

## 1. Topic of assessment

<b>EIA title:</b>	Outsourced Occupational Therapy Assessments
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<b>EIA author:</b>	Claire White Assistant Senior Manager Dina Bouwmeester Policy Manager
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## 2. Approval

	Name	Date approved
<b>Approved by<sup>1</sup></b>	Vernon Nosal – Acting Senior Manager, Personal Care and Support	22/8/14

## 3. Quality control

<b>Version number</b>	V3	<b>EIA completed</b>	
<b>Date saved</b>	22/08/2014	<b>EIA published</b>	

## 4. EIA team

Name	Job title (if applicable)	Organisation	Role
Claire White	Assistant Senior Manager	SCC	Occupational Therapy Lead
Dina Bouwmeester	Policy Development Manager	SCC	Policy Manager
Nicola Sinnett	Category Specialist Procurement and Commissioning	SCC	Procurement specialist

## 5. Explaining the matter being assessed

<b>What policy, function or service is being introduced or reviewed?</b>	<p>This EIA is about the provision of outsourced Occupational Therapy (OT) services for adults. This is a supplementary service to the in house OT service and allows us to meet our statutory obligations for social care OT assessment within a timely manner.</p> <p>Occupational therapists play a critical role in helping people of all ages to overcome the effects of disability caused by illness, ageing or accident so that they can carry out everyday tasks or occupations</p>
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	<p>Occupational therapy provides support that facilitates recovery and enables people to overcome any barriers that prevent them from doing the activities (occupations) that matter to them. This helps to increase their independence and satisfaction in all aspects of life and can support carers to maintain their caring role and achieve choice and control in their life outside of caring.</p> <p>It is a key part of the Council's vision to support and maintain people's independence and commitment to prevention.</p> <p>Access to outsourced OT assessment and intervention will be channelled through the usual screening and allocation process deployed within social care teams, the allocation being passed to the provider for timely assessment when demand for OT assessment exceeds internal capacity.</p>
<p><b>What proposals are you assessing?</b></p>	<p>OT assessments are predominantly provided in-house, however, a back up contract, paid for from staff vacancy budgets, is due for renewal on 1 October 2014. This EIA is specifically related to the re-letting of this contract. There is essentially no change in the provision of the service.</p> <p>Last year approx 1,353 assessments were outsourced which accounted for approx 13% of the OT staffing budget. It was paid for from staff vacancies, was only used as needed and represented no additional costs over and above the base budget for staffing.</p> <p>The new contract follows a full tender process with the providers selected remaining the same two that were providing the service on behalf of the Council for the past three years.</p> <p>We are confident in these providers and, in addition, we have redefined and strengthened the contract and contract management. Promoting the Family, Friends and Community Services and localism agendas are key expectations of the providers delivering the service.</p> <p>The contract will be for three years with an option to extend for a further year.</p> <p>It is a call off contract with no commitment from the Council to provide a certain volume of referrals to the providers. Should our demand decrease or budgets dictate there is no contractual obligation on the Council to refer or fund.</p> <p>The back up contract is used to manage demand and sustain timely service provision.</p> <p>Timely OT assessment can support Surrey residents in maintaining their independence at home through provision of early intervention and prevention support, community equipment and adaptations. OT intervention can support people returning home from hospital and can delay or avoid admission to hospital and/or residential care.</p>

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	<p>As with all social care assessments, OT assessments are expected to be completed within 28 days.</p> <p>The Department of Health have recently published national evidence that indicates that 2% of social care workforces are Occupational Therapists while 35-40% of referrals require OT intervention. This, coupled with staff vacancies, means that without increased external capacity the Council may not be able to adequately provide required OT assessments and interventions.</p> <p>In addition, the strategic shift from residential care to promoting independence and supporting people to live at home has resulted in a greater demand for assessments and interventions in the home.</p> <p>We also work with partner organisations, such as Health, providing OT support to them in respect to continuing health care assessments. The Council's OTs work closely with district and borough council partners in respect of home adaptations.</p> <p>Early intervention services provide an opportunity to explore Family, Friends and Community Support (FFCS) options at the earliest opportunity with people.</p> <p>A review undertaken by Personal Care and Support before the tender commenced determined the need for flexible external support when demand for OT assessment exceeded internal capacity.</p> <p>We continue to recruit our own staff to deliver the service and sponsor four OT trainees per year to meet increasing workforce demand. The majority of OT assessments are expected to remain in-house.</p> <p>The Council wishes to improve outcomes for Surrey residents to help them to live independently within the personalisation agenda and in doing so assist the Council in meeting government targets. Timely assessment and intervention can be evidenced to reduce ongoing care needs and costs associated with them.</p>
<p><b>Who is affected by the proposals outlined above?</b></p>	<p>People potentially impacted are:</p> <ul style="list-style-type: none"> <li>• People in Surrey who may need an OT assessment or intervention</li> <li>• Carers</li> <li>• Young carers</li> <li>• Surrey employees</li> <li>• Health and district and borough council employees</li> <li>• Acute hospitals</li> <li>• Clinical commissioning groups</li> <li>• Care providers</li> <li>• Care homes</li> <li>• Voluntary organisations</li> <li>• Community equipment service</li> </ul>

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## 6. Sources of information

Engagement carried out
<p>Occupational Therapy assessment in Surrey has, for a long time, been a keen area of focus due to the extremely valuable preventative outcomes it can provide.</p> <p>Regular engagement commenced in 2012 with a Select Committee Task and Finish Group. Other engagement activities have included:</p> <ul style="list-style-type: none"><li>• OT summit – attendees included OT professionals from across the county, key partners including district and borough councils, Health colleagues and national expert representatives. Representatives of service user groups and carers, and other allied health professionals.</li><li>• OT conference in 2014 focusing on Surrey Professional staff and external providers.</li><li>• A community equipment engagement group of people who use our services/ carers.</li><li>• A customer satisfaction survey as part of the Member Task and Finish Group – one of the key outcomes was identified as the need for timely assessment to prevent deterioration of function.</li></ul>
Data used
<ul style="list-style-type: none"><li>• Current Department of Health statistics in relation to the high demand for OT assessment in community settings compared to the number of OTs employed within local authorities presented at this year's national conference for OT.</li><li>• Joint Strategic Needs Assessment (JSNA) chapters on older people, physical disability, long term conditions and dementia.</li><li>• Referral rates and usage of the service – service monitoring reports.</li><li>• User feedback, complaints and compliments.</li><li>• Census and population predications from Poppi.</li><li>• Information obtained from Customer Survey, OT summit and conference.</li><li>• Best practice evidence from College of OT.</li><li>• General best practice guidance from Care Quality Commission and Social Care Institute for Excellence.</li><li>• National research by Kings Fund.</li></ul>

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

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

Protected characteristic <sup>2</sup>	Potential positive impacts	Potential negative impacts	Evidence
<b>Age</b>	People will have access to a timely assessment. This will improve their ability to live independently at home and maximise their potential.	None	<p>Feedback from people using the service highlighted that the greatest sense of dissatisfaction was a delay in assessment. This flexible contract addresses that.</p> <p>The contract will be operated under the same eligibility criteria as all other social care assessments with the same expectations of quality of service and equality and diversity requirements.</p> <p>The contract will be managed and monitored in line with the Council's obligations under the equalities monitoring framework.</p>
<b>Disability</b>	People will have access to a timely assessment. This will improve their ability to live independently at home and maximise their potential	None	<p>Feedback from people using the service highlighted that the greatest sense of dissatisfaction was a delay in assessment. This flexible contract addresses that.</p> <p>The contract will be operated under the same eligibility criteria as all other community care assessments, with the same expectations of quality of service and equality and diversity requirements.</p> <p>The contract will be managed and monitored in line with the Council's obligations under the equalities monitoring framework.</p>
<b>Gender reassignment</b>	None	None	
<b>Pregnancy and maternity</b>	People will have access to a timely assessment. This will	None	Feedback from people using the service highlighted that the greatest sense of dissatisfaction was a delay

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	improve their ability to live independently at home and maximise their potential		in assessment. This flexible contract addresses that.  The contract will be operated under the same eligibility criteria as all other community care assessments, with the same expectations of quality of service and equality and diversity requirements.  The contract will be managed and monitored in line with the Council's obligations under the equalities monitoring framework.
<b>Race</b>	None	None	
<b>Religion and belief</b>	None	None	
<b>Sex</b>	None	None	
<b>Sexual orientation</b>	None	None	
<b>Marriage and civil partnerships</b>	None	None	
<b>Carers<sup>3</sup></b>	<p>People will have access to a timely assessment. This will improve their ability to live independently at home and maximise their potential.</p> <p>OTs complete holistic assessments with both the person and any carer involved. Interventions can</p>	None	<p>Feedback from people using the service highlighted that the greatest sense of dissatisfaction was a delay in assessment. This flexible contract addresses that.</p> <p>The contract will be operated under the same eligibility criteria as all other community care assessments with the same expectations of quality of service and equality and diversity requirements.</p> <p>The contract will be managed and monitored in line</p>

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<sup>3</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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	<p>positively benefit both and support them to continue with family life with choice and control about how they lead it. A timely assessment supports this and can prevent crisis developing.</p>		<p>with the Council's obligations under the equalities monitoring framework.</p>
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## 7b. Impact of the proposals on staff with protected characteristics

No significant impact on staff with protected characteristic is anticipated.



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## 8. Amendments to the proposals

Change	Reason for change
<p>The contract specification has been refined following discussions with staff and people who use services about their expectations.</p>	<ul style="list-style-type: none"> <li>• External providers will use the Council's referral and assessment process.</li> <li>• KPIs reviewed and redefined e.g. turnaround times.</li> <li>• FFCS commitments have been included in the contract.</li> <li>• Consistency in process between external providers and local teams.</li> </ul>

## 9. Action plan

Potential impact (positive or negative)	Action needed to maximise positive impact or mitigate negative impact	By when	Owner
<p>Improved timely access to OT assessment</p>	<p>Regular and robust contract management focusing on this outcome which is of such importance to people using the service</p>	<p>Quarterly</p>	<p>OT professional lead manager and locality team managers with providers</p>

## 10. Potential negative impacts that cannot be mitigated

Potential negative impact	Protected characteristic(s) that could be affected
<p>N/A</p>	

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## 11. Summary of key impacts and actions

<b>Information and engagement underpinning equalities analysis</b>	We have used national and local data including JSNA and Census. We have used feedback from Surrey stakeholders and base line contract data.
<b>Key impacts (positive and/or negative) on people with protected characteristics</b>	People will have access to a timely assessment. This will improve their ability to live independently at home and maximise their potential
<b>Changes you have made to the proposal as a result of the EIA</b>	<ul style="list-style-type: none"> <li>• External providers will use the Council's referral and assessment process.</li> <li>• KPIs reviewed and redefined e.g. turnaround times.</li> <li>• FFCS commitments have been included in the contract.</li> <li>• Consistency in process between external providers and all local teams.</li> </ul>
<b>Key mitigating actions planned to address any outstanding negative impacts</b>	N/A
<b>Potential negative impacts that cannot be mitigated</b>	N/A