

Fundamentals of Risk Practice – Evaluation Report

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Introduction and Training Aims

The “Fundamentals of Risk Practice” is a training course developed by Risk Management Authority (RMA) to support risk assessment and management practice with individuals who present a risk of serious harm (RoSH).

- 1.2. It is a 3 day training resource delivered to Justice Social Workers. Each local authority is allocated a specific number of nominations based on staff numbers already trained, the number of staff in each local authority and current reserve list numbers. The maximum number of trainees that can attend each event is 25.
- 1.3. To ensure those attending the training are within the target group, line management approval is required before anyone is booked on a course and the RMA provides confirmation to both the worker and manager. The target group for training is –
 - Those currently managing or expecting to be managing MAPPA levels 2 and 3 cases
 - Those with opportunity and commitment to undertake RoSH assessment and risk management plans (RMP) within 6 months of attendance
 - Or those who are a manager responsible for staff undertaking RoSH assessment and RMP's.
- 1.4. The overall aims of the training are –
 - To provide participants with a grounding in the fundamental principles and processes that should be evident when assessing and managing RoSH.
 - To increase participant confidence in applying these principles and processes.
- 1.5. Each module is broken down into its own aims and objectives designed to meet the overall aims –

Module	Aim(s)
Module 1 - <i>Course Introductions</i>	To provide an introduction to the purpose and content of the course, introduce the concept of risk of serious harm, and establish an effective learning environment.
Module 2 – <i>Risk Assessment</i>	To introduce participants to the process that underpins risk assessment practice. Participants will gain an understanding of each step of the process and will consider how it applies to the assessment of risk of serious harm.
Module 3 - <i>Offence Analysis</i>	The purpose of the module is to introduce the concept of offence analysis, provide an overview of the ABC model for offence analysis and examine the various ways which different factors can function in an episode of offending. Participants will then apply their learning to a case study using the ABC model.
Module 4 - <i>Formulation</i>	The purpose of the module is to introduce the concept of formulation and consider its application in the context of assessing risk of serious harm. Participants will identify the core elements of formulation and become familiar with the 4 P's model before applying the model to a case study example.
Module 5 - <i>Risk Scenarios</i>	The purpose of the module is to introduce the concept of risk scenarios. Participants will consider the purpose of scenario planning and its contribution to the assessment and management of risk of serious harm. Trainees will consolidate their learning by identifying a range of risk scenarios in a case study exercise.

Module 6 - <i>Evaluation & Communication</i>	The purpose of the module is to raise awareness of the need for evaluation as part of the risk assessment process. Participants will identify the common evaluation criteria to risk assessment reports and will consider the effective means of communicating risk assessment conclusions.
Module 7 - <i>Risk Management Planning</i>	The purpose of the module is to equip practitioners to identify the core elements that should be present in a risk management plan and to familiarise them with the format of the risk management plan template. Practitioners will be given the opportunity to complete a plan and consider the process of planning in practice.
Module 8 - <i>LS/CMI IT System</i>	To provide an overview of the revised Risk of Serious Harm content within the LS/CMI IT system with guidance about completion of the relevant sections.

2. Evaluation Method

Method

- 2.1. The initial evaluation proposal was to communicate with the Justice Social Worker's completing the Risk Practice Course between August 2017 and April 2018. However this was met with no responses with the reasons unknown but could relate to a lack of RMP's being completed by this cohort, a trepidation towards having their work evaluated by an external agency, or time constraints within their role.
- 2.2. Due to this several local authorities, and their Service Managers (with a large cohort of trainees who've completed the course) were approached for proposed inclusion. This led to the inclusion of 2 local authorities within this evaluation. Service Managers were provided with a list of the trainees who had completed the Risk Practice Course since it was established in its most current version. This was to ensure that the work being evaluated was based on the trainees having received the same training content.
- 2.3. It's important to note that a secondary purpose of this evaluation was to take the opportunity to scope the potential for a future post-training provision which could involve providing trainees feedback on post-training RMP's. Therefore, going into the evaluation process it was recognised that an uncertainty was the required resource to conduct the evaluation and potentially provide feedback to trainees. As such it was desirable to try and keep the sample size fairly small, as is the case with most scoping exercises. However, ideally a sample size of 5-10 would've been acquired. In this instance, this evaluation was based on 4 submissions, although the depth and detail of these submissions is such that they more closely represent a case study approach. As such, evaluating a full RMP from 4 previous completers does provide some useful insights, analysis and recommendations and considerations for future training.
- 2.4. Those participating in the evaluation (submitting RMP's for evaluation) were made aware that it was a two-step voluntary process. They could firstly agree to submit an RMP for evaluation, but could also request feedback on the strengths and developmental points of their submission. However this wasn't a mandatory component of the submission process. The RMP's that were submitted were either anonymised by the trainee submitting their work, or if this wasn't conducted then the evaluator immediately did this and notified the submitter. Each of the 4 RMP's submitted were then evaluated using an evaluation measure and guidance (discussed in section below and attached in Appendices B and C).

Measure

- 2.5. A self-evaluation measure already existed that Justice Social Workers could use when completing the Levels of Service Case Management Inventory (LS/CMI). This is the same target population as the Risk Practice Course. Additionally the RMP can be produced from the LS/CMI system. Therefore it made sense, in terms of consistency of practice, to adopt an evaluation measure that could function effectively and be familiar to those submitting their work.
- 2.6. However it was recognised that the existing self-evaluation measure for the LS/CMI didn't cover all of the relevant areas from the Risk Practice Course. Therefore discussions were held with the staff who developed the LS/CMI self-evaluation measure, who also had experience of delivering the Risk Practice Course. Agreement was made on the items and corresponding guidance that needed to be changed or added to appropriately cover as much of the training content as possible. Several alterations were made to the terminology within existing items, as well as several items being added (e.g. an item was added on whether the formulation met quality checklist standards, as this was content within the training).
- 2.7. The aims of Module 8 (LS/CMI IT System) of the Risk Practice Course could not be targeted through this evaluation measure and so they are not commented on during this evaluation apart from being acknowledged in the recommendations section in relation to future considerations.
- 2.8. The evaluation measure (Appendix B) and associated guidance (Appendix C) were designed around the practice standards within the Framework for Risk Assessment, Management and Evaluation (FRAME)¹ and the Standards and Guidelines for Risk Management²; with an additional section for overall quality of the RMP. The guidance document supporting the evaluation measure (Appendix C) provides a detailed breakdown of each item within the measure, what part of the RMP it relates to, and what would be expected to demonstrate high quality in that area.
- 2.9. It's acknowledged that one of the practice standards relates to quality assurance, which couldn't be directly measured through this evaluation. However, the actual submission of RMP's for feedback does represent some evidence of this standard being implemented. The Risk Practice Course is similarly built around the practice standards, supporting the decision to use an evaluation measure designed around these standards.
- 2.10. Within each section of the evaluation measure there were items representing the facets of that standard. These could be rated individually, using a scale of '*not applicable*', '*no*', '*partial*' and '*yes*'; representing the amount of evidence present for each item within the RMP submissions. These were then turned into a numerical rating (i.e. Yes = 2, Partial = 1, No = 0). Each section could then be given an overall rating of '*unsatisfactory*', '*weak*', '*adequate*', '*good*' or '*excellent*'. In addition qualitative feedback could be provided for each section by considering the strengths and developmental points.

Analysis

- 2.11. As mentioned the training is designed around supporting practitioners to meet the practice standards. The primary method of achieving this is to support trainees to complete an RMP; this template being designed so that effective completion represents meeting the practice standards. This provided the rationale for evaluating the quality of RMP's completed by those who have completed the training.
- 2.12. Applying the evaluation measure provided quantitative and qualitative analysis. The rating scales elicited a numerical indication of quality, whereas looking at the strengths and developmental points across the RMP's provided additional analysis. Rather than analysing each item separately

¹ Risk Management Authority (2011). Framework for Risk Assessment, Management and Evaluation (FRAME). Paisley: Author.

² Risk Management Authority (2016). Standards and Guidelines for Risk Management. Paisley: Author.

from the evaluation measure, they were analysed in sub-groups within the 5 sections of the evaluation measure. For example, Standard 1 (Risk Assessment) relates to the following sections of the RMP; Basis of Assessment, Concise Case Summary, Offending History, Offence Analysis, Formulation, Risk Summary and Risk Level. Within this section of the evaluation measure there are occasions where several items, whilst differing in purpose and content, relate to the same section of the RMP. Therefore the analysis is presented as if going through each section of the RMP, and including in each of these the relevant items, strengths and developmental points from the evaluation measure.

2.13. To provide some indications regarding the consistency with which the evaluation measure could be applied, the 1st submission was evaluated independently by the 2 trainers from the Risk Practice Course (the evaluator for all of the RMP's being one of the trainers). The evaluations were then discussed between rater's to establish agreement on any differing interpretations, which were considered in the evaluation of the RMP's. However, in general, the reliability across rater's appeared high and indicated consistency across the numerical ratings and the identification of strengths and developmental areas. This was supported by application of Cohen's kappa ($K = .777$, $p < .0005$) indicating good inter-rater reliability and agreement. The following is a summary of the inter-rater evaluation:

- On Section 1 of the measure (risk assessment) one rater provided a total score of 13/26, compared to 11/26 from the other rater. This included disagreement on only 2 of the 14 areas (offence analysis, and formulation checklist standards). Both rater's felt that this section of the RMP was '*weak*'.
- For Section 2 (planning & responding to change) one rater gave a score of 6/20, and the other 7/20. This included disagreement on 3 of the 10 areas (relevant factors from formulation, protective factors, and contingency planning). Both rater's indicated the section was '*weak*'.
- In relation to Section 3 (risk management measures) both rater's provided identical numerical ratings but one rater felt the section was '*adequate*' and the other felt it was '*weak*'.
- For both Section 4 (partnership working) and Section 5 (overall quality) both rater's provided identical numerical ratings and an '*adequate*' section rating.
- Overall one rater provided the numerical rating of 36/68 and the other 35/68. This included disagreement on only 5 of the possible 37 items. Additionally, any disagreements evidenced were only ever 1 interval apart, either numerically or categorically.
- Furthermore, investigation of the strengths and developmental points identified by both rater's indicated considerable consistency in this process. The only noticeable difference related to one rater identifying more detailed feedback in relation to formulation, compared to other identifying more in relation to risk management measures.
- Overall this indicated good evidence of consistency across interpretations and appraisals by the rater's.

3. Evaluation of Risk Management Plans

Evaluation Measure Section 1 - Standard 1 (Risk Assessment)

3.1. This included 14 items relating to the following sections of the RMP; Basis of Assessment, Concise Case Summary, Offending History, Offence Analysis, Formulation, Risk Summary and Risk Level.

Figure 1. A graph representing the quality of the RMP's in relation to risk assessment.

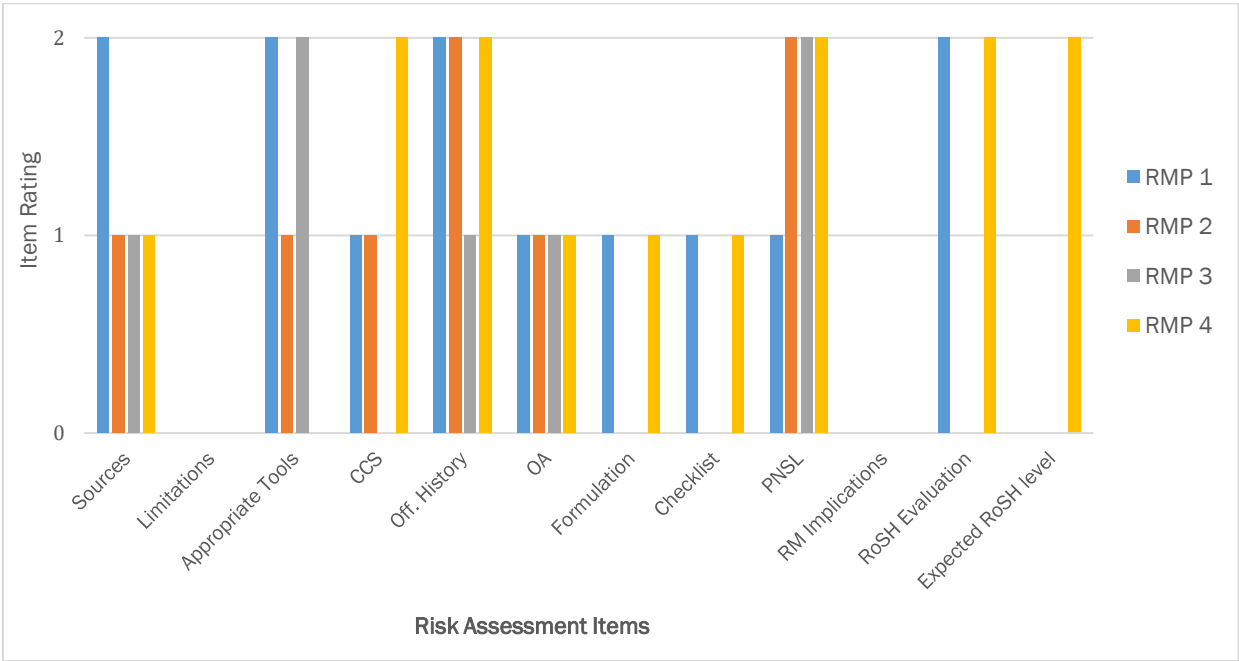


Figure 2. A bar chart indicating the overall quality of the RMP sections relating to risk assessment.

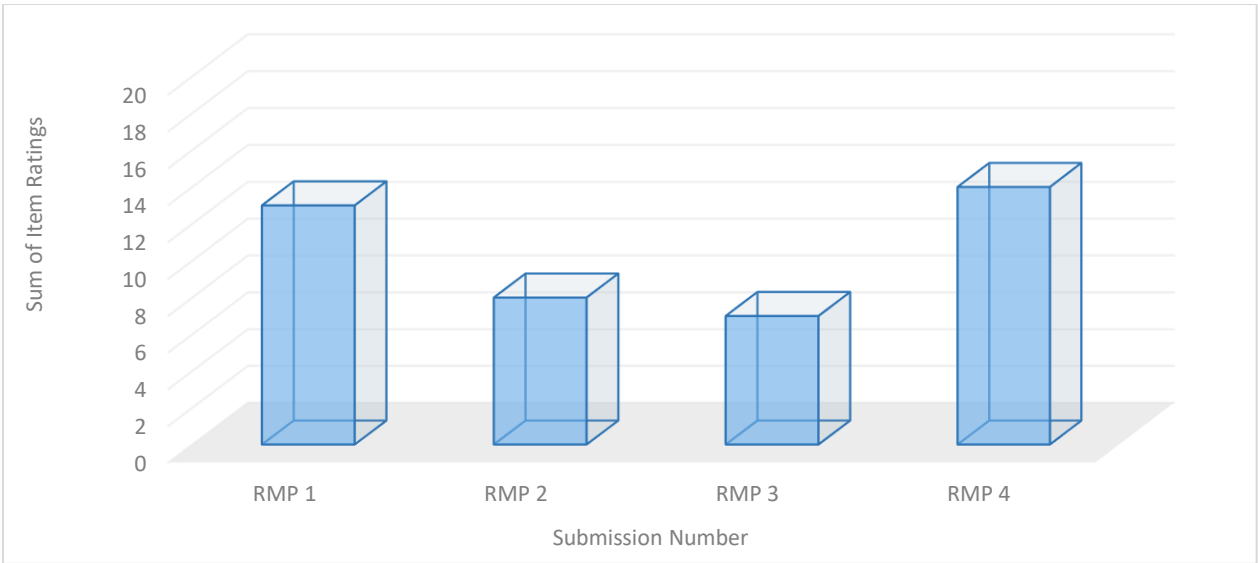
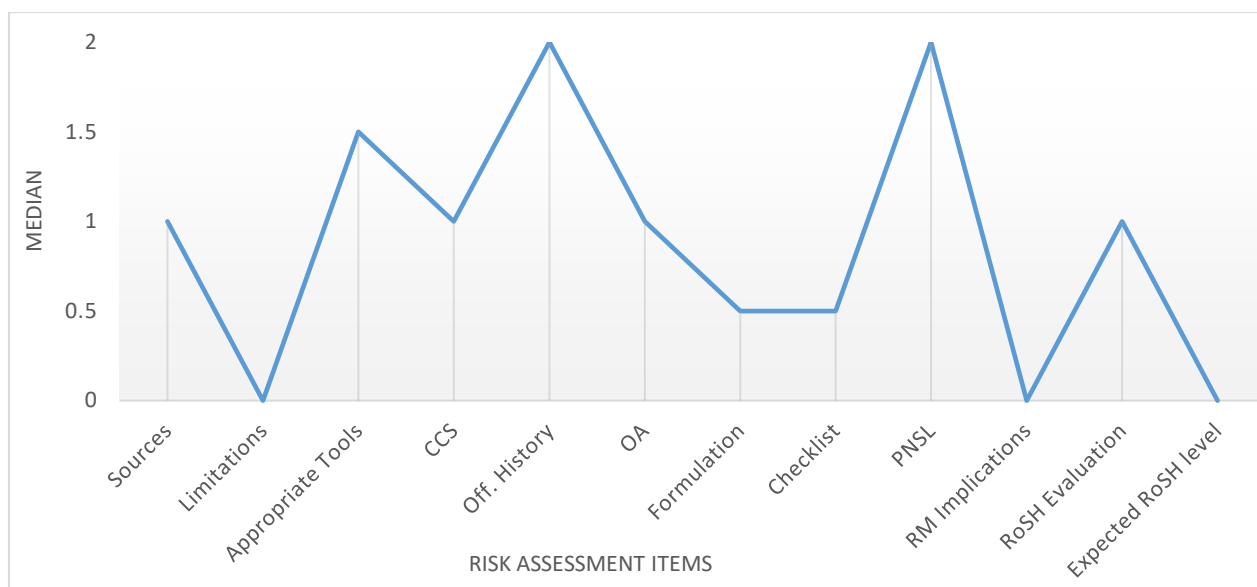


Figure 3. A line graph indicating median score for the RMP's in relation to risk assessment items.



Basis of assessment

- 3.2. Four items from the evaluation measure (i.e. 5.1.1, 5.1.2, 5.1.3 and 5.1.4) related to this section of the RMP's. These covered using appropriate sources of information, identifying limitations of information, use of appropriate risk assessment tools, and identifying relevant protected characteristics. However, the identification of protected characteristics within risk assessment wasn't relevant to the 4 RMP's used in this evaluation and was therefore considered 'not applicable' and removed from analysis. The same principle applied to the item on the risk assessment informing decision-making as this was difficult to ascertain based on just the RMP submission, without knowledge of how it was considered in practice. This was also removed from the analysis.
- 3.3. Across the evaluated RMP's there were both quantitative strengths and weaknesses in the appropriate identification, use and recording of information sources. None of the plans scored '0' for this item, but only one of the RMP's scored a '2'; the median being '1'. Qualitatively the strengths associated to seeing diverse, balanced and appropriate sources in several RMP's. Additionally the majority of RMP's made reference to the use of communication with relevant professionals as a source of information. The use of appropriate dating, and reference to previous assessments was also observed in one RMP. However, there were also substantial weaknesses observed across the RMP's in relation to sources. These consistently related to the lack of identifying authors and/or dates of previous reports or assessments, not identifying the specific agencies consulted with (i.e. stating the 'relevant agencies' had been consulted), referring heavily to one agencies files, or not identifying the risk assessment tools relating to the overall assessment.
- 3.4. In relation to the need to identify the limitations of information within the Basis of Assessment section of the RMP, this was something absent from every RMP evaluated. It will therefore be considered in the recommendations for future training but may relate to the lack of guidance on this within the RMP template.
- 3.5. Promisingly 2 of the RMP's showed complete evidence of using appropriate tools, although it would be considered concerning that this wasn't evidenced at all within 1 of the submissions.

Concise case summary

- 3.6. There was 1 item relating to the quality of this section of the RMP (i.e. 5.1.5). Quantitatively the median score on this section was '1'; comprising of 1 high quality submission, 2 useable submissions requiring some development, and 1 poor demonstration of the concise case summary. The strengths observed across 3 of the 4 RMP's related to the section being informative, brief, and well-structured. However, apart from the high quality submission, the other 3 RMP's all lacked information across a number of key areas (i.e. education, employment, health, childhood, previous offending and custody, and previous compliance). There was also less frequent evidence of reporting the occurrence of index and previous convictions but in the format of a law which was hard to understand as a reader. In addition 1 RMP had information in this section that could have been reported more appropriately elsewhere (e.g. the risk assessment tools used).

Brief history of offending

- 3.7. There was 1 item relating to the quality of this section of the RMP (i.e. 5.1.6). In terms of scoring, this was a section of the RMP that was generally well evidenced and reported; with all but 1 RMP scoring '2' in this area. This included strengths in relation to the briefness, conciseness, and relevance of this section as well as covering both index and previous convictions. Where there were developmental points it related to 1 RMP including a lot of jargon and needing to be summarised (i.e. the author reported a list of the laws the individual had contravened rather than the actual offences). Another RMP could've included more on previous convictions and their actual nature, rather than just reference to there being previous convictions.

Offence analysis

- 3.8. There was 1 item within the evaluation measure on offence analysis (i.e. 5.1.7). All of the RMP's evaluated indicated 'partial evidence' of an appropriate offence analysis. This included half of the RMP's providing a good account of the antecedents to an individual's offending. However this was a weakness in the other 2 RMP's where the author's offered little explanation of the potential triggers to offending. There was also a clear statement of limitations surrounding the offence analysis (based on what the author knew of the individual's offending) in 3 of the RMP's submitted. In 2 of these this was then followed by a meaningful, well-structured and rationalised speculation over the potential offence cycle of the individual. The main developmental points in relation to the offence analysis' related to the need to expand on the potential consequences of an individual's offending (i.e. consider what they may've got out of their offending, and what their motivation may've been) and also not identifying where more than one offence cycle existed. There was also evidence in 1 RMP where the offence analysis overlapped with content more suitable for the narrative formulation.

Formulation

- 3.9. There were 2 items in relation to the narrative formulation section of the RMP's (i.e. 5.1.8 and 5.1.9). This was a significant area of weakness across the plans with a median of '0.5'; composed of 2 RMP's showing 'partial evidence' and the other 2 'lacking evidence'. However there were some strengths observed with all the RMP's identifying some important factors in relation to the individuals' offending. There were several observations of authors trying to link predisposing factors to current vulnerabilities, clearly explaining the limitations around potential protective factors, and attempting to consider the relevance of identified factors. However there were persistent weaknesses in terms of not providing a narrative structure to the formulation, mislabelling factors under the Four P's, a lack of analysis regarding childhood information, and failing to explore interactions between identified factors.
- 3.10. Another aspect of evaluating this section of the RMP was to consider how the formulations matched up to the quality checklist standards covered in the Risk Practice Course. In terms of

strengths, there was evidence of all the formulations being presented in everyday language, as well as evidence in several of the RMP's that the formulations were generally logical and somewhat informative. However there were also consistent weaknesses in terms of the formulations lacking narratives and therefore not telling a meaningful story, or failing to link identified factors together across an individual's past, present and future. Several of the RMP's also lacked meaningful identification and analysis of crucial predisposing factors, such as childhood vulnerabilities. Generally the formulations lacked coherence, focus and comprehensiveness which meant they often didn't go beyond description to apply theory and make testable predictions. However, in 1 RMP, whilst there were a number of developmental points, it was clear that with minor amendments there was the potential to have a high quality formulation that linked risk assessment to management.

Risk Summary

- 3.11. There were 2 items relating to the risk summary section of the RMP's (i.e. 5.1.10 and 5.1.11). Regarding the summary of Pattern, Nature, Seriousness and Likelihood (PNSL), these were consistently to a high quality. This included strengths in relation to these summaries being informative, brief and capturing all of the elements. Although in 1 of the RMP's this could've been summarised more effectively. In another RMP there were risk factors mentioned in this summary that weren't in the other areas of the RMP where they should've appeared, and another RMP also altered the terminology in this section when describing relevant factors from the formulation, which made it somewhat difficult to logically follow. The element of the risk summary section relating to identifying and stating the implications for risk management was a significant weakness across all of the RMP's.

Risk Evaluation

- 3.12. Two items related to this section of the RMP (i.e. 5.1.12 and 5.1.13). Half the RMP's provided a good quality risk of serious harm evaluation, although only 1 of these had identified a risk of serious harm level that could be considered as expected based on everything else recorded in the risk assessment sections of the RMP. On the other hand, the other 2 RMP's provided risk evaluations that lacked the required considerations of the MAPPA risk of serious harm levels, and either confused the provided risk rating with impact on a victim or didn't provide a risk level at all.

Risk Assessment Sections – Overall

- 3.13. Overall the maximum rating an RMP could receive for the risk assessment sections of the RMP was '24'. The 4 RMP's submitted ranged from as low as '7' to as high as '15'; with a median of '10.5'. This included 3 RMP's receiving a section rating of 'weak' and 1 RMP a rating of 'adequate'. The implications of this are discussed in the recommendations section of this report.

Evaluation Measure Section 2 – Standard 2 (Planning & Responding to Change)

- 3.14. This included 10 items relating to the following sections of the RMP; Risk scenarios, Relevant factors from formulation, Measures of change, Contingency measures, Key contacts, and Review of plan.

Figure 4. A graph showing quality of RMP's in relation to planning and responding to change.

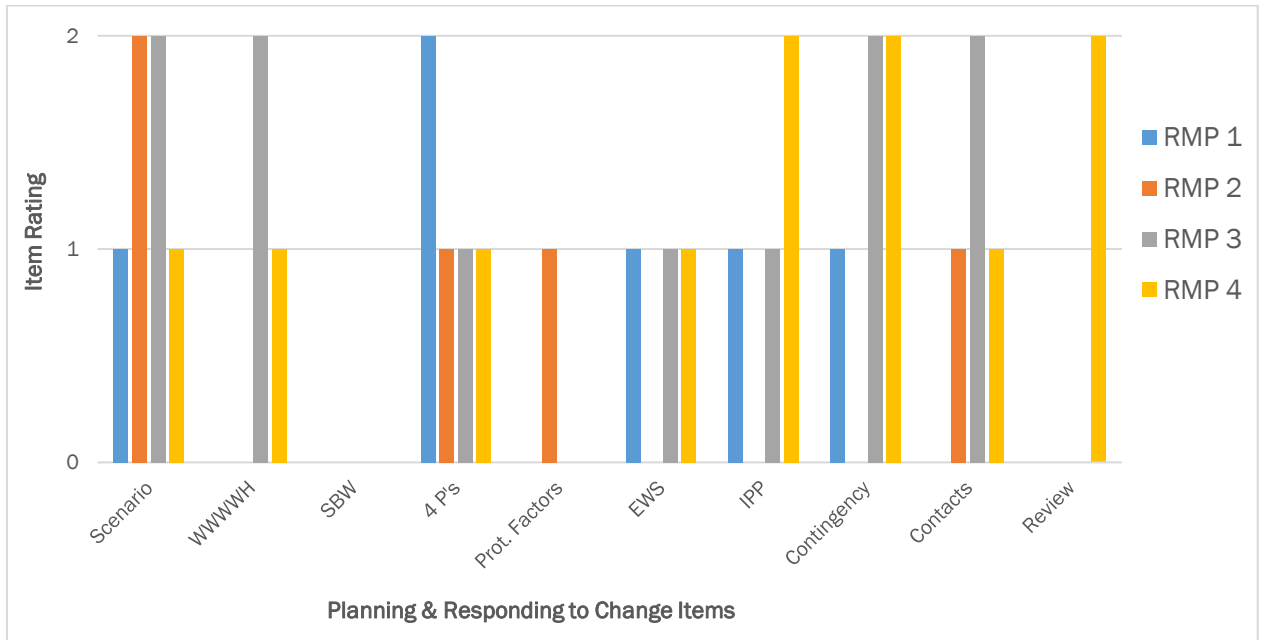


Figure 5. A bar chart indicating overall quality of RMP sections relating to planning and responding to change.

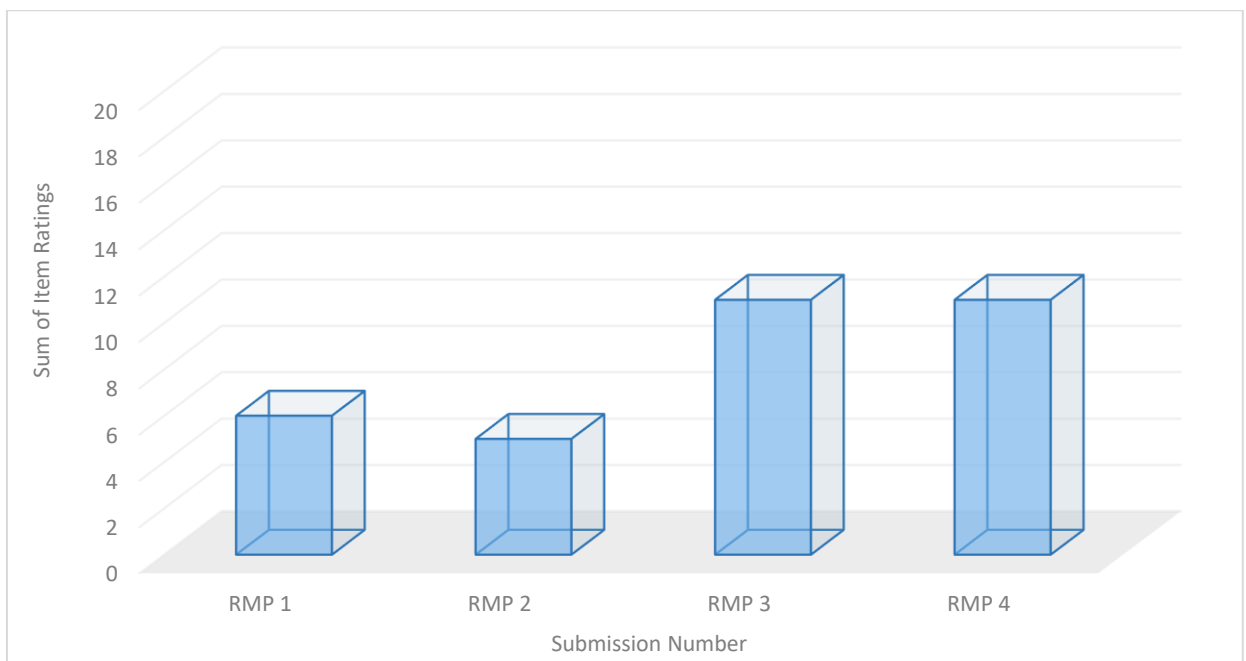
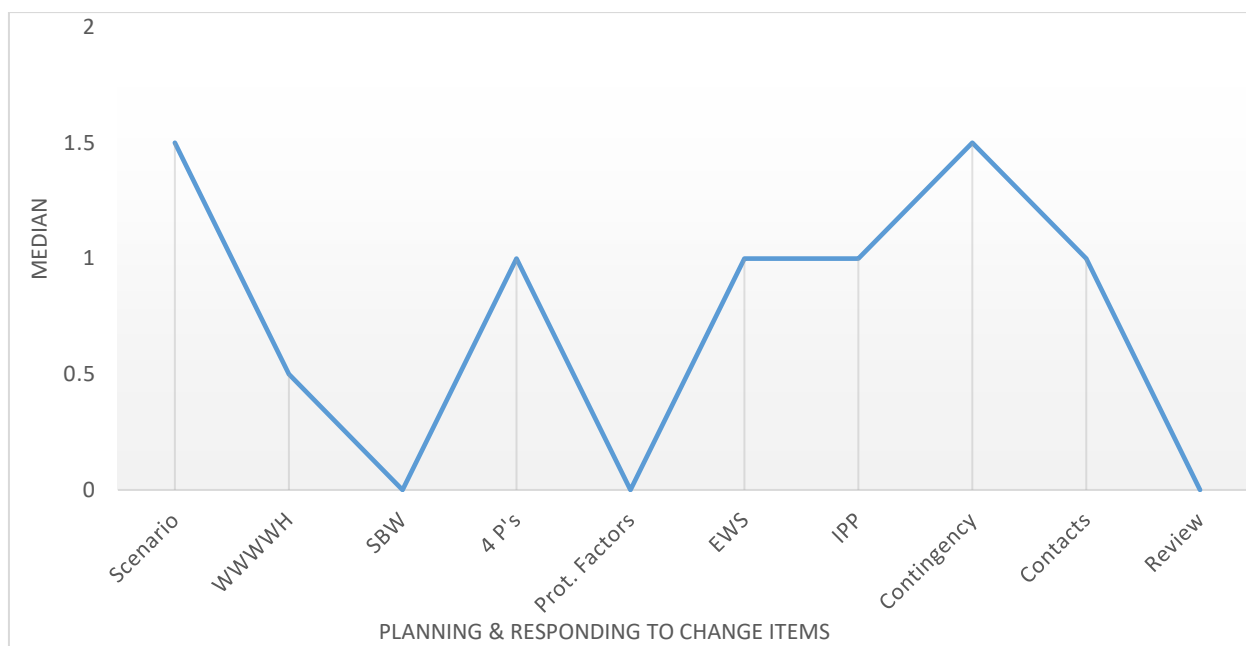


Figure 6. A line graph indicating median score for RMP's in relation to planning and responding to change items.



Risk Scenarios

- 3.15. There were 3 items from the evaluation measure that related to the RMP sections on risk scenarios (i.e. 5.2.1, 5.2.2, and 5.2.3). Across the RMP's there were positives in relation to the scenarios recorded being expected based on the formulation and risk assessment. However, in half of the RMP's there was minimal useful content in terms of explaining the 'who', 'what', 'where', 'when' and 'how'. In addition none of the RMP's structured their likely scenarios around reference to similar, better and worse components of future risk scenarios. In general the RMP's attempted to keep the reported scenarios brief and concise, however this was often at the cost of meaningful detail, not linking to the formulation, reporting relevant factors that should have been in the formulation, and in one plan there could have been a further scenario identified to be managed in the RMP.

Relevant Factors

- 3.16. Two items related to this aspect of the RMP (i.e. 5.2.4 and 5.2.5). One RMP demonstrated particularly good identification and organisation of relevant factors under the Four P's. However, only 'partial evidence' was demonstrated in the other 3 RMP's. In particular there was a lack of quality demonstrated in relation to the identification and evidencing of protective factors; with 1 plan indicating partial evidence and the rest showing none. The main strengths indicated, across the RMP's, related to the attempts to link to the narrative formulation, some understanding of the different functions of the Four P's, and providing a good explanation of the limitations around the proposed protective factors. However consistent developmental issues were observed in relation to mislabelling factors across the Four Ps, missing factors that appear elsewhere in the RMP, and incorrectly identifying protective factors. In general substantial work could've been done with these plans to tighten up the formulations, make them flow better from the narrative, and to increase understanding of the Four P's model.

Measures of Change

- 3.17. There were 2 items relating to this section of the RMP (i.e. 5.2.6 and 5.2.7). In relation to early warning signs there was some evidence of RMP's having appropriately identified these; with a median score of 1. In terms of indicators of positive progress, there was a similar pattern although

1 RMP showed full evidence of this item. One of the RMP's lacked evidence of either early warning signs or indicators of positive progress. In terms of strengths, there was clear evidence across the RMP's of the identified measures of change logically following from previous sections of the plan. One RMP showed particularly thorough and meaningful identification of measures of change from the formulation. The main weakness across the plans was the completeness of identifying measures of change, with some missing that could've been identified from the existing information in the formulation. In particular, there was scope across the plans to have used the precipitating factors more from the formulation to identify further early warning signs. It's noted that because the formulation and relevant factors sections of the RMP's had weaknesses, this would've impacted on this section of the RMP's and their evaluation.

Contingency Planning

- 3.18. One item related to this section of the RMP (i.e. 5.2.8). Two of the RMP's submitted showed thorough evidence of contingency planning, whereas one showed partial evidence and another lacked any evidence. The strengths observed related to seeing consistent efforts to match the contingency planning to the identified early warning signs. Where this wasn't observed this was therefore a weakness, or there was an absence of contingency measures that the rest of the RMP suggested should be there. Alternatively there were several instances of contingency measures appearing without an evidence-base within the rest of the RMP. Finally one RMP used the label of 'all staff' to describe the responsible agencies/individuals for the contingency measures identified. Whereas more specific identification of agencies/individuals would've been more useful and meaningful.

Key Contacts

- 3.19. This included 1 item (i.e. 5.2.9). The median score for this section was '1'; inclusive of 1 high quality submission, 2 moderate submissions and 1 submission lacking evidence of this section. The strengths recognised related to authors making it clear who was involved in delivering the plan, and those identified as key contacts being those from the rest of the RMP. However, where there were weaknesses the opposite effects were observed, in terms of contacts having details missing and individuals not being recorded as key contacts despite being identified as playing a role in delivering the RMP (e.g. delivering certain strategies).

Review

- 3.20. There was 1 item relating to this section of the RMP (i.e. 5.2.10). This was an area of general weakness, with only 1 RMP showing evidence of this section, compared to the other 3 indicating no evidence. This is essentially a dichotomous item from the evaluation and so the strength of the quality plan was the fact they identified a review date, and then the weaknesses related to not identifying review dates.

Planning & Responding to Change Sections – Overall

- 3.21. Overall the maximum rating an RMP could receive for the planning and responding to change sections of the RMP was 20. The 4 RMP's submitted ranged from as low as 6 to as high as 11; with a median of 8.5. This included 2 RMP's receiving a section rating of 'weak' and 2 RMP's a rating of 'adequate'. The implications of this are discussed in the recommendations section of this report.

Evaluation Measure Section 3 – Risk Management Measures

- 3.22. This included 7 items relating to the risk management strategies sections of the RMP. However the item on protected characteristics, and appropriate risk management of any identified, was removed from analysis as it wasn't relevant to any of the RMP's that were submitted.

Figure 7. A bar chart indicating the quality of the RMP's in relation to risk management measures.

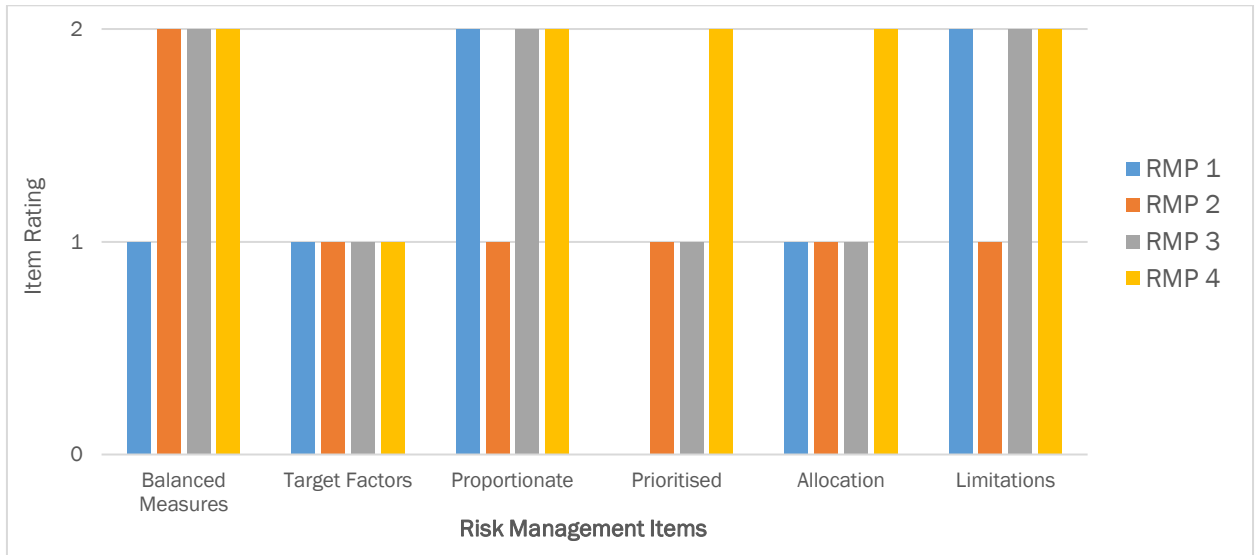


Figure 8. A bar chart indicating the overall quality of the RMP sections relating to risk management measures.

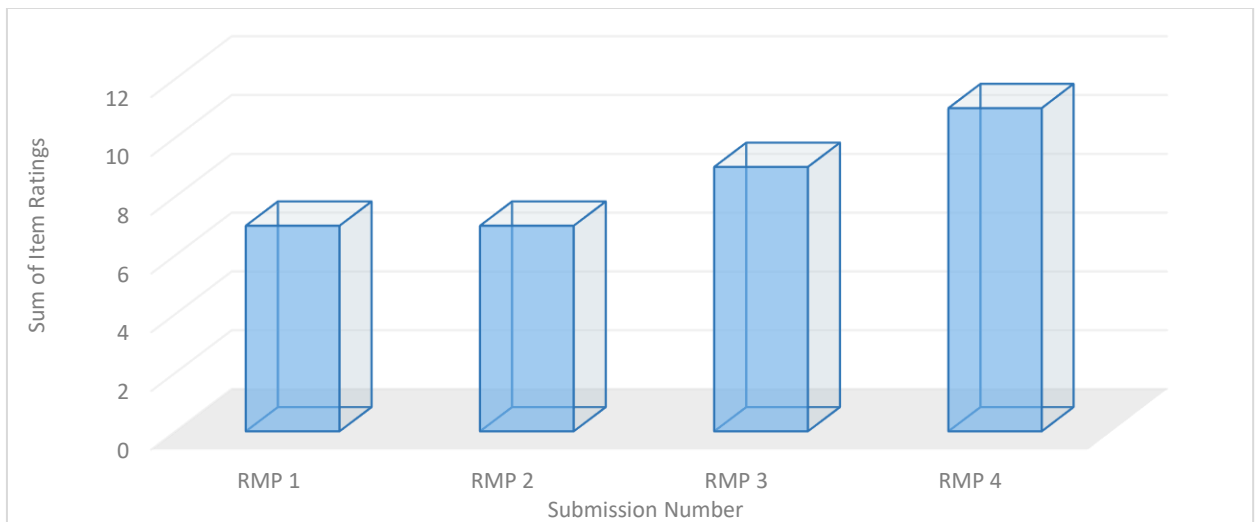
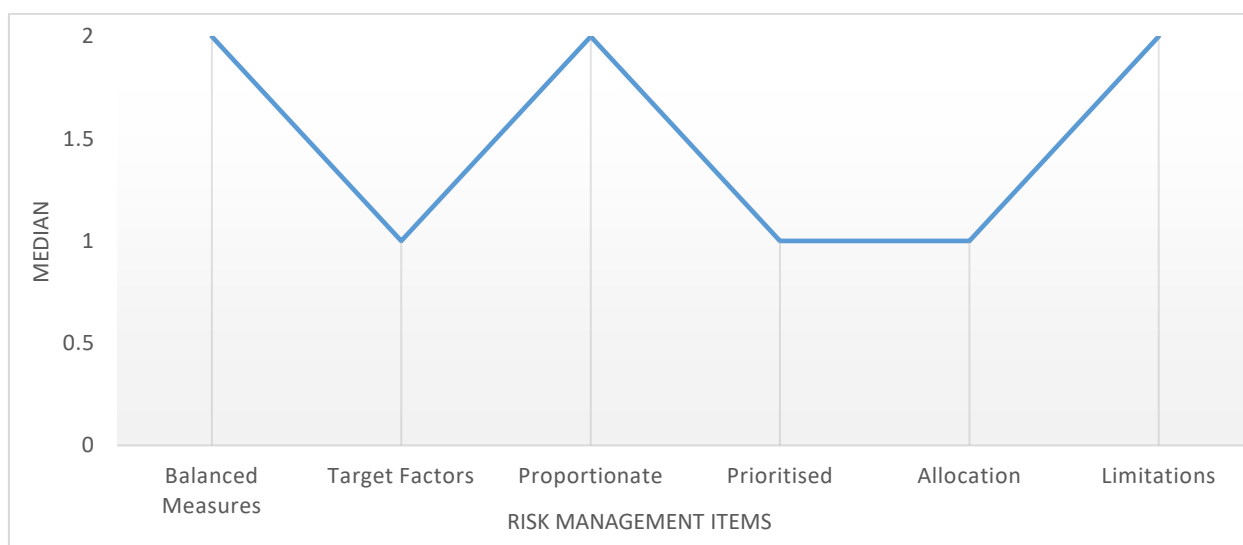


Figure 9. A line graph indicating median score for RMP's in relation to risk management measures.



Balance of risk management measures

- 3.23. This included 1 item from the evaluation measure (i.e. 5.3.1). Generally there was a pattern across the RMP's of a balance between preventative and supportive risk management measures; with 3 of the RMP's showing full evidence in this regard. Where there were weaknesses these related to either strategies not being specific enough, or not all the relevant factors from the formulation being targeted.

Targeting factors

- 3.24. This included 1 item from the evaluation measure (i.e. 5.3.2). This was an area where every RMP showed partial evidence. The strengths observed related to linking fairly well between relevant factors (those that were correctly identified) and strategies, as well as making measures clear and understandable. However where there were weaknesses these related to not targeting specific factors where relevant, targeting factors not identified in the formulation, and needing to separate strategies and activities out to make this section make more sense.

Proportionate risk management

- 3.25. This had 1 item from the evaluation measure (i.e. 5.3.3) and was generally an area of strength; 3 of the 4 RMP's indicating full evidence of proportionate risk management. This included consistently thorough supervision and intervention strategies, and clear thought had gone into what strategies would be required to target certain factors. The main weaknesses related to some confusion over where strategies should be recorded, in terms of monitoring or victim safety planning measures. Some of the victim safety planning measures could've been more specific, and there were precipitating factors from the formulations that should've appeared in the monitoring strategies.

Prioritisation

- 3.26. One item related to this part of the risk management measures (i.e. 5.3.4). Only 1 of the RMP's indicated full evidence of prioritising risk management measures. Where there were issues in

this section of the RMP it was either due to a lack of considering prioritisation, mislabelling priorities as 'high', 'medium' or 'low' rather than '1', '2', or '3' in relation to sequencing rather than importance, and/or assigning priority ratings to monitoring strategies that may not be evidence-based.

Allocations

- 3.27. One item related to this section of the RMP (i.e. 5.3.5). Every RMP showed some indications of evidencing this item, although only 1 RMP showed full evidence. The identified strengths related to the thought that had gone into who should do what, making the allocations clear, and ensuring that the context of the strategy (e.g. community, custody or both) was understood and recorded appropriately. However there were also instances of context not being understood, and several of the RMP's made it quite difficult to clearly see who was doing what. There were also several instances of identifying responsible individuals that shouldn't have been there.

Limitations

- 3.28. One item from the evaluation measure (i.e. 5.3.6) related to this section of the RMP. This was an area where 3 of the RMP's showed full evidence in terms of identifying appropriate limitations to the risk management measures. This included observable strengths in relation to limitations being clearly identified, logical and relevant to the recorded risk management strategies. However where there were also weaknesses this related to limitations that could've been more focused and specific to the risk management measures identified in the plan.

Risk Management Measures Section – Overall

- 3.29. Overall the maximum rating an RMP could receive for the risk management sections of the RMP was 12. The 4 RMP's submitted ranged from as low as 7 to as high as 11; with a median of 8. This included 2 RMP's receiving a section rating of 'adequate' and 2 RMP's a rating of 'good'. The implications of this are discussed in the recommendations section of this report.

Evaluation Measure Section 4 – Partnership Working

- 3.30. This included 3 items relating to the partnership working sections of the RMP. This included an item on the range of individuals/agencies identified, evidence of identified individuals/agencies working together, and collaboration with the individual.

Figure 10. A bar chart indicating the quality of the RMP's in relation to partnership working.

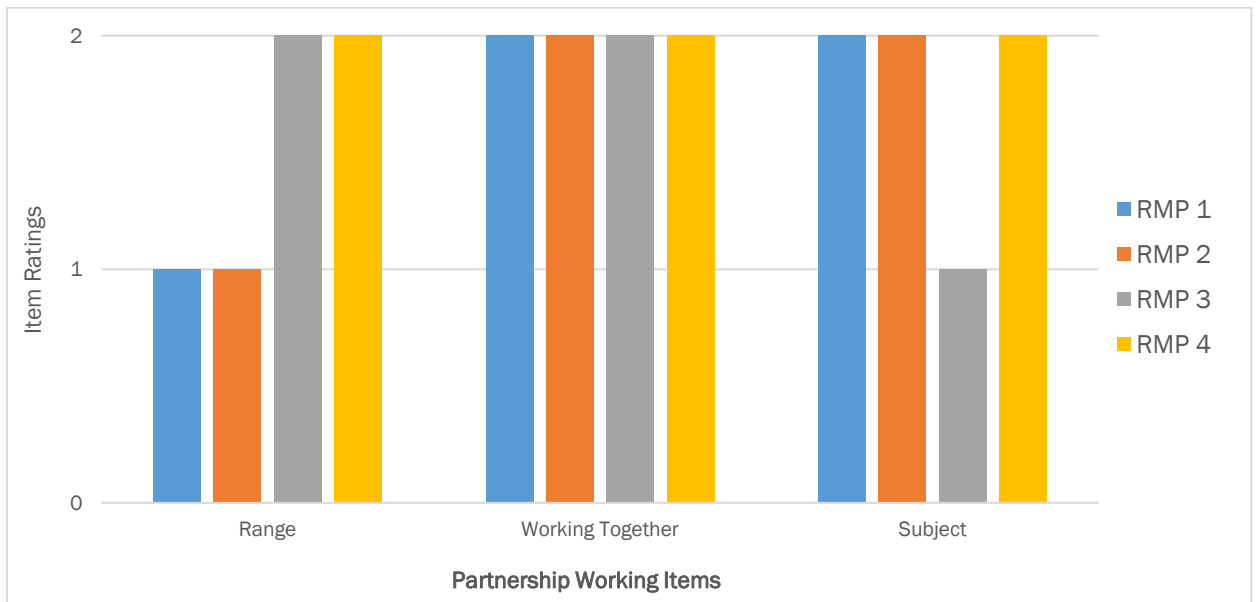


Figure 11. A bar chart indicating overall quality of the RMP sections relating to partnership working.

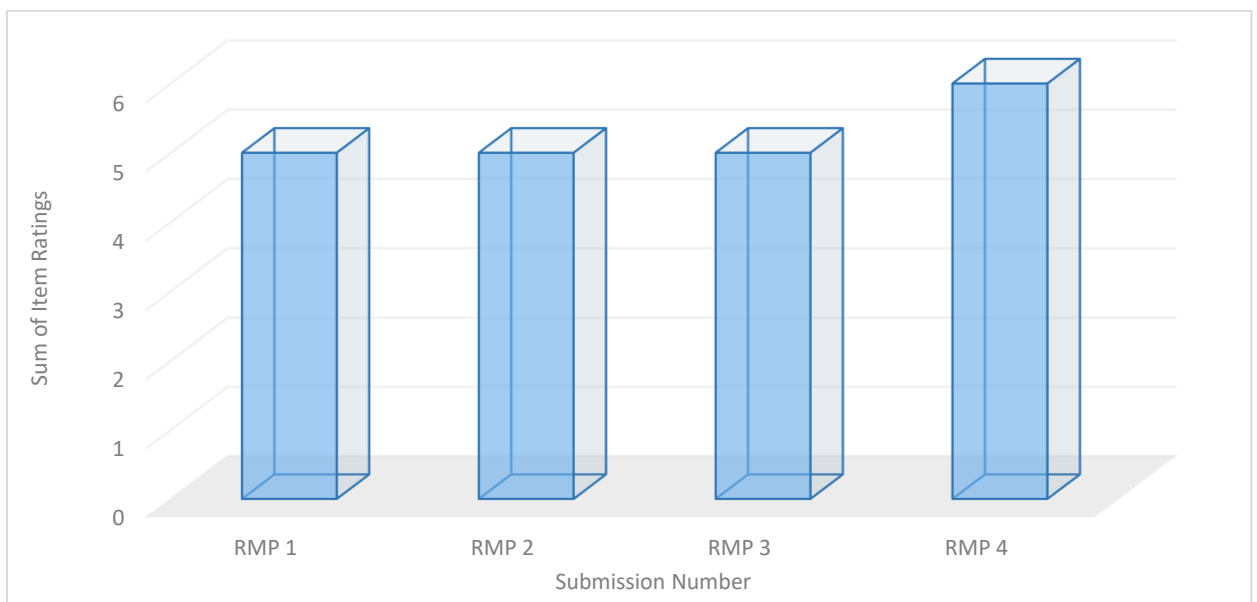
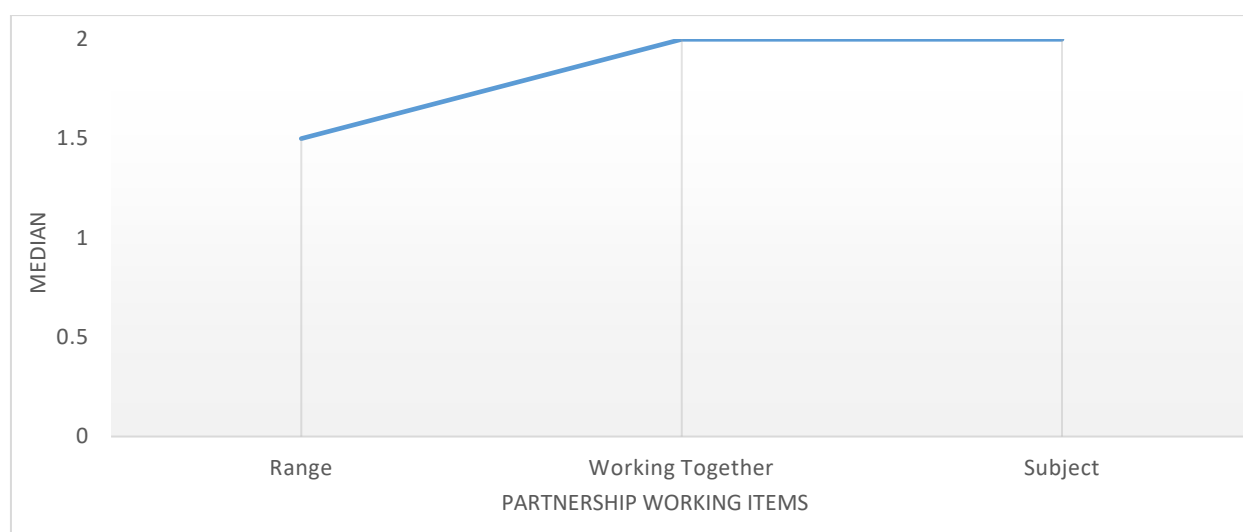


Figure 12. A line graph indicating the median score for the RMP's in relation to partnership working.



Range of Measures

- 3.31. This included 1 item relating to the range of measures indicating partnership working across the RMP's. Half of the RMP's showed strong evidence of this compared to the other half indicating partial evidence. This included observable strengths in relation to the considerations of who should be responsible for certain strategies, when they should be done and why. The only significant weakness was in several RMP's where health staff were missing from strategies and actions, despite having a role to play based on the formulation presented in those plans (e.g. identifying alcohol and substance use as a relevant factor but not having a strategy relating to addictions).

Working Together

- 3.32. There was 1 item from the evaluation measure relating to this aspect of the RMP's (i.e. 5.4.2). All of the RMP's demonstrated significant evidence of identified individuals working together. This included evidence across the risk management strategies and contingency measures of individuals/agencies working together in the delivery of the RMP.

Involving the Individual

- 3.33. There was 1 item from the evaluation measure relating to how well the RMP's evidenced involving the individual (i.e. 5.4.3). Most of the RMP's had clear evidence of this item. However 1 of the RMP's only showed partial evidence. The only significant developmental point related to evidencing more engagement with the individual to try and build on sections like offence analysis and formulation.

Partnership Working Section – Overall

- 3.34. Overall the maximum rating an RMP could receive for the risk management sections of the RMP was 6. The 4 RMP's submitted ranged between 5-6; with a median of 5. This included 2 RMP's receiving a section rating of 'adequate', 1 RMP a rating of 'good' and 1 RMP a rating of 'excellent'. The implications of this are discussed in the recommendations section of this report.

Evaluation Measure Section 5 – Overall Quality

- 3.35. This included 3 items relating to the overall quality and presentation of the RMP. This included an item on language and readability, briefness and conciseness, and the logical flow and linkage within the RMP's.

Figure 13. A bar chart indicating the presentation quality of RMP's.

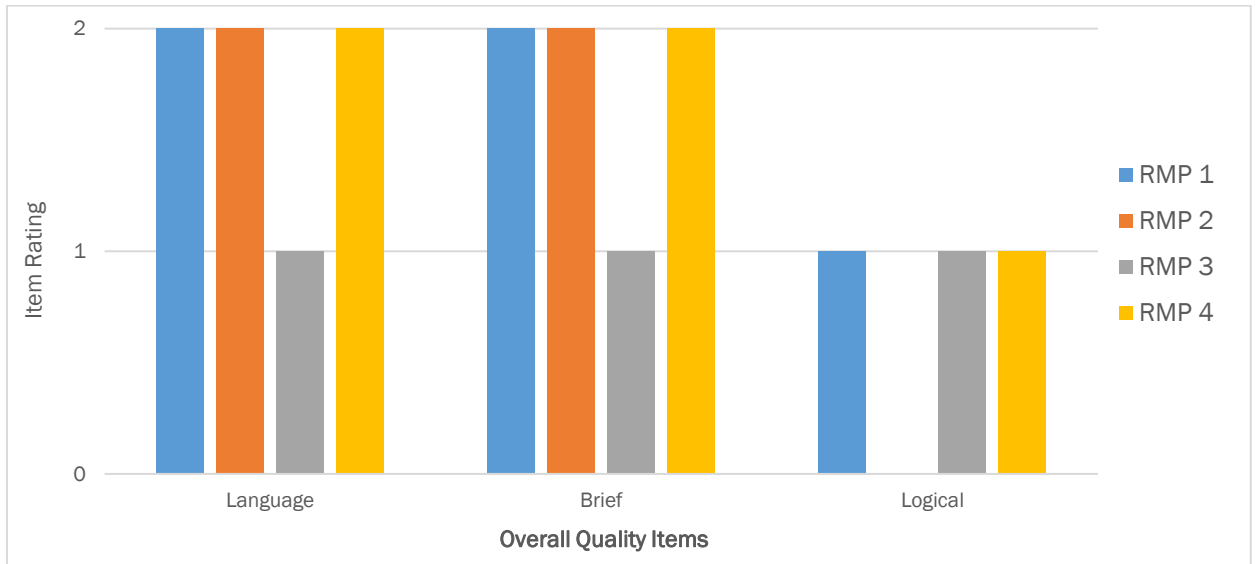


Figure 14. A bar chart indicating overall quality of RMP sections relating to presentation quality.

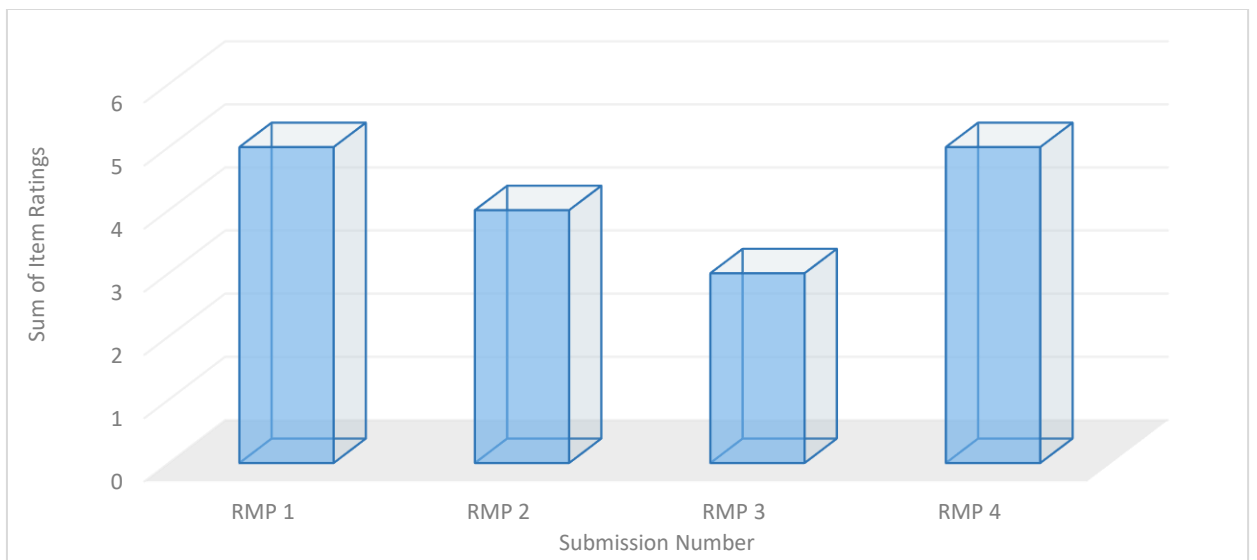


Figure 15. A line graph indicating median score for RMP's in relation to overall presentation



Language

- 3.36. Out of the 4 RMP's submitted, 3 of them indicating strong evidence of using appropriate, accessible and non-jargonistic language. In the other RMP there were several instances of jargon being used (e.g. a long list of offences, by their relevant legislation, under brief history of offending and offence analysis). However, in general the RMP's were well written, readable and easy to follow.

Brief

- 3.37. A similar pattern was observed in relation to the briefness and conciseness of the RMP's, in terms of 3 of the RMP's showing strong evidence of keeping the plan succinct, free from unnecessary details and demonstrating appropriate use of summary. The same RMP that evidenced partial evidence in relation to appropriate use of professional language, also showed partial evidence in terms of briefness. This was due to the jargon mentioned above, and the fact that the use of summary could've been more effective.

Logical

- 3.38. This was an area of significant weakness across the 4 RMP's; 3 indicating partial evidence and 1 indicating no evidence. This evaluation item is heavily informed by the appropriate content being in each of the sections of the RMP, and therefore the weaknesses relate to the feedback already identified in relation to linking risk assessment, formulation and risk management.

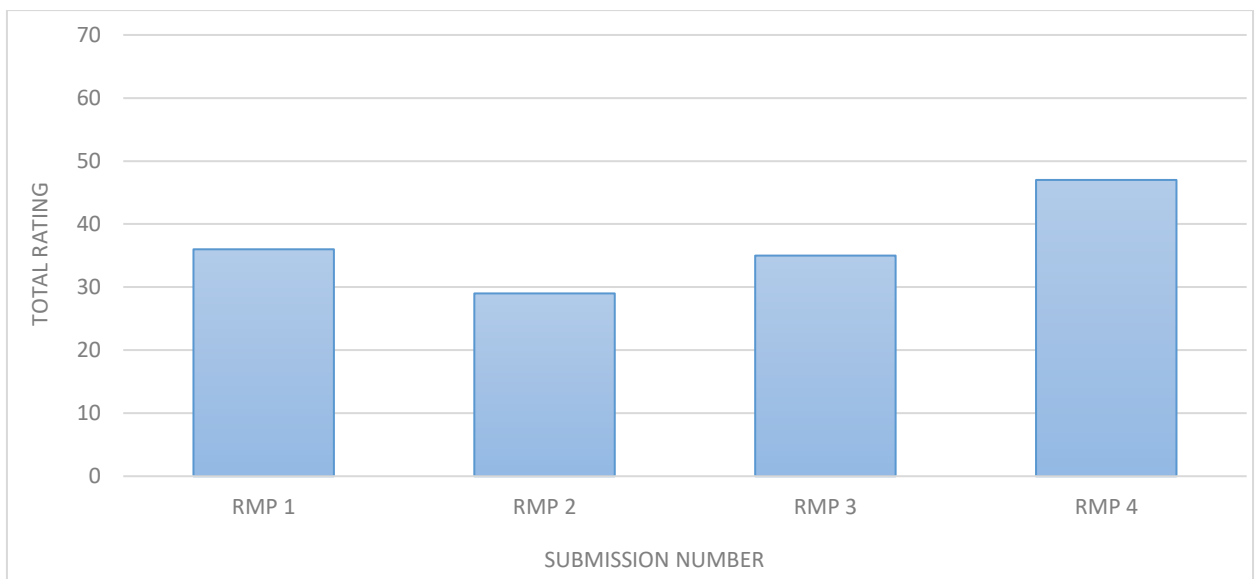
Presentation of RMP Section – Overall

- 3.39. Overall the maximum rating an RMP could receive for the risk management sections of the RMP was 6. The 4 RMP's submitted ranged between 3-5; with a median of 4.5. This included 2 RMP's receiving a section rating of 'weak', 1 RMP a rating of 'adequate' and 1 RMP a rating of 'good'. The implications of this are discussed in the recommendations section of this report.

Evaluation Measure– Overall

- 3.40. This included all 37 items across the 5 sections broken down above. After removing the 3 items previously discussed (i.e. 2 on protected characteristics, and an item on decision-making context), this left 34 items with 68 the highest mark available.

Figure 16. A bar chart comparing the overall quality of the RMP's submitted for evaluation.



- 3.41. The 4 RMP's submitted ranged between 29-48; with a median of 35.5. This is fairly promising indications of training content being applied meaningfully in some of the areas of the RMP. The problems with the risk assessment sections stand out in particular, as this is a section that then impacts significantly on the quality of the following sections. Therefore it seems reasonable to conclude that the weaknesses in risk assessment had significant implications on the overall scores.

4. Comparing evaluation to initial needs

- 4.1. To consider the effectiveness of the Risk Practice Course it was important to consider some of the initial motivations and reasons for the training. Whilst no formal training needs analysis was conducted a considerable amount of relevant meeting minutes, recorded discussions with relevant stakeholders, and previous iterations of a form of risk practice training, could all be used to identify fundamental needs that the training was intended to target. These were identified as:
- Implementing the 5 practice standards
 - Compiling consistent Risk Management Plan's
 - Supporting practitioner risk assessment and formulation skills
 - Supporting defensible decision-making.
- 4.2. It was recognised that the RMP represents a template that, if completed effectively, is designed to support practitioners in meeting the 5 practice standards. Therefore, these needs relate to one another strongly. As this evaluation directly involved evaluating submitted RMP's it provides some reasonable conclusions on whether this need is being met. However, there is a limitation to this in the sense that the evaluation doesn't compare an individual's pre- and post-training RMP's, which would provide stronger indications of any training as a result of attending the training. Also, the evaluation measure didn't provide detailed indications of whether standard 5 – quality assurance – was being met. Although the process of submitting RMP's, and opting for feedback, would suggest some positives in this regard. However, the small sample size and low response rate could then be used to argue that nationally there could be concerns in relation to quality assurance. Fundamentally this would need wider evaluation with specific engagement with agencies around their staff training, feedback and supervision processes, and self-evaluation mechanisms.

- 4.3. In relation to the quality of RMP's and meeting the 5 practice standards, the median overall quality of 35.5 out of 68 would suggest that the plans submitted demonstrated some strengths as well as weaknesses. In general, the major weakness was in the risk assessment sections, and therefore in terms of meeting Standard 1 (risk assessment). This would've had significant impact on meeting other standards, particularly Standard 3 (Risk Management) and Standard 2 (Planning & Responding to Change). The evaluation results in relation to Standard 2 (Planning & Responding to Change) were slightly concerning in terms of the pronounced weaknesses in this area, and would suggest further work and considerations are needed in relation to supporting staff better in the future. Factoring in the impact of risk assessment weaknesses into the quality of the risk management measures, it's reasonable to conclude that this is a need being met reasonably successfully. Finally, the quality of work in relation to Standard 4 (Partnership Working) would suggest this need is being met through the RMP.
- 4.4. The desired outcome of 'consistent' RMP's is another facet to this original training need. When considering that overall section ratings were never more than one denomination apart (e.g. 'adequate' compared to 'weak', or 'good' compared to 'adequate') and based on the patterns across the strengths and weaknesses, there is a suggestion that there is some consistency. However, there would need to be a wider and longer-term evaluation, inclusive of more local authorities, in order to make meaningful and significant conclusions in this regard.
- 4.5. As indicated from the observations around the issues with the risk assessment sections of the RMP, it's reasonable to conclude that this need isn't being met. An initial driver for the training was to support staff in carrying out a scrutiny level of risk assessment in order to be consistent with principles of FRAME (2011) as well as equipping social workers with formulation skills and the ability to link to risk management. However, based on the median score of 10.5 out of 24 for this section of the RMP's, and 3 of the plans receiving a rating of 'weak', it suggests that future training should consider this. Although it's acknowledged that there were some important strengths and learning demonstrated in relation to formulation, and with a few important weaknesses being addressed there would likely be a dramatic increase in the quality of the risk assessment section and the overall plan. Therefore there are recommendations in relation to this in the section below.
- 4.6. The final predominant need related to supporting defensible decision-making, and only partial insight can be provided from this evaluation. There are promising indications of proportionate, balanced, rights-based and evidence-based principles being applied within the RMP's. This suggests that the RMP's could inform decision-making. However with some of the issues in relation to identifying an appropriate risk level, documenting implications for risk management, and demonstrating adequate understanding of the MAPPA risk levels, it's difficult to fully support the conclusion that these RMP's were useful in the context of decision-making. Furthermore, there is wider evaluative work to be done in relation to engaging with the various MAPPA stakeholders to gauge more informative information around how effective RMP's are in supporting defensible decision-making.

5. Review of Training Aims

- 5.1. This level of the evaluation explores the aims of the modules within the Risk Practice Course, and the inferences that can be made regarding whether they are achieving their desired purpose.
- Module 1's primary measurable aim relates to trainees understanding of risk of serious harm. The evaluation indicated some evidence of assessors conflating terminology but generally there was an attempt to identify core aspects of risk of serious harm, in terms of likelihood, impact, and imminence.
 - The aims of Module 2 relate to risk assessment principles and processes. The results of this evaluation would indicate that this module isn't currently achieving transfer of

skills in the context of risk assessment practice, and that this is having a significant impact on other areas of the plans.

- Module 3 aims to enhance skills in relation to offence analysis. There is evidence of authors understanding the skill and demonstrating some of the key characteristics. However there is still room for considerable improvement in relation to the offence analysis' reviewed.
- The aims of module 4 relate to formulation skills. It's acknowledged that this is a skill fairly unfamiliar to social workers, and showing it within a group-exercise during training is very different to completing one individually outside of training. Future recommendations consider what might be done to support practitioners more effectively in the future.
- Enhancing risk scenario skills was the aim of Module 5. This evaluation indicated that assessors are logically identifying the right behaviours for the plan to manage. However, there is a need for more detail in the RMP's and better application of the principles of risk scenarios. This is considered in the recommendations.
- Module 6 aims to enhance skills in relation to evaluation and communication. In relation to evaluation there are both indications of practitioners producing decent risk summaries but also lacking some understanding of the MAPPA risk levels. In relation to communication, this also poses problems in terms of shared language, although the RMP's were generally written in an accessible and meaningful manner.
- Risk management skills and understanding the sections of the RMP are the aims relating to Module 7. The evaluation didn't indicate a lack of understanding in relation to the desired content of the RMP sections, but rather a need to practice and refine plans. Furthermore, the risk management section of the plans was consistently one of the strongest observed during the evaluation.
- Overall it's suggested that Module 2 (Risk Assessment) and Module 4 (Formulation) aren't achieving their desired aims. Module 3 (Offence Analysis), Module 5 (Risk Scenarios) and Module 6 (Evaluation and Communication) are partly meeting their aims. Module 1 (RoSH Background) and Module 7 (Risk Management Planning) appear to be meeting their aims.

5.2. The overall aims of the training were then considered in relation to the evaluation –

- To provide participants with a grounding in the fundamental principles and processes that should be evident when assessing and managing risk of serious harm.
- To increase participant confidence in applying these principles and processes.

5.3. In terms of the first aim, the key words when considering evaluating this, are that of 'grounding' and 'fundamental'. Producing a high quality RMP involves a number of complex skills around risk assessment, formulation, risk management and report writing. Therefore context needs to be applied when considering what would be expected from those having attended a 3-day training resource. When considering the significant increases in knowledge and confidence displayed in the analysis of learning (findings reported in the Assessment of Learning Report) it's reasonable to suggest that the training is providing a grounding in fundamental skills. However, it could be suggested that this isn't sufficient to equip practitioners to complete a high quality RMP. The implications of this and suggestions for future practice are considered in the recommendations section.

5.4. It may also be reasonable to consider that the evaluation indicated more evidence of practitioners managing risk of serious harm as opposed to assessment. With targeting an improvement to the

assessment component, this could then result in a dramatic overall improvement in the quality of RMP's.

- 5.5. The Assessment of Learning Report would suggest that the training is successful in immediate transfer of knowledge. This is based on the increase in average understanding at pre-training ($M = 29.24$, $SD = 7.36$) to post-training ($M = 38.16$, $SD = 2.38$), which was found to be significant, $t(133) = -26.947$, $p < .001$.
- 5.6. In terms of increasing participant confidence in applying principles and processes. The Assessment of Learning report indicated a significant increase in participants self-evaluations of their learning across; risk assessment process, assessment tools, indicators of risk of serious harm, offence analysis, role of risk factors, benefits of formulation, Four P's, risk scenarios, risk evaluation and criteria, communications, and elements of an RMP.
- 5.7. There are limitations to this part of the evaluation. Firstly, the original aims of the training and modules were established a number of years ago, and could do with being reviewed. This review process is considered in more detail in the recommendations but should include clarity on training aims, module objectives and relating these to an evaluation framework.

6. Future Recommendations

- 6.1. Based on the outcomes of this evaluation a number of recommendations can be made to inform future training.
- 6.2. It should be noted that the Risk Practice Course contains 8 modules but only 7 of these could be commented on in terms of whether they are achieving their aims. Module 8 relates to the LS/CMI IT system and this couldn't be commented on during this evaluation. This would require gathering a considerable amount of more information, from the LS/CMI systems. Additionally, this evaluation aimed to comment on how well the training supports practitioners to meet the 5 practice standards. One of these relates to quality assurance and, as mentioned in previous sections, evaluating this would require more direct engagement with responsible agencies/individuals to consider things like competency, training, supervision and self-evaluation processes.
- 6.3. This evaluation only looked at RMP's completed at post-training by those that had attended the training. An ideal evaluation model would be to compare completers plans at pre- and post-training, against a control group of those who haven't completed the training. This would provide more objective, reliable and valid conclusions on the actual impact of the training. However, it's acknowledged that this is extremely unlikely and lacking feasibility in relation to resources. Therefore, the current evaluation model was adopted and could still provide meaningful and relevant conclusions and recommendations.
- 6.4. Furthermore a secondary aim of this evaluation was to consider the resource required to evaluate an RMP and provide feedback. The purpose of this was to use the evaluation process to scope the feasibility of implementing an RMP evaluation and feedback process as a post-training support mechanism for those completing the Risk Practice Course. Each of the RMP's evaluated took between 2-3 hours to complete. This is felt to represent a feasible and worthwhile resource for future training that would likely reduce as familiarity with the measure increases. This could take the form of trainees submitting the 1st RMP they complete following the training. This could then be evaluated by one of the trainers, feedback provided, and collaboration on implementing the feedback. It would be advisable for a further evaluation to then be conducted 6 months to 1 year following this mechanism being in place.
- 6.5. Risk assessment was an area with significant weaknesses across the RMP's, with significant implications on the other areas of the RMP. Therefore targeting developments in this area could be considered a priority. It's recommended that Module 2 of the training be reviewed to consider

how to enhance risk assessment skills more effectively. This should involve enhancing content around a number of areas –

- Identifying appropriate sources of information (i.e. recording dates, authors, specific individuals, any tools used, and the limitations of any information),
- Discussing principles associated to appropriate risk assessment tools
- Implementing more structure within the concise case summary (e.g. sub-headings)
- Summarising more effectively and not using jargon within the brief history of offending
- In relation to offence analysis; writing up limitations and speculating using theory, and being clear on differences between offence analysis and formulation,
- Promoting the most recent version of the RMP,
- Clarity on the MAPPA risk levels and reporting this within the training (i.e. use of a clear annotated example to demonstrate how the definition relates to the summary).

6.6. Developing the formulation skills of social workers could also have significant implications on risk practice and the quality of RMP's. This could include:

- Increasing understanding of the Four P's and the functions of the different factors,
- Promoting the importance, benefits and components of a narrative formulation (e.g. expanding formulation exercise to more directly include evaluation against quality checklists),
- Linking the narrative formulation to the relevant factors in the RMP.

6.7. It's recognised that formulation is a complex and difficult skill which post-training support may be more suitable in targeting. Such a provision allows for more individualised feedback to those completing the training, compared to the group exercise within the training. It may also be a longer-term goal to consider developing and implementing formulation workshops where social workers could bring cases and discuss the formulations; with trainers providing feedback and guidance. This may also help to develop more pervasive and persistent confidence within social workers to use psychological theory and hypothesise the links and functions of identified relevant risk factors. In addition, the promising aspects of 1 of the RMP's (in terms of formulation) may indicate utility in sharing best practice examples amongst social work professionals.

6.8. There is also a need to consider altering the training content around risk scenarios. As the weaknesses identified related to the content and structuring of risk scenarios that were realistic and relevant, it appears that it's not understanding but producing them that is the issue. Therefore revising the skills practice, and breaking it down into meaningful components that clearly put across the ideas of 'similar', 'better' and 'worse', as well as 'what', 'when', 'why', 'to whom' and 'how'. In addition, it may be useful to consider how the example scenario is communicated more meaningfully within the training (e.g. annotated version on the slide).

6.9. In relation to measures of change and contingency planning it's likely that developing understanding of formulation and improving the risk assessment sections will significantly enhance the quality of these sections as well. However there are also specific points for future emphasis during training –

- Early warning signs should relate to the precipitating factors from the formulation, and inform the contingency measures,
- The responsible agency/individual in relation to identified contingency measures should be specific and not grouped under 'all staff' unnecessarily.

6.10. There were clearly more strengths in relation to risk management when compared to the risk assessment sections of the RMP. However future training and feedback could look to support practitioners to make strategies more specific, to correctly apply priority ratings (i.e. '1', '2', and '3'), and to lay out strategies more clearly (e.g. separating out factors, strategies and activities). Similar to other sections, increasing the quality of risk assessment and formulation would provide additional benefits to the risk management sections of the RMP. For example, correctly identifying the function of a factor (i.e. predisposing, precipitating, perpetuating, or protective)

helps inform what type/s of strategy would be required (e.g. precipitating factors tend to form monitoring strategies).

- 6.11. Partnership working was a clear area of evidenced strength across the RMP's. Future training could slightly enhance the importance of risk management strategies being assigned to specific responsible individuals/agencies, as well as the role, process and implications of collaborating with the individual during the production and review of an RMP.
- 6.12. Future evaluation of the Risk Practice Course could look to consider the impending revision of National Outcomes and Standards for Social Work Scotland to the Justice Social Work Outcomes, Objectives and Principles (JSWOOP). A future evaluation might therefore explore how the training might relate to the social worker role.
- 6.13. Future evaluation might also consider how the Risk Practice Course might fit in with the Risk Management Authority's purpose of promoting effective practice. It would be worthwhile considering how much the Risk Practice Course contributes towards this, and depending on the outcome it might inform decision-making regarding resource allocation towards a future post-training support, evaluation and feedback process for the Risk Practice Course.
- 6.14. A wider evaluation process might involve a larger sample size in order to more effectively explore the consistency of RMP's across additional local authorities. Furthermore, supporting decision-making was one of the original needs identified for the Risk Practice Course to target, and a wider evaluation process would be required to inform on this. This might involve engaging with the various MAPPA stakeholders to gauge more informative content around how effective RMP's are in supporting defensible decision-making.
- 6.15. It was particularly difficult to consider the original training aims and module aims, in relation to whether they were being achieved or not. There was conflation in terms of what was an aim or an objective, as well as whether some of them were actually measurable. A structured revision of the training aims might be beneficial in order to develop measurable objectives that contribute to the overall aims of the training. This could be built around enhancing the knowledge, confidence and skills of the trainees, which would then fit better with an assessment of learning and evaluation process. A proposed framework is attached in Appendix D and includes training and module aims, associated objectives and the approach used to measure that aim. This also included a proposal to restructure the modules within the training so that there are 6 modules with measurable aims and objectives, and 2 supporting modules (i.e. Course Overview and LS/CMI IT system)

7. Appendices

7.1. Appendix A – Risk Management Plan Template

RISK MANAGEMENT PLAN

	(Risk Management Plan for:)

BASIS OF ASSESSMENT

CONCISE CASE SUMMARY

RISK FORMULATION	
Brief history of offending (including index offence).	
Describe the cycle of events, thoughts, feelings and behaviours that precede and follow an episode of seriously harmful offending.	
Identify the relevance of key factors contributing to offending behaviour (i.e. predisposing, precipitating, perpetuating, and protective factors).	
Provide a summary of the risk of serious harm in terms of the pattern, nature, seriousness, likelihood, imminence and implications for risk management.	
Consider the definition of risk of serious harm and identify the risk level.	

RELEVANT FACTORS

MEASURES OF CHANGE

Early Warning Signs/Behaviours to Monitor	Indicators of Positive Change

RISK MANAGEMENT STRATEGIES

LIMITATIONS OF STRATEGIES

MONITORING AND CONTINGENCY ACTIVITIES

DESCRIBE THE LIKELY SCENARIO(S) IN WHICH THE RISK(S) MAY PRESENT IN TERMS OF “WHAT”, TO WHOM , WHEN , WHY AND HOW .
[The scenario(s) represents the negative outcome(s) that the plan aims to manage].

Immediacy/Degree of Alert	Early warning signs/behaviour to monitor	Agreed Actions	Responsible Agency/Individual
Be Aware			
Be Prepared			
Take Immediate Action			

Please be aware that unforeseen circumstances may arise that are not covered by the actions above. In such circumstances the key contacts listed below should be used to ensure an appropriate response and on-going accountability for actions.

KEY CONTACTS			
Name	Role	Organisation	Email/Telephone
REVIEW OF PLAN			
Date of current RMP			
Date of next review of RMP			

RISK MANAGEMENT PLAN: AGREEMENT

The Risk Management Plan has been prepared by:

Signed _____
 Designation _____
 Date: _____

Manager:

Signed _____
 Designation _____
 Date: _____

7.2. Appendix B – Evaluation Measure

Evaluation Criteria	RISK MANAGEMENT PLAN
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Assessor/ assigned worker:	
----------------------------	--

Evaluation completed by:	
--------------------------	--

Date:	
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- A number of items are provided in the form of a checklist which require one of 4 responses:
 - Yes
 - No
 - Partial
 - N/A (Not Applicable)

A response of *Partial* would be used where, for example, there is some evidence, but not strong enough to mark as Yes.

Every item on the checklist should be considered and a response recorded before rating each section overall.

- A five-point scale is used for the overall rating:

4 – Excellent. All areas are strong and demonstrate a high level of quality. No need for improvements identified.

3 – Good. Almost all areas are strong, with room for only minor improvement.

2 – Adequate. Some areas of weakness, and a need for some improvement exists.

1 –Weak. Key weaknesses are present. A need for major improvement exists.

0 – Unsatisfactory. Major weaknesses exist with little or no areas of strength. A very clear need for major improvement exists.

- **Comments field:** should raters want to provide a rationale for their rating and/ or detail any particular issues, strengths or weaknesses.
- **Actions field:** record any actions that are required as a result of the evaluation exercise - along with the date the action was completed.

Additional guidance is available within the *LSCMI – QA – Templates - GUIDANCE NOTES* document.

5.1 Risk Management Plan: Risk Assessment		Yes	Partial	No	N/A
5.1.1	Is the assessment based on an appropriate range of information, gathered from a variety of sources?				
5.1.2	Have any gaps or limitations been acknowledged?				
5.1.3	Does the assessment evidence the use of appropriate tools to provide a basis for the identification of risk and protective factors?				
5.1.4	Where relevant, has the assessor considered the individual's protected characteristics and the implications on assessment?				
5.1.5	Does the assessment provide a sufficient summary of the case?				
5.1.6	Does the assessment provide a sufficient history of the individual's offending , including the current offence(s)?				
5.1.7	Does the assessment provide a sufficient offence analysis?				
5.1.8	Does the assessment evidence a formulation of risk that offers an understanding of the interaction and role of historical and current factors in an episode of seriously harmful offending?				
5.1.9	Does the formulation meet checklist standards? (Does it contain the various components from the quality checklist?)				
5.1.10	Does the assessment summary provide a sufficiently detailed analysis of offending in terms of pattern, nature, seriousness and likelihood?				
5.1.11	Does the summary of risk of serious harm indicate the implications for risk management?				
5.1.12	Does the assessment include an evaluation of the level of risk of serious harm?				
5.1.13	Is the overall evaluation and conclusion as expected given the assessment and analysis which precedes it?				
5.1.14	Does the risk assessment inform the decision-making context for which it was intended? (e..g. MAPPA)				

Risk Assessment Rating:				
0 Unsatisfactory	1 Weak	2 Adequate	3 Good	4 Excellent
Comments				
Strengths		Developmental Areas		

5.2 Risk Management Plan: Planning & Responding to Change		Yes	Partial	No	N/A
5.2.1	Does the scenario, which the plan aims to manage, appropriately reflect the assessment and analysis which precedes it ? (Is the scenario as expected given the assessment and analysis which precedes it?)				
5.2.2	Does the scenario report on the what, to whom, when, why and how?				
5.2.3	Does the scenario contain realistic application of similar, better and/or worse components?				
5.2.4	Are the Four P factors which are listed relevant and expected? (Are the factors consistent with the findings of the risk assessment?)				
5.2.5	Are the protective factors realistic and evidence-based?				
5.2.6	Are the early warning signs/ behaviours to monitor adequate and appropriate?				
5.2.7	Are the indicators of positive change adequate and appropriate?				
5.2.8	Does the plan provide a record of appropriate contingency measures?				
5.2.9	Does the plan provide sufficient detail regarding the contact details of individuals and/ or agencies responsible for the risk management and contingency activities?				
5.2.10	Is the date for the next planned review of the plan appropriate given the complexity of the case and the identified risk(s)?				

Planning & Responding To Change Rating:

0 Unsatisfactory	1 Weak	2 Adequate	3 Good	4 Excellent

Comments

Strengths	Developmental Areas

5.3 Risk Management Plan: Risk Management Measures		Yes	Partial	No	N/A
5.3.1	Are the risk management measures comprised of an appropriate balance of preventive and supportive measures?				
5.3.2	Do the risk management measures appropriately target the factors identified in the risk assessment?				
5.3.3	Are the risk management measures proportionate to the risks and needs identified in the risk assessment?				
5.3.4	Are the risk management activities appropriately prioritised/scheduled?				
5.3.5	Are the risk management measures allocated to the appropriate agencies/ individuals?				
5.3.6	Does the plan consider and appropriately identify limitations of the risk management strategies and activities?				
5.3.7	Where relevant, has the assessor considered the individual's protected characteristics and the implications on risk management?				

Risk Management Measures Rating:				
0 Unsatisfactory	1 Weak	2 Adequate	3 Good	4 Excellent
Comments				
Strengths		Developmental Areas		

5.4 Risk Management Plan: Partnership Working		Yes	Partial	No	N/A
5.4.1	Does the plan involve an appropriate range of people from different disciplines and agencies?				
5.4.2	Is there evidence that the individuals/ agencies involved are working together to manage the risk(s)?				
5.4.3	Is there evidence that efforts have been made to engage and involve the subject of the plan in the process of risk management?				

Partnership Working Rating:				
0 Unsatisfactory	1 Weak	2 Adequate	3 Good	4 Excellent
Comments				
Strengths		Developmental Areas		

5.5 Risk Management Plan: Overall Quality					
		Yes	Partial	No	N/A
5.5.1	Is the RMP communicated in an accessible language?				
5.5.2	Is the RMP brief and concise?				
5.5.3	Do the components of the RMP logically connect?				

Quality Assurance Rating:				
0 Unsatisfactory	1 Weak	2 Adequate	3 Good	4 Excellent
Comments				
Strengths		Developmental Areas		

7.3. **Appendix C – Evaluation Guidance**

Risk Management Plan – Evaluation Framework:

Guidance Notes

Introduction

1. For each section or aspect of practice being evaluated, a number of items are provided in the form of a checklist which require one of 4 responses:
 - Yes
 - No
 - Partial
 - N/A (Not Applicable)

A response of *Partial* would be used where, for example, there is some evidence, but not strong enough to mark as Yes.

Every item on the checklist should be considered and a response recorded before rating each section overall.

2. A five-point scale is used for the overall rating each of the sections:
 - 4 – Excellent.** All areas are strong and demonstrate a high level of quality. No need for improvements identified.
 - 3 – Good.** Almost all areas are strong, with room for only minor improvement.
 - 2 – Adequate.** Some areas of weakness, and a need for some improvement exists.
 - 1 –Weak.** Key weaknesses are present. A need for major improvement exists.
 - 0 – Unsatisfactory.** Major weaknesses exist with little or no areas of strength. A very clear need for major improvement exists.
3. A **comments field** for each section is available should raters want to provide a rationale for their rating and/ or detail any particular issues, strengths or weaknesses.

Any item marked as Partial or No within the checklist would likely require an action to be recorded.

Evaluating the Risk Management Plan

The template for evaluating Risk Management Plans is based upon the risk practice standards derived from [Standards & Guidelines for Risk Management](#) and the [Framework for Risk Assessment, Management and Evaluation](#).

The 5 standards for risk practice are:

- **Standard 1: Risk Assessment**
- **Standard 2: Planning and Responding to change**
- **Standard 3: Risk Management Measures**
- **Standard 4: Partnership Working**
- **Overall Quality**

5.1 Risk Management Plan: Risk Assessment		Guidance Notes
5.1.1	Is the assessment based on an appropriate range of information, gathered from a variety of sources?	<p>Where is this? <i>Basis of Assessment</i> field.</p> <p>The key documents and sources of information that have informed the risk assessment should be listed, here.</p> <p>Assessments should draw on a range of sources including file, collateral and interview information. This may include interview information, reports, chronologies, risk/ need assessment tools, police intelligence, minutes of meetings and multi-agency discussions, records of correspondence, behavioural observation information, third party information and case file reviews.</p> <p>The date & author of any reports referred to and the date any assessment tool was used, should be noted.</p>
5.1.2	Have any gaps or limitations been acknowledged?	<p>Where is this? <i>Basis of Assessment</i> field.</p> <p>Where there are gaps, inconsistencies or matters which limit the assessment, these should be recorded here.</p> <p>For example, was the assessment limited by the individual's non-engagement in the interview process? Are there conflicting accounts found in official records? Is the individual's self-report generally unreliable? Are there gaps in knowledge or information?</p>
5.1.3	Does the assessment evidence the use of appropriate tools to provide a basis for the identification of risk and protective factors?	<p>Where is this? <i>Basis of Assessment</i> field.</p> <p>Tools applied should be appropriate to offence type and any identified responsivity issues relevant to the individual.</p>
5.1.4	Where relevant, has the assessor considered the individual's protected characteristics and the implications on assessment?	<p>Where is this? <i>Basis of Assessment</i> field or <i>Four P's</i></p> <p>The Equality Act (2010) and the nine protected characteristics have implications in terms of appropriate risk assessment tools and adapting the risk assessment process.</p> <p>For example, this may involve selecting tools based on age, gender or religion/belief. Alternatively the assessor may consider where a protected</p>

5.1 Risk Management Plan: Risk Assessment		Guidance Notes
		<p>characteristic is a responsivity consideration or an important risk-relevant component of the formulation.</p> <p>If this item is relevant then it would also relate to items on formulation and risk management measures.</p>
5.1.5	Does the assessment provide a sufficient summary of the case?	<p>Where is this? <i>Concise Case Summary</i> field.</p> <p>The purpose of this section is to provide any reader, who may not know the case in detail, with a concise overview of the case.</p> <p>The summary should contain key historic events and current information about the individual, their current status and the reason for the risk assessment and risk management plan.</p> <p>The information provided should be <i>relevant</i> to the risk assessment and management planning process.</p>
5.1.6	Does the assessment provide a sufficient history of the individual's offending , including the current offence(s)?	<p>Where is this? Brief history of offending field.</p> <p>This section should provide a brief offence history by outlining the nature of the offence types, and give a summary of the index offence(s).</p> <p>This does not need to be a detailed list of all offences but any offences which are of particular concern or which indicate a pattern should be noted.</p> <p>Where there is reference to allegation information, this should be clearly marked as such and its relevance and reliability should be appropriately weighted.</p>
5.1.7	Does the assessment provide a sufficient offence analysis?	<p>Where is this? <i>Describe the cycle of events, thoughts, feelings and behaviours that precede and follow an episode of seriously harmful behaviour</i> field.</p> <p>This should provide a understanding of the sequence of events which occur just before, during and after an episode of seriously harmful offending.</p> <p>Effort should be made to identify any common attributes, events or circumstances which precede the individual being involved in seriously harmful offending along with identifying any consequences which reward or reinforce such behaviour. The aim is to provide an understanding of the <i>how</i> and <i>why</i> the person becomes involved in seriously harmful offending.</p> <p>Bear in mind, some factors may limit the analysis (e.g. deniers, unreliable self-report, inability to access key information).</p>
5.1.8	Does the assessment evidence a formulation of risk that offers an understanding of the interaction and role of historical and current factors in an episode of seriously harmful offending?	<p>Where is this? <i>Identify the relevance of key factors contributing to offending behaviour</i> field.</p> <p>This section draws on the findings of risk assessment tools and the assessors analysis to provide an understanding and explanation of how the identified</p>

5.1 Risk Management Plan: Risk Assessment		Guidance Notes
		<p>risk and protective factors relate to an episode of seriously harmful behaviour.</p> <p>The formulation should be in narrative form and organised under four broad categories:</p> <ul style="list-style-type: none"> ○ Predisposing: Current or historic factors that may increase a tendency towards offending. Generally, these are identified using risk assessment tools such as LS/CMI Sections 1 & 2 and Stable 07 factors. They will be factors to address in supervision through offence focussed and cognitive behavioural work. ○ Precipitating: Events or circumstances that might trigger offending behaviour by disinhibiting or destabilising. These are the things to monitor in the risk management plan. ○ Perpetuating: Can act to maintain predisposing factors, or act as obstacles to successful intervention. Whilst not risk factors, these issues cause the risk to remain by acting as barriers to change or compliance. They may be of a long term nature, unresolved vulnerabilities or responsivity issues (see LS/CMI Section 5). ○ Protective factors Circumstances, relationships or characteristics helping to prevent, interrupt or reduce risk. To be protective factors must have worked in the past. If they don't interrupt offending they aren't protective.
5.1.9	Does the formulation meet checklist standards? (Does it contain the various components from the quality checklist?)	<p>Literature suggests a formulation should contain a number of components. Therefore the narrative formulation should be considered against the following –</p> <ul style="list-style-type: none"> • Presented in everyday language (e.g. no jargon, free from unnecessary details) • Tells a coherent, ordered and meaningful story • Consistent with empirically supported theory • Adequate quantity and quality of relevant information • Ties together past, present and future • Identifies strategies to manage • Generates new information
5.1.10	Does the assessment provide a sufficiently detailed analysis of offending in terms of pattern, nature, seriousness and likelihood?	<p>Where is this? <i>Provide a summary of the risk of serious harm in terms of the pattern, nature, seriousness, likelihood, imminence and implications for risk management field.</i></p> <p>Pattern refers to the onset (since when), duration and frequency (how often).</p>

5.1 Risk Management Plan: Risk Assessment		Guidance Notes
		<p>Nature refers to the type, diversity and to whom the offences are directed.</p> <p>Seriousness refers to the level of planning, the degree of harm caused and the degree of harm intended.</p> <p>Likelihood based on the balance of identified risk factors, protective factors and strengths.</p>
5.1.11	Does the summary of risk of serious harm indicate the implications for risk management?	<p>Where is this? <i>Provide a summary of the risk of serious harm in terms of the pattern, nature, seriousness, likelihood, imminence and implications for risk management field.</i></p> <p>Assessors should identify what level of supervision or risk management resources will be required (e.g. active and alert, single/multi-agency).</p>
5.1.12	Does the assessment include an evaluation of the level of risk of serious harm?	<p>Where is this? Specifically within the field labelled <i>Consider the definition of risk of serious harm and identify the risk level.</i></p> <p>However, it may also be evident within the <i>Provide a summary of the risk of serious harm in terms of the pattern, nature, seriousness, likelihood, imminence and implications for risk management field.</i></p>
5.1.13	Is the overall evaluation and conclusion as expected given the assessment and analysis which precedes it?	<p>Where is this? <i>Provide a summary of the risk of serious harm in terms of the pattern, nature, seriousness, likelihood, imminence and implications for risk management field and the risk level within the Consider the definition of risk of serious harm and identify the risk level field.</i></p> <p>Judgements relating to imminence and the risk level should be consistent with the definition of risk of serious harm and the MAPPA risk levels.</p> <p><u>Definition of RoSH:</u> <i>There is a likelihood of harmful behaviour, of a violent or sexual nature, which is life threatening and/or traumatic and from which recovery, whether physical or psychological, may reasonably be expected to be difficult or impossible.</i></p> <p><u>Risk Levels:</u></p> <p>Very high: there is an imminent risk of serious harm. The potential event is more likely than not to happen imminently and the impact would be serious;</p> <p>High: there are identifiable indicators of risk of serious harm. The potential event could happen at any time and the impact would be serious;</p> <p>Medium: there are identifiable indicators of serious harm. The offender has the potential to cause such harm, but is unlikely to do so unless there is a change in circumstances, for example failure to take</p>

5.1 Risk Management Plan: Risk Assessment		Guidance Notes
		<p>medication, loss of accommodation, relationship breakdown, drug or alcohol misuse;</p> <p>Low: current evidence does not indicate likelihood of causing serious harm.</p>
5.1.14	Does the risk assessment inform the decision-making context for which it was intended? (e.g. MAPPA)	<p>Where is this? Inferred from the entire assessment. The risk assessment should establish risk within the context of likelihood and impact. It should also clearly inform the decision-making context for which it was intended.</p> <p>For example, if this relates to MAPPA provision then there should be clearly identified risk levels and clarity on the evidence for this.</p>

5.2 Risk Management Plan: Planning & Responding to Change		Guidance Notes
5.2.1	Does the scenario, which the plan aims to manage, appropriately reflect the assessment and analysis which precedes it ? (Is the scenario as expected given the assessment and analysis which precedes it?)	<p>Where is this? The assessment and analysis within the RISK FORMULATION fields.</p> <p>The scenario should be within the <i>Describe the likely scenario(s) in which the risk(s) may present in terms of 'what', 'to whom', 'when', 'why' and 'how'</i> field where:</p> <ul style="list-style-type: none"> ○ What is the risk? What type of behaviour is likely to happen? ○ To whom is the risk posed? ○ When might the risk occur/ under what circumstances? ○ Why would the risk occur under these circumstances? What is the reason or motivation for this type of behaviour (if known)? ○ How might this occur? How would the individual seek to undertake/ complete the offence? <p>The scenario should describe the likely set of circumstances or events in which an offence may occur and draw upon the interaction of risk and protective factors highlighted in the risk formulation. It is an educated forecast, not a prediction, and so should be based on the available information, be evidence-based, realistic and likely.</p> <p>Where more than one risk has been identified (i.e. more than one type of seriously harmful behaviour that the plan is aiming to manage) there should be a scenario described for each.</p> <p>Scenarios should be realistic and informed by the risk assessment and formulation. This may include a likely scenario composed of similar repeat behaviours, or a better/worse component.</p>
5.2.2	Does the scenario report on the what, to whom, when, why and how?	
5.2.3	Does the scenario contain realistic application of similar, better and/or worse components?	
5.2.4	Are the Four P factors which are listed relevant and expected? (Are the factors	

5.2 Risk Management Plan: Planning & Responding to Change	Guidance Notes
consistent with the findings of the risk assessment?)	<p>The factors that contribute to or prevent <i>this individual</i> being involved in seriously harmful offending should be listed here. They should be drawn from the narrative formulation of risk and listed under the one of 4 categories, depending on the role they play:</p> <ul style="list-style-type: none"> ○ Predisposing: Current or historic factors that may increase a tendency towards offending. Generally, these are identified using risk assessment tools such as LS/CMI Sections 1 & 2 and Stable 2007 factors. They will be factors to address in supervision through offence focussed and CBT work. ○ Precipitating: Events or circumstances that might trigger offending behaviour by disinhibiting or destabilising. These are the things to monitor in the risk management plan. ○ Perpetuating: Can act to maintain predisposing factors or act as obstacles to successful intervention. Whilst not risk factors, these issues cause the risk to remain by acting as barriers to change or compliance. They may be of a long term nature, unresolved vulnerabilities or responsivity issues (see LS/CMI Section 5). ○ Protective factors Circumstances, relationships or characteristics that help to prevent, interrupt or reduce the risk. To be deemed protective, these factors must also have been shown to have worked for this individual in the past. If they don't interrupt offending they are not protective.
5.2.5 Are the protective factors realistic and evidence-based?	<p>Where is this? Four P's</p> <p>There should be evidence of identified protective factors interrupting, preventing or reducing risk. Additionally, the assessor should distinguish appropriately between strengths and protective factors.</p>
5.2.6 Are the early warning signs/ behaviours to monitor adequate and appropriate?	<p>Where is this? MEASURES OF CHANGE: Early Warning Signs/ Behaviours to Monitor field.</p> <p>This field should list precipitating factors, circumstances or behaviours which might indicate that offending is imminent, the risk management strategies are breaking down or that the plan requires review.</p> <p>The early warning signs/ behaviours to monitor should be drawn from the risk assessment and scenario which the plan aims to manage.</p>

5.2 Risk Management Plan: Planning & Responding to Change		Guidance Notes
		Consider whether the early warning signs/ behaviours to monitor appropriately reflect the findings of the risk assessment and the analysis.
5.2.7	Are the indicators of positive change adequate and appropriate?	<p>Where is this? <i>MEASURES OF CHANGE: Indicators of Positive Change</i> field.</p> <p>This field should identify the events, behaviours or circumstances which <i>might</i> indicate that the plan is working or that the risk is diminishing (which would indicate that restrictions could be reduced).</p> <p>Examples for some individuals might include pro-social relationships, compliance/ engagement or improved anger management.</p>
5.2.8	Does the plan provide a record of appropriate contingency measures?	<p>Where is this? <i>MONITORING AND CONTINGENCY ACTIVITIES</i> table.</p> <p>This section should document the measures to be taken in response to:</p> <ul style="list-style-type: none"> ○ the appearance of early warning signs; ○ the weakening or breakdown of protective factors; and ○ the weakening or breakdown of the strategies set out in the <i>Risk Management Strategies</i> section. <p>The contingency plan should identify the agreed actions to be taken in the event that early warning signs emerge. The actions should clearly state what is to be done to manage/minimise the risk, by whom and assigned with one of the following categories of immediacy/ degree of alert:</p> <p>Be Aware – monitor the emerging behaviours closely for any signs of escalation and ensure relevant individuals/agencies are informed about the potential situation.</p> <p>Be Prepared – ensure that precautionary measures are taken and that staff are alert to the possible situation.</p> <p>Take Immediate Action – ‘intervene now’ to deliver identified contingency activities.</p>
5.2.9	Does the plan provide sufficient detail regarding the contact details of individuals and/ or agencies responsible for the risk management and contingency activities?	Where is this? <i>KEY CONTACTS</i> table.
5.2.10	Is the date for the next planned review of the plan appropriate given the complexity of the case and the identified risk(s)?	<p>Where is this? <i>REVIEW OF PLAN, date of next review of RMP</i> field.</p> <p>It is essential that the risk assessment and RMP is reviewed on a regular and ongoing basis to ensure that the identified risk(s) remain relevant and that measures</p>

5.2 Risk Management Plan: Planning & Responding to Change		Guidance Notes
		to manage the risk(s) remain proportionate and defensible.

5.3 Risk Management Plan: Risk Management Measures		Guidance Notes
5.3.1	Are the risk management measures comprised of an appropriate balance of preventive and supportive measures?	<p>Where is this? <i>Risk Management Strategy</i> and <i>Activity</i> columns within the <i>RISK MANAGEMENT MEASURES</i> table.</p> <p>The plan should have a range of measures comprised of the following strategies:</p> <ul style="list-style-type: none"> ○ Supervision: a means by which a relationship is established with the individual. The purpose is to ensure that the individual is engaged through dialogue in a process of change and compliance. Supervision may also involve oversight or administration of a Court order, sentence or licence to ensure that any requirements or conditions are being appropriately applied and that compliance with such requirements is being monitored. ○ Monitoring: involves a number of observational activities intended to identify progress or deterioration or draw attention to areas where the RMP needs to be changed. ○ Treatment/ Intervention: is a specific programme, activity or technique focused on encouraging change in a particular behaviour or providing treatment for a particular problem. ○ Victim Safety Planning: is a risk management activity by which attention is drawn to the safety of specific individuals or groups who may potentially be victimised, with a view to devising preventative or contingency plans. <p>Consider whether the plan contains a suitable range of measures to prevent offending , to support the individual and measures to maintain/ encourage the development of protective factors.</p>
5.3.2	Do the risk management measures appropriately target the factors identified in the risk assessment?	<p>Where is this? <i>Risk Management Strategy</i>, <i>Relevant Factor</i> and <i>Activity</i> columns within the <i>RISK MANAGEMENT MEASURES</i> table.</p> <ul style="list-style-type: none"> ○ Supervision activities: would tend to focus on addressing the predisposing and perpetuating factors (and build upon or promote strengths and protective factors, if any exist). ○ Monitoring activities: should monitor for emergence of early warning signs and

		<p>precipitating factors (and weakening of protective factors, if any exist).</p> <ul style="list-style-type: none"> ○ Treatment/ Intervention activities: should focus on addressing predisposing and perpetuating factors. ○ Victim Safety Planning activities: depending on the victim type, and circumstances whereby a seriously harmful offence is likely to occur, victim safety planning activities might involve, for example, environmental scanning, notifying past/ potential victims, specific licence conditions restricting contact with past/ potential victims. <p>Depending on the purpose and scope of the risk management activity, the relevant factor could involve a combination of:</p> <ul style="list-style-type: none"> ○ an individual factor (identified within the formulation and/ or listed within the RELEVANT FACTORS table); ○ the type of offending (identified within the likely scenario) or, ○ 'all risk factors'.
5.3.3	Are the risk management measures proportionate to the risks and needs identified in the risk assessment?	Where is this? <i>Risk Management Strategy and Activity</i> columns within the RISK MANAGEMENT MEASURES table.
5.3.4	Are the risk management activities appropriately prioritised/ scheduled?	<p>Where is this? <i>Priority</i> column within the RISK MANAGEMENT MEASURES table.</p> <p>Within the 'Priority' column each risk management activity should be rated as 1, 2 or 3 where:</p> <p>1: activities which need immediate attention or need to be undertaken before focussing on other activities.</p> <p>2: activities which require intermediate attention.</p> <p>3: activities which are deemed to be a low priority at this point in time.</p> <p>A variety of factors may have an impact in determining how these activities are prioritised and scheduled. For example:</p> <ul style="list-style-type: none"> ○ the individuals' readiness to change and engage (efforts to address responsivity issues such as denial or lack of motivation would likely need to be prioritised over a referral to a groupwork programme). ○ the current context (if the person is currently in custody, some risk management activities may only be required upon release). ○ any conditions of the release licence which may require to be prioritised.
5.3.5	Are the risk management measures allocated to the appropriate agencies/ individuals?	Where is this? <i>Responsible Agency/ Individual</i> column within the RISK MANAGEMENT MEASURES table.

5.3.6	Does the plan consider and appropriately identify limitations of the risk management strategies and activities?	<p>Where is this? <i>LIMITATIONS OF STRATEGIES</i> table.</p> <p>No plan can completely eliminate risk therefore it is important to consider the limitations which may be present. This section should highlight gaps or weaknesses in the plan, for example:</p> <ul style="list-style-type: none"> ○ Areas of uncertainty; ○ Interdependencies between risk management activities (i.e. one activity is reliant on the successful application or completion of another); ○ Where the success of a risk management strategy or activity depends on engagement of the subject of the plan; ○ Reliance on availability of programmes; ○ Gaps in knowledge; ○ Impact of the presence of personality disorder
5.3.7	Where relevant, has the assessor considered the individual's protected characteristics and the implications on risk management	<p>Where is this? <i>Basis for assessment and risk management measures</i> table.</p> <p>Where the assessor, under 5.1.4, has identified protected characteristics as responsivity considerations or risk-relevant, have these been incorporated appropriately into risk management measures?</p>

5.4 Risk Management Plan: Partnership Working		Guidance Notes
5.4.1	Does the plan involve an appropriate range of people from different disciplines and agencies?	<p>Where is this? Throughout the plan, but in particular consider:</p> <ul style="list-style-type: none"> ○ Basis of report; ○ <i>Responsible Agency/ Individual</i> column within the <i>RISK MANAGEMENT MEASURES</i> table; ○ <i>Responsible Agency/ Individual</i> column within the <i>MONITORING RISK MANAGEMENT MEASURES</i> table.
5.4.2	Is there evidence that the individuals/agencies involved are working together to manage the risk(s)?	The degree of communication, co-ordination and collaboration will be commensurate to the identified risk(s) and complexities of the case. There may be a need to seek evidence outwith the plan itself. For example: review minutes, minutes of MAPP meetings, the RMP Progress record (Section 10 of the LS/CMI).
5.4.3	Is there evidence that efforts have been made to engage and involve the subject of the plan in the process of risk management?	<p>Some evidence for this might be gleaned from within the plan (e.g. the <i>basis of assessment</i>, <i>concise case summary</i> and some of the activities within the <i>supervision</i> and <i>treatment/ intervention strategies</i>.</p> <p>However, there may also be a need to seek evidence outwith the plan itself. For example: review minutes, minutes of MAPP meetings, the RMP Progress record (Section 10 of the LS/CMI).</p>

5. Risk Management Plan: Overall Quality		Guidance Notes
5.5.1	Is the RMP communicated in an accessible language?	The RMP should use clear definitions, shared language and free of unnecessary jargon.
5.5.2	Is the RMP brief and concise?	The RMP should be free from unnecessary details and be formatted appropriately?
5.5.3	Do the components of the RMP logically connect?	The reader should see a clear thread through the risk assessment, formulation and risk management.

7.4. **Appendix D – Proposed Training Aims & Evaluation Framework**

The following are the aims of the training –

1. To increase Justice Social Worker knowledge regarding the fundamental principles and processes of risk practice
2. To increase Justice Social Worker confidence towards the fundamental principles and processes of risk practice.
3. To increase Justice Social Worker's skills in relation to completing the Risk Management Plan.

The training has been designed around a number of modules to target the relevant areas. Each module has its own aims and objectives. These modular aims are designed to be measureable and contribute to the overall aims of the training. Modular objectives are the required tasks and outcomes that need to be achieved to contribute to the associated aims. This section of the manual considers how each of these modular aims is broken down in terms of its associated objectives, how current materials contribute to measuring that aim, and what could be used in future evaluation of the training towards that aim.

The structure of the training would be as follows –

- Course Overview & Introductions
- Module 1 – Risk Assessment
- Module 2 – Offence Analysis
- Module 3 – Formulation
- Module 4 – Risk Scenarios
- Module 5 – Evaluation & Communication
- Module 6 – Risk Management Planning
- LS/CMI IT System

The 'Course Overview & Introduction' and 'LS/CMI IT System' components of the training represent supplementary sections to the training that complement the delivery of the 6 modules. Modules 1-6 would then be those designed to deliver the overall aims of the training, and therefore they are broken down in the table below to indicate module aims, objective(s), and measure(s) to evaluate that aim.

Module	Aim(s)	Objective(s)	Measure(s)
1	To increase participant knowledge and confidence towards the values and principles that underpin risk assessment.	<ul style="list-style-type: none">• Cover the 4 guiding principles of FRAME• Discuss defensible decision-making principles• Facilitate group exercise on underlying biases that can occur in risk assessment	<ul style="list-style-type: none">• Item 1 – Knowledge Check• Item 1 – Confidence Check
1	Increase knowledge of the purpose and process of risk assessment	<ul style="list-style-type: none">• Describe the content of the Risk Assessment practice standard (Standard 1)• Explain the purpose of risk assessment	<ul style="list-style-type: none">• Item 2 – Knowledge Check

Module	Aim(s)	Objective(s)	Measure(s)
		<ul style="list-style-type: none"> Cover the 4 guiding principles of FRAME Discuss general principles of risk assessment 	
1	Increase knowledge of what is involved in the identification stage of risk assessment	<ul style="list-style-type: none"> Describe the first step of the risk assessment process – identification Consider how this step applies to assessment of risk of serious harm Consider the purpose of the identification stage of risk assessment Describe the purpose and process of identifying and recording limitations to risk assessment. 	<ul style="list-style-type: none"> Item 3 – Knowledge Check Item 2– Confidence Check
1	Increase knowledge and confidence in identifying and evidencing appropriate risk assessment tools	<ul style="list-style-type: none"> Cover content on identifying indicators of risk of serious harm Facilitate exercise around identifying indicators of risk of serious harm Compare items on several risk assessment tools across offence types. Cover content on the responsible use of tools Direct trainees to the RATED resource. 	<ul style="list-style-type: none"> Item 4 & 5 – Knowledge Item 3 – Confidence Check
1	Increase knowledge, confidence and skills in relation to completing the sections of RMP relating to risk assessment	<ul style="list-style-type: none"> Provide examples of the completed sections Complete all of the other objectives identified for Module 1 	<ul style="list-style-type: none"> Items 1-5 – Knowledge Check Items 1-3 – Confidence Check Evaluation – Risk Assessment Sections of the RMP
2	Increase knowledge and confidence of what is involved in the analysis stage of risk assessment	<ul style="list-style-type: none"> Describe the process of offence analysis and consider why it's useful Provide trainees with opportunity to practice offence analysis 	<ul style="list-style-type: none"> Item 6 – Knowledge Check Item 2 – Confidence Check
2	Increase knowledge of the purpose of offence analysis	<ul style="list-style-type: none"> Describe the process of offence analysis and consider why it's useful Introduce the ABC model of offence analysis 	<ul style="list-style-type: none"> Item 7 – Knowledge Check
2	Increase knowledge, confidence and skills towards the ABC model	<ul style="list-style-type: none"> Introduce the ABC model of offence analysis Facilitate skills practice on applying the ABC model Consider the role of different factors in an offence 	<ul style="list-style-type: none"> Item 8 – Knowledge Check Item 4 – Confidence Check

Module	Aim(s)	Objective(s)	Measure(s)
			<ul style="list-style-type: none"> Evaluation – Offence Analysis Section of the RMP
2	Increase knowledge of differences between offence analysis and formulation	<ul style="list-style-type: none"> Describe the process of offence analysis and consider why it's useful Introduce the ABC model of offence analysis Clarify differences between offence analysis and formulation (Module 3) 	<ul style="list-style-type: none"> Item 9 – Knowledge Check
2	Increase knowledge, confidence and skills in relation to completing the sections of RMP relating to offence analysis	<ul style="list-style-type: none"> Provide examples of the completed section Skills practices on the ABC model and writing up offence analysis' Complete all of the other objectives identified for Module 2 	<ul style="list-style-type: none"> Items 6-9 – Knowledge Check Item 4 – Confidence Check Evaluation – Offence Analysis Section of the RMP
3	Increase knowledge and confidence of what is involved in the analysis stage of risk assessment	<ul style="list-style-type: none"> Described what is involved in formulation Explain why formulation is beneficial and necessary 	<ul style="list-style-type: none"> Item 6 – Knowledge Check Item 2 – Confidence Check
3	Increase knowledge of differences between offence analysis and formulation	<ul style="list-style-type: none"> Clarify differences between offence analysis and formulation. Cover content on the model of formulation (Four P's) 	<ul style="list-style-type: none"> Item 9 – Knowledge Check
3	Increase knowledge, confidence and skills of applying the Four P's model	<ul style="list-style-type: none"> Explain the Four P's model of formulation Facilitate exercises on identifying Four P's – mock example and case study example. Provide example of the completed case study example 	<ul style="list-style-type: none"> Items 10 & 11 – Knowledge Check
3	Increase knowledge, confidence and skills to produce narrative formulation	<ul style="list-style-type: none"> Explain benefits of narrative formulation Describe characteristics of narrative formulation (quality checklist standards) Facilitate skills practice on producing a narrative formulation Provide example of the completed section 	<ul style="list-style-type: none"> Item 12 & 13 – Knowledge Check Item 5– Confidence check Evaluation – Formulation Sections of the RMP
3	Increase knowledge of benefits and purpose of formulation	<ul style="list-style-type: none"> Explain the purpose of formulation Explain the benefits of formulation Describe characteristics of a good quality formulation 	<ul style="list-style-type: none"> Item 14– Knowledge Check Item 6 – Confidence Check Evaluation – Formulation Sections of the RMP

Module	Aim(s)	Objective(s)	Measure(s)
3	Increase confidence and skills in relation to completing the sections of RMP relating to formulation	<ul style="list-style-type: none"> • Provide examples of the completed section • Skills practice on identifying the Four P's • Skills practice on producing a narrative formulation • Complete all of the other objectives identified for Module 3 	<ul style="list-style-type: none"> • Item 6 & 9-14 – Knowledge Check • Item 2, 5 & 6 – Confidence Check • Evaluation – Formulation Sections of the RMP
4	Increase knowledge and confidence of what is involved in the analysis stage of risk assessment	<ul style="list-style-type: none"> • Describe the process of identifying risk scenarios • Cover content on the structure of risk scenarios 	<ul style="list-style-type: none"> • Item 6 – Knowledge Check • Item 2 – Confidence Check
4	Increase knowledge of the purpose of risk scenarios	<ul style="list-style-type: none"> • Describe the process of identifying risk scenarios • Explain the purpose of risk scenarios in assisting risk assessment 	<ul style="list-style-type: none"> • Item 15 – Knowledge Check
4	Increase knowledge, confidence and skills in producing and structuring relevant risk scenarios	<ul style="list-style-type: none"> • Identify the core elements that should be considered when identifying risk scenarios • Explore the three main scenario types • Facilitate a skills practice based on a case study example. 	<ul style="list-style-type: none"> • Item 16 – Knowledge Check • Item 7 – Confidence Check • Evaluation – Scenarios Sections of the RMP
4	Increase knowledge, confidence and skills in relation to completing the sections of RMP relating to risk scenarios	<ul style="list-style-type: none"> • Provide examples of the completed section • Skills practice on generating similar, better and worse scenarios • Skills practice on producing likely scenarios • Complete all of the other objectives identified for Module 4 	<ul style="list-style-type: none"> • Item 6, 15 & 16 – Knowledge Check • Item 2 & 7 – Confidence Check • Evaluation – Scenarios Sections of the RMP
5	Increase knowledge and confidence of what is involved in the evaluation stage of risk assessment	<ul style="list-style-type: none"> • Describe what is involved in the process of evaluating risk 	<ul style="list-style-type: none"> • Item 17 – Knowledge Check • Item 2 – Confidence Check
5	Increase knowledge and confidence of what is involved in the communication stage of risk assessment	<ul style="list-style-type: none"> • Describe what is involved in the process of communicating risk • Consider effective communication 	<ul style="list-style-type: none"> • Item 18 – Knowledge Check • Item 2 & 10– Confidence Check
5	Increase knowledge of the purpose of evaluation	<ul style="list-style-type: none"> • Review the purpose of evaluation in supporting risk assessment 	<ul style="list-style-type: none"> • Item 19 – Knowledge Check

Module	Aim(s)	Objective(s)	Measure(s)
		<ul style="list-style-type: none"> Identify the core points that should be addressed in a summary of risk of serious harm 	
5	Increase knowledge, confidence and skills in applying MAPPA risk levels	<ul style="list-style-type: none"> Explain how risk of serious harm relates to the MAPPA risk criteria Facilitate skills practice around producing a risk evaluation and summary 	<ul style="list-style-type: none"> Items 20 & 21 – Knowledge Check Items 8 & 9 – Confidence Check Evaluation – Risk Evaluation Sections of the RMP
5	Increase knowledge, confidence and skills in relation to completing the sections of RMP relating to evaluation and communication	<ul style="list-style-type: none"> Provide examples of the completed section Skills practice on producing a risk summary and identifying a MAPPA risk level Complete all of the other objectives identified for Module 5 	<ul style="list-style-type: none"> Items 17-21 – Knowledge Check Item 2 & 8-10 – Confidence Check Evaluation – Risk Evaluation Sections of the RMP
6	Increase knowledge of the purpose and principles of risk management	<ul style="list-style-type: none"> Explore the purpose and principles of risk management planning 	<ul style="list-style-type: none"> Item 22 & 23 – Knowledge Check
6	Increase knowledge, confidence and skills on risk management strategies	<ul style="list-style-type: none"> Explain the four different risk management strategies Skills practice on identifying risk management strategies Discuss the importance of identifying limitations of strategies 	<ul style="list-style-type: none"> Item 24 & 25 – Knowledge Check Item 11 – Confidence Check Evaluation – Risk Management Strategies Section of the RMP
6	Increase knowledge of measures of change	<ul style="list-style-type: none"> Explain the nature of early warning signs and indicators of positive progress Review the purpose of measures of change in supporting risk assessment. 	<ul style="list-style-type: none"> Item 26 – Knowledge Check
6	Increase knowledge, confidence and skills to produce contingency measures	<ul style="list-style-type: none"> Explain the purpose of contingency planning Cover principles of contingency planning Skills practice on contingency planning 	<ul style="list-style-type: none"> Item 27 – Knowledge Check Item 12 – Confidence Check
6	Increase knowledge, confidence and skills in relation to completing the sections of RMP relating to risk management	<ul style="list-style-type: none"> Identify the core elements that should be present in every plan (risk management strategies and actions, measures of change, and contingency plan). Provide examples of the completed sections Review sections of the risk management plan. 	<ul style="list-style-type: none"> Item 22-27 – Knowledge Check Item 11-12 – Confidence Check Evaluation – Risk Management Sections of the RMP

Module	Aim(s)	Objective(s)	Measure(s)
		<ul style="list-style-type: none"> Facilitate skills practice on risk management strategies and contingency planning. Complete all of the other objectives identified for Module 6 	

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