced with regard to the Volunteer Now minimum standards found in the [Safeguarding Vulnerable Adults - A Shared Responsibility](#) guidance, [The Mental Capacity Act 2005](#) and [The Care Act 2014](#).

An up to date version of these Vulnerable Adults Safeguarding Policies & Procedures is held by Wayne Bullimore. Should you need to seek further clarification or information on any of the policies or procedures contained in this document, staff members and volunteers should either speak to their line manager or RitC's Designated Safeguarding Officer.

## 1. Safeguarding Vulnerable Adults Policy

**This policy applies to all persons over the age of 18 years old. Issues relating to the safeguarding of children and young people (or young people aged up to 21 in some circumstances) will be dealt with by reference to RitC's Child Protection & Safeguarding Policies and Procedures and the organisations Designated Safeguarding Officer. RitC will raise concerns and allegations about people who are not covered by our policies to the police, local authorities and/or children's services.**

**Policy statement:** Abuse is a violation of an individual's human and civil rights. Abuse can take many forms. The staff and volunteers of RitC are committed to work in such a way which promotes the welfare of vulnerable adults and safeguards them from harm. Staff and volunteers of RitC accept and recognise their responsibilities to develop awareness of the issues that cause vulnerable adults harm - and to establish and maintain a safe environment for them. RitC will not tolerate any form of abuse, wherever it occurs or whoever is responsible.

**Purpose & aim of policy:** RitC are committed to promoting an atmosphere of inclusion, transparency and openness and are open to feedback from the people who the organisations services, as well as carers, advocates and RitC staff members and volunteers - with a view to how it may continuously improve RitC's services and activities.

This policy applies to all RitC staff members, including senior managers, paid staff, sessional workers, agency staff, students and volunteers, as well as anyone else working on behalf of RitC.

**RitC will endeavour to safeguard vulnerable adults by:**

1. Adhering to our safeguarding vulnerable adult policy and ensuring that it is supported by robust procedures
2. Carefully following the procedures laid down for the recruitment and selection of staff and volunteers
3. Providing effective management for staff and volunteers through supervision, support and training
4. Implementing clear procedures for raising awareness of and responding to abuse within the organisation and for reporting concerns to statutory agencies that need to know, while involving carers and vulnerable adults appropriately
5. Ensuring general safety and risk management procedures are adhered to
6. Promoting full participation and having clear procedures for dealing with concerns and complaints
7. Managing personal information, confidentiality and information sharing
8. Safeguarding vulnerable adults by implementing a code of behaviour for all involved with the organisation, including visitors.

**Reviewed & Updated: February 2017**

**RitC will review this Safeguarding Vulnerable Adults Policy and good practice at least annually.**



**Wayne Bullimore**  
Chief Executive

## 2. Safer Recruitment Policy

**Policy Statement:** Because RitC works with vulnerable adults, the Company has developed a robust Safer Recruitment Policy. This policy and those that follow relating to Probationary Periods; Safer Induction; Supervision and Appraisal applies to any person responsible for the recruiting, selection and induction of employees and volunteers in RitC, as well as those who participate in shortlisting and interview panels.

RitC is committed to promoting the welfare of all children, young people and vulnerable adults who use and interact with the organisation's services and for keeping them safe. In line with RitC's Equal Opportunities Policy contained in the Employee Handbook, the Company is committed to equality, valuing diversity and working inclusively across all of its activities and this applies also to the selection, recruitment and induction of new employees and volunteers. To this end, RitC aims to have a workforce that reflects a variety of backgrounds and cultures and who can provide the relevant knowledge, abilities and skills for the organisation.

**The purpose of this Safer Recruitment Policy is to ensure that RitC:**

- Recruits and selects the best possible people available to join the Company
- Takes all reasonable steps to prevent unsuitable people joining the Company
- Recruits, selects and manages all employees in a way that complies with legislation designed to combat inequality and discrimination
- Does all it can to achieve and maintain a diverse workforce
- Has recruitment and selection processes that are consistent and transparent
- Assesses and judges applicants as competent before an offer of employment is made
- Inducts properly and fully all new recruits that are employed

**RitC recognises that:**

- The Company's workforce is its greatest asset
- Unsuitable individuals sometimes seek out opportunities via employment to have contact with children, young people and/or vulnerable adults in order to harm or abuse them
- Some groups face unfair discrimination in the workplace
- Children, young people and vulnerable adults, as well as their families and carers all benefit from the Company's efforts to recruit and select a skilled and committed workforce drawn from a diverse range of backgrounds
- Newly recruited employees cannot possibly perform their roles effectively unless they are inducted properly and receive on-going support and supervision as appropriate

**To implement this Safer Recruitment Policy, RitC will commit to undertake each part of the following procedure whenever it seeks to recruit to fill a vacancy:**

1. **Job description:** For every vacancy, prior to commencing advertising, RitC will produce a clear job description outlining the tasks that the successful applicant will be required to undertake.
2. **Role profile:** For every vacancy, prior to commencing advertising, RitC will produce a clear role profile which will detail the skills that the successful applicant will be expected to have.
3. **Application form:** RitC does not believe that CV's are the best way to accurately assess applicants, as a consequence of the varying nature of the information provided on them. Therefore, every applicant will be required to complete the Company's standard application form to enable them to be considered for the role. The completed application form will be used to initially assess the applicant's suitability for the role advertised. The use of a standard application form will enable RitC to more easily compare the experience and skills of job applicants and will ensure that all the important and relevant information is collected consistently.
4. **Safeguarding awareness:** Every advertisement will make it clear that RitC has a commitment to safeguarding and protecting of children, young people and vulnerable adults. To this end, every job applicant will receive RitC's Child Protection Policy and Vulnerable Adults Safeguarding Policy statements as part of the Company's job application pack.
5. **Applicant shortlisting for interview:** All shortlisting for interviews will be carried out by more than one person and will be against the job description, role profile and RitC's standard application form.
6. **Face to face interviews:** All short-listed applicants will be required to undergo a face-to-face interview with at least two interviewers present. At the interview, pre-prepared and clear questions will be asked in pursuit of selecting the most suitable person for the vacancy.

**Safer Recruitment Policy continued...**

- 7. Questioning:** Every applicant that is interviewed will be asked specifically whether they have any criminal convictions, cautions, other legal restrictions or pending cases that might affect their suitability to work with children, young people and vulnerable adults.
- 8. Identity checks:** Every applicant that is invited to an interview will be required to bring original photographic identification - as well as one other form of identification - which will be from the prescribed list of acceptable photographic identification required for a Disclosure & Barring Service (DBS) check.
- 9. Qualifications & certificates:** Where qualifications and/or certificates are a condition of employment, applicants will be required to demonstrate (prior to being made a conditional offer of employment) that they actually hold any relevant qualifications/certificates that they say they have. This will be achieved by requiring applicants to produce the original documents or through providing the required information to enable verification to be made with the awarding body or establishment that provided the training.
- 10. Disclosure & Barring Service check:** Every applicant who is made a conditional offer of employment (and where their post requires them to possess one) will be required to undergo an enhanced DBS check which proves satisfactory to RitC. If the job role involves regulated activity, the DBS check will also include a check against the barred list. All new employees in posts requiring any level of DBS check will be required to subscribe to the DBS online update service.
- 11. Employment references:** Every applicant who is made a conditional offer of employment will have a minimum of two references (covering the last five years of employment) taken up. The reference will specifically enquire from the previous employer whether the individual is considered suitable to work with children.
- 12. Safeguarding policies & procedures:** Every new recruit will receive a copy of RitC's Child Protection & Safeguarding Policies and Procedures and/or RitC's Vulnerable Adults Safeguarding Policies and Procedures handbook/s and will be required to sign their statement of terms and conditions of employment agreeing to abide by all policies and procedures contained within these documents.
- 13. Induction training:** All new recruits will be given an induction plan - appropriate to the role they have been recruited for - to enable them to effectively undertake their responsibilities. Part of this induction training will include training and awareness on how to keep children, young people and vulnerable adults safe that make use of the Company's services.
- 14. Probationary period:** All job offers will be conditional on the successful completion of a six month probationary period being completed. No new recruit will be confirmed in to post until they have completed their probationary period (and any extension of that period) and have been formally reviewed through the completion of a post-induction review form.

**Reviewed & Updated: February 2017**

**RitC will review this Safer Recruitment Policy and good practice at least annually.**

**Ensure that the steps set out in the flowchart on the next page are followed...**

### 3. Recruitment, Selection & Induction Process Flow Overview

- **Step 1:** Identify the vacancy.
- **Step 2:** Review RitC's safer recruitment policies & procedures contained in this handbook.
- **Step 3:** Analyse the job role and produce the role profile using the guidance found in [Appendix 2](#) and the Role Profile Template found in [Appendix 3](#) of RitC's Safer Recruitment Handbook.
- **Step 4:** Using the completed role profile, produce or update the job description using the Job Description Template found in [Appendix 1](#) of RitC's Safer Recruitment Handbook.
- **Step 5:** Plan the recruitment & selection process taking into account where the role will be advertised, and who will be responsible for each stage of the recruitment, selection and induction process with reference to the minimum standards outlined in the safer recruitment policies & procedures contained in this handbook.
- **Step 6:** Advertise the vacancy ensuring that the advert refers to RitC's commitment to safeguarding and protecting children, young people and vulnerable adults.
- **Step 7:** Ensure every interested applicant receives a copy of RitC's Standard Application Form and a copy of RitC's Child Protection Policy and Vulnerable Adults Safeguarding Policy statements.
- **Step 8:** Review all applications forms that are returned against the criteria in the job description and the role profile.
- **Step 9:** Create a shortlist of suitable applicants ensuring that at least two people are involved in ratifying the short-list.
- **Step 10:** With reference to the role profile and the assessments methods identified on it, prepare and agree on the interview questions.
- **Step 11:** Invite the short-listed candidates to a face to face interview (ensuring that all interviewees are informed to bring original photographic ID and originals of certificates with them) and where at least two people will conduct the interviews.
- **Step 12:** Conduct the interviews against the prepared questions and assessments and verify each candidate's identity and qualifications.
- **Step 13:** Consider any confidential information that the candidate has submitted along with their application, and discuss this with the candidate.
- **Step 14:** Make a decision on suitable appointment of candidate/s.
- **Step 15:** Make a conditional offer of employment subject to return of a signed copy of the statement and terms and conditions of employment; satisfactory completion of a probationary period; receipt of a DBS that proves satisfactory; receipt of references that prove satisfactory; as well as satisfactory validation and verification of all information provided on the application form, CV and discussed at interview.
- **Step 16:** Plan the induction and prepare the induction checklist.
- **Step 17:** Complete the take up of references and all other verification checks required.
- **Step 18:** If any issues arise from references, DBS checks and other verification checks speak to the employee.

**Are the issues now resolved?**



**Confirm the offer of employment on a probationary period or continue the probationary period**



**Withdraw the offer of employment or terminate employment**

- **Step 19:** New staff member starts. Follow through the induction programme.
- **Step 20:** Conduct the scheduled reviews using the relevant review forms which can be found in [Appendix 8](#); [Appendix 9](#); [Appendix 10](#) and [Appendix 11](#) of RitC's Safer Recruitment Handbook.
- **Step 21:** At the end of the probationary period carry out a post induction review.

**Has the employee satisfactorily completed their probationary period?**



**Confirm the appointment and continue with regular supervision and appraisals**



**Either extend the probationary period or terminate employment**

- **Step 22:** If at the end of the probationary period extension the employee has still not reached the required standards, then terminate employment. If the employee has now reached the required standards, then confirm their appointment and continue with regular supervision and reviews.

#### **4. Probationary Period Policy**

**Policy Statement:** RitC's Probationary Period Policy is an integral part of the Company's safeguarding policies and procedures. This policy's aim is to ensure that all of the Company's appointment decisions are sound and that the person who has been recruited is an appropriate person who would not pose a risk to children, young people or vulnerable adults. The probationary period allows RitC a period of time to undertake, collect and check all relevant information that it is required to have on a new employee or volunteer to be able to confirm the employee in post following successful completion of the probationary period. This information includes, but is not limited to, past employment references, DBS checks, verification of training, qualifications and certification - as well as any other information that was provided at interview and on application forms and CV's.

Employment by RitC is subject to a probationary period of six months during which the new employee will be required to demonstrate their suitability for the position in which they have been recruited for. To this end a new employee will have their progress against their induction plan assessed on a regular basis throughout the probationary period.

The probationary period may be extended at the Company's discretion to a maximum of nine months and this is without prejudice to the Company's right to terminate employment before the expiry of the probationary period. An extension to the probationary period may be implemented in circumstances where the employee's performance or conduct has not been entirely satisfactory, but it is thought that an extension may lead to improvement. An extension to the probationary period may also be considered in circumstances when the employee has been absent from work (for any reason) for a significant period during the probation.

Employment may be terminated at any time during, or at the end of, the probationary period (or during, or at the end of, any extension of the probationary period) on the grounds of unsuitability for the role, poor or unsatisfactory performance, misconduct, poor attendance, poor timekeeping, lack of capability, for reasons of health and safety, or if it is believed or established that the employee does not have the qualifications, experience or knowledge that was claimed at the time of recruitment. This list is not exhaustive. Any termination will be confirmed in writing and there will be no right of appeal.

At the end of the probationary period, RitC will carry out a post induction review within a reasonable time of its expiry. The probationary period will not be deemed to have been completed until RitC has carried out its review and formally confirmed the position in writing to the employee. If the probationary period has been successfully completed, the employees continued employment by RitC will then be confirmed.

During the probationary period (and during any extension of the probationary period) - and until RitC has carried out its review at the end of it and formally confirmed the position in writing to the employee - the notice period will be one week and the Company's disciplinary and/or capability procedure/s will not apply.

**Reviewed & Updated: February 2017**

**RitC will review this Probationary Policy and good practice at least annually.**

## 5. Safer Induction Policy

**Policy statement:** RitC recognises that all new employees will require adjustment in their new role. RitC aims to give support to these employees through an induction programme. All employees who are included in the programme will be given support throughout their induction.

**Objectives of induction:** The induction programme exists to ensure that all new employees understand:

- How RitC operates
- The work of the different departments
- The history and culture of the business
- The business plan and goals of RitC for the forthcoming years
- How their job role fits in with the other members of their department and RitC as a whole
- Their own targets and performance objectives up until the first formal appraisal.

The induction may also be an opportunity to meet other new employees.

**Induction programme:** The induction programme will be put in place once a job applicant has formally accepted a conditional job offer from RitC. The induction programme will vary according to the seniority of the job role, the individual needs of the new starter and the job description.

In the first week, the new employee will be introduced to their work colleagues, as well as meeting with their line manager and other relevant senior members of the management team as appropriate.

**The employee's line manager will also go through the following matters and/or documentation:**

- Main terms and conditions of employment and working arrangements, including sickness absence reporting procedures
- Job description - job duties and responsibilities
- Employee handbook policies and procedures
- Safeguarding policies and procedures
- Health and safety rules and procedures, including first aid facilities, accident reporting and emergency evacuation procedures
- Equal opportunities and dignity at work
- Targets and performance objectives up until the first formal appraisal
- Training and development plan up until the first formal appraisal
- Information about the structure and organisation of RitC
- Information about the department/team the employee will work in
- Location of entrances, exits, fire exits, kitchen, rest rooms, toilets and any other facilities
- Location of staff notice board
- Location of workstation or work area
- Use and operation of equipment and location of office supplies
- Useful contact numbers
- Bank details, P45, National Insurance number, contact details, next of kin etc.

The line manager will use an induction checklist to ensure that all matters are covered and will sign this off once the induction programme has been completed. The line manager may involve other managers and employees in the induction programme as appropriate.

**Mentoring and training:** New employees will also be allocated a mentor on starting employment. The new employee's appointed mentor will meet with them in the first week and their role will be to assist the new employee with day-to-day matters in the first three months of their employment. Their role is not to coach or train the new employee, but to give advice and assistance as appropriate.

The line manager is responsible for training the new employee and for supporting them in their new job duties and tasks. The new employee's progress will be reviewed via formal and structured post induction reviews which will be carried out at the end of week 1; the end of month 1; the end of month 2 and the end of month 3. The purpose of these reviews is to discuss how the induction training is progressing and to identify and address any gaps in the desired results of the induction training.

**Reviewed & Updated: February 2017**

**RitC will review this Safer Induction Policy and good practice at least annually.**

## 6. Supervision Policy

**Policy statement:** RitC recognises the need for regular and effective supervision of its employees to ensure that they feel well supported and motivated in their work; that the Company is delivering quality services to the people that use its services and that the organisation can function effectively.

**Purpose of Supervision:** This is an opportunity to review an employee's work programme, to monitor their progress and to review the direction of their work. Supervision is also an opportunity to identify any gaps in skills and training, with a focus on enhancing professional development. Just as importantly, the employee's successes and achievements in their work can also be identified and celebrated. Supervision is also a place where an employee can be challenged supportively and constructively within mutually agreed and accepted boundaries. Issues relating to the workplace and to working practices can be identified and discussed. Ultimately, supervision is an ideal opportunity to demonstrate that the employee is a valued member of the team at RitC and offers them a chance to ensure that their emotional well-being is considered and that their personal development needs are being met. During the session, the employee will be able to 'offload' their concerns and have these discussed in a supportive environment. **In summary, the purpose of supervision includes:**

- Review of work programme
- A place to be challenged, supportively and constructively
- Issues related to the workplace are addressed
- A place to identify skills gaps and training needs - professional development
- Employee's experiences are valued
- Working practices are discussed
- Achievements are identified and celebrated
- Work progress is monitored and direction is reviewed
- Emotional well-being/work-life balance and a place for personal development
- Mutually agreed and acceptable boundaries
- A place to offload

**What the employee can expect from supervision:** This is an opportunity for the employee to review their current workload with their line manager and discuss future work and agree on targets. The line manager will acknowledge the work that the employee is responsible for and offer praise and constructive feedback where appropriate. Support and guidance can also be offered where necessary. This is also a time when the line manager can challenge the employee appropriately and address actions and anticipated follow-up relating to these. Training needs will also be identified during the meeting and notes will be made by the line manager and copied to the employee which will serve as a record to refer back to at the next supervision. Employees should feel able to raise any issues or concerns, both related to work or personal things unrelated to work. **In summary, the employee can expect the following from supervision:**

- A place where guidance is received
- To be challenged appropriately by their line manager
- A place to address actions and follow up
- That notes and records of the supervision are made and stored/copied
- An assessment of training needs is made
- Support is offered
- That their supervisor has an understanding of their work and workload
- Acknowledgement and praise is received
- Work is discussed and targets agreed
- A place where personal things (including those that are not work related) can be discussed if the employee so desires
- A place to talk about any concerns and issues

**Frequency of supervision:** Frequency and length of supervision is expected to be in line with the following minimums:

- Full time employees should receive supervision no less than once every four weeks for a minimum of 45 minutes
- Part time employees should receive supervision no less than once every eight weeks for a minimum of 30 minutes

**Any supervisory sessions must be re-booked for as soon as possible after the missed sessions to maintain the minimum regularity set out above.**

**Location of supervision:** Supervision should take place in a private and uninterrupted space during the employees scheduled working day.

**Supervision Policy continued...**

**Recording supervision sessions:** It is the line manager’s responsibility to take notes and ensure that the employee receives a copy and that a copy goes on file. Both the line manager and the employee must agree and sign a final copy of the supervision records, which will then be kept in individual supervision files in a secure place. After six months, supervision notes should be archived and held in the employees HR folder for six years.

Records will be made in a manner that works for each line manager, however a summary action sheet will be completed during or immediately after each session. It is important that any agreed actions are given to a named person and that the line manager ensures that actions are reviewed & agreements followed up - with negotiation around timescales & outcomes where necessary - in future sessions. A summary supervision template can be found in Appendix xiii of RitC’s Safer Recruitment Handbook

**Access to supervision sessions:** Should the line manager with responsibility for supervision of an employee leave, they are required to provide access - to the person taking over responsibility for that employee’s future supervision - to six months of previous supervision notes.

**Confidentiality:** There will be three levels relating to the need to breach confidentiality within supervision as set out below. This explanation is provided so that all employees receiving supervision within their employment at RitC are clear about what can and cannot remain confidential:

Issues	Level
<ul style="list-style-type: none"> <li>▪ If the behaviour or activities which bring RitC into disrepute</li> <li>▪ If it is about harm to self and/or others</li> <li>▪ If it involves illegal activity - depending on currency and severity of activity</li> <li>▪ If it concerns actions of gross misconduct</li> <li>▪ If it concerns activities where safeguarding policies apply</li> </ul>	<ul style="list-style-type: none"> <li>▪ There is a duty as a line manager to report/action via RitC’s most senior person responsible for HR &amp; appropriate public authorities - where appropriate.</li> </ul>
<ul style="list-style-type: none"> <li>▪ If it concerns activities that may lead to disciplinary action being taken</li> <li>▪ If it concerns actions relating to performance or capability</li> </ul>	<ul style="list-style-type: none"> <li>▪ Items may need to be reported via line management structures to RitC’s most senior person responsible for HR.</li> </ul>
<ul style="list-style-type: none"> <li>▪ If the information given by the employee will have significant impact on RitC e.g. long term sickness</li> </ul>	<ul style="list-style-type: none"> <li>▪ Items may need to be reported through the line management structure and to RitC’s most senior person responsible for HR.</li> </ul>

**Reviewed & Updated: February 2017**

**RitC will review this Supervision Policy and good practice at least annually.**

## 7. Appraisal Policy

**Policy statement:** A performance appraisal will be carried out on each employee at least once per year. The timing of that review may vary depending upon the employee's job and, in any event, is in the absolute discretion of RitC. The purpose of the annual appraisal is to review the performance of the employee and provide constructive feedback; whilst identifying areas of satisfaction and where improvements can be made. In addition, discussions will focus on future goals, development and training needs.

**Structure of appraisals:** The employee will attend a meeting with their line manager to discuss their work performance. The objectives of the meeting will be to:

- Discuss the previous year's achievements
- Identify any shortfalls in achieving objectives and establish the reasons for any shortfalls
- If necessary, agree any changes required to objectives and actions required to improve the employee's performance and/or to enable them to achieve their full potential in the work they carry out for RitC
- Consider any future training, development and career needs for the employee
- Discuss opportunities for advancement or alternative work.

The employee should also set out what actions they intend to take to develop themselves and they must assist in making the performance review process a worthwhile exercise. The meeting will be an open forum where views can be exchanged and agreed conclusions reached.

Employees should prepare for their appraisal meeting by considering what points they wish to discuss about their performance. They should consider their achievements over the previous year and the progress they have made in achieving objectives and they should be prepared to explain the reasons for any shortfalls.

During and after the meeting, the employee's line manager will complete an appraisal form as a record of the discussions that took place at the meeting. This will then be given to the employee for agreement and signature. If the employee disagrees with any of the comments made, they will be able to record this on the form. Once the employee has signed the form, they should return it to their line manager and retain a copy for their own safekeeping. The form will be kept confidential and will be held on the employee's personnel file and a copy. The appraisal process will be reviewed by the most senior person in the organisation to ensure the fairness and effectiveness of each line manager's approach to the process.

The completed appraisal form must be viewed as a working document and as such should be continually referred to and reviewed throughout the year by both employees and line managers.

Any employee who feels that their appraisal was entirely unsatisfactory or unfair to them may ask that a more senior manager review the appraisal with them and their line manager - or where a more senior manager is not available - to request a meeting to discuss concerns and issues.

Those employees who are still in their probationary period will not receive an annual appraisal. Instead, their performance will be reviewed, independently of the annual appraisal process, during and at the end of the probationary period as outlined in the Safer Induction Policy within this handbook.

**Reviewed & Updated: February 2017**

**RitC will review this Appraisal Policy and good practice at least annually.**

## 8. Recognising the Signs or Suspicions of Abuse in Vulnerable Adults

The following procedure applies to any paid member of staff or volunteer who may be concerned about the safety and protection of a vulnerable adult.

**Purpose and aim of procedure:** We aim to ensure that adults who may be at risk and who attend and/or participate in activities or events organised by RitC, and any other vulnerable adults who may come to the attention of RitC, receive the protection and support they need if they are at risk of abuse or radicalisation. RitC believes that every person is entitled to have their civil and human rights upheld and to live a life free from abuse and neglect. Being able to respond appropriately to signs or suspicions of abuse of vulnerable adults requires an understanding of what vulnerability and abuse is.

**Understanding what can contribute to vulnerability in adulthood:** An adult may be vulnerable to abuse because they have a mental health problem, a disability, a sensory impairment, is old or frail, has some form of illness or because of their living circumstances - for example, living alone, or in isolation, or in a residential care home, nursing home or other institutional setting. Staff and volunteers of RitC need to be aware of circumstances that may leave an adult vulnerable to abuse and be able to recognise the possible signs of abuse. They should be alert to the demeanour and behaviour of vulnerable adults - as well as those around them - and changes that may indicate that something is wrong.

**Understanding the definition of abuse in relation to adults at risk:** Abuse is a violation of an individual's human and civil rights by any other person or persons. Many incidents of abuse are criminal acts. **Abuse is defined as:**

**“The physical, psychological, emotional, financial or sexual maltreatment or neglect of a vulnerable adult by another person. The abuse may be a single act or repeated over a period of time. It may take one form or a multiple of forms. The lack of appropriate action can also be a form of abuse. Abuse can occur in a relationship where there is an expectation of trust and can be perpetrated by a person/persons, in breach of that trust, who have influence over the life of a dependant, whether they be formal or informal carers, staff or family members or others. It can also occur outside such a relationship.”**

Abuse can be either deliberate or the result of ignorance, or lack of training, knowledge or understanding. Often if a person is being abused in one way, they are also being abused in other ways. **Abuse can take many forms including the following:**

**Sexual abuse:** This includes indecent exposure, sexual harassment, inappropriate looking or touching, as well as rape. Sexual teasing or innuendo, sexual photography, subjection to pornography, witnessing sexual acts, and sexual acts that an individual did not agree to or were pressured into consenting to all count as sexual abuse. **Possible indicators of sexual abuse may include:**

▪ Unexpected or unexplained change in behaviour	▪ A preoccupation with anything sexual
▪ Torn, stained or bloody underwear	▪ Soreness around the genitals
▪ Sexually transmitted diseases	▪ Indecent Assault
▪ Loss of sleep	▪ Pregnancy
▪ Bruising	▪ Rape

**Sexual exploitation is a subset of sexual abuse. It involves exploitative situations and relationships where people receive 'something' (e.g. accommodation, alcohol, affection, money) as a result of them performing, or others performing on them, sexual activities.**

**Physical abuse:** This can include being assaulted, hit, slapped, pushed, restrained, being denied food or water, or not being helped to go to the bathroom when the person needs to go. It can also include misuse of an individual's medication. **Possible indicators of physical abuse may include:**

▪ Assault (can be intentional or reckless)	▪ Unexplained weight loss
▪ Multiple bruising	▪ Depression
▪ Fractures	▪ Bed sores
▪ Burns	▪ Fear

**Discriminatory abuse:** This includes some forms of harassment, slurs or similar unfair treatment relating to race, gender and gender identity, age, disability, sexual orientation, or religion. **Possible indicators of discriminatory abuse may include:**

▪ Expressing anger, frustration, fear or anxiety	▪ The person appears withdrawn and isolated
▪ The support on offer does not take account of the person's individual needs in terms of a protected characteristic	

**Recognising the Signs or Suspicions of Abuse in Vulnerable Adults continued...**

**Psychological and emotional abuse:** This includes someone emotionally abusing an individual or threatening to hurt or abandon them, stopping them from seeing people, and humiliating, blaming, controlling, intimidating or harassing them. It also includes verbal abuse, cyber bullying and isolation, or an unreasonable and unjustified withdrawal of services or support networks. **Possible indicators of psychological and emotional abuse may include:**

▪ Deprivation of liberty (false imprisonment)	▪ Unexpected or unexplained change in behaviour
▪ Aggressive shouting causing fear of violence	▪ Loss of sleep
▪ Depression	▪ Confusion
▪ Fear	

**If aggressive shouting (which causes fear) is carried out in a public place it may be an offence against Public Order Act 1986, or harassment under the Protection from Harassment Act 1997.**

**Financial and material abuse:** This could be someone stealing money or other valuables from an individual, or it might be someone who is appointed to look after a person's money on their behalf using the money inappropriately or coercing them into spending it in a way they are not happy with. Internet scams and doorstep crime are also common forms of financial abuse. **Possible indicators of financial and material abuse may include:**

▪ Unexplained withdrawals from the bank	▪ Unusual activity in the bank accounts
▪ Unexplained shortage of money	▪ Unpaid bills
▪ Fraud	▪ Theft
▪ Reluctance on the part of the person with responsibility for the funds to provide basic food & clothes	

**Domestic abuse:** This is typically an incident or pattern of incidents of controlling, coercive or threatening behaviour, violence or abuse by someone who is, or has been, an intimate partner or family member - regardless of gender or sexuality. Domestic abuse also includes psychological, physical, sexual, financial, & emotional abuse. In addition, female genital mutilation (FGM), forced marriage, as well as so called 'honour based violence are all classed as domestic abuse. **Possible indicators of domestic abuse may include:**

▪ Evidence such as bruising, cuts, broken bones	▪ Feeling that the abuse is their fault when it isn't
▪ Verbal abuse and humiliation in front of others	▪ Isolation - not seeing friends and family
▪ Damage to home or property	▪ Fear of outside intervention
▪ Limited access to money	▪ Low self-esteem

**The age range for domestic abuse has been extended down to 16 and if domestic abuse was a concern in an individual then RitC's safeguarding children arrangements would be followed.**

**Please note that there is no requirement for automatic referral of adult women with FGM to adult social services or the police. Referral to the police must not be introduced as an automatic response when identifying adult women with FGM, and each case must be individually assessed. Adult women with FGM be supported by offering referral to community groups who can provide support, and clinical intervention or other services as appropriate, for example through an NHS FGM clinic. The wishes of the woman must be respected at all times. If the woman is pregnant, the welfare of the unborn child or others in her extended family must be considered at this point, as these children are potentially at risk and safeguarding action must be taken accordingly.**

**Institutional abuse, neglect &/or poor practice:** This may take the form of isolated incidents of poor or unsatisfactory professional practice at one end of the spectrum, through to persuasive ill treatment or gross misconduct. **Possible indicators of institutional abuse, neglect &/or poor practice may include:**

▪ People being hungry or dehydrated	▪ Public discussion of personal matters
▪ Inadequate staffing levels	▪ Lack of adequate procedures
▪ Lack of management overview and support	▪ Absence of individual care plans
▪ Poor standards of care	▪ Poor record-keeping and missing documents
▪ Few social, recreational & educational activities	▪ Absence of visitors
▪ Failure to whistleblow on issues when internal procedures to highlight issues are exhausted	
▪ Lack of personal clothing and possessions and communal use of personal items	
▪ Lack of flexibility and choice for people using the service	
▪ Unnecessary exposure during bathing or using the toilet	

**Recognising the Signs or Suspicions of Abuse in Vulnerable Adults continued...**

**Self-Neglect:** This particular area has now been recognised within **The Care Act 2014** as part of the safeguarding framework and includes various behaviours such as a disregarding of personal hygiene, health or surroundings which results in a risk of impacting on the individual’s wellbeing. Self-neglect could include such behaviours as hoarding. **Possible indicators of self-neglect may include:**

▪ Living in squalid or unsanitary conditions	▪ Non-compliance with health or care services
▪ Lack of essential food, clothing or shelter	▪ Neglecting household maintenance
▪ Malnutrition and/or dehydration	▪ Very poor personal hygiene
▪ Unkempt appearance	▪ Hoarding
▪ Inability or unwillingness to take medication or treat illness or injury	
▪ Collecting a large number of animals in inappropriate conditions	

**Neglect and acts of omission:** Neglect is also a form of abuse. Neglect includes not being provided with enough food or the right kind of food, or not being taken proper care of. Leaving an individual without help to wash or change dirty or wet clothes, not getting them to a doctor when they need one, or not making sure the person has the right medicines all count as neglect. **Possible indicators of neglect and acts of omission may include:**

▪ Untreated medical problems	▪ Over-sedation
▪ Malnutrition	▪ Bed sores
▪ Deprivation of meals - can be “wilful neglect”	▪ Confusion

**Modern slavery:** Modern Slavery is an international crime, it can include victims that have been brought from overseas, and vulnerable people in the UK. Slave Masters and Traffickers will deceive, coerce and force adults into a life of abuse, callous treatment and slavery. **Possible indicators of modern slavery may include:**

▪ Signs of physical or emotional abuse	▪ Always wearing the same clothes
▪ Fear of law enforcers	▪ Lack of personal items/identification documents
▪ Living in dirty, cramped or overcrowded accommodation and or living and working at the same address	
▪ Isolation from the community, seeming under the control or influence of others	
▪ Avoidance of eye contact, appearing frightened or hesitant to talk to strangers	
▪ Appearing to be malnourished, unkempt or withdrawn	

Despite the types of abuse and indicators listed above, staff and volunteers of RitC should also remember that any adult with care and support needs - such as older people or people with disabilities - are more likely to be abused or neglected. They may be seen as an easy target and may be less likely to identify abuse themselves or to report it. People with communication difficulties can be particularly at risk because they may not be able to alert others. Sometimes people may not even be aware that they are being abused, and this is especially likely if they have a cognitive impairment. Abusers may try to prevent access to the person they abuse.

**Evidence of any one of the indicators identified above should not be taken on its own as proof that abuse is occurring. However, it should RitC’s staff and volunteers to make further enquiries and to consider other associated factors. The lists of possible indicators and examples of behaviour provided above are not exhaustive and individuals may be subject to a number of abuse types at the same time.**

**Understanding where might abuse occur:** Abuse can happen anywhere and it is important to realise that it’s not specific to any one type of place or setting:

▪ In someone’s own home	▪ At a carer’s home
▪ At work or in educational settings	▪ In public places
▪ Within day care, residential care, nursing care or other institutional settings	
▪ In rented accommodation or commercial premises	

**Understanding who can be abuse:** An abuser can be anyone who has contact with the vulnerable person. This means that abusers can be a partner, spouse, child, relative, friend, informal carer, a healthcare, social care or other worker, a peer or – but less commonly - a stranger. **On the following page, further detail is provided about each of the core areas mentioned about who can be abusers:**

**Recognising the Signs or Suspicions of Abuse in Vulnerable Adults** continued...

**Domestic/familial abuse:** This is where the abuse of a vulnerable adult comes from a family member such as a partner, son, daughter and/or sibling.

**Professional abuse:** This is defined as the misuse of power and abuse of trust by professionals, the failure of professionals to act on suspected abuse/crimes, poor care practice or neglect in services, resource shortfalls or service pressures that lead to service failure and culpability as a result of poor management systems.

**Peer abuse:** This would occur when there is abuse of one vulnerable adult by another vulnerable adult within a care setting. It can occur in group or communal settings, such as day care centres, clubs, residential care homes, nursing homes or other institutional settings.

**Stranger abuse:** A vulnerable adult may be abused by someone who they do not know, such as a stranger, a member of the public or a person who deliberately targets vulnerable people.

**Reviewed & Updated: February 2017**

**RitC will review this Recognising the Signs or Suspicions of Abuse in Vulnerable Adults and good practice at least annually.**

## 9. The Nominated Manager for Dealing with Actual or Suspected Abuse Policy

**Policy statement:** Due to the nature of the work undertaken by RitC through working with vulnerable adults, the organisation has appointed two Nominated Managers who will be accountable and responsible for acting as a source of information and support to all RitC staff and volunteers - and for dealing with allegations or suspicions of abuse that arise. As part of every employee and volunteer induction, RitC will ensure that the names of the Nominated Managers are made clear, including an overview of what their role entails and how they can be contacted.

**Nominated Managers:** Due to the importance of this role RitC have selected and trained two senior managers who have good knowledge of the organisation, can communicate well internally with all RitC staff and volunteers - and where appropriate and necessary - with externally with the appropriate authorities. Both of the nominated managers are also responsible for safeguarding throughout the organisation. **The two nominated managers for RitC are as follows:**

- **RitC's Designated Safeguarding Officer: Lorraine Hunter, NCS Coordinator - Office Telephone Number: 01226 211333 & Mobile Telephone Number: 07849 200472 and/or [lorraine.hunter@barnsleyfc.co.uk](mailto:lorraine.hunter@barnsleyfc.co.uk)**
- **RitC's Deputy Designated Safeguarding Officer: Wayne Bullimore, Chief Executive Officer - Office Telephone Number: 01226 211333 & Mobile Telephone Number: 07951025422 and/or [wayne.bullimore@barnsleyfc.co.uk](mailto:wayne.bullimore@barnsleyfc.co.uk)**

The above RitC managers have been nominated due to their knowledge and awareness about vulnerable adult safeguarding issues and they will undertake any additional training as may be considered necessary to ensure that they keep up to date with developments in safeguarding. **The role of RitC's Nominated Managers is to undertake the following:**

1. Establish contact with the relevant person or persons in the Safeguarding Adults Board/s (SAB's) applicable to the geographical areas covered by the work of RitC
2. Establish contact with the relevant person or persons in the local police service who acts as the Police Liaison Officer for Adult Safeguarding in the geographical areas covered by the work of RitC
3. Provide information and advice on safeguarding vulnerable adults within RitC
4. Ensure that RitC's vulnerable adults safeguarding policies and procedures are followed
5. To inform the CEO and Chair of Trustees, as well as the relevant person within the SAB and/or the PLO, of safeguarding concerns about individual adults
6. Ensure that appropriate information is available at the time of referral and that the referral is confirmed in writing - under confidential cover - using the appropriate RitC documentation
7. Liaise with the SAB's, the PLA, as well as any other agencies as appropriate and required
8. Keep relevant people within RitC, particularly the CEO and Chair of Trustees of RitC, informed about any action taken and any further action required
9. Ensure that an individual case record is maintained of concerns about abuse and the action taken by RitC, the liaison with other agencies and the outcome
10. Advise RitC of safeguarding vulnerable adult training needs

**Reviewed & Updated: February 2017**

**RitC will review this The Nominated Manager for Dealing with Actual or Suspected Abuse Policy and good practice at least annually.**

## 10. Procedure for Responding to, Recording & Reporting Actual or Suspected Adult Abuse

**Policy statement:** When there are concerns or a disclosure and/or allegations are made in relation to adult abuse, people will often feel anxious about passing on the information to anyone else. It is not unusual for a concerned individual to ask themselves: **"What if I'm wrong?"** This thought can hold back the person from taking action. Therefore, it is important for staff and volunteers of RitC to know that they are not responsible for deciding whether or not abuse has occurred; and neither are staff and volunteers responsible for conducting an investigation - as this is the role of the appropriate authorities. However, staff and volunteers do need to pass on any concerns they have through RitC's reporting procedures. Most importantly, this responding, recording and reporting procedure is in place to ensure that RitC's staff or volunteers do not attempt to deal with the situation alone.

**Methods that adults at risk may use to alert another to signs of abuse or neglect:** There are a variety of ways that staff or volunteers of RitC could be alerted to the fact that a vulnerable adult is suffering harm. **Some of these ways are listed below:**

- A vulnerable adult may self-disclose
- Someone else may raise their concerns or something may happen that causes concern
- A vulnerable adult may show some signs of physical injury for which there does not appear to be a satisfactory or credible explanation
- A vulnerable adult's demeanour and/or behaviour may lead suspicions of abuse or neglect
- The behaviour of a person close to the vulnerable adult may make others feel uncomfortable - which can include another staff member, volunteer, peer or family member
- Through general good neighbourliness and social guardianship

**Being alert to potential abuse plays a major role in ensuring that vulnerable adults are safeguarded and it is important that all concerns about possible abuse are reported.**

**Steps to take if a vulnerable adult discloses abuse:** In cases where a vulnerable adult discloses abuse to a staff member or volunteer of RitC, it is important that the individual knows how to react appropriately and in accordance with the guidelines provided in this handbook. **Important things to remember to do include:**

- Do stay calm
- Do listen and hear
- Do express concern and sympathy about what has happened
- Do reassure the person by telling them that they have done the right thing in speaking up
- Do let the person know that the information will be taken seriously and give them information about what will happen next
- If urgent medical and/or police help is required always call the emergency services
- Do ensure the safety of the person
- Do be aware that medical and forensic evidence might be needed
- Do let the person know that they will be kept involved at every stage
- Do record in writing using RitC's **Vulnerable Adult Abuse Report Form**, ensuring that it is dated and signed where indicated and report directly - and without any delay - to RitC's Designated Safeguarding Officer or Deputy Designated Safeguarding Officer who are RitC's Nominated Managers in matters of adult safeguarding
- Do act without delay

**Important things to remember not to do include:**

- Do not stop someone disclosing
- Do not promise to keep secrets
- Do not press the person for more details or make them repeat the story
- Do not gossip about the disclosure or pass on the information to anyone who does not have a legitimate need to know
- Do not contact the alleged abuser
- Do not attempt to investigate yourself
- Do not leave details of your concerns on a voicemail or by email
- Do not delay

**Checking out:** Staff and volunteers should be aware that there may need to be some initial 'checking out' with the vulnerable adult who has disclosed information to them in order to ensure the adult at risk's safety e.g. if a staff member or volunteer notices a bruise on a vulnerable adult's arm, it would be appropriate to ask, **"I see you have a bruise on your arm. How did that happen?"** However, RitC's staff and volunteers should be careful not to start investigating - as there is a clear distinction between 'checking out' and an investigation. For the avoidance of doubt, RitC's staff and volunteers should not begin to investigate alleged or suspected abuse by asking questions that relate to the detail, or circumstances of the alleged abuse, beyond initial listening, expressing concern and checking out.

**Procedure for Responding to, Recording & Reporting Actual or Suspected Adult Abuse continued...**

**Reporting and recording:** Whilst RitC accepts that there will be emergency situations where it will be appropriate for the staff member or volunteer to contact the police and/or emergency services immediately, in general - whatever the circumstances of the concern, disclosure, allegation or suspicion - it is vital that the staff member or volunteer records the details and reports to their Line Manager or RitC's Nominated Manager without delay. Whenever there are concerns, disclosures, allegations and/or suspicions a record must always be made using the **Vulnerable Adult Abuse Report Form** - a copy of which is provided in the appendix section of this handbook. In circumstances where a staff member or volunteer reports to a Line Manager, then the Line Manager will be accountable for reporting to RitC's Nominated Manager immediately.

Using the pro-forma provide in the appendix section of this handbook, an accurate record should be made of the date and time that the member of staff or volunteer became aware of the concerns, the parties who were involved, and any action taken e.g. if first aid was administered. Any questions that staff or volunteers asked in **checking out** the concerns must be recorded using exactly the words used. Above all, the record made should be clear and factual as this information will be invaluable to professionals investigating the incident - and may at some time in the future be used as evidence in court. Once this form has been completed RitC's Nominated Officer will ensure that the information (whether electronic or paper-based) will kept securely and will only be shared with those who need to know about the concerns, disclosures, allegations or suspicions of abuse.

**Staff and volunteers are asked to make a personal record of the fact that they made a report, with the date and to whom the report was made.**

**Confidentiality:** RitC will ensure that all information relating to a vulnerable adult - or any concerns about a vulnerable adult - will always be kept confidential and shared on a 'need to know' basis only. RitC's staff and volunteers must never discuss information relating to a concern, disclosure or allegation or suspicion - either inside or outside the organisation - other than with those that need to know such as their Line Manager or RitC's Nominated Manager. RitC's Data Protection policies and principles will underpin the maintenance of all records, which includes records of abuse or suspected abuse in relation to vulnerable adults. **When RitC's Nominated Manager is alerted to concerns about a vulnerable adult they will act promptly and ensure:**

1. That the vulnerable adult is in no immediate danger and that any medical or police assistance required has been sought
2. Due consideration is given to whether the concern is a safeguarding issue or not - which may involve some **checking out** of information, whilst taking every concern to not stray into the realm of investigation

**Action to be taken in the event of a non-safeguarding issue being raised:** If RitC's Nominated Manger considers that the matter is not a safeguarding issue and as such no referral to a statutory authority is required, then the following action must be taken:

- A written record must be made of the concern
- Details must be kept on file
- Details of any action taken must be noted
- Details of the reasons for not referring must be noted
- The situation must continue to be monitored on an ongoing basis

An example of a non-safeguarding occurrence could be an individual who, whilst normally very particular about their appearance and clothes, turns up unkempt with items of clothing on inside out for two days in a row. It would be important to record the details of the concern about the person's appearance and any action taken and the outcome of that action. In this example, the action taken may include speaking to the individual and to their carer (if appropriate) and recording the responses. The carer's response may indicate that they had also noticed the uncharacteristic change in appearance and is equally concerned.

If, as a consequence of appropriate **checking out**, it is then decided that a referral is not required at this stage, then RitC's Nominated Manager will record the decision not to refer and the reasons for not making a referral. In this example, the situation should be monitored so that a referral can be made if the situation deteriorates. Everything in this example - including the outcome of monitoring and any further concerns coming to light - should be recorded.

**Action to be taken in the event of a safeguarding issue being identified:** Where it is considered that the concerns represent a safeguarding issue the RitC's Nominated Manager will discuss the case with the relevant authorities who will help determine whether a crime may have been committed. RitC's Nominated Manager, as well as any other RitC's staff or volunteers who were involved in the raising of the concerns are to remain available as required to assist with any resulting investigation.

**Procedure for Responding to, Recording & Reporting Actual or Suspected Adult Abuse** continued...

**Information required to make a referral:** If a referral is made, then as a minimum the following information will be required:

- The name and address of the vulnerable adult and their current location
- The nature of the harm
- The need for medical attention if required
- The reasons for suspicions of abuse
- Any action already taken
- Any other information that may be useful to an investigation e.g. information related to the alleged perpetrator and their location and whether or not the vulnerable adult is aware of/and has agreed to the referral

**All referrals must be made without delay to RitC's Nominated Manager. However, the first priority must always be to ensure the immediate safety and protection of the vulnerable adult. In life threatening situations - such as severe physical abuse - then contact the relevant emergency services immediately.**

**Reviewed & Updated: February 2017**

**RitC will review this Procedure for Responding to, Recording & Reporting Actual or Suspected Adult Abuse and good practice at least annually.**

## 1.1. Procedure for Dealing with Allegations made against an Employee or Volunteer

**Policy statement:** RitC accepts that where an allegation against a member of staff or a volunteer is made, this can prove a very difficult situation to deal with, particularly if the staff or volunteer who first hears of the allegation finds that the subject of the allegation is a close colleague or friend. Nevertheless, RitC want to ensure that any allegations of abuse will be dealt with consistently - regardless of any relationships or loyalties. RitC acknowledges that when responding to an allegation made against a member of staff or volunteer, the organisation has a dual responsibility. Firstly - and most importantly - RitC has a responsibility to the vulnerable adult; and secondly, to the RitC staff member or volunteer. The following procedure will run in conjunction with RitC's **Procedure for Responding to, Recording & Reporting Actual or Suspected Adult Abuse.**

**Allegation procedure to be followed:** Where an allegation is made against an RitC staff member or volunteer it will be RitC's nominated manager who will be responsible for recording the details of the incident in full and passing it on to RitC's CEO. RitC's CEO will then follow the procedure outlined below:

1. Through RitC's Nominated Manager, consultation will take place with the relevant authorities to ensure that any subsequent action taken in relation to the allegations does not prejudice any external investigation
2. Following step 1 being completed, RitC's CEO will inform the staff member or volunteer that an allegation has been made against them and provide the individual with an opportunity to respond to the allegation with the response to the allegation being recorded in full
3. Through RitC's Nominated Manager, further consultation will take place with the relevant authorities to agree the most appropriate way forward
4. In all cases where allegations have been made against an RitC staff member or volunteer, protective measures will be taken - which may include either suspending the individual or moving them to alternative duties.

Where suspension takes place it will always be a neutral act to allow the investigation to proceed and to remove the RitC staff member or volunteer from the possibility of any further allegation. Suspension will always be for the shortest possible time and will be dealt sensitively. At all times RitC's disciplinary procedure will be followed and RitC will have due regard to any guidance provided by the relevant authorities.

**Possible outcomes of investigation:** As a result of the investigation, the allegation may or may not be substantiated. RitC's considers that there are four possible outcomes to an investigation as outlined below:

- a. Allegation substantiated - resulting in an individual being excluded from regulated activity:**  
On the basis that the investigation finds that the allegation is substantiated and that either harm or risk of harm to a vulnerable adult has occurred, then the individual will be removed from regulated activity. In these circumstances RitC will then be under a statutory duty to refer the incident to the Disclosure and Barring Service (DBS). This referral to DBS will be triggered as soon as the investigation determines either harm or risk of harm has occurred - which could be at this at any stage during the disciplinary process and not necessarily when the process concludes.  
  
If in the event of an allegation having been made against an RitC staff member or volunteer the individual under investigation subsequently resigns or retires prior to the investigation process being complete, RitC will always complete the investigation. Should the investigation conclude that harm, or risk of harm to a vulnerable adult has occurred, a DBS referral will still be made.
- b. Allegation substantiated - resulting in an individual being reinstated to regulated activity:** In a situation where an investigation concludes that the allegation is substantiated, but the circumstances of the case are such that the individual can be reinstated to their role - subject to appropriate disciplinary sanctions then appropriate training/retraining will be undertaken and support and supervision arrangements will be put in place. If a RitC staff member or volunteer is permitted to return to their post in the above circumstances, then a referral to the DBS will not be required.
- c. Allegation unsubstantiated - however, ongoing concerns remain:** Where the investigation finds that the allegation is unsubstantiated and that the individual has not harmed, or placed at risk of harm, a vulnerable adult - but ongoing concerns about the conduct of RitC's staff member or volunteer remains - then RitC may conclude that the individual can be reinstated with additional support, supervision and training/retraining.
- d. Allegation unsubstantiated - no ongoing concerns remain:** Should the investigation conclude that the allegation is unsubstantiated and therefore no individual has harmed, or placed at risk of harm, a vulnerable adult - then the staff member or volunteer will be reinstated and provided with appropriate support, training and supervision as necessary.

**Procedure for Dealing with Allegations made against an Employee or Volunteer continued...**

RitC fully appreciates that where allegations against any of its staff members or volunteers are made this can be traumatic and unsettling time for the organisation as a whole. For this reason, RitC's staff and volunteers should be reassured that any allegations made against them will be dealt with as outlined in this procedure and will always be consistently implemented with due regard to RitC's disciplinary procedures outlined in the employee handbook and the volunteer's handbook. RitC will always endeavour to handle any investigation into an allegation made against its staff members or volunteers sensitively from initiation to conclusion; whilst managing any anxieties expressed or demonstrated by any vulnerable adult, carer, family member, advocate or any other RitC staff member or volunteer.

To ensure that all RitC staff members and volunteers understand the procedure to be followed in the event of concerns or allegations being made RitC will ensure that induction training thoroughly covers adult safeguarding during induction and through on-going training.

Should any staff member or volunteer of RitC feel that a safeguarding issue is/has not been taken seriously - having followed the procedure outlined here - then they should invoke the whistle-blowing procedure which is detailed on the next page.

**Reviewed & Updated: February 2017**

**RitC will review this Procedure for Dealing with Allegations made against an Employee or Volunteer and good practice at least annually.**

## 12. Disclosures in the Public Interest - Whistleblowing Policy

**Policy statement:** We are committed to conducting our business with honesty and integrity, and we expect all staff to maintain similar high standards. However, all organisations face the risk of things going wrong from time to time, or of unknowingly harbouring illegal or unethical conduct. A culture of openness and accountability is essential in order to prevent such situations occurring or to address them when they do occur. This policy would also include situations where a staff member's or volunteer's concerns are not acted upon by in accordance with the **Procedure for Responding to, Recording & Reporting Actual or Suspected Adult Abuse** and/or the **Procedure for Dealing with Allegations made against an Employee or Volunteer** as outlined in this handbook. **The aims of this policy are:**

- i. To encourage staff to report suspected wrongdoing as soon as possible, in the knowledge that their concerns will be taken seriously and investigated as appropriate, and that their confidentiality will be respected.
- ii. To provide staff with guidance as to how to raise those concerns.
- iii. To reassure staff that they should be able to raise genuine concerns without fear of reprisals, even if they turn out to be mistaken.

**This policy takes account of the Whistleblowing Arrangements Code of Practice issued by the British Standards Institute and Public Concern at Work.**

**1. What is Whistleblowing?** Whistleblowing is the disclosure of information which relates to suspected wrongdoing or dangers at work. This may include:

- a. Criminal activity;
- b. Miscarriages of justice;
- c. Danger to health and safety;
- d. Damage to the environment;
- e. Failure to comply with any legal or professional obligation or regulatory requirements;
- f. Financial fraud or mismanagement;
- g. Negligence;
- h. Unauthorised disclosure of confidential information;
- i. The deliberate concealment of any of the above matters.

A whistleblower is a person who raises a genuine concern relating to any of the above. If you have any genuine concerns related to suspected wrongdoing or danger affecting any of our activities (a Whistleblowing concern) you should report it under this policy.

This policy should not be used for complaints relating to your own personal circumstances, such as the way you have been treated at work. In those cases you should use the Grievance Procedure or Anti-harassment and Bullying Policy as appropriate.

If you are uncertain whether something is within the scope of this policy you should seek advice from your Line Manager.

**2. Raising a Whistleblowing Concern:** We hope that in many cases you will be able to raise any concerns with your Line Manager. You may tell them in person or put the matter in writing if you prefer. They may be able to agree a way of resolving your concern quickly and effectively. In some cases they may refer the matter to someone in the Company designated to deal with such matters.

However, where the matter is more serious, or you feel that your Line Manager has not addressed your concern, or you prefer not to raise it with them for any reason, you should raise it with another member of the management team.

We will arrange a meeting with you as soon as possible to discuss your concern. You may bring a colleague or union representative to any meetings under this policy. Your companion must respect the confidentiality of your disclosure and any subsequent investigation.

We will take down a written summary of your concern and provide you with a copy after the meeting. We will also aim to give you an indication of how we propose to deal with the matter.

**3. Confidentiality:** We hope that staff will feel able to voice Whistleblowing concerns openly under this policy. However, if you want to raise your concern confidentially, we will make every effort to keep your identity secret. If it is necessary for anyone investigating your concern to know your identity, we will discuss this with you.

## Disclosures in the Public Interest - Whistleblowing Policy continued...

We do not encourage staff to make disclosures anonymously. Proper investigation may be more difficult or impossible if we cannot obtain further information from you. It is also more difficult to establish whether any allegations are credible. Whistleblowers who are concerned about possible reprisals if their identity is revealed should come forward and appropriate measures can then be taken to preserve confidentiality. If you are in any doubt you can seek advice from Public Concern at Work, the independent Whistleblowing charity, who offer a confidential helpline. Their contact details are at the end of this policy.

- 4. External Disclosures:** The aim of this policy is to provide an internal mechanism for reporting, investigating and remedying any wrongdoing in the workplace. In most cases you should not find it necessary to alert anyone externally.

The law recognises that in some circumstances it may be appropriate for you to report your concerns to an external body such as a regulator. It will very rarely if ever be appropriate to alert the media. We strongly encourage you to seek advice before reporting a concern to anyone external. The independent Whistleblowing charity, Public Concern at Work, operates a confidential helpline. They also have a list of prescribed regulators for reporting certain types of concern. Their contact details are at the end of this policy.

Whistleblowing concerns usually relate to the conduct of our staff, but they may sometimes relate to the actions of a third party, such as a customer, supplier or service provider. In some circumstances the law will protect you if you raise the matter with the third party directly. However, we encourage you to report such concerns internally first. You should contact your Line Manager or another member of our management team for guidance.

- 5. Investigation and Outcome:** Once you have raised a concern, we will carry out an initial assessment to determine the scope of any investigation. We will inform you of the outcome of our assessment. You may be required to attend additional meetings in order to provide further information.

In some cases we may appoint an investigator or team of investigators including staff with relevant experience of investigations or specialist knowledge of the subject matter. The investigator(s) may make recommendations for change to enable us to minimise the risk of future wrongdoing.

We will aim to keep you informed of the progress of the investigation and its likely timescale. However, sometimes the need for confidentiality may prevent us giving you specific details of the investigation or any disciplinary action taken as a result. You should treat any information about the investigation as confidential.

If we conclude that a whistleblower has made false allegations maliciously or with a view to personal gain, the whistleblower will be subject to disciplinary action.

- 6. If you are not Satisfied:** While we cannot always guarantee the outcome you are seeking, we will try to deal with your concern fairly and in an appropriate way. By using this policy you can help us to achieve this.

If you are not happy with the way in which your concern has been handled, you can raise it with another member of our management team or a Company official.

- 7. Protection and Support for Whistleblowers:** It is understandable that whistleblowers are sometimes worried about possible repercussions. We aim to encourage openness and will support staff who raise genuine concerns under this policy, even if they turn out to be mistaken.

Staff must not suffer any detrimental treatment as a result of raising a concern. Detrimental treatment includes dismissal, disciplinary action, threats or other unfavourable treatment connected with raising a concern. If you believe that you have suffered any such treatment, you should inform a member of our management team or a Company official immediately. If the matter is not remedied you should raise it formally using our Grievance Procedure.

Staff must not threaten or retaliate against whistleblowers in any way. If you are involved in such conduct you may be subject to disciplinary action.

**Disclosures in the Public Interest - Whistleblowing Policy** continued...

- 8. Responsibility for the Success of this Policy:** All staff are responsible for the success of this policy and should ensure that they use it to disclose any suspected danger or wrongdoing. Staff are invited to comment on this policy and suggest ways in which it might be improved. Comments, suggestions and queries should be addressed initially to your Line Manager.

**Public Concern at Work (Independent Whistleblowing charity) Helpline:** (020) 7404 6609; **E-mail:** [whistle@pcaw.co.uk](mailto:whistle@pcaw.co.uk) and/or **Website:** [www.pcaw.co.uk](http://www.pcaw.co.uk)

**Reviewed & Updated: February 2017**

RitC will review this Disclosures in the Public Interest - Whistleblowing Policy and good practice at least annually.

### 13. Procedure for Assessing & Managing Risks in the Safeguarding of Vulnerable Adults

**Policy statement:** Assessing and managing risks to vulnerable adults is integral to RitC's risk management strategy. Risks may relate to the working of the organisation; its provision of services; its delivery of individual activities; or its social guardianship responsibility.

**Understanding what is meant by risk assessment:** Assessment of risk is the process of examining what could possibly cause harm to vulnerable adults, staff members, volunteers or others - in the context of the activities and services RitC provides; in the interactions with and between vulnerable adults; and with the wider community. **Risk of harm can be posed by actions and inactions in many different situations such as:**

- Intimidation and other threatening behaviours
- Behaviours resulting in injury, neglect, abuse, and exploitation by self or others
- The use of medication
- The misuse of drugs or alcohol
- Aggression and violence
- Suicide or self-harm
- A person's impairment or disability
- Accidents, for example, whilst out in the community or participating in a social event or activity

**Individual risk:** For the individual, the level of risk (which means the likelihood of an event occurring and the impact it might have) depends on numerous factors which includes the nature of the person concerned, their relationships with others, the choices open to them and the circumstances in which they find themselves.

**Organisational risk:** For RitC, the level of risk will depend on the balance achieved between the right of a vulnerable adult to be safeguarded; the duty of care owed to the vulnerable adults served by RitC; the duty of care owed by RitC to its staff members and volunteers; the legal duties of statutory bodies and service providers; and the right of vulnerable adults to make informed lifestyle choices and take part in activities.

No endeavour or activity, or indeed interaction, is entirely risk free and even with good planning, it may be impossible to completely eliminate risks from any activity, service or interaction. However, RitC believes that having in place good risk assessment and management practice is essential to reduce the likelihood and impact of identified risks. In some situations, living with a risk can be outweighed by the benefit of having a lifestyle that the individual really wants, values and freely chooses. In such circumstances, risk-taking can be considered to be a positive action.

**Consequently, as well as considering the dangers associated with risk, the potential benefits of risk-taking have to be considered.**

**The purpose of assessing and managing risk:** When RitC assesses and manages risks, the aim is to minimise either the likelihood of risk or its potential impacts. In safeguarding terms, the aim of risk assessment and management is to prevent abuse occurring, to reduce the likelihood of it occurring and to minimise the impacts of abuse by responding effectively when it does occur. RitC prioritises the time required time to identify, evaluate and put in place risk-reducing measures.

**Principles of working with risk:** When RitC undertakes risk assessments and risk management in relation to vulnerable adults it takes into account the following principles:

- The assessment and management of risk should promote the independence, real choices and social inclusion of vulnerable adults
- Risks change as circumstances change
- Risks can be minimised, but not eliminated
- Information relating to vulnerable adults, activities, relationships and circumstances will sometimes be incomplete and possibly inaccurate
- Identification of risk then carries a duty to do something about it i.e. risk management
- Involvement of vulnerable adults, their families, advocates and practitioners from a range of services and organisations helps to improve the quality of risk assessments and decision making
- Only decisions that have been based on clear reasoning will be defensible
- Risk-taking can involve everybody working together to achieve positive outcomes
- Whilst confidentiality is a right, it is not an absolute right in that it may need to be breached in exceptional e.g. in circumstances when people are deemed to be at serious risk of harm or it is in the public interest
- RitC will ensure that staff members and volunteers understand the standards of practice expected of them to provide them with the confidence to support decisions to take risk
- Sensitivity will be shown to the experience of people affected by any risks that have been taken and where an event has occurred.

## **Procedure for Assessing & Managing Risks in the Safeguarding of Vulnerable Adults continued...**

**The risk assessment process:** In assessing and managing any risk associated with the safeguarding of vulnerable adults, RitC will follow the risk assessment methodology outlined below. RitC's risk assessment process involves:

- 1. Identification of the risk or risks**
- 2. Determining the level of risk or risks - by evaluating its potential impact and the likelihood of it happening**

**1. Identification of the risk or risks:** This involves identifying in advance what risks may be associated with all of the activities undertaken by RitC and the services that are provided.

Risks will always vary dependant on the individual concerned and the nature and extent of their vulnerability. When RitC identifies risk it would always take a balanced approach which will involve looking at what is and what is not an acceptable risk. When identifying risks, RitC will specifically focus on safeguarding risks e.g. by identifying the circumstances where abuse or exploitation are more likely to occur. **RitC acknowledges that risk to vulnerable adults is known to be greater when:**

- The vulnerable adult is emotionally or socially isolated
- A pattern of violence exists or has existed in the past
- Drugs or alcohol are being misused
- Relationships are placed under stress

**When care services are provided, RitC accepts that abuse is more likely to occur if staff members and volunteers are:**

- Inadequately trained
- Poorly supervised
- Lacking support or working in isolation.

**In addition, to the known risk factors, a range of other factors may increase the likelihood of abuse:**

- Where an illness causes unpredictable behaviour
- Where the person is experiencing communication difficulties
- Where the person concerned demands more than the carer can offer
- Where the family dynamics undergoes change in circumstances e.g. the sudden death of partner, unemployment, divorce
- Where a carer has been forced to change their lifestyle as a result of becoming a carer
- Where a carer experiences disturbed nights on a regular basis
- Where a carer becomes isolated and is offered no relief from a demanding role
- Where other relationships are unstable or placed under pressure whilst caring
- Where persistent financial problems exist
- Where a partner abuses drugs (especially alcohol), is unemployed or underemployed, is poorly educated or has been in a previous - perhaps turbulent - relationship with the victim
- Where a victim seeks to disclose abuse, get support and/or to leave an abusive relationship

**The circumstances and factors listed above are neither exhaustive nor placed in order of priority.**

**2. Determining the level of risk or risks:** RitC will determine the level of risk - high, medium or low - associated with the risks identified for step 1 above. The purpose of determining the level of risk is to establish which risks warrant most attention. RitC, as well as its staff members and volunteers, whilst being mindful of all risk, will be able to prioritise and give the greatest and most urgent attention to those risks that have been determined as high. The level of risk will always be a combination of likelihood and resulting impact. For each risk identified, the risk will be rated according to the likelihood of it happening (e.g. from unlikely to likely) and the seriousness of the impact (e.g. from minor to major) if it were to happen.

An example of this approach could be that if RitC was providing services to adults with epilepsy, it would be fair to assess the level of risk associated with an adult with severe epilepsy having a seizure as high - on the grounds that a seizure is 'likely to occur' and will have a 'major impact' if it does. Therefore, as a risk reducing measure, RitC would want to ensure that it had sufficient numbers of staff available and trained in responding appropriately to seizures.

**Procedure for Assessing & Managing Risks in the Safeguarding of Vulnerable Adults continued...**

As another example, the abuse of a vulnerable adult would in all cases be considered as having a major impact on the adult involved. To reduce the likelihood of the risk of abuse occurring, RitC would need to put in place a range of safeguarding measures with the aim of reducing the likelihood of abuse.

The matrix below is an illustration of what this approach to risk assessment looks like pictorially and maps 'likelihood' against 'impact' and results in an overall risk level of high, medium or low.

LIKELIHOOD of the identified risk	Determining the levels of risk		
	Likely	Medium	Medium
Possible	Low	Medium	High
Unlikely	Low	Medium	High
	Minor	Moderate	Major
	IMPACT of the identified risk		

**You will note that the level of risk - assessed as high, medium or low - is a combination of the likelihood of an identified risk occurring and the impact it would have if it did occur. So where a risk is:**

- Likely to occur and of major impact - the level of risk is high
- Possible and of moderate impact - the level of risk is medium
- Unlikely and of minor impact - the level of risk is low

**3. The management of risk:** Having carried out the risk assessment using the two steps outlined above, the next step is to look at what can be done to reduce the likelihood of the risk occurring and - in the event of the risk event occurring - what steps could be taken to lessen the impact of those identified risks.

Risks can be managed in a number of ways and it is the responsibility of RitC - the risk owner - to ensure that each identified risk is properly managed. Risk ownership is an ongoing process for the lifetime of the identified risk. The risk owner in RitC will ultimately be the organisation, but this will become the responsibility of a senior RitC manager who will be named in RitC's risk log.

RitC works to establish a culture, which is mindful of and has a zero tolerance of abuse - wherever it occurs and whoever causes it. For RitC, the primary aim of the organisations Safeguarding Policy is to manage the risk of abuse to vulnerable adults by establishing an organisational culture in which the rights of vulnerable adults are fully respected and by putting in place the range of policies and procedures that are contained within this handbook. **Therefore, RitC's Safeguarding Policy has been designed to reduce both the likelihood and impact of abuse by:**

- Preventing unsuitable people from joining RitC through good recruitment and selection practice
- Making RitC's staff members and volunteers aware of the indicators of vulnerability and risk and the possible signs of abuse - and equipping them to respond quickly to concerns about actual, alleged or suspected abuse
- Ensuring that RitC's staff members and volunteers are properly inducted, trained, supported and supervised in their work with vulnerable adults
- Ensuring that RitC's staff and volunteers know what constitutes acceptable behaviours and good practice and that they are supported when they challenge poor practice
- Promoting a culture of inclusion, transparency and openness throughout RitC and its services and activities
- Making RitC staff members and volunteers aware of how information about vulnerable adults should be handled

## Procedure for Assessing & Managing Risks in the Safeguarding of Vulnerable Adults continued...

- Having in place good overall organisational management and practice supported by a range of RitC policies and procedures

**Risk management options:** RitC will manage identified risks in one of five ways – by avoiding the risk; controlling the risk; financing the risk; transferring the risk; or accepting the risk as described below:

- Avoiding the risk:** If RitC feels that the level of risk cannot be satisfactorily reduced through other means, then it will make the decision not to engage in a particular activity or provide a particular service - **e.g.** due to widespread travel disruption there is a high risk of an insufficient number of RitC staff members or volunteers being present to safely supervise an activity for vulnerable adults with physical disabilities who require assistance to participate. As the risk of injury is considered too great in this example, the activity would be cancelled.
- Controlling the risk:** Controlling risk would involve RitC implementing measures to both reduce the likelihood of a harmful event occurring and to minimise the impact of such an occurrence. This would be achieved by identifying the good practice policies that need to be adhered to and the RitC staff members and volunteers undergoing the necessary training that would be required to reduce risk and harm - **e.g.** if RitC were providing an activity for an adult with severe epilepsy, then the organisation would ensure that there were suitably trained RitC staff members and volunteers present at all times to deal with the situation should the adult at risk have a seizure. While the likelihood of a seizure happening may be high, the impact would be reduced by having in place sufficient numbers of RitC staff members and volunteers who had been trained to deal with seizures.
- Financing the risk:** RitC will provide sufficient resources to meet the liabilities caused by identified risks - **e.g.** RitC could risk losing its volunteers if some of them were out of pocket through their volunteering had to give up volunteering. By RitC allocating a budget to cover volunteer expenses, the high impact of losing volunteers would have been mitigated by reducing the likelihood of it happening - as a consequence of financing the risk.
- Transferring the risk:** At times, when perhaps the only option appears to avoid a risk, RitC may decide to have a qualified third party carry out a particular activity so that the risk is transferred to that third party - **e.g.** If RitC did not have adequately qualified RitC staff members or volunteers to take a group of physically disabled adults canoeing it could choose to commission qualified instructors to do the activity instead. Risk of financial loss can be mitigated through insurance, indemnity or exemption from liability. However, RitC will always be required to take reasonable steps to prevent and manage risk, because if there is a failure to do so, then RitC may still be liable - even where insurance, indemnity or exemption from liability is in place.
- Accepting the risk:** This approach would be used when despite the risk, perhaps because no reasonable action can be taken to mitigate it, or the likelihood of the risk occurring and its impact are at an acceptable level, then RitC would tolerate the risk. RitC would only ever accept risks which had been assessed to be at a very low level - otherwise some other form of risk-reducing measure would have to be put into place before it could be accepted. The reason for this approach would be to have due regard to the positive outcomes for the vulnerable adult that may accrue from positive risk taking.

**Risk log:** RitC operates a risk log to manage the organisations risk assessment responsibilities. By using a risk log RitC can demonstrate that it specifically deals with safeguarding risks as part of its risk management. RitC keeps under regular review all risks and risk-reducing measures by reviewing them no less than once every 12 months. Situations that would result in RitC carrying out reviews more frequently would be in circumstances that there is any organisational process of change - **e.g.** where RitC merged with another organisation with different cultures or experience; or where RitC took on a new activity or service.

**Positive risk taking:** RitC does not want a culture which is totally risk averse as these can stifle and constrain opportunity and can lead to inappropriate restrictions being placed upon an individual's rights. Life is never risk free and an appropriate amount of risk is an essential part of fostering independence - **e.g.** where an activity or set of circumstances is identified as potentially risky to a vulnerable adult or group of vulnerable adults, this risk will always be offset in the risk management process against the benefits which the individual or group might draw from taking part in that activity. RitC will pursue risk taking in a context of promoting opportunities and safety - not poor practice. Therefore, RitC will foster a culture of positive risk-taking and seek to involve everyone affected in the assessment of risk taking, such as vulnerable adults and carers, advocates, RitC staff members and volunteers and - where they are involved - health and social care staff.

**Reviewed & Updated: February 2017**

**RitC will review this Procedure for Assessing & Managing Risks in the Safeguarding of Vulnerable Adults and good practice at least annually.**

## **14. Procedure for Reporting, Recording & Reviewing Accidents, Incidents & Near Misses**

**Policy statement:** RitC believes that there are lessons to be learned from accidents, incidents or near misses - which may occur despite the most robust risk assessment and risk management process being in place. As a consequence of RitC having this policy, there is a defined procedure in place for reporting and recording any accidents, incidents and/or near misses that may occur. All RitC staff members and volunteers will be made aware of this procedure during induction and through regular refresher training after that.

**Opportunity to learn:** RitC knows that accidents, incidents and near misses - particularly those which are recurring - can be indicators of organisational risk (including a risk to safeguarding) which needs to be managed. Therefore, RitC's risk assessment documentation and process makes reference to reported accidents, incidents and near misses. RitC will ensure that the learnings that come from reporting, recording and reviewing accidents, incidents and near misses are:

- a. Identified and disseminated to RitC staff members and volunteers
- b. Used to inform changes in RitC practice, policy and procedures

**Where an accident, incident or near miss is in some way connected to a safeguarding matter, it will immediately be drawn to the attention of RitC's Nominated Manager for appropriate action.**

**Please use the Accident/Incident/Near Miss Report Form which can be found in the appendix section of this handbook.**

**Reviewed & Updated: February 2017**

**RitC will review this Procedure for Reporting, Recording & Reviewing Accidents, Incidents & Near Misses and good practice at least annually.**

## 15. Principles for Receiving Comments & Suggestions to Deal with Concerns & Complaints

**Policy statement:** RitC fosters a culture of inclusion, transparency and openness as this will support demonstrating that it has nothing to hide in terms of its practice. Therefore, RitC is open to feedback from vulnerable adults, carers and advocates - as well as RitC staff members and volunteers - as this will assist the organisation in improving how it carries out its activities and delivers its services. RitC, as an organisation which treats vulnerable adults with dignity and respect - is committed to safeguarding them from harm and will seek to encourage and enable them to take an active role in planning and decision-making in all ways that are appropriate. **RitC will seek to achieve this policy through:**

1. A commitment to a listening environment within the organisation
2. The use of a suggestion box to give everyone an opportunity to make suggestions about how things could be improved
3. A consultative committee of vulnerable adults and RitC staff members and volunteers who discuss matters affecting their interests
4. Maintaining a record of matters and suggestions made by vulnerable adults and their representatives - and the actions taken
5. Involvement of vulnerable adults on interview panels
6. Providing regular feedback on actions taken and developments within RitC

**How RitC will involve carers and advocates of vulnerable adults:** RitC realises that carers and advocates have a wealth of knowledge about the emotional, physical and cultural needs of vulnerable adults for whom they care for, or work with. RitC therefore believes that it is important to establish and maintain contact with the carers and advocates of vulnerable adults who are involved with the organisation. This will be achieved through the involvement of carers and advocates making representations to management committees and/or their participation in services or activities provided by RitC for vulnerable adults. Such involvement will also be an important source of reassurance and support for carers.

**How RitC will involve staff members and volunteers working with vulnerable adults:** As far as RitC staff members and volunteers are concerned, supervision and support will enable line managers to gain valuable insights and learn lessons to ensure that the organisation is operating effectively.

**In addition to the above processes, RitC will seek and encourage feedback from satisfaction surveys that staff members and volunteers, carers, advocates and vulnerable adults can complete anonymously.**

**How carers and advocates of vulnerable adults can raise concerns or complaints:** RitC encourages all carers and advocates of vulnerable adults - who have a concern or complaint about some aspect of the organisation - to use RitC's complaints procedure. **RitC's complaints procedure provides the following:**

- A fair and clear process to raise concerns or complaints
- A named first point of contact - as well as a named alternative - should the first point of contact be unavailable, or is the subject of the complaint
- An appeals process in cases where a complaint cannot be resolved at the first stage
- Who within RitC has the final decision in relation to a concern or complaint
- Realistic time limits for each stage of the complaints procedure to ensure matters are dealt with promptly

**Procedure principles:** Everyone involved in a complaint (complainant and the subject/s of the complaint) will be provided with the opportunity to represent their side of the case. In the case of a complaint from a vulnerable adult, representation can include input from a carer or an advocate. In the case of a complaint made by a carer, representation can include input from a friend or family member. Where the complaint is regarding a staff member or volunteer of RitC - or about a family member or carer acting inappropriately - the person dealing with the complaint will ensure that there is absolute clarity regarding:

- The particular incident of concern and whether there have been any previous incidents
- Any remedial action to be taken e.g. an apology and any new behaviour expected
- What will happen if the agreed arrangements are not adhered to

RitC's procedure will ensure that records of discussions - and any information shared at each stage of the complaints procedure - will be made clearly, accurately, kept confidentially and stored in a secure location.

**Where a complaint is in relation to a particularly serious incident - e.g. where abuse or exploitation is suspected, then the reporting procedure detailed in this handbook takes precedence over this complaints procedure.**

**Reviewed & Updated: February 2017**

**RitC will review this Principles for Receiving Comments & Suggestions to Deal with Concerns & Complaints and good practice at least annually.**

## 16. Complaints Policy

**RitC recognises that everyone who uses our services, activities and/or facilities has the right to a high standard of service and a right to complain if they are not happy with any aspect of what we do. Learning from complaints helps us to improve the service we provide. The purpose of this policy and procedure is to:**

- a. Help us to provide a service of the highest standard to all those who come to RitC
- b. Help us to ensure that everyone that uses - or wishes to use - our services know they have a right to complain about our service if they need to
- c. Help us to deal with complaints in a positive way and use them to improve our service
- d. Set out the issues that could be covered under this procedure
- e. Set out the steps everyone should take if they wish to make a complaint
- f. Set out how RitC will deal with complaints in a fair and consistent way

This policy and procedure applies to all vulnerable adults and families, as well as carer and advocates - attending or wishing make use of RitC's services.

It is not intended to be used by RitC's staff members or volunteers who are unhappy about their own experience in the workplace. In these circumstances, staff members should use the Grievance Procedure found in section four of the Employee Handbook and volunteers should use the Complaints Procedure for Volunteers found in the Volunteers Handbook.

It is also not intended to cover concerns that staff members or volunteers may have about issues of possible malpractice or wrongdoing in the workplace. These should be dealt with under the Whistle Blowing Procedure found in this handbook.

**If anyone, whether an RitC staff member, volunteer, vulnerable adult, family member, carer or advocate is concerned that a vulnerable adult may be at risk of harm, they should use the relevant procedures contained within this Vulnerable Adults Safeguarding Policies and Procedures Handbook rather than this complaints policy and procedure.**

**RitC will seek to deal with complaints by:**

- Defining clearly what is mean by a complaint
- Setting out a procedure that can be easily followed and understood
- Making sure that everyone knows about this policy and procedure
- Producing vulnerable adult friendly material explaining this policy and procedure
- Reassuring people that they will not be penalised in any way for using the complaints procedure and that RitC will respond positively to any complaints made in good faith
- Offering extra support to those who need help to make a complaint
- Taking a staged approach to complaints that takes account of the level of seriousness and the possibility of resolution at different points
- Investigating each complaint as objectively and fully as we reasonably can
- Keeping the complainant informed during the course of the investigation and of the outcome of their complaint
- Keeping clear records of complaints and of how they are resolved

**Reviewed & Updated: February 2017**

**RitC will review this Complaints Procedure and good practice at least annually.**

## 17. Complaints Procedure

**Definition of a complaint:** A complaint is a statement from someone that they are not happy about the service provided to them by RitC and would like this to be improved. **The complaint might be about:**

- a. The behaviour of an RitC staff member or volunteer. If this relates to allegations that someone may have harmed a vulnerable adult - or be at risk of doing so – the relevant policy in this handbook should be used instead
- b. The behaviour of adults in the group – although please note the comment in point one above
- c. The level of service received
- d. The type of service received
- e. Being refused a service altogether
- f. The building or facilities
- g. Written information
- h. Service received over the telephone e.g. not being able to get through or being kept waiting
- i. A vulnerable adult, family member, carer or advocate feeling that they have been treated unfairly, or in a way that is discriminatory
- j. A specific activity or outing
- k. Anything else related to the service provided by RitC

### Procedure for making a complaint:

1. If possible, the person should discuss the complaint with RitC’s Nominated Manger. If this is not possible - for example the complainant does not feel comfortable speaking to RitC’s Nominated Manager because the relationship is too difficult - the discussion should be with the another RitC manager.
2. RitC’s Nominated Manager or alternative RitC manager will, in the first instance, try to resolve the matter informally. This is often possible and can mean that the problem is sorted out simply and more quickly.
3. If an informal solution has been tried before and has not worked, or if the complainant does not feel that informal discussions are adequate or likely to be effective, stage one of the complaints procedure should be followed.

### Stage One of Formal Complaints Procedure

4. The complainant should put their concerns in writing to RitC’s Nominated Manager or, if the Nominated Manager is the subject of the complaint, to the Nominated Manager’s line manager. If they need help to do this, and a family member is not able to offer this support, help should be provided by RitC’s Nominated Manager, or, if the Nominated Manager is the subject of the complaint, by another member of RitC staff identified by the Nominated Manager’s line manager.
5. RitC’s Nominated Manager will acknowledge the complaint within two working days by sending a brief letter to:
  - Thank the complainant for getting in touch & express regret that a complaint has been necessary
  - Assure them that the matter will be investigated
  - Set a provisional timescale for the investigation that is achievable, but avoids delay as much as possible
  - Explain when they will next be in contact
  - Offer a contact name - usually this will be RitC’s Nominated Manager or another senior manager - in case the complainant has any questions in the meantime
  - Make any temporary arrangements that may be necessary pending the outcome of the investigation into the complaint
6. Normally the service to the complainant should continue as normal during the investigation into the complaint. If this is not possible - e.g. because an individual has had to be excluded from an activity, or because the complainant does not want to use the service at that point, or because it would not be appropriate for the RitC staff members or volunteers to continue working with the vulnerable adult - then this should be acknowledged and temporary alternative arrangements made, if possible.
7. If the complaint is about a specific RitC staff member, volunteer or other vulnerable adult, then that person (and the parent/carer/advocate where applicable) should be informed within two working days - or as soon as possible - that a complaint has been made against them and the nature of the complaint. However, the person should not be informed if doing so would compromise anyone’s safety or a police investigation.
8. RitC’s Nominated Manager should normally be responsible for investigating a stage one complaint. The Nominated Manager should plan the investigation according to the nature of the complaint, taking into account any witnesses or specialist opinion that should be sought. As a minimum, the complainant (and parent/carer/advocate if the complainant is a vulnerable adult) should be interviewed. Any person who might be the subject of the complaint should also be interviewed, provided that doing so would not compromise anyone’s safety or a police investigation.

### **Complaints Procedure continued...**

9. If the complaint is about a building, facilities or equipment, then this should be examined.
10. If the complaint is about access to a service, the reasoning behind a decision to offer or not offer a particular service should be examined.
11. If, at any point during the investigation, it appears that a criminal offence may have been committed, the matter should be reported to the police. Discussions should be held with the police about whether the investigation into the complaint can continue alongside their own enquiries.
12. If it emerges at any point that a vulnerable adult may have been caused significant harm or may be at risk of significant harm, vulnerable adult safeguarding procedures should be instigated **immediately**.
13. RitC's Nominated Manager should make notes of the investigation, including notes of any meetings that take place, and should write a report based on their findings. The report should state clearly whether the complaint is upheld or not, and should make recommendations about how the matter can be taken forward. The report should be shared with both the complainant and any specific member of RitC staff member, volunteer or other person, who may be involved. Any comments that either party may wish to make about the extent to which they accept or reject the findings of the report should be noted.
14. Once a way forward has been agreed, this should be reviewed regularly.
15. If either the complainant - or a person who is the subject of the complaint - is not prepared to accept the findings of the report, they should confirm this in writing. The matter then becomes a stage two complaint.
16. A complaint also progresses to stage two if it has previously been handled within the last 12 months as a stage one complaint, but has re-surfaced.

#### **Stage Two of Formal Complaints Procedure**

17. A stage two complaint may come about for one of two reasons. It may be a complaint that has escalated from stage one because the complainant or a person who was the subject of the complaint wishes to challenge the findings from a stage one investigation. Alternatively, it may relate to matters that were investigated as a stage one complaint within the previous 12 months and have resurfaced.
18. Stage two complaints should be investigated either by a manager senior to RitC's Nominated Manager who was investigating at stage one. Alternatively, it can be investigated by a completely independent person who is not an employee or acting as a volunteer for RitC and who should be nominated by the CEO of RitC. The investigation should be commissioned by the CEO and the findings reported back to them.
19. If a complaint is to progress to stage two, the complainant - this could be the original complainant or a person who was the subject of the original complaint - should again indicate in writing that they wish to complain (or complain further) and should state the reason for this.
20. The written statement should be presented to the CEO, who should then, within two working days, respond in writing to the complainant in the same way as indicated in the stage one procedures. In addition, the CEO should provide the complainant with the name of the person who will investigate the stage two complaint.
21. The procedure for the investigation and sharing of the report should be similar to that outlined in the stage one procedure.
22. Stage two is the final stage of the complaints procedure. If any party wishes to complain further following the completion of stage two, this should be taken up with an external party e.g. local councillor, MP or an appropriate statutory authority.

**Keeping a record of the complaint:** Regardless of whether a complaint is dealt with formally or informally, accurate notes should be made by RitC's Nominated Manager or the person conducting the investigation of each stage of the process, including records of meetings. Copies of the final report should be given to the person making the complaint and to anyone who may be the subject of the complaint.

If the complaint leads to any disciplinary action or a referral to a statutory authority, copies of the notes made during the investigation and the report of the investigation (together with any notes relating to the outcome) should be kept confidentially on the file of any person who is the subject of the complaint.

**Anonymous summary notes of any complaint should also be kept on the complaints file with a reference number. This will assist RitC in the process of monitoring and learning from complaints.**

**Reviewed & Updated: February 2017**

**RitC will review this Complaints Procedure and good practice at least annually.**

## 18. Procedure for the Management of Records, Confidentiality & Sharing of Information

**Policy statement:** RitC expects the utmost confidentiality of all records relating to its safeguarding work with vulnerable adults. RitC's staff members and volunteers will come into contact with personal and sensitive details about the lives of the vulnerable adults with whom they will work, or who are in their care. None of this information - or information about a vulnerable adult's families - should ever be the subject of gossip, or be passed on to anyone else without good cause or reason. Great care should be taken to ensure that when cases do have to be discussed with colleagues that the details cannot be overheard by anyone else. For the avoidance of doubt, information of a confidential nature should only be communicated on a need-to-know basis and - in most circumstances - with the consent of the vulnerable adult.

**When reaching a decision about the disclosure of personal information the following three core ethical principles will be upheld:**

1. All individuals have a fundamental right to the confidentiality and privacy of information related to their health and social care
2. All individuals have a right to control access to and the disclosure of their own health and social care information by giving, withholding or withdrawing consent
3. For any disclosure of confidential information, those involved should always have regard to its necessity, proportionality and any risks attached to it

**However, not-with-standing the above, RitC staff members and volunteers should always be clear that in circumstances where there are concerns about an individual's safety and welfare - or the safety of others - they will always be required to pass on information that may have been received in confidence. In these circumstances, any information should be passed either to the staff members or volunteers Line Manager, or RitC's Nominated Manager.**

**RitC's Data Protection Policy:** The under-pinning principles of RitC's responsibility in relation to the gathering, storage, usage and sharing of personal information is in line with the requirements of the Data Protection Act 1998.

**Introduction:** In the course of a staff members or volunteers work with RitC, they will come into contact with, or use, confidential information relating to vulnerable adults. The Data Protection Act 1998 (the Act) contains principles affecting vulnerable adult's information and personal records. Information protected by the Act includes not only personal data held on computer but also certain manual records containing personal data e.g. vulnerable adult's information files that form part of a structured filing system. The purpose of these rules is to ensure that no RitC staff member or volunteer breaches the Act. If a staff member or volunteer is in any doubt about what can or cannot be disclosed and to whom, then the default position is not to disclose any personal information until advice has been provided by RitC's Data Protection Officer.

Under the Act, all RitC staff members and volunteers are personally accountable for their actions and can be held criminally liable if they knowingly, or recklessly, breach it. Any serious breach of data protection legislation will also be regarded as misconduct and will be dealt with under the Company's disciplinary procedures. Any access of a vulnerable adult's records - without authority - constitutes a gross misconduct offence and could lead to summary dismissal or termination of a volunteering agreement.

**The data protection principles:** There are eight data protection principles that are central to the Act. RitC and all its staff members and volunteers must comply with these principles at all times in its information-handling practices. **In brief, the principles say that personal data must be:**

1. **Processed fairly and lawfully and must not be processed unless certain conditions are met in relation to personal data - and additional conditions are met in relation to sensitive personal data.** The conditions are either that the individual has given consent to the processing, or the processing is necessary for the various purposes set out in the Act.
2. **Obtained only for one or more specified and lawful purposes, and not processed in a manner incompatible with those purposes.**
3. **Adequate, relevant and not excessive.** RitC will only collect essential personal details of vulnerable adults for whom it provides services or activities to. **Essential joining information will include:**
  - The name, address and contact number of all vulnerable adults - and where appropriate their carers, advocates or next of kin
  - Any medical and health issues or particular requirements
  - Contact with other professionals or agencies, if any.

**RitC will also keep records which reflect the vulnerable adult's ongoing engagement with the organisation. This will include records on attendance, activities participated in and any incidents, accidents and/or near misses that occur.**

## Procedure for the Management of Records, Confidentiality & Sharing of Information continued...

4. **Accurate and kept up-to-date.** Where personal information relating to a vulnerable adult changes, RitC will need to be informed promptly by so that appropriate records can be updated. RitC cannot be held responsible for any errors unless they organisation has been notified of the relevant change.
5. **Not kept for longer than is necessary:** RitC will dispose of vulnerable adult's information within the timescales that are in keeping with the requirements of the Data Protection Act.
6. **Processed in accordance with the rights of vulnerable adults under the Act.** The uses that RitC anticipates that collected will be used for can include such things as:
  - To better manage, plan and improve the services and/or activities provided
  - To help train and teach RitC staff members and volunteers
  - To help with research, but only with the vulnerable adult's agreement
  - To provide statistics about RitC services and activities delivered by the organisation - whilst ensuring that personal information will not be disclosed or used in this way and will never be shared with anyone, other than in the circumstances set out below
7. **Appropriate technical and organisational measures will be taken against unauthorised or unlawful processing of personal data and against accidental loss or destruction of, or damage to, personal data:** All written records will be stored in a secure location and accessed by authorised personnel only. Electronic records held on computers will also be appropriately secured by way of password protection and restricted access.
8. **Not transferred to a country or territory outside the European Economic Area unless that country ensures an adequate level of protection for the processing of personal data.**

**As far as the sharing of confidential information and management records are concerned, RitC will adhere to the following standards and procedures:**

**Sharing confidential information within the organisation:** Information will only be shared within RitC on a need to know basis only. RitC line managers will have access to information to check that records are being made and maintained appropriately and to enable them to identify patterns of behaviour emerging from incident reporting.

**Sharing confidential information with vulnerable adults, carers & advocates:** Vulnerable adults - as well as their carers and advocates - will always be told how information will be used before they are asked to provide it and will be given an opportunity to discuss such uses. Explanations of how information will be used will always be communicated in a way which is clearly understood - and alternative means of communication will be used where necessary.

When a vulnerable adult's information needs to be shared - **e.g.** in the case of an emergency or of suspected abuse, the vulnerable adult and/or their carer or advocate will be told what information was shared as soon as possible, whilst ensuring that this does not expose the vulnerable adult to further risk of harm.

**Sharing confidential information with external agencies:** While information about vulnerable adults is confidential, it may need to be disclosed to external agencies to ensure the care and safety of an individual, or of others, or where a crime is suspected. Vulnerable adults, in normal circumstances, can expect to see any information held by RitC about them - and RitC will take steps to inform them of this right to access their information. This right will apply to both paper and electronic records - and will include access to care records - unless any of the reasons for limiting access set out below apply.

Access will be provided, if requested, to the vulnerable adult, and, with their consent to another person acting on their behalf. RitC will, where it is possible and reasonable, require all such requests to access records to be made in writing. Regardless of how a request is received RitC will maintain records or all requests received and their outcomes.

Where a request to access of a vulnerable adult's records has to be limited, this decision will always be recorded. Circumstances in which limited access may be applied could include where any part of a record contains confidential information about other people; or information was provided by another person or agency - such as doctor or other professional - and their permission has not been obtained. There may also be a requirement to limit access to information in circumstances where a care professional thinks access would cause serious harm to the vulnerable adult's, or someone else's physical or mental well-being.

**RitC's staff members and volunteer's obligations in relation to personal information:** Any staff member or volunteer - who as part of their job duties and responsibilities - are required to collect personal information about vulnerable adults, must comply with this policy. This includes ensuring the information is processed in accordance with the Act; is only processed for the purposes for which it is held; is kept secure; and is not kept for longer than necessary. **The following guidelines must be complied with at all times:**

**Procedure for the Management of Records, Confidentiality & Sharing of Information continued...**

**All RitC staff members and volunteers must:**

- Never disclose confidential personal information to anyone except the data subject or to a person authorised by the data subject. In particular, unless the data subject has given their explicit prior written consent, personal information should not be:
  - a) Given to someone from the same family
  - b) Passed to any other unauthorised third party
  - c) Placed on the Company's website
  - d) Posted on the Internet in any form
- Be aware that those seeking information sometimes use deception in order to gain access to it. Always verify the identity of the data subject and the legitimacy of the request, particularly before releasing personal information by telephone
- Where RitC provides staff members and volunteers with code words or passwords to be used before releasing personal information - e.g. by telephone, always strictly follow the Company's requirements in this regard
- Only transmit personal information between locations by fax or e-mail if a secure network is in place - e.g. a confidential fax machine or encryption is used for e-mail
- Forward all requests for personal information about a vulnerable adult to RitC's Data Protection Officer without delay
- Keep all personal data securely, either in a locked filing cabinet or, if computerised, by it being password protected so that it is protected from unintended destruction or change and is not seen by unauthorised persons
- Not access any vulnerable adult's records without authority as this will be treated as gross misconduct and it is a criminal offence
- Never write down (in electronic or hard copy form) opinions or facts concerning a data subject which it would be inappropriate to share with that data subject
- Never remove personal information from the workplace with the intention of processing it elsewhere, unless this is necessary to enable you to carry out your job duties and has been prior authorised by a line manager
- Ensure that, when working on personal information as part of designated job duties when away from RitC's workplace - and with the prior authorisation of a line manager - the terms of this policy and the Act continue to be observed at all times, particularly in matters of data security
- Ensure that hard copy personal information is disposed of securely - e.g. by cross-shredded
- Remember that compliance with the Act is each individual's personal responsibility. If staff members or volunteers ever have any questions or concerns about the interpretation of these rules, they should immediately contact RitC's Data Protection Officer.

**An example of RitC's Essential Service User Information Form can be found in the appendix section of this Vulnerable Adult Safeguarding Policies and Procedures Handbook and further copies can be obtained from RitC's Designated Safeguarding Officer.**

**Reviewed & Updated: February 2017**

**RitC will review this Procedure for the Management of Records, Confidentiality & Sharing of Information and good practice at least annually.**

## 19. Code of Behaviour for Working with Vulnerable Adults

**Policy statement:** RitC believes that its Code of Behaviour for Working with Adults will minimise the opportunity for vulnerable adults to suffer harm. It will also help to protect RitC staff members and volunteers by ensuring they are clear about the behaviour that is expected of them and the boundaries within which they should operate. As part of the process of encouraging ownership, RitC involves its staff members and volunteers, vulnerable adults, as well as carers and advocates, in drafting and reviewing the Code of Behaviour for Working with Adults for the organisation. **The following six positive statements underpin RitC's code of behaviour:**

1. RitC will protect the rights and promote the interests of vulnerable adults and carers and advocates
2. RitC will strive to establish and maintain the trust and confidence of vulnerable adults and carers and advocates
3. RitC will promote the independence of vulnerable adults while protecting them as far as possible from danger or harm
4. RitC will respect the rights of vulnerable adults while seeking to ensure that their behaviour does not harm themselves or other people
5. RitC will uphold public trust and confidence in the work that it undertakes with vulnerable adults
6. RitC will be accountable for the quality of the organisations staff members and volunteers work and take responsibility for maintaining and improving their knowledge and skills.

**Behaviours to be avoided:** This part of the code of behaviour identifies behaviours that RitC staff members and volunteers may slip into through lack of experience or training. Although the behaviours listed below are not intentionally harmful, such behaviour can be misconstrued and could ultimately lead to allegations of vulnerable adult abuse being made. **Examples of behaviours to be avoided include RitC staff members and volunteers not:**

- Spending excessive amounts of time alone with vulnerable adults away from others
- Taking a vulnerable adult to their own home
- Taking a vulnerable adult alone on car journey, unless this forms part of RitC's core activities

**If any of the above behaviours are unavoidable or necessary, then they should only occur with the full knowledge and consent of a senior manager. At all times an appropriate record must be maintained.**

**Behaviours that will always be unacceptable:** Unacceptable behaviours are those that must always be avoided in the interests of the safety of vulnerable adults, RitC staff members and volunteers. **Examples of behaviours to be avoided and which RitC staff members and volunteers must never do include:**

- Abuse, neglect, harm or place at risk of harm vulnerable adults whether by omission or commission
- Engage in rough physical games with vulnerable adults, including horseplay
- Engage in sexually provocative games with vulnerable adults - e.g. spin the bottle and strip poker
- Make sexually suggestive comments to a vulnerable adult
- Form inappropriate relationships with vulnerable adults
- Gossip about personal details of vulnerable adults and their families
- Make and/or accept loans or gifts of money from vulnerable adults

**Where RitC staff members and volunteers are required to have physical contact and/or intimate care of a vulnerable adult they must ensure that:**

- Physical contact is person-centred and appropriate to the task required
- Training has been received to understand and implement a vulnerable adult's care plan, where required
- When providing intimate care, it is done sensitively and with respect for the individual's dignity and privacy
- If ever concerned about anything during intimate care, that it is reported without delay to RitC's Nominated Manager

**Use of physical intervention and restraint of vulnerable adults:** RitC's staff members and volunteers should only use forms of restraint for which they have received training and which follow current best practice. **However, regardless of the training received, RitC's staff members and volunteers should:**

- Seek to defuse a situation and thereby avoid the need to use any form of restraint
- Only use restraint where it is absolutely necessary to protect the vulnerable adult or others from harm
- Ensure that any restraint used is proportionate to the risk of harm
- Record and report any use of restraint
- Review any situation that led to the need for restraint with RitC's Nominated Manager with a view to avoiding the need for restraint in the future

**Code of Behaviour for Working with Vulnerable Adults continued...**

**Behaviour guidelines relating to diversity and the additional care and support needs of vulnerable adults:** RitC staff members and volunteers should always:

- Be open to, and aware of, diversity in the beliefs and practices of vulnerable adults and their families
- Ask how a vulnerable adult's care should be delivered having due regard to the cultural needs of others
- Be aware of the difficulties posed by language barriers, as well as other communication difficulties
- Ensure never to discriminate against vulnerable adults and their families who have different cultural backgrounds and beliefs from their own
- Use the procedures outlined in this handbook to report any discrimination against vulnerable adults and their families by other staff members and/or volunteers

**Behaviour guidelines relating to the handling of vulnerable adults' money:** RitC staff members and volunteers should always:

- Maintain records of vulnerable adults' personal allowances, receipts and expenditure in line with RitC's related policies
- Ensure never to deny a vulnerable adult access to their money
- Ensure never to gain in any way when using the vulnerable adult's money on their behalf, or guiding the vulnerable adult in the use of their own money
- Ensure never to borrow money from, or lend money to, a vulnerable adult
- Report any suspicions of financial abuse

**Behaviour guidelines relating to the use of technology, including photography:** RitC is conscious that new technologies - such as social networking websites and mobile phones - can be misused by those who are intent on harming or exploiting vulnerable adults. To this end, RitC staff members and volunteers should always ensure that they:

- Never photograph and/or video a vulnerable adult, even by mobile phone, without the vulnerable adult's valid consent
- Ensure that any photographs and/or videos taken of a vulnerable adult are appropriate
- Report any inappropriate use of images of a vulnerable adult
- Report any inappropriate or dangerous behaviour on the internet that involves a vulnerable adult

**RitC believes it is important that vulnerable adults are made aware of the dangers associated with new technology - such as social networking sites and the internet - and know to tell someone if they encounter anything that makes them feel unsafe or threatened.**

**Sanctions for RitC staff members and volunteers who breach this code of behaviour:** All RitC staff members and volunteers should understand the following:

- If ever unsure of the correct actions to take, or if it is felt that a breach of this code has occurred then the matter should be brought to the immediate attention of a line manager for advice
- Breaches of this code of behaviour is a serious issue that will be investigated
- Breaches of this code of behaviour may result in disciplinary action, a consequence of which could result in staff members being summarily dismissed for gross misconduct and a volunteer's agreement being terminated
- Where a breach of this code of behaviour constitutes harm and/or risk of harm then referral will be made to the police, DBS and other appropriate regulatory bodies

**Behaviour guidelines which apply to everyone in the organisation and everyone who uses RitC's services, participates in its activities or visits:** Every person that is involved with RitC - whether a manager, staff member, volunteer, vulnerable adult, visitor, participant or user of its activities and services should relate to each other in a mutually respectful way. **The following ground rules should be adhered to by everyone:**

- Have respect for each other
- Avoid the use of offensive language
- Do not use alcohol

**Any breaches of this code of behaviour by individuals using RitC services and facilities could lead to their exclusion. Where the behaviour constitutes abuse - e.g. of a peer, then referral will be made to the police for further investigation and action.**

**Reviewed & Updated: February 2017**

**RitC will review this Code of Behaviour for Working with Vulnerable Adults and good practice at least annually.**

## 20. Prevent Duty Policy

**Background:** The Prevent Duty is part of the Counter-Terrorism & Security Act 2015 and commenced with effect on 1<sup>st</sup> July 2015. Under the Prevent Duty, certain organisations working with adults have a duty to prevent people being drawn into terrorism. As such, RitC includes its Prevent Duty Policy in its Vulnerable Adults Safeguarding Policies and Procedures. **The Prevent Strategy is seeking to:**

- **Respond to the ideological challenge of terrorism and aspects of extremism, and the threat that is faced from those who promote these views**
- **Provide practical help to prevent people from being drawn into terrorism and ensure they are given appropriate advice and support**
- **Work with a wide range of sectors where there are risks of radicalisation which needs to be addressed, including education, criminal justice, faith, charities, the internet and health**

**N.B:** Extremism is vocal or active opposition to fundamental British values, including democracy, the rule of law, individual liberty and mutual respect and tolerance of different faiths and beliefs. The definition of extremism for the purposes of RitC's interpretation of its responsibilities under the Prevent Duty also includes calls for the death of members of our armed forces, whether in this country or overseas.

**Policy statement:** RitC is committed to the protection and safeguarding of all adults that utilise the services it offers. As such, RitC will have due regard to the Prevent Duty and will take the steps outlined in this Prevent Duty Policy as part of its commitment to vulnerable adult safeguarding. **Therefore, this policy demonstrates RitC's intention to:**

- **Make every effort to identify adults that may be vulnerable to radicalisation and take the appropriate action/s to protect them.**
- **Promote fundamental British Values (where our interactions permit) to help build an individual's resilience to radicalisation and enable them to challenge extremist views.**

**RitC's approach to its responsibilities will focus on four key themes as follows:**

1. **Risk assessment**
2. **Working in partnership**
3. **Staff training**
4. **IT policies**

**Each of the above core four themes are explained in greater detail below:**

1. **Risk Assessment:** As part of its risk assessment processes, RitC will undertake a risk assessment of vulnerable adults that attend and utilise its services to identify any risk of individuals being drawn into terrorism - including support for extremist ideas that are part of terrorist ideology.

Whilst RitC realises that there is no single way of identifying an individual who is likely to be susceptible to a terrorist ideology, as with managing our other safeguarding risks and responsibilities, RitC's staff members and volunteers will be alert to changes in an individual's behaviour which could indicate that they may be in need of help or protection. RitC accepts that adults at risk of radicalisation may display different signs or seek to hide their views. RitC's staff members and volunteers will use their professional judgement in identifying adults who might be at risk of radicalisation and bring any concerns they have to RitC's Designated Safeguarding Officer (DSO) who will ensure that any action taken is proportionate.

The Prevent Duty does not require RitC's staff members or volunteers to carry out unnecessary intrusion into an adults personal and or family life, but as with any other safeguarding risk, RitC must take action if there is any behaviour that raises concerns. **Possible signs of radicalisation include:**

- a) The individual's views become increasingly extreme regarding another section of society or government policy
- b) The individual becomes increasingly intolerant of more moderate views
- c) The individual expresses a desire/intent to take part in or support extremist activity
- d) They are observed downloading, viewing or sharing extremist propaganda from the web
- e) They become withdrawn and focused on one ideology
- f) The individual may change their appearance, their health may suffer (including mental health) and they may become isolated from family, friends, peers or social groups.

Staff members and volunteers should refer to RitC's Vulnerable Adults Safeguarding Policies and Procedures relating to the **Procedure for Responding to, Recording & Reporting Actual or Suspected Adult Abuse** if they have any concerns relating to an adult at risk of radicalisation. Where it is felt that there is a concern with regard to radicalisation, then RitC's Designated Safeguarding Officer will make the referral to the **Channel Programme**.

## Prevent Duty Policy continued...

**What is the Channel Programme:** The Channel is a programme which focuses on providing support at an early stage to people who are identified as being vulnerable to being drawn into terrorism. It provides a mechanism for organisations to make referrals if they are concerned that an individual might be vulnerable to radicalisation. An individual's engagement with the programme is entirely voluntary at all stages. **Further information relating to the Channel Programme is available at the end of this policy.**

- 2. Working in partnership:** RitC will continue to work with and build upon its existing local partnership arrangements with the Safeguarding Adults Boards (SAB's) - who are responsible for co-ordinating what is done by local agencies for the purposes of safeguarding and promoting the welfare of vulnerable adults. RitC will take in to account the relevant policies and procedures of the SAB's relating to the threshold guidance indicating when a vulnerable adult might be referred for support.

Where RitC's local authority provides Home Office funded dedicated Prevent co-ordinators, the organisation will work in partnership with them. In addition, RitC will work with local police and any other civil society organisations that may be able to provide advice and support to the organisation with regard to implementing the duty.

Finally, RitC will continue to work closely with parents, carers, families and advocates who are in a key position to spot signs of radicalisation. Where concerns are raised, RitC will assist and advise those involved and point them to the right support mechanisms.

- 3. Staff training:** Where RitC's risk assessment identifies a high risk of adults who use its services being at risk of radicalisation, it will ensure that the appropriate staff members and volunteers participate in the Home Office's **Workshop to Raise Awareness of Prevent (WRAP)**. As a minimum, RitC's Designated Safeguarding Officer will undertake the **WRAP** training to ensure that they are able to provide advice and support to other members of RitC's staff and volunteers on protecting adults from the risk of radicalisation.

However, as part of RitC's commitment to raise awareness generally about the Prevent Duty and the associated responsibilities, all staff members and volunteers will be required to complete the **Channel General Awareness Training** on-line module and print out their **Certificate of Completion**. The **Channel General Awareness Training Module** can be found here:

[http://course.ncalt.com/Channel\\_General\\_Awareness/01/index.html](http://course.ncalt.com/Channel_General_Awareness/01/index.html)

The **Channel General Awareness Training Module** is a free resource and takes just 25 minutes to complete. This on-line module provides an introduction to how to identify factors that can make people vulnerable to radicalisation, as well as case studies illustrating the types of intervention that may be appropriate, in addition to Channel.

- 4. IT policies:** RitC acknowledges its duty to ensure that vulnerable adults are safe from terrorist and extremist material when using the internet whilst accessing the organisations services. To this end, RitC has in place suitable internet filtering which it will ensure is regularly updated. RitC will require every person who accesses the internet via its computers (and other IT equipment that can access the internet) to sign its **E-Safety Agreement** which can be found in the **Vulnerable Adults Safeguarding Policies and Procedures Handbook**.

**All of RitC's staff members and volunteers will need to be aware of the risks posed by the online activity of extremist and terrorist groups and further guidance and advice will be provided by RitC's Designated Safeguarding Officer.**

**Reviewed & Updated: February 2017**

**RitC will review this Prevent Duty Policy and good practice at least annually.**

## **21. Building Resilience Against the Radicalisation of Vulnerable Adults Policy**

**Policy statement:** RitC acknowledges its responsibilities in helping to build the resilience - of the vulnerable adults who use its services - to radicalisation. This will be achieved through providing a safe environment for debating controversial issues and helping them to understand how they can influence and participate in decision-making. RitC will use its notice-boards and appropriate delivery opportunities to promote fundamental British values. **The British values as far as the Prevent Duty is concerned are:**

- **Democracy:** Respect for democracy and support for participation in the democratic process
- **The rule of law:** Respect for the basis on which the law is made and applies in England
- **Individual liberty:** Support and respect for the liberties of all within the law
- **Mutual respect and tolerance of different faiths and beliefs:** Support for equality of opportunity for all and respect and tolerance of different faiths and religious and other beliefs

These fundamental British values will be integrated into the work of RitC with the vulnerable adults it works with as appropriate. This will include - but is not be limited to - personal, social and health education to explore sensitive or controversial issues and equipping them with the knowledge and skills to understand and manage difficult situations. RitC will help vulnerable adults to recognise and manage risk, make safer choices, and recognise when pressure from others threatens their personal safety and wellbeing. This approach can help them develop effective ways of resisting pressures, including knowing when, where and how to get help. RitC will help the vulnerable adults it works with to develop positive character traits such as resilience, determination, self-esteem, and confidence.

In addition - and always where appropriate to the specific interaction - RitC will seek to incorporate opportunities to provide the knowledge, skills and understanding to help vulnerable adults to play a full and active part in society. Specifically, this will be to explore political and social issues critically, to weigh evidence, to debate, and to make reasoned arguments. Ultimately, the way that RitC approaches its work with vulnerable adults will always underpin the principles of democracy and give them opportunities to understand how laws are made and upheld.

As a consequence of the diverse backgrounds that the vulnerable adults that access our services come from, RitC has an excellent opportunity to reinforce the diverse national, regional, religious and ethnic identities in the United Kingdom and the need for mutual respect and understanding.

### **What to do if an RitC staff member or volunteer has a concern**

As mentioned in the **Prevent Duty Policy**, if a staff member or volunteer has a concern that a particular vulnerable adult is at risk of radicalisation, then in the first instance they should refer to RitC's **Vulnerable Adults Safeguarding Policies and Procedures Handbook**. In particular, this means following the **Procedure for Responding to, Recording & Reporting Actual or Suspected Adult Abuse**. However, in all cases, concerns should be raised with RitC's Designated Safeguarding Officer.

**Reviewed & Updated: February 2017**

**RitC will review this Building Resilience Against the Radicalisation of Vulnerable Adults Policy and good practice at least annually.**

## 22. Guidance on Prevent and the Channel Programme

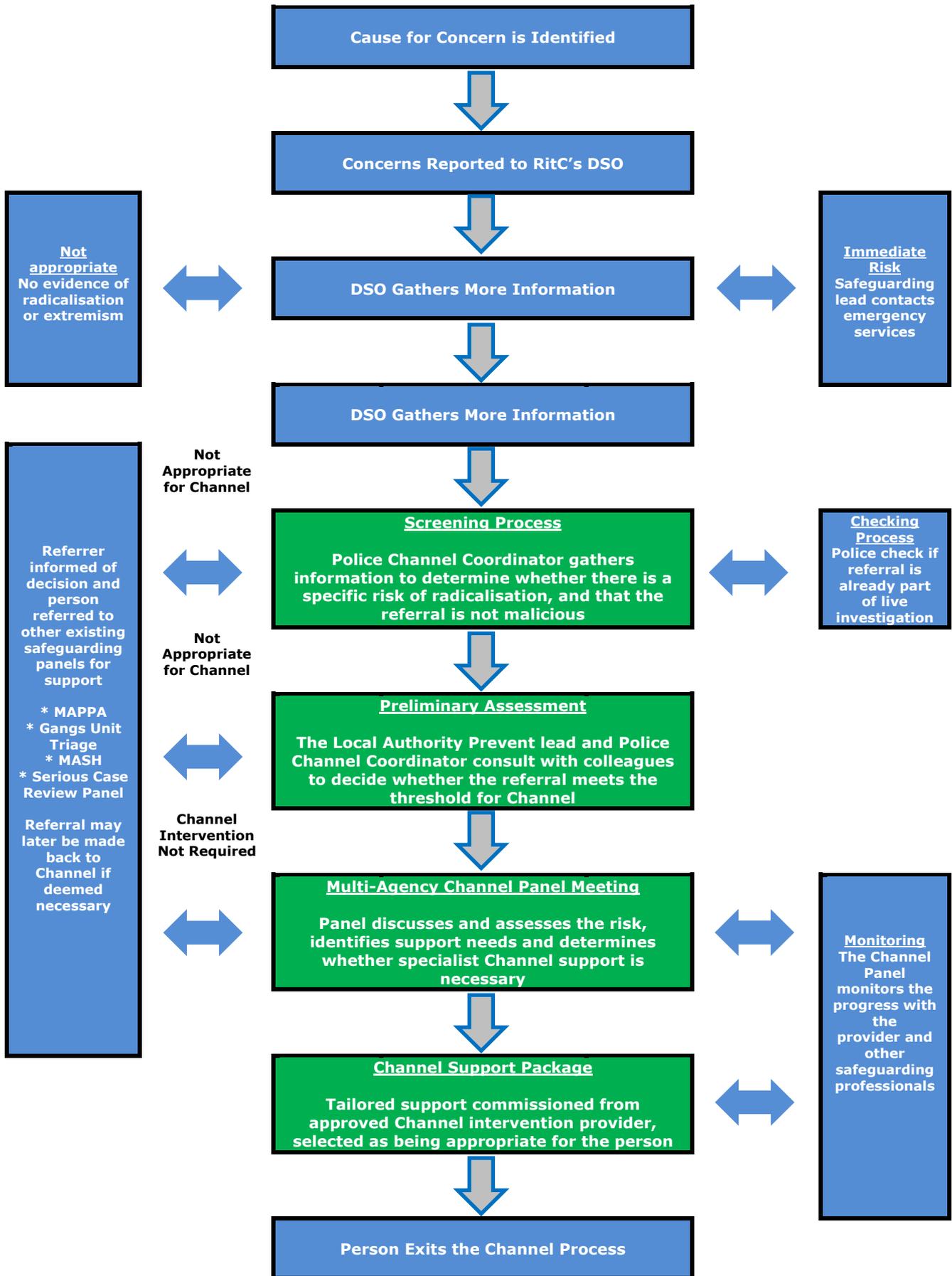
- **What is Prevent?** Prevent is the Government's strategy to stop people becoming involved in violent extremism or supporting terrorism, in all its forms. Prevent works within the non-criminal space, using early engagement to encourage individuals and communities to challenge violent extremist ideologies and behaviours.
- **What is Channel?** Channel is an early intervention multi-agency process designed to safeguard vulnerable people from being drawn into violent extremist or terrorist behaviour. Channel works in a similar way to existing safeguarding partnerships aimed at protecting vulnerable people.
- **Who does Channel work with?** Channel is designed to work with individuals of any age who are at risk of being exploited by extremist or terrorist ideologues. The process is shaped around the circumstances of each person and can provide support for any form of radicalisation or personal vulnerabilities.
- **How does Channel work?** Each Channel Panel is chaired by a local authority and brings together a range of multi-agency partners to collectively assess the risk and can decide whether a support package is needed. The group may include statutory and non-statutory partners, as well as lead safeguarding professionals. If the group feels the person would be suitable for Channel, it will look to develop a package of support that is bespoke to the person. The partnership approach ensures those with specific knowledge and expertise around the vulnerabilities of those at risk are able to work together to provide the best support.
- **What does Channel support look like?** Channel interventions are delivered through local partners and specialist agencies. The support may focus on a person's vulnerabilities around health, education, employment or housing, as well as specialist mentoring or faith guidance and broader diversionary activities such as sport. Each support package is tailored to the person and their particular circumstances.
- **How will the person be involved in this process?** A person will always be informed first if it's felt that they would benefit from Channel support. The process is voluntary and their consent would be needed before taking part in the process. This process is managed carefully by the Channel Panel.
- **Who can make a referral?** Anyone can make a referral. Referrals come from a wide range of partners including education, health, youth offending teams, police and social services.
- **What happens with the referral?** Referrals are first screened for suitability through a preliminary assessment by the Channel Coordinator and the local authority. If suitable, the case is then discussed at a Channel panel of relevant partners to decide if support is necessary.
- **Raising a concern:** If you believe that someone is vulnerable to being exploited or radicalised, please follow RitC's **Vulnerable Adults Safeguarding Policies and Procedures** and raise your concerns in confidence to RitC's Designated Safeguarding Officer, who will be responsible for raising concerns to Channel if appropriate.

**Reviewed & Updated: February 2017**

**RitC will review this Guidance on Prevent and the Channel Programme and good practice at least annually.**

**Please refer to the flowchart on the next page which identifies the Channel process for RitC**

**23. The Channel Process within Reds in the Community**



## 24. E-Safety Policy

**This policy and the procedures that it underpins apply to all RitC staff members, including senior managers, paid staff, volunteers and sessional workers, agency staff, students and anyone working on behalf of RitC. The purpose of RitC's e-safety policy is to:**

1. Protect vulnerable adults who receive RitC services and make use of information technology (such as mobile phones, games consoles and the Internet) as part of their involvement with the organisation
2. To provide RitC staff members and volunteers with the overarching principles that guide the organisations approach to e-safety;
3. To ensure that, as an organisation, RitC operate in line with its values and within the law in terms of how information technology is used

### **RitC recognises that:**

- The welfare of vulnerable adults who come into contact with its services is paramount and should govern the approach to the use and management of electronic communications technologies
- All vulnerable adults, regardless of age, disability, gender, racial heritage, religious belief, sexual orientation or identity have the right to equal protection from all types of harm or abuse
- Working in partnership with vulnerable adults, families, carers, advocates and other agencies is essential in promoting vulnerable adult's welfare and in helping them to be responsible in their approach to e-safety
- The use of information technology is an essential part of everyone's lives; it is involved in how RitC gather and store information; as well as how communication takes place. It is also an intrinsic part of the experience of vulnerable adults and is greatly beneficial to all. However, it can present challenges in terms of how it is used responsibly and, if misused either, can be actually or potentially harmful to individuals.

### **RitC will seek to promote e-safety by:**

- a. Appointing an RitC e-safety coordinator
- b. Developing a range of procedures that provide clear and specific directions to RitC staff members and volunteers on the appropriate use of ICT
- c. Supporting and encouraging the vulnerable adults using RitC services to use the opportunities offered by mobile phone technology and the internet in a way that keeps them safe and shows respect for others
- d. Supporting and encouraging parents, carers and advocates to do what they can to keep vulnerable adults safe online and when using any other forms of internet connected technology
- e. Incorporating statements about safe and appropriate ICT use into the codes of conduct both for RitC staff members and volunteers and for vulnerable adults
- f. Developing an e-safety agreement for use with vulnerable adults and their families, carers and advocates
- g. Use RitC policies and procedures to deal firmly, fairly and decisively with any examples of inappropriate ICT use, complaints or allegations - which may include breaches of filtering, illegal use, cyberbullying, or use of ICT to perpetrate abuse
- h. Informing families, carers and advocates of incidents of concern as appropriate
- i. Reviewing and updating the security of RitC's information systems regularly
- j. Providing adequate physical security for ICT equipment
- k. Ensuring that user names, logins and passwords are used effectively
- l. Using only official email accounts provided via the organisation, and monitoring these as necessary
- m. Ensuring that the personal information of RitC staff members, volunteers and service users (including service users' names) are not published on our website
- n. Ensuring that images of vulnerable adults and their families, carers and advocates are used only after their written permission has been obtained, and only for the purpose for which consent has been given
- o. Any social media tools used in the course of our work with vulnerable adults will be risk assessed in advance by the member of staff or volunteer wishing to use them
- p. Providing effective management for RitC staff members and volunteers on ICT issues, through supervision, support and training
- q. Examining and risk assessing any emerging new technologies before they are used within the organisation

**The name of our e-safety coordinator is Mark Crossfield, Education Officer and they can be contacted on 01226 211333 or 01226 211333 and/or [mark.crossfield@barnsleyfc.co.uk](mailto:mark.crossfield@barnsleyfc.co.uk)**

**An example of RitC's E-Safety Agreement for Use with Vulnerable Adults form can be found in the appendix section of this Vulnerable Adult Safeguarding Policies and Procedures Handbook and further copies can be obtained from RitC's Designated Safeguarding Officer.**

**Reviewed & Updated: February 2017**

**RitC will review this E-Safety Policy and good practice at least annually.**

**Appendix i: Recording & Reporting Concerns, Disclosures & Allegations or Suspicions of Abuse**

**This form must be used by RitC staff members & volunteers to collect the necessary information relating to concerns, disclosures & allegations or suspicions of abuse of a vulnerable adult.**

<b>Vulnerable Adult Abuse Report Form: Please answer all relevant questions as fully as possible</b>		
Full Name of Vulnerable Adult:		
Gender:	Age:	Date of Birth:
Ethnicity:	Language:	Additional Needs:
Name(s) of Carer(s) if known:		
Home Address if known:		
<b>Section 1: Disclosure by a vulnerable adult</b>		
Date & time of when the disclosure was made:		
The full name of the person that the vulnerable adult made the initial disclosure to:		
Record here what the vulnerable adult actually said using their words as much as possible:		
<b>Section 2: Indicators</b>		
Describe here any signs or indicators of abuse with dates and times where relevant:		
Record here the name/s (and relationship/s to the vulnerable adult) if they have alleged any particular person as the abuser:		
<b>Section 3: Concerns expressed by another person about a vulnerable adult</b>		
Date & time of when the concern was expressed:		
Record here the concerns that were expressed using the other person's words as much as possible:		
Where possible, ask the person that expressed the concern, that the details written above are correct.		

**Section 4: Details of any immediate action taken e.g. first aid administered etc.**

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**Section 5: Record below whether the vulnerable adult has expressed any reservation about having this matter discussed with an RitC Line Manager or RitC Nominated Manager**

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**Section 6: Identify below whether the vulnerable adult has any particular support needs**

--

**Section 7: Details of RitC staff member or volunteer completing this report form**

<b>Name:</b>		<b>Date &amp; Time of Incident:</b>
<b>Name:</b>	<b>Position:</b>	
<b>Date &amp; Time of Incident:</b>	<b>Signature:</b>	

**Section 8: Date received and actioned by RitC's staff member or volunteers Line Manger**

**Record action taken by Line Manager:**

<b>Name:</b>	<b>Position:</b>
<b>Date:</b>	<b>Signature:</b>

**Section 9: Date received and actioned by RitC's Nominated Manger**

**Record action taken by Nominated Manager:**

<b>Name:</b>	<b>Position:</b>
<b>Date:</b>	<b>Signature:</b>

**Appendix ii: Procedure for Reporting, Recording & Reviewing Accidents, Incidents & Near Misses**

**This form must be used to record Accidents, Incidents & Near Misses.**

<b>Accident/Incident/Near Miss Report Form:</b> Please circle the one that applies to this record				
Full Name of Person Involved or Injured:				
<b>** If more than one person has been involved please use a separate form for each person **</b>				
Date:		Time:		
<b>Status of person involved - Please circle the one of the following:</b>				
Vulnerable Adult	Employee	Volunteer	Visitor	Other
If "other" has been circled, please specify the status of the person:				
<b>Details of accident/incident/near miss:</b>				
Please provide details of what happened prior to the event, the details of the event being recorded and what was done immediately and by whom:				
If a drawing is helpful to this record, please use the back of this form to make the drawing.				
Please provide details of any injuries, as well as any first aid or medical treatment that was given:				
<b>Details of person completing this report form:</b>				
Name:		Position:		
Date:		Signature:		
<b>This section is to be completed by RitC management only:</b>				
Record what action is to be taken to prevent the accident, incident or near miss from happening again:				
Is a risk assessment (or support plan) review required as a result record?			Yes	No
<b>Action to be carried out by:</b>				
Name:		By date:		
<b>Reviewed by RitC line manager:</b>				
Name:		By date:		
<b>RIDDOR report confirmed by RitC Line Manager where appropriate:</b>				
Name:		Position:		

**Appendix iii: Essential RitC Service User Information**

The following information will be collected when vulnerable adults access RitC's services

<b>This information is confidential and is subject to RitC's procedures relating to the Management of Records, Confidentiality &amp; Sharing of Information Policy</b>			
RitC activity or service that is being accessed:			
<b>Personal Details:</b>			
Name of Adult:			
Address:			
Telephone No:		Mobile No:	
Is any medication being taken?			Yes
			No
If "yes" please list all medication:			
<b>Contacts for Emergencies of People in a Position to Collect this Person if Necessary:</b>			
<b>Contact 1</b>		<b>Contact 2</b>	
Name:		Name:	
Address:		Address:	
Relationship:		Relationship:	
Home Telephone No:		Home Telephone No:	
Work Telephone No:		Work Telephone No:	
Mobile No:		Mobile No:	
<b>Doctors Contact Details:</b>			
Name:			
Address:			
Telephone No:			

<b>Medical Details:</b>		
<b>Are there any medical conditions? (If "yes" please detail below)</b>	<b>Yes</b>	<b>No</b>
<b>Are there any allergies, including food &amp; medication? (If "yes" please detail below)</b>	<b>Yes</b>	<b>No</b>
<b>Is there any hearing loss? (If "yes" please detail below)</b>	<b>Yes</b>	<b>No</b>
<b>Is there any sight impairment? (If "yes" please detail below)</b>	<b>Yes</b>	<b>No</b>
<b>Record any issues relating to the following:</b>		
<b>Physical health? (If "yes" please detail below)</b>	<b>Yes</b>	<b>No</b>
<b>Mental health &amp; emotional well-being? (If "yes" please detail below)</b>	<b>Yes</b>	<b>No</b>
<b>Awareness &amp; decision making skills? (If "yes" please detail below)</b>	<b>Yes</b>	<b>No</b>
<b>Personal care &amp; daily tasks? (If "yes" please detail below)</b>	<b>Yes</b>	<b>No</b>
<b>Administration of medicines? (If "yes" please detail below)</b>	<b>Yes</b>	<b>No</b>
<b>Walking &amp; movement? (If "yes" please detail below)</b>	<b>Yes</b>	<b>No</b>
<b>Communication &amp; sensory functioning? (If "yes" please detail below)</b>	<b>Yes</b>	<b>No</b>

<b>Consent:</b>	
I agree that the information provided may be shared with other staff/volunteers/professionals who can contribute to providing me a service or activity or care.	Yes
I understand that I may withdraw my consent to share information or have further assessment at any time, but that this may affect ability to provide full services for me.	Yes
<b>If there is any information on this form that you should not be shared please specify:</b>	
The following information should not be shared:	
<b>If there is anyone that information should not be shared with, please specify:</b>	
The following people/organisations should not have access to my information:	
<b>To be completed by the person this information related to (if possible):</b>	
Name:	Date:
Signature:	
<b>To be completed if this form is signed by someone other than the vulnerable adult:</b>	
Please detail the relationship to the vulnerable adult:	
Please detail the grounds on which authority arises to sign on the vulnerable adult's behalf:	
The answer given here cannot be construed as enabling consent on behalf of the adult this form relates to.	
<b>Reviewed by RitC line manager:</b>	
Name:	By date:

**Appendix iv: E-Safety Agreement for Use with Vulnerable Adults**

<b>This e-safety agreement must be signed before a vulnerable adult can make use of RitC's ICT</b>	
RitC understands the importance of emerging technologies for vulnerable adult's education and personal development and seeks to support vulnerable adults in making use of these in the work that we undertake with them. However, RitC also recognise that safeguards need to be in place to ensure that vulnerable adults are kept safe at all times.	
<b>*** Information for Vulnerable Adults, Family Members, Carers &amp; Advocates ***</b>	
This agreement is part of RitC's Code of Behaviour. It also fits with RitC's overarching e-safety policy and the expectations that the organisation has for its staff members and volunteers in terms of their use of communications technologies - such as the internet and mobile phones. If further information is required about this agreement or RitC's Code of Behaviour, please speak to a RitC line manager; group leader or to the E-Safety Co-ordinator <b>Mark Crossfield</b> .	
<b>Instruction to Vulnerable Adults:</b>	
Please read the agreement below - with a family member, carer or advocate if required - and if there is anything that you do not understand, please discuss further with RitC's Group Leader.	
<b>Guidance for Family Members, Carers and/or Advocates of a Vulnerable Adult:</b>	
If asked to do so, please read and discuss this agreement with the vulnerable adult and ask them to sign it. If the vulnerable adult is unable to sign and someone signs on their behalf, please complete the final section below where indicated. Once this form has been completed please return it to RitC's Group Leader.	
<b>Vulnerable Adults Agreement:</b>	
<ol style="list-style-type: none"> <li>1. I will be responsible for my behaviour when using the Internet. This includes resources I access and the language I use.</li> <li>2. I will not deliberately browse, download or upload material that could be considered offensive, illegal or is linked with terrorism or extremism. If I accidentally come across any such material I will report it immediately to RitC's Group Leader.</li> <li>3. I will not send anyone material that could be considered threatening, bullying, offensive or illegal.</li> <li>4. I will not give out any personal information such as name, phone number or address.</li> <li>5. I will not reveal my passwords to anyone.</li> </ol>	
<b>Declarations:</b>	
<b>I understand that all my use of the internet and other related technologies will be monitored and logged and can be made available to the group leader.</b>	<b>Yes</b>
<b>I understand that these rules are designed to keep me safe and that if they are not followed my access to RitC's ICT will be removed.</b>	<b>Yes</b>
<b>To be completed by the vulnerable adult (if possible):</b>	
<b>I have reviewed this policy (or had it explained to me) and agree to support the safe use of ICT at RitC.</b>	
<b>Name:</b>	<b>Date:</b>
<b>Signature:</b>	
<b>To be completed below if this form is signed by someone other than the vulnerable adult:</b>	
<b>Please detail the relationship to the vulnerable adult:</b>	
<b>Please detail the grounds on which authority arises to sign on the vulnerable adult's behalf:</b>	