

## **Unit 4: Principles of safeguarding and protection in health and social care**

**Unit code:** A/601/8574  
**QCF Level 2:** BTEC Specialist  
**Credit value:** 3  
**Guided learning hours:** 26

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### **Unit aim**

This unit is aimed at those working in a wide range of settings. This unit introduces the important area of safeguarding individuals from abuse. It identifies different types of abuse, and the signs and symptoms that might indicate abuse is occurring. It considers when individuals might be particularly vulnerable to abuse and what a learner must do if abuse is suspected or alleged.

### **Unit introduction**

This unit will enable learners to recognise the importance of safeguarding when working in health and social care. Learners will investigate types of abuse and the signs and symptoms which may indicate these. Learners will also examine the factors that may contribute to vulnerability in individuals. The unit examines actions to take in cases of suspected and alleged abuse and the national policies and local systems which are part of the safeguarding framework. The roles of various relevant agencies are considered, together with sources of information and advice about the learner's own role. Serious incidents and high profile cases are considered as examples of failure to protect individuals from abuse, together with unsafe practices which may affect the wellbeing of individuals who use the services. Learners will also consider those practices which may reduce the likelihood of abuse occurring.

### **Learning outcomes and assessment criteria**

In order to pass this unit, the evidence that the learner presents for assessment needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria determine the standard required to achieve the unit.

**On completion of this unit a learner should:**

Learning outcomes	Assessment criteria
<p>1 Know how to recognise signs of abuse</p>	<p>1.1 Define the following types of abuse:</p> <ul style="list-style-type: none"> <li>• physical abuse</li> <li>• sexual abuse</li> <li>• emotional/psychological abuse</li> <li>• financial abuse</li> <li>• institutional abuse</li> <li>• self-neglect</li> <li>• neglect by others</li> </ul> <p>1.2 Identify the signs and/or symptoms associated with each type of abuse</p> <p>1.3 Describe <b>factors</b> that may contribute to an <b>individual</b> being more vulnerable to abuse</p>
<p>2 Know how to respond to suspected or alleged abuse</p>	<p>2.1 Explain the <b>actions to take</b> if there are suspicions that an individual is being abused</p> <p>2.2 Explain the actions to take if an individual alleges that they are being abused</p> <p>2.3 Identify ways to ensure that evidence of abuse is preserved</p>
<p>3 Understand the national and local context of safeguarding and protection from abuse</p>	<p>3.1 Identify national policies and <b>local systems</b> that relate to safeguarding and protection from abuse</p> <p>3.2 Explain the roles of different agencies in safeguarding and protecting individuals from abuse</p> <p>3.3 Identify reports into serious failures to protect individuals from abuse</p> <p>3.4 Identify sources of information and advice about own role in safeguarding and protecting individuals from abuse</p>

Learning outcomes	Assessment criteria
<p>4 Understand ways to reduce the likelihood of abuse</p>	<p>4.1 Explain how the likelihood of abuse may be reduced by:</p> <ul style="list-style-type: none"> <li>• working with <b>person-centred values</b></li> <li>• encouraging <b>active participation</b></li> <li>• promoting choice and rights</li> </ul> <p>4.2 Explain the importance of an accessible complaints procedure for reducing the likelihood of abuse</p>
<p>5 Know how to recognise and report unsafe practices</p>	<p>5.1 Describe <b>unsafe practices</b> that may affect the wellbeing of individuals</p> <p>5.2 Explain the actions to take if unsafe practices have been identified</p> <p>5.3 Describe the action to take if suspected abuse or unsafe practices have been reported but nothing has been done in response</p>

## Unit content

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### 1 Know how to recognise signs of abuse

*Types of abuse:* physical abuse (eg hitting, shaking, biting, throwing, burning or scalding, suffocating, force-feeding) or otherwise causing physical harm to an individual; sexual abuse (eg forcing an individual to take part in sexual activities or behave in sexually inappropriate ways, penetrative acts including rape or buggery and non-penetrative acts, watching sexual activities, including viewing inappropriate sexual activity on the internet); emotional abuse (eg bullying, invoking threats or fear, devaluing individual self-esteem, verbal abuse and swearing, imposing inappropriate expectations, conveying feelings of worthlessness, exploitation); financial abuse (eg theft of money or property, misappropriation or mismanagement of individuals' finances, denying individuals access to their own finances, particularly with the elderly or individuals with learning difficulties); institutional abuse (eg misuse of authority, information or power over vulnerable individuals by staff in health and social care settings, failure to maintain professional boundaries, inappropriate use of medication, physical restraint, humiliation or bullying, denying privacy); self-neglect (eg individuals engaging in neglectful or self-harming behaviours including refusing to eat or drink, neglecting personal hygiene or toilet needs, causing actual bodily harm to self including cutting); neglect by others (eg not caring for the basic needs of individuals including neglectful practice in washing, toileting, feeding or personal care)

*Signs and symptoms of abuse:* physical abuse (eg bruising, bite marks, burn marks, changes in behaviour, can lead to death in extreme cases); sexual abuse (eg disturbed behaviour including self-harm, inappropriate sexualised behaviour, repeated urinary infections, depression, loss of self-esteem, impaired ability to form relationships); emotional abuse (eg loss of self-esteem and self-confidence, withdrawn); financial abuse (eg loss of trust, insecurity, fearful, withdrawn, conforming or submissive behaviour, disappearance of possessions, power of attorney obtained when individual is unable to comprehend); institutional abuse (eg loss of self-esteem and confidence, submissive behaviour, loss of control); self-neglect or neglect by others (eg unkempt appearance, weight loss, dehydration, signs of actual self-harm including cuts, withdrawn or submissive behaviour)

*Factors contributing to vulnerability:* age (eg elderly, young children); physical ability (eg frail, immature development, physical disability or sensory impairment); cognitive ability (eg maturity, level of education and intellectual understanding, learning difficulties); emotional resilience (eg mental health difficulties, depression); stress (eg impact of stressful life events including bereavement, divorce, illness or injury); culture or religion (eg as a result of prejudice or discrimination, refugees and asylum seekers); socio-economic factors (eg financial situation)

### 2 Know how to respond to suspected or alleged abuse

*Actions to take regarding suspicions or allegations of abuse:* including actions to take if the allegation or suspicion implicates any individual, a colleague, self or others; understanding roles and responsibilities; importance of following legislation, policies, procedures and agreed ways of working; basic information includes who the alleged victim is, who the alleged abuser is, categories of

abuse that could be happening, when abuse has happened, where abuse has happened; importance of treating all allegations or suspicions seriously; lines of communication and reporting; reporting suspicions or allegations to appropriate/named person; importance of clear verbal and accurate written reports; importance of not asking leading questions with individuals concerned; importance of respectful listening; confidentiality and agreed procedures for sharing information on disclosure; importance of actual evidence and avoiding hearsay

*Ensure evidence is preserved:* use of written reports (including details of alleged/suspected abuse, signed, dated and witnessed); use of witness statements (signed and dated); photographic evidence (eg of physical injuries); agreed procedures for using electronic records (eg password-protected systems); confidential systems for manual records (eg security systems, access to evidence records); importance of timescales to ensure reliability and validity of evidence; secure storage of any actual evidence (eg financial records)

### **3 Understand the national and local context of safeguarding and protection from abuse**

*National policies and local systems:* national policies including the scope of responsibility of the Independent Safeguarding Authority (ISA); the national Vetting and Barring Scheme (VBS); Criminal Records Bureau (CRB) checks; 'No Secrets' national framework and codes of practice for health and social care (2000); 'Safeguarding Adults' national policy review (2009); work of the Care Quality Commission; 'Working Together to Safeguard Children' (2006); 'Every Child Matters' (2003); Common Assessment Framework (CAF); local systems including the scope of responsibility of Local Safeguarding Children's Boards (LSCBs), Local Safeguarding Adults Boards (LSABs) and protection committees; Local Area Agreements (LAAs)

*Role of different agencies:* importance of multi-agency and inter-agency working; social services (eg social workers, care assistants, residential children's home workers); health services (eg GPs, nurses, occupational therapists, health visitors); voluntary services (eg MIND, NSPCC, Age UK); the police; responsibilities for allocating a named person (usually from statutory agencies in health or social care); responsibilities for overseeing the safeguarding assessment and its outcome; consulting the police regarding all safeguarding incidents; convening or chairing strategy meetings, including the agreement of responsibilities, (lead professional); actions and timescales; coordinating and monitoring investigations; overseeing the convening of safeguarding case conferences; providing information about activities and outcomes to the Safeguarding Coordinator

*Reports on serious failures:* serious case reviews on the abuse of children, young people and vulnerable adults, including eg the Laming report into the death of Victoria Climbié (2000); Haringey Council report on the death of Baby Peter (2007); Bedfordshire Council report into the torture and death of Michael Gilbert (Blue Lagoon murder, 2009); Birmingham social services review into the starvation and death of Khyra Ishaq (2010)

*Sources of information and advice about own role:* current and relevant sources of information from websites, leaflets, organisations, local and voluntary groups including government sources (eg DfE, DoH); voluntary organisations (eg NSPCC, Barnard's, the Ann Craft Trust); publications eg 'Working Together to Safeguard Children' (2006), 'What to do if you suspect a child is being abused' (2003); National Council for Voluntary Youth Services 'Keeping it Safe: a young-person-centred approach to safety and child protection'; information from the

Independent Safeguarding Authority (ISA); Social Care Institute for Excellence; policies, procedures and agreed ways of working within the workplace setting

#### 4 **Understand ways to reduce the likelihood of abuse**

*Working with person-centred values:* decreasing the likelihood of abuse by working in a person-centred way; the key values of privacy, dignity, independence, choice, rights and fulfilment; decreasing vulnerability by increasing confidence; importance of empowerment, independence and autonomy; involving individuals in making their own decisions and choices; respectful communication; active listening; main principles that all adults have the right to live their lives free from violence, fear and abuse, the right to be protected from harm and exploitation, the right to independence and the right to justice

*Encouraging active participation:* decreasing the likelihood of abuse by encouraging active participation (eg in activities and personal care); decreasing vulnerability by improving self-confidence and self-esteem; encouraging involvement and self-awareness

*Promoting choices and rights:* decreasing the likelihood of abuse through promoting individual choices and decision-making; decreasing vulnerability by promoting empowerment and independence; importance of informed consent

*Accessible complaints procedure:* importance of an accessible complaints procedure for reducing the likelihood of abuse; transparent policies, procedures and agreed ways of working; importance of accountability; clear systems for reporting and recording complaints; robust procedures for following up on any complaints; legal requirement to have a complaints procedure in place; ways of ensuring the procedure is accessible (eg published policy, high visibility, widespread distribution)

#### 5 **Know how to recognise and report unsafe practices**

*Unsafe practices:* neglect in duty of personal care (eg in relation to inappropriate feeding, washing, bathing, dressing, toileting); inappropriate physical contact (eg in relation to moving and handling); unsafe administration of medication (eg failure to check dosage); unreliable systems for dealing with individuals' money or personal property (eg failure to witness or record accurately); misuse of authority (eg using physical restraint); failure to maintain professional boundaries (eg in relationships); failure to ensure supervision (eg for lone-working situations); inappropriate communication or sharing of information (eg breaching confidentiality); failure to update knowledge on safeguarding issues (eg through ongoing training); unsafe recruitment practices (eg failure to CRB-check workers)

*Actions to take:* importance of reporting unsafe practices that have been identified; reporting concerns to a manager or supervisor immediately, verbally and in writing; policies on 'whistleblowing'; if suspected abuse or unsafe practices have been reported but no action has been taken, workers have the right to report concerns directly to social services or the police; anyone can report a suspicion or allegation of abuse; workers can be disciplined, suspended or dismissed for not reporting abuse or not following the correct procedures; importance of raising genuine concerns and questioning these; reassurance of protection from possible reprisals or victimisation following reporting

## Essential guidance for tutors

### Delivery

Learners will require some taught input with regard to unfamiliar topics, and sensitivity will be required when delivering the unit. Learners may find some content distressing and will benefit from discussion to enable a full consideration of the issues. Reference to high-profile cases is included in the unit content and this could be delivered in the context of class discussion rather than active teaching. Learners will benefit from input from guest speakers from both statutory and voluntary organisations who have expertise in dealing with the subject.

### Outline learning plan

The outline learning plan has been included in this unit as guidance and can be used in conjunction with the programme of suggested assignments.

The outline learning plan demonstrates one way of planning the delivery and assessment of this unit.

Topic and suggested assignments/activities and/assessment
Introduction to unit and programme of assignments.
<b>Learning outcome 1: Know how to recognise signs of abuse</b>
Taught session; signs and symptoms of abuse with reference to serious cases. Class discussion.
Taught session; signs and symptoms of abuse with reference to serious cases. Class discussion (second session in the topic).
Taught session; factors that contribute to vulnerability; buzz-groups working with case studies to identify issues. Feedback from groups.
Guest speaker; supporting vulnerable individuals; question-and-answer session
Discussion of serious incidents, tutor-led with reference to case studies.
<b>Assignment 1: Recognition of abuse</b> Produce a set of information sheets which define, describe and explain: <ul style="list-style-type: none"> <li>• types of abuse</li> <li>• signs and/or symptoms of each type of abuse identified</li> <li>• factors which may lead to vulnerability in individuals.</li> </ul>
<b>Learning outcome 2: Know how to respond to suspected or alleged abuse</b>
Taught session; actions to take regarding suspicions or allegations of abuse. Class discussion.
Taught session; preserving evidence. Class working in groups with case studies and feeding back.
<b>Assignment 2: Responding to abuse</b> Produce a PowerPoint presentation which: <ol style="list-style-type: none"> <li>a) explains actions to take when abuse is suspected or alleged</li> <li>b) identifies ways of ensuring that evidence is preserved.</li> </ol>

Topic and suggested assignments/activities and/assessment
<b>Learning outcome 3: Understand the national and local context of safeguarding and protection from abuse</b>
Guest speaker: national policies and local systems. Question-and-answer session.
Taught session; the role of different agencies. Learners working with case studies to demonstrate understanding, and feeding back to the class.
Class consideration of serious cases. Class discussion about possible solutions.
Taught session; sources of information and advice about own role. Class discussion.
<b>Assignment 3: Roles and systems</b> Produce a report which: a) Identifies national policies and local systems b) Explains the roles of different agencies c) Identifies reports into serious failures d) Identifies sources of advice and support about your own role
<b>Learning outcome 4: Understand ways to reduce the likelihood of abuse</b>
Taught session; working with person-centred values. Class discussion.
Taught session; encouraging active participation. Class discussion.
Guest speaker; promoting choices and rights. Question-and-answer session.
Taught session; accessible complaints procedures; groups working with case studies to match procedures. Groups feed-back.
<b>Assignment 4: Reducing abuse</b> Write a letter to the opinions column of a care magazine which explains how the likelihood of abuse may be reduced and state the importance of having accessible complaints procedures.
<b>Learning outcome 5: Know how to recognise and report unsafe practices</b>
Taught session; unsafe practices/actions to take (session 1).
Taught session; unsafe practices/actions to take (session 2).
Taught session; actions to take if unsafe practices or suspected or alleged abuse has been reported but no action has been taken.
<b>Assignment 5: Recognising unsafe practices</b> Produce a booklet which: a) Describes unsafe practices which could affect wellbeing and explains the actions to take if unsafe practices have been identified b) Explains the actions to take when unsafe practices/suspected abuse has been reported and there has been no response.
Review of unit and programme of assignments.

## Assessment

Assessment for this unit may be in a variety of formats and the suggested programme may be adapted to meet local needs or the needs of particular groups of learners. Tutors should ensure that learners link the type of abuse with the accurate signs and/or symptoms in order to demonstrate understanding of the topic. Learners should take an objective view when reviewing reports of serious failures to safeguard and protect, showing a recognition of all aspects of the cases. Learners must demonstrate their understanding of what constitutes an unsafe practice and appreciation of the importance of accessible complaints procedures in order to reduce the likelihood of abuse. Learners should demonstrate their understanding of the principles of safeguarding and protection and the role of different agencies in this area. Tutors should ensure the inclusion of the relevant operative verbs in all assessments, for example "identify", "describe" and "explain".

### Programme of suggested assignments

The table below shows a programme of suggested assignments that cover the criteria in the assessment grid. This is for guidance only and it is recommended that centres either write their own assignments or adapt Edexcel assignments to meet local needs and resources.

Criteria covered	Assignment title	Scenario	Assessment method
1.1, 1.2, 1.3	Recognition of abuse	You have been asked by your manager to produce a set of information sheets to be included in the induction pack for new staff on the recognition of abuse and reasons which may contribute to vulnerability.	Information sheets
2.1, 2.2, 2.3	Responding to abuse	You are a member of the staff induction team and you have been asked to produce a PowerPoint presentation on responding to suspected or alleged abuse and preserving evidence.	PowerPoint presentation
3.1, 3.2, 3.3	Roles and systems	As part of the induction process you have been asked to produce a report which will be given to candidates to read before they attend an induction session on the roles and systems involved in safeguarding and protection.	Report
4.1, 4.2	Reducing abuse	You have decided to write a letter to the opinion column of a national care magazine on reducing the likelihood of abuse in health and social care and the importance of having accessible complaints procedures.	Letter
5.1, 5.2, 5.3	Recognising unsafe practices	As part of the induction process you will be presenting each person with a booklet which gives them information on unsafe practices and the actions to take if there has been no response to reports of these or suspected abuse.	Booklet

### Essential resources

Learners will require full access to library facilities including relevant text, professional journals and magazines, ICT and CDROM.

Guest speakers from statutory and voluntary organisations will provide learners with a valuable insight.

### Indicative resource materials

#### Textbooks

Hart D — *Safeguarding Vulnerable Adult* (Russell House Publishing Ltd, 2009) ISBN 9781905541379

Morris C — *Knowledge Set for Safeguarding Vulnerable People* (Heinemann, 2008) ISBN 9780435402372

#### Magazines

*Community Care* magazine

*The Nursing Times* magazine

#### Websites

[www.elderabuse.org.uk](http://www.elderabuse.org.uk)      Action on Elder Abuse

[www.isa-gov.org.uk](http://www.isa-gov.org.uk)      Independent Safeguarding Authority