



Derby City Council

# **Equality impact assessment form**

**Directorate: Adults, Health and Housing**

**Service area: Assessment, Enablement and  
Support Planning for Younger Adults and Older  
People**

**Name of policy, strategy, review or function  
being assessed:**

**Assessment, Enablement and Support  
Planning for Younger Adults and Older People**

**Date of assessment: 6 December 2013**

**Signed off by: AESP Strategic Implementation  
Group**

**Cabinet or Personnel Committee's decision**

**Date published on website**

## Equality impact assessment

This is our equality impact assessment form to help you equality check what you are doing when you are about to produce a new policy, review an older one, write a strategy or plan or review your services and functions. In fact you need to do an equality impact assessment whenever a decision is needed that affects people. This completed form should be attached to any Cabinet or Personnel Committee report to help elected members make their decisions by taking the equality implications into account. Equality impact assessments **must be done before** decisions are made. Include the Cabinet or Personnel Committee's decision on the front sheet when you know it.

You'll find that doing these assessments will help you to:

- understand your customers' and communities needs
- develop service improvements
- improve service satisfaction
- demonstrate that you have been fair and open and considered equality when working on re-structuring.

Don't do the form by yourself, get a small team together and make sure you include key people in the team such as representatives from our Diversity Forums and employee networks and you could invite trade union representatives too – the more knowledge around the table the better. Ask our Lead on Equality and Diversity for help with useful contacts – we have a team of people who are used to doing these assessments.

You'll need to pull together all the information you can about how what you are assessing affects different groups of people and then examine this information to check whether some people will be negatively or positively affected. Then you'll need to look at ways of lessening any negative effects or making the service more accessible – this is where your assessment team is very useful and you can also use the wider community.

Agree an equality action plan with your assessment team, setting targets for dealing with any negative effects or gaps in information you may have found. Set up a way of monitoring these actions to make sure they are done and include them in your service business plans.

When you have completed the assessment, get it signed by your Head of Service or Service Director and send it to our Lead on Equality and Diversity to publish on our website.

By the way, we need to do these assessments as part of our everyday business, so we get our equality responsibilities right and stay within the law – Equality Act 2010.

## Equality groups

These are the equality groups of people we need to think about when we are doing equality impact assessments and these people can be our customers or our employees...

- Age equality – the effects on young and older people
- Disability equality – the effects on the whole range of disabled people, including Deaf people, hearing impaired people, visually impaired people, people with mental health issues, people with learning difficulties and people with physical impairments
- Gender equality – the effects on both men and women and boys and girls
- Marriage and civil partnership equality
- Pregnancy and maternity equality - women who are pregnant or who have recently had a baby, including breast feeding mothers
- Race equality – the effects on minority ethnic communities, including newer communities, gypsies and travellers and the Roma community
- Religion and belief or non- belief equality – the effects on religious and cultural communities, customers and employees
- Sexuality equality – the effects on lesbians, gay men and bisexual people
- Trans gender – the effects on trans people

In addition, we have decided to look at the effects on people on low incomes too as we feel this is very important.

## Contacts for help

Ann Webster – Lead on Equality and Diversity

[ann.webster@derby.gov.uk](mailto:ann.webster@derby.gov.uk)

Tel 01332 643722

Minicom 01332 242133

Mobile 07812 300079

Maggie Fennell – 01332 643731 Minicom 01332 242133

## The form

We use the term 'policy' as shorthand on this form for the full range of policies, practices, plans, reviews, activities and procedures.

Policies will usually fall into three main categories...

- Organisational policies and functions, such as recruitment, complaints procedures, re-structures
- Key decisions such as allocating funding to voluntary organisations, budget setting
- Policies that set criteria or guidelines for others to use, such as criteria about school admissions

### 1 What's the name of the policy you are assessing?

Review of Assessment, Enablement and Support Planning for Younger Adults and Older People in Adult Social Care

### 2 The assessment team

Team leader's name and job title – Brian Frisby, Director of Younger Adults and Housing

Other team members:

Name	Job title	Organisation	Area of expertise
Lisa Beris	Social Worker, Ordinary Lives Team	DCC	
Evelyn Clay	Team Manager, Long Term Team West	DCC	
Mary Hill	Community Care Worker, Hospital Team	DCC	
Olwen Wilson	Programme Manager – Personalisation	DCC	Background Research, Involved in developing EIAs previously

### **3 What are the main aims, objectives and purpose of the policy? How does it fit in with the wider aims of the Council? Include here any links to the Council Plan or your Directorate Service Plan.**

The Council has asked for savings of £655,000 per year to be made from 2014-15 onwards. This means that any changes that are agreed will need to be made in time for the beginning of April 2014.

Even if savings had not been required, a review of the Council's assessment function is timely. Firstly, the Council needs to continually check that it is making best use of its resources to meet eligible need via self-directed support. Secondly, there is an increasing onus on the Council to work much more clearly with the local NHS in supporting the most vulnerable adults in Derby.

The vision to transform adult social care in Derby has not changed since being agreed by Council Cabinet on 27th September 2011. It will not be affected by any proposals that arise from this change process.

#### Value Statement: Full and Active Citizenship

1. Self determination – each person should be in control of their own life and, if they need help with decisions, those decisions are kept as close as possible to them.
2. Direction – each person should have their own path and sense of purpose to help give their life meaning and significance.
3. Money – each person should have enough money to live an independent life and are not unduly dependent upon others.
4. Home – each person should have a home that is their own, living with people that they really want to live with.
5. Support – each person should get support that helps them to live their own life and which is under their control.
6. Community Life – each person should be able to fully participate in and contribute to family and community life.
7. Rights – each person should have their legal and civil rights respected and be able to take action if they are not.
8. Responsibilities – each person should exercise responsibility in their own lives and be able to make a contribution to their community.

#### Principles: Rights and Responsibilities

1. The right to independent living –if someone has an impairment which means they need help to fulfil their role as a citizen, then they should get the support to which they are entitled.
2. The right to a personal budget – if someone needs ongoing paid help as part of their life, they should be able to decide how the money that pays for that help is used.
3. Right to self determination – if someone needs help to make decisions then decision-making should be made as close to the person as possible, reflecting the person's own interests and preferences.
4. Right to accessibility – the system of rules within which people have to work must be clear and open in order to maximise the ability of the disabled person to take control of their support.

5. Right to flexible funding – when someone is using their personal budget, they should be free to spend their funds in the way that makes best sense to them, without unnecessary restrictions.
6. Accountability principle – the disabled person and the Council both have a responsibility to each other to explain their decisions and to share what they have learnt.
7. Capacity principle – disabled people, their families and their communities must not be assumed to be incapable of managing their own support, learning skills and making a contribution.

The approach to personalisation is holistic, focussing not only on providing personal budgets, but also upon good information, advice and advocacy, building on and building up people's social capital and upon rehabilitation, reablement and recovery. Where people need longer term support, they are encouraged to self-direct - with direct payments preferred to 'council managed' personal budgets – and there is an increasing proportion of customers taking their personal budget as a direct payment.

### **New considerations**

A new Self Directed Support process has been in place for 18 months.

Based on feedback from customers, carers and staff the restructure aims to reduce 'hand-offs,' embed recovery/reablement and improve the skill mix within our staff group.

The Southern Derbyshire Clinical Commissioning Group is establishing Community Support Teams within primary care over the next three years. The review of Assessment, Enablement and Support Planning is being used to position adult social care to link with the locality model as it develops and deliver greater integration. The aim is to reduce duplication in case co-ordination through clearer locality links with primary care professionals, such as community matrons.

A pilot Local Area Coordination (LAC) project has been in place in Alvaston and Arboretum. This is succeeding in assisting people to build on and build up their social capital. Building on the LAC pilot project we are building a multi-agency approach to embedding strengths based / asset based methodologies into all of our practice and to the extension of LAC across the city.

## **4 Who delivers the policy, including any outside organisations who deliver under procurement arrangements?**

Derby City Council Adult Social Care

## **5 Who are the main customers, users, partners, employees or groups affected by this proposal?**

### **Directly affected:**

Staff in Adult Social Care Assessment, Enablement and Support Planning

We are not anticipating any change in the service delivery model so customers of Adult Social Care and their carers would only be indirectly affected.

**6 Who have you consulted and engaged with so far about this policy and what did they tell you? Who else do you plan to consult with? – tell us here how you did this consultation and how you made it accessible for the equality groups**

A six week Engagement Stage has already been held from 15 July to 26 August 2013 with:

- Staff affected
- Health Partners – Derby Hospital, Derbyshire Healthcare Foundation Trust, Clinical Commissioning Group,
- Children and Young People’s Department – Transitions
- Personalisation Programme Board – includes representatives from health, voluntary sector organisations, providers, Citizen Leaders, carers
- Trade Union Representatives

They were asked for feedback on broad proposals and their own ideas. 18 responses were received 14 from staff teams and 4 from individuals. Responses covered a range of themes associated with the customer journey - the process, IT, organisation of teams, market development, efficiencies and working with partners.

There was some unanimity around what was trying to be achieved - work in a less bureaucratic way, keep things simple, focus on reablement/recovery. A lot of comments were detailed about processes.

**7 Using the skills and knowledge in your assessment team, what do you already know about the equality impact of the policy on particular groups? Also, use any other information you know about such as any customer feedback, surveys, national research or data. Indicate by a tick for each equality group whether this is a negative impact, a positive one or if you are not sure**

Since the raising of the eligibility criteria to Substantial and Critical in 2011-12, fewer people are eligible to receive services from Derby City Council.

The take up of Self Directed Support has increased significantly from 30% to 63%. The target is for as many people as possible who are eligible for adult social care to have a personal budget, preferably delivered as a direct payment. The target for 2013-14 is 70%.

The corporate e-services project will move appropriate elements of the customer journey to the website and provide more opportunities to customers and their families to understand their eligibility and services available before contacting adult social care. This will also provide support for self-funders who manage their own care.

The main themes of the restructure are:

- A customer journey for all customers with far fewer hand-offs
- A proactive focus on young disabled people transitioning to adulthood, involving early preventative work taking place with colleagues in the Children and Young Peoples’ Directorate

- Dedicated capacity to ensure that adults in long term placements are supported to make the transition to ordinary lives
- A locality approach which develops knowledge of communities and helps to build people's social capital
- Increased emphasis on partnership work with health colleagues in primary care settings

The 2011 Census identified:

- 2,900 more people aged 60 plus, including 1,200 more people aged 75 plus and 1,000 more people aged 85 plus
- The BME population increased from 15.7% to 24.7%
- Derby has similar numbers of males (49.5%) and females (50.5%) and this has changed little between 2001 and 2011

See separate appendix with Census, population, performance and survey information.

<b>Equality groups</b>	<b>What do you know?</b>	<b>Positive impact</b>	<b>Negative impact</b>	<b>Not sure</b>
<b>Age</b>	<p><b>Staff:</b> The proposal is not intended to be age discriminatory. Older staff may take the opportunity to request voluntary redundancy.</p> <p><b>Customers:</b> Older people make up a significant proportion of customers of adult social care. There is currently less take-up of self-directed support in Older Adults. More targeted work may be carried out to address this.</p> <p>A proactive focus on young disabled people in transition to the adult social care service will provide more support for these customers.</p>	✓		<p><b>Neutral</b></p> <p>✓</p>
<b>Disability</b>	<p><b>Staff:</b> The proposal does not discriminate against staff with disabilities</p> <p><b>Customers:</b> Self directed support is a response to disabled people's lobby groups over many decades to shift more choice and control into their hands.</p>	✓		<b>Neutral</b>
<b>Gender</b>	<p><b>Staff:</b> The majority of staff in adult social care roles are female. Of the staff in scope of this review, 80% are</p>			<b>Neutral</b>



	<p>female and 20% are male. The proposal is not discriminatory around gender and women are not being targeted. The proposal contributes to a council-wide restructure. Restructures in other departments may affect more men than women meaning that in the council overall, the impact on female and male employees is equal.</p> <p>While the proposals for the restructure are expressed in Full Time Equivalents (FTE), part-time staff – predominantly women - will be able to apply for posts and we will be flexible in achieving the FTE required.</p> <p><b>Customers:</b> There are no particular issues identified for customers.</p>			<p><b>Neutral</b></p> <p><b>Neutral</b></p>
<b>Marriage and civil partnership</b>	No particular issues identified for staff or customers.			<b>Neutral</b>
<b>Pregnancy and maternity</b>	No particular issues identified for staff or customers.			<b>Neutral</b>
<b>Race</b>	<p><b>Staff:</b> The proposal does not discriminate against staff from different racial backgrounds.</p> <p><b>Customers:</b> Self Directed Support offers greater choice and control. There is anecdotal evidence that self directed support and personal budgets significantly improve access to support for people from black and minority ethnic communities, who can be dissatisfied with traditional services that are felt not to be sensitive to their cultural requirements.</p> <p>Extension of Local Area Co-ordination is intended to develop knowledge and awareness of culturally appropriate support</p>	<p>✓</p> <p>✓</p>		<b>Neutral</b>

	available closer to the customer.  Moving to smaller locality teams is intended to develop knowledge and awareness of culturally appropriate support available closer to the customer.			✓
<b>Religion or belief or none</b>	As above			
<b>Sexuality</b>	As above			
<b>Trans gender</b>	As above			
<b>People on low income</b>	<b>Staff</b> No staff are paid less than the National Minimum Wage. From 1 April 2014 DCC will implement the higher level Living Wage.  <b>Customers</b> It is not anticipated that the proposals will affect people disproportionately because of their low income.			✓  <b>Neutral</b>

**Important** - For any of the equality groups you don't have any information about, then make it an equality action at the end of this assessment to find out. This doesn't mean that you can't complete the assessment without the information, but you need to follow up the action and if necessary, review the assessment later.

**8 From the information you have collected, how are you going to lesson any negative impact on any of the equality groups? How are you going to fill any gaps in information you have discovered?**

Gap in information:

A key line of enquiry had been identified around the proportion of staff groups being reduced that are on lower grades. Information is required to establish whether

- The proposal is losing more staff who are on lower grades
- The proposal is reducing posts where there are more part-time workers.

Further investigation demonstrated that as part of its Pay and Reward Review, DCC will be implementing a minimum earnings level equivalent to £7.71 per hour for all employees effective from 1 April 2014. This is more than £1.30 above the National Minimum Wage and in excess of the Living Wage Level recommended by the Centre for Social Studies at Loughborough University. This equates to £14,880 per annum. The Council has taken steps to ensure that £14,880 is the minimum amount paid.

Analysis has been undertaken in response to the question about more posts being reduced where there are part-time workers but that analysis shows this to not be the case.

#### Impact on equality groups

Concerns were expressed about whether the move to a generic service may mean that the best support is not provided to particular groups. Some members of staff have in depth knowledge of areas such as Mental Health, Learning Disability, HIV, immigration. Staff will share knowledge but if someone is on leave, a particular group of people may be disadvantaged.

The EIA Team had asked if there a risk of adverse impact upon customers being serviced by a locality team that may not have the necessary experience, skills or knowledge to work with them?

As outlined in question 5, the focus of this EIA is on staff in Adult Social Care Assessment, Enablement and Support Planning teams.

The response to consultation feedback is that all current teams have developed expertise in their niche areas, and implementation will need to extend this expertise appropriately so that a more resilient structure is created than the current one.

Implementation will need to be carefully managed over the next few months. Locality Teams will be supported to develop their skills, confidence and processes so that there is no adverse impact upon customers.

### 9 What outcome does this assessment suggest you take? – you might find more than one applies. Please also tell us why you have come to this decision?

<b>Outcome 1</b>	✓	<b>No major change needed</b> – the EIA hasn't identified any potential for discrimination or negative impact and all opportunities to promote equality have been taken
<b>Outcome 2</b>		<b>Adjust the policy</b> to remove barriers identified by the EIA or better promote equality. Are you satisfied that the proposed adjustments will remove the barriers you identified?
<b>Outcome 3</b>		<b>Continue the policy</b> despite potential for negative impact or missed opportunities to promote equality identified. You will need to make sure the EIA clearly sets out the justifications for continuing with it. You need to consider whether there are sufficient plans to reduce the negative impact and plans to monitor the actual impact
<b>Outcome 4</b>	<b>Not applicable</b>	<b>Stop and rethink</b> the policy when the EIA shows actual or potential unlawful discrimination

Our Assessment team has agreed Outcome number 1.

Why did you come to this decision?

There was acceptance of the response received to questions raised and the commitment that implementation will be carefully managed over the next few months.

If you have decided on **Outcome 3**, then please tell us here the justification for continuing with the policy. You also need to make sure that there are actions in the Equality action plan to lesson the effect of the negative impact. This is really important and may face a legal challenge in the future.

**10 How do you plan to monitor the equality impact of the proposals, once they have been implemented?**

The Team has agreed to review the EIA three months after implementation in July 2014.

