

Equality impact assessment (EIA) form: evidencing paying due regard to protected characteristics

(Form updated May 2015)

Strength Based Reassessments

If you would like this information in another language or format such as Braille, large print or audio, please contact the Communications Unit on 01609 53 2013 or email communications@northyorks.gov.uk.



যদি আপনি এই ডকুমেন্ট অন্য ভাষায় বা ফরমেটে চান, তাহলে দয়া করে আমাদেরকে বলুন।

如欲索取以另一語文印製或另一格式製作的資料，請與我們聯絡。

اگر آپ کو معلومات کسی دیگر زبان یا دیگر شکل میں درکار ہوں تو برائے مہربانی ہم سے پوچھئے۔

Equality Impact Assessments (EIAs) are public documents. EIAs accompanying reports going to County Councillors for decisions are published with the committee papers on our website and are available in hard copy at the relevant meeting. To help people to find completed EIAs we also publish them in the Equality and Diversity section of our website. This will help people to see for themselves how we have paid due regard in order to meet statutory requirements.

Name of Directorate and Service Area	HAS
Lead Officer and contact details	Anne Marie Lubanski, AD Care and Support (up to end July 2016). Tina Simpson, Head of Locality, Care and Support (from August 2016)
Names and roles of other people involved in carrying out the EIA	Annabel Macgregor, Business Development Officer Chris Jones King, Head of Practice, Care and Support Shanna Carrell, Equality and Community Engagement Officer, HAS

	Naomi Smith, Senior Project Manager, Projects & Programmes Team Emma Dixon, Senior Adult Services Lawyer
How will you pay due regard? e.g. working group, individual officer	The project will be reviewed at Locality Monitoring meetings, Project Team and Project Board meetings. Progress will be reviewed at HAS leadership team meetings.
When did the due regard process start?	1 st June 2016

Section 1. Please describe briefly what this EIA is about. (e.g. are you starting a new service, changing how you do something, stopping doing something?)

The implementation of the Care Act in 2014 has fundamentally changed the approach that local authorities are required to take in the assessment of adults. This project not only ensures that we are able to meet the statutory duties detailed in the Care Act but also ensures a focus on evidence based assessments that are asset, rather than deficit, based and which fully utilise all the resources available to the person. It includes in depth discussions during the support planning process with the person and their family and a less service oriented approach to support planning. This approach will foster an ownership and independence culture with people and families and within the social care workforce.

It is assumed that this approach will lead to a reduction in cost of community based care packages whilst still achieving positive outcomes for people and meeting their identified needs.

Section 2. Why is this being proposed? What are the aims? What does the authority hope to achieve by it? (e.g. to save money, meet increased demand, do things in a better way.)

The implementation of the Care Act in 2014 has fundamentally changed the approach that local authorities are required to take in the assessment of adults. This project not only ensures that we are able to meet the statutory duties detailed in the Care Act but that we work with customers in a more strength based approach which allows every opportunity for them to become more independent and achieve their outcomes through creative care and support planning. This project will assist in embedding the culture and approaches required to support the transformation of the Social Care offer.

It is also important to recognise that a strength based approach to assessments is likely to decrease the cost of packages across the County and this project will therefore contribute to the overall HAS 2020 savings.

Section 3. What will change? What will be different for customers and/or staff?

Customers will see a change to the types of conversations that they have with practitioners which will include, where appropriate, more emphasis on them taking ownership of their support needs and more emphasis on universal and community services.

Over the next two years we will ensure that future assessments, reassessments and reviews will adopt a strength based approach and will maximise every opportunity for people to become more independent or achieve their outcomes through creative care and support planning. This may be through the provision of information, advice or guidance, drawing on the skills and resources of the adult and carers, the use of equipment or telecare or a period of reablement that will help the person regain some skills or confidence in aspects of their lives.

Strengths-based practice is a collaborative process between the person supported by services and those supporting them, allowing them to work together to determine an outcome that draws on the person's strengths and assets. As such, it concerns itself principally with the quality of the relationship that develops between those providing and those being supported, as well as the elements that the person seeking support brings to the process. Working in a collaborative way promotes the opportunity for individuals to be co-producers of services and support rather than solely consumers of those services.

The phrases 'strength based approaches' and 'asset based approaches' are often used interchangeable. The term 'strengths' refers to different elements that help or enable the person to deal with challenges in life in general and in meeting their needs and achieving their desired outcomes. These elements include:

- Personal resources, abilities, skills knowledge, potential etc.
- Social network and its resources abilities, skills etc.
- Community resources also known as 'social capital' or 'universal resources'

For example: exploring with the person what things they can do for themselves with the resources they have, such as using technology for online shopping, or for finding services required by the person such as cleaning or handy person services. Or having undertaken an assessment the person has a good social network and has friends visiting frequently during the week who are also happy to provide support on these occasions and the person would prefer this. Using some of these solutions may mean that formal social care services are not required for some parts of the overall care and support package, the person maintains their independence and social contact and formal social care services deliver against outstanding needs and support the person to achieve their desired outcomes.

We continue to have a duty to provide preventative services and contribute towards preventing, reducing or delaying the care and support needs of those people, adults or carers to whom we provide care and support and the wider community.

Section 4. Involvement and consultation (What involvement and consultation has been done regarding the proposal and what are the results? What consultation will be needed and how will it be done?)

Formal consultation is not required for this project as the proposed ways of working represents accepted best practice across the adult social care sector and is fully in line with the approaches set out in the Care Act 2014.

To ensure consistency of approach from staff who undertake assessments a guidance document has been written and will be cascaded to staff through team meetings. Further checks will be carried out throughout the life of the project to check that the strength based approach is embedded and becomes the norm. The 6 week follow up call with customers and the case file audit tool will be used for this under the direction of the Principal Social Worker.

Monthly data collection for the project also includes qualitative information collected from staff about their experiences of the process as well as quantitative data and this is analysed and shared.

Whilst formal consultation is not required a series of engagement events with customers, people who use our services, their carers, advocates and other stakeholders have been designed. These will provide information about the new Care and Support pathway and seek the views of people about what works well and what could be improved. This feedback will inform some of our future processes and later feedback from engagement events will feed into our review of the structures following implementation.

Section 5. What impact will this proposal have on council budgets? Will it be cost neutral, have increased cost or reduce costs?

It is expected that the cost of Community Based Support Packages will decrease across the County as clients are re-assessed using a strength based approach.

Adopting a strength based approach is an approach that will be applied to everyone that we work with. It is predicated on the assumptions that people will have individual personal strengths and resources as well as resources within their family and communities. We recognise that some individuals, families and communities will have different resources, and where needs remain outstanding, the local authority will continue to meet them. This means that in some circumstances personal budgets will remain the same or increase. Alternatively, as part of the reassessment, additional needs or solutions outside of formal social care services may be identified, for example, the requirement of nursing care and referrals will be made to relevant agencies or requests for funding for CHC will be made.

Because evidence shows that a strength based approach does result in an overall reduction in the cost of packages a County wide savings target of £4m worth of savings for NYCC over a two year period has been attached to the project. This means that the average Personal Budget across each locality needs to decrease by approximately 10%. This figure takes into account the fact that the results of a strength based approach will be different for every customer with packages increasing, decreasing and staying the same. Early indications show that the predictions made about the costs of packages are correct and even when a number of packages stay the same or increase savings are being made.

It is also important to note that a strength based approach is applied regardless of who funds the package and savings are often identified to the benefit of other organisations or the customer themselves if they self-fund their packages.

Section 6. How will this proposal affect people with protected characteristics?	No impact	Make things better	Make things worse	Why will it have this effect? Provide evidence from engagement, consultation and/or service user data or demographic information etc.
Age		X		The majority of clients who will be subject to a strength based assessment are older (61% or 2057) with 29% of this cohort being over 85. This is to be expected as assessments are only carried out on people with a care need which generally increases with age. As the assessment process is individual and takes into account the particular needs of the client their age does not present any form of disadvantage.
Disability		X		52% of clients (1755) are categorised as having a disability with 26% of this cohort being over 65. As the assessment process is individual their particular needs will be taken into consideration. Therefore elderly people with a disability will not be disadvantaged in any way as it is recognised that they may

				need more support to participate fully in the process which will be provided as required
Sex (Gender)		X		<p>The cohort is made up of 58% female and 42% male compared to an almost 50:50 split in the population as a whole with the female percentage increasing with age. (71% of clients over 85 are female)</p> <p>Research is available that suggests that older men are less likely to have a social network and this will be taken into consideration during their assessment and they may end up with a more traditional care package which relies less on support from community and social networks.</p> <p>We will liaise with Stronger Communities where gaps such as this are identified so that community alternatives can be developed, for example the 'men's sheds' project.</p>
Race		X		<p>A small proportion of the cohort (2.3% or 77 people) are classed as BME. This is to be expected as the BME population as a whole across North Yorkshire is only 4.6%.</p> <p>As with older men research suggests that BME communities living in majority white communities may have less access to a social network and this will be taken into consideration during their assessment.</p>
Gender reassignment		X		No available data but as the assessment process is individual and takes into account the particular needs of the client gender reassignment should not present any form of disadvantage.
Sexual orientation		X		Very little data available as clients are given a choice to self-declare. (4% have declared they are heterosexual). As the assessment process is individual and takes into account the particular needs of the client sexual orientation should not present any form of disadvantage.
Religion or belief		X		<p>As the assessment process is individual and takes into account the particular needs of the client religion or belief should not present any form of disadvantage.</p> <p>(Of the 79% or 2647 people who responded 81% identified themselves as a Christian denomination)</p>
Pregnancy or maternity		X		No data available but as the assessment process is individual and takes into account the particular needs of the client pregnancy

				or maternity should not present any form of disadvantage.
Marriage or civil partnership		X		The most prevalent status of the 70% who provided information was single with 29% or 990 people. It is difficult to say whether marital status will have any impact on the assessment process and this will have to be monitored through the audit process which checks the quality and outcome of the assessment process.

Section 7. How will this proposal affect people who...	No impact	Make things better	Make things worse	Why will it have this effect? Provide evidence from engagement, consultation and/or service user data or demographic information etc.
..live in a rural area?		X		Due to the rural nature of North Yorkshire 16.9% of the population are classed as living in a 'super sparse' area (fewer than 50 persons per/km). Whilst this will not have any impact on the assessment process it may influence the type of care provided due to lack of availability of some types of provider in these areas. An individual approach to the assessment process will always be applied but support may have to take into account availability as well as preference. The impact of this will have to be monitored through the audit process which checks the quality and outcome of the assessment process.
...have a low income?		X		No data available but as the assessment process is individual and takes into account the particular needs of the client having a low income should not present any form of disadvantage. Financial assessments are undertaken on all clients to ensure they are only contributing financially if they are over the appropriate savings thresholds.

Section 8. Will the proposal affect anyone more because of a combination of protected characteristics? (e.g. older women or young gay men) State what you think the effect may be and why, providing evidence from engagement, consultation and/or service user data or demographic information etc.

The information provided in Section 6 suggests that people who may be affected by a combination of protected characteristics are older females, older people with a disability and people living in 'super sparse' areas. As the assessment process and resulting care package is based on individual needs all of these will be taken into account and should not put them at a disadvantage.

Section 9. Next steps to address the anticipated impact. Select one of the following options and explain why this has been chosen. (Remember: we have	Tick option chosen
--	---------------------------

an anticipatory duty to make reasonable adjustments so that disabled people can access services and work for us)	
1. No adverse impact - no major change needed to the proposal. There is no potential for discrimination or adverse impact identified.	✓
2. Adverse impact - adjust the proposal - The EIA identifies potential problems or missed opportunities. We will change our proposal to reduce or remove these adverse impacts, or we will achieve our aim in another way which will not make things worse for people.	
3. Adverse impact - continue the proposal - The EIA identifies potential problems or missed opportunities. We cannot change our proposal to reduce or remove these adverse impacts, nor can we achieve our aim in another way which will not make things worse for people. (There must be compelling reasons for continuing with proposals which will have the most adverse impacts. Get advice from Legal Services)	
4. Actual or potential unlawful discrimination - stop and remove the proposal – The EIA identifies actual or potential unlawful discrimination. It must be stopped.	
Explanation of why option has been chosen. (Include any advice given by Legal Services.)	
Option 1 has been chosen due to a) the overall approach of strength-based assessments should be positive, with anticipated savings arising from the application of good practice rather than fewer needs being met and b) the individual nature of the assessment process which allows a flexible person-centred approach to be taken. Clients will find that they are part of a more positive and collaborative process that is designed to meet their needs in the most appropriate way possible.	

Section 10. If the proposal is to be implemented how will you find out how it is really affecting people? (How will you monitor and review the changes?)
A monitoring spreadsheet has been developed which collates a combination of quantitative and qualitative information. The spreadsheets are completed by team managers in each locality and submitted via the Development Manager Performance and Intelligence (DMPIs) on a monthly basis. The Performance Support team then collate the information into one report which will be reviewed by the Project Manager, Project Team, the CASLT meeting group and HAS Leadership Team. Formal reviews will also take place throughout the lifetime of the project. The qualitative information is analysed separately by the Project Manager and will be reported on quarterly to the same groups.
Case file audits and dip samples will take place on a regular basis throughout the lifetime of the project, including groups identified in EIA that may not be able to access family and/or community assets as easily as others.

Section 11. Action plan. List any actions you need to take which have been identified in this EIA, including post implementation review to find out how the outcomes have been achieved in practice and what impacts there have actually been on people with protected characteristics.				
Action	Lead	By when	Progress	Monitoring arrangements
Ensure Case File Audits reflect equality considerations	Annabel MacGregor Chris Jones-King	Sep 2016	Case file audit tool being updated and first case file audit	Via Head of Practice and Project Board

			completed Ham/Rich.	in
First formal review	Project Board	Sep 2016	Review completed	Review carried out by the Project Team
Second formal review	Project Board	Mar 2017		Review carried out by the Project Team
Third formal review	Project Board	Dec 2017		Review carried out by the Project Team
End of project review	Project Board	Jul 2018		Review carried out by the Project Team

Section 12. Summary Summarise the findings of your EIA, including impacts, recommendation in relation to addressing impacts, including any legal advice, and next steps. This summary should be used as part of the report to the decision maker.

The findings from this EIA screening shows that whilst evidence is available to suggest that given the profile of the people affected by the change to adult social care assessments some protected characteristics are more affected than others, the fact that the change should overall be positive plus the individual nature of the assessment process means that it is unlikely that there will be any adverse impacts upon any customer due to their protected characteristics as defined under the Equalities Act 2010.

Once the new approach is embedded it will be monitored to ensure that customers are part of a more positive and collaborative process with good quality assessments and outcomes.

Section 13. Sign off section

This full EIA was completed by:

Name: Annabel MacGregor
Job title: Business Development Officer
Directorate: HAS
Signature: A MacGregor

Completion date: 18/08/16

Authorised by relevant Assistant Director (signature): Dale Owens

Date: 22.12.16