

FX0W 04 (EA2) Assess Offenders for Risk Factors and Levels of Risk Associated with their Behaviour

Elements of competence

- EA2.1 Gather information regarding the individual and their circumstances
- EA2.2 Assess the information, identifying risk and protective factors
- EA2.3 Identify the individual's need for appropriate interventions

About this Unit

This standard is about assessing the risks associated with an individual's offending behaviour as part of managing these risks in preventing the offending and/or re-offending of individuals. It includes involving the individual, wherever possible, in the assessment, and in informing the consequent factors and needs to be addressed. Where an assessment tool is used, this can be paper-based and/or electronic. For the purposes of these standards 'risk' is taken to mean, 'the probability that an event or behaviour carrying the possibility of an adverse or negative outcome will occur', (Kemshall, 1998).

The resultant outcomes will then inform the development and implementation of appropriate intervention plans, activities which are addressed in related Units of national occupational standards.

Evidence Requirements for the Unit

It is essential that you adhere to the Evidence Requirements for this Unit — please see details overleaf.

SPECIFIC EVIDENCE REQUIREMENTS FOR THIS UNIT
Simulation:
◆ Simulation is permitted for this Unit.
The following forms of evidence ARE mandatory:
<ul style="list-style-type: none">◆ Direct observation: Your assessor or expert witness must observe you in real work activities that provide a significant amount of the Performance Criteria for most of the Elements in this Unit. For example your assessor may see you obtaining and verifying information from the offender and/or others involved. The information may be needed for risk assessment, pre-sentence reports, decisions relating to bail, planning and reviewing community and custodial sentences.◆ Reflective account/Professional discussion: These will be an explanation or a description of your practice in particular situations based on current working practices. For example an account of a meeting with the offender and/or others involved. An account of how you have gained and from whom you have obtained this information, the communication skills used and the process of evaluating the information. You should also demonstrate a knowledge of your agency's policies and procedures in relation to the information gathered and their purpose.
Competence of performance and knowledge could also be demonstrated using a variety of evidence from the following:
<ul style="list-style-type: none">◆ Questioning/Professional discussion: May be used to provide evidence of knowledge, legislation, policies and procedures that cannot be fully evidenced through direct observation or reflective accounts. In addition the assessor/expert witness may also ask questions to clarify aspects of your practice.◆ Expert witness: A designated expert witness may provide direct observation of practice, questioning, undertaking a professional discussion or providing feedback on a reflective account. Working with offending behaviour can pose a number of challenges for direct observation of practice by assessors not based in the Workplace and it is vital that expert witnesses are identified at the planning stage as they will be required to work closely with your assessor in the evidence gathering process.◆ Witness testimony: can be a confirmation or authentication of the activities described in your evidence that your assessor has not seen. A work colleague or another key person could provide this. It is NOT appropriate to use witness testimony from any offenders/member of their family or circle of friends.◆ Products: These can be records and reports you have produced for example risk assessments, incident records and/or any agency approved forms and records.◆ Due to the nature of this Unit considerable care should be given to the inclusion of any anonymised records in your portfolio. They should remain where they are normally stored and checked for their authenticity by your assessor as well as occasionally by your verifier. Where records are included great care should be taken to ensure they are anonymised to ensure confidentiality.

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GENERAL GUIDANCE

- ◆ Prior to commencing this Unit you should agree and complete an assessment plan with your assessor which details the assessment methods (including potential products) and the tasks you will be undertaking to demonstrate your competence.
- ◆ Evidence must be provided for ALL of the Performance Criteria ALL of the knowledge and parts of the range/scope that are relevant to your job.
- ◆ Candidates and assessors should ensure that knowledge evidence should be **integrated** into the reflective accounts, direct observations and if appropriate in professional discussions. Care should be taken to **avoid** assessment of knowledge through set or banks of questions as they generally do not reflect real work practice.
- ◆ The evidence must reflect the policies and procedures of your workplace and be linked to the current legislation, values and principles of best practice within the Community Justice sector and in particular those staff working with offenders.
- ◆ ALL evidence must relate to your own work practice.

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KNOWLEDGE SPECIFICATION FOR THIS UNIT

Competent practice is a combination of the application of skills and knowledge informed by values and ethics. This specification details the knowledge and understanding required to carry out competent practice in the performance described in this Unit.

When using this specification **it is important to read the knowledge requirements in relation to expectations and requirements of your job role.**

You need to provide evidence for ALL knowledge points listed below. There are a variety of ways this can be achieved so it is essential that you read the 'knowledge evidence' section of the Assessment Guidance.

You need to show that you know, understand and can apply in practice:	Enter Evidence Numbers
<i>Legislative, regulatory and organisational requirements</i>	
1 Legal and organisational requirements which relate to undertaking risk-led assessment, and their impact for your area of operations.	
2 Legislation, policies and procedures relating to data protection, health and safety, diversity and their impact for your area of operations.	
3 The role of your organisation and the services which it provides in relation to assessing the behaviour of offenders.	
4 The organisation's policy and procedures regarding confidentiality of information and the disclosure of information to third parties, and the specific circumstances under which disclosure may be made.	
5 The limits of your authority and responsibility, and the actions to take if these are exceeded.	
<i>Working within the community justice sector</i>	
6 The relevant assessment tool(s) and how to complete these.	
7 The information required towards making an assessment of individuals, appropriate to managing their risk of re-offending.	
8 The principles of risk-led practice based upon specific descriptions of risk in terms of behaviour and circumstances.	
9 Approaches to risk assessment, how to use these and their relative advantages and disadvantages.	
10 Sources of relevant information regarding individuals and how to access these.	
11 Methods of verifying and corroborating the information required.	
12 How to distinguish between directly observed evidence, evidence from reliable sources and hearsay.	
13 How to distinguish between prejudice and opinions that are backed by evidence.	
14 Factors influencing the vulnerability of individuals.	

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You need to show that you know, understand and can apply in practice:	Enter Evidence Numbers
<i>Working within the community justice sector</i>	
15 Types of vulnerability, or levels of harm, used in assessing risk, their indicators and how to determine these.	
16 Key risk factors for serious offending, including the number of previous convictions, the nature of any current offence, patterns of harmful behaviour, and drug/alcohol abuse.	
17 Circumstances requiring additional assessments and how to arrange these.	
18 Circumstances where cases are considered to be of a very high risk, requiring a structured and detailed risk management plan, and how to progress such a plan.	
19 Multi-agency arrangements including their definitions and associated actions.	

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EA2.1 Gather information regarding the individual and their circumstances

Performance Criteria		DO	RA	EW	Q	P	WT
1	Describe clearly and accurately your role and responsibility to the individual, explaining the information being sought, the reasons for seeking it, and with whom it may be shared.						
2	Identify the individual's relevant circumstances, including their living arrangements and environment, family and personal situation, education/employment situation, physical and mental health, and their attitudes, beliefs and motivation.						
3	Explore the individual's own perception regarding their situation and behaviour, including its impact for themselves and others.						
4	Collect available information regarding the individual, their circumstances and behaviour, from a variety of sources, including factual and clinical data wherever possible.						
5	Obtain verification and/or corroboration for the information, wherever possible.						
6	Communicate in a manner, and at a pace, appropriate to the individual, and which is free from discrimination and oppression.						
7	Maintain accurate and up to date records, including details of the individual's relevant circumstances, patterns of behaviour, and possible key triggers of their risk-related behaviour, in line with your organisation's requirements.						

DO = Direct Observation
EW = Expert Witness

RA = Reflective Account
P = Product (Work)

Q = Questions
WT = Witness Testimony

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EA2.2 Assess the information, identifying risk and protective factors

Performance Criteria		DO	RA	EW	Q	P	WT
1	Determine the rating of potential risk factors from the assessment tool, providing evidence to show the basis for your decision, and to explain the strength and nature of the link between a factor and the likelihood of re-offending.						
2	Assess the relevant factors, including the individual's living arrangements and environment, family and personal situation, education/ employment situation, physical and mental health, and their attitudes, beliefs and motivation.						
3	Use your professional judgement to assess the significance of both the total score to determine the likelihood of offending/re-offending, and of scores for particular sections, to identify priority areas for interventions.						
4	Identify correctly the nature of the individual's potential risk of harm to others, or to themselves.						
5	Determine correctly the likely outcome(s) of the risks identified, including whether there is a likelihood of re-offending, whether the individual is vulnerable to harm, and/or there is a risk of serious harm to others.						
6	Determine the factors likely to be contributing to the causes of the individual's offending behaviour.						
7	Identify the factors that may trigger the offending behaviour.						
8	Determine those factors that might help to reduce, or prevent the offending behaviour.						
9	Identify any life events, or circumstances which may mean that the individual is particularly vulnerable.						
10	Identify correctly where additional assessments are required, and make the appropriate arrangements promptly, recording your reasons for the additional requirement clearly.						

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Performance Criteria		DO	RA	EW	Q	P	WT
11	Ensure that your risk assessment is placed in the context of the individual's circumstances, and is defensible.						
12	Complete the appropriate assessment tool fully and correctly, maintaining accurate and up to date records, setting out the risks and protective factors identified, the likelihood of the behaviour/situation recurring and the likely imminence of such an event.						

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EA2.3 Identify the individual's need for appropriate interventions

Performance Criteria		DO	RA	EW	Q	P	WT
1	Involve the individual in the risk assessment, explaining the rationale for the resultant ratings.						
2	Explain clearly to the individual the impact of the risk and protective factors identified on their offending behaviour.						
3	Explain the identified triggers of their offending behaviour, and actions that might be appropriate towards addressing these.						
4	Identify with the individual those areas of risk to be targeted, and inform them of objectives to be addressed in a subsequent intervention plan.						
5	Select and record any external and internal controls that need to be implemented.						
6	Identify those protective factors to be strengthened.						
7	Ensure that your analysis is justified and defensible, with a clear rationale for your conclusions, associated recommendations and subsequent plans.						
8	Ensure that procedures are in place to monitor and review the assessed risk, with a frequency appropriate to the level of risk identified.						
9	Alert relevant persons promptly where you identify real and particular concerns regarding the risk of harm by the individual to others and/or themselves.						
10	Provide your report, including all relevant information, promptly to the relevant person(s).						

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To be completed by the candidate

I SUBMIT THIS AS A COMPLETE UNIT

Candidate's name:

Candidate's signature:

Date:

To be completed by the assessor

It is a shared responsibility of both the candidate and assessor to claim evidence, however, it is the responsibility of the assessor to ensure the accuracy/validity of each evidence claim and make the final decision.

I CERTIFY THAT SUFFICIENT EVIDENCE HAS BEEN PRODUCED TO MEET ALL THE ELEMENTS, PCS AND KNOWLEDGE OF THIS UNIT.

Assessor's name:

Assessor's signature:

Date:

Assessor/Internal verifier feedback

To be completed by the internal verifier if applicable

This section only needs to be completed if the Unit is sampled by the internal verifier

Internal verifier's name:

Internal verifier's signature:

Date: