



# **Self Assessment Form Care Homes for Children and Young People**

## Guidance Note

***You are advised to use the accompanying guidance when completing the self assessment.***

When you complete the self assessment, it is important that you take consideration of the National Care Standards. To help you to do this, you will find **examples** of sources of evidence and questions to ask about the service, matched to National Care sub Standards (in brackets) by clicking on the **help icon** next to the Quality Statement. Some examples may not apply to your service so it is important that you take time to look at these and use those most applicable. It is not meant to be used simply as a checklist. For some services there may be other legislation or best practice which will inform how you work. This is included under the heading 'Legislation and Best Practice Signposting below:

NB: The term "service users and carers" is used throughout this document for ease of reference, but is also taken to include family members and other representatives e.g. guardians, advocates etc. The term "carer" is used to mean people who look after a partner, husband or wife, son or daughter, relative or friend with a disability or illness. Many carers live with the person they care for, but many look after someone who lives independently, in supported accommodation, in hospital, or in a care home.

The term "child" is used in this self assessment form to reflect the definition of a child who is accommodated within the terms of the Children (Scotland) Act 1995 - that is a person under the age of 18 years. Note should also be made that local authorities have responsibilities to children and young people beyond 21 if they have been accommodated children {Children (Scotland) Act 1995, section 30(3)}.

### **Legislation and Best Practice Signposting**

**When completing the self-assessment you should be aware of the provisions of the Public Services Reform (Scotland) Act 2010 and associated regulations; and, where appropriate, the Regulation of Care (Scotland) Act 2001.**

#### **Legislation**

Social Work (Scotland) Act 1968 5B

Health and Safety at Work, etc. Act 1974

Age of Legal Capacity (Scotland) Act 1991

The Looked After Children (Scotland) Regulations 2009

The Looked After Children (Scotland) Amendment Regulations 2009

Guidance on Looked After Children (Scotland) Regulations 2009 and the Adoption and Children (Scotland) Act 2007

The Support and Assistance of Young People Leaving Care (Scotland) Regulations 2003/608

Mental Health (Care and Treatment) (Scotland) Act 2003 Section 2

The Protection of Children (Scotland) Act 2003

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## Protection of Vulnerable Groups (Scotland) Act 2007

### **Publications**

It's everyone's job to make sure I'm alright (Scottish Government 2002)

'Protecting Children and Young Children and Young People - The Charter' (Scottish Government 2004)

Framework for Standards for Professionals for Child Protection (Scottish Government 2004)

Holding Safely: A guide for Residential Child Care Practitioners and Managers about Physically Restraining Children and Young Children and Young People (SIRCC 2005)

Minimising the use of physical restraint – amend 'Holding safely' (this has still to be published and it will be added as an annex to NCS for this service type)

Code of Practice for Social Service Workers (SSSC 2005)

Secure in the Knowledge (SIRCC 2005)

Extraordinary Lives (SWIA 2006)

"How good is our team? – Evaluating the performance of a social work team" (Scottish Government 2006)

Quality Improvement Framework for Integrated Services for Children, Young Children and young people and Their Families (Scottish Government 2006)

Designing with care – Interior Design in Residential Child Care (Scottish Government 2006)

Children's Rights Impact Assessment: The SCCYP Model (SCCYP 2006)

Changing Lives – report of the 21<sup>st</sup> Century Social Work Review (Scottish Government 2006)

How good is your through care and after care services? (Scottish Through Care and After Care Forum 2006)

No Time to Lose – a Manifesto for Children and Young Children and young people Looked After Away from Home (SIRCC 2006)

Getting it Right – Guidance on the child or young persons care plan (Scottish Government 2007)

Looked after Children and young people: We Can and Must Do Better (Scottish Government 2007)

Delivering a Healthy Future: An Action Framework for Children and Young people's Health in Scotland (Scottish Government 2007)

Respect me – antibullying service (Scottish Government 2007)

Safer recruitment through better recruitment (Scottish Government 2007)

A Guide to Evaluating Services For children and young people Using Quality Indicators (HMIE 2007)

The Handling of Medicines in Social Care, RPSGB 2007  
<http://www.rpsgb.org/pdfs/handlingmedsocialcare.pdf>.

Allegations against Residential Workers: Interim Guidance on How Agencies Should Respond

National Guidance for Child Protection in Scotland 2010

### **The Inspection Focus Areas (IFAs)**

Please see the SCSWIS website at [www.scswis.com](http://www.scswis.com)

### **Quality Theme 1: Quality of Care and Support**

**DOCUMENT FOR INFORMATION ONLY – DO NOT USE TO SUBMIT TO CARE INSPECTORATE**

## **Quality Statement 1.1**

We ensure that service users and carers participate in assessing and improving the quality of care and support provided by the service.

### **Sources of Evidence**

Some questions to ask yourself. You may wish to record your responses as part of the evidence you submit to us.

- Do you consider it important to know the views of children and their carers? (7.9)
- Do you have children's meetings which are recorded and the points raised actioned? (18.2)
- How have you sought views of other stakeholders, such as parents and social workers? (7.6, 7.9, 18.1, 18.2)
- What have you learned from the process? (7.9)
- How will you address any issues raised?
- Did the stakeholders grade reflect that of you and your staff?
- How regularly do you review your Aims and Functions statement and associated policies and who do you involve? (7.1)

### **Service provider evidence of strengths**

### **Areas of improvement identified by the service provider:**

**Other issues**

Please provide information about any other issues you feel are relevant when making the quality assessment.

**Target action date**

Please provide a target date by when you will complete any improvement actions you have mentioned above.

**Service provider grading**

Please provide a grade for your service under this Quality Statement. Please tick one box below.

- |  |  |   |
|--|--|---|
| <input type="checkbox"/> 6 – Excellent | <input type="checkbox"/> 5 – Very good | <input type="checkbox"/> 4 – Good           |
| <input type="checkbox"/> 3 – Adequate  | <input type="checkbox"/> 2 – Weak      | <input type="checkbox"/> 1 – Unsatisfactory |

## **Quality Statement 1.2**

We enable service users to make individual choices and ensure that every service user can be supported to achieve their potential.

### **Sources of Evidence**

Some questions to ask yourself. You may wish to record your responses as part of the evidence you submit to us.

- Are children encouraged to develop their own identity, for example are they able to choose their own clothing and hairstyles? (5.4, 8.5, 9.2 – 9.6, 10.2, 11.13, 15.1, 15.4)
- What are the child's ambitions? What have you put into place to assist the child in achieving these? (4.3, 11.16, 11.17, 13.1, 13.2, 13.7, 13.8, 14.2, 15.1, 15.2, 15.3, 15.5, 15.6, 15.8, 17.5, 17.6)
- Do your staff have ambitions for the children? (8.8, 9.1, 13.2, 13.3, 13.7, 15.5, 15.6, 17.2, 17.5, 17.6)
- Do you have parallel planning in place for young children and young people moving to an adult lifestyle including having their own tenancy? (15.2, 15.4, 15.5, 15.6, 15.7, 17.2, 17.4 – 17.7)
- Are you aware of the publication "How Good is your Through Care and Aftercare Service?" Do you use the Quality Indicators? (7.9, 17.2, 17.4)
- How have you implemented a throughcare and aftercare policy for children and young children, and young people who are looked after and accommodated? (8.4, 13.6, 15.4, 15.8, 15.9, 17.4 - 17.7)
- Are your staff aware of children's rights in law, for example consent to medical treatment? Does your care home have a statement on rights and responsibilities to ensure there are rules on behaviour, rewards and consequences. (1.1, 5.10, 6.3, 6.11, 6.13, 6.15, 8.1, 8.3, 8.4, 9.5, 11.1, 11.13 – 11.16, 12.1, 14.1, 14.6, 15.9, 15.10)
- Do children have access to a responsive and effective complaints procedure? (16.5, 18.1 – 18.3, 18.6, 18.7)
- All complaints and concerns are treated seriously. You welcome the feedback from young children and young people on all aspects of their care. How do you monitor and respond to these issues raised by the children? (18.7, 18.8, 7.6)
- Where individual choices are not able to be met, how do you communicate this in an open and transparent manner which is understandable to the child? (18.6, 19.1, 19.3).
- How do you support children in education? How successful are you at helping accommodated children achieve academic potential? (13.1 – 13.4, 13.7, 13.8, 17.5, 17.6)
- How do you know the children feel fairly treated? (7.6, 7.9, 15.10, 18.2)

**Service provider evidence of strengths**

**Areas of improvement identified by the service provider:**

**Other issues**

Please provide information about any other issues you feel are relevant when making the quality assessment.

**Target action date**

Please provide a target date by when you will complete any improvement actions you have mentioned above.

**Service provider grading**

Please provide a grade for your service under this Quality Statement. Please tick one box below.

 6 – Excellent 5 – Very good 4 – Good 3 – Adequate 2 – Weak 1 – Unsatisfactory

### **Quality Statement 1.3**

We ensure that service user's health and wellbeing needs are met.

#### **Sources of Evidence**

Some questions to ask yourself. You may wish to record your responses as part of the evidence you submit to us.

- How aware are you of the research into the health needs of looked after children? (7.8, 7.9, 11.6, 11.12, 11.16, 11.17)
- Are staff familiar with the needs of children affected by parental substance misuse? (2.5, 3.7, 6.13, 7.8, 11.18)
- Are children's mental health and wellbeing needs identified and addressed? (11.1, 11.2, 11.6, 11.11, 11.12)
- How is pathway planning used for children who are looked after and accommodated? (4.1, 4.2, 4.3, 11.9, 17.2, 17.4)
- Are the needs of children who have been affected by separation and loss identified and the children given support? (3.1, 3.2, 3.7, 7.8, 11.18)
- Do children approach staff with personal worries and concerns? (2.2, 14.4, 14.6)
- How does the service understand and address child protection issues? (1.1, 6.2, 6.3, 6.8, 6.15)
- How do you identify the health needs of individual children? (4.1, 10.1, 10.10, 11, 12)
- How do you promote continuity for children from health professionals in their life? (11.9, 11.10, 11.13, 17.2, 17.4)
- Do you have access to and use the Looked After Children (LAC) Nurse? If not, how do you ensure children receive specialist advice and help? (11.4, 11.6)
- Do you resource and encourage children to self medicate? (12.1, 12.2)
- How is the achievement of a healthy lifestyle promoted on a daily basis in your home? (8.7, 8.8, 10.1, 10.6, 11.2, 15.1, 15.2, 15.5)
- How effective is your smoking policy for staff and children? (5.10, 11.11)
- Where you have children who require intimate care – how do you resource this to ensure dignity and privacy are maintained. (5.3, 7.3, 11.6, 11.7, 12.4, 14.4)
- Where children require a range of aids, how are these maintained, stored and used? (5.2, 5.5, 7.8, 7.10, 11.7, 11.8, 16.2)
- Is staff time taken up ensuring a clean environment away from direct care time? (7.3)
- How do you know that staff are applying their training in moving and assisting, infection control and medication? (7.1, 7.2, 7.4, 7.8, 7.9, 7.10, 12.8)
- How do you promote and encourage healthy lifestyles? Are your staff good role models for children? (5.10, 7.8, 8.2)

**Service provider evidence of strengths**

**Areas of improvement identified by the service provider:**

**Other issues**

Please provide information about any other issues you feel are relevant when making the quality assessment.

**Target action date**

Please provide a target date by when you will complete any improvement actions you have mentioned above.

**Service provider grading**

Please provide a grade for your service under this Quality Statement. Please tick one box below.

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## **Quality Statement 1.4**

We use a range of communication methods to ensure we meet the needs of service users.

### **Sources of Evidence**

Some questions to ask yourself. You may wish to record your responses as part of the evidence you submit to us.

- How do you involve children, families and others in the provision of care? (1.1, 2.4, 3.1, 3.3, 4.1, 7.9, 18.1, 18.3)
- What expectations do you place on the child's social worker –how do you monitor contact and follow through on failed expectations? (2.4, 2.6)
- What are the opportunities you give for children to feedback/raise issues on their experience? (7.9, 18.1, 18.2)
- Are parents and friends of children able to visit freely and where appropriate participate in the care of the child? (3.1, 3.2, 3.3)
- What advocacy groups are involved with the children? (19.10, 19.2, 19.3)
- Do staff attend parents nights and other family activities for the child at school and in the wider community? (8.7, 9.5, 13.8)
- Are young adults and children who no longer live in the home able to visit for support and maintenance of relationships? (17.9)
- How do staff and children contribute at a local and national level to the debates and developments for residential child care? (7.9)
- Are children are involved in the recruitment of staff? (7.7)
- How do staff know, and find out, about children's interests and build on these? How do you ensure that staff and children have a shared understand and respect differing opinions? (9.2, 15.1)

### **Service provider evidence of strengths**

**Areas of improvement identified by the service provider:**

**Other issues**

Please provide information about any other issues you feel are relevant when making the quality assessment.

**Target action date**

Please provide a target date by when you will complete any improvement actions you have mentioned above.

**Service provider grading**

Please provide a grade for your service under this Quality Statement. Please tick one box below.

- |  |  |   |
|--|--|---|
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## **Quality Statement 1.5**

We respond to service users' care and support needs using person centred values.

### **Sources of Evidence**

Some questions to ask yourself. You may wish to record your responses as part of the evidence you submit to us.

- Do you understand the purpose of placement for each child in the care of your establishment? (2.5, 2.6, 2.7, 3.1, 3.6, 4.1, 4.4)
- Has each child got a care plan to which they have contributed? (1.1, 3.6, 4.1, 4.2, 4.3, 9.2, 9.5, 11.9, 13.7, 14.4, 16.5, 18.2, 19.3)
- Does the child attend and contribute to reviews, including Children's Hearings? (1.1, 4.2, 11.1, 11.9, 13.7, 16.1, 16.5, 18.5, 19.1, 19.2, 19.3)
- How are all young children and young people supported to access individual advocacy when required? (4.3, 8.6, 9.6, 14.2, 15.4, 16.3, 19.1, 19.2, 19.3)
- For children with special needs, how do you ensure they have the necessary resources to meet their needs? (1.1, 4.3, 5.5, 6.8, 7.3, 7.10, 10.9, 11.6, 11.7, 11.8, 11.9, 13.1, 14.4, 16.2, 16.3, 16.4, 18.5)
- What evidence is there, through team meetings and changeover meetings, that the needs of each child are being followed up on a daily basis in accordance with the Care Plan. (3.4, 6.14, 7.4)
- How are children encouraged and supported to develop as individuals?
- Do children take part in community and leisure facilities? How are they encouraged and supported to make friends within the wider community, including their own community (1.1, 3.1, 3.2, 8.5, 8.7, 9.5, 9.6, 10.6, 13.5, 14.1, 15.1, 15.2, 15.5, 15.8, 17.2, 17.5, 17.6)
- What have been the new and varied experiences you have given each child in your care in the last 3 months? (7.6, 15.1, 15.2)
- How do you assess and report on a child's progress? Is it based on how they are dealing with life in a group living situation or other? (4.1, 15.10)
- How do your staff describe their direct work with young children and young people in supervision? How does this relate to the care plan and the needs of the child in question? (4.1, 7.2, 7.6, 7.8, 7.9)
- Do you sample records to ensure that staff are following through on a daily basis the care plan? (4.1, 6.11, 7.6)
- When dealing with children's needs does risk assessment become risk aversion? How do you ensure that accommodated children have the same developmental opportunities as all children in society? (11.4, 11.14, 12.1, 13.1, 13.2, 13.5, 14.2, 15.1, 15.2, 15.4, 15.5, 17.5, 17.6)
- How clear are a child's educational needs identified in the care plan? Are they given sufficient importance? (4.1). (13.5). (13.7). (17.5). (17.6)
- Are children and families and other stakeholders been consulted in the drafting of policies that affect them? (7.6, 7.9)
- Are impact assessments considered and used in formulating policies? (7.6, 7.9)

**Service provider evidence of strengths**

**Areas of improvement identified by the service provider:**

**Other issues**

Please provide information about any other issues you feel are relevant when making the quality assessment.

**Target action date**

Please provide a target date by when you will complete any improvement actions you have mentioned above.

**Service provider grading**

Please provide a grade for your service under this Quality Statement. Please tick one box below.

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**Quality Statement 1.6**

People who use, or would like to use the service, and those who are ceasing the service, are fully informed as to what the service provides

**Sources of Evidence**

Some questions to ask yourself. You may wish to record your responses as part of the evidence you submit to us.

- How informative, reader friendly and accurate is the home's handbook for parents and placing social workers? When did you last review it? Is it available in different communication formats? (1.1)
- Are there specific handbooks available for young children and young people, and are young children and young people involved in the production of the handbook? (15)
- Can children visit and stay in the home as part of a planned move? (2.2)
- How robust are your arrangements to ensure all parties have the necessary information when the admission is made on an emergency basis? (2.6)
- How often do staff contact parents to discuss the progress of children? (3.4, 4.1, 6.14)
- How do you evidence that the information booklet has the information that children and parents say would be helpful? (7.9)

**Service provider evidence of strengths**

**Areas of improvement identified by the service provider:**

**Other issues**

Please provide information about any other issues you feel are relevant when making the quality assessment.

**Target action date**

Please provide a target date by when you will complete any improvement actions you have mentioned above.

**Service provider grading**

Please provide a grade for your service under this Quality Statement. Please tick one box below.

- |  |  |   |
|--|--|---|
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## **Quality Theme 2: Quality of Environment**

### **Quality Statement 2.1**

We ensure that service users and carers participate in assessing and improving the quality of the environment within the service.

### **Sources of Evidence**

Some questions to ask yourself. You may wish to record your responses as part of the evidence you submit to us.

- What do stakeholders think of the environment? (7.9)
- Does the information booklet reflect reality? (7.9)
- What do children think of the environment? (7.9, 18.1, 18.2)
- How do you know children and staff feel valued and respected? (7.9)

### **Service provider evidence of strengths**

### **Areas of improvement identified by the service provider:**

**Other issues**

Please provide information about any other issues you feel are relevant when making the quality assessment.

**Target action date**

Please provide a target date by when you will complete any improvement actions you have mentioned above.

**Service provider grading**

Please provide a grade for your service under this Quality Statement. Please tick one box below.

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## **Quality Statement 2.2**

We make sure that the environment is safe and service users are protected.

### **Sources of Evidence**

Some questions to ask yourself. You may wish to record your responses as part of the evidence you submit to us.

- What do you see, smell and hear in your observations of the environment? (5.1, 5.2, 5.10, 6.4, 6.8, 6.9)
- How do you evidence that children feel safe living in the home? (7.6, 7.9)
- Do you have a safe recruitment procedure in place and when did you last audit or review it? (7.7)
- How do you ensure children feel safe, protected and valued in a strong, sustained and committed relationship with at least one carer. (2.2, 7.3)
- Do you have sufficient staff to support activities, develop relationships with children and families and to actively listen to children? (6.1, 7.3)
- How do you ensure staff are fully conversant with child protection policy and procedures? (6.2, 7.1, 7.2, 7.8)
- In what ways does the home protect children without restricting them inappropriately? (5.8, 6.11, 6.12, 6.15, 8.5, 9.3, 15.5, 15.9)
- Is there is a door bell and can the front door be accessed from the outside without a key or someone opening the door from the inside? (6.4)
- What security is in place to ensure safe internet access? When was it last reviewed? (6.15)
- How do you ensure that the quality of the furnishings, equipment and decoration are safe and well maintained? (5.2, 6.7, 11.8)
- How have you built positive relationships with the community/juvenile liaison police officers? (6.3, 17.2)
- Is your home reliant on the police in intervening with children with challenging behaviours? (6.11, 6.12)
- Do you have systems internal and external to audit incident records to ensure appropriate interventions have taken place? (6.14, 7.4, 7.6, 7.9)
- Who counsels children after a serious incident? Is it the same staff who were involved in the incident? Who counsels staff after a serious incident? (6.11)
- How do you evidence that children feel fairly treated? (7.9)
- What advocacy services are available to children – when was the last visit? (19.1)
- How do you evidence that children feel protected from bullying? (6.8, 6.9)
- Who ensures staff have an awareness and understanding of the importance of infection control in all the tasks and activities they carry out. (5.1, 10.5, 7.8)
- How often do you check the contents of records and make comments to staff as part of your own quality assurance system? (7.2, 7.6, 7.9)
- How often are vehicles serviced and checked? (6.16)

**Service provider evidence of strengths**

**Areas of improvement identified by the service provider:**

**Other issues**

Please provide information about any other issues you feel are relevant when making the quality assessment.

**Target action date**

Please provide a target date by when you will complete any improvement actions you have mentioned above.

**Service provider grading**

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### **Quality Statement 2.3**

The environment allows service users to have as positive a quality of life as possible.

### **Sources of Evidence**

Some questions to ask yourself. You may wish to record your responses as part of the evidence you submit to us.

- How homely is the accommodation? (5.1, 5.2, 5.8, 5.12)
- In what ways are children able to personalise the living space? (9.2)
- Does the environment, furnishings and resources encourage the child to continue with learning both academic and social? (3.3, 5.9, 13.4, 15.5, 16.2)
- Is the home institutional? (5.1, 5.2)
- How do you evidence that children feel fairly treated? (7.9)
- How do you evidence that children and staff feel valued? (7.9, 8.2)

### **Service provider evidence of strengths**

### **Areas of improvement identified by the service provider:**

**Other issues**

Please provide information about any other issues you feel are relevant when making the quality assessment.

**Target action date**

Please provide a target date by when you will complete any improvement actions you have mentioned above.

**Service provider grading**

Please provide a grade for your service under this Quality Statement. Please tick one box below.

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**Quality Statement 2.4**

The accommodation we provide ensures that the privacy of service users is respected.

**Sources of Evidence**

Some questions to ask yourself. You may wish to record your responses as part of the evidence you submit to us.

- Do children have a choice of a single room if they want one, or if their identified needs indicate this requirement? (5.3, 5.4)
- Do children have access to a lockable space for their personal belongings? (5.7)
- Does the information booklet outline the facilities and policies of the home? (1.1)
- Are children and families and other stakeholders been consulted in the drafting of policies that affect them? (7.9)
- How are the needs of children considered when formulating policies and procedures?
- How do you ensure children's personal information is stored safely – where and how do staff discuss children? (3.5, 7.1)

**Service provider evidence of strengths****Areas of improvement identified by the service provider:**

**Other issues**

Please provide information about any other issues you feel are relevant when making the quality assessment.

**Target action date**

Please provide a target date by when you will complete any improvement actions you have mentioned above.

**Service provider grading**

Please provide a grade for your service under this Quality Statement. Please tick one box below.

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## **Quality Theme 3: Quality of Staffing**

### **Quality Statement 3.1**

We ensure that service users and carers participate in assessing and improving the quality of staffing in the service.

#### **Sources of Evidence**

- Participation strategy (7.9, 18.1, 18.2)
- Service user questionnaires, minutes of consultation meetings etc. (7.9)
- Recruitment and retention policies (7.1)
- Training plans (7.8)

Some questions to ask yourself. You may wish to record your responses as part of the evidence you submit to us.

- Do you have a participation strategy which reflects the way in which you engage with service users and carers? (7.1, 7.9, 18.1, 18.2)
- How has the service user and carer participation led to service improvements in respect of staffing? (7.9, 18.1)
- How does your service take into account the views of service users about staffing in your service (e.g. questionnaires, group or individual consultation meetings)? (7.9, 18.1)
- To what extent do you involve service users and carers in the recruitment and selection of staff? (7.7, 7.9, 18.1)
- To what extent do you involve service users and carers in the development of staff training plans? (7.9)
- How do you take the views of carers into account in determining the strengths and areas of development of the service in respect of staffing? (7.9, 18.1)
- What recent service improvements have you made, in respect of staffing, as a result of taking into account service users and carers' views? (7.9)
- How has service user/carer feedback helped to grade this Quality Theme related to staffing?

#### **Service provider evidence of strengths**

**Areas of improvement identified by the service provider:**

**Other issues**

Please provide information about any other issues you feel are relevant when making the quality assessment.

**Target action date**

Please provide a target date by when you will complete any improvement actions you have mentioned above.

**Service provider grading**

Please provide a grade for your service under this Quality Statement. Please tick one box below.

- |  |  |   |
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| <input type="checkbox"/> 3 – Adequate  | <input type="checkbox"/> 2 – Weak      | <input type="checkbox"/> 1 – Unsatisfactory |

### **Quality Statement 3.2**

We are confident that our staff have been recruited, and inducted, in a safe and robust manner to protect service users and staff.

#### **Sources of Evidence**

- Recruitment and retention policies (7.1)
- Staff files (7.1)
- Adult and child protection policies (5.8, 6.2, 6.11, 6.12, 6.15, 7.1, 7.2, 7.8, 8.5, 9.3, 15.5, 15.9)
- Induction programme (7.8)
- Disclosure Scotland and/or PVG scheme checks (7.7)
- Checks with professional bodies (e.g. SSSC, NMC, GMC) (7.7)
- Staffing arrangements including rotas (7.3)

Some questions to ask yourself. You may wish to record your responses as part of the evidence you submit to us.

- Do you operate an effective, safe and transparent recruitment and retention policy and procedures? (7.1)
- Do you have an equal opportunities policy which you monitor to ensure equality and fairness for staff including race, religion, ethnicity, disability and gender? (7.1)
- Do your staff files reflect that you have followed robust procedures and the appropriate checks have been undertaken (e.g. Disclosure Scotland and/or PVG scheme checks, SSSC, GMC, NMC) for all staff grades and volunteers? (7.1, 7.7)
- Have you recruited staff in appropriate numbers and skill mix to meet the aims and objectives of the service and the needs of service users? (7.7, 7.8)
- Are your staff registered with the relevant professional body (e.g. SSSC, GMC, NMC)? (7.7, 7.9)
- Do your staff undergo a comprehensive induction programme? What does this cover? (7.8)
- How does your service promote an open and transparent environment such that your staff are confident in reporting poor practice? Do your staff view feedback with defensiveness or as an opportunity? (7.6, 7.8, 7.9)
- How do you ensure that your staff have a good knowledge of your adult and child protection policies and a clear understanding of their roles and responsibilities in respect of adult and child protection? (5.2, 5.8, 6.2, 6.11, 6.12, 6.15, 7.1, 7.2, 7.8, 8.5, 9.3, 15.5, 15.9)

**Service provider evidence of strengths**

**Areas of improvement identified by the service provider:**

**Other issues**

Please provide information about any other issues you feel are relevant when making the quality assessment.

**Target action date**

Please provide a target date by when you will complete any improvement actions you have mentioned above.

**Service provider grading**

Please provide a grade for your service under this Quality Statement. Please tick one box below.

 6 – Excellent 5 – Very good 4 – Good 3 – Adequate 2 – Weak 1 – Unsatisfactory

### **Quality Statement 3.3**

We have a professional, trained and motivated workforce which operates to National Care Standards, legislation and best practice.

#### **Sources of Evidence**

- Policies and procedures e.g. recruitment, whistleblowing, service user protection (7.1, 7.4)
- Induction programme (7.8)
- Staff development strategy/Annual training plan (7.8)
- Staff records including professional development, education and training (7.1)
- Records of communication with staff, service users and carers, other agencies (7.6, 7.9)
- Exit interviews (7.1)

Some questions to ask yourself. You may wish to record your responses as part of the evidence you submit to us.

- What relevant policies do you have in place to support this Quality Statement e.g. recruitment, whistleblowing, confidentiality, protection of vulnerable adults and child protection? How do you ensure that staff are aware of these policies and procedures and can implement them appropriately? (7.1, 7.7, 7.8)
- How does individual staff development link into your staff development strategy, e.g. framework for staff supervision, continuous professional development, education and training programmes which ensures that staff are adequately trained to meet the needs of the service users? Do your staff records reflect this? (7.8, 7.9)
- How do your staff work to relevant professional Codes of Practice (e.g. SSSC, NMC, GMC)? (7.8)
- How do you ensure that your staff are aware of the National Care Standards, research and best practice and how do they use these to inform their, and others', day to day practice? (7.6, 7.8)
- How do you ensure that your staff work in effective teams which deliver good outcomes for service users? (7.2, 7.7 – 7.9)
- Can your staff demonstrate a knowledge of the needs of the service users and do they plan service users' care accordingly? (7.7, 7.8)
- How do your staffing arrangements promote continuity of care? (7.2, 7.3)
- Are your staff clear about lines of communication and accountability? e.g. would staff state that engagement with management and other staff is positive? What is the communication network across departments and between management and other staff? (7.2)
- What mechanisms are in place which support your staff to liaise appropriately with other professionals and agencies? (7.6, 7.9)
- Does your service/organisation have an open and transparent environment such that your staff are confident in reporting poor practice? (7.7 – 7.9)
- Do your policies and practice support staff retention? (7.1 – 7.3)

**Service provider evidence of strengths**

**Areas of improvement identified by the service provider:**

**Other issues**

Please provide information about any other issues you feel are relevant when making the quality assessment.

**Target action date**

Please provide a target date by when you will complete any improvement actions you have mentioned above.

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**Service provider grading**

Please provide a grade for your service under this Quality Statement. Please tick one box below.

 6 – Excellent 5 – Very good 4 – Good 3 – Adequate 2 – Weak 1 – Unsatisfactory

### **Quality Statement 3.4**

We ensure that everyone working in the service has an ethos of respect towards service users and each other.

#### **Sources of Evidence**

- Policies and procedures (7.1, 7.4)
- Participation strategy, minutes of meetings etc. (7.9, 18.1, 18.2)
- Staff training records (7.9)

Some questions to ask yourself. You may wish to record your responses as part of the evidence you submit to us.

- How do you ensure that there are clear procedures for setting standards of conduct, care and welfare? (7.1)
- How would your staff demonstrate that they have a good knowledge of the National Care Standards (NCS) and the principles, including how these have had a direct impact on their work with service users? (7.8)
- How do your policies and procedures reflect the NCS and principles? (7.1, 7.8)
- Staff and carers can describe a culture of the service which reflects good values and your staff can be observed putting these values into practice, interacting positively with service users and being responsive to service users' needs? (7.9, 18.1, 18.2)
- Are your staff trained in the promotion of the principles of equality and diversity and what evidence do you have that they operate in accordance with these principles? (7.9, 7.10, 8.1)
- How do your staff encourage service users to express their views and ask questions? (7.9, 18.1, 18.2)
- What opportunities do you provide for both your staff and service users to discuss matters in confidence? (18.2)
- If asked, would your service users report that staff are respectful and caring and treat them with dignity? (6.8 – 6.13)

#### **Service provider evidence of strengths**

**Areas of improvement identified by the service provider:**

**Other issues**

Please provide information about any other issues you feel are relevant when making the quality assessment.

**Target action date**

Please provide a target date by when you will complete any improvement actions you have mentioned above.

**Service provider grading**

Please provide a grade for your service under this Quality Statement. Please tick one box below.

- |  |  |   |
|--|--|---|
| <input type="checkbox"/> 6 – Excellent | <input type="checkbox"/> 5 – Very good | <input type="checkbox"/> 4 – Good           |
| <input type="checkbox"/> 3 – Adequate  | <input type="checkbox"/> 2 – Weak      | <input type="checkbox"/> 1 – Unsatisfactory |

## **Quality Theme 4: Quality of Management and Leadership**

### **Quality Statement 4.1**

We ensure that service users and carers participate in assessing and improving the quality of the management and leadership of the service.

#### **Sources of Evidence**

- Participation strategy (7.9, 18.1, 18.2)
- Service user questionnaires, minutes of consultation meetings etc. (7.9)
- Corporate plan/annual report/statement of aims and objectives (7.1)

Some questions to ask yourself. You may wish to record your responses as part of the evidence you submit to us.

- Do you have a participation strategy which reflects the way in which you engage with service users and carers? (7.1, 7.9, 18.1, 18.2)
- How has service user and carer participation influenced the strategic direction of your service? (7.9)
- How do you take into account the views of service users in respect of development of the strategic direction of your service (e.g. questionnaires, group or individual consultation meetings)? (7.9)
- How have you involved service users in undertaking this self assessment process? (7.9, 18.1, 18.2)

#### **Service provider evidence of strengths**

#### **Areas of improvement identified by the service provider:**

**Other issues**

Please provide information about any other issues you feel are relevant when making the quality assessment.

**Target action date**

Please provide a target date by when you will complete any improvement actions you have mentioned above.

**Service provider grading**

Please provide a grade for your service under this Quality Statement. Please tick one box below.

- |  |  |   |
|--|--|---|
| <input type="checkbox"/> 6 – Excellent | <input type="checkbox"/> 5 – Very good | <input type="checkbox"/> 4 – Good           |
| <input type="checkbox"/> 3 – Adequate  | <input type="checkbox"/> 2 – Weak      | <input type="checkbox"/> 1 – Unsatisfactory |

## **Quality Statement 4.2**

We involve our workforce in determining the direction and future objectives of the service.

### **Sources of Evidence**

- Communication records with staff (e.g. minutes of team meetings, staff questionnaires) (7.1, 7.9)
- Staff supervision/appraisal records (7.1)
- Staff professional development and training records (7.8)

Some questions to ask yourself. You may wish to record your responses as part of the evidence you submit to us.

- Are your staff knowledgeable about the strategic plan, and aims and objectives of the service, and are consulted when aims and objectives are developed? How are staff offered the opportunity to influence the strategic direction of your service? (7.1, 7.9)
- How would staff describe the culture of leadership and management in your service? (7.6, 7.9)
- How do you encourage your staff to bring new ideas and learning into the service? (7.6, 7.9)
- Do you consult your staff about how their time and skills are deployed in the service? What influence do your staff have on staffing/staff management issues? (6.1, 7.2, 7.9)
- How do you promote an effective learning culture for your service/organisation, including providing access to resources to enable staff to keep up to date about the care sector in which your service operates (e.g. websites, journals, magazines and reports)? (7.2, 7.6, 7.9)

### **Service provider evidence of strengths**

**Areas of improvement identified by the service provider:**

**Other issues**

Please provide information about any other issues you feel are relevant when making the quality assessment.

**Target action date**

Please provide a target date by when you will complete any improvement actions you have mentioned above.

**Service provider grading**

Please provide a grade for your service under this Quality Statement. Please tick one box below.

- |  |  |   |
|--|--|---|
| <input type="checkbox"/> 6 – Excellent | <input type="checkbox"/> 5 – Very good | <input type="checkbox"/> 4 – Good           |
| <input type="checkbox"/> 3 – Adequate  | <input type="checkbox"/> 2 – Weak      | <input type="checkbox"/> 1 – Unsatisfactory |

### **Quality Statement 4.3**

To encourage good quality care, we promote leadership values throughout our workforce.

#### **Sources of Evidence**

- Training records (7.9)
- Appraisal/supervision records (7.1, 7.2, 7.8)
- Staff surveys (7.9)
- Corporate plan/annual report/statement of aims and objectives (7.1)

NB References to "Managers" means owners, managers, a board etc. as appropriate.

Some questions to ask yourself. You may wish to record your responses as part of the evidence you submit to us.

- Is it clearly defined who is responsible for planning within your service and updating your service's strategic aims and objectives, including updating policies, staff management structure and staff training to deliver new strategic developments? (7.1, 7.8, 7.9)
- How do you ensure that your staff understand the aims and objectives contained in your corporate plan/annual report/statement of aims and objectives, and are they committed to them? (7.1, 7.9)
- Do your managers have aims and objectives which clearly define their leadership responsibilities? (7.2, 7.8, 7.9)
- Do your staff demonstrate effective leadership qualities and communication skills which foster effective working relationships between staff and service users? (7.8, 7.9)
- How do you motivate your managers and staff to become leaders? What evidence do you have that you have achieved this outcome? (7.9)
- What systems do you have in place to support staff to develop their leadership skills and management of change? (7.8)
- Do you make leadership training accessible to all staff? (7.8)
- What evidence do you have that staff success is recognised and celebrated? (7.6)
- Do you promote staff autonomy and decision making in a supportive environment? (7.6, 7.9)
- How do the leadership values in your service ensure that staff are continually striving towards achieving high quality evidence-based relationship centred care? (7.9)

**Service provider evidence of strengths**

**Areas of improvement identified by the service provider:**

**Other issues**

Please provide information about any other issues you feel are relevant when making the quality assessment.

**Target action date**

Please provide a target date by when you will complete any improvement actions you have mentioned above.

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**Service provider grading**

Please provide a grade for your service under this Quality Statement. Please tick one box below.

 6 – Excellent 5 – Very good 4 – Good 3 – Adequate 2 – Weak 1 – Unsatisfactory

#### **Quality Statement 4.4**

We use quality assurance systems and processes which involve service users, carers, staff and stakeholders to assess the quality of service we provide.

#### **Sources of Evidence**

- Corporate plan/annual report/statement of aims and objectives (7.1, 7.9)
- Quality assessment policies, methods and records of reviews and updates (7.1)
- Quality assurance models (7.1, 7.6, 7.9)
- Best value review (7.9)
- Self evaluation process (7.9)
- Records of consultation with stakeholders including service users and carers (7.9, 18.1, 18.2)
- Quality Assurance Awards (7.6, 7.9)
- Complaints procedure including access to advocacy (18.6)

Some questions to ask yourself. You may wish to record your responses as part of the evidence you submit to us.

- How do you assure quality in your service? (7.1, 7.6, 7.9)
- What quality assurance models do you use/participate in(e.g. Scottish Government Self Evaluation document "How good is our team", Investors in People, scrutiny from external bodies)? (7.6, 7.9)
- How often do you review the quality systems you have in place? (7.9)
- How are service users involved with your quality assurance and self evaluation process? (7.9, 18.1, 18.2)
- What methods have you developed to encourage feedback from stakeholders e.g. service users and carers, social workers and external regulators and agencies? (7.9)
- What action have you taken in response to feedback from service users and carers and other stakeholders and how has this improved the service? (7.9)
- Have you developed, submitted and implemented an action plan to take account of any requirements and recommendations from regulatory activity? (7.9)
- How does quality assurance inform staff supervision? (7.2, 7.9)
- Do you make notifications to stakeholders, SCSWIS, SSSC and other professional bodies? (6.11, 6.14, 7.1, 7.4, 7.5, 7.6)

**Service provider evidence of strengths**

**Areas of improvement identified by the service provider:**

**Other issues**

Please provide information about any other issues you feel are relevant when making the quality assessment.

**Target action date**

Please provide a target date by when you will complete any improvement actions you have mentioned above.

**Service provider grading**

Please provide a grade for your service under this Quality Statement. Please tick one box below.

 6 – Excellent 5 – Very good 4 – Good 3 – Adequate 2 – Weak 1 – Unsatisfactory