

Zero Based Review Impact Assessment

Spring 2013

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1. Executive summary

1.1 This document details the findings of Impact Assessment work carried out between November 2012 and February 2013. The work was co-ordinated by a working group including representatives from the Health and Social Care Information Centre¹, local authorities, ADASS and the Department of Health.

1.2 The impact assessment exercise gathered detail on the estimated costs of the implementation of the new SALT and ASC-FR data collections and the EQ-CL framework. In total 47 councils provided information for the exercise. In some cases only contextual information was provided and follow up discussions identified some data quality issues. The cash costs reported by participant authorities have been taken into account within Department of Health assessment of new burdens funding for the new collections.

1.3 The estimated overall costs for implementation agreed by the working group are shown in the table below. They are based on costs at the 66th percentile of the distribution of costs, i.e. two thirds of councils reported costs less than this value. The rationale for the selection of this estimate is provided in the main body of the report.

Table 1: Costs for implementation of new data returns / framework per local authority				
Return / Framework	Year	Cash cost	Opportunity cost	Combined² cost
EQ-CL	2013/14	£21,300	£26,100	£50,500
SALT	2013/14	£18,400	£28,300	£47,100
ASC-FR	2013/14	£16,000	£23,500	£40,700
Combined costs	2013/14	£58,200	£99,700	£160,500

1.4 The above costs when extrapolated to cover the 152 local authorities would result in the following costs for implementation.

Table 2: National costs				
Return / framework	Year	Cash cost	Opportunity cost	Combined cost
EQ-CL	2013/14	£3,247,000	£3,975,000	£7,675,000
SALT	2013/14	£2,797,000	£4,306,000	£7,159,000
ASC-FR	2013/14	£2,439,000	£3,567,000	£6,184,000
Combined costs	2013/14	£8,486,000	£15,159,000	£24,397,000

1.5 A number of factors have impacted on the way the above costs have been prepared, and should be considered in the assessment of how robust the costs can be considered. Following validation of the data provided by councils some have been excluded from the figures shown in tables 1 and 2. The costs presented above include data submitted by 33-35 of the 47 authorities who submitted data relating to the proposed collections and framework. Some authorities provided costs for one or more of the framework / collections: EQ-CL, SALT or ASC-FR which were considered valid for inclusion in table 1, but were unable to provide costs for other returns /

¹ Including resource seconded from local authorities specifically to work on the impact assessment.

² Detail of the methodology for the calculation of these costs is shown in section 2.2 below. The combined costs will not sum to the component elements due to variation in the response for each collection. Costs are rounded.

framework. This accounts for the variation between the sum of the costs for the three collections and the combined costs.

1.6 During the compilation of this report queries were raised with participants in order to better understand the costs submitted which has resulted in an enhanced understanding of the issues local authorities have identified with implementation and the way that they have prepared their costs. The costs presented here have been prepared by councils as *estimates* using the most recent available information provided by the HSCIC on the new requirements. The validation process along with the high level of participation mean that we consider that these figures are the best available information on the financial impact of the new requirements, and we have ensured that they are as robust as is possible given the circumstances.

1.7 The data collection included detail on on-going recurrent costs to local authorities. Detail of the split in this respect between cash and opportunity costs was not collected, and it has been identified that without this distinction the data is not suitable for consideration within new burdens funding. Future follow up work will be necessary in regard to on-going costs.

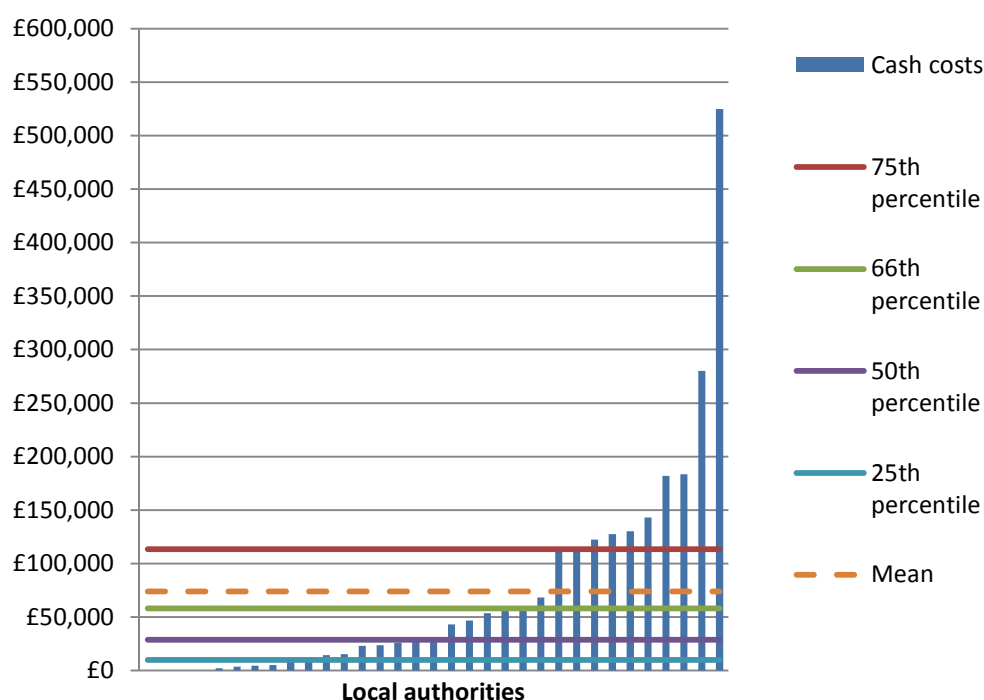
1.8 This document also contains detail of the benefits of the EQ-CL framework and the SALT and ASC-FR collections. This is shown in section 7 of the report.

2. Key messages

2.1 On 26th November 2012 local authorities in England were invited to participate in an impact assessment exercise to gather detail on the projected costs of the implementation of the new SALT and ASC-FR data collections and the EQ-CL framework. The impact assessment work has been co-ordinated by a working group including representatives from the Health and Social Care Information Centre³, local authorities and the Department of Health. An earlier draft of the report has been considered by the Zero Based Review Programme Board and the Outcomes and Information Development Board (OIDB).

2.2 The working group considered the commonly adopted methods of cost estimation utilising data from multiple sources, the calculation of *mean* or *median* values. It was identified that the mean was distorted by high outlier costs⁴ reported by some authorities whilst the median was also distorted by zero values reported by some authorities against cash and/or opportunity costs – see the chart below. **The working group therefore recommend that the value associated with the 66th percentile in the range of cash costs is adopted as the indicative cash cost for implementation of EQ-CL, SALT and ASC-FR (as shown in chart 1 below).** The charts in section 4.7 illustrate the range reported for the different types of costs.

1: EQ-CL, SALT and ASC-FR costs combined - cash costs



2.3 The rationale for this recommendation is that this value avoids the distortion present in both the mean and median values and provides a ‘fair’ representation of the cash costs of implementation. The costs identified by the working group using this method as indicative for the implementation are shown in the table below.

³ Including resource seconded from local authorities specifically to work on the impact assessment.

⁴ Detail of the full range of costs reported is shown in section 4.6

Table 1: Costs for implementation of new data returns / framework per local authority – 66th percentile⁵				
Return / Framework	Year	Cash cost	Opportunity cost	Combined cost
EQ-CL	2013/14	£21,300	£26,100	£50,500
SALT	2013/14	£18,400	£28,300	£47,100
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Combined costs	2013/14	£58,200	£99,700	£160,500

2.4 The above costs when extrapolated to cover the 152 local authorities would result in the following **national costs for implementation**.

Table 2: National costs				
Return / framework	Year	Cash cost	Opportunity cost	Combined cost
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Combined costs	2013/14	£8,846,000	£15,159,000	£24,397,000

2.5 **Levels of participation within the impact assessment** have been good; with 47 local authorities having submitted material for the impact assessment relating to the Zero Based Review. 44 authorities have submitted financial detail, with the other three authorities indicating that although they had not been able to prepare cost figures that they were happy to share they did wish to provide input within the contextual detail section. After taking account of the data validation and the data quality assessment as described below costs for 33-35 councils out of the 47 that submitted data are included in the costs presented above.

2.6 **Data quality** has been considered during the compilation of the costs, and has included follow up work with participants to address issues of data quality and the interpretation of their costs. An additional four authority submissions have been disregarded from the totals shown above, as a result of a dialogue that identified issues of accuracy within their costs. The impact assessment also gathered a large amount of supporting and contextual data relating to the implementation of the new collections and framework. This is detailed within sections 5 and 6 of this report. As previously stated a number of factors have impacted on the way the above costs have been prepared, and should be borne in mind when assessing the robustness of the costs presented above. These are discussed in more detail in section 3 of this report.

2.7 The data collected within the impact assessment is subject to some **limitations**. Authorities were asked to prepare estimated costs based on the available material relating to the new collections and framework.. Feedback provided by participants indicates that many felt that the true costs would not be clear until they were in receipt of full finalised guidance on the new requirements and had received advice from their software suppliers. On average **authorities that have been closely involved in the Zero Based Review** process have submitted a slightly higher overall cost.⁶

2.8 Consideration has been given to **the characteristics of participant authorities** in order to identify that the impact assessment includes representation of all regions and authority types.

⁵ Detail of the methodology for the calculation of these costs is shown in section 3 below. The combined costs will not sum to the component elements due to variation in the response for each collection. Costs are rounded

⁶ See paragraph 4.1

Authorities from every region of England have participated, with authorities from London and the South East being best represented. In terms of the type of authorities providing costs Shire Counties are best represented and unitary authorities least represented. No correlation has been identified by the size of the local population and the level of costs reported. Section 4 provides further detail on these topics.

2.9 Further possible issues relating to data quality were highlighted by conversations with participant authorities which identified **differences in interpretation** of what should be recorded within the costs detail. Some authorities produced detailed project plans involving the use of external contractors, others were less sure how they would implement the proposals, and anticipated the majority of work being undertaken by in-house resources. There is further discussion of the issues relating to data quality in paragraphs 4.12 to 4.18 of this report.

2.10 The data collection included detail on **on-going recurrent costs** to local authorities. Detail of the split between cash and opportunity costs was not collected, and it has been identified that without this distinction the data is not suitable for consideration within new burdens funding. Future follow up work will be necessary in regard to on-going costs. Detail of the on-going costs reported (which cover EQ-CL, SALT and ASC-FR) are shown in paragraph 4.8 of this report. Additional data was collected relating to where authorities expected their costs to be incurred. Appendix 3 provides greater detail in relation to the costs reported by participant authorities, including detail of the overall costs reported and the split between **cash and opportunity costs**. Reported cash costs are higher in relation to changes to team set-up and systems upgrades whilst the remainder of cost types show higher opportunity costs.

2.11 Section 7 of this document considers the **benefits** of the implementation of the EQ-CL framework plus the SALT and ASC-FR collections.

3. Costs methodology

3.1 Appendix 2 contains a copy of the data collection template utilised in the collection, together with supporting notes.

3.2 The response from participants was varied in relation to costs being provided for each return or framework (EQ-CL, SALT and ASC-FR). This has been considered in the preparation of the mean and median figures to avoid distortion due to non-comparable costs data.

3.3 The following adjustments were made in calculation of the mean and median figures quoted in this report.

3.4 The mean and median 'combined costs' for EQ-CL, SALT and ASC-FR are calculated excluding those authorities who have indicated that they are unable to provide costs data for each framework or collection.

3.5 Some authorities have been able to provide costs for EQ-CL, SALT and ASC-FR, but have been unable to split between individual collections. In these cases their costs are excluded from the mean and median for the individual collections, but included in the mean and median for the 'combined costs'.

3.6 A number of authorities remain where there is an unresolved query over whether or not they have provided all data items as they have omitted sections of the collection template. These authorities' costs have been excluded from the adjusted mean and median in relation to the individual collection(s) and 'combined costs'.

3.7 The working group has considered carefully the costs submitted by authorities, and the supporting detail provided within the impact assessment and during discussions held with local authority officers. In three instances costs provided have been excluded from consideration in tables 1 and 2 as significant discrepancy or uncertainty remains over the comparability of these costs with other submissions.

4. Detailed analysis - the participating authorities – regional representation, characteristics and population

4.1 Table 3 provides detail on the regional split between the participating authorities. A number of local authorities have been working closely with the HSCIC in relation to the Zero Based Review, and as such it is expected that they will be in a more informed position in relation to the preparation of costs. Detail of these authorities is shown in the right-most column.

Table 3 – Participating authorities by region		
Region	Number of participating authorities	Number of closely involved authorities⁷
East	2	0
London	12	3
North West	6	3
North East	3	0
East Midlands	3	0
West Midlands	6	1
South East	9	2
South West	3	0
Yorkshire and Humberside	2	0

⁷ In addition three authorities participating in the impact assessment from London, Yorkshire and Humberside and the South West have been closely involved in ZBR work, but in areas other than the topics addressed within the impact assessment.

4.2 The mean combined cost for participating authorities who have been closely involved in the Zero Based Review is £313,792; the mean cost for participating authorities who have not been closely involved is £170,438. The disparity here relates to a very high total cost submitted by one closely involved authority. If their submission is excluded (*as it is elsewhere in the costs presented in this report*) the mean reduces to £148,768.

4.3 Table 4 below groups the participating authorities by type of authority, and is provided to demonstrate the range of representation of different authority types within the impact assessment exercise. Validation refers to the process of data checking and consideration of inclusion by the Impact Assessment working group.

Table 4: Detail of the characteristics of participating authorities					
Local authority type	Number of participating authorities (prior to validation)	% of total participating	Total number of each authority type in England	Local authority type as a percentage of all councils in England⁸	% representation within impact assessment
London borough	12	25.5%	32	21%	37.5%
Metropolitan district	11	23.4%	36	24%	30.6%
Shire county	15	31.9%	27	18%	55.6%
Unitary authority	9	19.5%	55	37%	16.4%

Local authority type	Number of participating authorities (after validation)	% of total participating	% representation within impact assessment	Mean cost⁹	Median cost
London borough	11	33.3%	34.4%	£158,255	£147,910
Metropolitan district	8	24.2%	30.8%	£114,950	£122,310
Shire county	9	27.3%	33.3%	£111,640	£135,395
Unitary authority	5	15.2%	9.1%	£131,765	£132,900

⁸ Excludes the two local authorities that do not fall within the broad categorisation

⁹ Mean costs calculated excluding those authorities that have not provided costs or have been excluded for any other reason

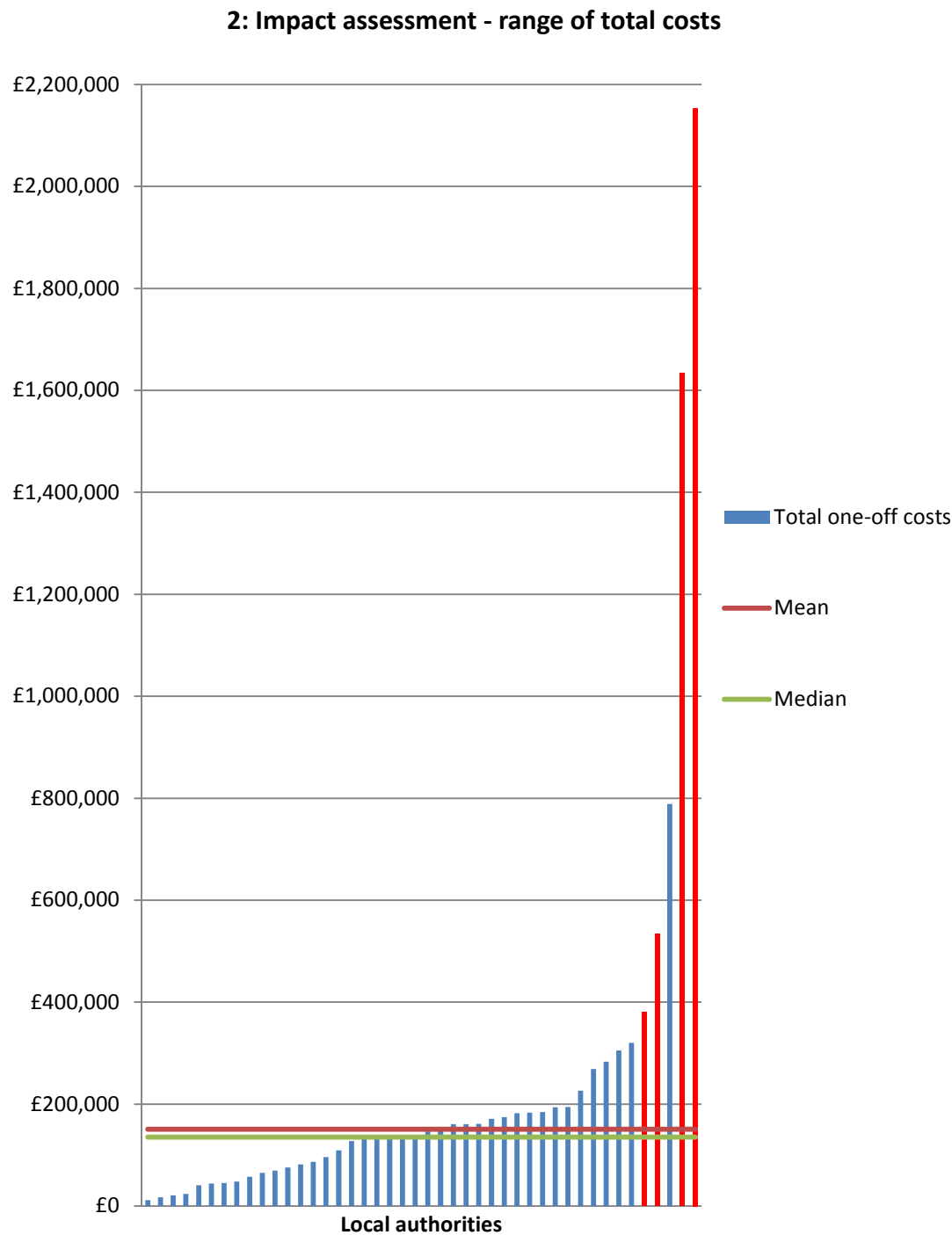
4.4 Table 5 provides detail of the cash and opportunity costs for the different authority types.

Table 5 – Cash and opportunity costs, by authority type¹⁰				
Local authority type	Median cash cost	Median opportunity cost	Mean cash cost	Mean opportunity cost
London borough	£28,765	£100,000	£73,225	£85,030
Metropolitan district	£19,400	£56,360	£51,850	£63,100
Shire county	£43,000	£41,000	£50,055	£61,580
Unitary authority	£53,700	£79,200	£153,150	£109,960

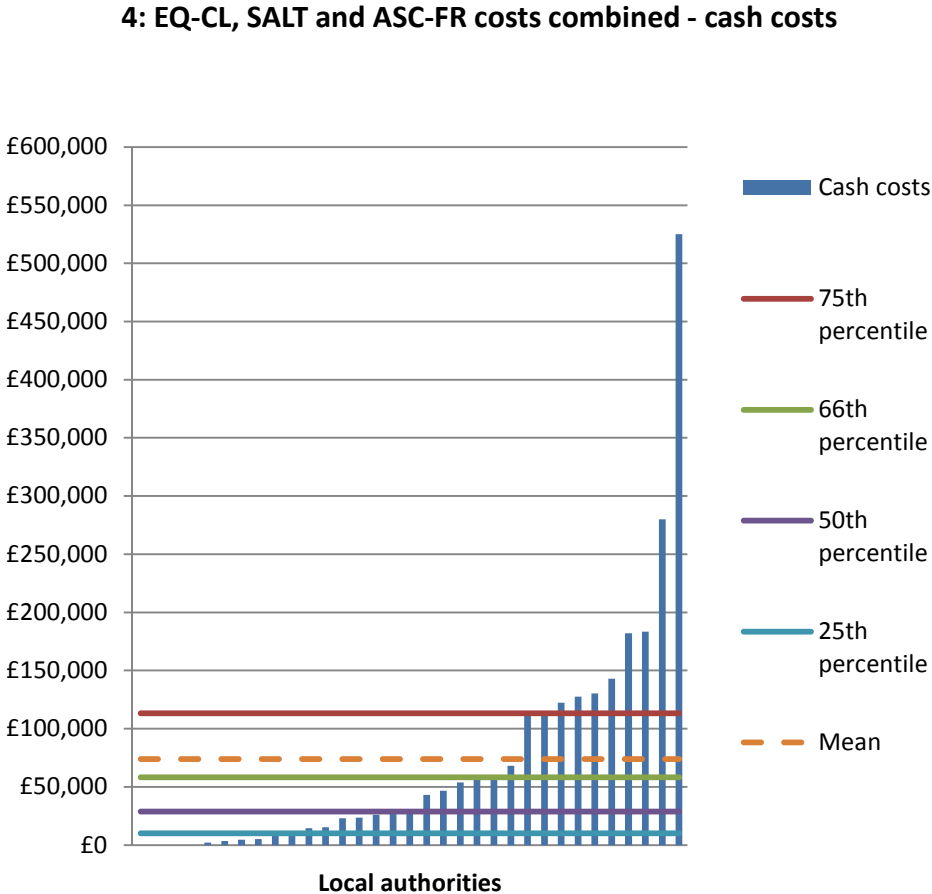
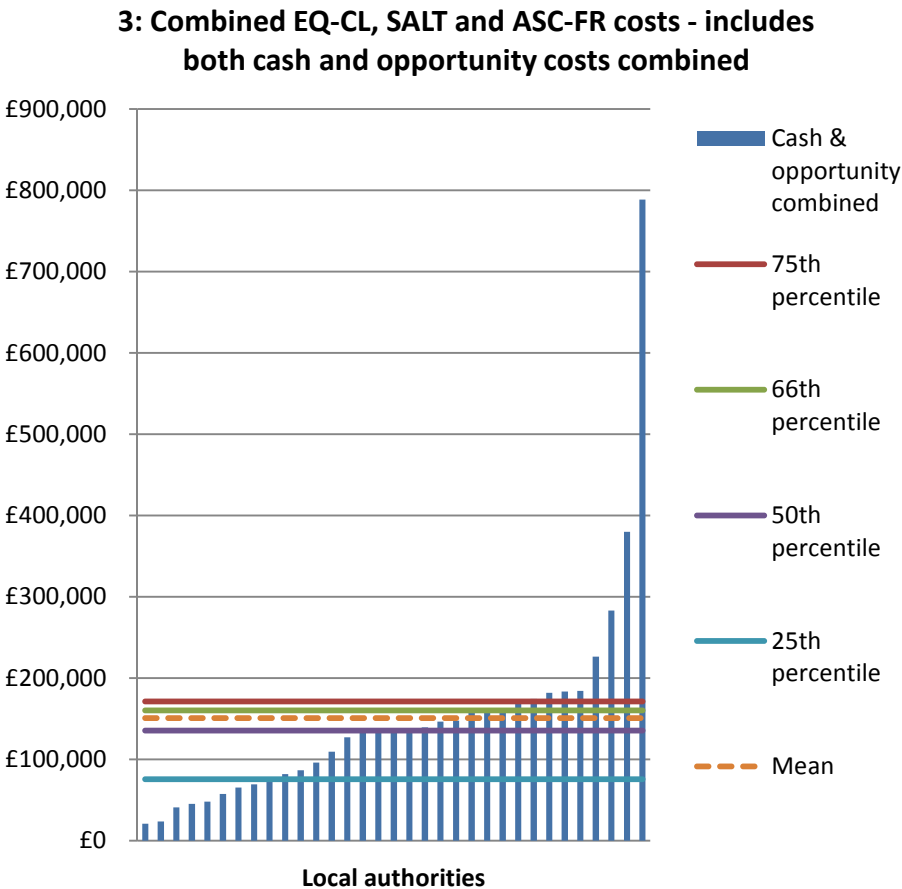
4.5 Prior to data validation data shire counties are best represented within the impact assessment with over half participating, whilst unitary authorities are least represented with 16.4% participating. After data validation London boroughs are best represented within the Impact Assessment and unitary authorities least represented.

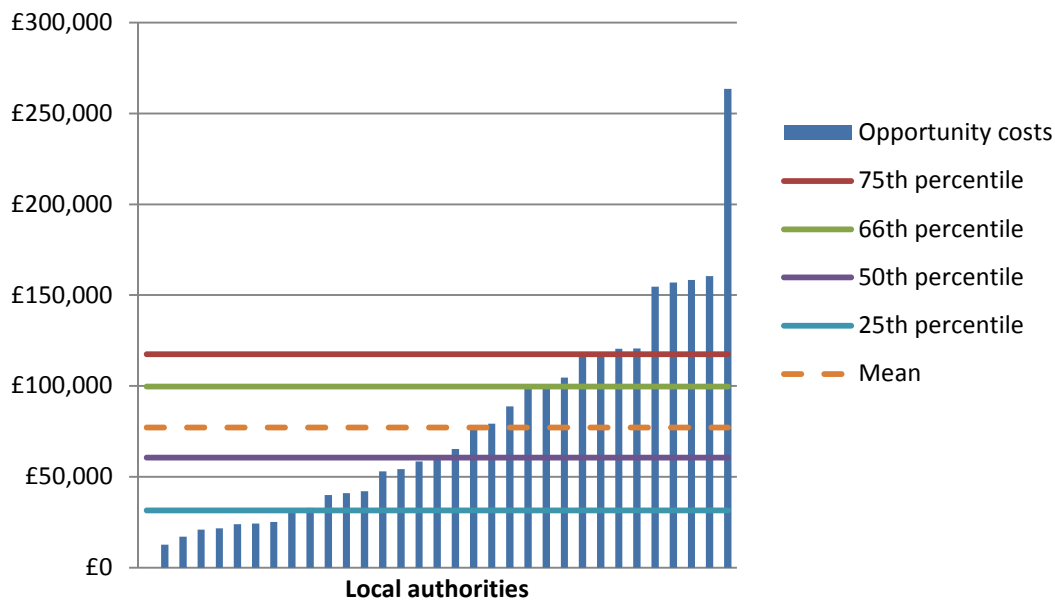
¹⁰ Costs presented in this table are rounded

4.6 Chart 2 below shows the full **range of costs** reported by participating authorities in relation to one-off costs (2013/14), with those excluded after the process of validation (detailed in section 3 above) highlighted in red.

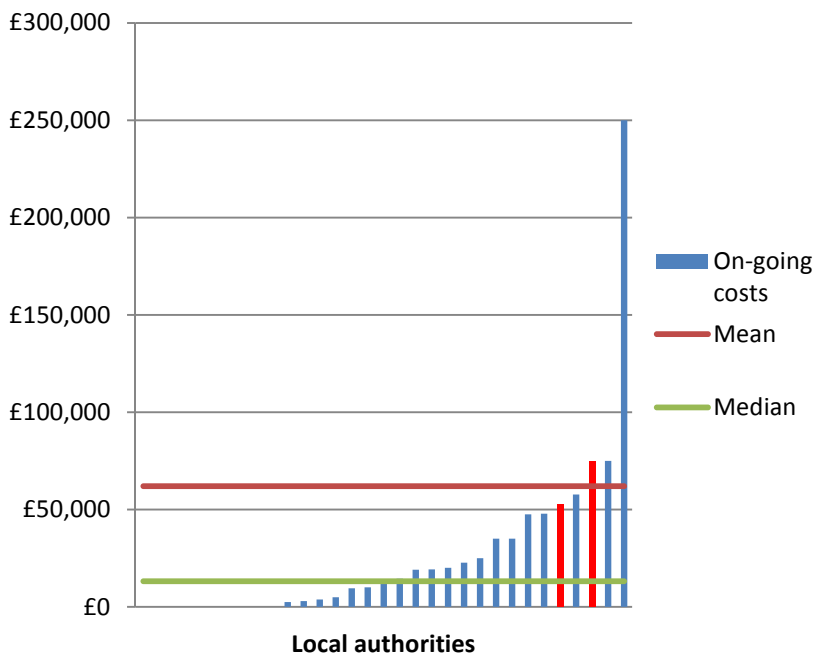


4.7 Chart 3 details the **range of values reported in relation to one-off costs (2013/14) which, after validation, have been utilised in the costs presented in tables 1 and 2.** The charts show the quartile values and mean value. Charts 4 and 5 provide of the range of cash and opportunity costs, again presented with quartile values and mean value.



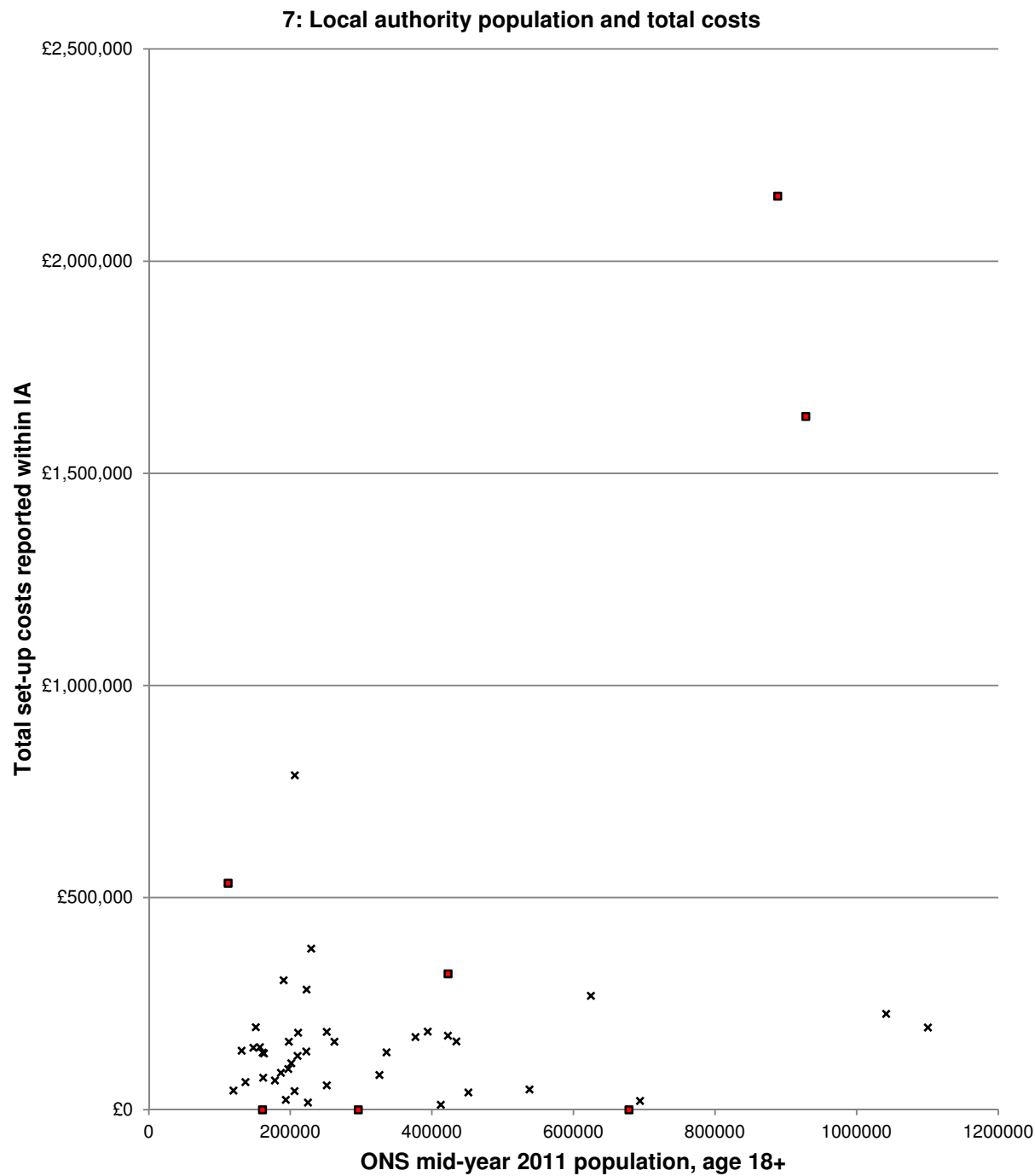
5: EQ-CL, SALT and ASC-FR costs combined - Opportunity costs

4.8 Chart 6 below provides detail of the on-going, recurrent, costs caused by the implementation of EQ-CL, SALT and ASC-FR provided by those authorities that indicating that there would be such costs. Not all authorities stated costs here, with 23 out of 47 authorities indicating some on-going cost. The highest on-going cost reported (£1,140,464) has been excluded from the chart below as inclusion obscured the detail provided for the other costs.

6: Impact assessment - range of on-going costs

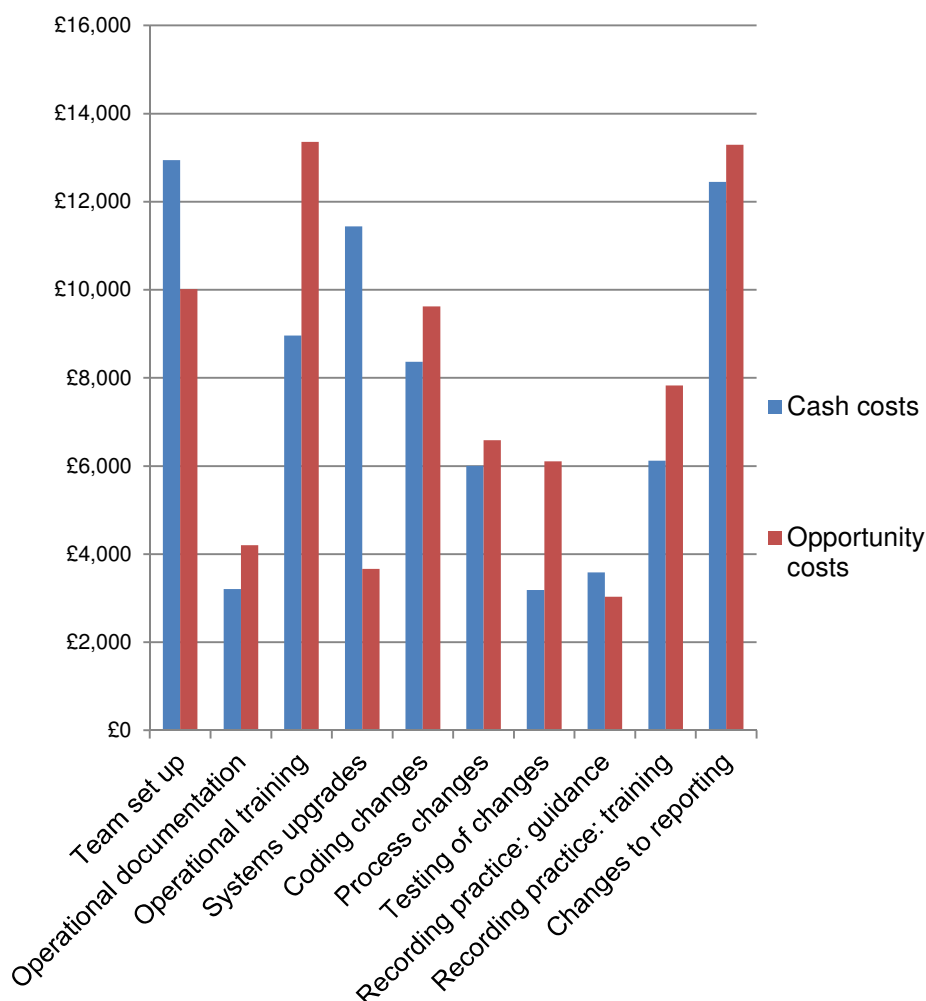
4.9 Chart 7 below plots detail of all total costs reported by participating authorities against the size of the local population (ONS 2011 mid-year figures, age group 18+). Authorities that have been entirely excluded from the figures within table 1 are highlighted in red. This chart is

included to demonstrate that there does not appear to be a link between local population and set-up costs reported by participant authorities.



4.10 Chart 8 below shows the range of mean costs for individual elements (these elements are described in more detail in appendix 3) of the implementation of EQ-CL, SALT and ASC-FR, with the **split between cash and opportunity costs**. The costs shown are for EQ-CL, SALT and ASC-FR combined.

8: Mean cash / opportunity costs for EQ-CL, SALT and ASC-FR combined, by element of cost



4.11 Cash costs reported are higher in relation to changes to team set-up, systems upgrades and the production or updating of guidance relating to changes in reporting practice. The remainder of cost types show higher opportunity costs. The highest combined costs are reported in relation to changes / updating to reporting and systems upgrades. The lowest combined costs are reported in relation to the updating and creating guidance for both relation to changes in reporting practice and operational practice.

4.12 A number of issues, **relating to data quality**, should be considered when assessing the costs provided within the impact assessment and any interpretation of the mean / median figures utilised in the assessment of national costs.

4.13 Many authorities have indicated that the costs provided are a **best estimate** and that they are uncertain of the true cost in relation to specific areas. Some authorities have provided detailed explanation of their methodology for cost calculation, others have not. This being the case it must be stressed that the costs within this report are best estimates given these uncertainties. **Validation of costs data** has been undertaken on the costs data and is described below, but it is important to note that not all costs have been validated. Where this is the case detail is provided within this section.

4.14 Two authorities have indicated that the costs provided for systems upgrades relate to updates to their electronic social care record which have been necessitated by the proposals in the Zero Based Review. These authorities acknowledge that they would likely purchase the upgrades in due course, perhaps within the next two to three years.

4.15 The most common method undertaken by authorities in the preparation of their costs is to estimate staff time needed to implement the changes and use salary details to provide costs. Some authorities report that they have more detailed data available to draw on, for instance in relation to recent upgrades to their IT systems which have informed their costs.

4.16 Given limited response to follow up queries four items remain outstanding where it is unclear whether the costs provided relate to all three collections/frameworks (EQ-CL, SALT, ASC-FR) or instead the authority has not been able to provide costs for one or more element, these have been excluded from elements of the costs.

4.17 Some participants left cost cells within the return blank or alternated blanks with zero values. It was not clear whether the blank cells represent a zero expenditure value or whether the authority is not able to provide a cost. This was queried with each authority but a small number did not respond. 25 authorities were contacted for clarification in this respect and 11 did not provide a response. **These have not been excluded from the costs given that the authority has submitted a cost as indicative of their estimate of the total financial impact.** Caution should be exercised in relation to the possible impact of the remaining uncertainty over unknown costs and zero costs.

4.18 The issue of unknown costs and zero costs is likely to have a greater **impact in regard to the accuracy of the split between cash and opportunity costs** shown in appendix 3. Authorities have told us that they have not been able to detail a cash / opportunity split and have allocated as a further estimate. Some authorities have aggregated against certain topic areas as they are unable to split costs as requested. An example here is all systems development costs reported against systems upgrades rather than coding changes or process changes. Chart 18 (page 30) may provide a better quality indication of the distribution of costs.

5. Contextual data

5.1 Appendix 1 provides detail of the responses from participating authorities in relation to the additional contextual questions. The tables show the choice of contextual responses for each subject area and details the number of each response, for each return/framework (EQ-CL, SALT, ASC-FR), alongside detail of participants who chose to provide an alternative response or who provided no response.

5.2 In addition, appendix 1 provides detail of responses to the contextual data alongside mean costs (cash and opportunity combined) provided by the participating authorities for each element highlighted within the contextual questions. Table 6 below provides a summary which highlights the most likely methods for implementation of EQ-CL, SALT and ASC-FR.

Table 6 – Contextual questions		
Contextual question subject area	Return / framework	Most frequent response
Operational documentation	EQ-CL	Amend current documentation
	SALT	Amend current documentation
	ASC-FR	New documentation required
Operational training	EQ-CL	Brand new training courses and internal training required
	SALT	Brand new training courses and internal training required
	ASC-FR	Brand new training courses and internal training required
System upgrades	EQ-CL	Upgrade relating to the ZBR requirements alone
	SALT	Upgrade relating to the ZBR requirements alone
	ASC-FR	Upgrade relating to the ZBR requirements alone
Coding changes	EQ-CL	<i>Joint equal:</i> (i) Brand new process that requires additional resource from both within the council and from the IT provider (ii) Routine process covered by existing resource
	SALT	Routine process covered by existing resource
	ASC-FR	<i>Joint equal:</i> (i) Brand new process that requires additional resource from both within the council and from the IT provider (ii) Routine process covered by existing resource
Process changes	EQ-CL	Change of inputting process -brand new work requiring additional resource within the council
	SALT	Change of inputting process -brand new work requiring additional resource within the council
	ASC-FR	Joint equal (i) Change of inputting process -brand new work requiring additional resource within the council (ii) Routine process covered by existing resource

Contextual question subject area	Return / framework	Most frequent response
Testing of changes	EQ-CL	Testing of changes - routine work covered by current resource
	SALT	Testing of changes - brand new work requiring additional resource within the Council
	ASC-FR	Testing of changes - brand new work requiring additional resource within the Council
Changes to recording practice – documentation	EQ-CL	Amend current set of documentation
	SALT	Brand new set of documentation needed
	ASC-FR	Brand new set of documentation needed
Changes to recording practice – training	EQ-CL	Brand new training courses and internal training
	SALT	Brand new training courses and internal training
	ASC-FR	Brand new training courses and internal training
Changes to reporting	EQ-CL	New reports have to be developed and tested using resource from within the council
	SALT	New reports have to be developed and tested using resource from within the council
	ASC-FR	New reports have to be developed and tested using resource from within the council

5.3 The Impact Assessment working group identified that the distinction between contextual responses such as *“Brand new process that requires additional resource from both within the council and from the IT provider”* and *“Routine process covered by existing resource”*, has the potential for ambiguity. It could be argued that the choice of ‘routine processes’ should not be included in set-up costs as they do not represent work necessitated by the Zero Based Review proposals. It was argued by some local authority representatives that the ‘routine processes’ describe the on-going work of local authority performance / data teams and the proposals do represent a new burden irrespective of how the authority choose to conduct the implementation.

5.4 Irrespective of issues of interpretation this issue highlights the potential for further work looking at the differing expectations and methods for implementation proposed by local authorities also referenced in paragraph 2.9 above.

6. Additional commentary and supporting information provided by participant authorities

6.1 Appendix 1 provides detail of the additional commentary and supporting information provided by participant authorities. This material has been grouped thematically so that the frequency of topics can be assessed.

6.2 Table 7 below provides summary of the most frequent comments made by participants.

Table 7: Additional commentary	
Summary of comment	Frequency
Training will need to be offered to a large number of staff in various roles	9
Our resources are focussed on maintaining front line services and we will need additional funding to support the implementing the new collections / framework	7
Documentation will need amending and this is not confined to one type of document – so online reference, help sections within applications and printed material will need amendment	6
We have concerns over the proposals regarding the recording of health conditions	4
A large amount of budget recoding will be necessary	3
We are uncertain regarding costs that may be levied by our IT suppliers	3
We expect further costs, but cannot quantify them at this point	2

7. The benefits of implementation of the EQ-CL framework and the SALT and ASC-FR collections

7.1 The Health and Social Care Information Centre (HSCIC) were asked to develop and consult on new proposals for adult social care data collections, taking account of the changing context of social care. This request came from the Outcomes and Information Development Board (OIDB), which is jointly chaired by the Department of Health (DH) and the Association of Directors of Adult Social Services (ADASS).

7.2 During 2011 a number of stakeholder groups considered what council level adult social care data should be collected nationally to meet changing requirements. This programme was known as the 'Zero Based Review'. Since then the HSCIC have worked with a further range of stakeholders to further develop the proposals on that and a wide range of areas in advance of the a further consultation in 2012. The HSCIC and the stakeholder groups considered whether national minimum data requirements were met by the proposals and whether the size and complexity of the proposed data collections appeared feasible, both aspects being part of the consultation. The consultation itself was launched in summer 2012 and ran for 8 weeks, asking

for feedback on the proposals put forward regarding a new range of adult social care data collections to replace the existing ones.¹¹

7.3 The impact assessment considered the implementation of the EQ-CL framework and the SALT and ASC-FR collections. It does not cover the financial impact of the new Safeguarding collection or the national minimum dataset around social care staffing.

7.4 The **EQ-CL framework** which has been created to help ensure the consistency and comparability of adult social care data collected through national returns. It will standardise information required to support current policy and emerging best practice in health and social care at local and national level, for example around personalisation and Reablement. The EQ-CL Framework is not entirely prescriptive as each local authority will still be able to collect much locally specified data in local formats. It will however be required to standardise those items required for national collections.

7.4 The **SALT collection** will collect a richer range of data relating to customer outcomes, which will match the changes to the way adult social care is delivered. Detail will be collected on both short term and long term care. There will be a focus on the outcome or sequel to short term care, which will facilitate the collection of new Adult Social Care Outcome Framework measures.

7.5 The **ASC-FR collection** will compliment the additional detail delivered within SALT by providing data on the costs of care provision. Expenditure for both short term and long term care will be collected, alongside data on expenditure on social care activities, universal services, commissioning and service delivery.

7.6 These new national data collections and classification framework will aid local authorities by forming the basis on a comprehensive set of annually updated data which can be used for benchmarking and development within the sector. The data will also be utilised within national policy setting and for ministerial briefings.

¹¹ Results of the consultation can be found here: <http://www.ic.nhs.uk/adultsocialcareconsultation12>

Appendix 1: Contextual data

8.0 Table 8 below confirms the number of participant authorities who have indicated, within each subject area (EQ-CL, SALT, ASC-FR) that their model of implementation will match the suggestions shown under the heading 'Question'. In addition the numbers of participants who have indicated another choice or not provided any response are also shown.

Table 8				
Subject	Question	EQ-CL	SALT	ASC-FR
Structure	Team set up			
	Performance and Systems staff in same team within ASC	2	2	2
	Performance and Systems staff in different teams within ASC	1	1	1
	Performance and Systems staff in same teams in Directorate other than ASC	0	0	0
	Performance and Systems staff in different teams in Directorate other than ASC	4	3	3
	Performance and Systems staff in a further different configuration	0	0	1
	Other	11	11	10
	No response	29	30	30

Changes to Operational practice	Operational documentation			
	Brand new set of documentation needed	12	15	12
	Amend current set of documentation	23	17	11
	Other	1	1	1
	No response	11	14	23
	Included within current training courses and internal training	9	8	6
	Included within current training courses and external training	0	1	0
	Brand new training courses and internal training	20	18	14
	Brand new training courses and external training	6	4	1
	Other	2	1	1
	No response	10	15	25

Subject	Question	EQ-CL	SALT	ASC-FR
Systems development	System Upgrades			
	Upgrade because of these requirements alone	16	16	14
	Upgrade because of these requirements and to suit other local requirements	6	5	5
	Upgrade already planned	4	8	6
	Other	1	1	1
	No response	20	17	21
	Code changes - Routine process covered by current resource	11	11	9
	Code changes - Brand new process additional resource required for this specific change from with the council	11	13	9
	Code changes - brand new process requiring additional resource from Provider	1	1	4
	Code changes - brand new process requiring additional resource from within the council and from the provider	9	6	8
	Other	1	1	2
	No response	14	15	15
	Change of inputting process - routine work covered by current resource	9	10	10
	Change of inputting process -brand new work requiring additional resource within the council	16	17	10
	Change of inputting process - brand new work requiring additional resource from Provider	1	1	1
	Change of inputting process - brand new work requiring additional resource from within the council and from the provider	9	4	3
	Other	1	1	1
	No response	11	13	22
	Testing of changes - routine work covered by current resource	15	12	9
	Testing of changes - brand new work requiring additional resource within the Council	14	16	14
	Testing of changes - brand new work requiring additional resource from Provider	2	1	2
	Testing of changes - brand new work requiring additional resource from within the council and from the provider	5	3	3
	Other	1	2	1
	No response	10	13	18

Subject	Question	EQ-CL	SALT	ASC-FR
Changes to recording practice	Brand new set of documentation needed	15	17	15
	Amend current set of documentation	20	13	10
	Other	1	1	1
	No response	11	16	20
	Included within current training courses and internal training	10	6	8
	Included within current training courses and external training	0	0	0
	Brand new training courses and internal training	21	20	16
	Brand new training courses and external training	5	5	3
	Other	1	1	1
	No response	10	15	19

Reporting	Current reports can be amended and tested using resource from within the council	9	1	6
	Current reports can be amended and tested using resource from Provider	1	0	0
	Current reports can be amended and tested using resource from both within the council and the provider	0	1	2
	New reports have to be developed and tested using resource from within the council	15	22	20
	New reports have to be developed and tested using resource from Provider	1	1	1
	New reports have to be developed and tested using resource from both within the council and the provider	10	11	6
	Other	1	1	1
	No response	10	10	11

Appendix 2: The data collection template

9.0 This appendix details the data collection template utilised within the impact assessment.

Impact Assessment for: Equalities and Classifications Implementation					
Local Authority Name:					
		Implementation Costs		Contextual information	
		Cash Costs	Opportunity costs	(please select from drop down menu)	
Structure	Team Setup				
Changes to Operational practice	Operational Documentation				
	Operational Training				
Systems development	<i>Changes to systems:</i>				
	System upgrades				
	Coding changes				
	Process changes				
	Testing of changes				
Changes to Recording practice	Updating/ creating guidance				
	Training				
Reporting	Changes/ updating to reporting				

9.1 Participant authorities were sent an Excel spread sheet intended to collect their costs data alongside additional contextual information and detail of risk / issues and comments. Three sections were included, formatted as above relating to the EQ-CL framework and SALT / ASC-FR collections. A summary sheet was also included which provided detail of the combined costs and gave the opportunity for inclusion of any on-going costs expected above and beyond the initial set-up costs.

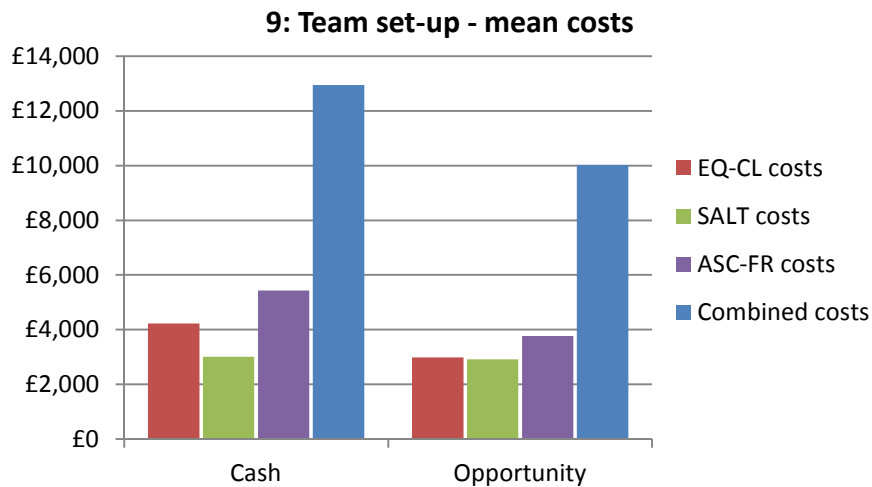
9.2 The column which captured data on contextual information was formatted to include a set of pre-determined choices, which are shown in appendix 1.

Appendix 3: Additional data collected regarding implementation

10.0 The data collection template captured a range of data on how costs have been allocated to individual aspects of implementation. This appendix provides detail of the data captured, the level of costs declared and the split between cash and opportunity costs.

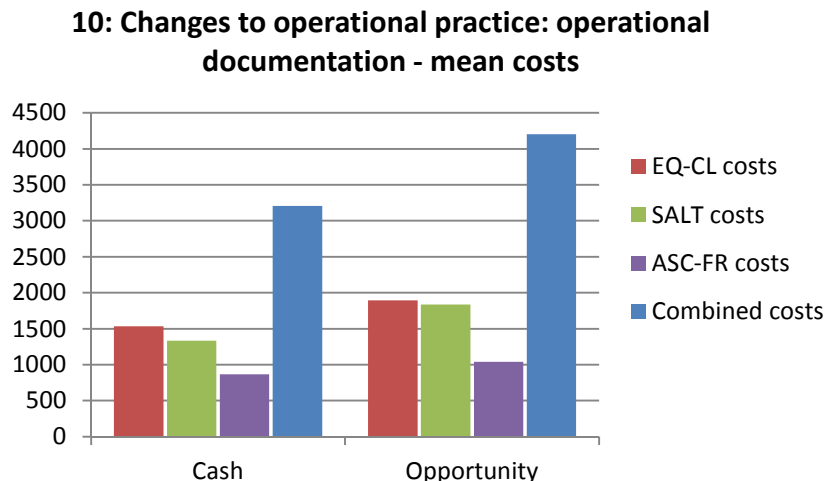
10.1 The data captured regarding **team set-up** relates to the possibility of authorities having to make staffing changes to implement and maintain the proposed changes. Not all participants indicated that they expected to make changes, and out of the 33 costs utilised within the costs in table 1, 20 indicated that changes to team set-up would have a cost implication.

10.2 Chart 9 below provides additional detail regarding the cash / opportunity split reported by participants for EQ-CL, SALT, ASC-FR and the combined costs utilised in table 1.



10.3 Cash costs exceed opportunity costs in terms of the combined costs and those reported for EQ-CL and ASC-FR. Opportunity costs are slightly higher for the SALT collection.

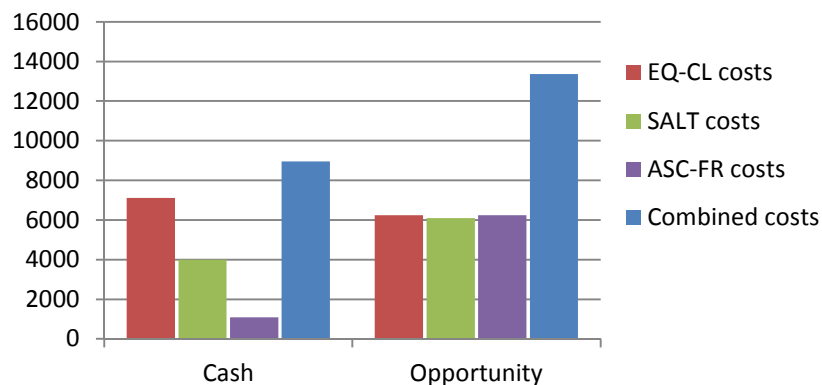
10.4 The data captured regarding **changes to operational practice** was subdivided into two sections which are intended to capture the cost impact of changes to the way front line social care staff work day to day, as there may be a necessity for new guidance material and/or training to facilitate successful capture of the new data. 'Documentation' here relates to material – perhaps printed manuals or online reference material - intended to support operational staff in their day to day work. Chart 10 below provides additional detail regarding the cash / opportunity split for this element.



10.5 Opportunity costs exceed cash costs for each of the elements and in terms of the combined costs.

10.6 The second element requested detail of costs for operational training. This was intended to capture the costs for any training necessary to support operational staff during the implementation of the proposed changes. Chart 11 below provides additional detail regarding the cash / opportunity split for this element.

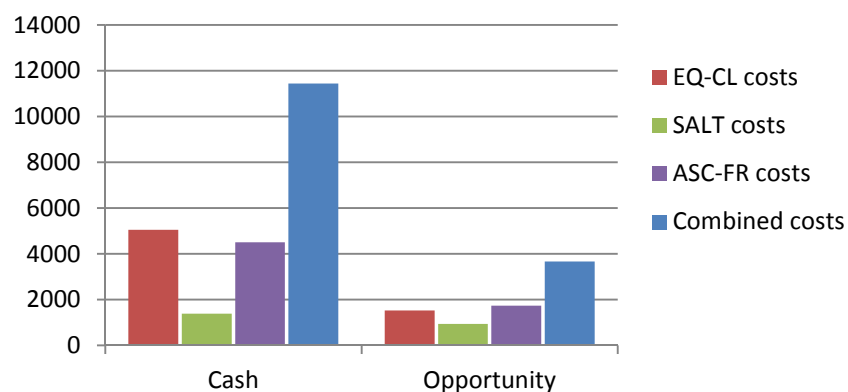
11: Changes to operational practice: operational training - mean costs



10.7 Cash costs are higher than opportunity in relation to the EQ-CL framework, but elsewhere opportunity costs are higher than cash, with the most marked variation being in relation to the ASC-FR collection.

10.8 Costs incurred in relation to **systems development** was captured within four sections of the impact assessment data. The first requested costs estimates in relation to systems upgrades. Participants were asked to comment on the different IT environments the proposed changes would operate in, with additional detail requested if entirely new systems were deemed to be necessary. Chart 12 below provides additional detail for this element.

12: Systems upgrades - mean costs

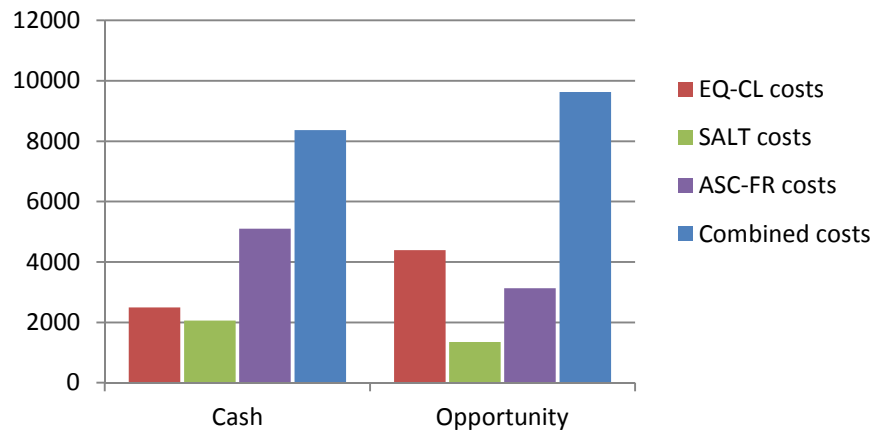


10.9 Cash costs exceed opportunity costs for EQ-CL, SALT, ASC-FR and for the combined costs utilised within table 1. The most marked variation exists in relation to EQ-CL, with the difference between cash and opportunity costs for SALT being less marked.

10.10 The second element of systems development relates to costs incurred for coding changes. Coding changes in this instance relates to changing programming routines, sub routines in the 'back

end' of the system to meet the new requirements. Chart 13 below provides additional detail for this element.

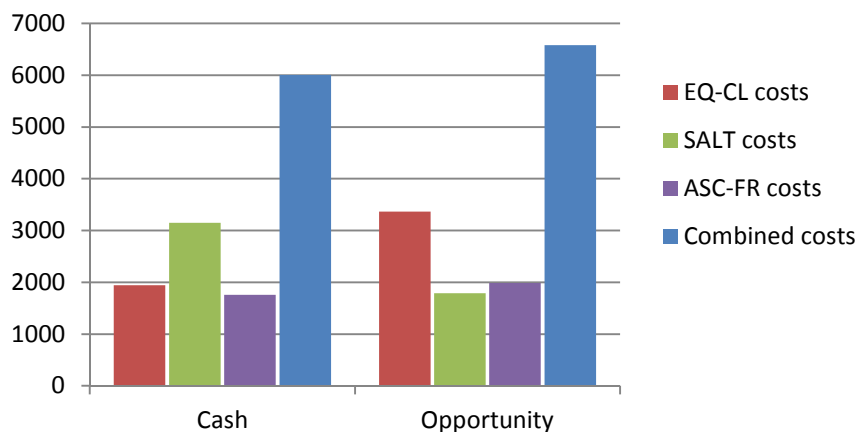
13: Changes to systems: coding changes - mean costs



10.11 There is some variation in relation to coding changes. Higher opportunity costs are reported in relation to the EQ-CL collection and the combined costs, higher cash costs are reported in relation to the SALT and ASC-FR collections.

10.12 The third element of systems development relates to process changes. This section intended to capture the estimated costs attached to technically changing the drop down lists, users' forms and other front end redesign to meet the new requirements. Chart 14 below provides additional detail for this element.

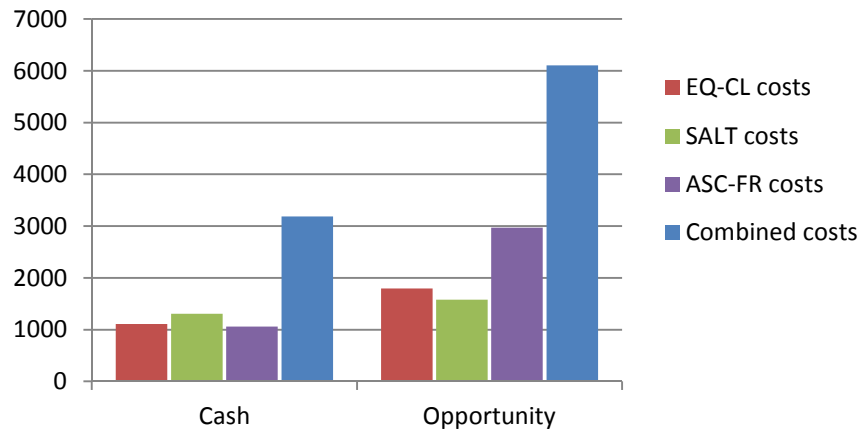
14: Changes to systems: process changes - mean costs



10.13 Cash costs were higher in relation to the SALT collection, but lower in relation to EQ-CL, ASC-FR and the combined costs.

10.14 The fourth element of systems development relates to any costs incurred due to testing during the implementation of the EQ-CL, SALT and ASC-FR proposals. Chart 15 below provides additional detail for this element, with opportunity costs being higher throughout.

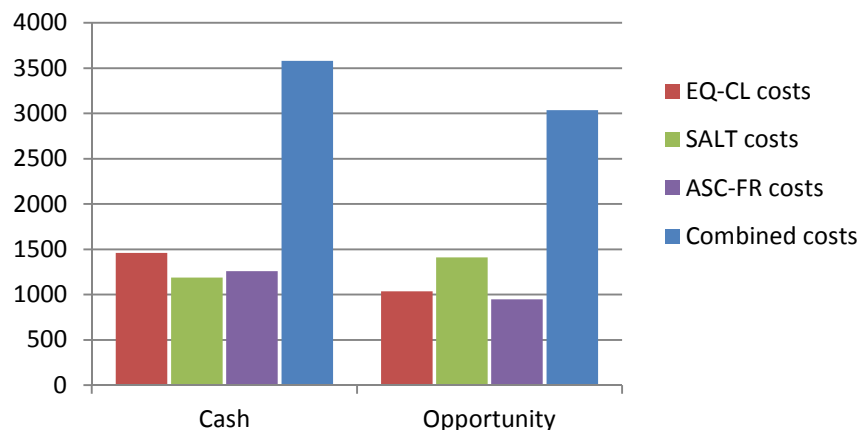
15: Changes to systems: testing of changes - mean costs



10.15 The impact assessment also sought to collect estimated costs relating to **changes to recording practice**. This was a broader category than the section on operational practice and was intended to capture the cost impact of changes to the way the local authority records the information required by the new data requirements. Staff other than front line social care staff may be involved, perhaps in an administrative capacity or within a finance department.

10.16 Chart 16 below provides additional detail relating to costs reported for updating / creating new guidance for these groups. Participants were asked not to double count between this section and the costs reported against operational practice.

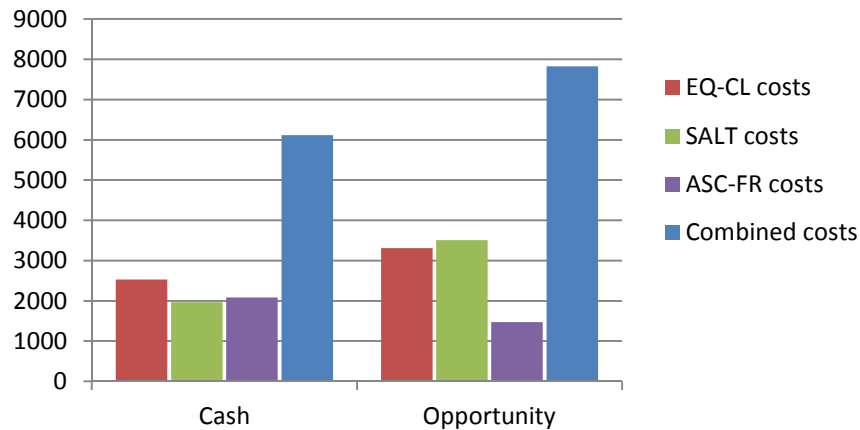
16: Changes to recording: updating / creating guidance - mean costs



10.17 Cash costs were higher in relation to EQ-CL, ASC-FR and for the combined costs utilised in table 1. Opportunity costs were higher in relation to SALT.

10.18 Chart 17 below provides additional detail relating to costs reported for training necessary in relation to changes to recording. Again participants were asked not to double count between this section and the costs reported against operational practice.

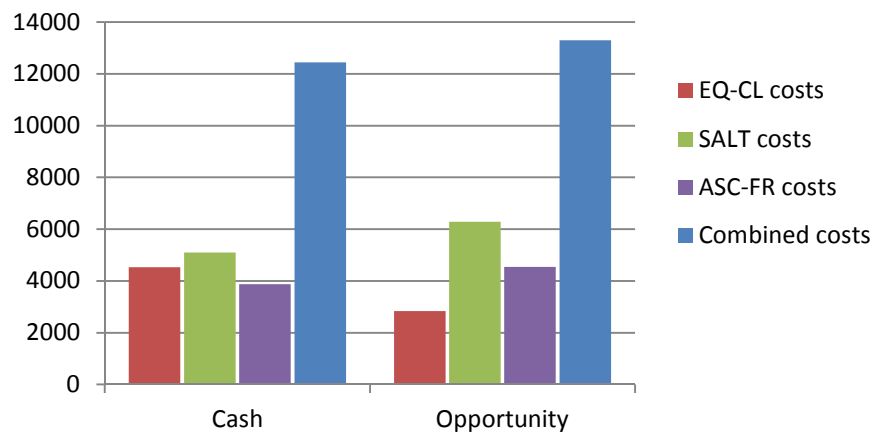
17: Changes to recording: training - mean costs



10.19 Cash costs reported for ASC-FR are higher than the opportunity costs, but opportunity costs are higher in relation to EQ-CL, SALT and the combined costs utilised in table 1.

10.20 The final section requested detail on costs incurred in relation to **reporting activity**, such as that undertaken by local authority performance teams, which will be required in relation to the proposed changes. Examples of this activity could be creating new data queries and reporting mechanisms, plus any manual collections or data quality checking deemed necessary. Chart 18 below provides additional detail in this respect.

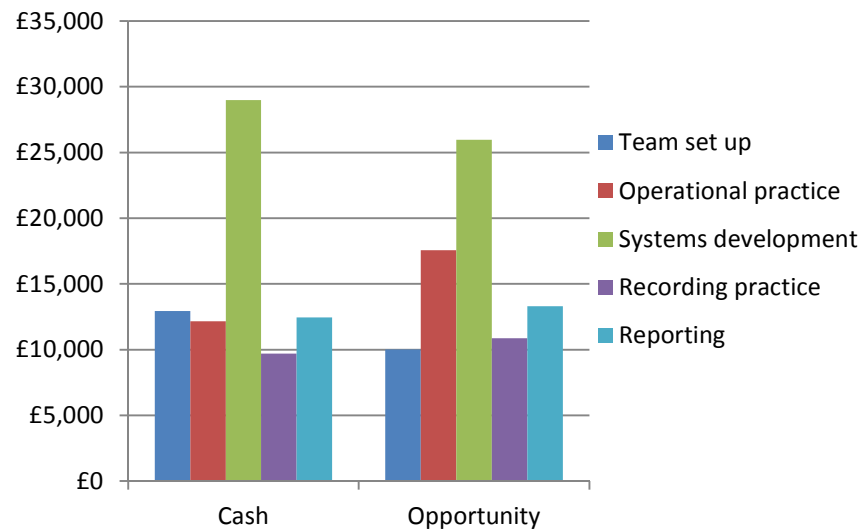
18: Changes to reporting - mean costs



10.21 Cash costs reported for EQ-CL are higher than opportunity costs. Opportunity costs are higher in relation to SALT, ASC-FR and the combined costs utilised in table 1.

10.22 Chart 19 below groups the costs shown within sections 4.11 to 4.15 into the wider topic headings.

19: Mean costs split by broad topic area



10.23 The highest costs are reported against systems development, with relatively low variation between cash and opportunity costs. The lowest opportunity costs are reported against team set-up and the lowest cash costs against changes to recording practice. These costs may provide a more reliable estimate of the split between costs due to variation in the approach taken to the compilation of the data (see comments in section 4.14 above).