

**DUNDEE CITY COUNCIL**

**REPORT TO:** SOCIAL WORK AND HEALTH COMMITTEE – 24 AUGUST 2015

**REPORT ON:** DUNDEE REGISTERED CARE HOME SERVICES FOR ADULTS CARE INSPECTORATE GRADINGS

**REPORT BY:** HEAD OF SERVICE STRATEGY, INTEGRATION, PERFORMANCE AND SUPPORT SERVICES

**REPORT NO:** 282-2015

**1.0 PURPOSE OF REPORT**

The purpose of this report is to summarise for the committee the gradings awarded by the Care Inspectorate to Dundee registered care homes for adults in the period 1 April 2014 to 31 March 2015.

**2.0 RECOMMENDATIONS**

2.1 It is recommended that the Social Work and Health Committee:

2.1.1 notes the gradings awarded, as detailed in the attached Performance Report and highlighted in paragraph 4.3 below;

2.1.2 endorses the approach to achieve continuous improvement to registered care home services within Dundee, as outlined in paragraph 4.4 below.

**3.0 FINANCIAL IMPLICATIONS**

None

**4.0 MAIN TEXT**

4.1 Background

4.1.1 The Care Inspectorate is responsible for the inspection and regulation of all registered care services in Scotland. Care homes in England are regulated by the Care Quality Commission and care homes in Wales are regulated by the Care and Social Services Inspectorate Wales. The regulatory authorities ensure that care service providers meet their respective National Care Standards and that in doing so they provide quality care services. The Care Inspectorate use a six point grading scale, against which certain key themes are graded. The grades awarded are published in inspection reports and on the Commission's website at [www.careinspectorate.com](http://www.careinspectorate.com).

4.2 There are currently 903 Dundee citizens accommodated in 27 private and voluntary care homes and 4 local authority care homes in Dundee. The client group numbers are 836 Older People; 19 Learning Disability; 30 Physical Disability, 14 Community Mental Health Team and 4 Drug and Alcohol Services.

4.3 Summary of the gradings awarded to Registered Care Home Services in Dundee 2014/15:

4.3.1 40% of grades awarded were either **6** 'excellent' (3.75%) or **5** 'very good' (36.25%).

4.3.2 11 inspections (27.5%) resulted in either grade **6** 'excellent' or grade **5** 'very good' being awarded for all of the themes inspected - this is the same as last year's figure.

4.3.3 One service (Balcarres) was graded **6** 'excellent' for Quality of Care & Support, Quality of Staffing and Quality of Management & Leadership. Another service (St Columba's) was

graded **6** 'excellent' for Quality of Care & Support and Quality of Management & Leadership. Another service (Harestane) was graded **6** 'excellent' for Quality of Management & Leadership

- 4.3.4 42.5% of grades awarded were graded **4** 'good' – this is an increase on last year's figure of 33%.
- 4.3.5 The Quality of Management & Leadership was the highest graded theme overall.
- 4.3.6 22 (14%) grades improved; 119 (74%) grades stayed the same and 19 (12%) grades downgraded compared to their previous inspection.
- 4.3.7 15% of grades awarded were graded **3** 'adequate' – this is a decrease on last year's figure of 21%.
- 4.3.8 One inspection (2.5%) resulted in either grade **1** 'unsatisfactory' or grade **2** 'weak' for each of the themes inspected. However, it should be noted that these gradings improved at the subsequent inspection to grade **3** 'adequate' for all four themes.
- 4.3.9 The following table shows the overall percentage awarded at each grade and also for each key theme.

Grade	Overall	Quality of Care and Support	Quality of Environment	Quality of Staffing	Quality of Management and Leadership
<b>6</b> excellent	3.75%	5%	-	2.5%	7.5%
<b>5</b> very good	36.25%	27.5%	40%	40%	37.5%
<b>4</b> good	42.5%	50%	47.5%	40%	32.5%
<b>3</b> adequate	15%	15%	10%	15%	20%
<b>2</b> weak	1.88%	-	2.5%	2.5%	2.5%
<b>1</b> unsatisfactory	0.62%	2.5%	-	-	-

- 4.3.10 The results have been benchmarked against those awarded to Dundee care homes in the year 2012/13, the previous year 2013/14 and all registered care home services in Scotland in the year 2013/14. The results show that the gradings for all key themes for 2014/15 compare very favourably with the gradings in the year 2012/13, and comparatively with the gradings in the previous year 2013/14 and with the gradings across Scotland for 2013/14.
- 4.3.11 Requirements were placed on 10 of the 31 services following inspection by the Care Inspectorate covering a range of issues relating to the health, welfare and safety of service users. Action plans were drawn up setting out the actions the services would take in response to these requirements.
- 4.3.12 During 2014/15 there were 12 complaints to the Care Inspectorate relating to 9 of the 31 care home services in Dundee. All of these complaints were upheld by the regulator.
- 4.4 Continuous Improvement
- 4.4.1 There continues to be a joint commitment to continuous improvement which involves the care home providers, the regulator (Care Inspectorate) and the Social Work Department. A range of processes are in place to support this improvement. Regular meetings are held between Department officers, health representatives and Dundee care home providers to discuss current issues and developments, and improvement measures to support quality improvement in Dundee. Regular learning network events are held for care home providers covering subjects such as legal issues and challenges facing care home providers.
- 4.4.2 Council officers attend Care Inspectorate feedback sessions following care home inspection visits. Service users' care needs are monitored and reviewed by the Department's Review Officers. They also undertake extra-ordinary reviews where there

are concerns either about individuals or establishments. In addition, where there is evidence of poor quality and performance, the Head of Service meets with providers to discuss proposed actions to make improvements and how the Department can support these actions.

4.4.3 *Care Home Peripatetic Team:*

The Care Home Peripatetic Team continues to provide clinical support training and skill development for nursing homes, and the role and function of this team will continue to be developed to provide the best possible health care to older people and to prevent their unnecessary admission to hospital. The team have further enhanced the discharge process from Continuing Care wards to care homes by undertaking pre-discharge visits and follow-up visits once individuals are in care homes. The team were also part of a multi-disciplinary team involved in a winter planning project within a care home which reviewed the healthcare needs of all of the care home residents.

4.4.4 *Psychiatric Liaison Team:*

The Psychiatric Liaison Team continues to provide care homes with support in caring for people with dementia and have undertaken pieces of work such as Cognitive Stimulation Therapy and Dementia Care Mapping. The team are working with the Peripatetic Team to deliver challenging behaviour training, and this work is to be further developed for future training. The team were also part of the multi-disciplinary team involved in the winter planning project.

4.4.5 *Early Indicators of Concern Tool:*

In collaboration with Hull University, Dundee City Council Social Work Department were involved in a research project and developed a tool which raises awareness about the early indicators of concern within a care home setting. A guidance document has been produced to assist staff members working in care homes to identify 'low level' indicators of concern which may, if unresolved, affect the safety and well being of service users in residential care settings. A system has also been developed for recording and information sharing, encouraging a more consistent approach and early intervention to collective concerns within care homes. The measure that this tool is achieving success has been the reduction in the number of Adult Protection concerns being recorded and an increase in the number of Early Indicators of Concern.

4.4.6 *Falls Pathway:*

The Integrated Falls Pathway was developed jointly by Social Work and Health. The pathway itself aimed to improve the support given to individuals who had fallen. A major benefit of this work was the improved communication between health and social care services. The names and contact details of every older person who attended A&E following a fall and service users assisted by Social Care Response Service (formerly known as Community Alarm) who had fallen were passed to the Falls Co-ordinator, who then made contact via telephone to ascertain what support, if any, the person required. In addition the Falls Service arranged for free OTAGO strength and balance exercise training to be delivered to staff in a number of care homes across Dundee. The training was delivered by Occupational Therapy staff from the Dundee CHP's Community Rehabilitation Team in a bid to increase the skills of staff in each care home. The aim of this training was to allow the care home staff to work with residents, undertaking exercises which would improve or help maintain their mobility.

4.4.7 *Combating Social Isolation in Care Homes:*

The third sector Reshaping Care for Older People team were approached to undertake a consultation exercise with the staff, residents and families of Craigie House to ascertain what activities they would like to undertake. As a result of this consultation, a number of changes were made to how activities are delivered, more frequent trips were made outwith the care home and three residents now have befrienders visiting them on a regular basis.

4.4.8 *Medication Reviews:*

A multidisciplinary team of health professionals was set up in January 2014 to work with care home staff to test holistic reviews of health and wellbeing of residents in Lochleven Care Home. The reviews comprise assessment of physical and mental health, medication review and discussion of Anticipatory Care Plans. Feedback from these reviews was very positive from both the care home team and health professionals. Problematic

polypharmacy was addressed resulting in a number of medicines that were no longer appropriate being stopped and time taken to do the drug round being reduced by 50%, thereby allowing staff more time to care for residents. Data suggests out of hours calls were reduced by 25% in the year following the initial reviews.

**4.4.9**     *MUST Training:*

Malnutrition Universal Screening Tool (MUST) training has been provided by NHS Tayside dietitians. MUST is a five-step screening tool to identify adults who are malnourished, at risk of malnutrition, or obese. The overall aim of the training is to empower care home staff to be able to develop person-centred nutritional care plans for all residents.

- 4.4.10**     The partnership approach to improvement will continue to be progressed through the development of the quality improvement framework with the Care Inspectorate, Dundee City Council, NHS Tayside and care home providers. This approach will support the commitment to work with relevant stakeholders and to consider how to support services to make quality improvements.

**5.0**        **POLICY IMPLICATIONS**

This Report has been screened for any policy implications in respect of Sustainability, Strategic Environmental Assessment, Anti-Poverty, Equality Impact Assessment and Risk Management.

An Equality Impact Assessment is attached to this report.

**6.0**        **CONSULTATIONS**

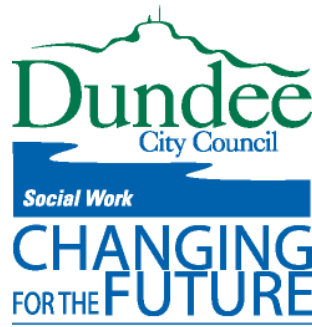
The Chief Executive, Executive Director of Corporate Services and Head of Democratic and Legal Services were consulted in the preparation of this report.

**7.0**        **BACKGROUND PAPERS**

None.

**Laura Bannerman**  
**Head of Service Strategy, Integration, Performance and Support**  
**Services**

**DATE: 12th August 2015**



**Dundee Registered  
Care Home Services  
for Adults**

# **Performance Report**

**Care Inspectorate Gradings  
1 April 2014 - 31 March 2015**



## Introduction

This report summarises the gradings awarded by the Care Inspectorate to Dundee Registered Care Home Services for the period 1 April 2014 to 31 March 2015. It benchmarks the gradings against those awarded in the previous year for Dundee Registered Care Home Services.

## Background

The Care Inspectorate is the independent scrutiny and improvement body responsible for the inspection and regulation of all registered care services in Scotland. The Care Inspectorate ensures that care service providers meet the Scottish Government's National Care Standards and that in doing so they provide quality care services.

The Care Inspectorate use a six-point grading scale (see below) against which the following key themes are graded:

- **Quality of care and support:** how the service meets the needs of each individual in its care.
- **Quality of environment:** the environment within the service, e.g. is the service clean, is it set out well, is it easy to access by people who use wheelchairs, is it safe and is there a welcoming, friendly atmosphere?
- **Quality of staffing:** the quality of the care staff, including their qualifications and training.
- **Quality of management and leadership:** how the service is managed and how it develops to meet the needs of the people it cares for.

The grading scale used is:

6	excellent
5	very good
4	good
3	adequate
2	weak
1	unsatisfactory

## Overview of the Care Home Services Inspected

The Care Inspectorate carried out 40 inspections of care home services in Dundee during the reporting period 2014/15. These inspections covered 31 care home services for adults in Dundee and included care homes for:

- Older People
- People with Learning Disabilities
- People with Physical Disabilities
- People with Mental Health Difficulties

## Who provides care home services for adults in Dundee?

The following table shows which sectors provide care home services for adults in Dundee:

Care Home Service	Data	Local Authority	Private	Voluntary	Total
Dundee	Services	4	24	3	31
	%	12.9%	77.4%	9.7%	100%

## Summary of the Gradings Awarded in Dundee

- 40% of grades awarded were either **6** 'excellent' (3.75%) or **5** 'very good' (36.25%).
- 11 inspections (27.5%) resulted in either grade **6** 'excellent' or grade **5** 'very good' being awarded for all of the themes inspected - this is the same as last year's figure.
- One service (Balcarres) was graded **6** 'excellent' for Quality of Care & Support, Quality of Staffing and Quality of Management & Leadership. Another service (St Columba's) was graded **6** 'excellent' for Quality of Care & Support and Quality of Management & Leadership. Another service (Harestane) was graded **6** 'excellent' for Quality of Management & Leadership.
- 42.5% of grades awarded were graded **4** 'good' – this is an increase on last year's figure of 33%.
- The Quality of Management & Leadership was the highest graded theme overall.
- 22 (14%) grades improved; 119 (74%) grades stayed the same and 19 (12%) grades downgraded compared to their previous inspection.
- 15% of grades awarded were graded **3** 'adequate' – this is a decrease on last year's figure of 21%.
- One inspection (2.5%) resulted in either grade **1** 'unsatisfactory' or grade **2** 'weak' for each of the themes inspected. However, it should be noted that these gradings improved at the subsequent inspection to grade **3** 'adequate' for all four themes.

The following table shows the overall percentage awarded at each grade and also for each key theme.

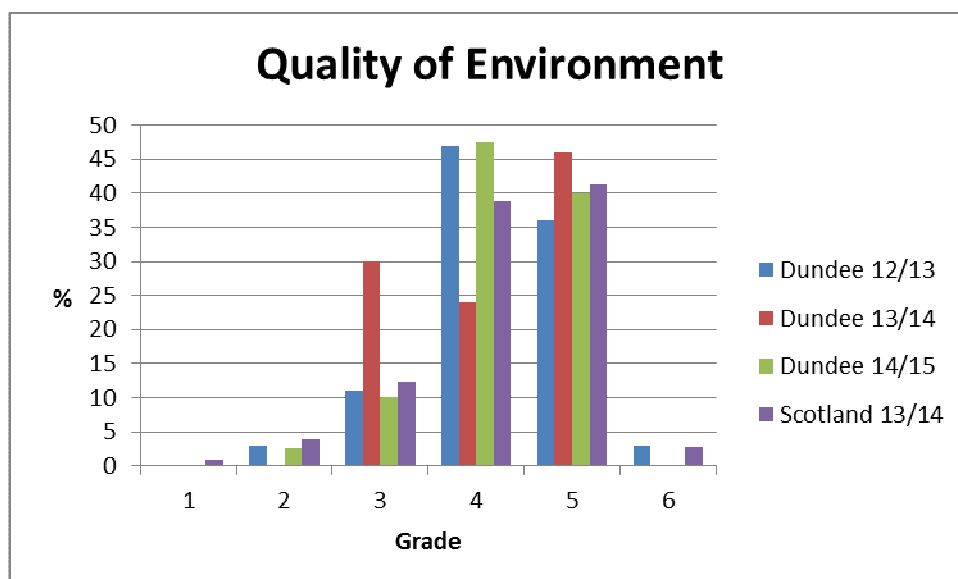
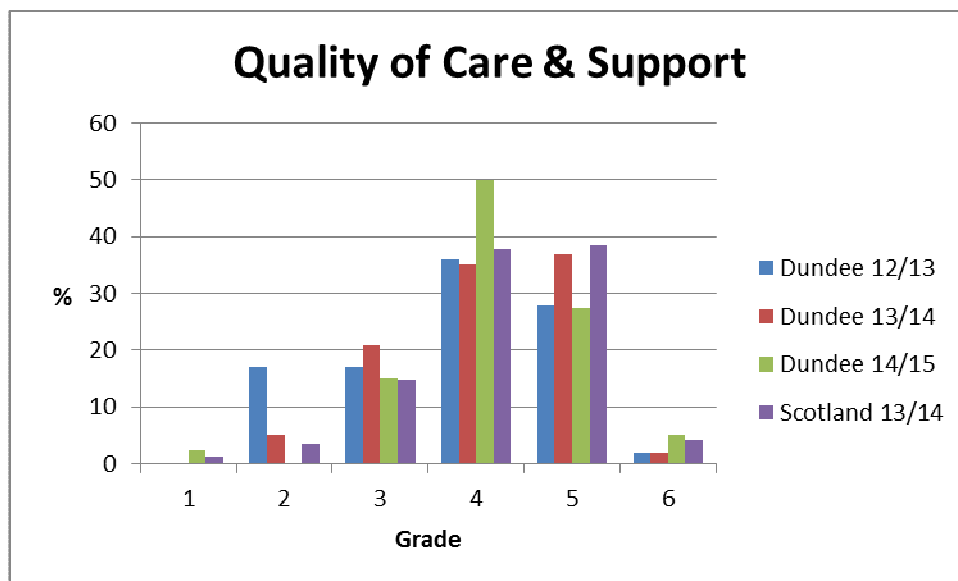
Grade	Overall	Quality of Care and Support	Quality of Environment	Quality of Staffing	Quality of Management and Leadership
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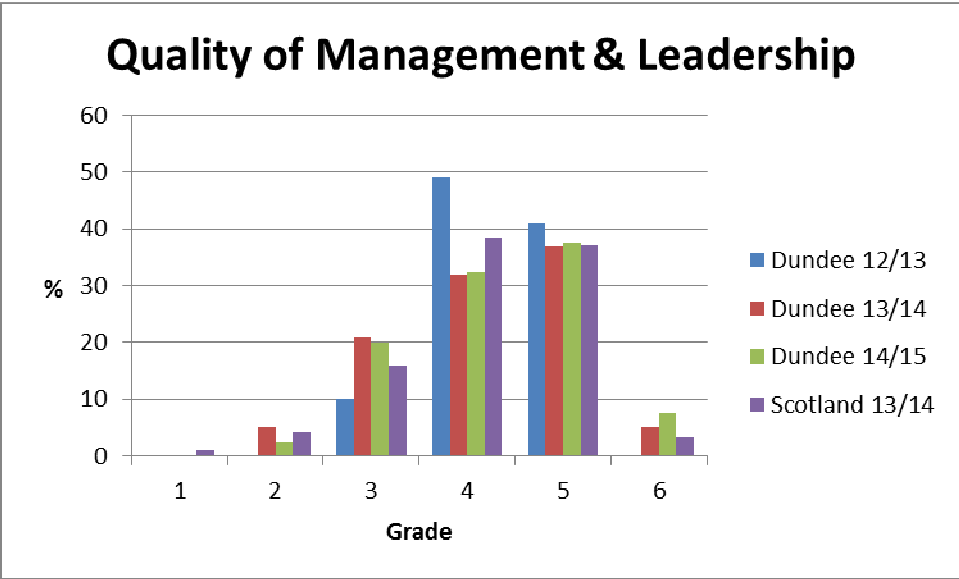


The following charts show how the gradings for care homes in Dundee for the four key themes in 14/15 compare with the gradings awarded to:

- care homes in Dundee in the year 12/13
- care homes in Dundee in the year 13/14
- care homes in Dundee in the year 14/15

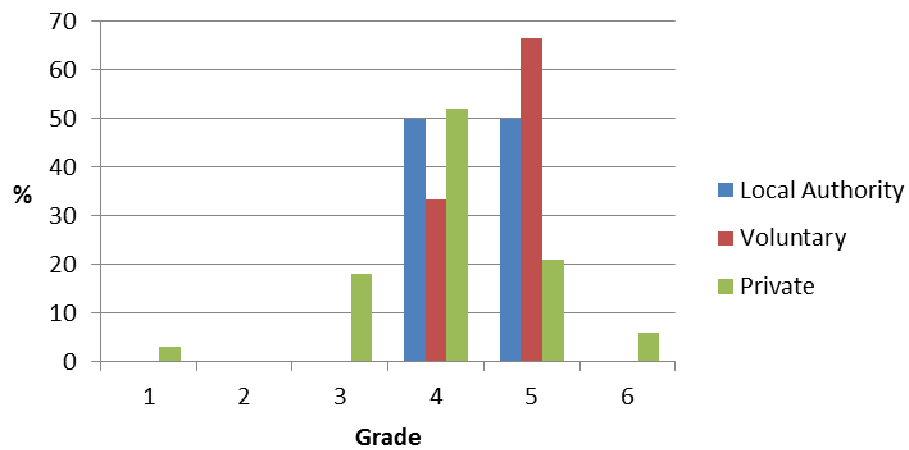
The charts show that the gradings for all key themes for 14/15 compare adequately with the gradings in the year 12/13, comparatively with the gradings in the previous year 13/14, and comparatively with the gradings across Scotland for 13/14.



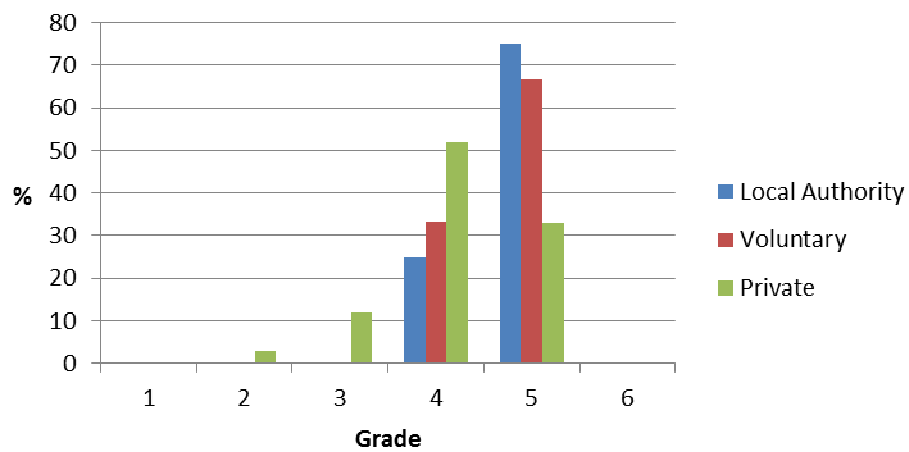


The following charts show how the gradings for care homes in Dundee for the four key themes compare between the local authority, voluntary and private sector. The charts show that the voluntary sector and local authority care homes compare favourably against the private sector care homes in all themes.

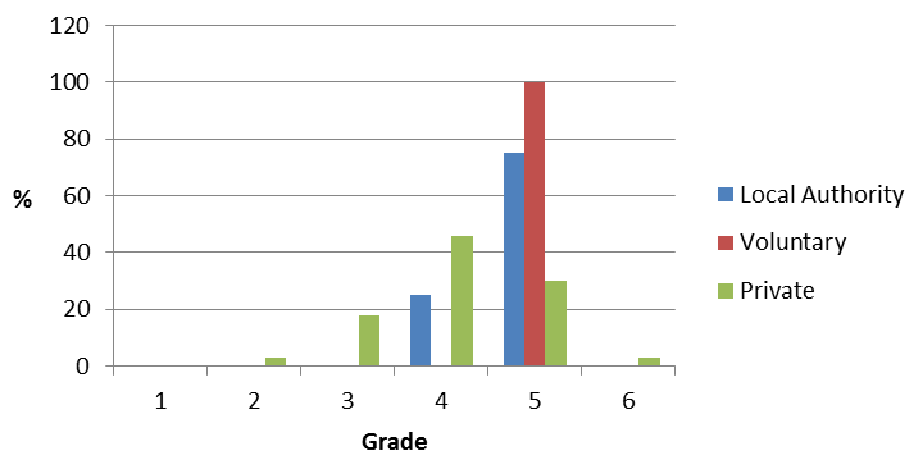
### Quality of Care & Support

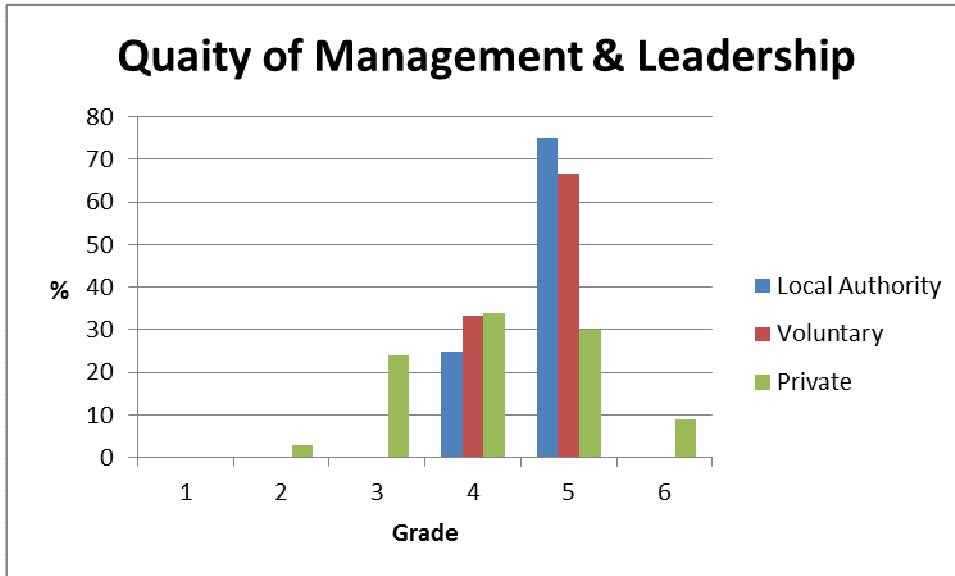


### Quality of Environment



### Quality of Staffing





The following extracts from a selection of latest Inspection Reports summarise what the services do well:

#### **Balcarres (BUPA)**

(Graded **6** 'excellent' for key themes inspected - Quality of Care & Support; Quality of Staffing and Quality of Management & Leadership and graded **5** 'very good' for Quality of Environment)

#### **What the service does well**

"The home had continued to build on the excellent practice demonstrated at the previous inspection. Care and support was provided in a very person-centred way. Comments made in one-to-one discussions with residents of the home and their relatives and from speaking with staff confirmed the residents and their families remained central to shaping the care service provision. We found the home provided exceptionally high standards of care in a welcoming and homely environment."

#### **Ferry House (Ferry House Residential Home Committee of Management)**

(Graded **5** 'very good' for all key themes inspected - Quality of Care & Support, Quality of Environment, Quality of Staffing and Quality of Management & Leadership)

#### **What the service does well**

"The management and staff team encourage stakeholders to play an active part in the development of the service. The residents and relatives said they were very pleased with the quality of the care promoted at Ferry House."

### **Janet Brougham House (Dundee City Council Social Work Department)**

(Graded **5** 'very good' for all key themes inspected - Quality of Care & Support, Quality of Environment, Quality of Staffing and Quality of Management & Leadership)

#### **What the service does well**

"Janet Brougham provides a homely and welcoming environment for residents and their families. Staff are friendly and approachable and work well together with management to meet residents' health and wellbeing needs. We received very positive feedback from residents and their relatives about the care home environment and the quality of care and support provided."

#### **Areas for Improvement**

Requirements were placed on 10 of the 31 services following inspection during 2014/15. This figure is comparable with last year. These are a summary of general issues where care home services could improve:

- Services must make proper provision for the health, welfare and safety of service users.
- Providers must ensure that personal plans are accurate and up-to-date and contain adequate information to enable staff to support service users to have their needs met.
- Performance in relation to healthcare issues: infection control, medication management, nutrition and hydration. Providers must ensure that policies and procedures are in place for the assessment, record keeping and management of these healthcare needs.
- Providers must ensure that service users are provided with a choice in the way the service is provided to them.
- Providers must ensure that all accidents are fully recorded in the appropriate documentation.
- Services should ensure that buildings, facilities, furnishings and equipment are fit for purpose.

#### **Complaints**

During 2014/15 there were 12 complaints to the Care Inspectorate relating to 9 of the 31 care home services in Dundee. Again, this figure is comparable to the 12 complaints in 2013/14. All of these complaints were upheld by the regulator and related to the following issues:

- General health and welfare
- Healthcare (medication; infection control; nutrition and tissue viability)
- Communication (between staff and service users/relatives)
- Staff levels
- Policies and procedures – complaints procedure
- Environment

#### **Continuous Improvement**

There continues to be a joint commitment to continuous improvement which involves the care home providers, the regulator (Care Inspectorate) and the Social Work Department. A range of processes are in place to support this improvement. Regular meetings are held between Department officers, health representatives and Dundee care home providers to discuss current issues and developments, and improvement measures to support quality improvement

in Dundee. Regular learning network events are held for care home providers covering subjects such as legal issues and challenges facing care home providers.

Council officers attend Care Inspectorate feedback sessions following care home inspection visits. Service users' care needs are monitored and reviewed by the Department's Review Officers. They also undertake extra-ordinary reviews where there are concerns either about individuals or establishments. In addition, where there is evidence of poor quality and performance, the Head of Service meets with providers to discuss proposed actions to make improvements and how the Department can support these actions.

#### *Care Home Peripatetic Team*

The Care Home Peripatetic Team continues to provide clinical support training and skill development for nursing homes, and the role and function of this team will continue to be developed to provide the best possible health care to older people and to prevent their unnecessary admission to hospital. The team have further enhanced the discharge process from Continuing Care wards to care homes by undertaking pre-discharge visits and follow-up visits once individuals are in care homes. The team were also part of a multi-disciplinary team involved in a winter planning project within a care home which reviewed the healthcare needs of all of the care home residents.

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#### *Early Indicators of Concern Tool*

In collaboration with Hull University, Dundee City Council Social Work Department were involved in a research project and developed a tool which raises awareness about the early indicators of concern within a care home setting. A guidance document has been produced to assist staff members working in care homes to identify 'low level' indicators of concern which may, if unresolved, affect the safety and well being of service users in residential care settings. A system has also been developed for recording and information sharing, encouraging a more consistent approach and early intervention to collective concerns within care homes. The measure that this tool is achieving success has been the reduction in the number of Adult Protection concerns being recorded and an increase in the number of Early Indicators of Concern.

#### *Falls Pathway*

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#### *Combatting Social Isolation in Care Homes*

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### *MUST Training*

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The partnership approach to improvement will continue to be progressed through the development of the quality improvement framework with the Care Inspectorate, Dundee City Council, NHS Tayside and care home providers. This approach will support the commitment to work with relevant stakeholders and to consider how to support services to make quality improvements.

### **Next Steps**

The content of this report will be subject to consideration by the Social Work Directorate in order to determine improvement targets and the necessary approaches to achieve these.

The report will also be submitted to the Council's Social Work & Health Committee.

Appendix 1 provides full details of the grades awarded to each service for each of the key themes inspected.





## Summary of Care Inspectorate Gratings for Care Homes in Dundee - 1 April 2014 to 31 March 2015

	Category L/A/ Private /Vol	Inspection Date	Quality of Care & Support		Quality of Environment		Quality of Staffing		Quality of Management & Leadership	Requirements
Balcarres Care Home	P	25.02.15	6		5		6		6	No
Balhousie Clement Park Care Home	P	09.07.14	4		4		4		4	No
Balhousie Clement Park Care Home	P	19.03.15	3↓		4		4		3↓	No
Ballumbie Court Care Home	P	22.08.14	4		5↑		4		5↑	Yes
Ballumbie Court Care Home	P	20.03.15	4		5		4		5	Yes
Bervie Care Home	P	15.08.14	4↓		5		5		5	Yes
Brae Cottage Residential Home	P	03.02.15	4↓		3↓		4		3↓	Yes
Bridge View House Nursing Home	P	20.02.15	4		4		4		4	No
Bughties Care Home Service	P	24.10.14	4		4		4		4	Yes
Carmichael House Care Home Service	P	31.10.14	4		4		4		4	No
Carmichael House Care Home Service	P	30.03.15	4		4		4		4	No
Craigie House	L/A	12.01.15	4		5		5		5	No
Ellen Mhor Care Home Service	P	28.04.14	5		5		5		5	No

Legend:

6	excellent
5	very good
4	good
3	adequate
2	weak
1	unsatisfactory

↑ signifies that the grade has improved since the previous inspection  
 ↓ signifies that the grade has fallen since the previous inspection  
 no arrow signifies the grade has stayed the same grade  
 where there is no grade this signifies that the theme was not inspected

	Category L/A/ Private /Vol	Inspection Date	Quality of Care & Support		Quality of Environment		Quality of Staffing		Quality of Management & Leadership	Requirements
Ferry House Residential Home	V	22.04.13	5		5		5		5↑	No
Forebank Care Home Service	P	31.10.14	5↑		5↑		5↑		5↑	No
Harestane Nursing Home	P	22.04.14	5		5		5		6↑	No
Helenslea Care Home	P	07.08.14	1↓		2↓		2↓		2↓	Yes
Helenslea Care Home	P	17.12.14	3↑		3↑		3↑		3↑	Yes
Janet Brougham House	L/A	08.12.14	5		5		5		5	No
Linlathen Neurodisability Centre	P	22.01.15	4		4		4		4	No
Lochleven Care Home	P	05.09.14	4		5		5		5	Yes
Magdalen House Care Home	P	15.05.14	3		3		3		3	No
Magdalen House Care Home	P	03.12.14	4↑		4↑		4↑		4↑	No
Menzieshill House	L/A	06.11.14	5		5		5		5	No
Moyness Nursing Home	P	15.08.14	4		4		4		4	No
Orchar Nursing Home	P	08.09.14	5		5		5		5	No
Pitkerro Care Centre	P	05.09.14	3		4↑		3		3	Yes
Pitkerro Care Centre	P	19.03.15	4↑		4		3		4↑	Yes

Legend:

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	Category L/A/ Private /Vol	Inspection Date	Quality of Care & Support		Quality of Environment		Quality of Staffing		Quality of Management & Leadership	Requirements
Redwood House Care Home Service	P	01.07.14	3		4↑		3↓		3	Yes
Redwood House Care Home Service	P	06.02.15	3		3↓		3		3	Yes
Riverside View Care Home Service	P	06.06.14	4		4		4		4	Yes
Riverside View Care Home Service	P	11.03.15	4		4		4		3↓	Yes
Rose House Care Home Service	P	12.12.14	5		5		5		5	No
South Grange Care Home	P	05.09.14	5		4		5		5	No
South Grange Care Home	P	25.02.14	5		4		5		5	No
St Columba's Care Centre	P	10.11.14	6↑		5		5		6↑	No
St Margaret's Care Home Service	V	12.03.15	4↓		4↓		5		4↓	No
St Ronan's Care Home	P	18.12.14	4		4		4		4	No
Turriff House	L/A	19.09.14	4↓		4↓		4		4↓	Yes
Wellburn Care Home Service	V	30.03.15	5		5		5		5	No

Legend:

6	excellent
5	very good
4	good
3	adequate
2	weak
1	unsatisfactory

↑ signifies that the grade has improved since the previous inspection  
 ↓ signifies that the grade has fallen since the previous inspection  
 no arrow signifies the grade has stayed the same grade  
 where there is no grade this signifies that the theme was not inspected



## EQUALITY IMPACT ASSESSMENT TOOL

### Part 1: Description/Consultation`

<b>Is this a Rapid Equality Impact Assessment (RIAT)?</b>		Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
<b>Is this a Full Equality Impact Assessment (EQIA)?</b>		Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
<b>Date of Assessment:</b>	16 July 2015	<b>Committee Report Number:</b>	282-2015
<b>Title of document being assessed:</b>		Dundee Registered Care Homes for Adults	
<b>1. This is a new policy, procedure, strategy or practice being assessed</b> (If yes please check box) <input type="checkbox"/>		<b>This is an existing policy, procedure, strategy or practice being assessed?</b> (If yes please check box) <input checked="" type="checkbox"/>	
<b>2. Please give a brief description of the policy, procedure, strategy or practice being assessed.</b>		The purpose of this report is to summarise for the committee the gradings awarded by the Care Inspectorate to Dundee registered care homes for adults in the period 1 April 2014 to 31 March 2015.	
<b>3. What is the intended outcome of this policy, procedure, strategy or practice?</b>		Continue to support the partnership approach to the quality improvement agenda for care home services in Dundee.	
<b>4. Please list any existing documents which have been used to inform this Equality and Diversity Impact Assessment.</b>		Care Inspectorate inspection reports for 2014/15 and Dundee Registered Care Home Services Performance Report for 2014/15.	
<b>5. Has any consultation, involvement or research with protected characteristic communities informed this assessment? If yes please give details.</b>		Service users, staff and relatives are consulted during the inspection process.	
<b>6. Please give details of council officer involvement in this assessment.</b>  (e.g. names of officers consulted, dates of meetings etc)		Joyce Barclay Diane McCulloch Jenny Hill Annette Thomson	
<b>7. Is there a need to collect further evidence or to involve or consult protected characteristics communities on the impact of the proposed policy?</b>  (Example: if the impact on a community is not known what will you do to gather the information needed and when will you do this?)		No.	

## Part 2: Protected Characteristics

Which protected characteristics communities will be positively or negatively affected by this policy, procedure or strategy?

NB Please place an X in the box which best describes the "overall" impact. It is possible for an assessment to identify that a positive policy can have some negative impacts and visa versa. When this is the case please identify both positive and negative impacts in Part 3 of this form.

If the impact on a protected characteristic communities are not known please state how you will gather evidence of any potential negative impacts in box Part 1 section 7 above.

	Positively	Negatively	No Impact	Not Known
Race, Ethnic Minority Communities including Gypsies and Travellers	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Gender	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Gender Reassignment	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Religion or Belief	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
People with a disability	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Age	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Lesbian, Gay and Bisexual	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Socio-economic	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Pregnancy & Maternity	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Other (please state)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

### Part 3: Impacts/Monitoring


<p><b>1. Have any positive impacts been identified?</b></p> <p>(We must ensure at this stage that we are not achieving equality for one strand of equality at the expense of another)</p>	<p>There has been an improvement in the quality of care provided in care home services which has resulted in an improvement in quality of life for service users.</p>
<p><b>2. Have any negative impacts been identified?</b></p> <p>(Based on direct knowledge, published research, community involvement, customer feedback etc. If unsure seek advice from your departmental Equality Champion.)</p>	<p>No.</p>
<p><b>3. What action is proposed to overcome any negative impacts?</b></p> <p>(e.g. involving community groups in the development or delivery of the policy or practice, providing information in community languages etc. See Good Practice on DCC equalities web page)</p>	<p>N/A</p>
<p><b>4. Is there a justification for continuing with this policy even if it cannot be amended or changed to end or reduce inequality without compromising its intended outcome?</b></p> <p>(If the policy that shows actual or potential unlawful discrimination you must stop and seek legal advice)</p>	<p>N/A</p>
<p><b>5. Has a 'Full' Equality Impact Assessment been recommended?</b></p> <p>(If the policy is a major one or is likely to have a major impact on protected characteristics communities a Full Equality Impact Assessment may be required. Seek advice from your departmental Equality lead.)</p>	<p>No</p>
<p><b>6. How will the policy be monitored?</b></p> <p>(How will you know it is doing what it is intended to do? e.g. data collection, customer survey etc.)</p>	<p>Care home services will continue to be inspected by Care Inspectorate and monitored and reviewed by Dundee City Council Social Work Department officers.</p>

**Part 4: Contact Information**

<b>Name of Department or Partnership</b>	Dundee City Council Social Work Department
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<b>Type of Document</b>	
Human Resource Policy	<input type="checkbox"/>
General Policy	<input type="checkbox"/>
Strategy/Service	<input type="checkbox"/>
Change Papers/Local Procedure	<input type="checkbox"/>
Guidelines and Protocols	<input type="checkbox"/>
Other – Performance and monitoring report	<input checked="" type="checkbox"/>

<b>Manager Responsible</b>	<b>Author Responsible</b>
<b>Name:</b> Diane McCulloch	<b>Name:</b> Annette Thomson
<b>Designation:</b> Head of Service, Community Care	<b>Designation:</b> Contracts Officer
<b>Base:</b> Social Work Offices Claverhouse, Dundee	<b>Base:</b> Social Work Offices, Dundee House
<b>Telephone:</b> 01382 438302	<b>Telephone:</b> 01382 433303
<b>Email:</b> diane.mcculloch@dundeecity.gov.uk	<b>Email:</b> annette.thomson@dundeecity.gov.uk

<b>Signature of author of the policy:</b>	Annette Thomson	<b>Date:</b> 21/07/2015
<b>Signature of Director/Head of Service:</b>		<b>Date:</b> 21/07/2015
<b>Name of Director/Head of Service:</b>	Diane McCulloch	
<b>Date of Next Policy Review:</b>	August 2016	



## **DUNDEE CITY COUNCIL**

**REPORT TO: SOCIAL WORK AND HEALTH COMMITTEE – 24 AUGUST 2015**

**REPORT ON: COMMUNITY JUSTICE (SCOTLAND) BILL CONSULTATION – RESPONSE TO CONSULTATION**

**REPORT BY: HEAD OF SERVICE STRATEGY, INTEGRATION, PERFORMANCE & SUPPORT SERVICES**

**REPORT NO: 286-2015**

### **1.0 PURPOSE OF REPORT**

- 1.1 Previous reports on the Scottish Government consultation on re-designing the community justice system were approved by Committee in March 2013 (reference is made to Article V1 of the minute of the meeting of Policy and Resources Committee held on 11<sup>th</sup> March 2013 where report 106-2013 was submitted in relation to Re-designing the Community Justice System: A Consultation on Proposals) and in June 2014 (reference is made to Article II of the minute of the meeting of the Social Work and Health Committee held on 23<sup>rd</sup> June 2014 where report 259-2014 was submitted in relation to Re-designing the Community Justice System: A Consultation on Proposals). The Scottish Government has now introduced the Community Justice (Scotland) Bill and is seeking further views. This report advises the Committee of the content of the response which was required to be submitted to the Scottish Government by 12<sup>th</sup> August 2015.

### **2.0 RECOMMENDATIONS**

- 2.1 It is recommended that the Social Work and Health Committee:
- 2.1.1 Note the detail of the Community Justice (Scotland) Bill and the implications for the Tayside Community Justice Authority (CJA) and a defined set of local community justice partners as outlined in paragraph 4.3 of this report;
- 2.1.2 Note the Head of Strategy, Integration, Performance and Support Services response to the Bill, appended to this report, which reflects strengths in earlier proposals and includes some areas which require further consideration;
- 2.1.3 Instruct the Head of Service Strategy, Integration, Performance and Support Services to continue to work with the Tayside Community Justice Authority, Community Planning Partnership and key statutory and third sector partners to facilitate the transition to new arrangements.

### **3.0 FINANCIAL IMPLICATIONS**

- 3.1 Responsibilities for strategic planning will transfer from CJAs to a new national body and a defined set of local community justice partners, an initial £50,000 per year has been made available to local authorities to support the transition up to 2018 however the longer term funding arrangements are not yet known.
- 3.2 The Bill proposes that the new national body, Community Justice Scotland, will have responsibility for commissioning some national services and further work will be required in relation to the interface with locally commissioned services.

### **4.0 MAIN TEXT**

- 4.1 The Community Justice (Scotland) Bill follows the Scottish Government consultation on re-designing the community justice system. It was informed by recommendations made by both the Commission on Women Offenders and Audit Scotland reports on the operation of the criminal justice system, which concluded that there was an overly cluttered national landscape involving numerous agencies delivering variable services in different areas, lack of transparency, limited focus on outcomes and complex funding arrangements which impacted on sustainability.
- 4.2 The Bill has also been informed by subsequent consultation, which initially proposed one of 3 models involving a national, regional or local approach towards the management, commissioning and delivery of services to adults who commit offences. The outcome combines national and local, whereby a new body, Community Justice Scotland, would have responsibilities to 'provide national, professional and strategic leadership; provide assurances to Ministers and COSLA through oversight of performance; and to run a national hub for innovation, learning and development'.
- 4.3 The Bill confirms that CJAs will be abolished and their responsibilities transferred to the national body and a defined set of local community justice partners. These partners will include local authorities, NHS Boards, Chief Constable of Police Service Scotland, Scottish Fire and Rescue Service, Health and Social Care Integration Joint Boards, Skills Development Scotland, Scottish Courts and Tribunals Service and Scottish Ministers in their role as the Scottish Prison Service. It notes that the new body will collaborate with these partners in the development of a national strategy and performance framework. The Bill states these partners will have statutory responsibilities to cascade these at a local level and provide annual progress reports. Clearly, a number of these partners are also formally represented on Community Planning Partnerships. The Bill notes that the Government intends to enact the new legislation, establish the new national body, develop the strategic plan and performance framework and transfer responsibilities to the defined set of partners by 2017.
- 4.4 To date, the Social Work and Health Committee has supported the general principles, aims and objectives outlined in the consultation. In general, the Bill reflects both the national and local position on how issues identified by the Commission and Audit Scotland could be resolved. The response argues that the Bill would be strengthened if a number of areas were given further consideration specifically around governance, accountabilities and interfaces in relation to Chief Social Work Officer roles and responsibilities and bodies such as the Care Inspectorate.
- 4.5 The Bill notes that the defined set of local partners will have a 'duty to co-operate' with the development and implementation of strategic plans. The response argues that for the "duty to co-operate" to be effective, a performance framework will require to be established so that agencies are aware of what this new duty entails.
- 4.6 It is also suggested that the approach would be strengthened if the definition of community justice was broadened to include areas focused on prevention such as diversion from prosecution which would also ensure the Crown Office Procurator Fiscal Service (COPFS) was included as a community justice partner.
- 4.7 Locally, community justice partners continue to work collaboratively in response to the proposed new arrangements. The £50,000 additional funding being made available up to 2018 will be used to create a Senior Officer post to work in partnership with key agencies, lead on the preparation of a local multi-agency strategic plan to reduce re-offending, prepare related annual reports and carry out an extensive audit of levels and types of demand to inform priorities and longer-term resource allocation within and between the partners. A key part of this will involve ongoing liaison with the CJA.

## 5 **POLICY IMPLICATIONS**

This Report has been screened for any policy implications in respect of Sustainability, Strategic Environmental Assessment, Anti-Poverty, Equality Impact Assessment and Risk Management.

There is an Equality Impact Assessment attached to this report.

## **6.0 CONSULTATIONS**

The Chief Executive, Executive Director of Corporate Services and Head of Democratic and Legal Services were consulted in the preparation of this report.

## **7.0 BACKGROUND PAPERS**

- 7.1 The Community Justice (Scotland) Bill 2015 can be found on the Scottish Government website.

**Laura Bannerman**  
**Head of Service Strategy, Integration,**  
**Performance & Support Services**

**DATE: 7 August 2015**



## **Community Justice (Scotland) Bill**

**Response from Laura Bannerman, Head of Strategy, Integration, Performance and Support Services, Dundee City Council**

- 1. Will the proposals in the Bill transform the community justice system in the way envisaged by the Commission on Women Offenders in its 2012 report, such as addressing the weaknesses identified in the current model, tackling re-offending and reducing the prison population?**

The Commission on Women Offenders said weaknesses in the current model involved structural and funding arrangements. It said there was a fragmented national landscape with numerous agencies delivering variable services in different geographical areas, short-term funding which impacted upon the sustainability of even effective services and a limited focus on outcomes. An Audit Scotland report on the criminal justice system similarly commented on an overly complex landscape, inadequate performance monitoring and a weak approach towards best value. It appears clear that both these reports have informed the Government response in ultimately developing the new Community Justice (Scotland) Bill and progressing various related projects as part of the Reducing Re-offending Programme 2. In our view, proposals in the Bill should go some way to help to simplify the landscape and generate consistent, evidence based, outcome focused, transparent and improvement orientated multi-agency approaches towards reducing re-offending. However, it is also our view that this is dependant upon a number of contingencies and that the Bill could even introduce a range of new issues which, if not resolved, could prove even more problematic.

As such, the effectiveness of the Bill will depend upon strong leadership within both the new body of Community Justice Scotland and the defined set of community justice partners which is applied equally to all agencies to promote a collective approach; absolute clarity on the roles, responsibilities and accountabilities of the new body and local community planning partners; guidance on best practice which reflects an appropriate organisational development model; a new multi-agency performance framework which targets resources towards key priorities known to reflect research on what works; sufficient multi-agency funding to meet types and levels of demand; and robust self-evaluation and external inspection. At the very least, the strategy, performance framework and funding arrangements would need to be addressed and resolved either as part of or running in parallel with the Bill, so partners can make informed comments on both the principles and the practical implications of the proposed duty to cooperate and ways this will be monitored. As these works streams do not appear to have reached the same stage of development, this may involve extending the timetable.

In respect of the extent to which the Bill addresses issues outlined by the Commission and Audit Scotland, it also seems unlikely that it will directly influence sentencing decisions in its current format. As we share views that judicial discretion should not be compromised, the proposed new strategy and performance framework should therefore drive improved

approaches towards the involvement of and communication with the Sheriffs Court. Equally, the continued roll out of initiatives focusing on the needs of particular groups which commit a disproportionate amount of crime and/or experience high remand or custody rates, such as women, persistent offenders and repeat short-term prisoners, is also necessary and should be encouraged as part of the strategy and performance framework. This appears to be an ultimate intention of the Bill with leadership discharged by the new body and community justice partners. However, more detail at this stage on the strategy and performance framework would help inform comments on the extent to which they could be implemented and whether or not it would make a difference to current weaknesses.

**2. Are you content that the definition of ‘community justice’ in the Bill is appropriate?**

No, the definition appears to be too restrictive. Instead of focusing just on sentence disposals and the management of offenders, it should encompass the criminal justice system as a whole, from arrest to sentence. Within this, the definition of community justice could be widened to include the principles, aims and objectives outlined in summary justice reforms. In this respect, it is essential that, building on research on what works to reduce re-offending, the definition includes reference to the right agency doing the right things at the right time with the right person based on levels of risk and need. In this context, there is also a significant gap in the list of proposed community justice partners, which does not at present include the Crown Office Procurator Fiscal Service. The involvement of COPFS in such schemes as Early and Effective Intervention, Diversion from Prosecution and Fiscal Work Orders is essential. The involvement of COPFS has also been shown to be effective in identifying and intervening proportionately with persistent offenders appearing in Court.

**3. Will the proposals for a new national body (Community Justice Scotland) lead to improvements in areas such as leadership, oversight, identification of best practice and commissioning of services?**

The proposed new body is welcome in terms of its proposed functions to provide national, professional and strategic leadership; to provide assurance to Ministers and COSLA through oversight of performance; and to run a national hub for innovation, learning and development. The appropriate development of a new national strategy and performance framework will be particularly important and must reflect the vision of collective, multi-agency responsibility to contribute towards reductions in re-offending. In order to be embraced and implemented at a local level, both the strategy and performance framework must be developed collaboratively with partners. Once they have been developed and are being implemented, centralised oversight, benchmarking, knowledge exchange and support should promote continuous improvement within and between agencies and areas. In our view, this type of collaborative and flexible leadership, rather than a hierarchical type of approach, will offer more scope for innovation in the longer-term.

However, there continues to be some ambiguity in the roles, responsibilities and accountabilities of the new body and partners. The Bill states, for instance, that ‘partners will not be accountable to Community Justice Scotland for operational delivery’ and ‘local

authorities will be accountable through their own locally established structures'. Yet it goes on to state that Community Justice Scotland will 'have powers to direct community justice partners to publish Community Justice Scotland's assessment of its performance; to notify it of actions they will take to deliver improvements; and to make recommendations to Ministers on rescue taskforces, how funding is used and requirements for local inspections'. Contrary to the recommendations of the Commission on Women Offenders, these do not appear to be 'clear lines of governance'. It is understood that assurances had been given that within the parameters of the new, mutually agreed national strategy and performance framework, the new body would provide collaborative support.

Similarly, in terms of governance, the Bill does not make reference to the roles and responsibilities of Chief Social Work Officers under the Social Work (Scotland) Act 1968. The overall objective of the CSWO is to ensure the provision of effective, professional advice and guidance to local authorities, elected members and officers, in the delivery of Social Work services. The CSWO assists the local authority in understanding the complexities of Social Work service provision and commissioning, including particular issues such as corporate parenting, child protection, adult protection, the management of high risk offenders and the role Social Work plays in contributing towards national and local outcomes. They have responsibility for overall performance improvement and the identification and management of corporate risk in so far as these relate to Social Work services. It would be helpful if the Bill could reiterate that these roles will be safeguarded and even promoted in any new arrangement. In terms of oversight and scrutiny of Social Work services, it would also be helpful if the Bill could clarify the relationship of the new body with the Care Inspectorate.

The principle of managing, delivering and commissioning services in accordance with research on effective practice, local demographics and best value is again welcome. However, the Bill appears to give the impression that there will be an open market for the delivery of all services which similarly ignores existing statutory responsibilities and current local arrangements. In this respect, the Bill could helpfully make reference to duties placed on local authorities, again under the Social Work (Scotland) Act 1968, to deliver certain services to offenders in the criminal justice system. These responsibilities are discharged by Social Work and may or may not already involve Social Work commissioning services at a local level to meet their obligations. It follows that the Bill could provide more detail on the powers available to the new body to commission national services and the processes it would be required to follow, in terms of which services could be commissioned, the extent to which the new body would need to consult and the circumstances in which partners could opt out of proposed arrangements.

**4. Taking into account the reforms set out in the Community Empowerment (Scotland) Bill relating to Community Planning Partnerships, will Community Justice Partners have the powers, duties and structures required to effectively perform their proposed role in relation to community justice?**

The Community Empowerment (Scotland) Bill makes provisions to allow Ministers to determine national outcomes, requires bodies to consult on and participate in local

community planning, to involve communities, to review and report on progress and to comply with guidance. It therefore reflects the Community Justice (Scotland) Bill, which includes the same provisions but with a specific focus on community justice. This is helpful as it reinforces the importance of all stakeholders developing a collective and shared approach towards the development of inter-dependant services. However, whilst this approach is broadly welcome, it is essential that the Community Empowerment partners are wholly consistent with Community Justice partners; that new national outcomes are consistent with those in community justice; that partners are consulted on the details of any new national outcomes, performance framework and guidance; that in terms of governance the relationship between any new national body and local partners is absolutely clear; that local partners retain discretion over local structures; and that local partners also retain a reasonable degree of discretion over the commissioning of services to meet outcomes.

**5. Does the Bill achieve the right balance between national and local responsibility?**

No, there are apparent ambiguities and contradictions which could lead to significant tensions between national and local bodies and undermine arrangements unless resolved.

**6. Will the proposed reforms support improvement in terms of:**

- a) **Leadership, strategic direction and planning?** Yes, supported by legislative requirements, the new body will be well placed to collaboratively develop a new national vision, strategy, plan and performance framework for community justice partners operating at national and local levels. A requirement to report on local arrangements will promote transparency and continuous improvement. However, this is clearly dependant upon the suitability of the national framework.
- b) **Consultation and accountability?** Yes, in the sense of the new body being required to consult with partners on the development of the vision, strategy, plan and performance framework and of those partners being accountable to local Elected Members. However, ambiguous national and local governance arrangements are a key issue which needs to be resolved. The Bill should include an explicit statement which removes any sense of uncertainty in this respect.
- c) **Partnership and collaboration?** Yes, at a national and local level both the Community Empowerment and Community Justice Bills clearly promote partnership working between Government, local partners and local communities. However, there appears to be a risk of this being undermined if the ambiguities in respect of governance arrangements remain. It is also crucial that the new performance framework is realistic and that sufficient funding is provided to meet demands.
- d) **Commissioning of services and achieving best value for money?** No, at present proposed arrangements for the commissioning of services, in terms of the type of services which could be commissioned and the decision making processes on opting in and out of national arrangements, appear too vague. There must also be an



approach towards best value which reflects the nature of services being delivered to often hard to reach client groups with complex needs, as well as impact and cost.

**7. Are the resources, as set out in the Financial Memorandum, sufficient to transform the community justice system in the way envisaged by the Commission on Women Offenders in its 2012 report?**

The Summary of Costs outlined in Table A appear sufficient to establish and run Community Justice Scotland, develop the new strategy and performance framework and support the transition from Community Justice Authorities to Community Planning Partnerships up to 2017-18. The annual running costs of the new body appear to reflect the overall cost of the 8 CJAs. The extent to which this will reflect best value seems to be at least partially dependant upon the points raised in this response.

However, beyond 2017-18, the Bill does not provide any illustration of additional costs for partners associated with the planning and reporting on community justice. Moreover, the Bill does not provide any detail on the proposed new performance framework, including any resource implications. Overall, it lacks clarity on the long-term funding arrangements for the management, commissioning and delivery of community justice, including the issue of short-term funding. It therefore seems to fail to address key issues identified by the Commission.

**8. Is the timetable for moving to the new arrangements by 1 April 2017 achievable?**

No, whilst it is clearly important to maintain forward momentum, the timetable seems too ambitious to allow the issues upon which the success of the Bill is dependant to be adequately addressed. Crucially, these include a wider definition of community justice; absolute clarity on national and local governance arrangements and accountabilities, including the role of the CSWO; more detail on the proposed new performance framework and its resource implications; and more detail on overall funding formulas and allocations.

**9. Could the proposals in the Bill be improved and, if so, how?**

It would appear that there is now an opportunity for the Scottish Government to unequivocally outline national and local governance arrangements and consult with community justice partners on crucial details which are presently missing from the Bill. Whilst the Bill goes some way towards addressing the issues outlined by both the Commission on Women Offenders and Audit Scotland, the absence of these details makes it very difficult to comment on the full extent to which the identified issues will be resolved.



## EQUALITY IMPACT ASSESSMENT TOOL

### Part 1: Description/Consultation

<b>Is this a Rapid Equality Impact Assessment (RIAT)?</b>		Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
<b>Is this a Full Equality Impact Assessment (EQIA)?</b>		Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
<b>Date of Assessment:</b> (dd/mm/yyyy)	<b>Committee Report Number:</b> 286-2015		
<b>Title of document being assessed:</b>	Committee Report -Community Justice (Scotland) Bill 2015		
<b>1. This is a new policy, procedure, strategy or practice being assessed</b> (If <b>Yes</b> please check box) <input type="checkbox"/>	<b>This is an existing policy, procedure, strategy or practice being assessed?</b> (If <b>Yes</b> please check box) <input type="checkbox"/>		
<b>2. Please give a brief description of the policy, procedure, strategy or practice being assessed.</b>	Following recommendations by the Commission on Women Offenders, the Bill reflects the outcome of Scottish Government consultations on re-designing the community justice system.		
<b>3. What is the intended outcome of this policy, procedure, strategy or practice?</b>	To promote a nationally consistent and locally accountable approach to the management, commissioning and delivery of services to adult offenders.		
<b>4. Please list any existing documents which have been used to inform this Equality and Diversity Impact Assessment.</b>	Community Justice (Scotland) Bill 2015		
<b>5. Has any consultation, involvement or research with protected characteristic communities informed this assessment?</b> If <b>Yes</b> please give details.	No		
<b>6. Please give details of council officer involvement in this assessment.</b> (e.g. names of officers consulted, dates of meetings etc)	Glyn Lloyd		
<b>7. Is there a need to collect further evidence or to involve or consult protected characteristics communities on the impact of the proposed policy?</b> (Example: if the impact on a community is not known what will you do to gather the information needed and when will you do this?)	No		

## Part 2: Protected Characteristics

Which protected characteristics communities will be positively or negatively affected by this policy, procedure or strategy?

NB Please place an X in the box which best describes the “overall” impact. It is possible for an assessment to identify that a positive policy can have some negative impacts and visa versa. When this is the case please identify both positive and negative impacts in Part 3 of this form.

If the impact on a protected characteristic communities are not known please state how you will gather evidence of any potential negative impacts in box Part 1 section 7 above.

	Positively	Negatively	No Impact	Not Known
Ethnic Minority Communities including Gypsies and Travellers	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Gender	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Gender Reassignment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Religion or Belief	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
People with a disability	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Age	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Lesbian, Gay and Bisexual	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Socio-economic	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Pregnancy & Maternity	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other (please state)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

### Part 3: Impacts/Monitoring

<p><b>1. Have any positive impacts been identified?</b></p> <p>(We must ensure at this stage that we are not achieving equality for one strand of equality at the expense of another)</p>	<p>Yes – the Bill is intended to promote improved outcomes for all communities, including both offenders and victims of crime.</p>
<p><b>2. Have any negative impacts been identified?</b></p> <p>(Based on direct knowledge, published research, community involvement, customer feedback etc. If unsure seek advice from your departmental Equality Champion.)</p>	<p>No</p>
<p><b>3. What action is proposed to overcome any negative impacts?</b></p> <p>(e.g. involving community groups in the development or delivery of the policy or practice, providing information in community languages etc. See Good Practice on DCC equalities web page)</p>	<p>N/a</p>
<p><b>4. Is there a justification for continuing with this policy even if it cannot be amended or changed to end or reduce inequality without compromising its intended outcome?</b></p> <p>(If the policy that shows actual or potential unlawful discrimination you must stop and seek legal advice)</p>	<p>N/a</p>
<p><b>5. Has a 'Full' Equality Impact Assessment been recommended?</b></p> <p>(If the policy is a major one or is likely to have a major impact on protected characteristics communities a Full Equality Impact Assessment may be required. Seek advice from your departmental Equality lead.)</p>	<p>No</p>
<p><b>6. How will the policy be monitored?</b></p> <p>(How will you know it is doing what it is intended to do? e.g. data collection, customer survey etc.)</p>	<p>The Bill will place a duty to cooperate on all relevant agencies with the development and implementation of a strategic plan to reduce re-offending. This will be monitored through a new performance framework and publication of an annual report.</p>

#### Part 4: Contact Information

<b>Name of Department or Partnership:</b>	
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Type of Document	
Human Resource Policy	<input type="checkbox"/>
General Policy	<input type="checkbox"/>
Strategy/Service	<input type="checkbox"/>
Change Papers/Local Procedure	<input checked="" type="checkbox"/>
Guidelines and Protocols	<input type="checkbox"/>
Other	<input type="checkbox"/>

Manager Responsible	Author Responsible
<b>Name:</b> Laura Bannerman	<b>Name:</b> Glyn Lloyd
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<b>Signature of author of the policy:</b>	Glyn Lloyd	<b>Date: dd/mm/yyyy)</b>	30/07/15
<b>Signature of Director/Head of Service:</b>	Laura Bannerman	<b>Date: dd/mm/yyyy)</b>	30/07/15
<b>Name of Director/Head of Service:</b>	Laura Bannerman		
<b>Date of Next Policy Review: (dd/mm/yyyy)</b>	Annually		