

# Equality Impact Assessment Guidance and Template

## 1. Topic of assessment

<b>EIA title:</b>	In-house residential care homes for older people
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<b>EIA author:</b>	Philippa Alisiroglu
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## 2. Approval

	Name	Date approved
<b>Approved by</b>		

## 3. Quality control

<b>Version number</b>	V0.5	<b>EIA completed</b>	
<b>Date saved</b>	06.10.14	<b>EIA published</b>	

## 4. EIA team

Name	Job title (if applicable)	Organisation	Role
Kat Macann	Project Manager	Surrey County Council	Project Manager
Jo Victor-Smith	Acting Assistant Senior Manager, Service Delivery	Surrey County Council	Service Delivery Lead
Philippa Alisiroglu	Interim Assistant Director, Service Delivery	Surrey County Council	Programme Sponsor
Jo Parkinson	Assistant Senior Manager, Commissioning	Surrey County Council	Commissioning Lead
Matt Lamburn	Commissioning Manager	Surrey County Council	Peer review
Akidi Ocan	Senior Lawyer	Surrey County Council	Legal Lead
Gurbax Kaur	Senior HR Advisor	Surrey County Council	HR Lead

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## 5. Explaining the matter being assessed

<p><b>What policy, function or service is being introduced or reviewed?</b></p>	<p>On 21 October 2014 the council's Cabinet will be presented with report recommending the launch of a consultation on the future of in house older people's homes.</p> <p>The homes in scope are:</p> <ul style="list-style-type: none"> <li>• Brockhurst – Brox Road, Ottershaw, KT16 0HQ</li> <li>• Cobgates – Falkner Road, Farnham GU9 7HG</li> <li>• Dormers – Foxtan Lane, Caterham CR3 5SG</li> <li>• Longfield – Killicks Road, Cranleigh GU6 7BB</li> <li>• Park Hall – Park Hall Road, Reigate RH2 9LH</li> <li>• Pinehurst – Park Road, Camberley GU15 2LL</li> </ul> <p>The homes offer residential care for older adults, with some additional respite, reablement and day services available.</p>
<p><b>What proposals are you assessing?</b></p>	<p>We are assessing the proposal to consult on the preferred option for the future of in house older people's homes.</p> <p>A comprehensive review of the six homes has been undertaken to:</p> <ul style="list-style-type: none"> <li>• understand the provision of these homes in the wider residential care market within the context of the wider strategic shift within Adult Social Care to deliver services in the community and to enable people to live in their own homes for as long as possible</li> <li>• address the impact of the physical environment have upon the quality of care that can be achieved within the homes in light of the new CQC's inspection criteria (mums test).</li> </ul> <p>The Cabinet report outlines the findings of the review and recommends that a consultation process takes place with residents, their families, carers, staff and appropriate stakeholders to enable the council to make an informed decision on the future of Surrey Council's in-house care homes.</p> <p>The homes, built in the 1970s and 1980s, were not designed to meet the current expectations of accommodation.</p> <p>Four options have been considered for each home in terms of their potential to meet future needs of residents:</p> <ol style="list-style-type: none"> <li>1. Stay 'as is'</li> <li>2. Extend and refurbish the home or redevelop the site</li> <li>3. Sell or lease the home to another provider</li> <li>4. Support residents to move to another appropriate service and close the service</li> </ol> <p>Based on the home by home analysis (outlined in the Cabinet report and Annexes), in each case Option 4 is the preferred option.</p> <p>Having considered these options internally, officers now recommend that a consultation on a home by home basis is carried out. The aims</p>

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	<p>of the consultation will be to:</p> <ul style="list-style-type: none"> <li>• provide information on the council’s current thinking/options</li> <li>• see if there are any other viable options we have not considered</li> <li>• hear people's views about the things we need to take into account and that are important to them.</li> </ul> <p>The information gathered from the consultation process will enable the council to make an informed decision regarding the future of each home, securing the best outcomes for residents and other users of the homes, their relatives, staff and Surrey tax payers.</p>																																
<p><b>Who is affected by the proposals outlined above?</b></p>	<p>This initial EIA focuses on people who use services, carers and frontline staff in homes.</p> <p>Work is underway with local home managers to identify any local organisations, groups and individuals who may be interested in and/or affected by the proposals, and will therefore be invited to participate in the consultation.</p> <p>The main groups who may be affected are:</p> <p><u>People who use services, families and carers</u></p> <ul style="list-style-type: none"> <li>• permanent residents</li> <li>• people who use respite services</li> <li>• day services users</li> <li>• relatives and carers of people who use services</li> </ul> <p><i>Table 1: People who use services</i></p> <table border="1"> <thead> <tr> <th>Home</th> <th>Permanent residents</th> <th>Respite users last 12 months</th> <th>Day Care users</th> </tr> </thead> <tbody> <tr> <td>Brockhurst</td> <td>15</td> <td>30</td> <td>0</td> </tr> <tr> <td>Cobgates</td> <td>34</td> <td>16</td> <td>0</td> </tr> <tr> <td>Dormers</td> <td>24</td> <td>2</td> <td>9</td> </tr> <tr> <td>Longfield</td> <td>26</td> <td>3</td> <td>0</td> </tr> <tr> <td>Park Hall</td> <td>27</td> <td>10</td> <td>13</td> </tr> <tr> <td>Pinehurst</td> <td>28</td> <td>28</td> <td>7</td> </tr> <tr> <td></td> <td><b>154</b></td> <td><b>89</b></td> <td><b>29</b></td> </tr> </tbody> </table> <p><u>Staff</u></p> <ul style="list-style-type: none"> <li>• care home staff and managers</li> <li>• trade union representatives</li> <li>• other Adult Social Care staff, in particular locality teams</li> <li>• wider SCC staff</li> </ul>	Home	Permanent residents	Respite users last 12 months	Day Care users	Brockhurst	15	30	0	Cobgates	34	16	0	Dormers	24	2	9	Longfield	26	3	0	Park Hall	27	10	13	Pinehurst	28	28	7		<b>154</b>	<b>89</b>	<b>29</b>
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Table 2: Staff Numbers

Home	Full-time	Part-time (under 36 hours)	Bank
Brockhurst	12	33	19
Cobgates	2	48	24
Dormers	9	41	18
Longfield	14	29	10
Park Hall	16	42	33
Pinehurst	3	45	32
<b>Total</b>	<b>56</b>	<b>238</b>	<b>136</b>

Individual care home stakeholders

- volunteers
- neighbours
- community groups
- local suppliers

Partners

- faith, community and voluntary sector organisations
- housing providers
- CCGs, health and social care organisations and providers
- other local authorities (eg placing authorities)
- independent care home providers
- reablement providers

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## 6. Sources of information

Engagement carried out
<p>To date, the review of options for the homes and the preparation of the Cabinet report has been an internal exercise, involving officers from:</p> <ul style="list-style-type: none"><li>• ASC Service Delivery</li><li>• ASC Commissioning</li><li>• ASC Personal Care &amp; Support</li><li>• Procurement</li><li>• Property Services</li><li>• Corporate Finance</li><li>• Human Resources</li><li>• Legal Services</li></ul> <p>In preparation for the Cabinet report there have also been early briefings with SCC Members, local councillors in affected areas, the Care Quality Commission, senior trade union representatives and home managers.</p> <p>All people who use services, families/carers and frontline staff will have been informed about the Cabinet report and the proposed consultation at the point at which the report is open to the public (ahead of the Cabinet meeting on 21 October).</p> <p>This report is the start of a process, which will involve comprehensive consultation and engagement with anyone who has an interest in and/or will be affected by any decision regarding the future of the homes. This Equalities Impact Assessment will be reviewed and updated during the consultation process, and on an ongoing basis as proposals move forward.</p> <p>In addition to feedback gathered during the consultation, specific work on the EIA will include:</p> <ul style="list-style-type: none"><li>• Review of initial EIA and subsequent updates by the Adult Social Care Directorate Equalities Group – sign-off ahead of next Cabinet report</li><li>• Review with External Equalities Advisory Group</li><li>• Review with Programme Steering Group as a standing item</li><li>• Workshop/s with staff representatives</li><li>• Workshop/s with representatives of residents, families and carers</li></ul>
Data used
<p>Initial data sets</p> <ul style="list-style-type: none"><li>• Updated information from Home Managers September 2014 – number of permanent residents, respite users in the last 12 months, day care users</li><li>• AIS report August 2014 – permanent residents and people currently accessing respite or day care</li><li>• SCC Shared Services report – staffing data at 22.09.2014</li></ul> <p>Further work required:</p>

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- Collate/update information about families and carers
- Work with local homes to identify individual support needs to ensure the consultation is as inclusive as possible, and that additional support with communication is provided where needed
- Work with local teams to map individual support and communication needs for staff

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## 7. Impact of the new/amended policy, service or function

### 7a. Impact of the proposals on residents and service users with protected characteristics

Protected characteristic <sup>1</sup>	Potential positive impacts	Potential negative impacts	Evidence
Age	Opportunity for people to have a say in the future of services	Anxiety and concern about the proposals and what this may mean for them	<p>The six homes provide residential care for older people.</p> <p>Breakdown of residents by age group (AIS):</p> <ul style="list-style-type: none"> <li>• 2% of residents aged under 65</li> <li>• 9% aged 65-74</li> <li>• 29% aged 75-84</li> <li>• 57% aged 85-99</li> <li>• 3% aged 100+</li> </ul>
Disability	Opportunity for people to have a say in the future of services	There are a large number of people with dementia or other cognitive impairments who may not have the capacity to fully participate in the consultation process.	<p>Residents in the homes are older people with a range of support needs including health issues, physical and sensory impairments. A significant percentage of residents have dementia. There is one dedicated unit at Park Hall for people with learning disabilities.</p> <p>Breakdown of residents by client category (AIS):</p> <ul style="list-style-type: none"> <li>• 34% Frailty and/or temporary illness</li> <li>• 23% Mental Health – Dementia (actual % of residents with dementia to be confirmed – expected to be greater than 23%)</li> <li>• 18% Physical disability and/or sensory impairment</li> <li>• 12% Combination of physical disability / sensory impairment / frailty</li> <li>• 5% Mental Health – non-dementia</li> <li>• 4% Learning disability</li> </ul>

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<sup>1</sup> More information on the definitions of these groups can be found [here](#).

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			Further work with teams will identify individuals who have capacity issues and look at whether they have access to family support. In planning the consultation and any subsequent work, particular consideration will be given to supporting individuals without family contacts.
<b>Gender reassignment</b>	No specific impacts identified	No specific impacts identified	At this stage no residents have been identified with this characteristic.
<b>Pregnancy and maternity</b>	No specific impacts identified	No specific impacts identified	At this stage no residents have been identified with this characteristic.
<b>Race</b>	No specific impacts identified	Individual communication needs will need to be taken into account to ensure all residents can fully participate in the consultation	<p>Breakdown of residents by ethnicity (AIS):</p> <ul style="list-style-type: none"> <li>• 94% white British</li> <li>• 6% other</li> </ul> <p>Further work needed with local teams to identify any requirements for language support (none identified yet).</p>
<b>Religion and belief</b>	No specific impacts identified	No specific impacts identified	<p>Breakdown of residents by faith group (AIS):</p> <ul style="list-style-type: none"> <li>• 65% Church of England</li> <li>• 10% Roman Catholic</li> <li>• 9% Other Christian</li> </ul>
<b>Sex</b>	No specific impacts identified	No specific impacts identified	<p>Breakdown of residents by sex (AIS):</p> <ul style="list-style-type: none"> <li>• 77% female</li> <li>• 23% male</li> </ul>
<b>Sexual orientation</b>	No specific impacts identified	No specific impacts identified	No data available at this stage regarding sexual orientation of people who use services.
<b>Marriage and civil partnerships</b>	No specific impacts identified	No specific impacts identified	Limited data available at this stage



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<p><b>Carers<sup>2</sup></b></p>	<p>Opportunity for carers to have a say in the future of services</p>	<p>Anxiety and concern about what the proposals will mean for their family member / person they support</p> <p>Carers who live outside Surrey may not be able to participate in face to face meetings</p>	<p>Work is underway with local teams to collate details of all families/carers.</p> <p>Two areas need to be considered:</p> <ul style="list-style-type: none"> <li>• Families/carers of people using services</li> <li>• People who have a caring responsibility in addition to using a services themselves</li> </ul>
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<sup>2</sup> Carers are not a protected characteristic under the Public Sector Equality Duty, however we need to consider the potential impact on this group to ensure that there is no associative discrimination (i.e. discrimination against them because they are associated with people with protected characteristics). The definition of carers developed by Carers UK is that 'carers look after family, partners or friends in need of help because they are ill, frail or have a disability. The care they provide is unpaid. This includes adults looking after other adults, parent carers looking after disabled children and young carers under 18 years of age.'

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## 7b. Impact of the proposals on staff with protected characteristics

Protected characteristic	Potential positive impacts	Potential negative impacts	Evidence
<b>Age</b>	No specific impacts identified	No specific impacts identified	Breakdown of staff by age group: <ul style="list-style-type: none"> <li>• 13% 60 or older</li> <li>• 87% 18-59 years old</li> </ul>
<b>Disability</b>	No specific impacts identified	Will need to consider the communication needs of all staff – ensure consultation is inclusive	Managers have noted that some employees have physical and learning disabilities. Further work will be needed to identify individual needs regarding communication to ensure the consultation process is inclusive. <ul style="list-style-type: none"> <li>• 2% of staff declared a disability at the time of recruitment</li> </ul>
<b>Gender reassignment</b>	No specific impacts identified	No specific impacts identified	No data available at this stage
<b>Pregnancy and maternity</b>	No specific impacts identified	Will need to ensure any staff on maternity leave during consultation period are kept informed about proposals and have access to information and support	SCC Shared Services report has identified a small number of staff who may be on maternity leave during consultation; this will be checked with managers
<b>Race</b>	No specific impacts identified	Will need to ensure consultation process is inclusive of staff whose first language is not English	Breakdown of staff by ethnicity: <ul style="list-style-type: none"> <li>• 21% Black and minority ethnic</li> <li>• 60% White – various</li> <li>• 19% not declared</li> </ul>
<b>Religion and belief</b>	No specific impacts identified	No specific impacts identified	No data available at this stage

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<b>Sex</b>	No specific impacts identified	No specific impacts identified	Breakdown of staff by gender: <ul style="list-style-type: none"> <li>• 84% female</li> <li>• 16% male</li> </ul>
<b>Sexual orientation</b>	No specific impacts identified	No specific impacts identified	No data available at this stage
<b>Marriage and civil partnerships</b>	No specific impacts identified	No specific impacts identified	No data available at this stage
<b>Carers</b>	No specific impacts identified	Need to ensure consultation process is inclusive of staff with caring responsibilities	Work needed with local teams to collate details staff with caring responsibilities and other local arrangements that may impact on how we involve them in consultation.

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## 8. Amendments to the proposals

Change	Reason for change

## 9. Action plan

Potential impact (positive or negative)	Action needed to maximise positive impact or mitigate negative impact	By when	Owner
Support needed for residents to ensure consultation is fully inclusive of people with different communication needs	<p>Map individual needs with local teams as part of consultation planning</p> <p>Publish information in accessible formats and respond to individual requests for different formats (eg large print, easy read, translated materials) as needed</p>	<p>Sept/Oct 2014</p> <p>30 October – 12 December 2014</p>	Kat Macann / Tim Edwards
Support needed for residents to ensure consultation is as inclusive as possible of people who need advocacy	<p>Map individual needs with local teams as part of consultation planning</p> <p>Secure advice regarding mental capacity assessments and what sort of support should be offered to people who lack capacity to engage in consultation</p> <p>Advocacy support could be offered during consultation process</p>	<p>Sept/Oct 2014</p> <p>30 October – 12 December 2014</p>	Jo Parkinson
Carers: Anxiety and concerns about the future	<p>Face to face meetings</p> <p>Information published online</p> <p>Liaise with carer support groups</p> <p>Regular Q&amp;A updates to respond to concerns raised</p>	30 October – 12 December 2014	Philippa Alisiroglu
Staff: anxiety and concerns about the future	<p>Face to face meetings before information about the proposals is made publicly available</p> <p>Early engagement with union representatives</p> <p>HR support</p> <p>Regular Q&amp;A updates to</p>	<p>8-10 October</p> <p>Sept/October</p> <p>8 October on</p>	Philippa Alisiroglu / Gurbax Kaur

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	respond to concerns raised		
Potential impacts post-consultation	The EIA will be reviewed following the consultation and updated with an action plan to address all potential positive and negative impacts of any resulting proposals	December 2014 – January 2015	Steering Group

## 10. Potential negative impacts that cannot be mitigated

Potential negative impact	Protected characteristic(s) that could be affected

## 11. Summary of key impacts and actions

<b>Information and engagement underpinning equalities analysis</b>	<p>Initial data sets used</p> <ul style="list-style-type: none"> <li>Updated information from Home Managers September 2014 – number of permanent residents, respite users in the last 12 months, day care users</li> <li>AIS report August 2014 – permanent residents and people currently accessing respite or day care</li> </ul> <p>The comments about potential positive and negative impacts have been taken from discussions within the project team. These will be reviewed and developed further with a wider group once the cabinet report is released.</p>
<b>Key impacts (positive and/or negative) on people with protected characteristics</b>	<p>The main impacts that have been identified at this stage relate to the consultation process itself:</p> <ul style="list-style-type: none"> <li>The potential anxiety this process could cause people who use services, relatives and staff.</li> <li>Challenges of engaging with people in ways that meet their individual needs around communication and levels of capacity.</li> </ul>
<b>Changes you have made to the proposal as a result of the EIA</b>	<p>This is an initial draft EIA, which will be updated as input is received from a range of stakeholders during and following consultation.</p>
<b>Key mitigating actions planned to address any outstanding negative impacts</b>	<p>Actions at this stage relate to the consultation process itself. In response to the consultation further consideration will be given to the potential impact of any recommended options for the future of the homes.</p> <p>Key actions:</p>

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	<ul style="list-style-type: none"><li>• Further work with local teams to identify individual needs around communication and support to engage in the consultation</li><li>• Detailed consultation planning to ensure the process is inclusive and transparent, and that adequate support is in place for people who use services, relatives and staff teams.</li></ul>
<b>Potential negative impacts that cannot be mitigated</b>	None identified at this stage

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