

**Agenda Item No: 7d**

**DERBYSHIRE COUNTY COUNCIL**

**CABINET**

**4 NOVEMBER 2014**

**REPORT OF THE ACTING STRATEGIC DIRECTOR – ADULT CARE**

**RESPONSES TO THE CONSULTATION ON PROPOSED CLOSURE OF  
SOUTHLANDS HOME FOR OLDER PEOPLE**

**ADULT CARE**

**1. Purpose of the Report**

To inform Cabinet of the responses to the consultation on the proposed closure of Southlands Home for Older People in Long Eaton.

To inform Cabinet of the Equality Impact Analysis carried out in respect of the proposal.

To seek the approval of Cabinet to

- consult with residents and their carers on how individual resident's needs can be best met in alternative accommodation
- consult with staff on future employment opportunities as a result of the proposed closure
- proceed with the closure of the home, to allow the site to be sold and the proceeds from the sale to be used to offset the costs of the Accommodation, Care and Support Strategy.

**2. Information and Analysis**

A report was presented to Cabinet on 20 February 2012 which set out a 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 then £200m investment in specialist community care centres and extra care schemes. One of the key features of the plan involved 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.

One of the schemes which is now being built is an extra care development including a 16 bedded residential unit and day service. Lacemaker Court in Long Eaton is due to be opened in mid-2015. The report presented to Cabinet on 20 February 2012 also proposed Southlands Home for Older People as a service which would be considered in the first phase of closures alongside a number of developments.

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 only after a detailed consultation process and the completion of an Equality Impact Analysis.

Southlands Home for Older People in Long Eaton is a former private residence built in 1886. It was donated to the Council by its previous owners. It is listed as a Building of Local Interest by Erewash Borough Council. Work has continued over the years to develop the building to provide accommodation for up to 23 residents. At the point consultation started the home had 20 residents, 19 long-term and one short-term.

Consultation on the proposed closure of Southlands Home for Older People ran for a 12 week period between June 2 and August 24 2014. Detailed consultation has taken place with the residents of Southlands 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 feedback from the consultation process can best be summarised as follows:

- Staff, some residents, family carers and friends broadly accept that Southlands Home for Older People is not conducive to providing a high quality physical environment as it is not purpose-built. Residents and their carers felt that the support they receive from staff, however, is excellent and that they would want this to be continued after they have moved.
- There was an acceptance from the majority of participants that the Council has to plan ahead for the needs of the local population.

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 and residents were re-assured by the fact that Lacemaker Court would open at the point Southlands Home for Older People may close but were equally concerned that not all the 19 current long-term residents

would be able to move to Lacemaker Court, which is a 16-bedded unit. For them continuity of friendships and support would be best achieved if all residents could move to Lacemaker Court together with the current staff group. Consultees were re-assured by the fact that current residents would be given first priority for places at Lacemaker Court.

- Concerns were expressed by some members of the public in the local community and Long Eaton Civic Society about the proposals for the site if the home were to close.
- There was no response to the consultation by local statutory and voluntary organisations other than by Erewash Borough Council, who confirmed that the original Southlands building is listed as a Building of Interest.

Based on experience within Derbyshire from other similar proposals, 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 Southlands 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.

No guarantee has been offered that all 19 long-term residents can have a place at the 16-bedded residential unit at Lacemaker Court. Any decision on how best to resolve matters where there is more interest in places in Lacemaker Court than there are places available will be made once all assessments of needs and wishes have been carried out to ensure that any decisions made are taken on the basis of the fullest possible information. Final decisions on the allocation of places are likely to be taken close to the date when the residential unit in Lacemaker Court is due to open in summer 2015.

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 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. Maintaining contact with relatives and friends would need to be fully explored as part of the process of choosing a new home should that not be Lacemaker Court. Staff will work with relatives and close friends of the residents to minimise the potential impact if a new care home were chosen which was not readily accessible by car or public transport. Given that Long Eaton is served by good public transport and that Lacemaker Court is in close proximity to Southlands Home for Older People it is anticipated

that in the majority of cases ease of access to a new care home will not be problematic especially if Southlands residents were to move to Lacemaker Court.

It should be noted that continuity of staffing for individual residents will not be achieved unless residents move to Lacemaker Court, where it is anticipated that many staff currently employed at Southlands Home for Older People may be redeployed. It is not possible to guarantee this however as decisions on staff redeployment are subject to the outcome of consultation with them under the Council's procedures. The nearest Council care homes are shown on the map of local care home provision. If residents were to move to a Council home other than Lacemaker Court where some staff from Southlands Home for Older People were redeployed this would enable continuity but this cannot be guaranteed. The nearest Derbyshire County Council homes in terms of miles travelled are as follows:

Ladycross Home for Older People in Sandiacre – 2.8 miles  
 Briar Close Home for Older People in Borrowash – 5.4 miles  
 Hillcrest Home for Older People in Kirk Hallam – 6.2 miles

Within a five mile geographical radius of Southlands there are 15 care homes within Derbyshire and at any one time there will be vacancies in a number of these, although this number will fluctuate on a daily basis depending on demand and vacancies being made available. There will also be a number of care homes within Nottinghamshire, as Southlands is close to the county boundary. Given that approximately a nine 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 if they do not wish to move to Lacemaker Court. Based on individual assessments it may be that some residents will require nursing home care or choose to move outside the immediate locality to be closer to relatives or friends.

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

In each instance where a resident moves out of the immediate area Adult Care will explore all means to help ensure that visiting and friendship patterns are maintained. It is anticipated though that given the proximity of several care homes to Southlands, then many residents may choose to stay within the immediate locality. 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 alternative options. In a small number of cases Adult Care may need to assist financially to prevent hardship. In instances where the resident does not have capacity and does not have a family carer or friend who can act in his/her best interests, an advocate will be appointed to act in their best interests.

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 Southlands), relatives and friends as well as staff in the home to which the current residents of Southlands 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 with the support they are receiving at any stage in the process.

### **3. Financial Considerations**

Consultation on the proposed closure of Southlands 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. Southland was identified as an immediate priority for Stage 2 consultation and would, if closed, release funding for new developments being built in line with the strategy.

The costs of decommissioning Southlands 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 24 January 2012 which included the costs of the Accommodation, Care and Support strategy at £42.3 million.

Should Cabinet conclude that Southlands 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 Southlands as a traditional residential care home.

The following options illustrate the potential costs involved if Southlands 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. Estimated costs for this are £1,250,000 based on the most recent analysis by Property Services.

2. Complete refurbishment up to an optimum standard. This is estimated to be approximately £2,500,000, based on a desktop exercise rather than a detailed production of costed plans. 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 Southlands 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 2014-15 is £636,070. Should Cabinet agree to the proposal of closing Southlands, then some additional costs may 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 and whose home of choice is in the independent sector. The additional costs would be up to £49.12 per resident per week 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 Southlands this would affect 39 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 Southlands.

#### **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 Southlands, 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 Southlands, 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. In addition to 16 beds in a residential unit designed to high standards the extra care component of the scheme in Long Eaton 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.

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

An early decision on the proposed closure of Southlands is sought because the building and physical environment is in a poor state.

Should Cabinet agree to the proposal to close Southlands, Property Services will seek to dispose of the site. The original private home is listed as a building of local interest. The local Civic Society has expressed an interest in understanding the future of the site given its history.

## 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 Southlands

## 9. Key Decision

Yes

## 10. OFFICER'S RECOMMENDATIONS

**It is recommended that Cabinet:-**

- Give careful consideration to the outcome of the consultation on the future of Southlands Home for Older People and the Equality Impact Analysis.
- Approve the closure of the Southlands Home for Older People and the disposal of the site once it is no longer required as a residential home
- (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 nine months, and  
(b) for this work to be carried out in accordance with the pledges made and the

Major Change Guidance, and;

- Approve formal consultation with staff and trade unions representing staff at Southlands Home for Older People.

**Mary McElvaney**  
**Acting Strategic Director – Adult Care**  
**County Hall**  
**MATLOCK**

## Appendix 1

### How to have your say

We're keen to hear what you think about our plans for Southlands 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 Southlands.

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


Our consultation starts on Monday 2 June and lasts for 12 weeks – finishing on Sunday 24 August.

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 532059.

For more details about our consultation visit our website at: [www.derbyshire.gov.uk/southlands](http://www.derbyshire.gov.uk/southlands)

**All comments must be received by 24 August 2014.**



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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.**

The proposed closure of Southlands Home for Older People in Main Street, Long Eaton.



## Appendix 2

### 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.

**APPENDIX 3****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](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.

## Appendix 4

### **Summary of consultation process concerning proposed closure of Southlands Home for Older People.**

#### **Consultation schedule:**

The consultation period lasted from June 2<sup>nd</sup> 2014 to August 24<sup>th</sup> 2014. 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 Southlands
- Erewash Borough Council
- County Councillors representing Long Eaton Wards
- Borough Councillors
- Local GP practices which provide a service to residents
- Age UK
- Alzheimers Society
- Long Eaton CVS
- Derbyshire Carers Association
- Derbyshire Older People's Advisory Group
- Derbyshire Healthwatch
- Long Eaton 50+ forum
- Chief Executive of East Midlands Ambulance Service
- Chief Executive of Erewash Clinical Commissioning Group
- Chief Executive of Derby Royal Hospital NHS Foundation Trust
- Chief Executive of the Care Quality Commission
- Local residential and nursing home owners
- Local operational staff
- Trade Unions

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.

Meetings with relatives and residents at Southlands held on June 10<sup>th</sup> and June 26<sup>th</sup> 2014 and summary of written submissions subsequently received. 19 residents and 22 relatives took part in these two meetings. No additional correspondence was received on the proposals other than on a point of clarification.

### Feedback

Through all the debate and discussion most people recognised the need to plan for the future, but overwhelmingly the residents, relatives and carers were concerned about the impact closure would have should this mean loss of continuity in staffing and friendship groups. It was very clear that people felt that the care at Southlands is excellent. It was acknowledged that the building itself is in poor repair and the lay-out of the building is not ideal. The extra care development at Lacemaker Court was seen as something which would be of benefit for the future, but of limited benefit to the present residents, although at least one expressed an interest in seeing if this might be an appropriate choice for her.

The greatest concern at the meetings was the possibility that not all the current 20 residents at Southlands could move to the new unit at Lacemaker Court, which has 16 beds. Residents and their carers all wanted the continuity of care and friendships that residents experienced at Southlands

## **The Future of the Current Building**

### Feedback

*Is Southlands closing for financial reasons? – Relative*

*Did you consider renovation at Southlands? - Relative*

*What will happen to the Southlands site? - Relative*

*How long will it be before it shuts? - Resident*

*Timescales for consultations and for Cabinet and for Decisions – will the decision be communicated as soon as a decision is made? – Relative*

*Residents will have to make decisions do I go now before the consultation ends – Relative*

*What is the time scale? – Relative*

*My concerns regarding the proposed closure of Southlands is what the future would be for the building and grounds. [.....] The main reason I bought the property [I live in] was the beautiful view from my house of the home and the gardens, so I am concerned what your proposal will be after closure. I would not like to see the home*

*demolished and the grounds sold for development as this is the only building and grounds of this type in the area and Long Eaton will lose forever this beautiful Oasis in the town centre. – Local resident*

### Response

The Council recognises that the very fact that there is a proposal to close the building gives rise to uncertainty for both residents and relatives. Re-assurances were provided at the consultation meetings that the timetable for closure is not fixed for two reasons. First, Cabinet may not agree to the proposal once consultation feedback has been provided. Second, the closure of Southlands would be linked to the opening of the residential unit at Lacemaker Court as this would most likely provide continuity of care and friendship groups for many of the residents, assuming that many of the staff group at Southlands are re-deployed there. Should Cabinet decide that the building should close then staff, residents and carers will be told of the decision on the same day.

Southlands is an old building and large parts of it on the first floor are not habitable. Because its original purpose was as a private home, it is extremely difficult to re-model it inside to make it fit for purpose for current standards expected in residential care, either through regulation, acknowledged best practice or customer expectations. While major changes may be possible with a sufficient budget it is viewed as uneconomical to adapt it. Should the building close, the Council would seek to dispose of the site through a sale of the land. The capital raised through this sale would contribute towards the cost Lacemaker Court and other new residential units and community care centres being built in Derbyshire

### **Relationships and Continuity**

#### Feedback

*Do we choose where the residents here will go if Southlands closes?*

*What would happen in the situation of Lacemaker Court being ready to open and some residents still here at Southlands? Will it be the closure of one and the opening of the other? – Relative*

*What if everyone here wants to go to the residential unit at Lacemaker Court as there are less places there than there are residents in Southlands? – Relative*

*Will new residents coming in be given the same choice as the current residents? – Relative*

*Why are we still accepting new residents? – Relative*

*Why are there only 16 places in the residential unit at Lacemaker Court as there are more than 16 residents here? – Relative*

*How many rooms are there at Southlands? – Relative*

*Dementia is a very provocative word - are people with dementia going to get top priority to move in to the residential unit at Lacemaker Court – the best results are when people have moved as a large group and have continuity? – Relative*

*Can we see a plan of the new building? – Relative*

*It would be good to know that the level of care, support and commitment will continue. The things that residents look forward to e.g. trips need to continue – Relative*

*This is peoples home and the happiness and contentment needs to be transferred – Relative*

*Will staff here move to the new home? – Relative*

*Will I be one of those who go to the new place? – Resident*

*What if I can't go? – Resident*

*Will the level of care stay the same? – Resident*

*Are meals still provided in the care home just like they are now? – Resident*

*Do we choose where the residents here will go if Southlands closes? – Relative*

*We are most concerned that staff go with us as they provide excellent care - Resident*

*It worries me that I will not be with staff I know - Resident*

*If the inevitable happens and everyone is still around and happy to go to Lacemaker Court what will happen as there are more residents here than places there - Relative*

*The main thing about a home is the people and the staff not the building how are you going to maintain the standard? - Relative*

*Will you keep the ratio of staff to clients the same as at Southlands? - Relative*

*What about the capacity of Southlands being 23 and the new build is a 16 bed complex - Relative*

*Will all staff move to Lacemaker Court? - Relative*

*Hopefully providing a new building will give staff more time to concentrate on the residents - Relative*

*We would like to make a request for plenty of toilets at Lacemaker Court - Relative*



*There is a fear among residents that they will lose friendships that they have built up here - Relative*

*If someone is used to having a commode will they still be able to have one inside the room? - Relative*

*Are some of the things that you want to introduce recommended by the Care Quality Commission? - Relative*

*I have heard somewhere that there will be a restaurant will that be separate to the residents dining? - Relative*

*Will the residential section be all on one level? - Relative*

*If you only concentrate on Dementia where will the others go? – Relative*

*Is it just for self-funders? – Relative*

*Can you tell me what the ratio of staff to residents is in Lacemaker Court? – Relative*

*Will the home be registered for dementia? – Relative*

*One good thing about Southlands is that there are plenty of common rooms for residents to go into if they do not want to be part of a large group. - Relative*

*Even though Southlands has difficulties as a building residents are still happy and that is down to the staff - Relative*

### Response

As can be seen from the number of points raised under this heading, this was the major focus of response to the consultation. The most common view was that with 19 long-term residents at Southlands and the potential prospect of the three vacant places being filled by new residents, then not all residents could move to Lacemaker Court. This move was, however, seen by both residents and relatives to be in the residents' best interests as it offered continuity of friendships and, if staff were to move there too, continuity of care.

During the consultation meetings it was made clear that should new residents move into Southlands now the consultation had started they would not be given equal priority to current residents.

This does however potentially leave 19 current long-term residents seeking 16 places at Lacemaker Court. The choice of where residents go should Southlands close will need to be discussed privately in detail with each resident and their carers as part of an assessment. One resident has shown a tentative interest in an extra care apartment. It is possible that other residents may, for whatever reason, choose to move to another setting. It is also possible that by the time Lacemaker Court opens that the needs of some residents may have changed to the extent that they

will need nursing home care. The Council has agreed that current residents will have first choice of moving to Lacemaker Court and this will be respected throughout the assessment and subsequent discussions on choosing an alternative place to live. The pledges given to residents provide firm commitments to residents about the choices they can make and how the Council will respect these.

The Council is committed to ratios of staff to residents and a minimum staffing level per shift it prescribed by the Care Quality Commission (CQC). The Council is also committed to ensuring that stimulating activities are provided for residents and that these will continue at Lacemaker Court and indeed other Council-run care homes. This consistency of approach applies equally to catering and high standards of care generally.

The new unit at Lacemaker Court will be shown as specialising in dementia on the CQC website but the new unit will also take residents with other high-level needs. The new unit will take both self-funders and those who receive assistance towards the cost of care from the Council. The new unit is being built to a high design specification. A separate event was held outside the consultation process for residents and carers to see the design for the new unit and to ask questions about the new facility.

### **Cost:**

#### Feedback

*What savings are the Council expected to save? – Relative*

*Is the price going up? – Resident*

*Are you going to build a new home completely? – Resident*

*Will the charge rate for the resident unit change? - Relative*

*Given that baby boomers like us are coming along why are you not building more? - Relative*

#### Response

The Council is not proposing to make savings from the proposed closure of Southlands as the capital and revenue costs will be diverted to new schemes that are being developed in Derbyshire, including Lacemaker Court. The limits to the building programme are defined though by what the Council can afford to spend and these were set out in the 2012 report. The Council also recognises that there is a flourishing mixed economy of residential care in Derbyshire and that the private sector offers the majority of residential care home provision.

The Council does not have differential rates of charges across its residential care homes. As a result new facilities will not mean increased charges for residents.

## Extra Care Provision

Various questions were asked by residents and relatives about the new extra care development at Lacemaker Court.

*Are the flats furnished? – Resident*

*How do we go about getting furniture for an Extra Care flat? – Resident*

*I don't like being on my own how would I cope in an Extra Care flat? – Resident*

*Are the Extra Care flats warden controlled? – Resident*

*Can those in the Extra Care flats just go into the residential unit at Lacemaker Court? – Relative*

*My worry is if residents make the decision to move to Extra Care then some weeks after moving find they do not have the budget or the care they need. What will happen to them then? – Relative*

*Are the en suites with showers? – Relative*

*Do the people in Extra care get support from Derbyshire County Council? – Relative*

*How do we go about moving to a flat if we wish to and need to furnish it? - Resident*

*Will people who go into a flat receive the same service for medication etc - Relative*

*Does the partner providing the Extra Care flats have the rental money from tenants? - Relative*

*Who is the partner mentioned in the leaflet and are they just responsible for the building? - Relative*

### Response

The extra care apartments would need to be furnished by new tenants. Their care needs would be assessed and they would be given a personal budget and assistance in planning the care they require to meet their needs, such as personal care and medication. In addition to this the apartments at Lacemaker Court have staff available 24 hours a day to provide support.

Should a former resident of Southlands move to an extra care apartment and not settle then a further assessment will be required to see how their needs would be best met. This may result in a delay in the extra care resident being able to move in to the residential care component of the site if the resident requires this level of care and there are no vacancies.

The partner in this development Housing and Care 21, a registered social landlord. The extra care apartments are their responsibility in terms of maintenance and servicing. In return they derive income from the sale of some apartments and the rent from others.

## **Staff:**

### Feedback

The future for the staff was of concern to residents and relatives. The consensus of opinion was that the staff group provided very good care. People were worried about the impact that closure would have on their employment prospects.

*Will staff here move to the new home? - Relative*

*Could staff end up with no job?- Relative*

### Response

Officers note the very positive comments on the quality of care offered and the concerns that relatives and residents have for the future employment of staff they value highly. If Cabinet were to decide that the home should close detailed consultation will start with staff and trade unions representing staff on employment opportunities. Staff training in independent sector care homes is also monitored by both the Contracts Section in Adult Care and the Care Quality Commission.

## **Staff feedback**

A meeting with staff was held on June 4th 2014. This focused on the Accommodation, Care and Support strategy; the particular plans for Southlands; and the future of current residents rather than their own personal employment situation.

The main points that arose concerned the assessment process in determining the wishes, needs and capabilities of residents; how residents would be involved in choosing a home to move to; the basis for determining the balance between care homes and extra care schemes; the level of support on offer to residents in extra care schemes; care home capacity in the area.

Officers went through with staff in detail how the process of assessment would be carried out with the full involvement of all who know the resident and the key role residents, their relatives, their advocates (if required) would play in the selection of a future care home.

Officers reported that the balance of care homes and extra care schemes has been considered fully in the planning of the Accommodation, Care and Support strategy, recognising that the independent sector have a key role to play in the provision of care home places as they already provide the majority of places.

Officers reported in detail how a resident in an extra care scheme would have their needs met through a combination of core hours provided within the scheme itself supplemented by the use of personal budgets for those who are eligible for support under the Fair Access to Care Services criteria.

## Appendix 5

Derbyshire County Council

## Equality Impact Analysis Record Form 2014



Department	Adult Care
Service Area	Direct Care
Changes or proposals	Proposed closure of Southlands Home for Older People
Chair of Analysis Team	David Gurney
Date of Analysis	September 2014
Version	1

**1. Prioritising what is being analysed**

## a. Description of current service arrangements

Southlands Home for Older People is a 23-bedded unit in Long Eaton. The home is not purpose-built. The original building was a private residence to which extensions have been added by the Council to increase the capacity of the building.

The home is in poor physical condition although it offers good quality care through a dedicated staff team.

## b. Details of proposals or changes

The Council's proposal is to close Southlands Home for Older People.

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 Southlands 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 2014.

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.

### C. Rationale for proposed changes

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 Southlands Home for Older People in Long Eaton, 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 close the home. Linked to the proposed closure, but not dependent on it, is the development of Lacemaker Court in Long Eaton which will provide both extra care accommodation as well as a 16-bedded residential unit.

## 2. The team carrying out the analysis

<b>Name</b>	<b>Area of expertise/ role</b>
David Gurney	Group Manager, Performance, Adult Care
Helen Greatorex	Senior Project Officer, Consultation and Engagement
Carol Simpson	Service Manager for Southlands Home for Older People
Yvonne Fowkes	Unit Manager, Southlands Home for Older People

### 3. Existing information and consultation based feedback

#### a. Sources of data and consultation used

<b>Source</b>	<b>Reason for using</b>
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 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
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 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



<b>Source</b>	<b>Reason for using</b>
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
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 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

#### 4. Known impact on different protected characteristic groups

- a. From existing data and information – who is likely to be adversely affected, how, and to what degree? Will anyone gain or benefit from the proposals?

<b><i>Protected Group</i></b>	<b><i>Findings</i></b>
Age including children and families, older people	Currently 19 people are permanent residents at Southlands. 9 (47%) of the residents are aged between 80-90 and 7 (36 %) are aged over 90 years old. 3 residents (17 %) are aged under 80.
<b>Disabled people</b> including mobility, sensory, learning, mental health, HIV, and also include carers and relatives	<p>All residents could be described as ‘frail elderly’ of whom 9 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 19 residents, 8 require the use of a wheelchair for all or some of the time to assist with their mobility.</p>
Gender (Sex) including men and women, boys and girls	The home caters equally for both male and female residents.
Gender reassignment – including impact if any on Transgender people	<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 – also include impacts on lone parents and unmarried couples	<p>None of the residents live as a couple within the Home but one of the residents is 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 – including new mothers/ parents	Not relevant to the residents of Southlands Home for Older People.

<p>Race – including all racial groups, including impact if any on Gypsies and Travellers</p>	<p>19 residents (100%) define themselves as being of White British ethnic origin. To place this within context the population of Long Eaton, which forms the catchment area for Southlands itself is 92.5% 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>
<p>Religion and belief including non-belief, including religious minority communities, Humanists</p>	<p>All 19 residents describe themselves as Christians. 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>
<p>Sexual orientation – including the impact if any on LGB people</p>	<p>Sexual orientation has not been highlighted by residents, their families or carers as a relevant factor to this proposal for the 19 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>

### Non-statutory

<p>Poorer and disadvantaged communities and groups, including people who experience financial exclusion</p>	<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</p>
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	<p>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 communities	<p>Southlands 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. The Home is located in Long Eaton and 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 Long Eaton, 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>

## Impact on employees of Derbyshire County Council or prospective employees

The proposed closure of the building will affect the 40 staff who work there. This may result in staff being redeployed to other workplaces. Most of the staff are care staff and domestics on low incomes who are likely to live in close proximity to the home and who may find it hard to consider redeployment if it involves considerable travel. 36 of the staff employed at Southlands are female.

The particular circumstances of the staff group will only become clearer if the proposal to close Southlands is agreed by Cabinet at which point consultation would start with the staff group.

- b. From existing customer and other feedback – who is likely to be adversely affected, how and to what degree? Will anyone gain or benefit?

<b><i>Protected Group</i></b>	<b><i>Findings</i></b>
Age	<p>The proposal will impact on older people as the current Home provides accommodation for older people, including a number of people who have 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 19 current 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 coordinated 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</p>

	<p>through mitigation and that, as a result, the stresses of a move are reduced as far as is practically possible.</p> <p>Those involved in the consultation were informed that, with the development of Lacemaker Court, new purpose-built extra care apartments and a smaller 16-bedded residential home would be available for older people in Long Eaton. This new development will mitigate the loss of the 23 beds at Southlands Home for Older People.</p>
Disability	<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 Southlands 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	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.
Marriage and civil partnership	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.
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.</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

Poorer and disadvantaged communities	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.
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Rural	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 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.
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### Employees or prospective employees

Those involved in the consultation were informed that, with the development of Lacemaker Court, new purpose-built extra care apartments and a smaller 16-bedded residential home would be available for older people in Long Eaton. This new development would mitigate the loss of the 23 beds at Southlands Home for Older People and offered further local employment opportunities.
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- c. Are there any **other** groups of people who may experience an adverse impact because of the proposals?

The proposed closure of Southlands will have an impact on carers as local people will have less choice on homes of local people in the Long Eaton area. This loss would be mitigated however by the development of Lacemaker Court, new purpose-built extra care apartments and a smaller 16-bedded residential home would be available for older people in Long Eaton. The development of this scheme offers carers the opportunity to move with the person they care for into an extra care apartment and benefit from 24-hour on-site support as well as living in accommodation which is specifically designed to meet the needs of older people.
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### 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	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



presently unknown.	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.
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**From the consultation you have carried out specifically in relation to proposed changes, what views or issues have been raised by those who have responded?** (Include both their views and any issues they have raised which alludes to the likely impact)

a) Please summarise the consultation which has been carried out

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 Southlands 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 Long Eaton area or which work with older people and carers.

This included:

- Meetings with relatives and friends of residents held at Southlands Home for Older People on June 10th and June 26th 2014
- A briefing to employees working at Southlands Home for Older People 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
- 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 Long Eaton.

- b) Please summarise the feedback received. This should make clear where those who have responded have highlighted any potential adverse impact as well as their opinions on the proposals.

The feedback received which is pertinent to the Equality Impact Analysis was obtained solely through the two meetings with residents and their carers and friends.

The consultation has not shown strong feelings that Southlands should remain open. The consultation has therefore focused primarily on how continuity of care and friendship groups can be maintained should the building close.

Through all the debate and discussion most people recognised the need to plan for the future, but overwhelmingly the residents, relatives and carers were concerned about the impact closure would have should this mean loss of continuity in staffing and friendship groups. It was very clear that people felt that the care at Southlands is excellent. It was acknowledged that the building itself is in poor repair and the lay-out of the building is not ideal. The extra care development at Lacemaker Court was seen as something which would be of benefit for the future, but of limited benefit to the present residents, although at least one expressed an interest in seeing if this might be an appropriate choice for her.

The greatest concern at the meetings was the possibility that not all the current 19 long-term residents at Southlands could move to the new unit at Lacemaker Court, which has 16 beds. Residents and their carers all wanted the continuity of care and friendships that residents experienced at Southlands.

## **7. Are there any ways of avoiding or reducing likely possible adverse impact on any groups of people, what are those actions, and how will they assist?**

The development of Lacemaker Court does offer considerable opportunities for the Council to mitigate the proposed closure of Southlands. While Lacemaker Court offers seven fewer resident beds than Southlands offers, the creation of 61 extra care apartments offers the opportunity for older people to receive additional care and support in a specifically designed environment which will reduce the potential for them to require residential care in future.

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. 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 Southlands Home for Older People will directly affect 19 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 care and support they receive and if they are to move would want to see continuity of care and friendship groups.

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 Southlands 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 Southlands 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 Southlands 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.

## 8. Main conclusions and Recommendations

### CONCLUSIONS

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 Southlands Home for Older People will directly affect 19 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 care and support they receive and if they are to move would want to see continuity of care and friendship groups.

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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.

Based on the analysis the following is believed to be of importance and should be noted by decision-makers:

The loss of Southlands will reduce by seven the number of residential beds in the Long Eaton area even allowing for the creation of 16 new places at Lacemaker

Court.

The development of 61 extra care apartments at Lacemaker Court will compensate for the loss of these seven beds, provided that sufficient attention is taken to ensure that the allocation of apartments is targeted on those people whose level of current and likely future needs may result in them needing residential care at some point.

The application of the Adult Care pledges, allied to detailed and thorough assessments of current residents as set out in the Major Change Guidance, will ensure that the relocation of residents will be undertaken sensitively and with the greatest possible chance that the move of home will be successful and allow their needs to be met in a new setting.

### **RECOMMENDATIONS (if any)**

It is recommended that:

1. If the proposed closure is agreed by Cabinet, the assessment of residents, in conjunction with the Major Change Guidance and pledges, should proceed in a timely fashion to allow residents to consider their options in detail
2. that occupancy of the new extra care development at Lacemaker Court is carefully targeted to reduce the impact of seven fewer residential beds in the Long Eaton area

## 9. Action planning in response to the completed analysis

Objective	Planned action	Who	When	How will this be monitored?
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 in November 2014	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)	One week prior to Cabinet decision	Confirmation of date meeting held
3 – Ensure that the pledges and Major Change Guidance are followed through accurately into practice as residents are assessed and alternative provision is discussed.	Review documentation and case notes recorded on the Adult Care electronic social care record and through discussion with staff	<ol style="list-style-type: none"> <li>1. Management Team for Fieldwork Services (Long Eaton)</li> <li>2. Service Manager and Group Manager for Direct Care with line management responsibility for the Home</li> </ol>	Continued process	Through regular channels of line management up to Assistant Director level
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 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 (Long Eaton)	At the point the support plan is agreed	Prior to the resident moving
8 – Issue standard letter to set out what is meant by the Council meeting the 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
9 – Issue standard letter to set out 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
10 – Address the risks to residents' health and well-being and determine through the support plan what mitigation needs to be put in place, paying particular attention to the needs of the resident who is not white British	Thorough assessments undertaken in line with the Major Change Guidance	Case Workers	Within 6 weeks of the cabinet decision	By the management team in Long Eaton checking case files
11 – Ensure that the deficit in residential care beds in Erewash is mitigated by careful allocation of places in the new extra care development at Lacemaker Court	Application of criteria for the allocation of apartments	Local allocation panel	On-going	Panel minutes

## 10. Monitoring and review arrangements

Please outline what steps will be taken to monitor and review the implementation of proposals if they are agreed here:

Responsibility for the monitoring of the quality of assessments and relocation of the current residents of Southlands rests with the Group Manager for Fieldwork Services in Erewash.

Responsibility for lessons learnt from the closure will rest with the group manager for Direct Care services in Erewash.

Responsibility for the appropriate allocation of extra care apartments will rest with the local group managers for Fieldwork Services and Direct Care.

## 11. Conformation that equality impact analysis (EAI) completed and read

Name of officer signing off EIA as completed: David Gurney

Date: September 23<sup>rd</sup> 2014

This Equality Impact Analysis has been read by

Name	Date	Position
Cllr Anne Western		Leader of the Council
Cllr Claire Neill		Cabinet member for Adult Care

Where and when published e.g. with Cabinet Report, on DCC website

Together with the Cabinet report on the DCC website.



## 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 & Katey Twyford	Group Manager Performance Group Manager Capital Investment Project	August 2012
Approved by: Bill Robertson	Strategic Director	August 2012
Authorised by:	Policy and Procedures Group	September 2012

### Change History

Version	Date	Name	Reason
V 1	October 2012	David Gurney & Katey Twyford	New Guidance

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](mailto:dawn.nash@derbyshire.gov.uk)

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## **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.

## **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 Consultation<sup>1</sup> 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.

#### **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.

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<sup>1</sup> HM Government, Cabinet Office Code of Practice on Consultation, July 2008

**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 number of options for consideration be clear what the preferred option(s) is / are	
3.6.	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	
3.7.	Description of what options might be available to individuals who currently use services or facilities that might be affected	
3.8.	Description of what will happen once the consultation period has closed	
3.9.	Confirmation of how individuals can contact the organisation / submit their views and confirm any confidentiality issues	
3.10.	How individuals can obtain any supporting documents	
4.	Review whether the documentation is transparent	

	Task	<input checked="" type="checkbox"/>
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:

- 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 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	
4. 4.1. 4.2.	Supporting materials are in place, including: Key messages from Stage One consultation Background analysis on the circumstances surrounding the particular establishment affected	

	Task	<input checked="" type="checkbox"/>
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"> <li>Those receiving the service</li> <li>Family carers, advocates and any close friends acting in effect as next of kin</li> </ul>	
7.2.	<ul style="list-style-type: none"> <li>Staff are notified that the process will begin and their role within it</li> </ul>	
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"> <li>Digital or hardcopy questionnaires</li> </ul>	
9.2.	<ul style="list-style-type: none"> <li>Group meetings or one to one conversations *Note1</li> </ul>	
9.3.	<ul style="list-style-type: none"> <li>Web-based comments</li> </ul>	
9.4.	<ul style="list-style-type: none"> <li>Letters and emails</li> </ul>	
9.5.	<ul style="list-style-type: none"> <li>Telephone enquiries</li> </ul>	
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	
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	

	Task	<input checked="" type="checkbox"/>
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. <b>This inventory must be retained, and must be accurate for audit purposes</b>	
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	
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.

<b>Task – The following organisations have been notified in writing:</b>	<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:

<b>Task</b>	<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"/>
Confirm delivery dates with builders and manufacturers	

#### 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

<b>Task:</b>	<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.

## 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 for relatives and carers or friends to be able to contact or visit the resident/client?	Case worker
Does this allow for continuation of previous visiting patterns?	Case worker

Task	Person responsible
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
<p>Is all the following documentation completed, dated and ready to travel with the resident/client?</p> <ul style="list-style-type: none"> <li>• Moving Book</li> <li>• Life Book</li> <li>• Personal Service Plan</li> <li>• Manual Handling Plan</li> <li>• Medication Assessment Record Sheet</li> <li>• Key contacts for family, friends and Adult Care staff</li> <li>• Details of when the most recent medical examination took place</li> </ul>	Unit Manager
<p>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?</p>	Case worker
<p>Are the identified equipment, aids and supplies, either ready for travel with the service user or in place in the receiving setting?</p>	Unit Manager
<p>Have arrangements for packing and transporting the resident/client's possessions been made which include:</p> <ul style="list-style-type: none"> <li>• identifying the items to travel with them and those to arrive in advance?</li> <li>• packing personal possessions in a suitcase or suitable travel bag (not in a plastic bag)?</li> </ul>	Unit Manager
<p>Have travel arrangements been made which include:</p> <ul style="list-style-type: none"> <li>• who is to travel with the resident/client (eg, key worker, relative or carer, or a combination)?</li> <li>• the date and time of day travel is to take place, avoiding times that would disrupt routine?</li> </ul>	Unit Manager
<p>Have arrangements been made for the resident/client to be received in the new setting which include:</p> <ul style="list-style-type: none"> <li>• confirmation, in advance, by staff in the receiving care setting that the new setting is fully prepared?</li> <li>• identification of the manager on duty in the new setting to receive them?</li> <li>• <i>whether the resident/client and their relatives or carers accompanying them are to receive a meal or snack and drink on arrival?</i></li> <li>• the receiving staff knowing what is likely to be the resident/client's greatest concern - for example where their personal possessions are?</li> <li>• informing relatives and carers or friends of their safe arrival?</li> </ul>	Unit Manager

### Appendix 3: Post move arrangements and review

Task	Person Responsible
<p>Have the following contact details been provided to the receiving home?</p> <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
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:**

<b>Aspects of the move that went well:</b>
<b>Aspects of the move that did not go well:</b>
<b>Any general comments or observations:</b>

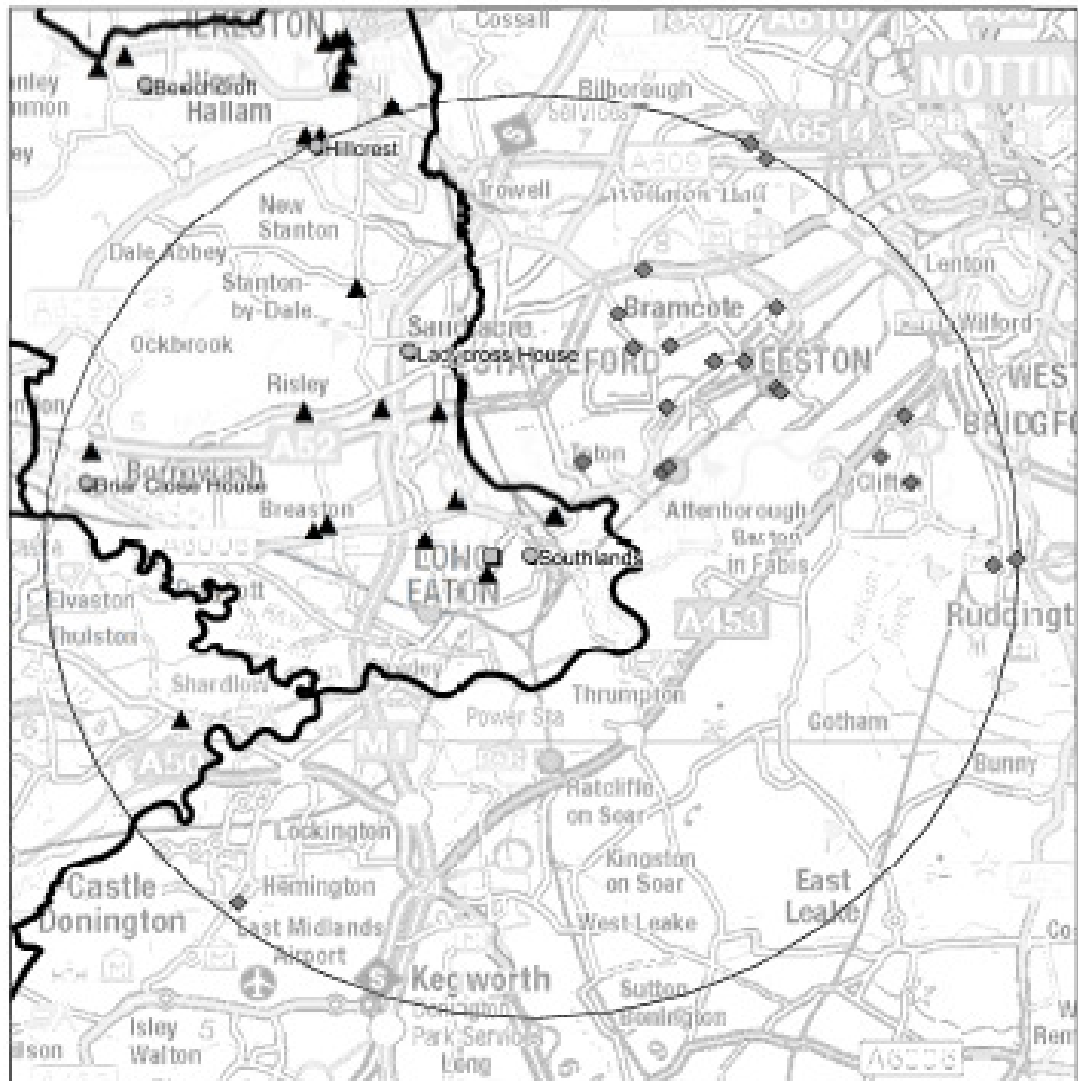
**Fieldwork services case workers:**

**Date of move:**

**Date sheet completed:**

## Appendix 7 –

# Southlands Home for Older People and Care Homes within a Five Mile Radius



Date: 6 October 2014

Mapped by: Penelope Junkermann - Project Officer  
Department: JSNA, Needs & Intelligence, Adult Care, Derbyshire County Council

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