

DERBYSHIRE COUNTY COUNCIL

CABINET

16 OCTOBER 2012

REPORT OF THE STRATEGIC DIRECTOR – ADULT CARE

**RESPONSES TO THE CONSULTATION ON PROPOSED CLOSURE OF
THE DALES HOME FOR OLDER PEOPLE IN REPTON**

ADULT CARE

1. Purpose of the Report

To inform Cabinet of the responses to the consultation on the proposed closure of The Dales Home for Older People in Repton and to inform Cabinet about the Equality Impact Assessment carried out on the proposal.

To seek the approval of Cabinet to proceed with the closure of the home to allow the development of the site as extra care accommodation, subject to planning permission being granted.

Officers appreciate that there are a number of decisions regarding the closure of council run care homes that Cabinet is being asked to make within a short period of time. These decisions are being made pursuant to the overarching strategy for accommodation care and support for older people in Derbyshire. It is acknowledged that this report contains similar information to other reports regarding the closure of homes. It is important for Cabinet Members to consider each report on its own merits and take into account the individual set of circumstances relating to each home and its individual residents before making any decision about its future.

2. Information and Analysis

A report was presented to Cabinet on February 20th 2012 which set out a revised plan for implementing a strategy for accommodation, care and support for older people in Derbyshire. The development of the

proposals was carried out after a Stage 1 consultation in 2009-10.

These proposals centred on a £200m investment in specialist community care centres and extra care schemes. One of the key features of the plan involves consolidation of specialist services for complex needs including dementia into a reduced number of specialist community care centres, giving optimal possible coverage across the county.

The report proposed The Dales Home for Older People as the preferred site for the development of an additional extra care scheme for the South Derbyshire area to supplement the provision shortly to be made available at Oakland. An extra care scheme on The Dales site in particular would serve the needs of the population in the north of the South Derbyshire district

Cabinet agreed that the future of each home potentially affected by these proposals over the five year duration of the implementation of the plan should be decided at an appropriate time on an individual basis by Cabinet after Stage 2 of the consultation process. This decision would be made after a detailed consultation process and the completion of an Equality Impact Analysis. The priorities for Stage 2 consultations are homes for older people where the sites would be suitable for development. The consultation on the future of the remaining homes for older people will be undertaken at a later date.

The Dales Home for Older People in Repton has been identified as having the potential for development as an extra care scheme. It is a purpose-built unit which was built in the mid-60s and offers 20 permanent and short-term beds as well as some day-care.

Consultation on the proposed closure of The Dales Home for Older People ran for a 12 week period between May 2nd to July 25th 2012. Detailed consultation has taken place with the residents of The Dales Home for Older People (including those attending for regular respite care and day-care) and family carers or close friends. In addition there has been comprehensive consultation with a wider group of stakeholders. Full details of the entire consultation process are set down in Appendix 4.

Summary of Consultation

The consultation can best be summarised as follows:

- Staff, some residents, family carers and friends broadly accept that The Dales Home for Older People is not wholly conducive to providing a high quality physical environment. Many believed that more could be done to improve the physical environment of the

the home and that its closure would represent the loss of the only facility of its kind in the local community.

- There was an acceptance from the majority of participants that the Council has to plan ahead for the needs of the local population.
- There was an acceptance from many participants that extra care scheme will be a significant future benefit to local people.
- Very strong concerns were expressed by all involved in the consultation of the possible traumatic impact of a move of home for the residents, many of whom are well settled within the home and have developed strong friendships with other residents and with staff.
- Many family carers expressed their concerns about the possibility of residents moving from the immediate locality and perhaps living in a home which was less accessible for visitors who do not have their own transport.
- Many family carers were clear that they had particularly welcomed their relatives living in a Council run residential home because of the quality of support offered by managers in the home and overall adherence to standards. Strong views were expressed that this quality was not so readily found in all other care settings.
- Many family carers were concerned as to how a process of moving homes for their relatives would be handled and were worried that the burden of making arrangements would fall on them or, alternatively, that their relatives would be placed in a home with little choice over the arrangements made.
- All family carers were concerned that their relatives were paying a high price for the Council creating a better facility as these residents would have the upset of a move but potentially would not benefit from the new facilities an extra care scheme will offer.
- No current residents or their representatives are known to be supportive of the proposal to close the home at this time. Many felt, however, that if a decision to close were to be made by Cabinet, then the impact of this would be mitigated by residents and staff moving together to the newly built specialist community care centre at Oakland.

Based on experience within Derbyshire from other consultations, a set of pledges were distributed to residents and relatives at the outset of consultation to set out how Adult Care would assist in planning to meet the needs of individual residents if Cabinet were to decide that a particular home should close. This is attached as Appendix 2.

The pledges relate to the detailed assessment that would be carried out on each individual resident. This would be coordinated by a case worker but with input from the resident, family carer and staff at The Dales Home for Older People. This would form the basis of making informed choices about where residents' needs can be best met and to make the process of moving homes as smooth as possible. The pledges would mitigate many of the concerns particularly expressed by residents and family carers about the potential impact of a move on vulnerable older people.

The consultation process has been thorough and gathered the views of many with a keen interest in the future of the home and its residents. It is the view of officers that the proposed development of the site is in the long-term interests of older people in the area and indeed that was acknowledged by many respondents. It is, however, fully accepted that the proposal would result in significant disruption to the lives of the current residents and that managing this change would require considerable careful planning in line with the pledges made. One of the major concerns raised was the difficulty that some relatives and friends would have in visiting residents who may have to move away from Repton itself. This would need to be fully explored as part of the process of choosing a new home and staff will work with relatives and close friends of the residents to mitigate the effect of this.

It should be noted that continuity of staffing for individual residents will not be achieved unless residents move to another Derbyshire County Council Home for Older People to which staff currently employed at The Dales Home for Older People have been redeployed. The nearest Council care homes are shown on the map of local care home provision, which is included as Appendix 7. If residents were to move to a home where some staff from The Dales Home for Older People were redeployed this would enable continuity but this would be subject to the registration of Oakland and the number of staff from the Dales who would transfer. To maximise the opportunity for this to happen, however, the Council has committed itself to enabling all those residents whose needs can continue to be met in a care home and who wish to move to Oakland to move there as a group, recognising that a number of staff at The Dales Home for Older People could also move there, subject to the outcome of the formal consultation with staff and trade unions representing staff.

The nearest Derbyshire County Council homes in terms of miles travelled are as follows:

Oakland (Swadlincote), which is not yet registered – 5.2 miles
Castle Court (Church Gresley) – 8.6 miles

Within a five mile geographical radius of The Dales Home for Older People there are ten care homes (including Oakland which has yet to be registered) The Council would give the residents of the Dales a “guaranteed place” in Oakland if that was their preference. Given that a six month period has been identified for the closure of the home if the proposal is agreed by Cabinet, it is reasonable to assume that a significant number of alternative options will be available for residents to choose from. Based on individual assessments it may be that some residents will choose to move outside the immediate locality to be closer to relatives or friends. Of particular importance in terms of maximising potential continuity of care, subject to the decisions staff make as they consider their future employment options, is the opening of the specialist community care centre at Oakland in Swadlincote.

Given that many of the residents at The Dales have varying degrees of dementia, one of the main choices in finding an appropriate home will be the quality of care for that particular condition. Homes may choose within their statement of purpose to register with CQC a specialism in caring for people with dementia, which also will be a major focus of the care offered at Oakland. All ten current homes within a five mile radius of The Dales are registered with a specialism in dementia.

A map showing the location of care homes which are within a five mile radius of The Dales, is included as Appendix 7.

In each instance where a resident moves out of Repton and is moving further away from relatives and friends, Adult Care will explore all means to help ensure that visiting and friendship patterns are maintained. Adult Care firmly believes that it is in the interests of residents to maintain these links and will attempt to ensure that these are not impeded by a move to a different care home. This will mean careful planning to ensure that a suitable placement is found which means that additional travel is kept to a minimum by exploring accessibility on public transport routes for those who do not have a car. In some instances this may mean that social workers will also need to explore social car schemes if the new home is not accessible on a bus route. In a small number of cases Adult Care may need to assist financially to prevent hardship.

Many involved in the consultation process were concerned at the trauma which can be associated with a move and how far this may impact on the health and well-being of residents.

There can be no doubt that a major change such as moving care home can be stressful and impact on a resident's health and well-being but this can be mitigated by the preparation for the move being carefully and sensitively planned by social care staff (both social workers and staff in The Dales), relatives and friends as well as staff in the home to which the current residents of The Dales Home for Older People move.

The pledges set out the broad approach to how the assessment process will be addressed and this is supplemented by the Major Change Guidance which is included as Appendix 6. The Major Change Guidance also covers the management of risk so that not only are the needs, wishes and aspirations of residents thoroughly considered but also risks inherent in the move are given close attention and comprehensively addressed.

Research studies have been carried out on the impact on the individual resident of moving residential homes because of a closure. Considered as a whole, the results are inconclusive. Some demonstrate an increase in deaths after a move but others do not share the same findings. Some research has shown that good planning will mitigate the potential risk of a move.

It is the view of officers in Adult Care that a well-planned process at the pace of and tailored to the needs of the individual resident will limit the impact of the move as far as possible with a frail and vulnerable group of residents. Adult Care have gained invaluable experience over many years in closing its own care homes and successfully re-settling residents and this experience, alongside best practice in other authorities is distilled in the Major Change Guidance (Appendix 6).

In considering any action which involves moving residents, the Council must be mindful of their welfare. Moving frail and elderly people presents a risk to them. Key factors in minimising these risks include the adequacy of assessment of residents' needs prior to transfer; the ability to change any planned timetable at short notice and; the preparedness of the receiving care home staff and other staff to take over their care from the residents' current care home.

On the subject of risk, much has been made, in alarming ways, about the risk of moving older people, especially those who are frail and with dementia. Adult Care acknowledges the fact that risk exists, where such moves are poorly planned. The approach it is taking through the

production of the pledges and the application of the Major Change Guidance is designed to limit that risk. Ensuring the welfare of residents once they have moved would be the responsibility of social workers who would ensure that there is regular contact with the home, the resident and family carers.

No one will be moved if the risk assessment concludes that the risk of serious injury or mortality cannot be achieved at minimal levels.

In addition to the comprehensive process for managing the assessment and re-settlement of residents and in line with the Equality Impact Analysis, residents and their relatives and friends will be able to be fast-tracked through the Adult Care complaints process if they are not satisfied if the support they are receiving at any stage in the process.

The Dales site remains the most suitable option within the locality for an extra care scheme subject to further site investigations and planning permission being granted.

The other potential option for a proposed extra care scheme in South Derbyshire District was the former Newhall Hostel Site in Newhall. This was considered to be too close to Oakland and the extra care scheme on that site. The Council has Castle Court, a recently constructed Home for Older People, at Chapel Greasley covering the south west of the District and therefore the site at Repton was considered the best location to serve the northern parishes of the District.

3. Financial Considerations

Consultation on the proposed closure of The Dales home for older people was embarked upon following approval by Cabinet on the 20 February 2012 of the 'Revised Plan to Deliver the Strategy for Accommodation, Care and Support for Older People in Derbyshire'. The report contained detailed financial appendices on the implications of the new strategy. The Dales was identified as an immediate priority for Stage 2 consultation and would, if closed, release funding for the revenue model currently being proposed for Phase 1 of the Implementation Plan – the delivery of 3 specialist community care centres (Swadlincote, Heanor and Darley Dale) and the 3 Extra Care schemes at Foolow Court (Chesterfield), Cressy Fields (Alfreton) and Clay Cross.

The costs of decommissioning The Dales Home for Older People would be met from the funding previously agreed for the Capital Plan for 2012-13. The report to Cabinet, 'Prudential Code for Capital Finance Approvals & Treasury Management Strategy' was approved on 24th January 2012 which included the costs of the Accommodation, Care and Support strategy at £42.3 million.

Should Cabinet conclude that The Dales Home for Older People will not close there will be costs associated with keeping it open. These costs will vary according to the future plan for the home and an up to date option appraisal of costs would be needed. Costs could include investment to ensure the home continues to meet health and safety standards, increased investment to ensure the home's fabric is upgraded to meet modern standards or substantial investment to completely refurbish the home. The last option would also result in a significant loss of residential capacity which would compromise the viability of The Dales as a traditional residential care home.

The following 3 options illustrate the potential costs involved if The Dales Home for Older People were to remain open:

1. Maintain open with minimal change. This would ensure essential improvement costs and the backlog of maintenance costs are met as well as addressing costs associated with the Equality Act. Estimated costs for this are £544,580
2. An improved level of refurbishment – estimated costs could vary from £544,580 up to £1,742,400 depending on the level of work undertaken. This would retain the current number of beds but would not meet the standards the Council now aspires to in terms of dignity and respect
3. Complete refurbishment up to an optimum standard – in the Cabinet report of August 24th 2010, this was estimated to be £2,178,000. This would result in a reduced number of beds to ensure that residents received increased levels of dignity and respect and therefore would result in less income for the council.

Should The Dales Home for Older People remain open, the Council would not receive a Capital Receipt for the land value and would in addition have to find on-going revenue costs for the establishment. The budget for the home for 2012-13 is £534,754.

Should Cabinet agree to the proposal of closing The Dales Home for Older People, then some additional costs would need to be met, as a pledge has been made to for the Council to meet a reasonable increase in residential care costs for current residents moving homes. The additional costs, based on current total occupancy would be up to £42,328 per annum based on average top up fees paid across the County. This top up fee will be paid for the length of the resident's stay in the care home.

4. Human Resource Considerations

If a decision is made to close The Dales Home for Older People this would affect 24 employees who would be placed at risk of redundancy. Every effort would be made, however, to identify suitable alternative employment through the Council's redeployment procedure.

If a decision is made to close the home a period of formal consultation would commence with staff and trade unions representing staff currently employed at The Dales Home for Older People.

5. Legal and Human Rights Considerations

Proposals to make changes in service provision require consultation with those affected, including service users, staff and carers. Any final decisions must also take into account the rights of service users as set out in the Human Rights Act 1998, specifically Article 8, "Right to respect for private and family life". In assessing these proposals, the Council should also have regard to its statutory duties under the National Assistance Act 1948 and subsequent community care and equalities legislation.

In so far as the Equality Act 2010 is concerned, Stephen Knafler QC, has advised as follows:-

"Under the Equality Act 2010, Cabinet members are reminded that they are under a personal duty, when considering what decision to make, to have due regard to, in short, the need to protect and promote the interests of persons with protected characteristics (e.g. persons who are vulnerable on account of age, gender re-assignment, pregnancy or maternity, race, disability, religion or belief, sex, sexual orientation). Attention is drawn to a publication by the Equality and Human Rights Commission, called 'Using the Equality Duties to Make Fair Financial Decisions' (*recently updated and called 'Making Fair Financial Decisions'*), see Appendix 3, for a reasonably detailed summary of the responsibilities of Cabinet members.

Section 149 requires a public authority to have due regard to the need to

- Eliminate discrimination, harassment, victimisation, and any other conduct that is prohibited by/or under the Act
- Advance equality of opportunity between persons who share a 'relevant protected characteristics' and persons who do not share those characteristics.
- Foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

There are exclusions but the provision of community care services is not one of them.

Having had careful regard to the equality analysis, and also the consultation responses, Cabinet members are under a personal duty to have due (that is, proportionate) regard to the need to protect and promote the interests of persons with protected characteristics (see above) and (i) to consider and analyse how the decision is likely to affect those with protected characteristics, in practical terms, (ii) to remove any unlawful discrimination, harassment, victimisation and other prohibited conduct, (iii) to consider whether practical steps should be taken to mitigate or avoid any adverse consequences that the decision is likely to have, for persons with protected characteristics, and, indeed, to consider whether the decision should not be taken at all, in the interests of persons with protected characteristics, (iv) to consider whether steps should be taken to advance equality, foster good relations and generally promote the interests of persons with protected characteristics, either by varying the recommended decision or by taking some other decision.

Whilst Cabinet members are under a duty to have serious regard to the need to protect and promote the interests of persons with protected characteristics, in the ways just described, in reaching their decision, they may also take into account other considerations, such as the desirability of providing cost-effective and good quality services. They may ultimately decide that those types of considerations ultimately justify a decision that does to some extent adversely impact on persons with protected characteristics."

6. Equal Opportunities Considerations

An Equality Impact Analysis has been completed to consider the consequences of closure, which is seen as a substantial change to a service. The Equality Impact Analysis is available as Appendix 5.

The Equality Impact Analysis, together with the Summary of Consultation highlights the concerns of the current residents and their families or carers. Given the fact that the residents are old and frail and a number have dementia and other disabilities, there are very valid views that a move could have an adverse effect, especially as the accommodation and care is highly valued. By its very nature a move would be disruptive and as a result it may cause stress and affect the health and wellbeing of residents if the move is not handled with great care and sensitivity. This report and the Equality Impact Assessment set out the steps which would strongly mitigate the potential adverse effects through the thorough implementation of the Major Change Guidance. This will involve carrying out a detailed assessment of residents, with the full involvement of family carers and friends as well as staff at The Dales Home for Older People, assisting residents to choose a new care home and making sure that any moves are planned in detail. It should be recognised that these steps will not, however, necessarily altogether eliminate an adverse impact on individuals' health and well-being.

In summary, the Equality Impact Analysis reflects the outcome of the consultation exercise and also considers data on those currently resident in the home and Joint Strategic Needs Assessment data. Its conclusion is that there are no factors which may result in discrimination against groups of people with protected characteristics but that the Council must adhere to the pledges it has made to residents as well as its Major Change Guidance to ensure that the impact of a move is mitigated as far as possible by careful planning.

In considering the closure of The Dales Home for Older People, the potential for an adverse impact on individual residents must be balanced against the overall benefits that that implementation of the Accommodation, Care and Support strategy will have for the wider community. Oakland will offer a local first-class facility supporting people with dementia and their carers and the extra care scheme both there and at Repton will enable many older people to live independently for longer with a wide range of support to hand in purpose-built accommodation built to a high standard.

The proposed new resource will provide modern residential care carefully designed to meet the needs of long-term residents with dementia and complex care needs. It would also provide a wide range of facilities to increase respite care, intermediate care and day care

options to clients still living at home and their carers. In addition, the new centre will offer improved access to information and community-based support not just to existing clients and carers but also the wider community.

Cabinet must carefully consider the findings of this analysis as well as the consultation report (Appendix 4) with a view to considering whether, in light of these, it should go ahead at all or if further mitigating steps or monitoring should be put in place prior to making its decision on this issue.

7. Property Considerations

If Cabinet approves the change of use of the site proposed in this report, draft designs for the proposed Extra Care Scheme will be developed with the Bidder currently in the SSD 1203 extra care procurement. These would still be subject to planning determination and approval being given by South Derbyshire District Council Planning Department. As the procurement progresses the planning submission would be made by the Preferred Bidder, supported by Derbyshire County Council as their partner.

It is anticipated that a planning application will be submitted in 2014 with a view to the scheme being delivered in 2015. The detailed planning application approval process will include opportunity for feedback from local individuals as well as from statutory consultees such as Repton Parish Council, and the Council's highways department.

The purpose of seeking an early decision on the proposed closure of The Dales is to enable residents and their families to make a timely decision on whether the Oakland scheme in Swadlincote could be a suitable alternative home for either individuals or for groups of friends to move to. It is anticipated that Oakland (excluding the special care centre provision) will open in late 2012, and nominations for the scheme are already being sought for the extra care accommodation on the site.

8. Background Papers

Cabinet report dated 03.08.10 'Consultation in Relation to Developments in Residential and Community Care Services for Older People'.

Cabinet report dated 20.02.12 'Revised Plan to Deliver the Strategy for Accommodation, Care and Support for Older People in Derbyshire'.

Appendix 1 – Consultation leaflet.

Appendix 2 – Pledges for Residents.

Appendix 3 - Using the Equality Duties to Make Fair Financial Decisions' *(recently updated and called 'Making Fair Financial Decisions')*.

Appendix 4 – Summary of Consultation.

Appendix 5 - Equality Impact Analysis.

Appendix 6 – Major Change Guidance

Appendix 7 – Map of Care Homes Within Five Mile Radius of The Dales

9. Key Decision

Yes

10. OFFICER'S RECOMMENDATIONS

It is recommended that Cabinet:-

10.1 Give careful consideration to the outcome of the consultation on the future of The Dales Home for Older People and the Equality Impact Analysis.

10.2 Approve the closure of the The Dales Home for Older People, to allow the redevelopment of the site, subject to planning permission, as an extra care scheme.

10.3 (a) Subject to 10.2 above, to approve the work with residents and family carers to commence enabling residents to move to new accommodation within the next six months, and

(b) for this work to be carried out in accordance with the pledges made and the Major Change Guidance, and;

10.4 Approve formal consultation with staff and trade unions representing staff at The Dales Home for Older People.

Bill Robertson
Strategic Director – Adult Care
County Hall
MATLOCK

How To Have Your Say

We're keen to hear what you think about our plans and we're making it easy for you to give us your views.

We'll be holding consultation meetings to explain more about our plans and how they could affect you if you live at The Dales.

We'll also discuss our plan with you in smaller groups, individually and with your relatives, friends or advocates.

Our consultation starts on Wednesday 2 May and lasts for 12 weeks.

To give us your views you can:

- **write to** – David Gurney, Group Manager (Performance), Derbyshire County Council, County Hall, Matlock, Derbyshire, DE4 3AG
- **email** – david.gurney@derbyshire.gov.uk
- **phone** – David Gurney on 01629 532208.

For more details about our consultation visit our website at: www.derbyshire.gov.uk/thedaless

All comments must be received by Wednesday 25 July 2012.



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Derbyshire County Council

Your Care Your Future Our Priority

Our plans to develop care, living and support services for older people.

Proposed closure of The Dales Home for Older People, Repton.



At Derbyshire County Council we're committed to providing the best possible care and services for older people. We're delivering some of them already. But we'll need to make changes so we can meet the needs of local people in years to come.

That's why we're looking to replace many of our residential homes with 1,600 extra care apartments across the county. It means local people will have their own 'front door' and enjoy high quality, independent living with round-the-clock care when it's needed.

It means couples will be able to stay together, be part of the community and not feel isolated. We know that's not what everyone needs so we'll still provide specialist services and some care home places for those who need them.

One of the changes we are proposing is to close The Dales home for older people in Repton.



We want to replace the 22-bed home with up to 50 state-of-the-art one and two-bedroomed extra care apartments for local people on the same site.

If you are a permanent resident at The Dales you would need to move to other accommodation if the decision is made to close the home. Options include our state-of-the-art development at Swadlincote – Oakland Village – a specialist community care centre and extra care housing scheme.

We are now holding a 12-week consultation to ask for your views on our plan.

Our Plan

We are proposing to close The Dales home for older people.

In its place we would build up to 50 extra care apartments and community facilities, giving people:



- their own front door so they can live more independently
- the security of 24/7 care on site or when it is needed
- the opportunity to stay living together as a couple if one person needs more care than the other
- the chance to 'personalise' how and when they receive their care and arrange for other help with things like laundry, shopping and cleaning
- communal areas like activity rooms, residents' lounges and patios or gardens to meet and socialise with other residents
- community facilities like a restaurant, a hairdresser and social rooms.

What happens next...

When our consultation ends we'll consider your views and take them into account before we make any



final decisions. We are likely to make a decision on the future of your home in October.

If the county council decides to close The Dales we would aim to do this within six months.

But - before anything happens - we'd carry out a full assessment of your needs. We would talk to you, your relatives, friends or an advocate about the best place for you to live.

We promise that you'll continue to get high quality care - as good as or better than you currently receive. We'd help you to make the best choice for your future care and make sure it happens as smoothly as possible.

OUR PLEDGES TO RESIDENTS

1. We will treat you with dignity and respect and consult you and keep you informed throughout the process.
2. We will ensure relatives and friends chosen by you are informed of the home closure and are able to remain involved in the process too.
3. We will name a member of staff from your present care home who knows you well to listen to you, to support you and stay in contact with you.
4. We will provide an advocate to assist anyone who does not have mental capacity to make decisions about their future arrangements and has no family or friend to do this.
5. We will discuss your preferences, care and support needs with you and addressing your concerns about moving. We will update your assessment if necessary and check you agree with what has been written.
6. We will ensure you have as much choice as possible about the type of care service you choose. We will arrange for you to visit ones you consider may be suitable or for your family to do so if you are unable to do so.
7. We will complete a new 'support plan' and 'life book' with you to make clear your likes; things you want to do or be assisted with; your interests and priorities now and in earlier life. Once you are in agreement with what is in the plan/book this can be used to brief your new service providers and help them prepare for your arrival.
8. We will ensure that within reason you do not incur any additional costs through moving to a new provider.
9. We will carefully plan the day of the move with you – who you want to travel with you; how you travel; a written list of personal items – everything will be done to reduce stress or worries.
10. We will visit you and find how you are doing after the move and check if there is anything else you wish to be done.
11. Finally we pledge to try our best to meet your own personal priority – for example you may have friends you particularly wish to stay together with after a move.

Making fair financial decisions

This guidance has been updated to reflect the new equality duty which came into force on 5 April 2011. It provides advice about the general equality duty. Advice about the specific duties will be added at a later date when the specific duties regulations for England and Scotland have been finalised.

Introduction

With major reductions in public spending, public authorities in Britain are being required to make difficult financial decisions. This guide sets out what is expected of you as a decision-maker or leader of a public authority responsible for delivering key services at a national, regional and/or local level, in order to make such decisions as fair as possible.

The new public sector equality duty (the equality duty) does not prevent you from making difficult decisions such as reorganisations and relocations, redundancies, and service reductions, nor does it stop you from making decisions which may affect one group more than another group. The equality duty enables you to demonstrate that you are making financial decisions in a fair, transparent and accountable way, considering the needs and the rights of different members of your community. This is achieved through assessing the impact that changes to policies, procedures and practices could have on different protected groups (or protected characteristics under the Equality Act 2010).

Assessing the impact on equality of proposed changes to policies procedures and practices is not just something that the law requires, it is a positive opportunity for you as a public authority leader to ensure you make better decisions based on robust evidence.

What the law requires

Under the equality duty (set out in the Equality Act 2010), public authorities must have 'due regard' to the need to eliminate unlawful discrimination, harassment and victimisation as well as to advance equality of opportunity and foster good relations between people who share a protected characteristic and those who do not.

The protected groups covered by the equality duty are: age, disability, gender reassignment, pregnancy and maternity, race, religion or belief, sex and sexual orientation. The duty also covers marriage and civil partnerships, but only in respect of eliminating unlawful discrimination.

The law requires that public authorities demonstrate that they have had 'due regard' to the aims of the equality duty in their decision-making. Assessing the potential impact on equality of proposed changes to policies, procedures and practices is one of the key ways in which public authorities can demonstrate that they have had 'due regard'.

It is also important to note that public authorities subject to the equality duty are also likely to be subject to the Human Rights Act. We would therefore recommend that public authorities consider the potential impact their decisions could have on human rights.

Aim of this guide

This guide aims to assist decision-makers in ensuring that:

- The process they follow to assess the impact on equality of financial proposals is robust, and
- The impact that financial proposals could have on protected groups is thoroughly considered before any decisions are arrived at.

We have also produced detailed guidance for those responsible for assessing the impact on equality of their policies, which is available on our website: http://www.equalityhumanrights.com/uploaded_files/EqualityAct/PSED/equality_analysis_guidance.pdf

The benefits of assessing the impact on equality

By law, your assessments of impact on equality must:

- Contain enough information to enable a public authority to demonstrate it has had 'due regard' to the aims of the equality duty in its decision-making
- Consider ways of mitigating or avoiding any adverse impacts.

Such assessments do not have to take the form of a document called an equality impact assessment. If you choose not to develop a document of this type, then some alternative approach which systematically assesses any adverse impacts of a change in policy, procedure or practice will be required.

Assessing impact on equality is not an end in itself and it should be tailored to, and be proportionate to, the decision that is being made.

Whether it is proportionate for an authority to conduct an assessment of the impact on equality of a financial decision or not depends on its relevance to the authority's particular function and its likely impact on people from the protected groups.

We recommend that you document your assessment of the impact on equality when developing financial proposals. This will help you to:

- **Ensure you have a written record of the equality considerations** you have taken into account.
- **Ensure that your decision includes a consideration of the actions that would help to avoid or mitigate any impacts on particular protected groups.** Individual decisions should also be informed by the wider context of decisions in your own and other relevant public authorities, so that particular groups are not unduly affected by the cumulative effects of different decisions.
- **Make your decisions based on evidence:** a decision which is informed by relevant local and national information about equality is a better quality decision. Assessments of impact on equality provide a clear and systematic way to collect assess and put forward relevant evidence.
- **Make the decision-making process more transparent:** a process which involves those likely to be affected by the policy, and which is based on evidence, is much more open and transparent. This should also help you secure better public understanding of the difficult decisions you will be making in the coming months.
- **Comply with the law:** a written record can be used to demonstrate that due regard has been had. Failure to meet the equality duty may result in authorities being exposed to costly, time-consuming and reputation-damaging legal challenges.

When should your assessments be carried out?

Assessments of the impact on equality must be carried out at a **formative stage** so that the assessment is an integral part of the development of a proposed policy, not a later justification of a policy that has already been adopted. Financial proposals which are relevant to equality, such as those likely to impact on equality in your workforce and/or for your community, should always be subject to a thorough assessment. This includes proposals to outsource or procure any of the functions of your organisation. The assessment should form part of the proposal, and you should consider it carefully **before** making your decision.

If you are presented with a proposal that has not been assessed for its impact on equality, you should question whether this enables you to consider fully the proposed changes and its likely impact. Decisions not to assess the impact on equality should be fully documented, along with the reasons and the evidence used to come to this conclusion. This is important as authorities may need to rely on this documentation if the decision is challenged.

It is also important to remember that the potential impact is not just about numbers. Evidence of a serious impact on a small number of individuals is just as important as something that will impact on many people.

What should I be looking for in my assessments?

Assessments of impact on equality need to be based on relevant information and enable the decision-maker to understand the equality implications of a decision and any alternative options or proposals.

As with everything, proportionality is a key principle. Assessing the impact on equality of a major financial proposal is likely to need significantly more effort and resources dedicated to ensuring effective engagement, than a simple assessment of a proposal to save money by changing staff travel arrangements.

There is no prescribed format for assessing the impact on equality, but the following questions and answers provide guidance to assist you in determining whether you consider that an assessment is robust enough to rely on:

• Is the purpose of the financial proposal clearly set out?

A robust assessment will set out the reasons for the change; how this change can impact on protected groups, as well as whom it is intended to benefit; and the intended outcome. You should also think about how individual financial proposals might relate to one another. This is because a series of changes to different policies or services could have a severe impact on particular protected groups.

Joint working with your public authority partners will also help you to consider thoroughly the impact of your joint decisions on the people you collectively serve.

Example: A local authority takes separate decisions to limit the eligibility criteria for community care services; increase charges for respite services; scale back its accessible housing programme; and cut concessionary travel. Each separate decision may have a significant effect on the lives of disabled residents, and the cumulative impact of these decisions may be considerable. This combined impact would not be apparent if the decisions were considered in isolation.

• Has the assessment considered available evidence?

Public authorities should consider the information and research already available locally and nationally. The assessment of impact on equality should be underpinned by up-to-date and reliable information about the different protected groups that the proposal is likely to have an impact on. A lack of information is not a sufficient reason to conclude that there is no impact.

- **Have those likely to be affected by the proposal been engaged?**

Engagement is crucial to assessing the impact on equality. There is no explicit requirement to engage people under the equality duty, but it will help you to improve the equality information that you use to understand the possible impact on your policy on different protected groups. No-one can give you a better insight into how proposed changes will have an impact on, for example, disabled people, than disabled people themselves.

- **Have potential positive and negative impacts been identified?**

It is not enough to state simply that a policy will impact on everyone equally; there should be a more in-depth consideration of available evidence to see if particular protected groups are more likely to be affected than others. Equal treatment does not always produce equal outcomes; sometimes authorities will have to take particular steps for certain groups to address an existing disadvantage or to meet differing needs.

- **What course of action does the assessment suggest that I take? Is it justifiable?**

The assessment should clearly identify the option(s) chosen, and their potential impacts, and document the reasons for this decision. There are four possible outcomes of an assessment of the impact on equality, and more than one may apply to a single proposal:

Outcome 1: No major change required when the assessment has not identified any potential for discrimination or adverse impact and all opportunities to advance equality have been taken.

Outcome 2: Adjustments to remove barriers identified by the assessment or to better advance equality. Are you satisfied that the proposed adjustments will remove the barriers identified?

Outcome 3: Continue despite having identified some potential for adverse impacts or missed opportunities to advance equality. In this case, the justification should be included in the assessment and should be in line with the duty to have 'due regard'. For the most important relevant policies, compelling reasons will be needed. You should consider whether there are sufficient plans to reduce the negative impact and/or plans to monitor the actual impact, as discussed below.

Outcome 4: Stop and rethink when an assessment shows actual or potential unlawful discrimination.

- **Are there plans to alleviate any negative impacts?**

Where the assessment indicates a potential negative impact, consideration should be given to means of reducing or mitigating this impact. This will in practice be supported by the development of an action plan to reduce impacts. This should identify the responsibility for delivering each action and the associated timescales for implementation. Considering what action you could take to avoid any negative impact is crucial, to reduce the likelihood that the difficult decisions you will have to take in the near future do not create or perpetuate inequality.

Example: A University decides to close down its childcare facility to save money, particularly given that it is currently being under-used. It identifies that doing so will have a negative impact on women and individuals from different racial groups, both staff and students.

In order to mitigate such impacts, the University designs an action plan to ensure relevant information on childcare facilities in the area is disseminated to staff and students in a timely manner. This will help to improve partnership working with the local authority and to ensure that sufficient and affordable childcare remains accessible to its students and staff.

- **Are there plans to monitor the actual impact of the proposal?**

Although assessments of impact on equality will help to anticipate a proposal's likely effect on different communities and groups, in reality the full impact of a decision will only be known once it is introduced. It is therefore important to set out arrangements for reviewing the actual impact of the proposals once they have been implemented.

What happens if you don't properly assess the impact on equality of relevant decisions?

If you have not carried out an assessment of impact on equality of the proposal, or have not done so thoroughly, you risk leaving yourself open to legal challenges, which are both costly and time-consuming. Recent legal cases have shown what can happen when authorities do not consider their equality duties when making decisions.

Example: A court recently overturned a decision by Haringey Council to consent to a large-scale building redevelopment in Wards Corner in Tottenham, on the basis that the council had not considered the impact of the proposal on different racial groups before granting planning permission.

However, the result can often be far more fundamental than a legal challenge. If people feel that an authority is acting high-handedly or without properly involving its service users or employees, or listening to their concerns, they are likely to become disillusioned with you.

Above all, authorities which fail to carry out robust assessments of the impact on equality risk making poor and unfair decisions that could discriminate against particular protected groups and perpetuate or worsen inequality.

As part of its regulatory role to ensure compliance with the equality duty, the Commission will monitor financial decisions with a view to ensuring that these have been taken in compliance with the equality duty and have taken into account the need to mitigate negative impacts where possible.

Summary of consultation process concerning proposed closure of The Dales Home for Older People

Consultation schedule:

The consultation period lasted from May 2nd to July 25th 2012. The consultation was advertised through a number of channels:

Leaflets and letters were sent at the start of consultation to:

- Residents, regular respite care and day-care clients and relatives
- Staff at The Dales
- County councillor for South Derbyshire
- District councillors for Repton
- The local GP practice which provides a service to residents
- Age UK
- Alzheimers Society
- South Derbyshire CVS
- Derbyshire Carers Association
- Derbyshire Older People's Advisory Group
- Derbyshire LINKs
- South Derbyshire 50+ forum
- Repton Parish Council
- Chief Executive of East Midlands Ambulance Service
- Chief Executive of Derbyshire PCT
- Chief Executive of Derby Royal Hospital NHS Foundation Trust
- Chief Operating Officer of Southern Derbyshire Clinical Commissioning Group
- Chair of Southern Derbyshire Clinical Commissioning Group
- Chief Executive of the Care Quality Commission

- Local residential and nursing home owners
- Local operational staff
- Trade Unions
- Derbyshire BME Forum

In addition to the above, a press release was circulated and a webpage opened on the Have Your Say section on Derbyshire County Council's website.

Residents and Relatives Feedback From Meetings on May 17th and May 31st

Feedback

It was generally acknowledged that The Dales building was not adequate to meet the standards that the Council now aspires to and did not have the facilities to provide care for people with complex needs. However many people felt that the option to close the Dales was not in the best interest of residents or the local community and that there should be an upgrading of the building and improving facilities rather than a closure.

'We are not unsupportive of the programme' - relative

'The care at the Dales is fantastic but the facilities are poor' - relative

'It's not full because there are no en suite facilities' - relative

'I can see the point. My mum needs a hoist and it is a real struggle in her room' – relative

'Wouldn't it be more economical to refurbish the homes that are not up to standard?' – relative

'There is a wing that is not being used, start by refurbishing that' - relative

'Do half and half, ie refurbish half of the home then move people over' - relative

Response

The views expressed by relatives and residents have been noted by officers, who have taken account of the costs of modernising The Dales in preparing the strategy. Depending on the degree of refurbishment the costs of

refurbishing the building would vary between £544,500 and £2,178,000. The former figure would mean that the maintenance backlog is addressed, essential improvements are carried out as well as addressing costs associated with the Equality Act. The latter figure would allow a complete refurbishment up to optimum standards and would result in less beds and therefore less income for the Council.

Relationships:

Feedback

Residents and relatives are concerned that a move would mean they would lose contact with staff and friends they had made at the home.

'They know and trust the staff who care for them and it would be very upsetting to have to be cared for by people they don't know' - relative

'I don't want my mum moving from the Dales – from people she knows and is friends with' - relative

'We need some assurance that we will stay together' - resident

'They need continuity and security: the biggest element is staff who build up those relationships' - relative

Response

The views expressed by relatives and residents have been carefully considered by officers, who believe that the careful application of the pledges issued to residents and relatives will help mitigate the concerns expressed. The opening of the new Oakland facility in Swadlincote does offer a considerable opportunity for residents to continue to live together, if they choose to stay together as a friendship group, possibly with some of the same staff. Consultation with staff on their future employment will only start, however, if Cabinet determines The Dales should close. If that is the case, employment at the new specialist community care centre will be one option open to staff but there can be no guarantee at this stage as to how many staff will move there.

Upset/distress:

Feedback

A great deal of concern was expressed about the detrimental effects a move would have on residents.

'It won't do them any good' - relative

'To uproot people in their 80s & 90s is just not on' - relative

'It will be such an upheaval' - relative

'Can't people just leave us alone?' - resident.

'The Dales is their life, take that away and they have nothing' - relative

Response

The pledges issued to residents and relatives will assist in mitigating the concerns expressed by many residents and relatives. All residents will have an assessment of their individual needs and options for the future will be carefully considered along with them and their family carers. Once the assessment has been completed and alternative accommodation identified, work will take place between staff at The Dales, staff within the new setting and the case worker to make sure that the move is carried out in such a way as to make it go as well as possible. This covers not just the physical move but also the preparations that will ensure that the resident has had sufficient opportunity to visit the new setting and become familiar with it and its staff.

Locality:

Feedback

Staying in the locality was seen as being very important for the great majority of residents and relatives, and living in the village meant that family and friends could visit easily.

'Having visitors is important – I will be cut off if I move from Repton' - resident

'What about non drivers - I already have to catch 2 buses' - relative

'The reason mum is here is because it is local' - relative

'Swadlincote is not Repton' – relative

'My mum hasn't lived anywhere but Repton' - relative

'People living here are part of the community' - relative

Response

Part of the process of identifying a suitable alternative home will be to ascertain its accessibility for visitors who will also be provided with advice on getting to and from the new home in the most cost-effective way. It is recognised that Adult Care will need to put in place opportunities for family and friends to visit their relatives. Use will be made of befriending services and other local social car schemes to ensure family and friends are able to visit residents in their new homes. It is considered that the pledges offer sufficient re-assurance to residents and relatives as to how the process of finding a new home will be conducted. Officers accept that there will be a particular challenge in addressing this in a rural area where public transport may be less well developed.

Capacity:

Feedback

People were worried that if the Dales were to close there would not be enough alternative places locally.

‘How many places will be available at Swadlincote for The Dales residents?’ - relative

‘If someone doesn’t have dementia will they still be eligible to move there [Oakland]?’ – relative

‘How many beds for dementia, how many others, have you got the ratio right?’ - relative

‘Have you done any analysis on present residents and where they could move to?’ - relative

Response

Officers believe that the opening of Oakland will offer sufficient capacity for all residents to move there is that is what they wish, noting that some may not choose to do so. While this may mean that the intended focus of the Oakland facility on people with dementia and complex care needs is not necessarily fully adhered to in the first instance, there is a greater over-riding concern to keep friendship groups together. This may also maintain some continuity of care (assuming a number of staff at The Dales also are able to move to the

new facility) which will be a factor in mitigating the risk to the health and well-being of residents through a substantial period of change.

Cost:

Feedback

The cost of the new build and the public/private funding was discussed, and there was a concern about the follow through of plans after demolition.

‘So what will you do with this site if you do close’ - relative

‘I am fearful that the Dales site will be left/not used then resold for private development’ - relative

‘Will there be an increase in fees to pay for the new build’ - relative

‘What guarantees are there that financial support will continue’ – relative

Response

The views expressed by relatives and residents have been carefully considered by officers. The costings associated with the entire Accommodation, Care and Support strategy were closely considered by Cabinet on February 20th 2012 who determined that the programme is affordable within the Council budget and agreed on the procurement proposals and timescale for the county as a whole, a proposal which included the redevelopment of The Dales site.

Facilities in the Accommodation, Care and Support Strategy:

Feedback

The DVD produced to provide a broad overview of the Accommodation, Care and Support strategy gave information about both Community Care Centres and Extra Care. It was generally felt that Extra Care would not be suitable for Dales residents, and again the public/private partnership arrangements were of concern.

'An apartment would not suit my mother's needs' - relative

'24/7 – how would that be staffed?' - relative

'Who will be responsible for the management of care?' – relative

'Who is the boss, who decides about increases in care needs?' - relative

'I am much happier with mum being in a council run home.' - relative

'Residents at the Dales don't want to move and be put in a flat.' - resident

'I think you are losing sight of what old people need.' - relative

Response

The views expressed by relatives and residents have been carefully considered by officers. The overall direction of the Accommodation, Care and Support Strategy will improve the quality of residential care offered by the council not just to those residents with dementia but also those with complex needs. There is continually developing expertise in the Council in developing and maintaining effective working relationships with housing providers in both existing Extra Care schemes and the recent and current tender processes that are being undertaken.

Officers will work closely with residents and family carers to ensure that choice is properly exercised as to where the current residents move to should the home close.

Staff

Feedback

Concern was expressed about the future of the staff at The Dales and people wanted some reassurance that they were being supported. Everyone spoke highly of the care and support provided at The Dales.

'Will the staff be transferred to Swadlincote?' - relative

'When will the staff know about applying for jobs?' - relative

'If they say they want to move to Swadlincote could that happen?' - relative

'What about training needs of the Dales staff?' - relative

Response

Officers recognise that the concerns expressed indicate a strong affinity between family carers and staff who are both involved in the care and support of the residents at The Dales. Should Cabinet determine that the home should close, then Human Resources will begin work with staff and trade unions representing staff on their future deployment.

Timescales

Feedback

There was some discussion about how and when the decision would be made, and some scepticism about the consultation process. People were anxious that there would be enough time to find alternative accommodation and enough help to do so.

‘How much weight will residents and relatives views for not wanting the home to close have/carry with cabinet?’ - relative

‘Hasn’t the decision already been made?’ - relative

‘What about people who can’t speak for themselves?’ - relative

‘The consultation process is causing a lot of worry, it would have helped if more information was given about how the move will be handled’ - relative

‘Will relatives be involved in the move?’ - relative

‘Will we be rushed into moving so the home can close?’ – relative

Response

The pledges cover the process of finding a new home and ensuring that this choice is based on a clear identification of the resident’s needs and wishes. Residents and relatives were re-assured in the consultation meetings that best practice indicates that a home should close within six months and that there would be no pressure exerted on residents to make hasty decisions. The best practice timescale of six months is referred to in the leaflet on the proposed closure (Appendix 5). During the consultation meetings themselves, considerable attention was paid by officers to addressing the consultation and decision-making processes and the explicit role played by individual Cabinet

members in considering the whole range of feedback garnered before making a decision.

All residents have a family carer or friend who can advocate for them if need be. Should these circumstances change or if a difference in opinion emerges between the resident and their family carer or friend, then an advocate will become involved to make sure that the resident's choice is fully considered.

Suggestions & Comments

A number of suggestions and comments were made.

- 1. It would help if the staff and residents could move 'en masse' to the new facility*

This cannot be ruled out as a possibility but it is dependent on the choices residents make as to where they wish to live and the options offered to and accepted by staff. Both these elements will become clearer in the months after the Cabinet decision. Officers accept, however that continuity of care and of friendship groups will be a major factor in minimising the impact of a move on residents' health and well-being. For this reason a guarantee has been made for all residents at The Dales to move to Oakland if they so wish.

- 2. To avoid disruption for the residents couldn't a half way measure be that beds are not filled, (used for respite) until the long stay beds are empty then it could be closed.*

Officers have considered this point but believe that this option will create significant additional costs for the Council for an unspecified period.

- 3. People value The Dales it is friendly, local and run by DCC – not for profit*

Officers welcome the positive comment around the quality of care provided by staff at The Dales.

Views of Local People

The press coverage and the web-site resulted in only one comment being received from a member of the public:

'I can't believe our luck [...] my parents are wanting to move and live closer to me, the extra care scheme is just what they need – and it's likely to be built in Repton – I can't believe it – we thinking we would have to convert our garage to accommodate my parents!'

In addition to this, the Repton Village Society made the following points in a letter:

The committee did not think that closing the home and leaving it empty whilst the residents were moved to another area would be in their best interests, as it would take them away from friends and relatives. You will recall that we raised the problem of public transport links in this area. There is no direct bus to Swadlincote, and visiting would be difficult if friends and relatives of the residents were relying on public transport.

We understand that if the closure goes ahead the residents will have moved to another home by the end of this year, and that the building will be empty for up to 3 years whilst a partner is found to build an Extra Care facility on the site. An empty building is a magnet for antisocial behaviour and will soon become an eyesore.

Officers have considered the points raised in this letter. Officers accept there will be a substantial period between the The Dales closing and work starting on the proposed Extra Care facility. Shortly after The Dales has been vacated, the current building will be demolished and the site secured until work can start on the new facility.

During the consultation with residents, family carers and friends there was much discussion about transport arrangements to enable continuity of visiting arrangements. As part of the process of choosing a new home, careful consideration will need to be made as to how accessible this is for relatives and friends. If access by public transport is not possible, and it is recognised that this will be particularly difficult in this area, then case workers will explore options for using, for example, a social car scheme to ensure that continuity of visits can be maintained.

Views of Repton Parish Council

The following is an extract from correspondence received from the Parish Council:

The proposals for state of the art accommodation are very welcome as they clearly reflect the changing needs and expectations of ageing members of the community. In particular the provision of apartments with their own front door will allow couples to continue to live together as part of a community and enjoy quality accommodation in their old age, with round the clock care when it is needed.

Oaklands Village complex in Swadlincote is an excellent development and many older local people will undoubtedly wish to avail themselves of the first class facilities that will be available there, however we do have a few concerns which we would like to air with you.

One of these is the distance of Oaklands Village from people living in Repton and neighbouring villages: it is about seven miles from Repton to Oaklands Village and there are no direct public transport links. To get there by bus involves a journey of at least twelve miles via Burton on Trent, with a change of vehicle in Burton town centre. This will make visits difficult for relatives and friends, some of whom are likely to be of advancing years, and could leave residents feeling isolated in the new facility.

Another concern is that not all residents at The Dales need or want to move to Oaklands Village, despite the better facilities and higher standard of care available there. Some resident have already voiced their objection to being relocated as they value being able to live in the midst of the community in which they have spent many years of their life. We all know that the worry and stress of relocation can have a serious adverse effect on the health and longevity of care home residents.

A third issue that we would like to address is the replacement of The Dales with new Extra Care apartments and community facilities in Repton. The timescale for this project seems quite protracted and rather vague, with no guarantee that a partner willing to part finance a scheme will be forthcoming in the suggested three years. We believe The Dales should be kept open for another couple of years or so, perhaps on a lower capacity basis, to cater for those who do not want or need to move to Oaklands Village. The building is suitable for people who suffer from only mild dementia or frailty for example; also it could continue to offer local respite care accommodation.

The Dales could be made available to a range of suitable community groups as well; mother and baby club being one that immediately springs to mind, but there are many others. This type of use would fit in with the cafe/community room idea that we heard about during the presentation and would ensure that residents did not feel separated from the rest of the village. There are already good links for the elderly with the local community, such as between local schools and The Dales and a Friday Lunch Club in Fisher Close Community Room, that we wish to maintain and build upon.

While The Dales remains open we would like to see the project for its replacement accelerated and serious consideration given to the potential use of the adjoining Fisher Close land, which is owned by South Derbyshire District Council. An excellent opportunity presents itself for the joint development of the two sites to provide both residential care and wider community facilities for local people and we would not want this to be overlooked.

In conclusion, we welcome this consultation process and the chance it gives us to put forward the views of local people. We are very receptive to the ideas you are developing for high quality care and we would like to engage in further discussions with yourselves and SDDC to overcome the expressed concerns, make the fullest possible use of existing facilities, and develop the best solutions for the care needs of ageing members of our community.

Officers have carefully considered the views of the Parish Council. Ensuring continuity of contact between residents and family carers and friends has been a notable feature throughout the consultation process and continuity of visiting patterns will be a particular focus of case workers in resettling each individual resident. The Council also fully appreciates the need to address the risks associated with a move and mitigate the impact of these. This particular issue is given great prominence within the Major Change Guidance

The option to keep the home open longer to reduce the time between its closure and work starting on the Extra Care facility has been considered by officers. There are two reasons why it is felt to be impractical for this to happen. Firstly, announcing a closure now for a future date will make the home increasingly unattractive for prospective residents who will not wish to move to a home knowing that at a further move will have to be undertaken in the relatively near future. Secondly, the majority of residents now at The Dales have dementia and this reflects increasingly the level of need of prospective residents, who are therefore likely to be more attracted to the new facilities at Oakland. Both these factors taken together would mean a lower level of occupancy at The Dales and therefore less income and higher unit costs in caring for each resident. This is not felt to be sustainable in the current financial climate.

Reduced occupancy to allow other groups to use part of the building would also deprive the Council of income without allowing it to make substantial savings in staffing and overheads and would therefore increase the unit cost of each resident placed there.

Officers are already in discussion with South Derbyshire District Council to determine what options there may be to enhance the proposed facilities further to take into account the Fisher Close land. These discussions are at a very early stage.

Officers wish for partners to have dialogue with the Parish Council as part of the broader process of community engagement around the development of Extra Care facilities in Repton to ensure that they are in accordance with local demand.

A full version of the Parish Council letter is available if Cabinet requires it.

Views of South Derbyshire District Council

The District Council endorses the principles of the Accommodation, Care and Support Strategy and wishes to play a key role alongside the Council in developing the model for Repton and is keen to see what options there may be to include land at Fisher Close within the proposed model.

The District Council wishes to see affordable housing developed within the Extra Care model and can see the value such a facility would have to the local community. It is keen to see the development kept on track to ensure the continued support of the local community.

The views of the district council as expressed in their letter are in line with those of the Council.

A full version of the District Council letter is available if Cabinet requires it.

Views of Staff Employed at The Dales – Meeting held on May 11th 2012

Although concerned about their future employment, which will be subject to separate consultation with employees if a decision is made to close the home, staff's concerns were primarily focused on the welfare of the residents.

The main issues raised by staff were whether it would be possible for residents to move as an entire group to the new specialist community care centre at Oakland; how residents would be supported through the process of change; and how much residents would be able to personalise their rooms if they did move to the new facility at Oakland.

Managers attending the meeting responded that residents will need to make individual choices as to where they moved and that Adult Care could not presume that all residents would wish to move together. Advocates will be sought for any resident who does not have a family carer or friend who can represent them but advocates would be involved if circumstances changed or if there was conflict of interest. Residents will also be encouraged to personalise their own rooms in Oakland.

Staff were also concerned at how appropriate staffing levels would be maintained at The Dales during a process of closure. Managers re-assured

staff that care will be taken wherever possible not to release staff from their current posts unless this could be done without jeopardising staffing levels.

Meeting with Age UK held on 15th June

Age UK expressed concern at the duration of the consultation and its capacity to prolong the uncertainty for residents and relatives about the future of an individual home. Age UK believed that it would be better to undertake consultation when the plans for the future of a home were further advanced as this would mean greater certainty for relatives and residents about what the options would be.

Age UK were also concerned that the process of a move may well be very distressing for residents and their relatives and that the council needed to do everything possible to minimise this. Particular concern was expressed about the potential for residents to be moved from their local communities and becoming less accessible for visitors.

Age UK was particularly keen to make sure that staff and residents understood the role advocacy can play in ensuring the views of the resident are heard.

Re-assurance was given on the Pledges that has been issued to ensure the views and wishes of residents were fully taken into account in preparing for a move. The option to call on an advocate has been fully explored during this consultation to ensure that if a resident did not have mental capacity and had no friend or relative who could represent their views then an advocate would be found. If Cabinet were to decide to close the home, then further consideration would be given to involving an advocate if the wishes of a resident were not matched by those of relatives, friends or indeed social workers.

Comments from Councillor Martin Ford

[.....] There is broad, general support for this proposal, you can also add my support. I feel now, with the imminent opening of our very impressive new centre in Swadlincote, the time is right to “Roll Out” the model of a large centre with satellite centres within a 5 mile radius, The Dales fits this category. You will also have heard concerns about overbearing, overlooking and Highways issues, these matters will be dealt with by The Planning process.

All I wish for [.....] is that the staff and residents and families of residents are consulted at every stage of the process, and that all involved are given the

utmost support and respect during what can be a very difficult time. I am also sure that the end result will be a fantastic new facility that the people of Repton will be rightly proud of that will offer excellent care and other facilities for the residents and the wider community.

Comments from District Councillor Peter Smith

I see the objective of this plan being to offer high quality accommodation where couples can stay together and receive the help and support they individually need and require. People can have their own front door and maintain a sense of independence but also have peace of mind in 24/7 care and help if needed.

Modern developments are vital to not only provide the facilities for today, but also to meet changing needs/requirements of the future. However, it's important to remember independent living is not for everyone and all must feel part of the local community and not apart from the community. Thought must be given to both internal and external communal areas and for the inclusion of community facilities to encourage others from the wider community to use and interact with residents.

Much thought and planning must take place if the decision to close The Dales is taken. Very few people like change and a change of this magnitude can be stressful. We must communicate with everyone concerned what the change and move involves (face to face if possible) and keeps all informed of what's planned and what's happening. Older people like to be with people they know and have built friendships with so where possible people should be kept together if moved so they don't become isolated and lonely among strangers.

If the above is taken into account and we approach and deal with this in a sensitive manner, I believe the benefits that the new facility would provide would be worth the short term disruption and inconvenience and will benefit the wider community of Repton.

Derbyshire County Council

Equality Impact Analysis Record Form 2011



Department	Adult Care
Service Area	
Title of policy/ practice/ service of function	Plan for accommodation, care and support for older people in Derbyshire Proposed closure of The Dales Home for Older People
Chair of Analysis Team	David Gurney, Group Manager - Performance, Adult Care

Stage 1. What is being analysed/assessed

- a. Why has the policy, practice, service or function been chosen?
- b. What if any proposals have been made to alter the policy, service or function?

This Equality Impact Analysis seeks to identify the potential impact on residents, their families and carers, older people generally and the wider community with a legitimate interest of proposals to close The Dales Home for Older People in Repton, Derbyshire.

There are concerns that the building no longer adequately meets the needs of current and prospective future residents primarily in terms of sufficient room sizes and the lack of en-suite facilities both of which are important factors in terms of providing care with dignity and respect.

It is proposed to redevelop the site currently occupied by the Home, in order to develop extra care housing within the Council's Strategy for Older Persons Accommodation, Care and Support.

The proposed extra care housing scheme would contain up to 50 units offering local people the opportunity to live independently in a setting which offers them support from staff on-site. The accommodation offered will be of a high specification so the physical environment is manageable by people with physical disabilities. This type of accommodation will be of interest to people who recognise that they have or will increasingly have support needs but who do not wish to consider residential care as an option either now or in the future. Although there are many advantages to this type of scheme, one of the most significant is that couples can live together longer with more support for the carer.

Stage 2. The team carrying out the analysis

<i>Name</i>	<i>Area of expertise/ role</i>
David Gurney	Group Manager, Performance, Adult Care
Louise Swain	Service Manager, Consultation and Engagement
John Cowings	Senior Policy Officer, Equalities
Yvonne McComish	Unit Manager, The Dales Home for Older People

Stage 3. The scope of the analysis

The analysis will examine the proposals and consider how they could affect current residents of the Home, their families and carers, older people in the area needing supported accommodation, and the wider community. It specifically seeks to identify whether any of the impacts could amount to unlawful discrimination or other form of prohibited conduct as defined by the Equality Act 2010, and to highlight any issues which the Council needs to take note of when making its final decision whether or not to proceed with the closure.

The analysis uses a range of information about the older people currently living in The Dales Home for Older People, and the views and opinions of residents, their families and carers, older people in the area and the wider community on the proposals, which have been obtained through a comprehensive consultation exercise during 2012.

It will also examine the pledges which the Council has made to support the residents affected directly by the proposals, to assess whether these will provide adequate support for residents if they are required to move to alternative accommodation.

Stage 4. Data and consultation feedback

a. Sources of data and consultation used

<i>Source</i>	<i>Reason for using</i>
Census and demographic data on area served by home	Provides information on potential demand/ users of home and future services
Joint Service Needs Assessment	Provides information on the social care and health needs of older and

Source	Reason for using
	disabled people in Derbyshire
Resident data	Make up of the residents of the home, their family and carers, including levels of need, age, disability, ethnic origin, gender, whether family support, whether have dementia, care cost information
Consultation feedback	Views and concerns of residents and their families/ family carers, partner organisations, and other stakeholders, including people in the local community
Other consultation	Feedback from local people (those not directly connected to the home)/ potential users of future services, including the third sector
Employee consultation	To obtain the views of those employees working at the Home who may be affected if the Council proceeds with its proposals

Stage 5. Analysing the impact or effects

a. What does the data tell you?

Protected Group	Findings
Age	Currently 17 people are resident at The Dales. 12 (71%) of the residents are aged between 80-90 and 3 (18%) are aged over 90 years old. Only two residents (12%) are aged between 70 and 80.

Disability	<p>All residents could be described as 'frail elderly' of whom 10 have some form of dementia. Although residents have a range of other conditions which provides them with protection under the Equality Act as a disabled person, none have a primary condition of being blind or deaf.</p> <p>Of the seventeen residents, twelve require the use of a wheelchair for all or some of the time to assist with their mobility.</p>
Gender (Sex)	There are male and female residents.
Gender reassignment	<p>Not highlighted as relevant to residents of this Home.</p> <p>One of the benefits which might arise out of the implementation of the new strategy for older persons accommodation, care and support is that the new services and accommodation could be more inclusive of older people from diverse communities, particularly as the extra care housing and the specialist community care centres will enable people to enjoy a greater level of privacy.</p>
Marriage and civil partnership	<p>None of the residents live as a couple within the Home. Two residents are living separately from their spouse or partner.</p> <p>The proposals for extra care housing would enable couples to remain together in the future, irrespective of their marital or civil partnership status.</p>
Pregnancy and maternity	Not relevant to the residents of The Dales Home for Older People.
Race	All 17 residents define themselves as being of White British ethnic origin, and no resident's first language

	<p>is a language other than English. To place this within context the population of South Derbyshire, which forms the catchment area for The Dales itself is 93.86% white (derived from Office for National Statistics 2009 data) and so the residents of the home closely reflects the local population.</p> <p>One of the benefits which might arise out of the implementation of the new strategy for older persons accommodation, care and support is the development of services which are better able to support people from BME communities to access the new Community Care centres and the planned supported housing.</p>
Religion and belief including non-belief	<p>All 17 residents have indicated that the Church of England is their chosen religious group. Currently, residents are able to access local churches and groups, and ministers currently visit residents at the home to support them. If the proposals are implemented, officers assisting residents to move to alternative accommodation will need to take into account where and how residents follow their chosen faith.</p>
Sexual orientation	<p>Sexual orientation has not been highlighted by residents, their families or carers as a relevant factor to this proposal/ for the 17 residents.</p> <p>One of the benefits arising from the new strategy for accommodation, care and support is that older people from the lesbian, gay and bisexual community would have greater privacy and be able to live with their partner, if they have one. Studies carried out by Age UK have highlighted the need for many older LGB people to receive support and to be able to participate in community life, especially if they do not have the support of their families.</p>

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Non-statutory

Socio-economic	<p>6 of the residents fund their own care costs and all residents have some form of support from within their family or circle of friends.</p> <p>The Council has included within its pledges (the help it will give to residents and their families and carers) an undertaking to consider providing additional financial assistance within reason to residents over the costs of new accommodation, care and support.</p> <p>The authority will need to make clear to residents, their families and carers, exactly what this assistance could include and whether there are any limitations such as cost and time. The availability of alternative appropriate accommodation and care and support could be, in part, determined by the willingness of the authority to 'top up' the assistance it provides.</p> <p>It is possible that some of the relatives and friends of residents will find it hard to meet the increased cost of transport, depending on their own personal financial circumstances and the degree to which the care home to which the resident moves is further away from their own home. Maintaining friendships and links with relatives may in some instances be dependent on the ability of Adult Care to assist friends and relatives to be able to continue to visit.</p>
Rural/ Geographical	<p>The Dales Home for Older People serves a potentially diverse geographical area, although all residents and their families or carers have established links to the town or nearby settlements.</p>

	<p>The Home is located in Repton and is close to the centre of the village making it accessible via public transport to relatives, carers and other potential visitors.</p> <p>Ensuring that the wishes and needs of residents, their families and carers are taken into account if the proposals go ahead is important. The authority will need to be aware of the links that residents have with the local community or any other communities, where family and other carers reside and their ability to travel to other locations, and how these links can be supported for each residents at a new location.</p> <p>Many of the residents' friends and relatives are local to Repton, which has no other care home. This will mean that for many people, there will be an increase in costs associated with visiting residents. Ensuring that current visiting patterns are maintained will be an important factor in successfully re-settling current residents by offering them continued contact with people who are important to them and will offer comfort and support at a time of major change. This may also include contact between residents and the current staff group at the Home if they were to wish to remain in contact with some residents they have known for some time.</p>
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- b. What does customer feedback, complaints or discussions with stakeholder groups tell you about the impact of the policy, practice, service or function on the protected characteristic groups?

A wide range of consultation methods have been used by the authority to record the views and opinions of people who could be affected by the proposals to close The Dales Home for Older People, including current

residents, their families and carers; potential users of these and future services provided by the authority; and other stakeholders including the wider local community and statutory and voluntary sector organisations in the Repton area or which work with older people and carers.

This included:

- Meetings with relatives and friends of residents held at The Dales Home for Older People on May 17th and May 31st 2012
- A briefing to employees working at The Dales Home for Older People on May 11th 2012 to outline the proposals and enable them to ask questions about how it would affect residents and employees and offer their comments
- The sending of formal correspondence and a copy of the 'Pledges' to current residents, their families and carers, to explain the proposals, outline the consultation process and to invite them to provide their views in a number of ways
- Meeting with Repton Parish Council on June 11th 2012 to explain the proposals and obtain its views
- Meeting with the Repton Village Society on June 18th 2012 to explain the proposals and obtain its views
- Meeting with a number of residents held at The Dales Home for Older People on June 29th 2012
- Online consultation via the Have Your Say webpages of the Council's website – this invited people to contact David Gurney, Group Manager in the Adult Care Department by telephone, email or letter to provide their views, make enquiries about the proposals etc.
- Advice to partner organisations such as the borough council, town council, GPs and other NHS organisations, and local district and County Councillors covering Repton.

A copy of the more detailed responses to each set of consultation is also attached to the Cabinet Report as appendix 1. Please consult this for a more detailed account of the feedback received.

<i>Protected Group</i>	<i>Findings</i>
Age	The proposal will impact on older people as the current Home provides accommodation for older people, including a number of people who have

	<p>dementia.</p> <p>The Council's proposals and its pledges are intended to result in improved services and accommodation for older people in the longer term and provide a high level of dignity and care for residents directly affected if the Home is closed.</p> <p>Residents, their families and others consulted have all raised concerns over the impact of moving to alternative supported accommodation will have on the 17 existing residents. In particular people are concerned that moving will cause stress and illness amongst residents, break the ties people have within the Home and with the local community, and make it difficult for families/ carers to continue to provide the support and care they do currently.</p> <p>A number of studies have been carried out into the impact of moving people from one institutional setting to another as a result of closure. The findings vary considerably in terms of the risk this may pose to individual residents' health and well-being. There can be no doubt that a poorly co-ordinated move will add to the stress on a resident. Adult Care's Major Change Guidance is designed to ensure that the assessment process is thorough, that risks are identified and limited through mitigation and that, as a result, the stresses of a move are reduced as far as is practically possible.</p> <p>Whilst people generally support the proposals to improve the quality of services for older people, not everyone believes that the closure of The Dales is necessary to achieve the aims and objectives of the strategy for accommodation, care and support. Some expressed a view that the Home could or should be modernised to avoid disruption, stress and illness to existing residents.</p> <p>Family carers and friends did not believe the new facility would benefit current residents.</p>
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	<p>There is also concern over the availability and likely costs of alternative supported accommodation and whether this will limit the choices residents and their families have. This is mitigated by the pledge stating that the council will meet within reason the additional costs through moving to a new provider.</p> <p>There is also some level of concern that residents will have to move to a Home which is not run by the authority and which cannot guarantee the same level of accountability back to the community which a council-run home provides.</p> <p>Mitigating the impact of the move will to some degree depend on the continuity that can be achieved if a number of residents chose to move to the new specialist community care centre being developed at Oakland alongside a number of staff. This cannot be guaranteed, however, as it will depend on choices made by individual residents and staff.</p>
Disability	<p>The consultation has particularly highlighted fears amongst residents and their families/ carers that moving will damage the health and wellbeing of existing residents, because of the upheaval, the impact of a physical move, and the uncertainty they have over the quality of care they will receive when they move.</p> <p>The frail nature of many of the residents and the fact that a number also have dementia means that in terms of disability, the proposals could result in a worse impact for people affected who might be deemed to be disabled as well as elderly.</p> <p>The authority will need to take the individual health and wellbeing of each resident, as well as the needs of families and carers, into account as part of its arrangements for supporting residents to move, should the proposals go ahead.</p>

	<p>The Major Change Guidance referred to in the previous section will assist in ensuring that the risks which can be associated with a move are kept to a minimum. This is based on thorough assessments, including risk to health and well-being, and ensuring that all factors are fully taken into account in the process of identifying where a resident moves to and ensuring the move itself is properly handled.</p>
Gender (Sex)	<p>No specific issues have been raised or highlighted which link directly to the gender of the residents that would be affected if the proposals go ahead.</p> <p>As most of the existing residents and employees of The Dales Home for Older People are female, there is a gender impact, but as the proposals would not affect male and female residents or employees particularly differently, providing that consideration was taken of the needs of all individuals, then this would not amount to unlawful discrimination or another form of prohibited conduct under the Equality Act 2010.</p> <p>The authority may wish to ensure that any further consultation considers whether there is any evidence of differential impact arising from the proposals specifically on grounds of gender.</p>
Gender reassignment	<p>No specific issues have been highlighted during the consultation in relation to gender re-assignment/ gender identity. There is no evidence to suggest that the proposal will result in unlawful discrimination or adverse impact on grounds of gender re-assignment/ gender identity.</p>
Marriage and civil partnership	<p>No specific issues have been highlighted in relation to marriage and civil partnership. There is no evidence to suggest that the proposals will result in unlawful discrimination or adverse impact on grounds of marriage and civil partnership.</p>

Pregnancy and maternity	No issues have been highlighted during the consultation in relation to pregnancy and maternity issues, including by residents' families or carers. There is no evidence to suggest that unlawful discrimination or adverse impact will result on grounds of pregnancy and maternity.
Race	No specific issues have been raised in relation to ethnic or racial origin, or race equality. There is no evidence to suggest that the proposals will result in unlawful discrimination or adverse impact on grounds of race or ethnicity.
Religion and belief including non-belief	<p>The consultation and data has highlighted that a number of residents have existing ties to local churches or specific faith groups. They are concerned that moving to alternative accommodation could make it difficult for them to sustain these ties.</p> <p>The authority will need to take account of individual faith commitments and links when seeking to identify suitable alternative supported housing should the proposals go ahead, as part of its pledges of support.</p>
Sexual orientation	No specific issues have been raised in relation to sexual orientation. There is no evidence that the proposals will result in unlawful discrimination or adverse impact because of sexual orientation.

Non-statutory

Socio-economic	<p>The feedback from residents and their families/ carers has highlighted concerns over the affordability of alternative supported accommodation, and a number of concerns over who would be providing the accommodation and care services.</p> <p>The 'Pledges to Residents' document states: 'We will ensure that within reason you do not incur additional costs through moving to a new provider'. The authority may need to provide more clarity about</p>
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	<p>exactly what costs would be covered, for how long and on what basis, should the proposals go ahead, so that residents, their families, carers or any advocate on their behalf has clear information about the costs of moving and how the costs of alternative accommodation would be met.</p> <p>Clarity on this at the earliest stage possible will assist residents in understanding the range of choice they have and will help focus them on viable alternatives to the current care setting.</p>
Rural/ geographical	<p>The families/ carers of residents have highlighted possible difficulties in relation to the proposals. In particular, a number have indicated that moves to alternative locations could make it difficult for them to continue visiting and providing support.</p> <p>A number of respondents have highlighted concerns over residents losing links with Repton and residents losing friendships built up whilst in The Dales if the proposals go ahead and residents are moved to other care homes. Addressing these concerns will be an important factor in planning any move of a resident to new accommodation.</p>

- c. Are there any other groups of people who may experience an adverse impact because of the proposals to change a policy or service who are not listed above?

No.

d. Gaps in data

What are your main gaps in information and understanding of the impact of your policy and services? Please indicate whether you have identified ways of filling these gaps.

Gaps in data	Action to deal with this
The early stage of these proposals means that some information, particularly in relation to how individual residents would be affected, remains presently unknown.	If the authority decides to proceed, it will need to ensure that an up-to-date needs assessment takes place for each resident and determine how these are best met, through planning with family carers, staff and the residents themselves on an individual basis. This will include being able to clarify the detailed questions and concerns residents, their families and carers etc. will no doubt have.

Stage 6. Ways of mitigating unlawful prohibited conduct or unwanted adverse impact, or to promote improved equality of opportunity or good relations

The pledges being made by the authority to residents provide the basis for the detailed support that residents will need in relation to moving, should the proposals be agreed and go ahead. Additional depth is provided to the pledges within the Major Change Guidance, which gives more detail on the processes. This will be a key document for Adult Care staff in undertaking the assessment and the moves of residents to new settings.

If these are implemented fairly and sensitively, then this will assist in mitigating against the potential for adverse impact on grounds of age and disability identified in this analysis.

Stage 7. Do stakeholders agree with your findings and proposed response?

The consultation has shown that a range of opinions and concerns exist amongst residents, their families and carers, and other stakeholders in relation to the proposals to close The Dales Home for Older People, and the need to move residents to alternative suitable alternative accommodation, if the proposals are agreed by Cabinet and go ahead.

Whilst most respondents welcome the Council's proposals for improving the quality of accommodation, care and support across Derbyshire, most of those directly affected are not in favour of The Dales Home for Older People closing unless the circumstances were such that residents moved as a group with staff to the new specialist care centre being developed in Swadlincote. Should the Council decide to proceed, however, respondents want to see a good package of support to residents in line with the pledges made.

Conclusions and recommendations

The Council's strategy for older persons' accommodation, care and support can significantly improve the quality of services and housing options for older people, resulting in a range of services that can assist in promoting equality for older people, including people with dementia.

The specific proposal to close The Dales Home for Older People will directly affect 17 current residents and their families or carers. Those directly affected if the closure goes ahead are understandably concerned over what the future could hold for them. The residents are old and frail and a number have dementia and other disabilities, which means that moving for any reason could be disruptive, stressful and affect health and wellbeing in an adverse way. People affected by the proposals clearly think very highly of the current accommodation and care they receive and would prefer not to be asked to move.

The Council's Adult Care Department has carried out a programme of detailed careful and sensitive consultation with a range of people who may be affected by the proposals, especially residents and the families of the residents of The Dales Home for Older People.

Adult Care has also agreed a package of support to try and reduce the impact of having to move to alternative accommodation by providing a statement of pledges, which begin to outline how individuals can influence the process and be supported, if they have to move. These pledges are comprehensive in their coverage of the likely issues identified at this stage and if delivered in a fair and sensitive way will certainly improve what could be a traumatic change and set of upheavals for the older people living at The Dales Home for Older People. These pledges run alongside the Major Change Guidance produced by Adult Care which, in conjunction with the pledges, sets out a comprehensive method by which the assessments will be conducted and any move successfully planned to reduce the risk to a resident's health and well-being. Should the authority decide to proceed with its proposals then Adult Care will need to implement the Major Change Guidance and these pledges, providing more information to residents and their families and carers, and involve them in decisions about the moves and how their needs will be best met in new settings.

Although the proposals could affect residents and their families or carers in an adverse way, there is no evidence which suggests that this would amount to unlawful discrimination or any other form of prohibited conduct as defined under the Equality Act 2010.

The findings of this analysis should be utilised along with the more detailed record of consultation by Elected Members required to make the decision over whether to proceed with the proposed closure of The Dales Home for Older People. In doing so it will assist the Council to demonstrate that it is meeting its public sector equality duty to have due regard for the need to advance equality of opportunity, eradicate unlawful prohibited conduct and promote good relations.

Stage 8 and 9. Action Plan for responding to findings

<i>Aim/ objective/ issue identified</i>	<i>Planned action</i>	<i>Who</i>	<i>When</i>	<i>How will this be monitored?</i>
1 – Ensure that people likely to be affected by the proposals continue to receive information and are able to influence decisions affecting them	Relay the decision on the future of the home is communicated promptly to residents and their family carers and friends	Assistant Director (Direct Care)	On the same day as Cabinet reaches its decision – estimated to be October 16 th 2012	Feedback from residents and their families/ carers
2 – Ensure that managers in the care home and appropriate fieldwork staff understand the pledges and the major change guidance.	Meet staff and ensure that the two documents are fully understood	Group Manager (Performance)	Prior to Cabinet decision, week commencing October 9 th 2012	Confirmation of date meeting held
3 – Ensure that the pledges and Major Change Guidance are followed through accurately into practice as residents are	Review documentation and case notes recorded on the Adult Care electronic social care record and through discussion with staff	1. Management Team for Fieldwork Services (South Derbyshire) 2. Service Manager and	Continued process	Through regular channels of line management up to Assistant Director level

<i>Aim/ objective/ issue identified</i>	<i>Planned action</i>	<i>Who</i>	<i>When</i>	<i>How will this be monitored?</i>
assessed and alternative provision is discussed.		Group Manager for Direct Care with line management responsibility for the Home		
4 – Ensure there is a direct point of contact within the department should a resident, family carer or friend have concerns about the process	Publish the phone number of the complaints administrator	Group Manager (Performance)	Within one week of the cabinet decision	By checking the presence on file of a letter being sent
5 – Use the experience to inform future proposals	Record the experiences of those affected by the proposals.	Service Manager for Consultation and Engagement	During the course of the proposed closure with results collated at the end of the process	Through asking residents, family carers and friends to complete a diary and submit this. Through completing

<i>Aim/ objective/ issue identified</i>	<i>Planned action</i>	<i>Who</i>	<i>When</i>	<i>How will this be monitored?</i>
				a survey of residents, family carers and friends after the home has closed
6 – Review the overall process of residents moving home to determine any lessons which need to be learnt	Monitor and evaluate how smoothly and successfully moves from the home to other providers take place.	Group Manager (Performance)	After the first review in a new placement once the Transfer to New Provision Summary and Feedback Sheet has been completed	
7 – Ensure that residents can continue to follow their chosen faith in the setting to which they move	Monitor the support plans of each resident	Management Team for Fieldwork Services (South Derbyshire)	At the point the support plan is agreed	Prior to the resident moving
7 – Send standard letter on what is meant by the Council meeting the				

<i>Aim/ objective/ issue identified</i>	<i>Planned action</i>	<i>Who</i>	<i>When</i>	<i>How will this be monitored?</i>
reasonable additional costs of a new placement	Letter sent to residents and family carers/friends	Group Manager (Performance)	Within one week of the cabinet decision	By checking the presence on file of a letter being sent
8 – Send standard letter on what is meant by the Council helping to assist with transport arrangements	Letter sent to residents and family carers/friends	Group Manager (Performance)	Within one week of the cabinet decision	By checking the presence on file of a letter being sent
9 – Address the risks to residents' health and well-being and determine through the support plan what mitigation needs to be put in place	Thorough assessments undertaken in line with the Major Change Guidance	Case Workers	Within 6 weeks of the cabinet decision	By the management team in South Derbyshire checking case files
10 – Make arrangements as soon as it is practically possible to do so for residents, family carers and friends to see the new facilities in the specialist community care centre to help inform	Arrange visit to new specialist community care centre at Oakland	Unit Manager	At the point when the new specialist community care centre is able to facilitate a tour	By the group manager for Direct Care covering the area ascertaining that such a visit has been carried out.

<i>Aim/ objective/ issue identified</i>	<i>Planned action</i>	<i>Who</i>	<i>When</i>	<i>How will this be monitored?</i>
their choices and potentially increase the likelihood of a number staying within friendship groups with some degree of continuity of care, dependent on choices staff make on their future employment				

Stage 10. Monitoring and review/ mainstreaming into business plans

Please indicate whether any of your actions/ objectives has been added to service or business plans and your arrangements for monitoring and reviewing progress/ future impact?

See earlier suggestions for action plan

Stage 11. Publishing the completed analysis

Completed analysis approved by Mary McElvaney in August 2012

Where and when published?

This analysis was published alongside a Cabinet report on the proposed closure of The Dales Home for Older People on October 16th 2012.

Version: 0.03 FOI Status: Public	Major Change and Closure Guidance	Issued: August 2012 Review Due: August 2012
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APPENDIX 6

Derbyshire County Council Adult Care Accommodation, Care and Support for Older People Major Change and Closure Guidance

Approval and Authorisation

Name	Job Title	Date
Authored by:	David Gurney and Katey Twyford	August 2012
Approved by:	Assistant Director	Month Year
Authorised by:	Policy and Procedures Group	Month Year

Change History

Version	Date	Name	Reason
V 0.03	August 12		
V 1			
V 2	Month Year		
V 3	Month Year		

This document will be reviewed on a regular basis – if you would like to make any comments, amendments, additions etc please email Dawn Nash – Procedures and Information, dawn.nash@derbyshire.gov.uk

Version: 0.03 FOI Status: Public	Major Change and Closure Guidance	Issued: August 2012 Review Due: August 2012
-------------------------------------	-----------------------------------	--

Contents

1. Introduction	64
2. Stage One: Agreeing the strategy and plan	65
2.1. The case for change	65
2.2. Consulting on the strategy or proposals	65
2.3. Criterion for agreeing change or closure	66
2.4. Preparing for the consultation	67
2.5. Undertaking the consultation	68
2.6. Analysis and submitting the proposal for consideration and approval	69
2.6.1. Gathering and analysing the information	69
2.6.2. Selecting the best format to present the proposals	69
2.6.3. Including key information in the report or presentation	69
2.6.4. Confirming the outcome of the consultation and the proposed strategy	70
2.7. Preparing for the next stage	70
3. Stage Two: Consulting on the Delivery Plans	72
3.1. Background to consultation on specific delivery plans	72
3.2. Good practice in Stage Two consultation	72
3.3. Next steps after the Stage two consultation	74
4. Stage Three: Working with individuals to manage the change or closure	75
4.1. Process of Assessment	75
4.1.1. Supporting individuals to communicate their needs and wishes ...	76
4.1.2. Consideration of risks	76
4.1.3. Multi-disciplinary contribution to the assessment	77
4.1.4. Important and useful information about an individual	77
4.2. Support planning	77
4.3. Monitoring the transition arrangements	77
4.4. Providing independent information and support	78
4.5. Resettlement	78

Version: 0.03 FOI Status: Public	Major Change and Closure Guidance	Issued: August 2012 Review Due: August 2012
-------------------------------------	-----------------------------------	--

4.5.1. Choice and control	78
4.5.2. Financial implications.....	78
4.5.3. Considering the options available.....	78
4.5.4. Making the transition.....	79
4.5.5. Reviewing the transition and new arrangements	79
4.5.6. Timescales for making the move	80
4.6. Managing any complaints	80
5. Stage four: Making the transition – the practical steps	81
5.1. Closing down a service or building –	81
5.1.1. Pre-planning: at least three months before closure	81
5.1.2. Four weeks notification of closure.....	82
5.1.3. Reminders to agencies and contractors: one week before closure..	82
5.1.4. Final task for closure: on the last day	83
5.2. Preparing to take up occupancy in a new building	83
5.2.1. Ordering furniture and equipment: four months ahead of completion	83
5.2.2. Confirm delivery dates – one month before completion.....	83
5.2.3. Initial tasks upon occupancy.....	84
5.2.4. Settling in: the first twelve months	84
Appendix 1: Pre-move checklist.....	85
Appendix 2: Process of the move	86
Appendix 3: Post move arrangements and review	87
Appendix 4: Transfer to new provision – summary and feedback sheet.....	89

Version: 0.03 FOI Status: Public	Major Change and Closure Guidance	Issued: August 2012 Review Due: August 2012
-------------------------------------	-----------------------------------	--

1. Introduction

Any potential major change, which may include closure, in the way a service is provided can be an unsettling and traumatic event for those at the heart of service currently provided.

The purpose of this guidance is to ensure that the preparation of proposals, any required consultations, decision-making processes, and subsequent implementation of changes or closures are carried out thoroughly and transparently.

Any proposals for change, consultations, decisions made, and subsequent actions will need to be carried out sensitively, and with full regard to the needs of the residents or clients.

This guidance sets out how the process should be conducted from inception of the proposal to Cabinet through to supporting individuals affected to make the change.

The guidance is set out in four sections:

Stage 1: Agreeing the strategy and plan

Stage 2: Consulting on the delivery plans

Stage 3: Working with individuals to manage the change or closure

Stage 4: Making the transition – the practical steps.

The guidance in this document is based on established and emerging best practice using information gathered from other Local Authorities, research based evidence, guidance from the Association of Directors of Adult Social Services, and the outcomes of judicial reviews and legal challenges. As such, any new change or closure being considered by the Authority will also need to be considered in the light of any recently issued best practice and guidance.

Version: 0.03 FOI Status: Public	Major Change and Closure Guidance	Issued: August 2012 Review Due: August 2012
-------------------------------------	-----------------------------------	--

2. Stage One: Agreeing the strategy and plan

The modernisation of accommodation, care and support to meet the needs of a rapidly ageing population has to respond to increasing expectations around choice and personalised outcomes.

2.1. The case for change

Reviewing services, and considering alternative proposals, should fit within a strategic framework or plan. A sound plan should:

- Serve as a framework for decisions or for securing support/approval.
- Provide a basis for more detailed planning.
- Explain the business proposal to others in order to inform, motivate & involve.
- Assist benchmarking & performance monitoring.
- Stimulate change and become building block for next plan.

It is important that the strategy or plan is backed up by a business case to support any proposals within it. As the Authority is governed by the County Council Cabinet any strategy or plan for major changes or closure will need to be approved by Cabinet.

2.2. Consulting on the strategy or proposals

In preparing the business case or report for Cabinet it is important to take into account the views of the local populations that could be affected by the proposals. Some large scale changes require statutory consultation, others do not. Specific guidance should be sought from the Authority's legal department on whether statutory consultation is required.

The Cabinet Office Code of Practice on Consultation¹ provides seven criteria that should be considered if consultation is to be carried out at this strategic level. They are:

Criterion 1 When to consult

Formal consultation should take place at a stage when there is scope to influence the policy outcome.

Criterion 2 Duration of consultation exercises

Consultations should normally last for at least 12 weeks with consideration given to longer timescales if required by the particular circumstances of the service concerned.

¹ HM Government, Cabinet Office Code of Practice on Consultation, July 2008

Criterion 3 Clarity of scope and impact

Consultation documents should be clear about the consultation process, what is being proposed, the scope to influence and the expected costs and benefits of the proposals.

Criterion 4 Accessibility of consultation exercises

Consultation exercises should be designed to be accessible to, and clearly targeted at, those people the exercise is intended to reach.

Criterion 5 The burden of consultation

Keeping the burden of consultation to a minimum is essential if consultations are to be effective and if consultees' buy-in to the process is to be obtained.

Criterion 6 Responsiveness of consultation exercises

Consultation responses should be analysed carefully and clear feedback should be provided to participants following the consultation.

Criterion 7 Capacity to consult

Officials running consultations should seek guidance in how to run an effective consultation exercise and share what they have learned from the experience.

Derbyshire County Council is keen to ensure that consultation is appropriate and meaningful. The Authority aims to optimise the way it consults by adopting a proportionate and targeted approach, so that the type and scale of engagement is proportional to the potential impacts of the proposal. The emphasis is on understanding the effects of a proposal and focussing on real engagement with key groups.

The Derbyshire County Council Adult Care Consultation and Engagement team and/or the Authority's legal section will be available to provide guidance and advice on appropriate consultation for each individual circumstance in line with the criteria and principles set out above.

2.3. Criterion for agreeing change or closure

A proposal for strategic change, which could include closure of a service, will be based upon a set of key objectives. A set of criteria should be agreed and used to analyse the relevant factors set out within the proposal or business case. These should be published within the consultation documentation.

Criterion could include such issues as:

- Changes in demand based on Joint Strategic Needs Assessment and current service provision
- Any agreed commissioning priorities
- Performance data, including service delivery and financial costs
- Condition of any buildings
- Regulatory compliance issues, including both building quality and service e.g. health and safety and Care Quality Commission
- The current circumstances of the service including location, ability to adapt within the proposed strategy, and any opportunity costs for the service, building or land
- Availability of comparable or complementary services within the locality
- Potential impact on different groups with protected characteristics as defined by the 2010 Equality Act.

The criteria selected for consultation should be based on the specific requirements of any proposed strategy.

2.4. Preparing for the consultation

In order to undertake an effective consultation the following checklist should be used:

	Task	<input checked="" type="checkbox"/>
1.	Gain cabinet approval, if required, to go out to consultation by setting out for them the subject of consultation, the proposed methodology and the proposed target group(s)	
2.	Identify the criteria to be used during the consultation	
3.	Prepare the consultation document – make it useful and accessible. It should include:	
3.1.	Introduction – does it recap the situation; does it set out what is non-negotiable; does it give feedback on what people have said previously?	
3.2.	Outline of the proposal and elements within it	
3.3.	Description of the benefits of the proposal and planned services or facilities	
3.4.	Description of the rationale for the changes eg demographic changes, available funding etc	
3.5.	Description of any background analysis that will need to be done, and set out the criteria that will be used to inform any specific proposals within the strategy; and where there are a	

Version: 0.03 FOI Status: Public	Major Change and Closure Guidance	Issued: August 2012 Review Due: August 2012
-------------------------------------	-----------------------------------	--

	Task	<input checked="" type="checkbox"/>
3.6.	number of options for consideration be clear what the preferred option(s) is / are	
3.7.	How individuals or groups can have their say, any support that may be available to help them have their say, and how long the consultation period will last	
3.8.	Description of what options might be available to individuals who currently use services or facilities that might be affected	
3.9.	Description of what will happen once the consultation period has closed	
3.10.	Confirmation of how individuals can contact the organisation / submit their views and confirm any confidentiality issues	
4.	How individuals can obtain any supporting documents	
4.	Review whether the documentation is transparent	
5.	Agree what formats the consultation documentation should be available in; digital, hard copy, large print, other languages etc	
6.	Set out the dates for the consultation, and who will lead / support in the consultation itself	
7.	Set out the recording and reporting procedures to be used	
8.	Set out the timescale for analysing the feedback from the consultation	
9.	Set out the timescale for reporting the outcome of the consultation to the appropriate decision making group (including Cabinet where necessary)	
10.	Discuss the consultation plan and any likely risks or issues with the Authority's public relations team.	

2.5. Undertaking the consultation

Once the preparations have been made, the consultation should be undertaken over the required period. It will be important to ensure:

- Consultation should be undertaken simultaneously in all services affected
- An equality impact assessment should be undertaken at the same time as the consultation

- All staff involved in facilitating the consultation are briefed in advance
- There is ongoing support for those undertaking the consultation
- Appropriate support is provided for anyone who has identified communication needs
- There is a central co-ordinating role to ensure consistency where the consultation involves multiple groups, services or facilities
- Records of meetings and consultation events are recorded and stored in a timely manner (guidance on standards for meeting are available on the Authority's intranet site).

2.6. Analysis and submitting the proposal for consideration and approval

2.6.1. Gathering and analysing the information

Supporting information should be gathered in parallel with the consultation being undertaken, so that the analysis can take into account:

- Qualitative and quantitative data regarding the relevant criteria as set out in section 2.3 above.
- Feedback provided by all groups and individuals as part of the consultation.

Involvement of partner organisations will be required at this stage, where appropriate, to help complete the analysis and formulate any revisions to the proposed strategy or plans.

2.6.2. Selecting the best format to present the proposals

The outcome of the consultation and the resulting proposal should be set out in a format that can be used to inform and seek approval from Cabinet.

In addition to this, other means of presenting the proposals may be required to inform a wider audience of the outcome of consultation. These could include

- An information sheet such as the Adult Care 'Perspectives'
- A powerpoint presentation / DVD.

2.6.3. Including key information in the report or presentation

The format of the report should be appropriate to the intended audience, but should include some or all of the following:

Version: 0.03 FOI Status: Public	Major Change and Closure Guidance	Issued: August 2012 Review Due: August 2012
-------------------------------------	-----------------------------------	--

- The background and reason for the proposed strategy or plan (eg financial effectiveness of the service, service no longer appearing to meet required standards, changes in demand for the service etc)
- The criteria used to develop the proposal
- The methods used to analyse the information
- The process used to consult on the criteria
- Any changes to the criteria that need to be considered as a result of consultation
- The main points arising from any options considered (any detail should be included as appendices)
- The outcome of any option appraisal
- The preferred option and the reason for it being the preferred option
- Any financial, human resource, legal, equal opportunities and other consideration (which could include prevention of crime and disorder, environmental, health and transport considerations)
- Any specific officer recommendations for approval.

2.6.4. Confirming the outcome of the consultation and the proposed strategy

There may be a range of outcomes once Cabinet has considered the report, including:

- The officer recommendations are not approved, and an alternative proposal or strategy may need to be developed and consulted upon
- The officer recommendations are approved with conditions, and the proposal or strategy may need to be revised (with or without further approvals required)
- The officer recommendations are approved without conditions, and more detailed planning will start.

In all cases it will be necessary to feedback the outcome to all relevant parties, with information on what will happen next and when. The level and method of communication should be appropriate to the target audience, and should form part of a project or service communication plan. Close working with the Authority's public relations team will be essential at this stage.

2.7. Preparing for the next stage

At the conclusion of Stage 1 if approval has been given for the

Version: 0.03 FOI Status: Public	Major Change and Closure Guidance	Issued: August 2012 Review Due: August 2012
-------------------------------------	-----------------------------------	--

proposals to be implemented there will be detailed planning work to set out a delivery plan for the approved strategy. The delivery or implementation plan will require an appropriate level of governance and programme or project management supported by necessary specialists across the Authority. Consideration should be given on how best to include current service users or other potential stakeholders in taking forward the implementation plan. The Adult Care Consultation and Engagement team will be able to support in identifying and initiating contact with potential community reference group members.

The delivery plan will include proposals for managing the change of individual services or facilities. The delivery plan will include contingencies or alternatives should it not be possible to proceed with any one specific element of the proposals.

Where individuals or groups are going to be directly affected by the specific delivery plans it will be necessary to consult on those plans.

3. Stage Two: Consulting on the Delivery Plans

3.1. Background to consultation on specific delivery plans

Consultation will be required on a specific proposal for change of service or service closure. It is important to differentiate between consultation about the proposed closure (with residents, families and other key stakeholders) and subsequent consultation with staff once a decision to change or close a specific service has been made. Stage Two consultation on the delivery plans is aimed at the former. Consultation with staff about their employment will only start once Cabinet has made its decision on the future of the service in which they work. This consultation will take place in line with human resource policies agreed with trade unions. Stage Two consultations should be carried out as and when required to ensure people are given timely information, at a point when a decision on the future of their individual service is business critical, so that they can contribute fully to the process.

3.2. Good practice in Stage Two consultation

This round of consultation will provide information about the implications of the previously approved strategy, the likely timescales, options and choices, and any special considerations that should be applied to their specific service that might prevent their establishment being taken forward as proposed. As well as providing information, the consultation must seek to gather the views of all with a legitimate interest who wish to participate in the consultation. An equality impact assessment should be conducted in parallel with the consultation.

Good practice guidelines set out in the Stage One section on consultation should be adhered to. The following checklist should be used to prepare and undertake the consultation on delivery plans:

	Task	<input checked="" type="checkbox"/>
1.	The consultation and equality impact assessment teams are in place (consider any need for independence from either the current service or the proposed changes).	
2.	The consultation timetable is agreed.	
3.	Public Relations are advised of the consultation proposals and timetable.	

Version: 0.03 FOI Status: Public	Major Change and Closure Guidance	Issued: August 2012 Review Due: August 2012
-------------------------------------	-----------------------------------	--

	Task	<input checked="" type="checkbox"/>
4.	Supporting materials are in place, including:	
4.1.	Key messages from Stage One consultation	
4.2.	Background analysis on the circumstances surrounding the particular establishment affected	
4.3.	An outline of any options that can be considered / or any items that are non-negotiable	
4.4.	Any list of pledges that may be relevant to the service or people affected	
4.5.	Any press releases that may support the consultation process	
5.	Advocacy eg Independent Mental Capacity Advocate is available if needed.	
6.	The consultation team and those facilitating the consultation are briefed and the consultation plan agreed.	
7.	Those directly affected by the proposal are notified of the consultation process:	
7.1.	<ul style="list-style-type: none"> Those receiving the service Family carers, advocates and any close friends acting in effect as next of kin 	
7.2.	<ul style="list-style-type: none"> Staff are notified that the process will begin and their role within it 	
8.	Consultation start and finish dates are adhered to but with flexibility to extend the finish date in exceptional circumstances	
9.	The views and comments of all stakeholders are captured and recorded. Stakeholders are encouraged to express their views in a manner that suits them which may include some or all of the following:	
9.1.	<ul style="list-style-type: none"> Digital or hardcopy questionnaires 	
9.2.	<ul style="list-style-type: none"> Group meetings or one to one conversations *Note1 	
9.3.	<ul style="list-style-type: none"> Web-based comments 	
9.4.	<ul style="list-style-type: none"> Letters and emails 	
9.5.	<ul style="list-style-type: none"> Telephone enquiries. 	
10.	A communication plan is in place to ensure that the broader range of agencies and voluntary sector groups with a legitimate interest in the future of the particular service are contacted and asked to contribute their views	

Version: 0.03 FOI Status: Public	Major Change and Closure Guidance	Issued: August 2012 Review Due: August 2012
-------------------------------------	-----------------------------------	--

	Task	<input checked="" type="checkbox"/>
11.	Clear lines of accountability are in place in Adult Care to respond to ad-hoc queries from interested parties and the press, and to disseminate the outcome of any considerations, approvals, or agreed actions.	
12.	Time and resources are allocated to analyse the information and write the consultation outcome report including the conclusions of the consultation and the draft recommendations on the future of the service or establishment.	
13.	The report and officer recommendations are prepared and submitted to appropriate approval processes, including Cabinet where required.	
14.	A briefing session is held with managers as soon as possible after the approval process has completed to provide them with information about any decisions made, the implications of any outcome to the report and our next steps, enabling them to manage communication with staff and residents/clients to ensure the right messages are being received.	

*Note 1: it is recommended that:

- A minimum of two group meetings will take place within each affected service. The first meeting should take place in day-time and the second meeting should take place in the evening. The two meetings should take place no less than two weeks apart. These steps will ensure relatives and residents/clients have an option of when to attend to suit them.
- A lead officer from the consultation team should attend each meeting plus the service's manager or deputy manager.
- A stakeholder event for agencies and voluntary sector groups with a legitimate interest in the proposal should be organised approximately half way through the consultation process and will involve those stakeholders identified within the communication plan.

3.3. Next steps after the Stage two consultation

If, as a result of the approval process, it is decided that a major change or closure will go ahead, then time and energy must centre on how the needs of residents/service users are to be best met during a period of transition to assist them in making the right choices for their future.

Underpinning this will be the set of pledges, tailored to the service and target group of individuals involved, set out in the consultation process detailing how the Authority would address the concerns of residents/clients.

4. Stage Three: Working with individuals to manage the change or closure

When a decision has been made to change or close a service currently being provided to individuals, the Authority has a duty to assess the needs of **all** residents / clients irrespective of the individual arrangements for paying for their care.

This section sets out the process by which fieldwork service case workers and direct care staff will support individuals to manage the change or closure. A basic principle running throughout the process is that relevant agencies should work together in the best interests of the residents.

4.1. Process of Assessment

Fieldwork services case workers need to undertake individual assessments of the residents/clients, using the standard documentation on the Electronic Social Care Record, taking into account all appropriate elements of the pledges and ensuring these are covered within the documentation. The process will include family carers, advocates (where required), staff at the home/unit and relevant health care professionals to ensure that the fullest picture possible is gained of needs, wants and aspirations of the individual resident/client. Ensuring the health and wellbeing of all individuals throughout this very significant change will be of central importance.

An assessment must be carried out by a fieldwork services case worker with an individual resident/client within an appropriate timescale relevant to the timescales for decommissioning of the service. The assessment should be carried out no sooner than 5 months before they would be resettled and allow plenty of time once the assessment has been completed to allow that information to be used to identify options and choices for the individual. Given that in any care setting, friendship groups will have been formed, it is important that close consideration is given as to how these can be maintained, either by friends moving together if they so wish or by making arrangements for continued contact to be made through, for example, visits. These friendships may in some instances be as important, or indeed more important, than the relationships individuals have with people visiting them.

4.1.1. Supporting individuals to communicate their needs and wishes

Any specific communication needs of individuals will be addressed to ensure they play the fullest possible part in setting out their needs, wishes and aspirations and how these are best met.

The provisions of relevant legislation such as the Mental Capacity Act 2005 and the Mental Health Act 1983 will be considered wherever appropriate and where required a referral made to the IMCA service requesting support for the individual resident/client.

4.1.2. Consideration of risks

Particular attention in the assessment and the subsequent recording must be paid to the risks involved in a resident /client moving from their current setting. As with any major change in the circumstances of an individual, significant life changes (of which moving home/day-care setting is one) can be traumatic and in extreme cases life threatening, and this may be exacerbated if the resident/service user has had to deal with other major changes in their lives. Risk cannot necessarily be eliminated but good planning will help to mitigate the impact of risk.

Some individuals are more susceptible to the impact of relocation than others. They are likely to be more affected by any life event. Characteristics which identify people likely to encounter the greatest difficulty include:

- Evidence of previous breakdown in response to stress
- Age, with very advanced age making it more difficult to adapt
- Gender – men by and large adapt less well to change and stress than women
- The presence of pathological impairments which may produce physical impairments, reduced mobility or urinary incontinence and/or make it more difficult to understand the environment (e.g. reduced eyesight, reduced hearing or deafness or other loss of sensory facility)
- The presence of depression, anxiety or a demonstrated vulnerability to such symptomology is likely to be exacerbated by any move
- The presence of cognitive impairments, such as impairment of the facility to understand, comprehend, remember and reason with the information that a move is to be made makes the individual particularly vulnerable. No matter how much effort is put into explaining the situation and to help them come to terms with it, all

that work may be lost because of the failure to register and remember. In addition to this, fragments of an understanding and the anxieties associated with that understanding or half understanding may come back repeatedly to haunt the individual. Combinations of these vulnerability factors increase the risk of adverse reactions to the relocation stress and their presence should be noted.

4.1.3. Multi-disciplinary contribution to the assessment

As part of the assessment process, the fieldwork services case workers must obtain the views of the GP or consultant in writing as to what risks there may be in a resident/client moving, whether these can be mitigated and if so what needs to be done to achieve this. This could involve medical supervision during the transfer process.

Contributions from other members of multi-disciplinary teams should be sought as appropriate to the individual.

4.1.4. Important and useful information about an individual

All residents/clients should be offered the opportunity to complete a Life Book and Move Book. The content of the former will be determined by the individuals though the suggested framework is likely to cover such areas as personal history, likes and dislikes, relationships, education, memories and interests. It could also include photographs (past or present). The contents of the latter will focus on what important factors need to be taken into account in the move itself.

4.2. Support planning

A new and detailed Support Plan will be produced in conjunction with residents/clients. This document will provide clear statements of future care needs and of the preferred way this care should be provided in the new care setting. It will specify in detail the ways the resident/client's care and support should be provided so as to ensure that their personal dignity, independence, abilities and control over services is maximised.

4.3. Monitoring the transition arrangements

Internal monitoring processes, overseen by a member of the senior management team, need to be in place to ensure that progress is being made at an appropriate rate on the assessment and future support planning for all residents/clients. It is important that residents do not feel rushed into making a decision.

4.4. Providing independent information and support

Residents/clients and families/carers will have access to an independent information, support and advocacy service. The advocacy service is primarily aimed at those people who lack capacity or have communication difficulties and do not have other support available or where there is conflict between the views of the resident/client and others involved in the process.

4.5. Resettlement

The identification of the appropriate resource to meet the needs and preferences of individuals will be based on the assessment and the resulting support plan agreed.

4.5.1. Choice and control

It will be important for people to feel that they are given the maximum amount of control over their future care provision. This will be enhanced by them being able to consider all available options, and to make an active positive choice about which provision they prefer. They will be facilitated to visit alternative provisions that appear to be able to meet their support needs and for which they appear to meet any admission criteria. Fieldwork services case workers will provide details to individuals of the current potential resources that are available. The Choice Directive is applicable at all times in the selection of a new home.

4.5.2. Financial implications

The financial implications to the individual of the various options they are considering will be carefully explored with them in order to assist them to make the best decision for themselves. For many clients this will involve the use of a personal budget if they are living independently. If they are in a residential home this will cover primarily the costs of a new potential placement and how any difference in cost between current and future fee levels are met.

4.5.3. Considering the options available

Fieldwork services case workers will be updated about vacancies across a range of services by Brokers on a regular basis so that as vacancies occur residents can be informed of potential opportunities for moving.

Care Qualities Commission inspection (CQC) care home reports will be made available to assist individuals to make a comparative judgement on the quality of homes.

4.5.4. Making the transition

In order to facilitate the smoothest possible transition from the present home to the new care setting, a number of checklists have been drawn up to provide guidance on issues that need to be covered. The checklists cover the areas of:

- Pre move arrangements (Appendix 1)
- The process of the move (Appendix 2)
- Post move arrangements and review (Appendix 3)
- Transfer to New Provision Summary and Feedback Sheet (Appendix 4)

The day of the move will be a particularly significant event in the life of an individual. No matter how much planning goes into this to make it as positive and supportive as possible, some factors cannot be accurately foreseen. These include the health of the resident, the weather and the last-minute unavailability of key staff in the actual move. However advanced the plans may be, it may be necessary for the move date to be re-scheduled rather than to keep to a date despite changing or unforeseen circumstances. This should be kept under close review by the fieldwork services case workers, care staff and relatives/advocates.

The pre-move checklist and process of move checklist (appendices 1 and 2) are designed to ensure that all aspects of the move have been considered in advance and that all arrangements have been made for a smooth transition, ensuring that the resident/client moves to a new setting with the maximum possible continuity of care to meet their health and social care needs.

4.5.5. Reviewing the transition and new arrangements

A review of the new arrangements for each individual will be co-ordinated by the Fieldwork services case workers 28 days after the move. An earlier review can be arranged if required at the request of any party. The Fieldwork services case workers will arrange for notes and outcomes of the review to be provided to all those in attendance and to those who it is agreed should also receive them. The review will consider all aspects of the new support package.

Particular attention needs to be paid in the review to the health and

well-being of the resident in the light of the risks identified in the assessment and how effective the mitigation has been. The review must also consider whether fresh risks have been identified now the move has taken place and how these can be addressed through mitigation.

After the first review the fieldwork services case workers must complete on the Electronic Social Care Record the Transfer to New Provision Summary and Feedback Sheet, available as Appendix 4. These will be read by the senior manager involved in the re-settlement process for that particular care setting to address any lessons that need to be learnt for the current process of re-settlement and any future similar events.

Further reviews need to be carried out on a minimum of an annual basis once all parties have agreed that the placement is settled. Up to that point reviews need to be carried out at a frequency which enables all parties to discuss and resolve how best to ensure the resident/client becomes settled in their new setting. If this proves to be unachievable, a fresh assessment will be required to consider other options which need to be explored.

4.5.6. Timescales for making the move

Research undertaken by the University of Birmingham summarises the recommendation by individuals and relatives about closure timescales for care homes. The key recommendation made is that notice of closure (or departure date) should be flexible and sufficient to allow time for alternatives to be properly explored and choices considered. Some establishments have waiting lists and these must be taken into account. At least two months is recommended, more in areas where there is limited supply. A specific day should not be named.

In order to ensure that sufficient time is available for assessments and resettlement plans with all individuals at a home, it is anticipated that the assessments and resettlement process will take about 6 months to complete.

4.6. Managing any complaints

A fast track complaints process will be in place so that if any party is concerned about any aspect of the process, then they can draw this promptly to the attention of the Adult Care complaints manager

5. Stage four: Making the transition – the practical steps

If the building is to be replaced and there is a particular item that service users and staff would like to be put in the building, ensure the new build design team knows this at an early stage. Examples of things that can be incorporated into the scheme are stained glass, a fire surround.

5.1. Closing down a service or building –

The closure tasks will be phased over a period of approximately three months:

5.1.1. Pre-planning: at least three months before closure

At least three months before closure it will be necessary to prepare for the move ahead. At this stage it is important to think about what, if anything, will need to move into any new build, or will need to be taken by current service users / residents to their new facility or home. The following checklist can be used:

Task	<input checked="" type="checkbox"/>
Start to clear out all unwanted items, furniture and rubbish.	
Check existing inventory for accuracy, have items to be disposed of written off. This inventory must be retained, and must be accurate for audit purposes.	
Speak to Business Services Finance to check how long financial documents should be retained and where they are to be stored.	
Ask for confidential waste to be removed when required.	
Arrange with Business Services Finance a date when all financial systems can be checked and closed	
Advertise a list of items available for re-use, first to local Adult Care establishments, then to all Adult Care establishments. Ensure they know they will have to make arrangements for collection. If there are still items available advertise to other departments.	
REMEMBER chairs, settees, beds and mattresses that do not meet FIRE STANDARD IGNITION SOURCE 5 must be put in a skip and disposed of.	
Label items with the name of the establishment it is to go to and keep a list where everything has gone.	

Version: 0.03 FOI Status: Public	Major Change and Closure Guidance	Issued: August 2012 Review Due: August 2012
-------------------------------------	-----------------------------------	--

REMEMBER a skip must be 10 meters away from the building and if it is to stay on the grounds over night should have a lockable lid. If rubbish is to be collected it should not be piled up next to a building.	
Label all keys to building.	

5.1.2. Four weeks notification of closure

The following tasks include the formal notifications that will be required to ensure that a building can be closed down and will not be liable for any ongoing amenity bills etc.

The following list is not comprehensive and each establishment should ensure it has notified any other organisations or sections relevant to their establishment or service.

Task – The following organisations have been notified in writing:	<input checked="" type="checkbox"/>
District Council for Business/Council Tax.	
Utilities for gas, electric and water (with a copy to County Procurement Section to ensure the establishment is taken off any contract lists).	
Insurance Section,	
Post Office, with provision of a forwarding address for mail.	
The Adult Care General Office with provision of a forwarding address for mail.	
Transformation Section for telephones, MDF and computer equipment. BT for final telephone bill.	
Waste Companies, sanitary bin suppliers, food suppliers, papers, linen hire, call system, wander guard, burglar alarm.	

5.1.3. Reminders to agencies and contractors: one week before closure

As the date of closure approaches it is important to ensure that the final practical and safety arrangements are in place. These will include, but may not be limited to:

Task	<input checked="" type="checkbox"/>
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Version: 0.03 FOI Status: Public	Major Change and Closure Guidance	Issued: August 2012 Review Due: August 2012
-------------------------------------	-----------------------------------	--

Task	<input checked="" type="checkbox"/>
Inform Property Services to collect fire-fighting equipment, turn off gas, electric and water. Drain down the heating system. Board up windows and doors if required.	
Inform the Police and ask them to keep an eye on the property.	
If the property is to be sold, when the building is completely empty all the keys are to be given to the Estates Department. Fixed items must not be removed without prior consent.	
If the building is to be demolished fixed items are not to be removed unless permission has been given before the demolition contract is awarded.	

5.1.4. Final task for closure: on the last day

Task	<input checked="" type="checkbox"/>
Take meter readings and keep a record of them	

5.2. Preparing to take up occupancy in a new building

As with closure of a facility, preparation for opening a new facility will need to be planned ahead and phased. Colleagues from property services or any relevant project teams will be able to assist the new manager in this process.

5.2.1. Ordering furniture and equipment: four months ahead of completion

Task	<input checked="" type="checkbox"/>
Give Manufacturers estimated delivery dates	
Arrange for quotation for the supply and fitting of curtains and bed throws.	
Arrange with builder when curtain contractors can take an accurate measurement.	

5.2.2. Confirm delivery dates – one month before completion

Task	<input checked="" type="checkbox"/>
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Version: 0.03 FOI Status: Public	Major Change and Closure Guidance	Issued: August 2012 Review Due: August 2012
-------------------------------------	-----------------------------------	--

Confirm delivery dates with builders and manufacturers.	
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5.2.3. Initial tasks upon occupancy

The manager of the new facility will need to:

Task	<input checked="" type="checkbox"/>
Complete fire risk assessment. This will need to be reviewed when the building is occupied and as and when required.	
Prepare Fire Evacuation procedures.	
Prepare booking in and out procedure for tracking fob / pagers.	
Accept delivery of remaining furniture and equipment	
Arrange for Commissioning/demonstration/instruction of equipment such as baths, cooking equipment, call system, fire alarm, heating controls.	
Ensure all operating manuals and certificates are handed over to the manager.	

5.2.4. Settling in: the first twelve months

Task:	<input checked="" type="checkbox"/>
Ensure staff are aware of who to contact about any defects in the fabric of the building, fire alarm and electrics (The builder for the first 12 months).	
Ensure staff are aware of who to contact about any defects in the cooking equipment, dishwasher, laundry equipment and baths. (The manufacturer for the first 12 months or until extended guarantee expires).	
Ensure staff are aware of who to contact about any defects in any installed telecare or nurse call system (contact the supplier)	

Please note: If Property Services are called to repair equipment in the first twelve months the guarantee is invalid.

Version: 0.03 FOI Status: Public	Major Change and Closure Guidance	Issued: August 2012 Review Due: August 2012
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Appendix 1: Pre-move checklist

Task	Person responsible
Are all relevant assessments up-to-date, detailed and available?	Case worker
Has the new Support Plan been completed and made available?	Case worker
Have the new Personal Support Plan, Life Book and Moving Book been completed and made available?	Unit manager
Is there a contingency plan for what happens if the person is not fit to move on the day?	Case worker
Have arrangements been made for a settling in period in the receiving care setting?	Case worker
Has there been discussion with the manager in the receiving care setting who will be responsible for the resident/client?	Case worker
Does the resident/client and their relatives or carers know who this will be?	Case worker
Have arrangements been made for staff in the receiving care setting to get to know the resident/client prior to transfer?	Unit manager
Are the staff of the receiving care setting familiar with the resident/client's personal support plan, including issues such as how to handle distress?	Case worker
Have the staff of the receiving care setting been involved in drawing up the transfer plan?	Case worker
Has medical cover been discussed and arranged – in particular what arrangements are in place for transfer to another GP where this is necessary? Also has access to District Nursing support been confirmed where required?	Case worker
Has an adequate (at least two weeks) supply of medication, dressings, and equipment been ordered to cover the post transfer period?	Unit manager
Has the local pharmacy been informed about any special needs?	Unit manager
Have the assessed needs and the support plan been reviewed in the 3 to 4 weeks before the planned transfer?	Case worker
Has it been decided who will be travelling with the resident/client during the transfer?	Case worker
Has transport been arranged taking account of how many people will be travelling with the resident/client and who they will be?	Unit manager
Have arrangements been made in the new setting	Case worker

Version: 0.03 FOI Status: Public	Major Change and Closure Guidance	Issued: August 2012 Review Due: August 2012
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Task	Person responsible
for relatives and carers or friends to be able to contact or visit the resident/client?	
Does this allow for continuation of previous visiting patterns?	Case worker
Has the resident/client had the opportunity to say goodbye to friends and staff?	Unit Manager
Has it been agreed what the individual is taking with them? This will include the personal possessions they have in their room. It may also include a particular item such as a picture or ornament which belongs to the home.	Unit Manager

Appendix 2: Process of the move

Task	Person Responsible
Is all the following documentation completed, dated and ready to travel with the resident/client? <ul style="list-style-type: none"> • Moving Book • Life Book • Personal Service Plan • Manual Handling Plan • Medication Assessment Record Sheet • Key contacts for family, friends and Adult Care staff • Details of when the most recent medical examination took place. 	Unit Manager
Has the Assessment documentation been shared with special note made of any significant risk factors identified and an agreed plan of action if intervention is required?	Case worker
Are the identified equipment, aids and supplies, either ready for travel with the service user or in place in the receiving setting?	Unit Manager
Have arrangements for packing and transporting the resident/client's possessions been made which include: <ul style="list-style-type: none"> • identifying the items to travel with them and those to arrive in advance? • packing personal possessions in a suitcase or suitable travel bag (not in a plastic bag)? 	Unit Manager

Version: 0.03 FOI Status: Public	Major Change and Closure Guidance	Issued: August 2012 Review Due: August 2012
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Task	Person Responsible
Have travel arrangements been made which include: <ul style="list-style-type: none"> • who is to travel with the resident/client (eg, key worker, relative or carer, or a combination)? • the date and time of day travel is to take place, avoiding times that would disrupt routine? 	Unit Manager
Have arrangements been made for the resident/client to be received in the new setting which include: <ul style="list-style-type: none"> • confirmation, in advance, by staff in the receiving care setting that the new setting is fully prepared? • identification of the manager on duty in the new setting to receive them? • <i>whether the resident/client and their relatives or carers accompanying them are to receive a meal or snack and drink on arrival?</i> • the receiving staff knowing what is likely to be the resident/client's greatest concern - for example where their personal possessions are? • informing relatives and carers or friends of their safe arrival? 	Unit Manager

Appendix 3: Post move arrangements and review

Task	Person Responsible
Have the following contact details been provided to the receiving home? <p>Originating home Health contacts, particularly the GP / District Nurse / CPN with responsibility for the service user at the new home Fieldwork services case workers Partner /family / next of kin Contact details of residents/clients of the previous setting that the person wishes to continue have contact with.</p>	Unit Manager
Have arrangements been made for a follow up visit by the Fieldwork services case worker?	Case worker

Version: 0.03 FOI Status: Public	Major Change and Closure Guidance	Issued: August 2012 Review Due: August 2012
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Task	Person Responsible
Has a provisional date for the 28 day review been set? Are all potential attendees aware of this date?	Case worker
Are arrangements clear for any agreed visit from staff of the previous setting – date / time, for how long?	Unit Manager
Has the Transfer to New Provision Summary and Feedback Sheet been completed and passed to the Group Manager (Performance)?	Case worker
Has the 28 day review been held?	Case worker
Was it on schedule? If not, why not?	Case worker
Has the support plan been revised if necessary to address any identified risks and issues?	Case worker

Appendix 4: Transfer to new provision – summary and feedback sheet

This feedback sheet is designed to collect information about the experience of each of the moves arranged. This information will be used to inform the way other moves are arranged.

NAME OF SERVICE USER:

Summary of move:

Aspects of the move that went well:

Aspects of the move that did not go well:

Any general comments or observations:

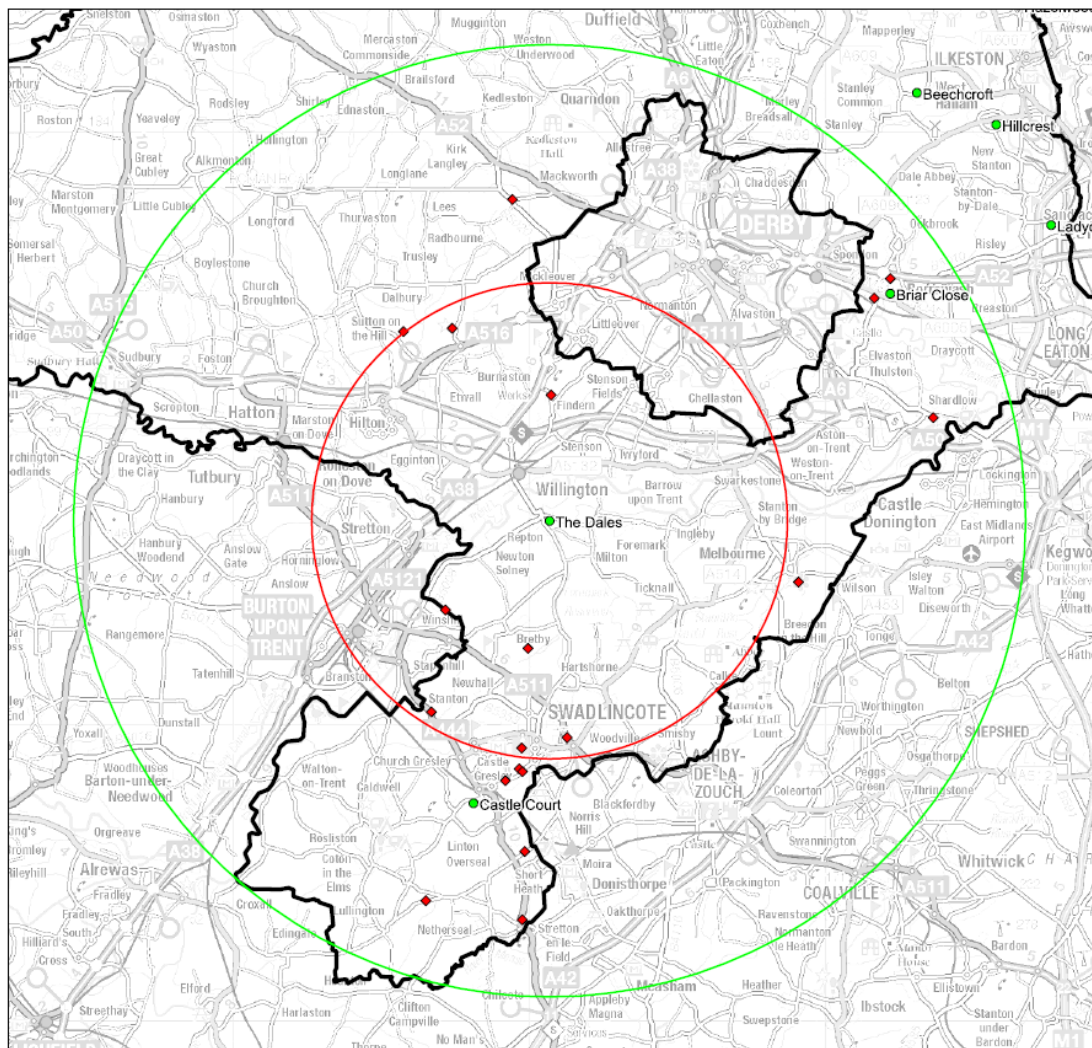
Fieldwork services case workers:

Date of move:

Date sheet completed:

The Dales

Care homes within five and ten mile radii



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Chief Executive's Office
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- LA care homes
- ◆ Independent sector care homes
- Five mile radius
- Ten mile radius