# IIA Report – Interim IIA – ELHSCP move to Scotland XL Framework

Each of the numbered sections below must be completed

Please state if the IIA is interim or final - **Interim**

## Title of proposal – ELHSCP move to Scotland Xcel Framework

## What will change as a result of this proposal?

We currently operate our own local framework for commissioning Care at Home Providers in East Lothian. We have extended this twice, and it is due to expire in April 2024. If we don’t move to the Scotland Xcel Framework, East Lothian Health and Social Care Partnership (ELHSCP) would have to create a new framework, requiring significant internal strategic and procurement resource to develop, which is currently not feasible. In the light of this, ELHSCP intends to move to the Scotland Xcel national Flexible Care and Support framework.

Scotland Xcel’s current Flexible Care and Support Framework is due for renewal in April 2024. ELHSCP has been involved since summer 2023 in engaging with Scotland Xcel to review their current framework alongside other local authorities that already use Scotland Xcel and intends to join the new Scotland Xcel Framework in April. Update from SXL is this will now start from July 1st 2024.

**Reasons for change**

Given the fragility of the care-at-home landscape in East Lothian, some care-at-home providers may have found it unsustainable to remain with ELHSCP under our current framework terms and conditions or would have to apply to multiple frameworks.

Moving to a national framework prepares ELHSCP and partners for the arrival of the proposed National Care Service.

Some national care-at-home providers are already on the Scotland Xcel framework with other Scottish Local Authorities.

**Expected outcomes are:**

* achieving continuity of care for service-users and carers while current providers move on to the new Framework
* being able to commission flexibly throughout the lifetime of the framework to meet local strategic objectives
* responding to local need when shaping models of care
* providing enhanced terms and conditions for social care workers
* securing consistency and quality of care delivery through local specification and pricing enhancements where this is required.

## Briefly describe public involvement in this proposal to date and planned

Scotland Xcel conducted extensive engagement with providers across Scotland between 2022 and 2023 that informed the development of the Scotland Excel Framework that comes into being in 2024. They held a one-off event via Teams for providers working in East Lothian in September 2023 to share details of their engagement findings and to introduce the new framework.

Findings from the Capgemini research report *Care at Home Provision in East Lothian* (2022) informed ELHSCP’s decision to move to join the Scotland Xcel Framework. The Capgemini work included engagement with service-users, carers and staff.

Findings from the engagement for the *IJB Strategic Plan 2022-25*, *Planning for an Ageing Population*, the *East Lothian Carers Strategy* and *East Lothian Dementia Strategy* have also informed the development of this work.

ELHSCP has developed a communications and engagement strategy that covers the run up to and implementation of the new Scotland Xcel Framework, which includes a range of actions, including communications with service-users and carers, elected members and staff.

## Is the proposal considered strategic under the Fairer Scotland Duty?

Yes.

## 5. Date of IIA

29th November 2023, from 10am to 12 noon, via MS Teams.

## 6. Who was present at the IIA? Identify facilitator, lead officer, report writer and any employee representative present and main stakeholder (e.g. Council, NHS)

| **Name** | **Job Title** | **Date of IIA training** |
| --- | --- | --- |
| Jamie Forrester | ELHSCP Strategy Officer (Lead Officer) | March 2023 |
| Jane Stewart | ELHSCP Team Manager, Adult Social Work (Learning Disability) |  |
| Grant Allen | ELHSCP Senior Support Plan Broker |  |
| Judith McNeill | ELHSCP Team Manager Adult Social Work (Older People) |  |
| Lorna Bellany | NHS Lothian East Lothian Place Team, Health Inequalities |  |
| Jane Ogden-Smith | ELHSCP Equalities and Engagement Officer (Chair) | Sept 2009 and Dec 2021 |

## 7. Evidence available at the time of the IIA

| **Evidence** | **Available – detail source** | **Comments: what does the evidence tell you with regard to different groups who may be affected and to the environmental impacts of your proposal** |
| --- | --- | --- |
| Data on populations in need | * [East Lothian Joint Strategic Needs Assessment Sept 2022](https://www.eastlothian.gov.uk/download/downloads/id/32648/east_lothian_joint_strategic_needs_assessment_report_2022.pdf) * [Scottish Census 2022 first phase outputs](https://www.scotlandscensus.gov.uk/2022-results/scotland-s-census-2022-rounded-population-estimates/) * [East Lothian Ward Snapshots and Profiles 2022](https://www.eastlothian.gov.uk/downloads/download/12766/ward_profiles_and_snapshots) * [East Lothian IJB Strategic Plan Engagement report](https://www.eastlothian.gov.uk/download/downloads/id/32645/east_lothian_ijb_strategic_plan_2022-25_engagement_feedback_report.pdf) * [Planning for an ageing population engagement feedback report](https://www.eastlothian.gov.uk/download/downloads/id/32759/planning_for_an_ageing_population_summer_engagement_feedback_report.docx) * [East Lothian Carers Strategy 2023-26](https://www.eastlothian.gov.uk/download/downloads/id/28027/east_lothian_carers_strategy_2023_to_2026.pdf) * [East Lothian Dementia Strategy 2023-28](https://www.eastlothian.gov.uk/info/210577/carers/12802/dementia_support/4) * Capgemini Analysis Of Care At Home Service Provision East Lothian (awaiting publication) | The over 65 age group in East Lothian is projected to grow by 32% over the next 10 years. Most older people and their carers have indicated that they would prefer to remain living at home for as long as possible, with appropriate health and social care support where necessary. This is important because independent living helps people to achieve better outcomes and also relieves pressures on hospital and care home beds.  Care-at-home packages can also relieve some of the stress faced by unpaid carers and families.  However, in future, increasing demand for care at home will mean both looking at how to make careers in care more attractive and at how to grow community alternatives to care at home, particularly around the social elements (for example, day centres, day centre outreach). Many older people currently rely on care at home for social interaction and company. Care-at-home workers should not be the only source of social interaction available to older people living with social isolation.  There are currently big problems with recruiting and retaining staff to work in care-at-home services. Things that make care-at-home work unattractive include the relatively poor remuneration (compared with retail and hospitality, for example) and variable terms and conditions of employment. A further problem is that the social care workforce is ageing, and many workers will be retiring over the next few years. The public, service-users, carers and staff have called for better wages and terms and conditions for care-at-home staff. They said that this should be supported by education and training which helps care-at-home workers to enhance their skills and build careers working in care. The Scotland Xcel Framework provides a good basis to pursue these aims.  The expanding need for care at home is taking place in a time where public finances are under increasing pressure, both as a result of the ongoing austerity measures brought in by the UK government following the financial crisis in 2008, which has had impacts for services and for older people (in terms of their pensions and savings). The Scottish Government payments to East Lothian Council do not reflect to 10,000 household rise in population that resulted from its decision to encouragement the development of thousands of new homes in the county. NHS Lothian has also seen major limitations on its budget. As East Lothian Health and Social Care Partnership draws its resources from East Lothian Council and NHS Lothian, it is dealing with enormous pressures on budgets that are decreasing in real terms. There is also no capital budget availability to build new council or NHS care homes, meaning that there will be a greater reliance on intermediate care, including care at home, in future. |
| Data on service uptake/access | * [East Lothian Joint Strategic Needs Assessment Sept 2022](https://www.eastlothian.gov.uk/download/downloads/id/32648/east_lothian_joint_strategic_needs_assessment_report_2022.pdf) * Internal monitoring and review processes, informed by Mosaic * [East Lothian Health and Social Care Partnership Community Briefing Paper](https://www.eastlothian.gov.uk/downloads/file/33465/community_briefing_paper_-_a_case_for_change) | We know that we have substantial numbers of hours of unmet care-at-home need in all areas of East Lothian, and this is often most acutely felt in rural areas. |
| Data on socio-economic disadvantage e.g. low income, low wealth, material deprivation, area deprivation. | * [East Lothian Ward Snapshots and Profiles 2022](https://www.eastlothian.gov.uk/downloads/download/12766/ward_profiles_and_snapshots) * [East Lothian Health and Social Care Partnership Community Briefing Paper](https://www.eastlothian.gov.uk/downloads/file/33465/community_briefing_paper_-_a_case_for_change) | Eight data zones in East Lothian register as being in the 20% of most deprived areas in Scotland. These are in the Musselburgh, Tranent and Prestonpans areas. These areas also have significant numbers of unmet care-at-home hours needs. In Prestonpans this is further exacerbated by there being no local care home provision. |
| Data on equality outcomes | * [Scotland 2011 Census](https://www.scotlandscensus.gov.uk/about/2011-census/) * [Scottish Government Evidence Finder](https://www.equalityevidence.scot/) * [National Records of Scotland Mid-Year Population Estimates 2022](https://www.nrscotland.gov.uk/statistics-and-data/statistics/statistics-by-theme/migration/migration-statistics/migration-flows/international-migration) * East Lothian Education pupil data * East Lothian Council Translation and Interpretation requests data | Due to the late publication of the Scottish 2022 Census results on ethnicity and other protected characteristics, we are still having to draw on the 2011 survey, and a collection of data held in the Scottish Government Evidence Finder. This evidence is mostly presented at a national level. Very little is known about the true make-up of the East Lothian population in relation to equalities at the moment. We seek to supplement knowledge about local needs from information about use of interpretation and translation and pupil language support needs.  However, we have tried to engage with groups working with people with protected characteristics to find out more about people in the communities they represent (for example, Health in Mind for Polish and Ukrainian people, Milan for South Asian people, Mecopp for Gypsy Travellers, Deaf Action for BSL users, Dementia Friendly East Lothian for people living with dementia, Carers of East Lothian for carers). More work needs to be done around this, and also to build links with the LGBT community in East Lothian to find out more about their needs. This will become easier when more information relating to protected characteristics/equalities is made available by National Records of Scotland as part of their reporting on the 2022 Census (hopefully, summer 2024). |
| Research/literature evidence | * [Scotland Excel case studies](https://home.scotland-excel.org.uk/newsroom/case-studies/) * [Scotland Excel Corporate Strategy 2023-28](C:\\Users\\forrj\\AppData\\Local\\Microsoft\\Windows\\INetCache\\Content.Outlook\\PXB1QNLD\\Scotland Excel Corporate Strategy 2023-28) * [Independent Review of Adult Social Care Scotland/Feeley Report](https://www.gov.scot/publications/independent-review-adult-social-care-scotland/) * [National Care Service Statement of Benefits](https://www.gov.scot/publications/national-care-service-statement-benefits/) * [East Lothian Health and Social Care Partnership Commissioning Strategy 2022-25](https://www.eastlothian.gov.uk/downloads/file/33174/elhscp_commissioning_strategy_2022-25) * [East Lothian Joint Strategic Needs Assessment Sept 2022](https://www.eastlothian.gov.uk/download/downloads/id/32648/east_lothian_joint_strategic_needs_assessment_report_2022.pdf) * [Scottish Census 2022 first phase outputs](https://www.scotlandscensus.gov.uk/2022-results/scotland-s-census-2022-rounded-population-estimates/) * [East Lothian Ward Snapshots and Profiles 2022](https://www.eastlothian.gov.uk/downloads/download/12766/ward_profiles_and_snapshots) * [East Lothian IJB Strategic Plan Engagement report](https://www.eastlothian.gov.uk/download/downloads/id/32645/east_lothian_ijb_strategic_plan_2022-25_engagement_feedback_report.pdf) * [Planning for an ageing population engagement feedback report](https://www.eastlothian.gov.uk/download/downloads/id/32759/planning_for_an_ageing_population_summer_engagement_feedback_report.docx) * [East Lothian Carers Strategy 2023-26](https://www.eastlothian.gov.uk/download/downloads/id/28027/east_lothian_carers_strategy_2023_to_2026.pdf) * [East Lothian Dementia Strategy 2023-28](https://www.eastlothian.gov.uk/info/210577/carers/12802/dementia_support/4) * Capgemini Analysis of Care At Home Service Provision East Lothian (awaiting publication) | Many of the issues have already been discussed above. The Strategy Officer has also conducted extensive research together with the council’s procurement and legal teams into the Scotland Xcel Framework, to ensure that not only does it address local issues but also conforms with ELHSCP’s Commissioning Strategy, the recommendations of the Independent Review of Adult Social Care and the current proposals for a National Care Service for Scotland to be delivered by 2028-29. |
| Public/patient/client experience information | * [East Lothian IJB Strategic Plan Engagement report](https://www.eastlothian.gov.uk/download/downloads/id/32645/east_lothian_ijb_strategic_plan_2022-25_engagement_feedback_report.pdf) * [Planning for an ageing population engagement feedback report](https://www.eastlothian.gov.uk/download/downloads/id/32759/planning_for_an_ageing_population_summer_engagement_feedback_report.docx) * [East Lothian Carers Strategy 2023-26](https://www.eastlothian.gov.uk/download/downloads/id/28027/east_lothian_carers_strategy_2023_to_2026.pdf) * [East Lothian Dementia Strategy 2023-28](https://www.eastlothian.gov.uk/info/210577/carers/12802/dementia_support/4) * Capgemini Analysis of Care At Home Service Provision East Lothian (awaiting publication) | Extensive engagement has been carried out on services for older people and carers, including on care at home and recruitment and retention issues. Information and learnings from service-user complaints and comments have also informed the process. |
| Evidence of inclusive engagement of people who use the service and involvement findings | See above | Extensive engagement has been carried out over the past few years, including with Deaf service-users and representatives of groups that work with people with a range of protected characteristics. This work is ongoing. |
| Evidence of unmet need |  | See section on service uptake. |
| Good practice guidelines | * [National Care Standards – Care at Home](https://www.gov.scot/publications/national-care-standards-care-home/) * [Independent Review of Adult Social Care Scotland/Feeley Report](https://www.gov.scot/publications/independent-review-adult-social-care-scotland/) * [National Health and Wellbeing Outcomes Framework (Scottish Government)](https://www.gov.scot/publications/national-health-wellbeing-outcomes-framework/) |  |
| Carbon emissions generated/reduced data |  | Unable to comment at this point |
| Environmental data |  | Unable to comment at this point |
| Risk from cumulative impacts |  | - |
| Other (please specify) |  | - |
| Additional evidence required |  | - |

## 8. In summary, what impacts were identified and which groups will they affect?

| **Equality, Health and Wellbeing and Human Rights** | **Affected populations** |
| --- | --- |
| **Positive**  The group felt that if the framework was implemented in the way that was intended, it could have a positive impact for service-users, carers, providers and the social care workforce because:   * It offered the potential for addressing local inequities in service provision because it provided tools to fill in gaps in current provision and deliver more sustainable and consistent services. It would help deliver people’s human rights if it worked effectively in the way expected * Everyone would be working to the same procedures and ethical commissioning practices, and it would tie in with the National Care Service * It had the potential for providers to offer enhanced rates in relation to the complexity of the care delivered * It might enable service providers working under SDS Option 2 and Option 3 to work more flexibly in line with service-users’ varying needs and outcomes over the course of a year * The flexible elements of the Framework should let ELHSCP to engage more creatively with providers around commissioning to support the workforce * There was potential for new/specialist providers to join the Framework throughout its lifetime * In terms of sustainability, a robust framework, with clearly understood parameters, would be more sustainable and consistent and better for service-users, carers, providers and staff * The implementation of the Scotland Xcel Framework should not have any major impact of third sector organisations working in social care/community support in East Lothian. In fact, it might offer more flexible and creative approaches to helping service-users and carers to achieve their outcomes. | Older people, people with disabilities, carers, care workforce |
| **Negative**   * There is the potential that some service-users may have to change providers if their provider decides to withdraw its services from East Lothian due to the Framework and similar contracting arrangements for off-framework providers. **Mitigation:** ELHSCP would hope providers would TUPE across staff if this happens. However, early indications are that most providers are content to join the Scotland Xcel Framework and some of our bigger providers are already on it for their work in other Scottish local authority areas * It is unfortunate that the Scotland Xcel Framework does not extend to personal assistants whose rates of pay are relatively low, and most do not receive enhanced rates of pay for things like overnight care, where they are still just offered the day rate. **Mitigation:** East Lothian is keeping abreast of national developments relating to the position of personal assistants through a national network and would be willing to support any future Framework developments that might include PAs * Although the group felt that the increased wage and better terms and conditions would be good for care workers, they still worried about the ongoing crisis in care worker recruitment and retention and warned that the Framework would only work if commissioned providers were able to recruit and retain sufficient staff. **Mitigation**: work is currently underway across ELHSCP to support better recruitment and retention by considering new models of care provision. * The amount of paperwork involved in joining the Framework could be a disincentive to smaller, local organisations with smaller staff complements who struggled to be able to find sufficient admin time to complete it. **Mitigation:** Scotland Xcel provide useful guidance for those joining the Framework, and the introduction of the Framework will result in a ‘much more level playfield’ for all organisations wishing to join * It was unclear what impact the new Framework would have on the supplying of 15/30 minute visits which were key to some service-users who would otherwise be very isolated. **Mitigation**: it was unclear if this would be an effect of implementing the new Framework, and if this was the case, there was scope for looking at other community-based support that could support service-users experiencing social isolation rather than them having to rely on short care-at-home visits for company. | Service-users, carers, workers |

| **Environment and Sustainability including climate change emissions and impacts** | **Affected populations** |
| --- | --- |
| **Positive**   * The place-based approach afforded by the framework could have an impact on climate change by cutting down travel * ELHSCP could work with providers to encourage them to move to EV fleets and reduce the use of workers’ own transport and bus passes or electric bikes. | **Everyone** |
| **Negative**  **---** |  |

| **Economic** | **Affected populations** |
| --- | --- |
| **Positive**   * The potential for block contracting would offer providers more flexibility to move from payments relating to number of visits to full and part-time contracts for social care workers. It would allow uplifts across the Framework and encourage providers to develop career pathways, enhancements and incentives to remain in careers in care * The commitment to the Living Wage was very important and the introduction of the Framework would result in a higher basic rate of hourly pay and better terms and conditions for many care workers working for services commissioned by ELHSCP | Workforce, providers |
| **Negative**   * There is the potential that smaller local services might not want to join the Framework, but all indications so far are that local providers are content to join the Scotland Xcel Framework * The monies required to underwrite the uplift to providers resulting from the adoption of the Framework will have to be met from elsewhere in ELHSCP’s budget, so there will be a knock-on effect for other services. **Mitigation**: consistent, sustainable and increasing capacity in care at home should relieve pressure on other services such as hospital and care home beds. |  |

## 9. Is any part of this policy/ service to be carried out wholly or partly by contractors and if so how will equality, human rights including children’s rights, environmental and sustainability issues be addressed?

Those signing up to the Scotland Xcel Framework will have to meet ELHSCP’s ethical commission criteria, set out in the ELHSCP Commissioning Strategy 2022-25. Framework delivery will be impact assessed throughout its lifetime to ensure that any negative impacts are quickly understood and mitigations put in place as soon as possible.

## 10. Consider how you will communicate information about this policy/ service change to children and young people and those affected by sensory impairment, speech impairment, low level literacy or numeracy, learning difficulties or English as a second language? Please provide a summary of the communications plan.

The change should not have a direct impact on children and young people, as the services in scope are for adults. However, it may impact young carers and we will be aware of that in our communications and future impact assessment.

There is a communication and engagement plan that plans for letters to service-users about the new framework. These will be provided in other languages or through BSL interpretation as necessary/on request. Letters will be written in plain English and Easy Read versions will be provided where necessary.

A newsletter and briefing have been prepared and further versions will be issued in the lead up to going onto the new framework.

## 11. Is the plan, programme, strategy or policy likely to result in significant environmental effects, either positive or negative? If yes, it is likely that a [Strategic Environmental Assessment](https://www.gov.scot/policies/environmental-assessment/strategic-environmental-assessment-sea/) (SEA) will be required and the impacts identified in the IIA should be included in this. See section 2.10 in the Guidance for further information.

No, although more locality-based working and encouraging providers to provide electric vehicles, bikes or bus passes should have a positive effect.

## 12. Additional Information and Evidence Required

N/A

## 13. Specific to this IIA only, what recommended actions have been, or will be, undertaken and by when? (these should be drawn from 7 – 11 above) Please complete:

| **Specific actions (as a result of the IIA which may include financial implications, mitigating actions and risks of cumulative impacts)** | **Who will take them forward (name and job title** | **Deadline for progressing** | **Review date** |
| --- | --- | --- | --- |
| Monitoring of uptake of new framework and potential barriers to organisations joining | Jamie Forrester, ELHSCP Strategy Officer | Ongoing | April 2025 |
| Impact on smaller local organisations | Jamie Forrester | Ongoing | April 2025 |
| Impact on service-users | Jamie Forrester | Ongoing | April 2025 |
| Integrated Impact Assessment to assess initial impact of moving to Scotland Xcel Framework (six/seven months from implementation)  Do we need a reference to financial pressure from SXL bench marking being higher and the mitigation is financial analysis and oversight by Commisioning Board 30/1/24? | Jane Ogden-Smith/Jamie Forrester | November 2024 | November 2023 |

## 14. Are there any negative impacts in section 8 for which there are no identified mitigating actions?

No

## 15. How will you monitor how this proposal affects different groups, including people with protected characteristics?

By continuing to use Integrated Impact Assessments throughout the life of the Framework, by soliciting service-user feedback and learning from complaints and comments.

## 16. Sign off by Head of Service

**Name**

**Date**

## 17. Publication

Completed and signed IIAs should be sent to:

[jogden-smith@eastlothian.gov.uk](mailto:jogden-smith@eastlothian.gov.uk) for publication on the ELHSCP [IIA Database](https://www.eastlothian.gov.uk/info/210558/social_care_and_health/12776/east_lothian_health_and_social_care_partnership_integrated_impact_assessments) on [www.eastlothian.gov.uk](http://www.eastlothian.gov.uk)