Comprehensive Impact Assessment

Carers Assessments

Version 0.4 – May 2015

Equality Impact Assessment
Safeguarding Assessment
Information Management Assessment
Community Safety Assessment
Health, Safety and Wellbeing
## Comprehensive Impact Assessment Assessment Template

<table>
<thead>
<tr>
<th><strong>Assessment being undertaken</strong></th>
<th><strong>Carers Assessments</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Directorate:</strong></td>
<td><strong>Education Health and Social Care</strong></td>
</tr>
<tr>
<td><strong>Service:</strong></td>
<td><strong>Commissioning, Performance and Improvement</strong></td>
</tr>
<tr>
<td><strong>Name of Officer/s completing assessment:</strong></td>
<td><strong>Stuart Cohen</strong></td>
</tr>
<tr>
<td><strong>Date of Assessment:</strong></td>
<td><strong>28 April 2015</strong></td>
</tr>
<tr>
<td><strong>Name of service/function or policy being assessed:</strong></td>
<td><strong>Commissioning of Carers Assessments</strong></td>
</tr>
<tr>
<td><strong>DEAG Sign off:</strong></td>
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</tr>
</tbody>
</table>

### Why are you doing this CIA? – A brief explanation of the reason. Is it for: new/change in policy, procedures, strategy, function, service. (Please)

The Care Act 2014 introduces changes to the services Health commissioners, providers and Local Authorities must meet. There are specific changes in respect of identifying and addressing the needs of carers and to ensure the continued delivery of services to carers remains lawful, fit for purpose and value for money.

The Care Act places Carers as equal priority for assessment and support as those who have eligible care.
needs. The Act requires the Local Authority to provide more support to Carers and those with eligible care needs. Therefore these changes impact on the Council’s resources and in particular its ability to undertake assessments in a timely manner.

The requirement to deliver Carers Assessments is intended to form part of the procurement for Carers Service(s) for the contract from 1 April 2016. This is intended to be an all-age contract. Currently there is a backlog of Carers Assessments (for adult carers) that need to be delivered. Cornwall Council has asked Cornwall Carers Service to deliver 1,000 Carers Assessment in 2015 as a matter of some urgency and this is a change to the service they deliver. The anticipated additional cost of these assessments is within reasonable tolerance of the original contract value for the year and represents better value that wholly commissioning another service to deliver the same. The existing contract will therefore be varied.

Cornwall Carers Service under the current contract support Carers over the age of 18. The backlog of Carers Assessments remains within adult social care. The assessment requirements and process is different for adult Carers as it does for Young Carers and therefore this support, and this CIA is specifically for Carers over the age of 18.

Cornwall Council requires Cornwall Carers Service to commence the assessments as a matter of urgency. It is envisaged that this will be no later than 1 June 2015, subject to approval (and funding) of DLT (who have requested Carers assessments be commissioned) and the access to Mosaic.
What are the aims, objectives, outcomes, purpose of the policy, service change, function that you are assessing?

<table>
<thead>
<tr>
<th>Aim</th>
<th>The aim of this service change is to ensure Carers Assessments are undertaken in a timely manner.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Objectives</td>
<td>Carers Assessments are completed, eligible needs identified and the Local Authority’s statutory duty under the Care Act 2014 is met.</td>
</tr>
<tr>
<td>Outcomes</td>
<td>Completion of the Carers Assessments identifies the eligible support the Carer requires and meets the Council’s strategic outcomes for Carers that are;</td>
</tr>
</tbody>
</table>

**Outcome 1:**

**Carers will be respected as expert partners in care.**

- Carers have their voices heard.
- Carers have a route of peer support including through their local Carers forum or other routes of advocacy and issues are raised and considered through the appropriate channels.
- Carers’ opinions and views influence decision-making for Carers services in Cornwall where appropriate and possible.
- The profile and level of awareness of Carers is raised and enhanced in Cornwall.
- Young Carers are having their voices heard through their local Carers forum.
- Carers forums are well publicised.

**Outcome 2:**

**Carers will have access to the integrated and personalised services they need to support them in their caring role - services that can adapt to meet their individual needs;**
- Carers are supported in a caring role for as long as they wish to provide care.
- Carers receive the support and services they need.
- Carers are able to access support in their local communities.
- Carers are supported at first point of contact.
- Carers have access to advocacy services.
- Carers have access to accurate and relevant information in a timely fashion to enable them to make informed decisions.
- Carers are aware of their right to a Carers assessment and receive the assessment within a reasonable timeframe.
- Young Carers are better supported and are protected from inappropriate caring roles.
- Young Carers have the same life opportunities as their peers.
- Young Carers are able to access activities in their community.
- Carers are able to access relevant courses and advice sessions at time of need.

**Outcome 3:**

**Carers will be able to have a life of their own alongside their caring role;**

- Carers are able to access a varied range of services, activities and events in their community.
- Carers are able to access a personalised Carers Assessment and the delivery of outcomes through a timely and efficient process.
| Carers have access to peer group support. |
| Carers are given the opportunity to have a break from their caring role. |
| Carers have opportunities to reduce the likelihood of their sleep being adversely impacted on due to their caring role. |

**Outcome 4:**
**Carers will be supported to limit the impact of financial hardship by their caring role and will have the same opportunities to income and employment as everyone else;**
- Carers are given appropriate and accurate information and support to claim the benefits they are entitled to.
- Carers are given appropriate and accurate information and support to access housing advice and support.
- Carers have support to access work and education opportunities.
- Young adult Carers have support to access further education and/or employment opportunities.

**Outcome 5:**
**Carers will be supported to have good health and wellbeing and will be treated with**
More Carers are identified and supported, such as BAMER\(^1\), isolated (socially and geographically) and hidden or hard to reach Carers, and those not known to statutory services.

- Carers are supported to achieve better health and wellbeing.
- Carers are able to access a range of leisure and social activities.
- Carers are able to access short break solutions that are appropriate, creative, flexible and personalised to meet individual care needs.
- Carers are recognised and valued and are included as an integral part of assessment processes.
- Carers receive 1:1 emotional, practical and peer group support.

The duty to undertake Carers Assessments in Cornwall is the responsibility of **Cornwall Council**.

The funding for Carers in Cornwall is jointly provided by Cornwall Council and **NHS Kernow**.

The Council’s proposal is for **Cornwall Carers Service** to undertake Carers Assessments on behalf of Cornwall Council.

The responsibility for the contract with Cornwall Carers Service is with the **Carers Lead Commissioner** in **Education Health and Social Care**.

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\(^1\) Black, Ethnic and Asian Minority and Refugee
this proposal? Is the proposal likely to result in positive or negative Equality and Diversity impacts? If so what are they?

<table>
<thead>
<tr>
<th>Impact on Protected Characteristics</th>
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</thead>
<tbody>
<tr>
<td><strong>Age</strong>: The largest proportion of carers (39%) is aged between 50 and 64 years of age. 25% are over 65.</td>
</tr>
</tbody>
</table>

relating to equal opportunities.

Carers over the age of 18 years support other individuals with a wide variety of care needs. All Carers who are eligible to receive a Carers Assessment may be affected by this proposal; however the aim of this proposal is to ensure the change is positive for Carers by ensuring they receive a timely assessment.

Young Carers (those under 18 years) are supported through Kernow Young Carers. There are currently sufficient processes in place to identify Young Carers needs as a Carer and to deliver support to Young Carers.
Disability: Caring can have an impact on health and Carers. Carers provide support to individuals who are likely to have a disability.

- 1 in 4 carers are aged over 65, with 10% of these spending more than 50 hours per week caring. Just 6% of Cornish carers are under 25 years of age.
<table>
<thead>
<tr>
<th>Category</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Gender Reassignment</strong></td>
<td>Changes will not specifically affect people with gender reassignment.</td>
</tr>
<tr>
<td><strong>Marriage and Civil Partnership</strong></td>
<td>It is unlikely this change would affect this group of individuals.</td>
</tr>
<tr>
<td><strong>Pregnancy and Maternity</strong></td>
<td>It is unlikely this change would affect this group of individuals.</td>
</tr>
<tr>
<td><strong>Race</strong></td>
<td>Changes will not specifically affect people from ethnic minority groups.</td>
</tr>
<tr>
<td><strong>Religion and belief</strong></td>
<td>Changes will not specifically affect people that have different religions and beliefs.</td>
</tr>
<tr>
<td><strong>Gender</strong></td>
<td>Whilst a greater percentage of Carers are female, the changes to the strategy should not disproportionately impact any specific gender.</td>
</tr>
</tbody>
</table>
There are 25,348 men and 36,634 women providing care of between one and over 50 hours per week.

- 29% of Carers Allowance claimants were men, 71% were women.
- 54% of women stated (in the census) that their health was very, good, good or fair, compared to only 30% of men.
- The gender gap narrows as age and level of care provision increases.
**Sexual orientation:** Changes will not specifically affect Lesbian, gay, bisexual and transgender (LGBT) people.

**Positive Equality impacts:**
Carers (over the age of 18) are assessed sooner. Individuals who are more likely to have a disability or poor health receive support earlier.
Carers who are harder to reach are identified earlier and appropriate support requirements are recognised earlier.

**Negative Equality impacts:**
This CIA is specifically with regards to Carers over the age of 18 and Carers under the age of 18 are supported under differing legislation that is compatible with adult Carers. (Children and Families Act 2014 (Young Carers) The Care Act 2014 (adult Carers). This does not discriminate against Young Carers where there is not the same current need, but it is recognised that this CIA does not cover those Carers under the age of 18.

<table>
<thead>
<tr>
<th>Safeguarding - Who will be affected by this proposal? Is the proposal likely to result in positive or negative Safeguarding impacts? If so</th>
</tr>
</thead>
<tbody>
<tr>
<td>The duty to undertake a Carers Assessment in a timely manner seeks to ensure Carers receive assessed eligible support in a timely manner and to support them in their caring role. Where assessments are not undertaken in a timely manner, the risk of breakdown in the caring role is increased which may place both Carer and cared-for at risk.</td>
</tr>
<tr>
<td>For the Carers Service to undertake assessments, it has to ensure the following;</td>
</tr>
<tr>
<td>All staff and volunteers are recruited through a recruitment and selection procedure which aligns with the Council’s safer recruitment and disciplinary standards and which meets the requirements of</td>
</tr>
<tr>
<td><strong>Information Management</strong> - Who will be affected by this proposal? Is the proposal likely to result in positive or negative Information Management</td>
</tr>
<tr>
<td>---</td>
</tr>
<tr>
<td>Where Cornwall Carers Service is delivering Carers Assessments it will be required to accurately record personal and sensitive personal information about Carers and the people supported by the Carers. The options available to undertake the assessments and handle the data are; Option 1 Cornwall Carers Service delivers the assessment, records the details manually and returns the assessment document to the Local Authority to input on the record management system named Mosaic. Once input the Carer is informed of the details of the assessment and referred back to the Carers</td>
</tr>
<tr>
<td><strong>what are they?</strong></td>
</tr>
<tr>
<td>legislation, equal opportunities and anti-discriminatory practice and ensures the protection of vulnerable children and adults. All staff and volunteers are appropriately qualified, experienced and trained in safeguarding children and vulnerable adults. All staff and volunteers engaged in regulatory activity will have undertaken a DBS and Enhanced Criminal Records Bureau Check. Cornwall Carers Service has appointed a suitable experienced manager who is responsible for the implementation and monitoring of their safeguarding policies and procedures.</td>
</tr>
<tr>
<td>Information Management -</td>
</tr>
</tbody>
</table>
| Impacts? If so what are they? | Service to undertake a Support Plan. Once the Support Plan is complete it is returned again for input onto Mosaic. Where a Personal Budget Direct Payment is identified, this is referred to the Council’s Direct Payments team.  

Option 2  
Cornwall Carers Service delivers the assessment and inputs the details of the assessments directly onto the record management system named Mosaic. Then;  

Option 2a)  
The document is flagged up through Mosaic to the Senior Practitioner responsible for the service area within Cornwall Council for approval; or,  

Option 2b)  
The document is flagged up to the qualified social worker or team manager within the Carers Service for approval.  

Once the assessment is approved it is referred back to the Carers Service assessor to undertake a Support Plan. Once the Support Plan is complete it is directly input onto Mosaic.  

Where a Personal Budget Direct Payment is identified, this is referred to the Council’s Direct Payments team.  

Opportunities & Risks of above Options  
Option 1  
For: |
<table>
<thead>
<tr>
<th>For:</th>
<th>Against:</th>
</tr>
</thead>
</table>
| • The Council retains responsibility to discharge its duty under the Act.  
  • The Carers Assessment is delivered by a service with a sole commitment to Carers.  
  • The Council is able to directly compare quality and consistency of internal assessments with externally completed assessments. | • Increased demand in internal resource.  
  • Potential for increased delay  
  • Potential for increased error due to the requests/data moving between numerous teams  
  • Potential risk of Data Protection Breaches  
  • Need for sufficient communications with Carers and staff regarding the remit of these assessments to avoid confusion |

Option 2

<table>
<thead>
<tr>
<th>For:</th>
<th>Against:</th>
</tr>
</thead>
</table>
| • The Carers Assessment is delivered by a service with a sole commitment to Carers.  
  • The Carers Assessments should be completed more quickly and timely action taken to meet the needs of the Carer which in turn could result in cost avoidance for the Council and the NHS.  
  • Relieves pressure on internal resources | • Need for sufficient communications with Carers and staff regarding the remit of these assessments to avoid confusion  
  • Requirement for robust contract performance monitoring meetings to ensure high quality of service delivery. |
<table>
<thead>
<tr>
<th><strong>Community Safety/Crime and Disorder</strong> - Who will be affected by this proposal? Is the proposal likely to result in positive or negative Community Safety/Crime and Disorder impacts? If so what are they?</th>
<th>Changes are unlikely to have an impact on Community Safety/Crime and Disorder. The Crime and Disorder Act 1998 and subsequent acts places a legal responsibility on the Council to do all it reasonably can to reduce crime and disorder, anti-social behaviour, substance misuse, re-offending and behaviour adversely affecting the environment. This change is for Carers Assessments for Carers over the age of 18. <strong>Positive community safety / crime and disorder impacts:</strong> • Assisting Adult Carers in the identification of support or in the accessing of opportunities for a break from the caring role. <strong>Negative community safety / crime and disorder impacts:</strong> None</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Health, Safety and Wellbeing</strong> - Who will be affected by this proposal? Is the proposal likely to result in positive or negative Health, Safety and Wellbeing impacts?</td>
<td>The obligation to deliver Carers assessments is a statutory duty under the Act. The Local Authority has a responsibility to identify and support Carers, thus reducing isolation and Carer stress and to work towards improving wellbeing. Cornwall Carers Service complies with the requirements of the Health and Safety at Work Act 1974 the Management of Health and Safety at Work Regulations 1992 and all other statutory and regulatory requirements and any codes of practice and best practice issued by the Government and applicable enforcement agencies and the Council's policies and procedures relating to health and safety.</td>
</tr>
</tbody>
</table>
| Wellbeing impacts arising from: Individual lifestyles, social and community influences, living conditions, working conditions, economic conditions, access to or quality of services or any other direct or indirect effects on health, safety and well-being? If so what are they? | Positive health, safety and wellbeing impacts:  
- The efficient delivery of Carers Assessments aims to protect the health of Carers by providing support in their caring role  
- The efficient delivery of Carers Assessments aims to improve the mental health and well-being of Carers by ensuring that they have time to enjoy life and to achieve their potential.  

Negative health, safety and wellbeing impacts:  
None |
|---|---|
| Have the impacts identified in Questions 4 to 8 been assessed using up to date and reliable evidence and data? Please provide a link to the evidence/data or state what the evidence/data is. | Cornwall Carers Service provides quarterly returns on performance monitoring which includes data on the number of Carers identified and supported. The service uses the Carers Quality of Life tool which measures improvements in key wellbeing areas to individual carers. The delivery of Carers Assessments will replace the Carers Quality of Life Tool for those Carers having an assessment.  
The initial request for the Carers Service is to undertake approximately 1,000 assessments to relieve a backlog currently with the Local Authority and thereby reduce the risk to the Carer and cared-for caused by a breakdown in caring role.  
The strategic intention if for the Carers Service to deliver more Carers Assessments subject to tender process for delivery from 1 April 2016. The new process will be defined by new service specification. For the interim period there is the potential for confusion where 2 support tools are in operation. |
The Community Intelligence Team can be asked for guidance concerning data.

Do you need to engage or consult with any representative group/s?

Are our staff affected? Have the unions or staff forums been involved? If not do they need to be?

| What plans do you have in place, or are developing, that will mitigate the likely identified negative impacts/risks? Please add these to the 'Summary of Proposals’ at the end of this  | • Communication and guidance for internal and Cornwall Carers Service staff to be completed and provided in June 2015, then again in July 2015 following a change in assessment form.  
• Clear service specification and deed of variation – June 2015.  
• Regular service reviews (fortnightly at commencement moving to monthly) market support.  

The request for Cornwall Carers Service assessors to have partial access to Mosaic is a mitigated risk for Information Management. This means that one system is being used to record Carers needs and assessments (itself a statutory requirement under the Care Act 2014), and there is less risk of error or duplication. The access requirements allow the Council to formally audit the data viewed by the assessors to ensure that access is appropriate. Cornwall Carers Service staff have access to the mandatory Information Governance e-learning training and have undertaken this. Where this has been |
| CIA. | in excess of 12 months since completion, they will undertake this again prior to accessing Mosaic.  

The Carer’s Partnership Board have public scrutiny of the strategic work delivered by Cornwall Carers Service.  

Cornwall Carers Service impact and risk assesses relevant work. Any identified risks and or impacts are mitigated and monitored through this process and through the contract management process. |
|---|---|
| What plans do you have in place to monitor the impact of the proposals once they have been implemented? The full impact of the policy/decision may only be known after the proposals have been implemented. | 1. The work undertaken by Cornwall Carers Service will be overseen by the Carers Partnership Board  
2. The Integrated Commissioning Board scrutinise the joint funding arrangement for Carers  
3. Performance of the Cornwall Carers Service is subject Quarterly contract monitoring reports, but this will be more frequent for the Carers Assessments in the short term to ensure that the new processes are embedded and functions as envisaged and to offer assistance in any problem solving that is needed. |
| Are there other implications not covered by this CIA that need to be considered? If yes then please explain. | This timescale of the delivery of the backlog of Carers Assessments is up to 31 March 2016. However, it is the Council’s strategic direction that Carers Assessments are delivered in a greater capacity by a Carers Service from 1 April 2016 and this will include looking at options such as self assessment to reduce the number of Carers that do not complete the process or for whom the result of the carers assessment is too late |
What course of action does this CIA suggest you take? More than one of the following may apply (Refer to the CIA Guidance regarding Risk Management)

| Refer to the Committee Report Template Guidance page for further information. | ✓ |

Confidential/ draft
### Outcome 1 - **Green: No change required.** The CIA has not identified any potential for adverse impact or risk. (Residual risk score of 6 or less)

| X | (without urgent procurement of support score is 20 based on catastrophic impact with probable likelihood. procurement this will be 12 base on moderate impact and possible likelihood) |

### Outcome 2 - **Amber:** Continue with the proposal but mitigate the identified risk/s. Despite the potential of an adverse risk/impact continue but make sure you have suitable mitigation plans in place to manage and monitor the risk or impact. (Residual risk score of 8 to 16)

### Outcome 3 - **Red:** Stop and rethink. The risk and or impacts may not be acceptable even with mitigation. (Residual risk score of 20+)

### Summary of your proposals
- What are the key risks/impacts – both positive and negative
- What course of action are you advising as a result of this CIA
- Are there any groups affected more than others
The 2011 census showed that there were 62,982 Carers in Cornwall (around 12% of the population), providing care of between one and over 50 hours per week. This has increased by 0.7% since 2001, when 11.3% of the population were providing unpaid care.

Cornwall Council and Cornwall Carers Service support approximately 11,000 to 16,000 carers per annum (based on average 2,500 carers supported per quarter through the Carers Service, plus those assisted through the Local Authority). Approximately 500 new carers are identified every month and the strategy aims to continue to find methods to identify and assess the needs and support Carers particularly those that are hard to reach.

Cornwall Council has considered the impact on the number of assessments it will require based on regional benchmarking, local growth and national guidance. Some national benchmarks forecast a growth rate of 50% as a result of the Care Act2. This will not be an overnight growth. Other areas, particularly in the responses given to the consultations to the Care Act place this much higher.

In order to reduce the impact on internal resources to meet its statutory duty and to ensure Carers receive support of equal priority to those to whom they provide care, the Council needs to ensure sufficient capacity is either recruited or procured to meet the demand.

The Carers Service are already commissioned by EHSC and can meet the requirement

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Summary of Impacts

The potential risk to the Council of not commissioning support to undertake assessments is significant. There is an existing 1,000 Carers assessments backlog and this will increase without resources allocated to reducing this. If support is not purchased this could have a catastrophic impact on the Council with a probable likelihood (20).

If Carers Assessments are procured this will reduce the demand on the Council, to a moderate impact (as in the longer term a solution is required in accordance with the procurement exercise for a Carers Service but with a possible likelihood (12)

Risk Assessment
The Council’s Risk Identification and Bite Size Guide has been used to assess the risks below.

<table>
<thead>
<tr>
<th>Likelihood Impact</th>
<th>Remote</th>
<th>Unlikely</th>
<th>Possible</th>
<th>Probable</th>
<th>Certain</th>
</tr>
</thead>
<tbody>
<tr>
<td>Catastrophic impact on Council</td>
<td>5</td>
<td>10</td>
<td>15</td>
<td>20</td>
<td>25</td>
</tr>
<tr>
<td>Moderate impact on Council</td>
<td>4</td>
<td>8</td>
<td>12</td>
<td>16</td>
<td>20</td>
</tr>
<tr>
<td>Limited</td>
<td>3</td>
<td>6</td>
<td>9</td>
<td>12</td>
<td>15</td>
</tr>
<tr>
<td>impact on Council</td>
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<td></td>
<td>6 HERE</td>
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</tr>
<tr>
<td>Minimal impact on Council</td>
<td>2</td>
<td>4</td>
<td></td>
<td>8</td>
<td>10</td>
</tr>
<tr>
<td>No impact on Council</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
</tbody>
</table>