

# Public Document Pack

## Cabinet

Tuesday, 17th September, 2019  
at 4.30 pm

### PLEASE NOTE TIME OF MEETING

Council Chamber - Civic Centre

This meeting is open to the public

#### Members

Leader – Councillor Hammond  
Adult Care - Councillor Fielker  
Aspiration, Children & Lifelong Learning –  
Councillor Paffey  
Healthier and Safer City – Councillor Shields  
Resources - Councillor Barnes-Andrews  
Green City & Environment – Councillor Leggett  
Homes & Culture - Councillor Kaur  
Place and Transport - Councillor Rayment

(QUORUM – 3)

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## **BACKGROUND AND RELEVANT INFORMATION**

### **The Role of the Executive**

The Cabinet and individual Cabinet Members make executive decisions relating to services provided by the Council, except for those matters which are reserved for decision by the full Council and planning and licensing matters which are dealt with by specialist regulatory panels.

### **The Forward Plan**

The Forward Plan is published on a monthly basis and provides details of all the key executive decisions to be made in the four month period following its publication. The Forward Plan is available on request or on the Southampton City Council website, [www.southampton.gov.uk](http://www.southampton.gov.uk)

### **Implementation of Decisions**

Any Executive Decision may be “called-in” as part of the Council’s Overview and Scrutiny function for review and scrutiny. The relevant Overview and Scrutiny Panel may ask the Executive to reconsider a decision, but does not have the power to change the decision themselves.

**Mobile Telephones** – Please switch your mobile telephones to silent whilst in the meeting.

### **Use of Social Media**

The Council supports the video or audio recording of meetings open to the public, for either live or subsequent broadcast. However, if, in the Chair’s opinion, a person filming or recording a meeting or taking photographs is interrupting proceedings or causing a disturbance, under the Council’s Standing Orders the person can be ordered to stop their activity, or to leave the meeting.

By entering the meeting room you are consenting to being recorded and to the use of those images and recordings for broadcasting and or/training purposes. The meeting may be recorded by the press or members of the public. Any person or organisation filming, recording or broadcasting any meeting of the Council is responsible for any claims or other liability resulting from them doing so. Details of the Council’s Guidance on the recording of meetings is available on the Council’s website.

The Southampton City Council Strategy (2016-2020) is a key document and sets out the four key outcomes that make up our vision.

- Southampton has strong and sustainable economic growth
- Children and young people get a good start in life

### **Executive Functions**

The specific functions for which the Cabinet and individual Cabinet Members are responsible are contained in Part 3 of the Council’s Constitution. Copies of the Constitution are available on request or from the City Council website, [www.southampton.gov.uk](http://www.southampton.gov.uk)

### **Key Decisions**

A Key Decision is an Executive Decision that is likely to have a significant:

- financial impact (£500,000 or more)
- impact on two or more wards
- impact on an identifiable community

### **Procedure / Public Representations**

At the discretion of the Chair, members of the public may address the meeting on any report included on the agenda in which they have a relevant interest. Any member of the public wishing to address the meeting should advise the Democratic Support Officer (DSO) whose contact details are on the front sheet of the agenda.

**Fire Procedure** – In the event of a fire or other emergency, a continuous alarm will sound and you will be advised, by officers of the Council, of what action to take.

**Smoking policy** – The Council operates a no-smoking policy in all civic buildings.

**Access** – Access is available for disabled people. Please contact the Cabinet Administrator who will help to make any necessary arrangements.

### **Municipal Year Dates (Tuesdays)**

<b>2019</b>	<b>2020</b>
18 June	21 January
16 July	11 February
20 August	18 February (Budget)
17 September	17 March
15 October	21 April
19 November	
17 December	

- People in Southampton live safe, healthy, independent lives
- Southampton is an attractive modern City, where people are proud to live and work

## **CONDUCT OF MEETING**

### **TERMS OF REFERENCE**

The terms of reference of the Cabinet, and its Executive Members, are set out in Part 3 of the Council's Constitution.

### **RULES OF PROCEDURE**

The meeting is governed by the Executive Procedure Rules as set out in Part 4 of the Council's Constitution.

### **DISCLOSURE OF INTERESTS**

Members are required to disclose, in accordance with the Members' Code of Conduct, **both** the existence **and** nature of any "Disclosable Pecuniary Interest" or "Other Interest" they may have in relation to matters for consideration on this Agenda.

### **DISCLOSABLE PECUNIARY INTERESTS**

A Member must regard himself or herself as having a Disclosable Pecuniary Interest in any matter that they or their spouse, partner, a person they are living with as husband or wife, or a person with whom they are living as if they were a civil partner in relation to:

(i) Any employment, office, trade, profession or vocation carried on for profit or gain.

(ii) Sponsorship:

Any payment or provision of any other financial benefit (other than from Southampton City Council) made or provided within the relevant period in respect of any expense incurred by you in carrying out duties as a member, or towards your election expenses. This includes any payment or financial benefit from a trade union within the meaning of the Trade Union and Labour Relations (Consolidation) Act 1992.

(iii) Any contract which is made between you / your spouse etc (or a body in which the you / your spouse etc has a beneficial interest) and Southampton City Council under which goods or services are to be provided or works are to be executed, and which has not been fully discharged.

(iv) Any beneficial interest in land which is within the area of Southampton.

(v) Any license (held alone or jointly with others) to occupy land in the area of Southampton for a month or longer.

(vi) Any tenancy where (to your knowledge) the landlord is Southampton City Council and the tenant is a body in which you / your spouse etc has a beneficial interests.

(vii) Any beneficial interest in securities of a body where that body (to your knowledge) has a place of business or land in the area of Southampton, and either:

a) the total nominal value of the securities exceeds £25,000 or one hundredth of the total issued share capital of that body, or

b) if the share capital of that body is of more than one class, the total nominal value of the shares of any one class in which you / your spouse etc has a beneficial interest that exceeds one hundredth of the total issued share capital of that class.

### **Other Interests**

A Member must regard himself or herself as having an, 'Other Interest' in any membership of, or occupation of a position of general control or management in:

Any body to which they have been appointed or nominated by Southampton City Council

Any public authority or body exercising functions of a public nature

Any body directed to charitable purposes

Any body whose principal purpose includes the influence of public opinion or policy

### **Principles of Decision Making**

All decisions of the Council will be made in accordance with the following principles:-

- proportionality (i.e. the action must be proportionate to the desired outcome);
- due consultation and the taking of professional advice from officers;
- respect for human rights;
- a presumption in favour of openness, accountability and transparency;
- setting out what options have been considered;
- setting out reasons for the decision; and
- clarity of aims and desired outcomes.

### **BUSINESS TO BE DISCUSSED**

Only those items listed on the attached agenda may be considered at this meeting.

### **QUORUM**

The minimum number of appointed Members required to be in attendance to hold the meeting is 3.

In exercising discretion, the decision maker must:

- understand the law that regulates the decision making power and gives effect to it. The decision-maker must direct itself properly in law;
- take into account all relevant matters (those matters which the law requires the authority as a matter of legal obligation to take into account);
- leave out of account irrelevant considerations;
- act for a proper purpose, exercising its powers for the public good;
- not reach a decision which no authority acting reasonably could reach, (also known as the “rationality” or “taking leave of your senses” principle);
- comply with the rule that local government finance is to be conducted on an annual basis. Save to the extent authorised by Parliament, ‘live now, pay later’ and forward funding are unlawful; and
- act with procedural propriety in accordance with the rules of fairness.

## AGENDA

### 1 APOLOGIES

To receive any apologies.

### 2 DISCLOSURE OF PERSONAL AND PECUNIARY INTERESTS

In accordance with the Localism Act 2011, and the Council's Code of Conduct, Members to disclose any personal or pecuniary interests in any matter included on the agenda for this meeting.

## EXECUTIVE BUSINESS

### 3 STATEMENT FROM THE LEADER

### 4 RECORD OF THE PREVIOUS DECISION MAKING (Pages 1 - 4)

Record of the decision making held on 20<sup>th</sup> August, 2019, attached.

### 5 MATTERS REFERRED BY THE COUNCIL OR BY THE OVERVIEW AND SCRUTINY MANAGEMENT COMMITTEE FOR RECONSIDERATION (IF ANY)

There are no matters referred for reconsideration.

### 6 REPORTS FROM OVERVIEW AND SCRUTINY COMMITTEES (IF ANY)

There are no items for consideration

### 7 EXECUTIVE APPOINTMENTS

To deal with any executive appointments, as required.

## ITEMS FOR DECISION BY CABINET

### 8 REDUCING AND PREVENTION DOMESTIC ABUSE IN SOUTHAMPTON: EXECUTIVE RESPONSE TO SCRUTINY INQUIRY RECOMMENDATIONS. □ (Pages 5 - 84)

To receive and approve the proposed responses to the recommendations of the Reducing and Prevention Domestic Abuse in Southampton Scrutiny Inquiry Panel.

### 9 BANKING FACILITIES ARRANGEMENT & SET OFF AGREEMENT (Pages 85 - 96)

To consider the report of the Cabinet Member for Resources seeking approval to enter into a new agreement for banking facilities, to include a set-off agreement.

**10 ALLOCATIONS POLICY AND GYPSY TRAVELLER SITE ALLOCATION POLICY**  
(Pages 97 - 146)

To consider the report of the Cabinet Member for Homes and Culture seeking approval for the Allocations Policy and Gypsy Traveller Site Allocation Policy.

**11 M27/M3 TRAVEL DEMAND MANAGEMENT PROJECT** □ (Pages 147 - 178)

To consider the report of the Cabinet Member for Place and Transport seeking approval for the receipt of funding to deliver a 18 month Travel Demand Management Programme for the M27 and M3.

**12 SECURITY SERVICES CONTRACT** □ (Pages 179 - 194)

To consider the report of the Cabinet Member for Resources seeking approval to agree to award a Security Services Contract over 5 years.

Monday, 9 September 2019

Director of Legal and Governance

SOUTHAMPTON CITY COUNCIL  
EXECUTIVE DECISION MAKING

RECORD OF THE DECISION MAKING HELD ON 20 AUGUST 2019

Present:

Councillor Hammond	-	Leader of the Council, Clean Growth and Development
Councillor Rayment	-	Cabinet Member for Place and Transport
Councillor Fielker	-	Cabinet Member for Adult Care
Councillor Kaur	-	Cabinet Member for Homes and Culture
Councillor Leggett	-	Cabinet Member for Green City and Environment
Councillor Shields	-	Cabinet Member for Healthier and Safer City
Councillor Barnes-Andrews	-	Cabinet Member for Resources

Apologies: Councillor Dr Paffey

16. EXECUTIVE APPOINTMENTS

Cllr Kaur was appointed to the Southampton Cultural Development Trust.

17. 2019/20 CORPORATE REVENUE MONITORING REPORT FOR THE PERIOD TO END OF JUNE 2019

Recommendations in the report noted.

18. CAPITAL FINANCIAL MONITORING REPORT FOR 2019/20 FOR THE PERIOD TO END OF JUNE 2019

Recommendations in the report noted.

19. EXECUTIVE RESPONSE TO THE FUTURE OF WORK IN SOUTHAMPTON INQUIRY

DECISION MADE: (CAB 19/20 23878)

On consideration of the report of the Leader of the Council, Cabinet agreed the following:

- (i) To approve the response to the Future of Work in Southampton Scrutiny Inquiry recommendations as set out in the Action Plan attached as Appendix 1.
- (ii) To delegate authority to the Director of Growth, after consultation with the Leader of the Council, to include funding requirements as part of the annual budget setting process as highlighted in Section 4 of this report and detailed in the Future of Work in Southampton Action Plan.

- (iii) To delegate authority to the Director of Growth, after consultation with the Leader of the Council, to establish a citywide steering group to oversee the implementations of the recommendations set out in the Future of Work in Southampton Action Plan. The Steering group will report back to the Council in September 2021.

20. COMMUNITY CHEST GRANTS 2019/20

DECISION MADE: (CAB 19/20 23912)

On consideration of the report of the Cabinet Member for Green City and Environment and having received representation from Creative Options, Cabinet agreed the following:

- (i) To agree the recommendations for 2019/20 round 1 grants made by the cross-party Community Chest Grant Advisory Panel as set out in appendix 1 of the report subject to no. 15 "Creative Options" grant being increased to £2500.

21. TRANSFORMING HEALTH AND CARE FOR THE PEOPLE OF SOUTHAMPTON, FIVE YEAR STRATEGIC PLAN 2019-2023

DECISION MADE: (19/20 24212)

On consideration of the report of the Director of Quality and Integration and having received representation from representatives of ZEST, Cabinet agreed the following:

- (i) To endorse the strategic framework and the current draft of the emerging Southampton City five year strategic plan – Transforming Health and Care for the People of Southampton 2019-2023, and delegate authority to the Director of Quality & Integration following consultation with the Cabinet Member for Healthier and Safe City to provide a response and feedback on the proposed content of the Strategy; and
- (ii) That recommendation be made to the Clinical Commissioning Group that the timeframe of the Strategy be amended to reflect the five year period 2020 – 2025.

22. PRIVATE RENTED SECTOR POLICY

DECISION MADE: (CAB 19/20 23987)

On consideration of the report of the Cabinet Member for Homes and Culture, Cabinet agreed the following:

- (i) That Cabinet considers and approves the proposed policy, attached as Appendix 1.
- (ii) That Cabinet delegates authority to the Director of Transactions & Universal Services to make minor amendments to the policy to reflect technical clarifications or legislative changes.



23. HMO LICENSING POLICY

DECISION MADE: (CAB19/20 23960)

On consideration of the report of the Cabinet Member for Homes and Culture, Cabinet agreed the following:

- (i) That Cabinet considers and approves the proposed policy, attached as Appendix 1.
- (ii) That Cabinet delegates authority to the Director of Transactions & Universal Services to make minor amendments to the policy in relation to technical clarifications and legislative change.
- (iii) That Cabinet delegates authority to the Director of Transactions & Universal Services to set and amend the HMO licence fees.

24. JOINT COMMISSIONING BOARD - TERMS OF REFERENCE REVIEW

DECISION MADE: (CAB 19/20 24224)

On consideration of the report of the Director of Quality and Integration, Cabinet agreed the following:

- (i) To approve the revised Terms of Reference for the Joint Commissioning Board as attached as appendix 1 of the report.

25. PROCUREMENT OF COMMERCIAL WASTE DISPOSAL CONTRACT

DECISION MADE: (CAB 19/20 24206)

On consideration of the report of the Cabinet Member for Place and Transport, Cabinet agreed the following:

- (i) Subject to approval of Council recommendations (i) to (iii) below, that approval is given for the procurement of a single supplier waste disposal contract for commercial waste.
- (ii) That authority is delegated to the Service Director Transactions and Universal Services to carry out a procurement process for the delivery of a waste disposal contract for commercial waste, as set out in this report, and to enter into contracts for the delivery of the service in accordance with the Contract Procedure Rules.
- (iii) To authorise the Service Director Transactions and Universal Services to take all necessary actions to implement the proposals contained in this report

26. TRANSPORT FOR SOUTH EAST CONSULTATION

DECISION MADE: (CAB 19/20 24085)

On consideration of the report of the Cabinet Member for Place and Transport, Cabinet agreed the following:

- (i) That Cabinet notes the content of the draft proposal to establish a sub-national transport body for the South East to be known as Transport for the South East (TfSE).
- (ii) That Cabinet agrees the principles set out in this report to form the basis of the Council's response to the consultation on the draft proposal.
- (iii) That authority is delegated to the Director of Growth to finalise the detailed consultation response based on the approved principles following consultation with the Cabinet Member for Transport & Place.

# Agenda Item 8

<b>DECISION-MAKER:</b>	<b>CABINET</b>		
<b>SUBJECT:</b>	<b>RESPONSE TO SCRUTINY INQUIRY RECOMMENDATIONS ON DOMESTIC ABUSE</b>		
<b>DATE OF DECISION:</b>	<b>17 SEPTEMBER 2019</b>		
<b>REPORT OF:</b>	<b>CABINET MEMBER FOR HEALTHIER AND SAFER CITY</b>		
<b><u>CONTACT DETAILS</u></b>			
<b>AUTHOR:</b>	<b>Name:</b>	<b>Sandra Jerrim</b>	<b>Tel: 023 8029 6039</b>
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<b>STATEMENT OF CONFIDENTIALITY</b>	
None	
<b>BRIEF SUMMARY</b>	
From January to April 2019 the Scrutiny Panel undertook an inquiry looking at ways to consider what more may be done in Southampton to reduce domestic abuse with a focus on preventing people from abusing their intimate partner. The final report of the Scrutiny Panel was presented to Cabinet on 18 June 2019. This report presents Cabinet's response to the recommendations made by the Inquiry Panel.	
<b>RECOMMENDATIONS:</b>	
(i)	To receive and approve the proposed responses to the recommendations of the Scrutiny Inquiry Panel, to follow as a completed version of Appendix 1
<b>REASONS FOR REPORT RECOMMENDATIONS</b>	
1.	The overview and scrutiny rules in part 4 of the Council's Constitution requires the Executive to consider all inquiry reports that have been endorsed by the Overview and Scrutiny Management Committee (OSMC), and to submit a formal response to the recommendations within them
<b>ALTERNATIVE OPTIONS CONSIDERED AND REJECTED</b>	
2.	None
<b>DETAIL (Including consultation carried out)</b>	
3.	The Inquiry was set up to identify opportunities to reduce domestic abuse in Southampton. The stated objectives were: a) To develop understanding from a national and local level of domestic abuse, patterns of offending, and risk factors associated with perpetrators of domestic abuse.

	<p>b) To consider the prevalence of perpetrating domestic abuse in Southampton; the services that are currently available across the life course in Southampton to reduce the likelihood of people becoming perpetrators of domestic abuse; the effectiveness of the services and gaps in provision.</p> <p>c) To identify what is being done elsewhere in preventing people from being perpetrators of domestic abuse and identify if these principles or initiatives could be introduced in Southampton.</p>
4.	The Scrutiny Inquiry Panel undertook the inquiry over 3 evidence gathering meetings between January 2019 and April 2019 and received information from a wide variety of organisations. This included Respect - the leading UK membership organisation that works with domestic abuse perpetrators and young and male victims, domestic abuse service providers, charitable and voluntary organisations including Hampton Trust and Yellow Door, SCC's Independent Domestic Violence Advocat service, Hampshire Constabulary, Hampshire & IOW Community Rehabilitation Company, commissioners, and Council Officers.
5.	The final Scrutiny Inquiry report was approved by OSMC on 13 June 2019
6.	The recommendations contained within the final report will be summarised as Appendix 1, with proposed lead agency or Officer, actions and potential resource implications set out against each recommendation.
<b>RESOURCE IMPLICATIONS</b>	
<b><u>Revenue</u></b>	
7.	Any proposals that requires additional expenditure will need the funding source to be identified before any costs are incurred.
8.	Based on the recommendations, additional funding is currently estimated at £136,137 per annum. Potential external funding sources could include the Office of the Police and Crime Commissioner (OPCC), government funding and other funding opportunities as they arise. Any new funding from SCC will require approval through the Budget process or come from existing budgets which would require a corresponding identified saving.
9.	In response to the recommendations, indicative values have been provided where available but final costs will be dependent on final bids being developed against available funding.
<b>ALTERNATIVE FUNDING OPTIONS CONSIDERED AND REJECTED</b>	
10.	The option to redirect funding from domestic and sexual abuse survivor and victim based services was considered and rejected. The current services are already under significant pressure to meet increasing demand. Reducing resources would impact negatively on a range of other
11.	The option to generate efficiencies by amalgamating SCC provided services with commissioned services was also considered. This option was also rejected as it moves away from the Southampton First policy approach which seeks to avoid out sourcing any currently provided SCC services.
<b><u>Property/Other</u></b>	
12.	None
<b>LEGAL IMPLICATIONS</b>	

<b><u>Statutory power to undertake proposals in the report:</u></b>	
13.	s. 1 Localism Act 2011
<b><u>Other Legal Implications:</u></b>	
14.	<p>The Equality Act 2010 imposes various duties on Local Authorities. In particular the duty to have due regard to its public sector equality duty when carrying out any function. In particular the duty to eliminate discrimination, harassment and victimisation and advance equality of opportunity and fostering good relations. Local Authorities also have a duty under the Human Rights Act 1998, when carrying out any function, not to act incompatibly with rights under the European Convention for the Protection of Fundamental Rights and Freedoms.</p> <p>There are various duties imposed by legislation that require the Council to safeguard individuals and assist in preventing crime and anti-social behaviour. This includes the Crime and Disorder Act 1998, the Anti-Social Behaviour, Crime and Policing Act 2014 enables the Council to take a range of legal actions including seeking injunction orders.</p> <p>The Care Act 2014 imposes a statutory duty on the Council to safeguard vulnerable people who have needs for care and support who are suffering from abuse or neglect.</p>
<b>RISK MANAGEMENT IMPLICATIONS</b>	
15.	None
<b>POLICY FRAMEWORK IMPLICATIONS</b>	
16.	None

<b>KEY DECISION?</b>	<b>Yes</b>
<b>WARDS/COMMUNITIES AFFECTED:</b>	All Wards
<b><u>SUPPORTING DOCUMENTATION</u></b>	
<b>Appendices</b>	
1.	Response to recommendations
2.	Preventing perpetrators of intimate partner abuse in Southampton; A needs assessment (June 2019)

**Documents In Members' Rooms**

1.	None
<b>Equality Impact Assessment</b>	
<b>Do the implications/subject of the report require an Equality and Safety Impact Assessment (ESIA) to be carried out.</b>	<b>No</b>
<b>Data Protection Impact Assessment</b>	

<b>Do the implications/subject of the report require a Data Protection Impact Assessment (DPIA) to be carried out.</b>		<b>No</b>
<b>Other Background Documents</b>		
<b>Other Background documents available for inspection at:</b>		
<b>Title of Background Paper(s)</b>	<b>Relevant Paragraph of the Access to Information Procedure Rules / Schedule 12A allowing document to be Exempt/Confidential (if applicable)</b>	
1.	None	

## Reducing domestic abuse: response to Scrutiny Inquiry recommendations

The following recommendations take account of the recent Needs Assessment completed for Southampton and attached as Appendix 2.

All recommendations should be reflected in forthcoming DSA and Serious Violent crime strategies to increase the focus on perpetrators and help keep the city safer.

Recommendations	Accepted by Executive? (Y/N)	How will the recommendation be achieved? (Key actions)	Responsible Officer	Target Date for Completion	Resource implications / notes (estimated)
<b>Universal primary prevention</b>					
<p><b>1. Communications Campaign</b> – There is still a social acceptance of ‘low level’ abusive or oppressive behaviour in society which, therefore, needs a change in culture and community response to perpetrator behaviour. Learning from the findings of the developing Domestic Abuse Needs Assessment, it is recommended that, in line with the commitment in the draft Domestic Abuse Bill to promote public awareness of domestic abuse, the Council undertakes a communication campaign that, alongside the messages promoted through White Ribbon Day challenging attitudes to gender inequality, seeks to stigmatise abusive behaviours and to signpost members of the public to the Hampton Trust and Respect Phone Line.</p>	Y	<p>Finance required {secure}</p> <ul style="list-style-type: none"> <li>Local Authority (SCC) commitment (Budget setting 2020)</li> <li>Local agency commitments (campaigns budgets/external funding bids)</li> <li>DA Bill funding (when opportunity arises)</li> <li>OPCC funding (when opportunity arises)</li> <li>Charitable and academic funding routes</li> </ul>	DSA Chair	Feb 2020	<p>Estimated at £5k based on current investment in public health priorities each year and secures a minimum level of social media and physical promotion</p>
		<p>Focus</p> <ul style="list-style-type: none"> <li>Agree a clear focus around perpetrators and where focus is aimed at</li> </ul>	DSA Chair	Feb 2020	
		<ul style="list-style-type: none"> <li>Ensure that all agencies communications strategies join up and complement each other.</li> </ul> <p>Delivery of communications campaign plan</p>	DSA Chair	Feb 2020	

Recommendations	Accepted by Executive? (Y/N)	How will the recommendation be achieved? (Key actions)	Responsible Officer	Target Date for Completion	Resource implications / notes (estimated)
		<ul style="list-style-type: none"> <li>• Consider link to White Ribbon day if focus appropriate or</li> <li>• Separate specific campaign to highlight perpetrator work</li> <li>• Consider multi agency approach</li> <li>• Link to victim and survivor campaigns</li> <li>• Consider recommendations related to communications made in Needs Assessment (NA) on preventing perpetration of intimate partner abuse (IPA) (see Needs Assessment)</li> </ul> <p>Reporting through DSA to SCP</p>	DSA Chair	<p>Plan by Nov 2019</p> <p>This recommendation should run continually</p>	
<p><b>2. Reporting Domestic Abuse</b> – Engage with local media outlets and encourage them to follow the new reporting guidelines developed by Level Up, and adopted by press regulators, on the way that domestic abuse is reported. (<a href="https://act.welevelup.org/campaigns/54">https://act.welevelup.org/campaigns/54</a>)</p>	Y	<p>Communications Team to lead the dialogue with media outlets /press, supported by SCC leads for DSA</p> <p>Support from, and progress reports to, DSA strategy group and SCP</p> <p>Reporting through DSA to SCP</p>	<p>Head of communications</p> <p>SCC DSA leads</p>	<p>Ongoing</p> <p>November 2019 2020 2021</p>	
<p><b>3. Relationship Education</b> - Support schools, as required, to deliver the requirements on relationship education, relationships and sex education, and health education in primary and secondary schools outlined within the draft Domestic Abuse Bill and associated statutory guidance for schools:</p>	Y	<p>Responsibility for delivery of the statutory guidance <a href="#">Draft guidance Relationships Education Relationships and Sex Education pdf</a> relating to the Domestic Abuse Bill, and in the context of healthy relationships sits with Head teachers and Governing Bodies in schools and academies (or their equivalent). A number of</p>	<p>No lead officer – monitor through Head teacher forum</p>	<p>Ongoing</p>	<p>Estimated £10k for DSA training for school leads and educational resources.</p>



Recommendations	Accepted by Executive? (Y/N)	How will the recommendation be achieved? (Key actions)	Responsible Officer	Target Date for Completion	Resource implications / notes (estimated)
		<p>resources are quality assured and available to schools and should continue to be used and include:</p> <ul style="list-style-type: none"> <li>• <a href="http://Safe4me.co.uk">Safe4me.co.uk</a></li> <li>• <a href="http://PSHE association">PSHE association</a></li> <li>• <a href="http://Sex Education forum">Sex Education forum</a></li> </ul> <p>Existing mechanisms to support exist through City-wide teacher led networks for Personal, Social Health and Economic (PSHE) education and Relationships and Sex Education (RSE). These should continue to be supported. This includes work to develop a Southampton focussed version of the national PSHE Programme of Study once the national version has been updated nationally.</p> <p>Ensure all schools are compliant with the statutory requirements from 1 September 2020 when Relationships and Sex Education and Health Education become statutory for publicly funded schools. Then identify any ongoing support schools need.</p> <p>Reporting through 0-19 Prevention and Early Help Strategy Group and Multi-Agency Children's Board.</p> <p>Updates to DSA strategy group</p>	<p>ICU and Public Health commissioners</p> <p>Derek Wiles - service lead for education. Monitor through Head teacher forum</p> <p>ICU and Public Health commissioners</p>	<p>Await update of national PSHE programme of study</p> <p>April 2021</p>	



Recommendations	Accepted by Executive? (Y/N)	How will the recommendation be achieved? (Key actions)	Responsible Officer	Target Date for Completion	Resource implications / notes (estimated)
		<p>Agencies to educate and raise awareness around ACE and a common, agreed approach across agencies is in place to ensure a joined up and consistent approach</p> <p>This recommendation should be commenced as soon as possible with acceptance that outcomes will be medium to longer term</p> <p>Reporting annually through DSA to SCP and 0-19 Board</p>	SCC lead for ACE	ACE timescales	
<p><b>Perpetrator Services / Whole system approach</b> We cannot reduce domestic abuse without reducing the number of people who are abusive. People who are abusive often need support to recognise their abuse and to change. Perpetrator services help to reduce the risk to partners, current and future, and mean fewer children live in families affected by domestic abuse. It also sends a clear social message that victims or survivors do not cause domestic abuse.</p>					
<p><b>5. Raise awareness of, and increase referrals to, perpetrator services</b> - There is a need to increase the identification of, and from this the number of referrals to perpetrator services, and at an earlier stage, from agencies dealing with abuse. It is recommended that a perpetrator services awareness raising</p>	Y	Develop a multi agency plan outlining all agency approaches to raising awareness of and increase referrals to perp services and, where possible and appropriate. Introduce DSA champions into services in contact with people who	DSA Chair		£3,750 for 10 workshops at £750 per day. Includes 2 workshops per day.



Recommendations	Accepted by Executive? (Y/N)	How will the recommendation be achieved? (Key actions)	Responsible Officer	Target Date for Completion	Resource implications / notes (estimated)
		<p>emerging from this to disrupt and divert.</p> <p>Reporting through DSA to SCP</p>			
<p><b>6. Introduce routine enquiry for perpetrators</b>            – Routine enquiry currently involves asking all women at assessments about abuse regardless of whether there are any indications or suspicions of abuse. No equivalent approach exists to ask if individuals are perpetrating abuse at assessments in key services. This should be introduced across an appropriate range of services, including primary care, mental health, substance misuse and other services, to improve identification and provides opportunities for early intervention.</p>	Y	<p>Use existing co-location practice within Hampton Trust to provide a basis for research and evaluation of routine inquiry approaches. Consider using small qualitative studies. Link to rec 9 below</p> <p>Finance required {secure}</p> <ul style="list-style-type: none"> <li>• Local Authority (SCC) commitment (Budget setting 2020)</li> <li>• Local agency commitments (campaigns budgets/external funding bids)</li> <li>• DA Bill funding (when opportunity arises)</li> <li>• OPCC funding (when opportunity arises)</li> <li>• Charitable and academic funding routes</li> </ul> <p>Use findings to inform appropriate approaches are developed and used effectively for routine enquiry approach for perpetrators in key settings</p> <ul style="list-style-type: none"> <li>- Primary care</li> <li>- Mental health</li> <li>- Substance misuse</li> </ul>	<p>Public Health</p> <p>DSA Chair</p>	<p>Feb 2020</p> <p>Feb 2020</p> <p>As set by Govt./OPCC</p>	£5k for the evaluation



Recommendations	Accepted by Executive? (Y/N)	How will the recommendation be achieved? (Key actions)	Responsible Officer	Target Date for Completion	Resource implications / notes (estimated)
		<ul style="list-style-type: none"> <li>• OPCC funding (when opportunity arises)</li> <li>• Charitable and academic funding routes</li> </ul> <p>If evaluation is positive and funding available – put on more sustainable footing in Southampton.</p> <p>Link to recommendation 5 above</p>	Police & Hampton Trust	Await outcome of evaluation.	
<p><b>9. Co-location of Hampton Trust staff within the key service areas</b> - To support long term institutional change in engaging perpetrators and to promote identification for early intervention it is recommended that Hampton Trust staff are co-located within key service areas for specified periods of time (e.g. 6 months at each location). This would include the High Risk Domestic Abuse Service, Substance Misuse and Mental health services, among others. Outcomes of this initiative should be evaluated.</p>	Y	<p>Finance required {secure}</p> <ul style="list-style-type: none"> <li>• Local Authority (SCC) commitment (Budget setting 2020)</li> <li>• Local agency commitments (campaigns budgets/external funding bids)</li> <li>• DA Bill funding (when opportunity arises)</li> <li>• OPCC funding (when opportunity arises)</li> <li>• Charitable and academic funding routes</li> </ul> <p>Clear objectives and outcomes to be agreed before and during delivery of this work. Link to recommendation 6</p> <p>Use co-location to review the links between mental health and substance misuse services with perpetrator services. Consider combining substance</p>	<p>DSA Chair</p>       <p>ICU lead</p>	<p>Feb 2020</p> <p>Feb 2020</p> <p>As set by Govt./OPCC</p>	<p>£41,567.2</p> <p>This would finance a full time post and include on costs.</p>

Recommendations	Accepted by Executive? (Y/N)	How will the recommendation be achieved? (Key actions)	Responsible Officer	Target Date for Completion	Resource implications / notes (estimated)
		misuse and perpetrator treatment programmes where applicable.			
<b>Evidence Based Decision Making</b>					
<b>10. Update the Domestic and Sexual Abuse Strategy (DSA)</b> – The existing Southampton DSA Strategy runs from 2017-2020. The strategy needs to be updated to reflect the Domestic Abuse Strategic Needs Assessment and the findings from this inquiry.	Y	Strategy unit to lead on a city wide coordinated DSA strategy for 2021 onward, informed by this action plan, the domestic abuse needs assessment, the safe city assessment and any further work.	Strategy Unit SCC	Dec 2020	
<b>11. Evaluation of perpetrator services</b> – Evidence that supports the effectiveness of perpetrator services is limited but growing. To develop the evidence base it is recommended that the DSA strategic group receives and considers appropriate research and evaluations from across the UK and combines this with regular analysis of perpetrator services in Southampton to develop understanding about what services and initiatives are most effective and to inform future commissioning intentions.	Y	Public Health to review literature and evidence base for perpetrator services (2020 – 2022 inclusive).  Public Health to share examples of ‘what works’ and provide evidence of what works.  Services to evaluate their work (see Needs Assessment)	Public Health  Public Health  DSA Chair/ICU	Jan 2021  March 2021	£5k evaluation costs
<b>12. Return on Investment for Perpetrator Services</b> – Public Health to work with others to develop a return on investment for perpetrator services to help support future funding decisions made by the Council and partners.	Y	Return on Investment work to be developed for perpetrator services.  Finance required • Public Health resources	Public Health	Dependent on resources available	More involved work would cost £5k-£10k to commission



Recommendations	Accepted by Executive? (Y/N)	How will the recommendation be achieved? (Key actions)	Responsible Officer	Target Date for Completion	Resource implications / notes (estimated)
<p><b>13. Alcohol and Substance Misuse</b> – The Draft Domestic Abuse Bill commits the Government to consider the impact of alcohol on domestic abuse and to identify gaps in the evidence base on the relationship between substance misuse and domestic abuse. It is recommended that the Integrated Commissioning Unit and Public Health keep abreast of the developments in this area and reflect on the outcomes when considering future decisions and strategies relating to domestic abuse and substance and alcohol misuse.</p>	Y	<p>Public Health and ICU monitor developments and provide timely updates to SCP and reviews of both Alcohol Strategy and DSA strategy (see also Needs Assessment).</p> <p>Report through DSA to SCP</p>	Public Health lead/ ICU DSA lead	As required	
<p><b>14. The role of Public Health</b> – The Director of Public Health considers domestic abuse when the new funding arrangement and mandate for Public Health is announced nationally, timescale unknown.</p>	Y	<p>Public Health to provide report to SCP reflecting consideration and outcome for DSA when new funding arrangement is announced.</p> <p>Report through DSA to SCP</p>	Public Health	Announcement dependent.	
<p><b>15. Consideration of the impact on victims and perpetrators of domestic abuse when making Council decisions</b> – To ensure that consideration is given to the impact of Council proposals on the victims and perpetrators of domestic abuse it is recommended that they are included within Equality and Safety Impact Assessments as if they were a protected characteristic.</p>	Y	<p>To include a more robust outline about the range of vulnerable adults (DV, homeless etc.) noted in the ESIA process. Present findings to Equalities forum/Cabinet.</p> <p>Report through DSA to SCP</p>	SCC DSA leads		
<p><b>16. Working with Government</b> – Southampton has good survivor services and is recognised as a vanguard area for perpetrator services.</p>	Y	Proactive engagement with DA commissioner and wider government		Aligned to Govt developments	

Recommendations	Accepted by Executive? (Y/N)	How will the recommendation be achieved? (Key actions)	Responsible Officer	Target Date for Completion	Resource implications / notes (estimated)
However, the number of reported incidents of domestic abuse continues to rise. The draft Domestic Abuse Bill provides an opportunity for Southampton to, through the development of the next iteration of the DSA Strategy and improved resourcing towards perpetrators, develop a narrative on domestic abuse in Southampton and engage with the Government with the ambition of using the city as model for investing in innovative, citywide practice to reduce levels of domestic abuse. It should also form early and positive links with the proposed Domestic Abuse Commissioner if and when they are appointed.		officials to secure further investment in innovation.	Cllr Shields/Cllr McEwing/ Public Health Director		

### Summary of estimated costs

Recommendation	Est. cost	Detail
Rec 1: Communications Campaign	£5,000	Estimated at £5k based on current investment in public health priorities each year and secures a minimum level of social media and physical promotion
Rec 3: Relationship Education	£10,000	Estimated £10k for DSA training for school leads and educational resources. Potential to increase and include dedicated staff resource.
Rec 5: Raise awareness of, and increase referrals to, perpetrator services	£3,750	£750 per day. Includes 2 workshops per day. Current rate paid by HCC
Rec 6: Introduce routine enquiry for perpetrators	£5,000	Evaluation costs
Rec 7: Seek additional resources to support perpetrator services in Southampton <ul style="list-style-type: none"> <li>LINX service</li> </ul>	£8,000	LINX Practitioner in schools for one day a week.

Rec 7: Seek additional resources to support perpetrator services in Southampton <ul style="list-style-type: none"> <li>Increased capacity.</li> </ul>	£53,000	This would double the current investment. Currently 6% of SCC investment in Domestic abuse services and would increase it to 12%.
Rec 9: Co-location of Hampton Trust staff within the key service areas	£41,567	This would finance a full-time post and include on costs.
Rec 11: Evaluation of perpetrator	£5,000	Evaluation costs
Rec 12: Return on Investment for Perpetrator Services	£5,000	More involved work would cost £5k-£10k to commission
	£136, 137	

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## Preventing perpetrators of intimate partner abuse in Southampton; A needs assessment June 2019

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Contributors: Charlotte Matthews, Vicky Copley, Dan King, Sandra Jerrim, Hilary Linssen, Jane White and many other individuals from Southampton City Council, service providers and partner organisations.

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## Executive summary

Domestic and sexual abuse (DSA) is an umbrella term that encompasses any form of abuse between any family members. Intimate partner abuse (IPA) is a term for DSA that occurs between adults in an intimate partner relationship. Where possible this needs assessment (NA) focusses specifically on preventing perpetration of IPA within Southampton, however much of the available data and information is for DSA as a whole.

Nationally, it is estimated that 6.3% of women aged 16-59 had experienced IPA in the 2017/2018 financial year. In 2017/2018, Hampshire (including Southampton) had a rate of 21.9 domestic abuse incidents and crimes per 1,000 population, which is more than the South East region average of 20.0<sup>2</sup>. Applying national rates to Southampton suggests that we can estimate that 10,200 adults are likely to have been victims of DSA in the last year<sup>3</sup>. In 2017/18 there were over 3,000 police recorded incidents of DSA in Southampton. In addition, police data suggests that DSA related offences are increasing in Southampton year on year. Whilst some of this may be due to increased reporting and recording, there can be no doubt that IPA in Southampton is an issue that needs tackling.

In recent years the need to focus on preventing perpetration of DSA, alongside and complementary to supporting victims and survivors of DSA, has become increasingly clear. This includes preventing people from ever becoming perpetrators of abuse, as well as supporting perpetrators to stop their abusive behaviour. The potentially lifelong repercussions of being a victim of DSA, or being exposed to DSA as a child make reducing DSA a key factor in improving the wellbeing of people living in the Southampton.

Southampton is a diverse city with high levels of deprivation and several challenges, one of which is the levels of DSA. The majority of perpetrators arrested for DSA related offences in the city are male and aged 26-40. The number of offences in the city varies by month of the year, with more offences being committed in the summer months and over Christmas. DSA is affecting the children in our city, a large number of children's assessment undertaken by Children's Services found that DSA was a factor in that child's life. We know that being exposed to DSA as a child increases the risk of poor future outcomes for that child.

As a city, Southampton is already leading the way in some of its perpetrator service provision, however, given the rates of DSA in the city we know that more needs to be done. There are several gaps in current service provision, including in children's support services and perpetrators services for those in LGBTQ relationships or with additional needs that must be met (such as a substance use disorder). In addition, the number of recorded offences involving DSA suggest that current service provision is not adequately tackling the issue. During this NA, stakeholders working in services related to DSA or in contact with victims or perpetrators of DSA were contacted to gather their views. Stakeholders felt that better education and support for children, support for parents and earlier intervention were key in breaking the cycle and reducing levels of IPA.

A review of the literature revealed that the evidence base is in its early stages. There are initial indications that some interventions may be effective in preventing IPA, but further research is needed. As a result the best approach may be to work to reduce risk factors for IPA where possible, to continue to build the evidence base and to be responsive as new evidence becomes available.

To conclude this NA, recommendations have been made to illustrate potential next steps in reducing IPA in Southampton. Some of the key recommendations made include;

## Children

### *Universal primary prevention*

- *Relationship Education – to ensure that all children receive healthy relationship education. We must work with schools to ensure that healthy relationships, IPA, harmful gender stereotypes and other key topics are covered in mandatory PSHE from 2020*

### *Targeted interventions*

- *Adverse Childhood Experiences – to consider what SCC can do to reduce the burden of ACEs for our children. This may involve convening a task force exploring ACEs within Southampton and potential interventions to support those at risk or experiencing ACEs*
- *Increase provision of parenting support for families who are struggling*

## Adults

### *Universal primary prevention*

- *Community engagement, introducing positive role models and tackling gender stereotypes, acceptance of violence and acceptance of controlling behaviour.*
- *Communications Campaign – i.e. white ribbon campaign, to induce cultural shift and social change such that even low levels of abusive behaviour are no longer acceptable in our communities, and those worried about their behaviour feel able to come forward and ask for help.*

### *Perpetrator services and whole system approach*

- *Perpetrator services – Increase both awareness of and referrals to perpetrator services, through awareness raising campaigns, staff training and earlier identification of perpetrators.*
- *Co-location of Hampton Trust staff within the key service areas – to share skills and knowledge in identifying and engaging perpetrators.*
- *Improve links between mental health services and perpetrator services (this should be actioned shortly)*
- *Improve links between substance use and perpetrator services and consider combining substance use treatment programmes with PPs where applicable and if possible*
- *Resources – where possible pursue resources to support perpetrator services (currently 11% of total DSA funding).*
- *As far as possible address the service gaps identified in section 7*

### *Evidence based decision making*

- *Develop local network of academics, commissioners and service leads to translate research into practice and evaluate interventions that are innovative*
- *Undertake a literature review on how best to support children who are affected by IPA*
- *Evaluation of perpetrator services – to add to the evidence base in this area and ensure that interventions are effective. Ensure that any new and existing interventions are evaluated, including primary prevention interventions where possible*
- *Alcohol and Substance use – to consider the impact on DSA and ensure joined up working. Specifically, explore the relationship between alcohol licencing and IPA*
- *Be able to respond flexibly to the evidence base as it emerges*

For full recommendations please see section 9.2

## Glossary

ACE	Adverse Childhood Experience
BBR	Building Better Relationships
CARA	Conditional Cautioning and Relationship Advice
CAMHS	Child and adolescent mental health services
CBT	Cognitive Behavioural Therapy
CCG	Clinical Commissioning Group
CDC	The Centers for Disease Control and Prevention
CRC	Community Rehabilitation Company
CSR	Creating Safer Relationships
DA	Domestic Abuse
DAPP	Domestic Abuse Prevention Partnership
DART	Domestic Abuse Recovering Together
DSA	Domestic and Sexual Abuse
DV	Domestic violence
EIF	Early Intervention Foundation
HCC	Hampshire County Council
HRDA	High Risk Domestic Abuse
ICU	Integrated Commissioning Unit
IP	Intimate Partner
IPA	Intimate Partner Abuse
IPV	Intimate Partner Violence
JSNA	Joint Strategic Needs Assessment
LGA	Local Government Association
LGBTQ	Lesbian, Gay, Bisexual, Transgender and Queer
MARAC	Multi-Agency Risk Assessment Conference
MASH	Multi Agency Safeguarding Hub
MATAC	Multi-Agency Tasking And Co-ordination
MoJ	Ministry of Justice
NA	Needs Assessment
NICE	National Institute for Health and Care Excellence
NPS	National Probation Service
OPCC	the Office of the Police and Crime Commissioner
PP	Perpetrator Programme
PSHE	Personal, Social, Health and Economic education
RAR	Rehabilitation Activity Requirement
RSE	Relationships and Sex Education
RCT	Randomised Controlled Trial
SCC	Southampton City Council
SPOC	Single point of contact
SYOS	Southampton Youth Offending Service
WHO	World Health Organization

## Definitions

Term	Definition
Adverse Childhood Experiences	ACEs have been defined as <i>'intra-familial events or conditions causing chronic stress responses in the child's immediate environment. These include notions of maltreatment and deviation from societal norms, where possible to be distinguished from conditions in the socioeconomic and material environment.'</i> <sup>4</sup> . ACEs can include witnessing abuse or being abused, parental poor mental health or substance use disorders, neglect, parental divorce, being taken into care or parents being incarcerated.
Domestic and sexual abuse	Any incident of controlling, coercive, threatening behaviour, violence or abuse between those aged 16 or over who are, or have been intimate partners or family members regardless of gender or sexuality. The abuse can encompass, but is not limited to, psychological, physical, sexual, financial or emotional abuse.
Intimate partner abuse	Any incident of controlling, coercive, threatening behaviour, violence or abuse between intimate partners aged 18 or over regardless of gender or sexuality. The abuse can encompass, but is not limited to, psychological, physical, sexual, financial or emotional abuse.
Primary prevention	Preventing someone from ever perpetrating IPA
Secondary prevention	Intervening after early warning signs or first occurrence of IPA to stop it happening again and minimising the harm to others
Tertiary prevention	Stopping serial perpetrators from continuing to perpetrate IPA and minimising the harm to others

## Acknowledgements

It would not have been possible to complete this needs assessment without the support of the public health, intelligence and commissioning teams at Southampton City Council. In addition the contributions from service providers and stakeholders have been invaluable.

# 1. Introduction

## 1.1. Scope

The Government definition states that Domestic and Sexual Abuse (DSA) refers to any incident of controlling, coercive, threatening behaviour, violence or abuse between those aged 16 or over who are, or have been intimate partners or family members regardless of gender or sexuality. The abuse can encompass, but is not limited to, psychological, physical, sexual, financial or emotional abuse. DSA can also be referred to as domestic violence (DV), domestic abuse (DA), and DSA between intimate partners can be referred to as intimate partner violence (IPV) and intimate partner abuse (IPA). In general, DA and IPA are broader terms which encompass both physical and non-physical abuse, and DV and IPV refer to physical abuse alone. However, DV and IPV are also commonly used to refer to both physical and non-physical abuse, and may be used interchangeably with DA and IPA.

This needs assessment will focus on intimate partner abuse (IPA), which, for the purpose of this needs assessment, will be defined as any incident of controlling, coercive, threatening behaviour, violence or abuse between intimate partners aged 18 or over regardless of gender or sexuality. The abuse can encompass, but is not limited to, psychological, physical, sexual, financial or emotional abuse. This needs assessment will not consider other forms of abuse such as elder abuse, child abuse or sexual assault and violence outside of intimate partner relationships.

This needs assessment (NA) uses both quantitative and qualitative information to describe the needs relating to prevention of perpetrators of DSA. Further information about NAs is available in Appendix 1.

## 1.2. Background

### 1.2.1. DSA impact and risk factors

In the 2017/18 financial year there were an estimated 2,006,000 victims of DSA, which included 1,316,000 women and 695,000 men<sup>5</sup>. This equates to 6.3% of women aged 16-59 experiencing IPA, and 599,549 police recorded offences (and 598,545 incidents not recorded as offences) in the year ending March 2018<sup>5</sup>. The police recorded offences are likely to be a huge underestimate of actual levels of abuse, as many incidents of DSA are never reported. At its worst, DSA can result in murder. Between 2015 and 2017 there were 400 domestic homicides in adults (aged over 16) in England and Wales, 4 of which were in Hampshire<sup>5</sup>. As is clear from the figures, IPA is a gendered issue, with far more women experiencing abuse than men, and far fewer female perpetrators. This needs to be considered in any approach aimed at preventing IPA, although services need to cater for everyone, regardless of their gender, background or sexual orientation.

For many of the adults experiencing DSA there are also children living in the family home, who are being abused themselves, witnessing abuse between relatives and being otherwise affected by the wider impacts of an abusive relationship. Whilst there are no official numbers of children affected<sup>6</sup>, it is estimated that between one quarter and one third of children in the country have been exposed to DSA at least once<sup>7</sup>.

The impact of DSA on victims extends beyond the physical impacts such as bruising, broken bones and missing teeth. Over 50% of victims who experience violence resulting in an injury also report feeling fearful, experiencing depression and experiencing anxiety<sup>7</sup>. These psychological impacts often outlast the physical impacts of violent DSA<sup>7</sup>. Those who experience coercive control or psychological abuse without violence are also at risk of long term impacts<sup>8</sup>. There are also long-term

impacts for others aside from the immediate victim of abuse. Witnessing abuse as a child is an Adverse Childhood Experience (ACE)<sup>9</sup>. Qualitative research tells us that children are affected by witnessing coercive control and psychological abuse as well as physical abuse<sup>10</sup>. ACE's are predictors of poor outcomes across a spectrum of areas, including poor school performance, substance use disorders, mental health issues, incarceration and violent behaviour including going on to become perpetrators of DSA themselves<sup>9</sup>. The more ACE's a child is exposed to, the more likely it is that the child will have poor outcomes<sup>9</sup>.

A recent Home Office research report estimated the cost of DSA for victims in England and Wales to be £66 billion from 1<sup>st</sup> April 2016 to 31<sup>st</sup> March 2017<sup>7</sup>. This figure is based on the reported prevalence of DSA from the Crime Survey for England and Wales, which is then used to calculate estimated health costs and productivity losses, for example as a result of days off work<sup>7</sup>. The average estimated cost for each individual victim is £34,015<sup>7</sup>.

There are many risk factors at the individual level that increase the likelihood of someone becoming a perpetrator of DSA. In addition to ACEs these include, but are not limited to, poor educational achievement and unemployment, younger age, low income, stress, attitudes such as strict gender norms and acceptance of violence, substance use, poor communication skills and anti-social personality traits<sup>11</sup>. Within relationships, poor communication, a partner's pregnancy and relationship breakdown can increase the risk of DSA<sup>11</sup>, or contribute to an escalation of DSA that is already occurring. At a societal level factors such as attitudes towards women and violence, poverty and community cohesiveness are also risk factors for perpetration of DSA<sup>11</sup>. Of course, the presence of one or more of these risk factors does not mean that becoming a perpetrator of DSA is inevitable, and many people who experience these risk factors do not go on to become perpetrators of DSA.

### 1.2.2. National context

In recent years there has been increased focus on perpetrators of DSA and perpetrator programmes (PP). This change is nicely summarised by the DRIVE project<sup>12</sup>, which advocates '*Moving the conversation on from 'why doesn't she leave?' to 'why doesn't he stop?'*'<sup>13</sup>. This is also reflected in the NICE guidance<sup>14</sup> which calls for further research and the draft Domestic Abuse Bill<sup>15</sup>.

#### *NICE guidance*

In 2014 the National Institute for Health and Care Excellence (NICE) produced '*Domestic violence and abuse: multi-agency working*'<sup>14</sup>, a public health guideline covering all aspects of DSA. This guidance was then updated in 2018. The guidance covers all aspects of DSA including a section that focusses on perpetrators (recommendation 14). This section explores current primary prevention and PP and makes numerous recommendations in order to reduce levels of DSA perpetration. These include

- Evaluating new and current interventions to add to the evidence base
- Use national standards when designing new interventions
- Interventions should aim to increase safety of those affected by DSA and should gather outcome data from perpetrators such as changes in attitude and understanding.
- Ensuring that perpetrator and victim services are linked and can share information.

In addition to recommendation 14, recommendations 2, 3 and 4 are also relevant. These recommendations focus on creating multi-agency partnerships and integrating all the relevant services together. The 2018 update highlighted the lack of substantial evidence supporting PPs and primary prevention of DSA in the literature and stated that the newly available evidence did not

change the previous (2014) recommendations. They suggest that further research is needed in these areas.

#### *Draft Domestic Abuse Bill*

In January 2019 the Government published their consultation on the draft domestic abuse bill entitled ‘*Transforming the Response to Domestic Abuse*’<sup>15</sup>. This bill emphasises the need for education and support for children, whole family approaches and multi-agency working<sup>15</sup>. It also advocates for ensuring that substance use services are linked with DSA perpetrator services, that specialist services are targeted to include all types of relationship and background and that innovations in technology are investigated, such as the use of GPS trackers ensure that protection orders are not being broken and to administer swift consequences for breaches<sup>15</sup>. Finally it supports: the use of conditional cautions, such as those trialled in Southampton<sup>16</sup>; improved access to PPs including for lower risk early offenders; improved data sharing between agencies; and ongoing research and evaluation of PPs<sup>15</sup>.

#### 1.2.3. Local context

Southampton City Council (SCC) and the Safe City Partnership’s current multi-agency strategy ‘*Southampton Against Domestic and Sexual Abuse*’ began in 2017 and runs until 2020<sup>17</sup>. This strategy encompasses many key objectives including a focus on perpetrators and protecting children and young people. The strategy aims to tackle all forms of DSA and includes planned actions such as evaluation of existing services, improving links between perpetrator services and mental health and substance use services, and supporting behaviour change in perpetrators.

#### 1.2.4. Prevention of perpetration of IPA

The substantial damage caused by IPA to the health and wellbeing of many people in the UK, and to society as a whole is clear. Whilst victim services are well established in our area, and do all that they can to protect and support victims and their families after IPA has occurred, it seems evident that preventing IPA in the first place should be a priority, therefore preventing many victims and their families from suffering the long term effects of IPA. For those who are already perpetrating IPA the goal should be to change those behaviours so that no further harm is done to current victims, and that no future partners are at risk of abuse. Prevention can be broken down into three main categories, primary, secondary and tertiary prevention (Table 1).

*Table 1 Categories of prevention*

<b>Category of prevention</b>	<b>Definition</b>
Primary,	Preventing someone from ever perpetrating IPA
Secondary	Intervening after early warning signs or first occurrence of IPA to stop it happening again and minimising the harm to others
Tertiary	Stopping serial perpetrators from continuing to perpetrate IPA and minimising the harm to others

Examples of primary prevention may include working to reduce the risk factors for IPA, such as introducing parenting classes for parents who are struggling to build healthy relationships with their children, or providing treatment and support for a parent’s substance use disorder so that they are better able to care for their child. As such many of these interventions will be aimed at children, hoping to reduce their exposure to risk factors before any patterns of abusive behaviour are established. Examples of secondary prevention on the other hand, may include healthy relationship counselling for those showing early signs of controlling or abusive behaviour, or support for communication



difficulties. In this instance many (but not all) of the interventions will be aimed at young adults who are just beginning to establish relationship behaviours, or those who have had a first instance of IPA, to try and change behaviours before they become engrained. Finally tertiary prevention is aimed at serial perpetrators, and may include PPs. These programmes will try to change patterns of abusive behaviour and teach skills for healthy relationships.

One approach to prevention is a life course approach. This involves looking at risk factors at each point along someone's life course from conception to death and trying to address these risk factors as they occur. The World Health Organisation (WHO) states that a life course approach aims to *"increase the effectiveness of interventions throughout a person's life. It focuses on a healthy start to life and targets the needs of people at critical periods throughout their lifetime. It promotes timely investments with a high rate of return for public health and the economy by addressing the causes, not the consequences, of ill health"*<sup>18</sup>. In the case of IPA, this approach would hope to reduce risk factors and increase protective factors for IPA, such that fewer people ever go on to become perpetrators. It would also hope to intervene early for those who have begun to show abusive behaviour in early adulthood, and help to support people at key life stages so that they never begin to perpetrate abusive behaviour.

Any and all of these approaches must be undertaken in combination with continued support for victims and survivors of IPA. The intention of the focus on perpetrators is to be complementary to the work done with victims and survivors, rather than to move the focus away from these vital services.

#### 1.2.5. Perpetrator programmes

Perpetrator programmes aim to break the cycle and stop perpetrators of IPA from continuing to behave in an abusive manner. There are many different types of PP currently being used to try and prevent ongoing abuse worldwide. Historically, the Duluth model was ground-breaking and has been used extensively since the 1980's but faces fierce debate in the literature<sup>19</sup>. The Duluth model is based on feminist theory, and states that IPA occurs because of the inequality between men and women, and the man's need to exert 'power and control' over their partner<sup>19</sup>. Thus Duluth based models try to change male perpetrators perceptions of women, and reduce their need to retain the 'power' in a relationship. However, the Duluth model discounts other factors that impact on IPA, and there is limited evidence for its efficacy in the literature<sup>19</sup>. In addition it is not applicable in situations with abuse between those who identify as lesbian, gay, bisexual, transgender and queer (LGBTQ) or female perpetrators of violence.

There are now a broad spectrum of approaches taken in PPs, including those based on cognitive behavioural therapy (CBT), motivational interviewing, restorative practice, and criminal justice and family based approaches<sup>20</sup>. In addition, some programmes aim to link PP with services that deal with major risk factors for abuse, such as substance abuse services<sup>21-23</sup> and mental health services.

#### 1.2.6. Southampton City Council Scrutiny Inquiry; Reducing and Preventing Domestic Abuse in Southampton.

The Overview and Scrutiny Management Committee (OSMC) at SCC were informed of increasing rates of DSA offences in Southampton and recommended that a Scrutiny Inquiry was undertaken. This process involves looking at the issue, the level of need and services available in the city, albeit in less detail than in this NA. The Scrutiny panel then made recommendations, with the aim of preventing DSA where possible and reducing the number of perpetrators of DSA in the city.

The inquiry found that Southampton has a high rate of DSA, which is higher in deprived communities than more wealthy communities. It also has a range of DSA services, which are comparable to other areas and in some cases Southampton is already at the forefront of the field, creating and testing new approaches. They also felt that working with perpetrators directly, as well as supporting victims, was a key element for reducing the prevalence of DSA. Where possible, these interventions should take place early, to minimise harm and have the best chance of effecting behaviour change in perpetrators.

The scrutiny panel suggest that there are three key elements to prevention of DSA, firstly a whole system approach, ensuring that all appropriate agencies are joined up and working together. Secondly, a life course approach and finally, universal primary prevention is also key, which involves approaches that aim to reach everyone, regardless of whether they are at particular risk of perpetrating DSA. These approaches may also help to effect social change, making DSA less acceptable in the eyes of the general public<sup>24</sup>.

The scrutiny panel made several recommendations<sup>25</sup> as a result of the inquiry, which are summarised here as follows;

#### *Universal primary prevention*

1. Communications Campaign – i.e. white ribbon campaign, to induce cultural shift and social change such that even low levels of abusive behaviour are no longer acceptable in our communities, and those worried about their behaviour feel able to come forward and ask for help.
2. Reporting of DSA – encourage the local media to follow Level Up reporting guidelines, which encourage accurate reporting and dignity for victims, amongst other things (<https://act.welevelup.org/campaigns/54>)
3. Relationship Education – to ensure that all children receive healthy relationship education
4. Adverse Childhood Experiences – to consider what SCC can do to reduce the burden of ACEs for our children.

#### *Perpetrator services and whole system approach*

5. Perpetrator services – Increase both awareness of and referrals to perpetrator services, through awareness raising campaigns, staff training and earlier identification of perpetrators.
6. Routine enquiry – establish routine enquiry for perpetrators, as is currently undertaken for victims.
7. Resources – where possible pursue resources to support perpetrator services (currently 11% of total DSA funding).
8. MATAC (Multi-Agency Tasking and Co-ordination) – a new approach in Southampton which identifies and intervenes with or tracks high risk offenders, that should be rolled out if evaluations continue to be positive.
9. Co-location of Hampton Trust staff within the key service areas – to share skills and knowledge in identifying and engaging perpetrators.

#### *Evidence based decision making*

10. Update the DSA Strategy – the current strategy runs out in 2020.
11. Evaluation of perpetrator services – to add to the evidence base in this area and ensure that interventions are effective
12. Calculate the return on Investment for perpetrator services – to support decision making
13. Alcohol and Substance use – to consider the impact on DSA and ensure joined up working.

14. The role of Public Health – to consider funding for DSA services.
15. Consideration of the impact on DSA when making Council decisions – include DSA in the Equality and Safety Impact Assessments (e.g. as if they were a protected characteristic).
16. Working with Government – make use of opportunities offered and work with the government to enable investment in innovative practice in the city.

The full report and recommendations from the Scrutiny Inquiry is available here <https://www.southampton.gov.uk/modernGov/documents/s40119/Final%20Report%20-%20DRAFT%20v5.docx>.

#### 1.2.7. Aims of this needs assessment

There are several aims to this needs assessment as follows;

- To explore the level of domestic abuse in Southampton
- To identify local services that may prevent perpetrators of IPA from continuing to perpetrate abusive acts
- To identify local services that may prevent people from ever becoming perpetrators of IPA by reducing risk factors for IPA
- To identify any gaps in service provision or mismatching between level of need and level of provision
- To review the literature around IPA and evaluate the evidence base for interventions
- To make recommendations for next steps

## 2. Methodology

This NA used both an epidemiological, comparative and corporate approaches in order to gather as much information as possible (see Appendix 1 for more information on these approaches). In addition, a systematic literature review was undertaken to gather and summarise the available evidence in this area.

### 2.1. Epidemiological data

The epidemiological data used in this NA was gathered from a range of sources including Hampshire Constabulary, the Office for National Statistics, the 2011 census, the Crime Survey for England and Wales and service data from relevant local services. Where possible, comparators have been used.

### 2.2. Corporate information

Stakeholder views were gathered via a number of different means including face to face and telephone meetings, email contact and questionnaires. These views have then been compiled to inform the descriptions of local services and give a picture of the views of those working in the relevant services. See Appendix 2 for more information on stakeholder involvement and the questionnaire.

### 2.3. Literature review

A systematic literature review was undertaken in order to understand the evidence base for primary, secondary and tertiary prevention of IPA. The literature review was limited to those papers published from 2017 onwards (to capture those not included in the 2018 NICE review update), English language and research conducted in developed countries. A Grey literature search for key literature from 2010 onwards was also undertaken. Full details of the literature review methodology including search terms and strategy, inclusion and exclusion criteria and a PRISMA flow chart are available in section 8 and Appendix 3.

### 2.4. Limitations of the NA and associated risks

#### 2.4.1. Limitations

There are several limitations to this NA, primarily those around accuracy of data. DSA is a taboo topic and it is suspected that rates of DSA are vastly underreported<sup>26,27</sup>. This means that data must be interpreted cautiously, and that the level of need may be far greater than depicted by the available data. Another limitation is the limited evidence base in this area, which is a result of a historical focus on victim services, and the pragmatic difficulties in conducting research and measuring meaningful outcomes in this area (see section 8 for further information on the available evidence and its limitations). Time and resource constraints were also limitations for this project, and this combined with the sensitive nature of the topic meant that it was not appropriate to gather views from victims or perpetrators of DSA as part of the stakeholder analysis.

#### 2.4.2 Risks

There were several risks associated with this project, including that the difficulties with data accuracy would lead to misleading findings. This has been mitigated by stating the limitations of the data and advising cautious interpretation. Other risks included inducing apathy towards tackling the issue, given the lack of a clear evidence supporting interventions and the difficulties and changing behaviour. Finally, there was a risk of not successfully completing the project given the tight time and resource constraints.

### 3. Local Need

This section has been written using the most up to date data available at the time of writing, and data relating to DSA in Southampton will be reviewed again in autumn 2019 as part of the Safe City Strategic Assessment. Data has been collected from as many sources as possible, time constraints allowing and using a pragmatic approach. It is important to note that much of the population data in section 3.1 are estimates based on the 2011 census, which is now quite out of date. Whilst the figures will attempt to take into account trends, it is likely that there will be some inaccuracies. It is also important to note that DSA data is particularly vulnerable to inaccuracies, given its hidden nature and the underreporting that is likely to occur. Additionally, there may be differences in how people identify themselves as a victim or perpetrator of abuse, depending on age and cultural background<sup>28</sup>. This means that the information in the sections 3.2 to 3.5 should be interpreted with caution.

#### 3.1. Southampton background

Southampton is a busy port city with an estimated population size of 253,989 in 2017<sup>29</sup>. There is a high proportion of young adults (aged 15-24) in the city (20%) when compared with the national average<sup>29</sup> (Figure 1). There is a relatively even split between men and women, and a smaller proportion of older adults than average<sup>29</sup>. In the 2011 census, Southampton had a higher proportion of single residents (33%) than the national average (26%), as may be expected given the larger proportions of young adults in the city<sup>29</sup>.

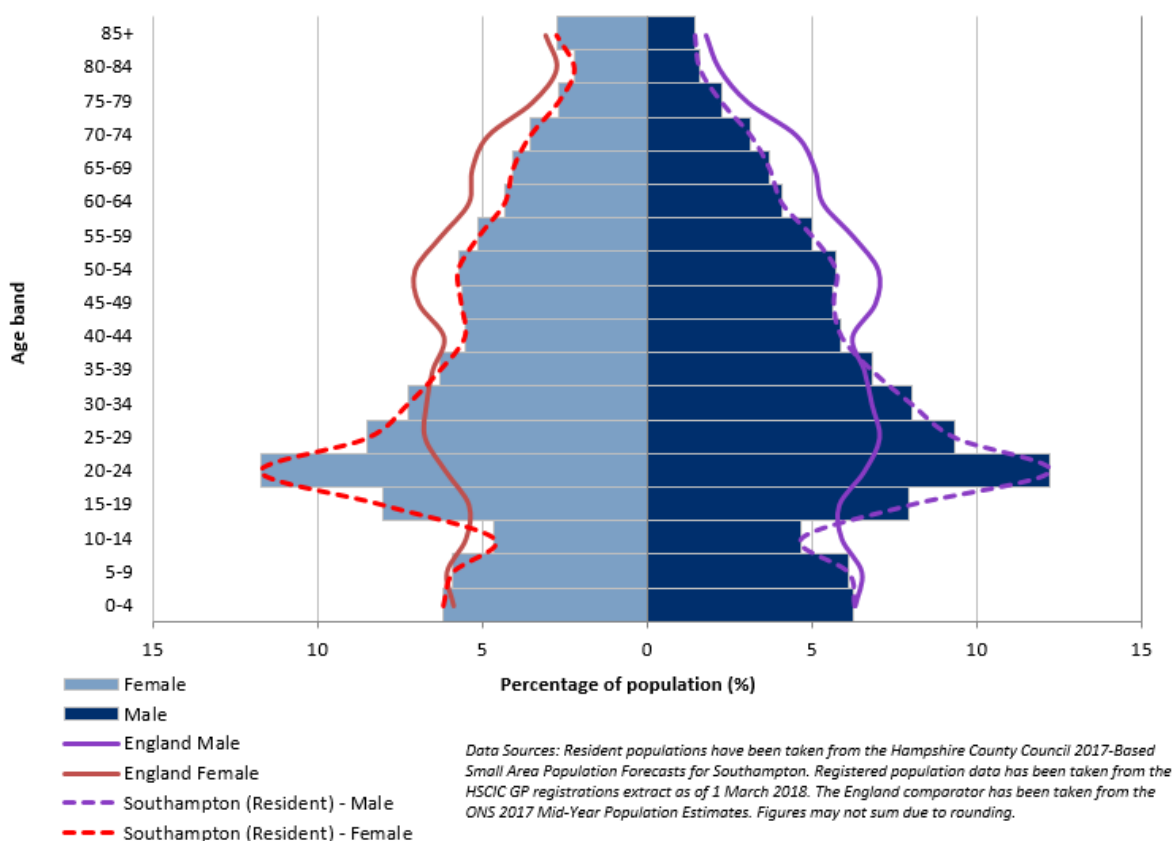
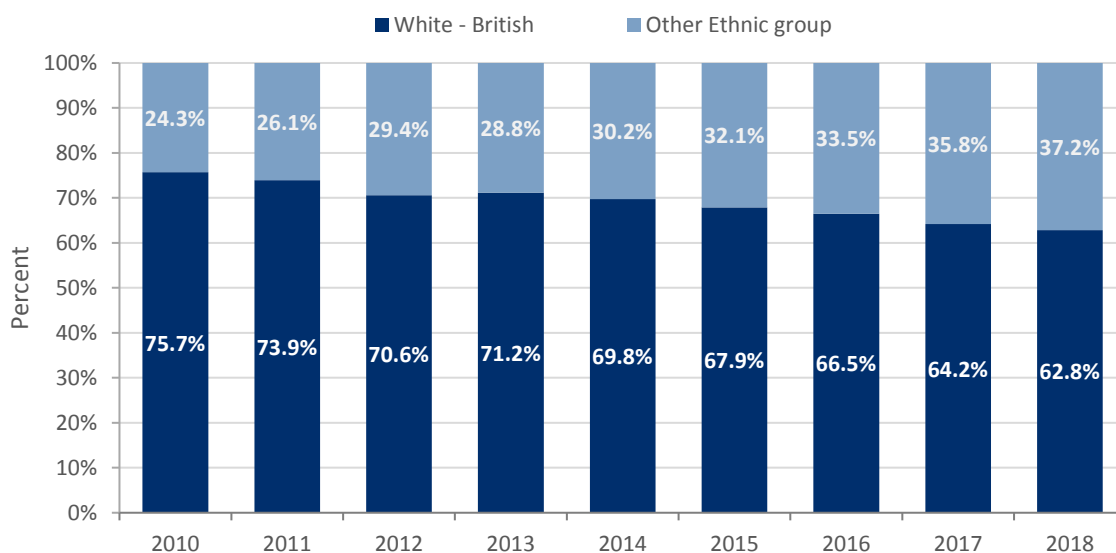


Figure 1 Population pyramid for Southampton LA (HCC resident population): 2017

Figure from Southampton City Council, Southampton Safe City Strategic Assessment (2016/17). Available from: <http://www.data.southampton.gov.uk/community-safety/safe-city-assessment/> accessed on 20/05/2019

Southampton is a multicultural city with 77.7% of residents describing themselves as ‘White British’, 8.4% ‘Asian or Asian British’, 8.3% ‘Other White’, 2.4% ‘Mixed Ethnic background’, 2.1% ‘Black/African/Caribbean/Black British’ and 1.1% ‘Other’ in the 2011 census<sup>29</sup>. In 2018, 62.8% of school children in Southampton described themselves as ‘White British’, with 37.2% describing themselves as being from another ethnic background, this reflects the increasing diversity of the city since the 2011 census (Figure 2).



Source: Annual School Census, Southampton City Council  
 Notes: Does not include Oasis Academies for 2010 & 2011 or unknown ethnicities

Figure 2 Trends in ethnicity of school pupils in Southampton from 2010 to 2018  
 Figure from Southampton City Council, Southampton Strategic Assessment (2019). Available from: <https://data.southampton.gov.uk/population/ethnicity-language/>

As a whole, Southampton is a city that has high levels of deprivation, being ranked 67<sup>th</sup> most deprived local authority area in England (out of a total of 326 areas). Deprivation is associated with many adverse outcomes including poor health, poor educational achievement for children and IPA<sup>11,30</sup>.

### 3.2. DSA in Southampton

Hampshire including Southampton had a rate of 21.9 domestic abuse incidents and crimes per 1000 population in 2017/2018, compared to the South-East area average of 20.0 per 1000 population<sup>2</sup>. Southampton alone had over 3,000 crimes with a DSA element in 2017/18, which accounted for nearly 30% of all violent crime (Figure 3). Data collected over recent years suggests that DSA related crimes are increasing in the city (Figure 3, Figure 4). In recent years there has been increasing focus on DSA in the media, including several high profile historic sex abuse crimes. It is possible that this has resulted in more people coming forward to report DSA crimes to the police, and so the steep increase in numbers of DSA related crimes should be interpreted with caution. However, given that substantial amounts of DSA are likely to go totally unreported, it stands to reason that even accounting for increased reporting and historic reporting of recent years, these police figures are still likely to be an underestimate of the prevalence of DSA in the community.

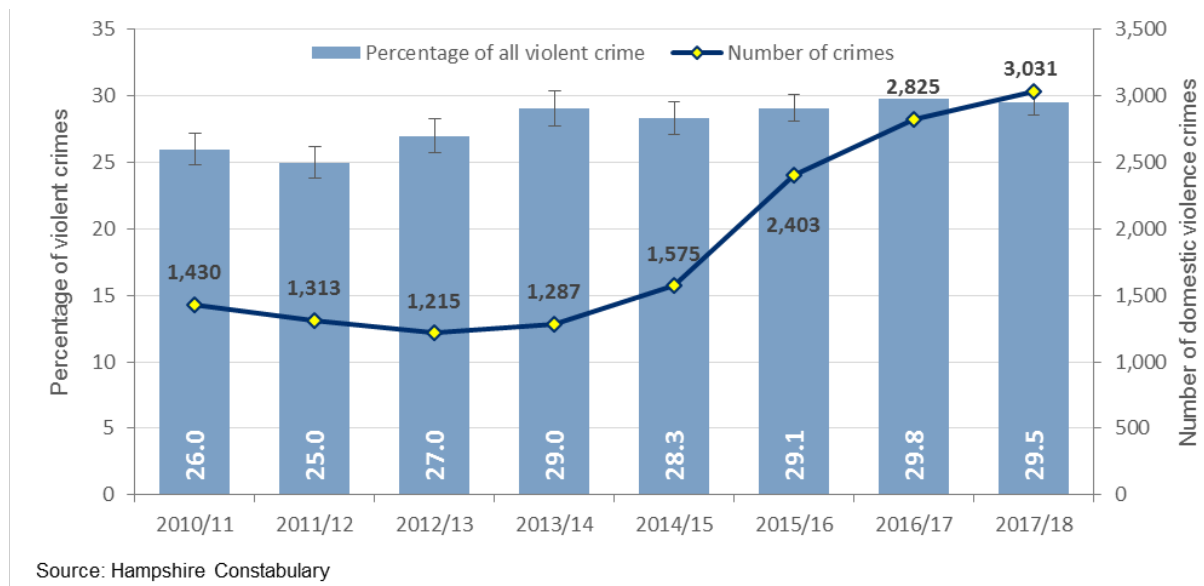


Figure 3 Number of domestic violence crimes, with and without injury, as a percentage of all violent crime: Southampton trends 2010/11 to 2017/18<sup>3</sup>  
 Figure from: King, D. and Marsh, K. (2019). Domestic Abuse in Southampton & IDVA, pg. 10, 11. Available at: <https://www.southampton.gov.uk/modernGov/documents/s39388/Domestic%20Violence%20-%20Southampton.pdf> accessed on 29/05/2019

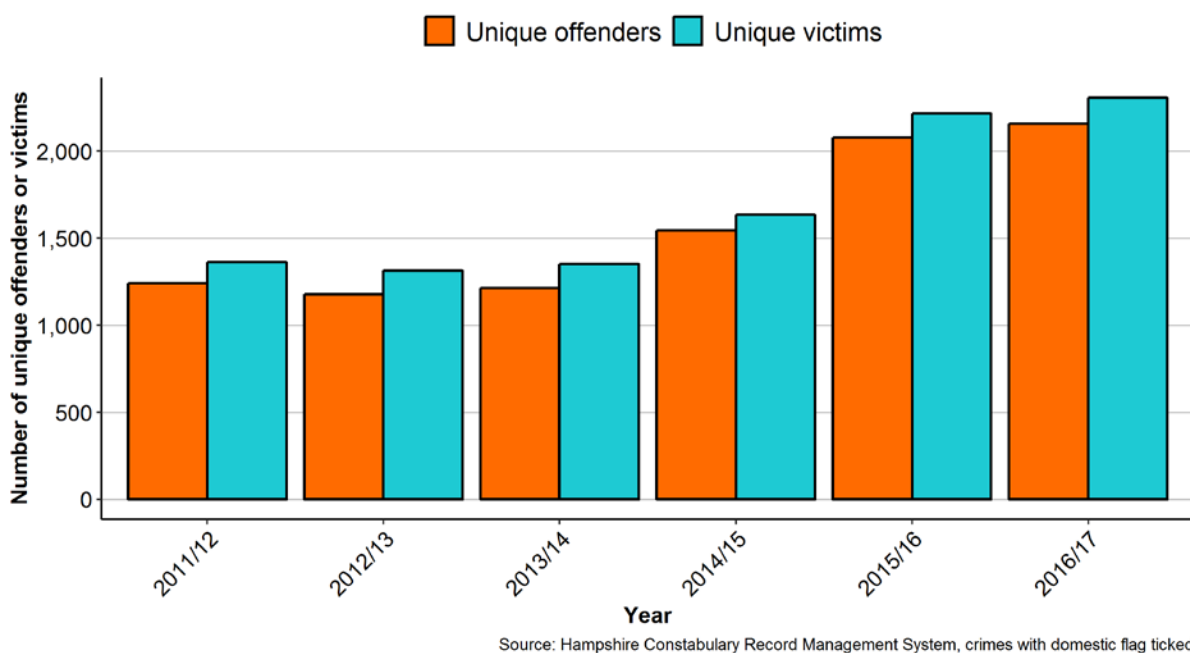


Figure 4 Number of unique offenders and victims in Southampton, by year 2011/12 -2016/17

In 2016/17, the number of offences committed varied by area (Figure 5). However, this data groups several wards together, which makes it difficult to interpret. When using 2017/18 data to create rates of police recorded DV crime per 1,000 population (Figure 6), Bitterne had the highest rate of DV crime in the city, and Bassett had the lowest. Interestingly, Bitterne is the most deprived ward in the city, and Bassett the least. The links between deprivation and many poor outcomes<sup>30</sup> including DSA<sup>31</sup> have been clear for some time. In Southampton, the rate of DSA amongst the 20% most

deprived communities is approximately eight times higher than in the 20% least deprived (Figure 7). Whilst some of this variation may be due to differences in reporting, it is important to note these differences and that those in the more deprived parts of our city may need additional support in order to reduce levels of IPA.

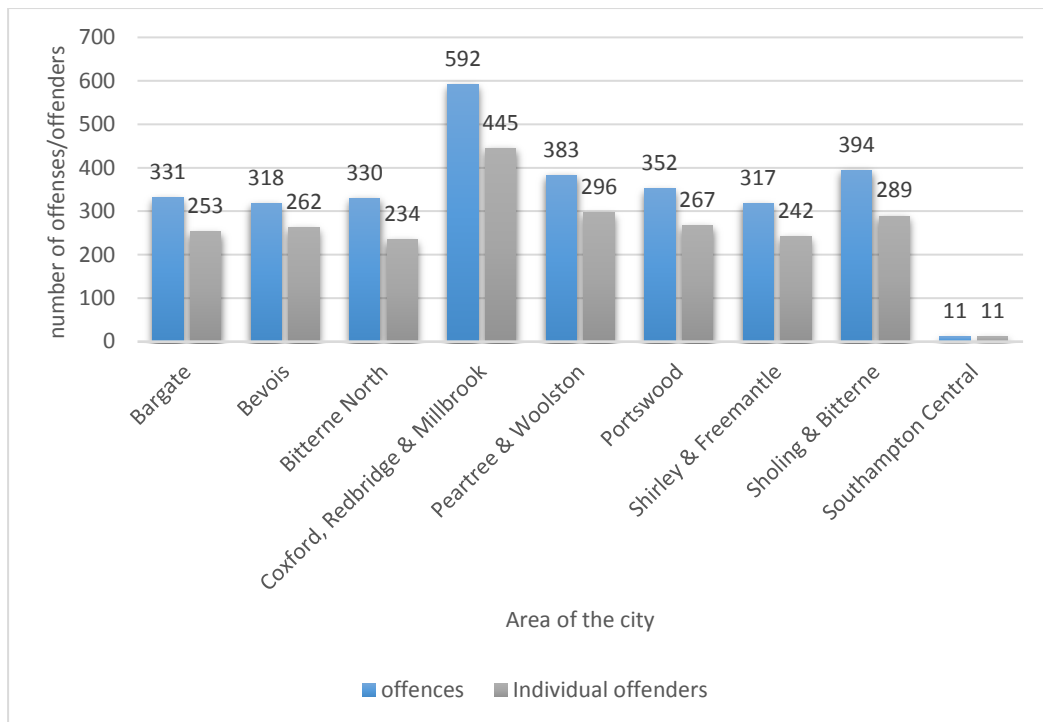
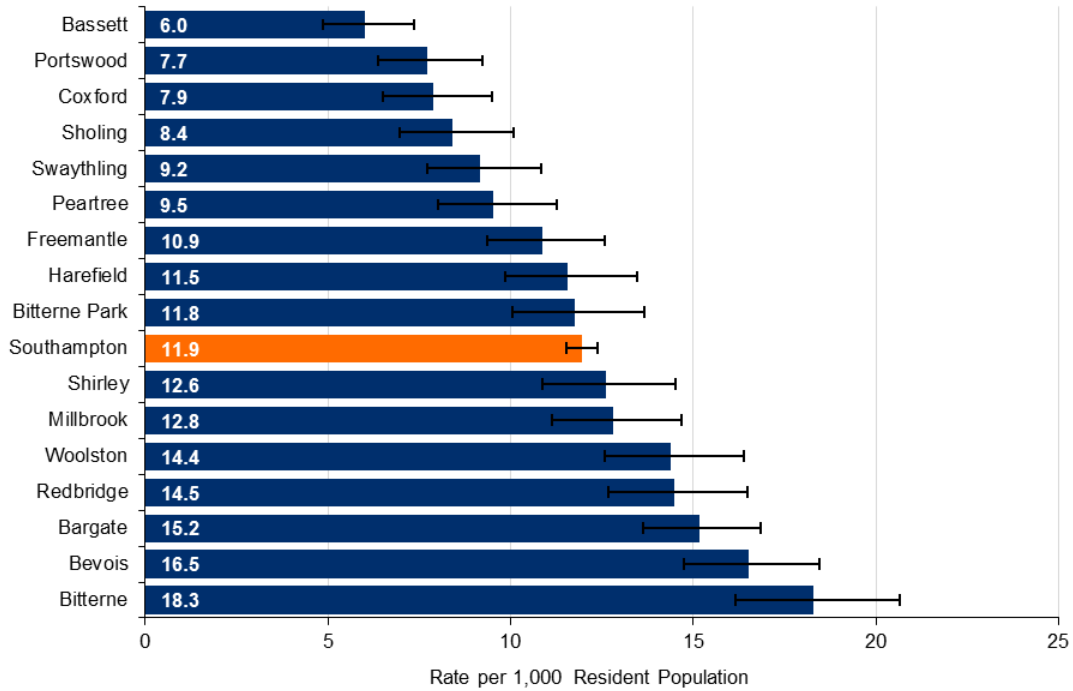


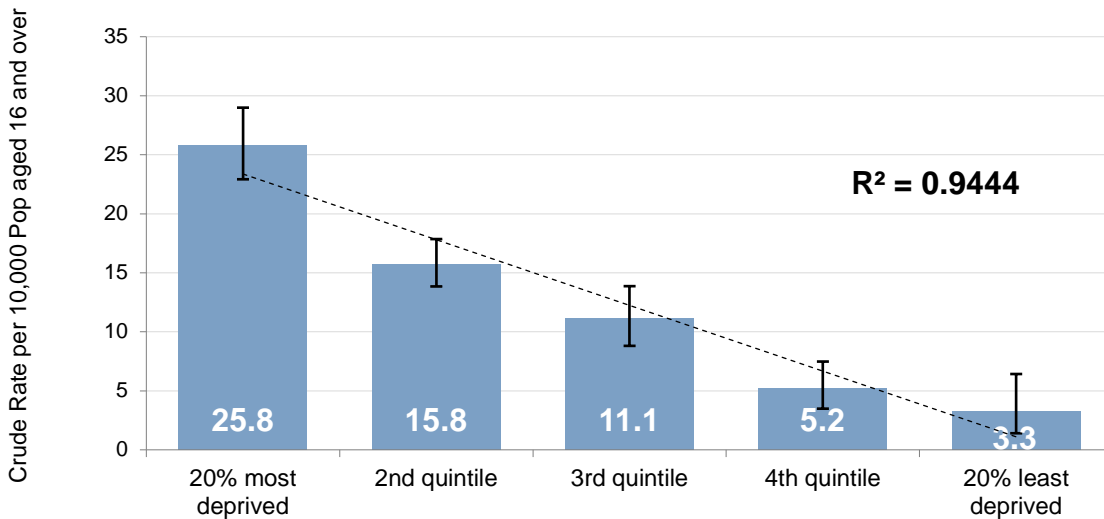
Figure 5 Domestic violence offences and individual offenders by area, in Southampton City 2016/17. Data source Hampshire Constabulary.





Source: Police Recorded Crime as reported by Hampshire Constabulary, Intelligence, Tasking and Development. Hampshire County Council's 2017 based Small Area Population Forecasts. Note: All crimes where the domestic flag has been applied

Figure 6 Police Recorded Domestic Violent Crime, rate per 1,000 resident population: Southampton Wards 2017/18  
 Figure from Southampton City Council, Southampton Safe City Strategic Assessment (2017/18). Available from:  
<http://www.data.southampton.gov.uk/community-safety/safe-city-assessment/> accessed on 20/05/2019



Sources: IDVA service and Hampshire County Council

Figure 7 New IDVA referral rate per 10,000 population aged 16 and over analysis by England deprivation quintile: October 2016 to August 2018 (pooled)<sup>3</sup>. The 'R<sup>2</sup>' value of 0.9444 indicates that there is a strong level of agreement between rate of DSA and deprivation.

Figure from: King, D. and Marsh, K. (2019). Domestic Abuse in Southampton & IDVA, pg. 10, 11. Available at:  
<https://www.southampton.gov.uk/modernGov/documents/s39388/Domestic%20Violence%20-%20Southampton.pdf>  
 accessed on 29/05/2019

Offences also vary by time of year, with more offences being committed in the summer months and over the Christmas period than at other times (Figure 8). Christmas can be a stressful time, with many families spending more time together than usual, increased cost pressures and often increased alcohol consumption, all of which could potentially contribute to the increased rates of DSA at this time of year.

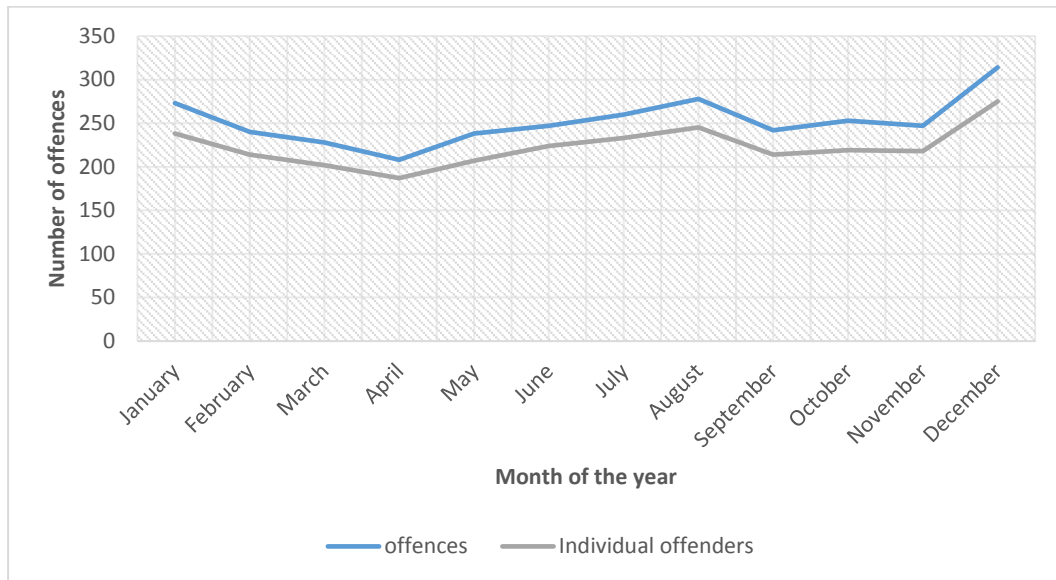


Figure 8 Police recorded offences and individual offenders in Southampton by month 2016/17. Data source Hampshire Constabulary.

Figure 9 shows the breakdown of the number of standard, medium and high risk offences, as assessed by the responding police officer using the DASH risk assessment tool from SafeLives and professional judgement<sup>32</sup>. A high risk victim is defined as someone who is currently at risk of 'serious physical harm or death'<sup>33</sup>. A medium risk victim has indicators that serious harm may occur, but this is unlikely unless circumstances change (such as the offender uses drugs or alcohol). A standard risk victim is unlikely to be at risk of serious harm at this time. The figure shows that there were a large number of high and medium risk offences in Southampton, in 2016/17, and that there were over 2,000 individual offenders involved in these incidents. It is important to note that some perpetrators could be effectively counted twice in this chart, if they were involved in two separate incidents with different risk levels. This means that the total number of individual offenders in each risk category adds up to more than the total number of individual offenders.

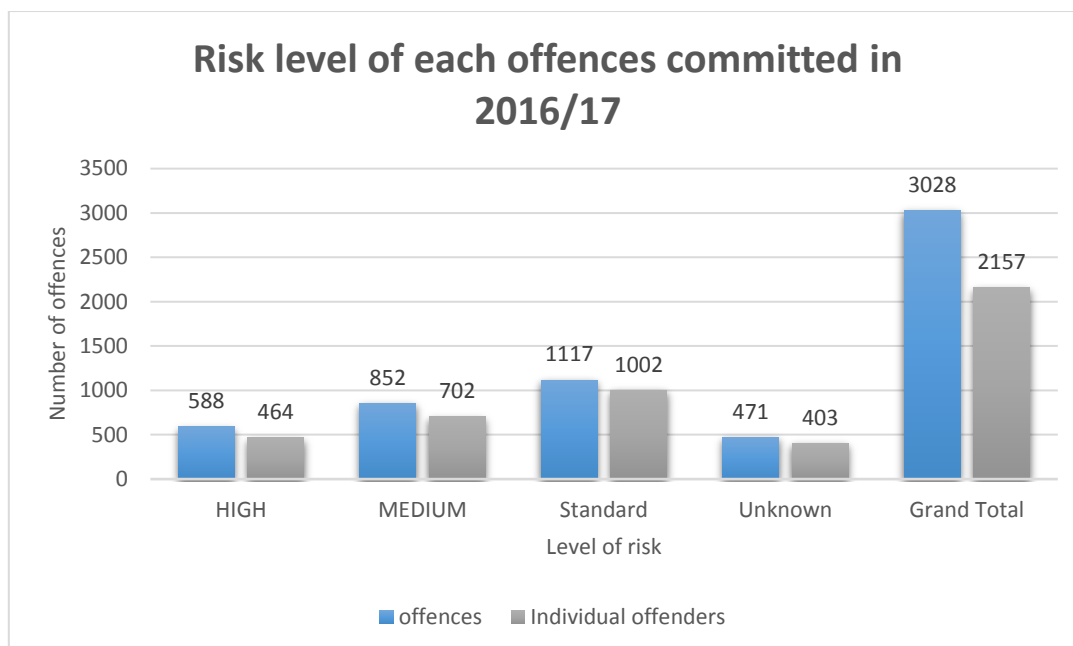


Figure 9 Risk level of offences committed and for individual offenders in Southampton, 2016/17. Data source Hampshire Constabulary.

Historically, all high risk DSA victim referrals in Southampton would go through a Multi-Agency Risk Assessment Conference (MARAC), where professionals from all related agencies share information and create a plan to protect that victim. In 2016, this was changed so that all cases now go through the Multi-Agency Safeguarding Hub (MASH) meetings, who deal with all high risk domestic abuse and children’s and young people’s safeguarding issues. The MASH then refer all high risk DSA cases to the High Risk Domestic Abuse group (HRDA), who meet daily. HRDA works in a very similar way to the MARAC meetings, involving information sharing between agencies and action planning, taking a whole family approach. Only a few very complex cases will then go on to have a MARAC meeting as well. Currently, many other areas still use the MARAC model, which made it difficult to compare whilst Southampton was changing models. However, now that the MASH/HRDA process has been embedded, the numbers of cases at HRDA and MARAC are now broadly comparable. When comparing the number of high risk cases in Southampton with those in other, similar, areas, Southampton has a much higher rate than might be expected (Figure 10). Figure 11 shows the rate of HRDA referrals per 1,000 population for each ward of the city, and once again the more deprived areas of the city (Bitterne, Redbridge and Bevois) have higher rates.

SafeLives, a DSA charity organisation, suggest that an expected figure for high risk cases for an area like Southampton city should be 45 per 10,000 population, when the actual rate in Southampton is 80.3 per 10,000 population<sup>3</sup> (Figure 10). This means that the burden of IPA in Southampton is larger than expected given are city size and population, and suggests that DSA may have a higher prevalence in Southampton than comparator area. However, there may be other explanations for this high rate of high risk victims, such as more willingness to report DSA amongst those affected, more cautious risk assessment and better or clearer referral pathways. Additionally, this is a small list of comparators and it may be that other areas have more similar rates to Southampton. When looking at rates of police recorded incidents with a domestic flag, once again Southampton has a higher rate than many neighbouring areas (Figure 12), which again may indicate that Southampton has high rates of DSA.

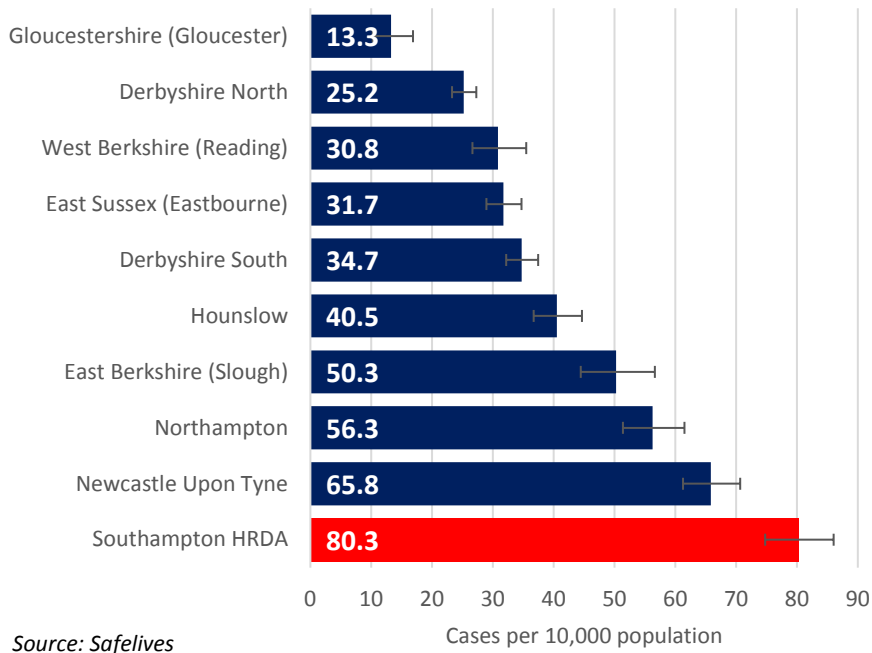


Figure 10 High Risk Domestic Abuse cases per 10,000 population: Southampton HRDA and comparator MARACs: October 2017 to September 2018  
 Figure from: King, D. and Marsh, K. (2019). Domestic Abuse in Southampton & IDVA, pg. 10, 11. Available at: <https://www.southampton.gov.uk/modernGov/documents/s39388/Domestic%20Violence%20-%20Southampton.pdf> accessed on 29/05/2019

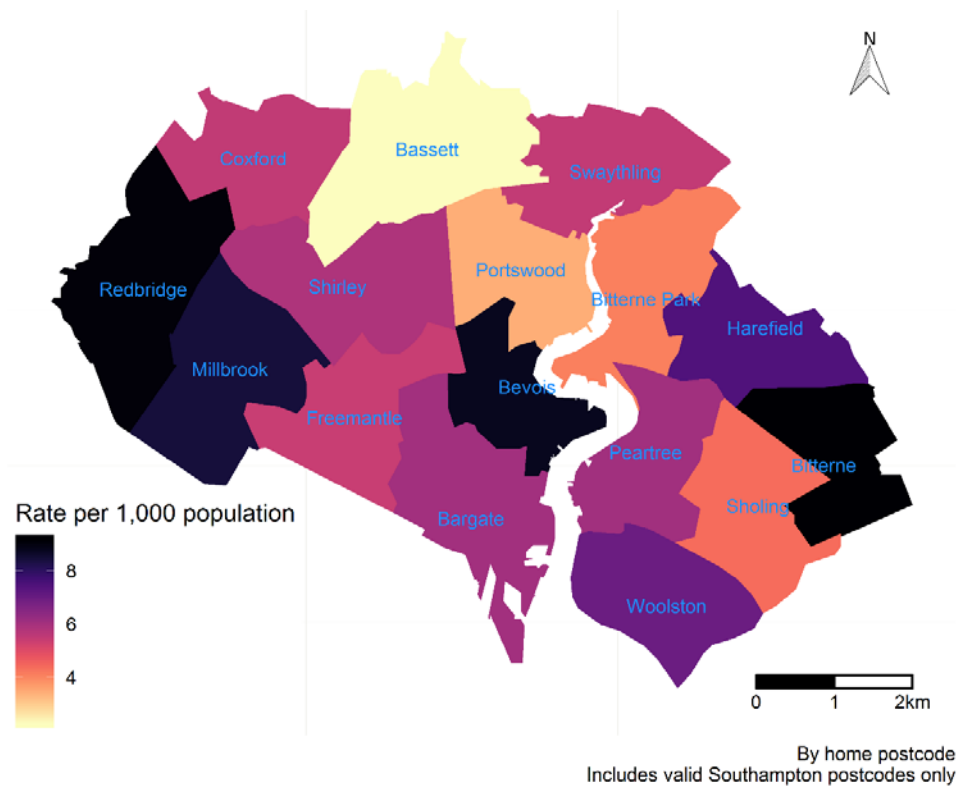


Figure 11 HRDA referrals per 1,000 population in wards in Southampton, from 27<sup>th</sup> June 2016 to 30<sup>th</sup> April 2019. Source: SCC PARIS system

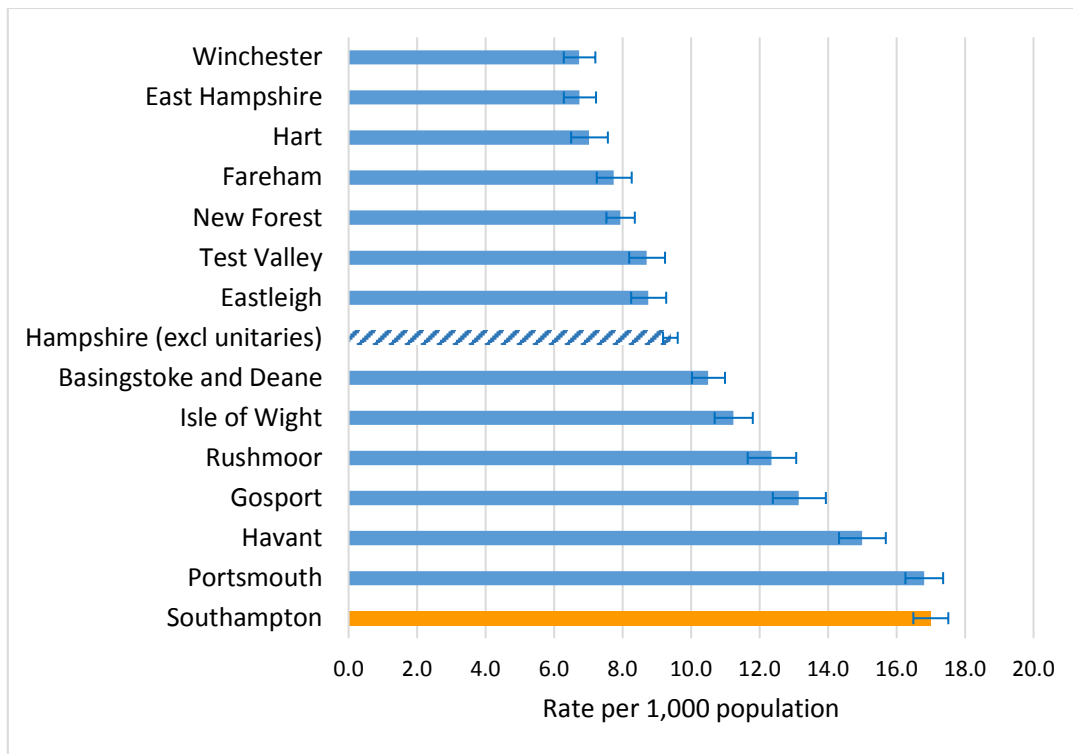


Figure 12 Comparison of rates of police recorded domestic flagged incidents, per 1,000 population in different areas, in 2018/19. Source: OPCC Hampshire InterACT online tool

### 3.3. DSA perpetrators in Southampton

The most common age group for DSA offenders arrested in 2016/17 was 25 to 30 years old (Figure 13). The city has a large proportion of young people in comparison to the national average, and so some of the peaks at younger ages could be due to having a large number of people in that age bracket, rather than a higher prevalence in those groups, although we do know that younger age is a risk factor for IPA<sup>11</sup>.

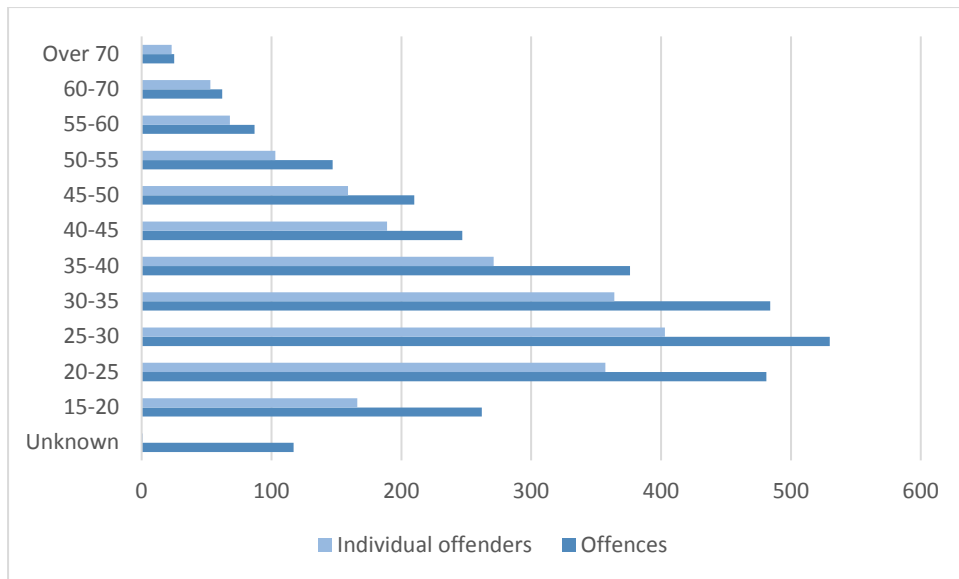
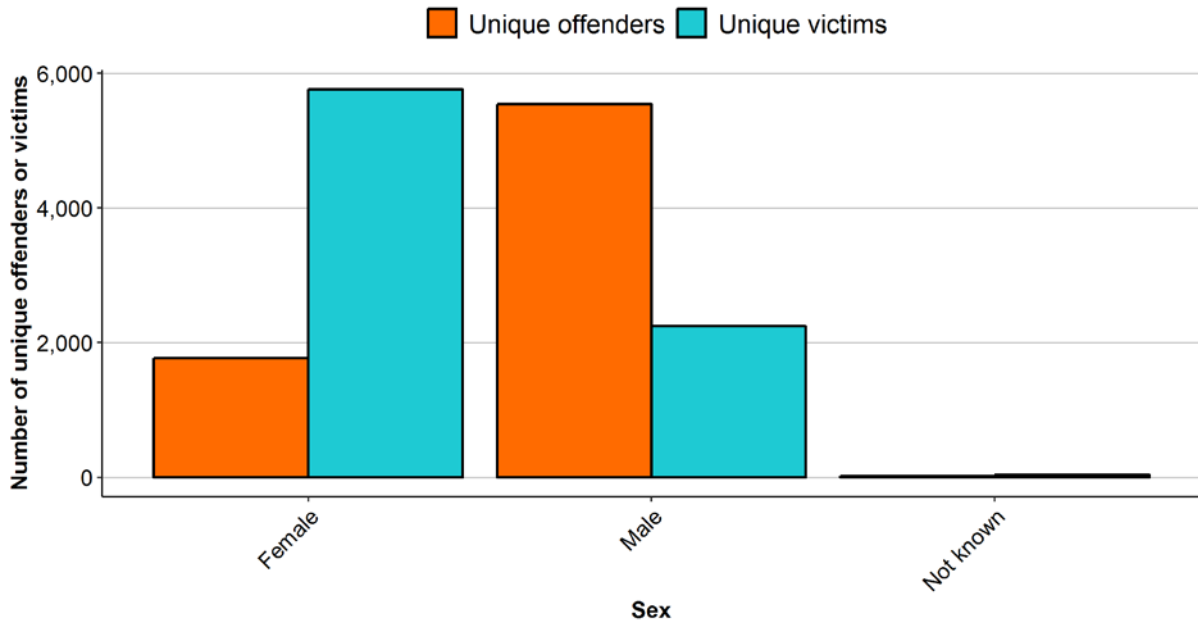


Figure 13 Age of offenders committing DSA related crimes in 2016/17 by age group. Data source Hampshire Constabulary.

Stakeholder feedback (see section 6) commented on different features of DSA amongst different population groups, but it was not possible in the time available to gather and triangulate data on ethnicity, nationality or language. Some initial police data on ethnicity of offenders' appeared to show a pattern by ethnicity that reflects the wider population of Southampton. However, it has not been possible to explore how this data is captured and reported.

Between 2011/12 and 2016/17, there were more male perpetrators than female perpetrators and more female victims than male victims (Figure 14). However, once again this should be interpreted with caution. It is important to note these figures reflect all DSA and not just IPA, and as such some of the male victims may have been sons abused by their fathers, and not necessarily men abused by their female partners, although there will undoubtedly be some men who are abused by their female partners. It is also important to note that sex is recorded as a binary output, either male or female in this data set, and so again the results must be interpreted with caution.



Source: Hampshire Constabulary Record Management System, crimes with domestic flag ticked

Figure 14 DSA offenders and victims in Southampton by sex, 2011/12 to 2016/17

### 3.4. Prevalence of children affected by IPA

As previously discussed, witnessing or being subject to abuse can potentially have a detrimental effect on children's long term outcomes, including increasing the risk that they will go on to become perpetrators of abuse themselves. As previously discussed these poor outcomes are not inevitable, but certainly can contribute in some cases. Figure 15 illustrates that large numbers of children who need children's services assessments in Southampton have DSA as a factor in their referral. In total, 5,480 children in the city were found to have some exposure to DSA at assessment between 2014/15 and 2018/19. Figure 16 indicates the rate of children affected by DSA in each ward in the city, and unsurprisingly, given the high rates of DSA offences in these areas, Bitterne and Redbridge have the highest rates. When considering the rate of looked after children who have a DSA flag, Bitterne and Redbridge have high rates once again (Figure 17).

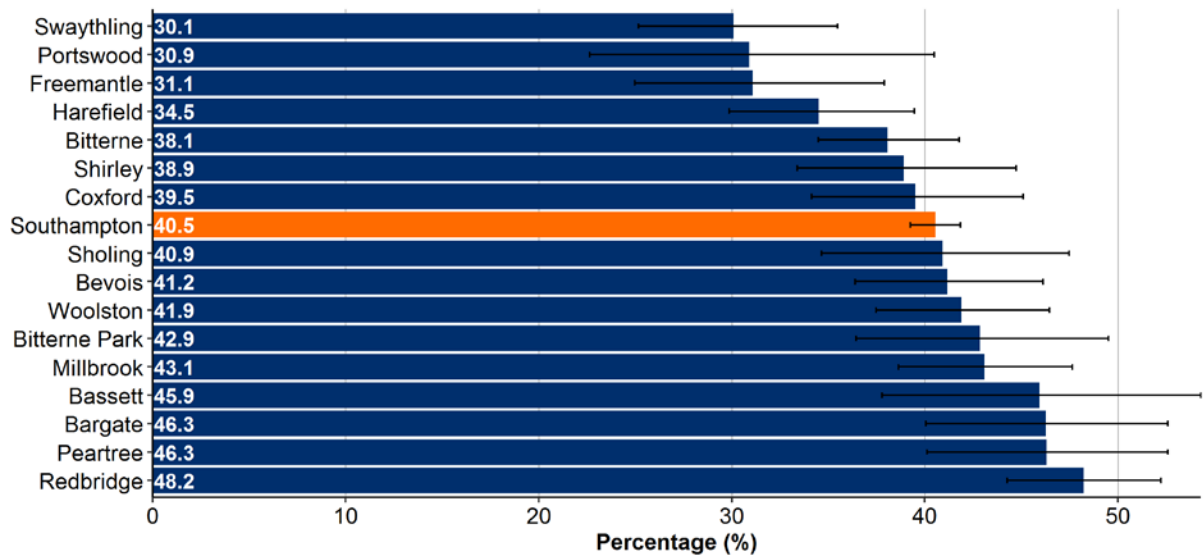


Figure 15 Percentage of Child referrals with DV flagged as a factor in their assessment. Southampton wards, 2014/15 to 2018/19. Source: SCC PARIS system

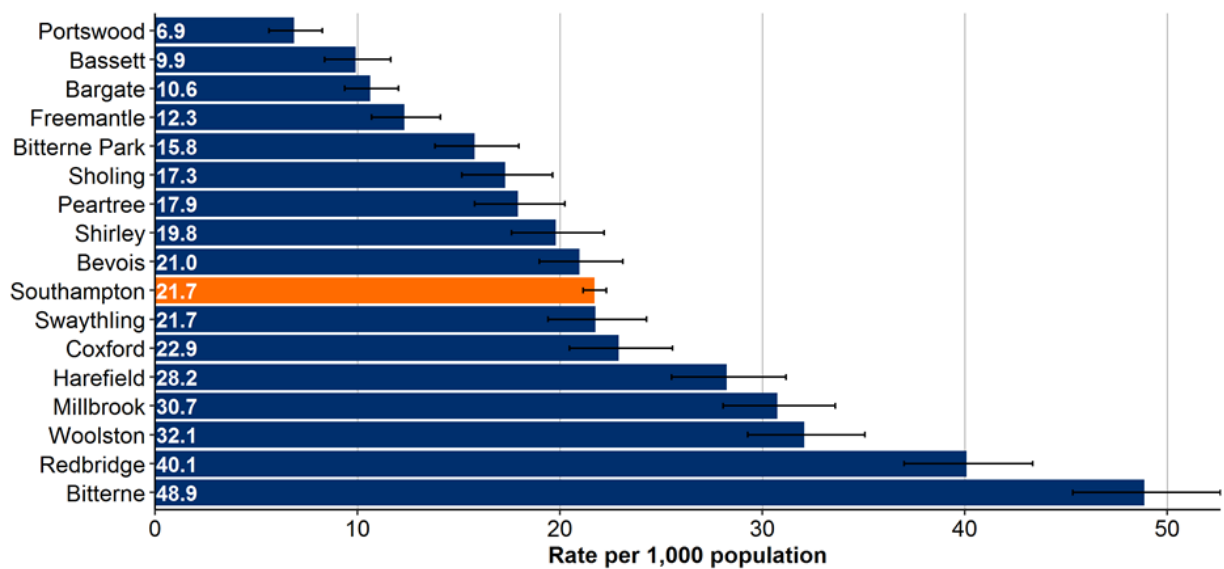


Figure 16 Rate of child referrals who had a DSA flag on their assessment per 1,000 population, split by area, from 2014/15 to 2018/19. Source: SCC PARIS system



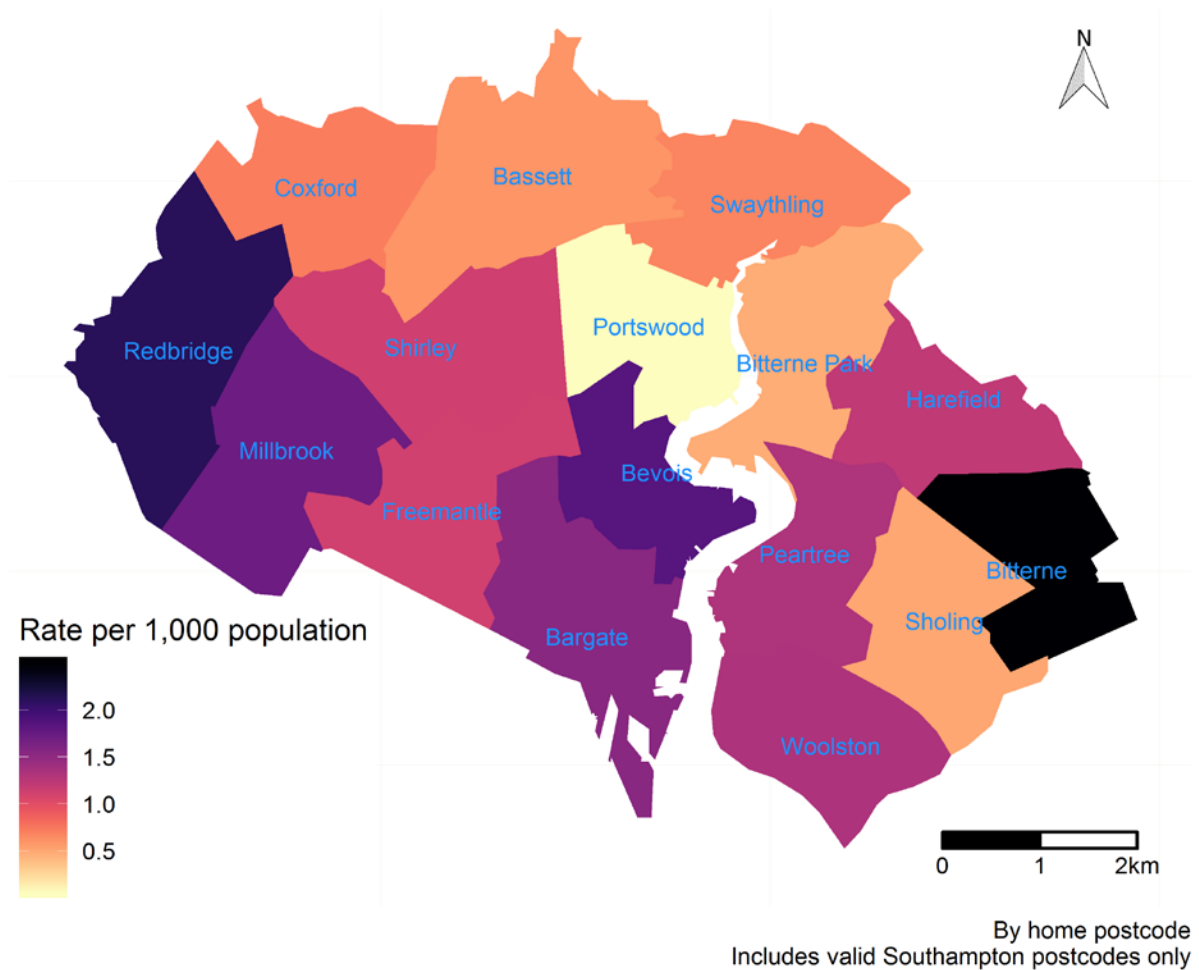


Figure 17 Rate, per 1,000 population, of looked after children who had a DSA flag on their assessment, by Southampton ward, 2014/15 to 2018/19. Source: SCC PARIS system

### 3.5. Service use in Southampton

Hampton Trust is the only PP provider (for those not in the criminal justice system) in Southampton. They accept referrals from multiple sources as well as self-referral. Between 2016 and 2018 the vast majority of referrals were male (Figure 18). The most common age group over the same time span was between 26 and 40 years old (Figure 19). The number of referrals into the Hampton Trust is currently far fewer than the number of police recorded DSA offenders. Given that it is likely that the police data underestimates the number of offenders it is clear that there are far more individuals in need of Hampton Trust's services than are being referred or self-referring into the service. It is also interesting to note that a substantial number of people referred into Hampton Trust have known additional needs at the time of referral, such as mental health conditions (22.6%) and substance use disorders (19.4%) (Figure 20). It is not clear from the data whether some individuals are counted twice (for instance if they have both a mental health condition and a substance use disorder they may be counted in both statistics), but even if this is the case there is still a large amount of additional need (for example for substance use disorder treatment) amongst those who are referred into perpetrator services.

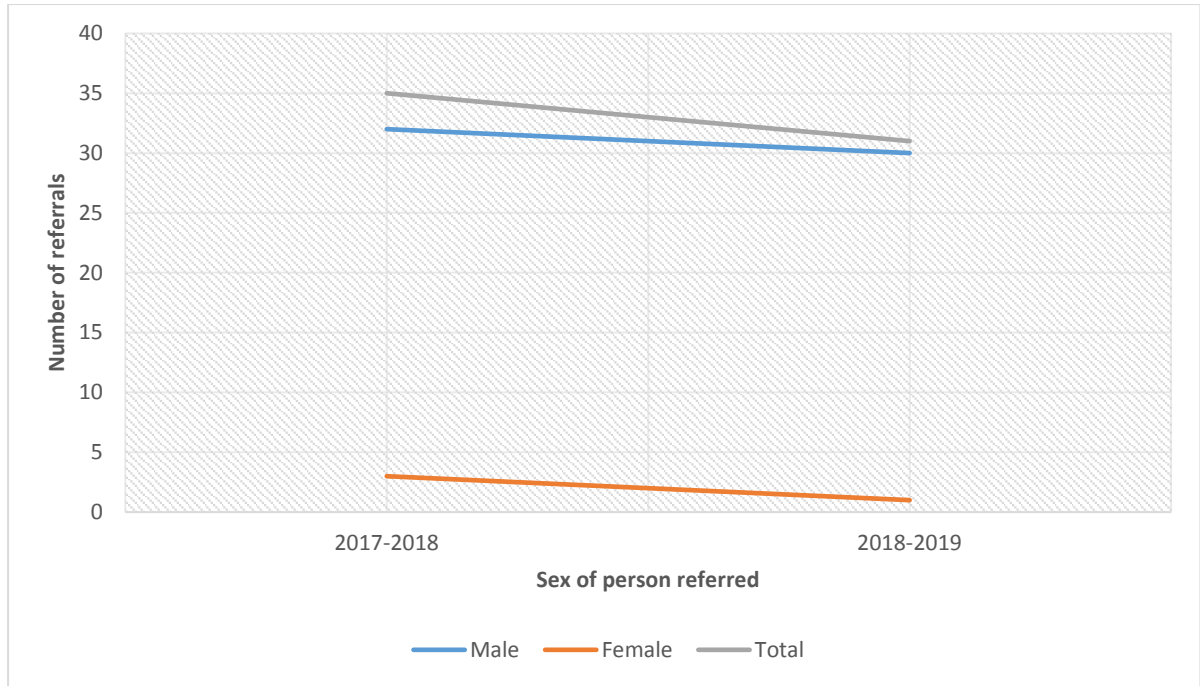


Figure 18 Referrals into Hampton Trust from Southampton by sex, for the 2017/18 and 2018/19 financial years. Source: Hampton Trust, referrals to Radar

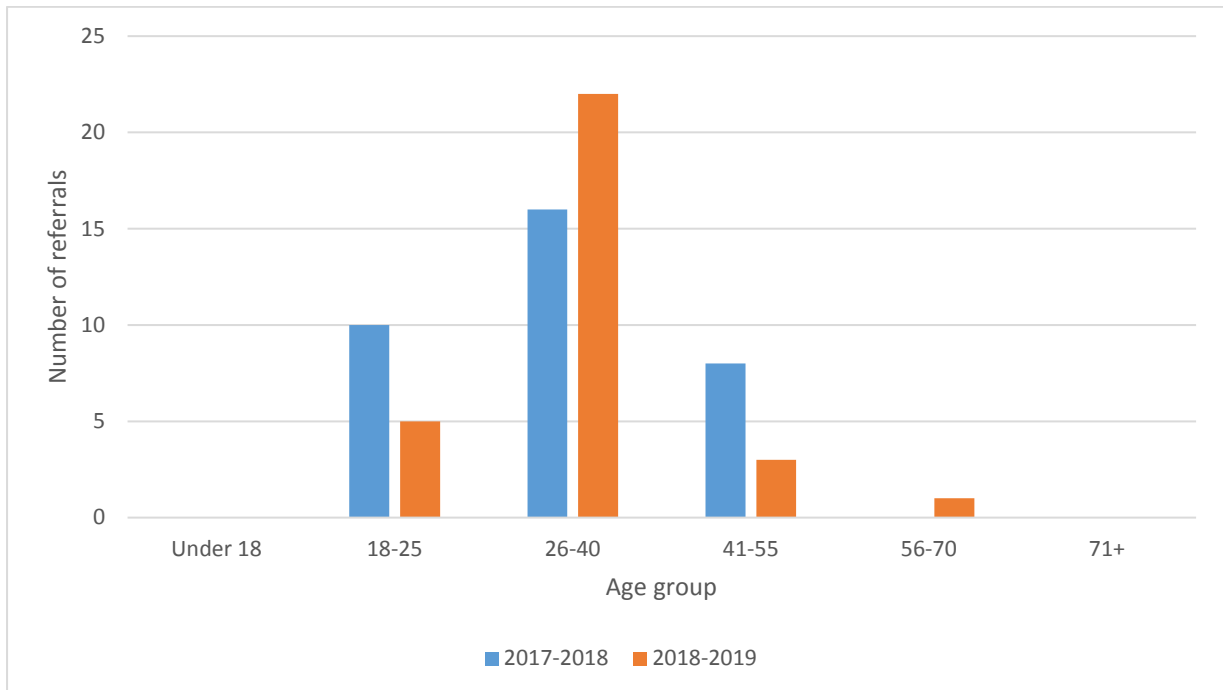


Figure 19 Referrals into Hampton Trust from Southampton by age group, for the 2017/18 and 2018/19 financial years. Source: Hampton Trust, referrals to Radar programme

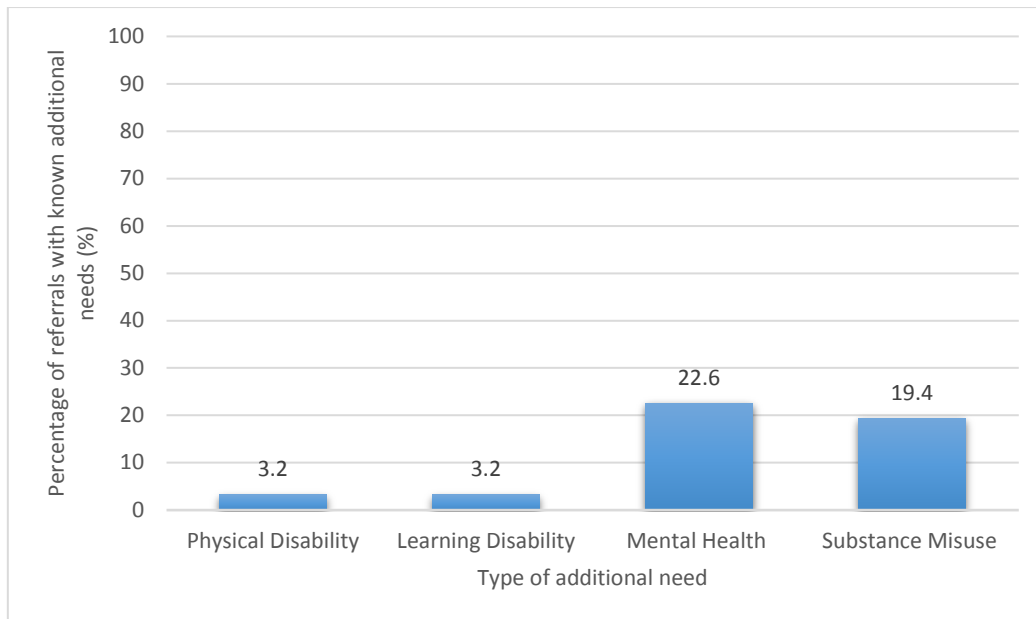


Figure 20 Percentage of referrals into Hampton Trust with known additional needs at point of referral, split by type of additional need, for the 2018-2019 financial year. There were 31 referrals to Hampton Trust in total in the financial year 2018/19. Source: Hampton Trust, referrals to Radar programme

As part of the contract with Hampton Trust, Aurora New Dawn work with the police in identifying and tracking high risk and serial perpetrators. Similarly to Hampton Trust, the most common age group for people referred into or picked up by Aurora New Dawn was 26 to 40 (Figure 21). Anecdotally, services report that some young people do not identify as either victims or perpetrators of DSA, leading to difficulties engaging with services<sup>28</sup>. This may mean that the number of referrals in the 18-25 year old age group is actually an underestimate of the true levels of perpetration in this age group.

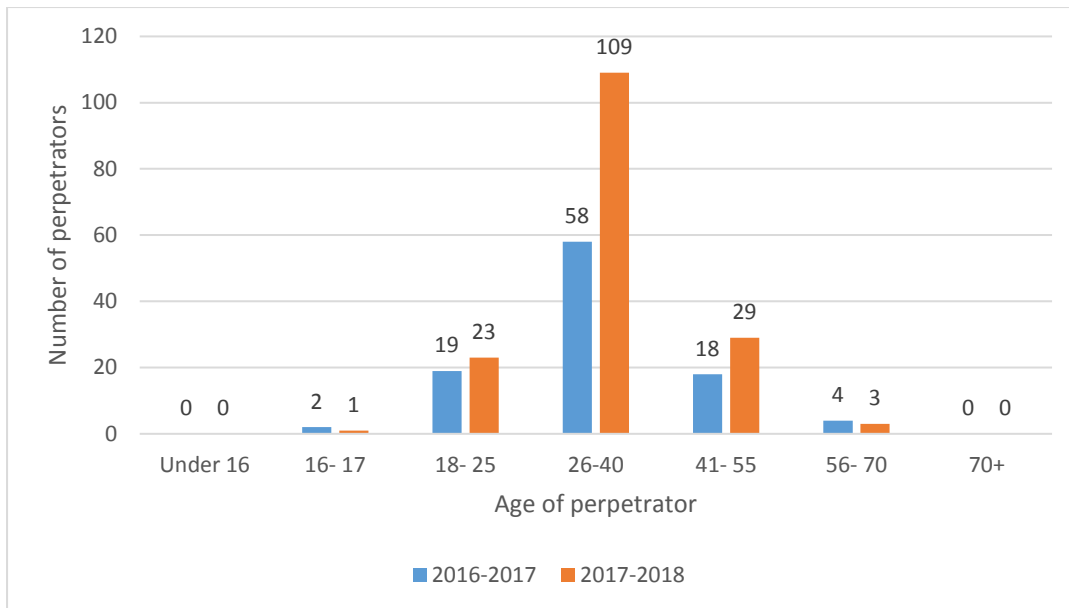


Figure 21 Referrals into Aurora New Dawn by age group, from October 2016 to September 2017 and October 2017 to September 2018. Source: Aurora New Dawn

## 4. Service provision

The following section outlines the services available at local and national level. Please see Appendix 4 for more information about who funds/commissions each service.

### 4.1 Local services

This section covers local services for those who perpetrating IPA, such as services providing PP. It also covers services for those who are at risk of perpetrating IPA in the future. This includes any service that aims to reduce or provide support for the risk factors associated with IPA. As mentioned in the introduction, there are many risk factors for IPA, including adverse childhood experiences (ACEs), an example of which would be someone who witnessed IPA between their parents whilst they were a child. Therefore, this section will include services and interventions that are aimed at improving outcomes for children who are affected by IPA, and breaking the cycle of intergenerational abuse. The services are described following a life course approach, starting with maternity services, progressing to services for children and finally those available for adults. It is important to note that there are also a wide range of services and support offered in the city for victims of abuse, but these are outside the scope of this report and thus not described here.

#### 4.1.1. Maternity services

A new system is in place in maternity services and all pregnant women in the local area who have been referred to maternity services now receive a screening phone call from a triage midwife in order to make a booking appointment. The screening questions include asking if the woman is alone at the time of the phone call and each woman is asked a screening question about IPA in her relationship. If a woman indicates that she is undergoing IPA she will be referred into services via the MASH. If available, the name of the perpetrator will also be passed on in the onward referral, although it is not clear how often this happens. Most women are asked a second time, at an in person appointment later in pregnancy, as long as their partner is not present. There is a specialist midwife for domestic violence who ensures that staff training is up to date. This aims to identify women who are experiencing IPA and connect them with DV services to protect both the woman and her child from further harm. An audit undertaken in June 2018, before the introduction of the telephone

screening call, found that 44% of women were screened for DSA, and 11% of those screened disclosed that they were affected by DSA, either currently or historically. All of these cases were referred on to the appropriate service. Of those not screened, 94% had no documentation around screening, or why the question was not asked. A re-audit to assess the impact of the changes to services and ongoing training is expected in July 2019.

#### 4.1.2. Services for children exposed to risk factors for future IPA

##### Southampton City Council Children's Services

This section will outline some of the services that provide support for children who require input from children's services. Children's services undertake assessments and can place children on a range of plans to suit the child's needs. This involves multiagency working and children's services are also able to link in with many providers across the city, including those mentioned in this needs assessment, such as Yellow Door, No Limits, Hampton Trust and Child and Adolescent Mental Health Service (CAMHS). The following services all aim to support children who are affected by IPA and to try and reduce the impact of this ACE on their future outcomes.

##### *Domestic Abuse Recovering Together (DART)*

This 10 week programme for mothers and children aims to improve outcomes for children who have been affected by DA and has been running since September 2018. It combine group and individual work and aims to improve parent-child relationships and create positive home environments for children. There is ongoing evaluation of this programme through the NSPCC, as part of a national evaluation programme. Maximum capacity for this programme is 10 families per group, with two groups (7-10 year olds and 11-14 year olds) running three times per year.

##### *Sure start special*

This group work programme delivered by play therapists is designed for children aged 3-4 who have been exposed to DA, again trying to improve outcomes. There is a co-located group work for their mothers held at the same time, delivering parenting skills and communication training. This project is run jointly with Southampton Women's Aid (which now functions under the umbrella of Yellow Door) and has additional funding from Children in Need. The programme runs for 8 weeks at selected children's centres in the city, there are some issues with attendance if children are at nursery and sessions clash with these days.

##### *Children's centres (universal service)*

There numerous children's centres spread across the city, which provide a route to access support and many other general resources including Incredible Years parenting classes. They are universal and therefore available for all families across the city. These classes aim to equip parents with parenting skills and create stronger family units.

##### *Children's safeguarding line*

- 02380 833336

This phone line is available for anyone who has concerns about a child's safety.

##### Yellow Door

##### *Star project*

This outreach project run by Yellow Door delivers healthy relationship and sex education to young people in the city (aged 11+). This Programme is delivered through workshops or assemblies, at least once yearly in all secondary schools across the city, and in some primary schools and other educational/youth settings, reaching 11,895 young people in 2017/18. The programme aims to raise

awareness of and explore healthy relationships, abuse, bullying, sexual consent and conflict resolution amongst other relevant topics. It also signposts where to go for help for those who are affected by any of the topics covered.

#### *Other Yellow Door projects*

Yellow Door also offers a range of other services, including both family support and family therapy, for families that have been affected by DA. Their Bright Starts programme is open to young people aged 11-18 who have witnessed or been affected by DA. It aims to improve self-esteem, empathy and emotional resilience and covers topics such as healthy relationships, consent and communication. Yellow Door also offer a counselling service for those aged under 11, although this intermittently closes to new referrals due to service pressures and capacity issues. Yellow Door have recently merged with Women's Aid, and so Women's Aid's DA services have been added to the Yellow Door delivery portfolio.

#### *No Limits*

No Limits is a charity offering free information, support, advice and counselling to young people (aged 11 to 25), for a range of issues. They provide support online, over the phone and through an advice centre and drop in sessions at local schools. Young people can self-refer or be referred to No Limits from other organisations. No Limits provide substance use advice, mentoring for young parents and emotional resilience classes that include anger management amongst other topics. They also provide individual counselling, help and support and undertake case holding for those who require it. They offer counselling for victims of DA and will refer perpetrators onto Hampton Trust, however, there is currently no formal perpetrator service to refer perpetrators onto for those under 16 years of age. No Limits also provide a counselling service for children aged 5-11.

#### *Southampton Family Trust*

This charity run a range of free courses focussing on parenting and healthy relationships, including the adapted FAB (feelings affect behaviours) course, which runs over 6 weeks and targets parents who are at low-medium risk of DA.

#### *Schools*

Many schools across Southampton currently deliver relationship education through Personal, Social, Health and Economic (PSHE) education and Relationships and Sex Education (RSE). From September 2020, it will become mandatory for all schools to provide RSE to children aged 5 to 16, and the Government has provided guidance as to the suggested content of this education<sup>34</sup>. This includes healthy relationships, DSA and codes of acceptable behaviour, including acceptable behaviour within intimate relationships. SCC has commissioned resource development based on this guidance so that all schools in Southampton will have access to a bank of resources that they can use to deliver RSE sessions. These resources will also be available to providers of education for 16 and 17 year olds. The resources are designed to match the recommended curriculum and to support delivery across the first year of the mandatory RSE programme, however it is up to the individual school how they provide RSE.

#### *Refuge provision*

There are two refuges in Southampton, both provide recovery programmes and have a Children and Young Person's worker to support children who have been affected by DA. The refuges house women and families from across the country, as well as from Southampton itself.

## Housing

The SCC housing team are working towards accreditation with the Domestic Abuse Housing Alliance (DAHA), which aims to improve identification of DSA through workforce training and DSA champions within housing teams. This may lead to earlier identification of DSA and thus earlier referral to support services and hopefully a reduced impact of DSA on victims and any children in the family home.

### 4.1.3. Services for young people displaying abusive behaviour;

The following service is for young people who are already displaying problematic or abusive behaviour.

#### Southampton Youth Offending Service (SYOS)

The Youth Offending Service works with some young people that have come into contact with the criminal justice system. In 2018, 119 assessments were undertaken by SYOS, and 31% of these had a flag for DA. Historically, SYOS had a LINX worker (see section on LINX), but this service is no longer available in the city, with the exception of Regent's Park School.

Nationally, there are currently no specific accredited domestic violence programmes for those aged under 16.

### 4.1.4. Services who work directly with those who perpetrate domestic abuse

#### The Domestic Abuse Prevention Partnership (DAPP)

The DAPP is a multiagency group, working across Hampshire and Southampton, led by the Hampton Trust and commissioned by HCC, SCC and the OPCC. This partnership works with the police and aims to prevent domestic abuse through delivery of the PPs; individual work with perpetrators and the victim safety service; by ensuring that information is shared including through a single point of contact (SPOC); and co-locating experienced staff into other front line services to up-skill staff in these services in assessing risk and working with perpetrators. Other partners include Aurora New Dawn and Baseline Connections. The DAPP has recently been evaluated by Southampton University with some promising early findings<sup>28</sup>.

#### Hampton Trust

Hampton Trust is a charity which has been delivering PPs in various forms in the local area since 1996. They provide 20 week group based PPs for all who are referred, aged 16 and over and suitable for group work. Hampton Trust will work individually with those not deemed suitable for group work (i.e. those with additional needs or who are too chaotic for group work). Those who are not yet ready for group work may be invited to attend two awareness raising sessions, in an effort to prepare them for group work. Currently, most female perpetrators are offered individual support due to there being insufficient number to form a group. All of Hampton Trust's activities are completed on a voluntary basis. The recent DAPP evaluation found that younger perpetrators (aged 18-25) were not engaging with services well<sup>28</sup>. As a result the Hampton Trust is now developing a programme specifically for younger perpetrators with the aim of increasing engagement. The literature suggests that combining substance use programmes and PPs (where possible) may be beneficial<sup>14</sup>. At present, there are no formal links between substance use services and the DAPP, although there is willingness to undertake work to improve pathways between the two services. This work will require a coordinated approach.

Hampton Trust also have an 'integrated victim safety service', which supports partners and ex-partners of those completing PPs with Hampton Trust. This allows the service both to 'check in' with victims, ensure that reports from participants on the programme are accurate and also explain

some of the techniques used on the course so that partners understand how they work, and know what to do such as when a participant wants to use a 'time-out strategy'.

#### Hampton Trust phone line

The Hampton Trust provide contact phone numbers for professionals and members of the public who have concerns about their behaviour;

- 023 8000 9898 (Programmes)
- 023 8000 1061 (Office).

#### Linx

Historically, Hampton Trust have also offered a programme for young people displaying difficult behaviours or unhealthy relationships. This programme is open to 12-17 year olds and focusses on healthy relationships, conflict and empathy, aiming to help young people develop healthier relationships and empathy for others. Currently, this service is only available in Regents Park School in Southampton. Hampton Trust are currently seeking additional funding to increase provision of this programme.

#### Baseline connections

In some cases, individuals may benefit from group sessions but are too chaotic to attend group sessions or may have issues (such as homelessness or substance use disorders) that present a significant barrier to successful completion of a PP. In this case the Hampton Trust may choose to refer that individual to Baseline Connections, a partner organisation that can undertake individual work with clients who may benefit. This individual work will aim to stabilise difficulties in a perpetrator's life so that they are then able to participate in a group programme. If the participant is still unsuitable for group work then Hampton Trust may work with them individually.

#### Aurora New Dawn

Aurora New Dawn work in partnership with Hampshire Constabulary to identify and track high risk and serial offenders using police data. If the perpetrator consents to contact then Aurora New Dawn can refer into PPs at Hampton Trust. If they do not consent and engage then Aurora New Dawn will track their activities and participate in disruption activities (such as letters to perpetrators warning to them to stop their behaviour or face consequences).

#### Project CARA (*conditional cautioning and relationship advice*)

This Hampshire Constabulary-led pilot project<sup>16</sup> is a conditional caution which includes mandatory relationship education for those who have committed a lower-risk first offence. The conditional caution lasts for four months and means that if the perpetrator is re-arrested in the period they will face charges for both the original offence and the new offence.

The relationship education course is run by the Hampton Trust and takes place over two days, a month apart. The course is mandatory and failure to attend results in a breach of the conditional caution, and the perpetrator being charged with the original offence. Project CARA has recently been evaluated<sup>16</sup>, with some promising early findings. CARA is now being rolled out to other areas in the UK.

#### CRC/ Probation

The Hampshire and Isle of Wight Community Rehabilitation Company (CRC) offer one court mandated PP and two additional PP that can be delivered under the Rehabilitation Activity Requirement (RAR) with the appropriate programme being selected based on the level of risk for each perpetrator and their suitability for group work.



### *Building Better Relationships (BBR)*

This is a compulsory group work programme for medium and high risk adult male perpetrators, which aims to reduce risk of re-offending. BBR is a nationally accredited programme governed by the Ministry of Justice (MoJ) and is based on MoJ accreditation principles. This programme will run in every probation area for both National Probation Service (NPS) and CRC service users. The programme focusses on improving self-awareness, relationship skills, and emotional regulation, as well as working on reducing impulsive behaviour and negative influences. BBR is multi-agency and includes police data, information from those supporting partners and ex-partners and other key agencies. This programme does not cater for women, those in same sex relationships or perpetrating other types of familial abuse, those who don't speak English or first time offenders (in most cases).

### *Help*

This 15 session group work programme has been developed for Interserve led CRC's and is delivered under the Rehabilitation Activity Requirement (RAR) if given from Court. This is for those individuals who are lower risk adult males displaying abusive behaviour within relationships. Unlike BBR, this programme is a rehabilitation programme but can also be enforced under the RAR to ensure participants attend. Participants must speak English and be able to work in a group setting. Help aims to improve empathy, confidence and positive relationship skills, and encourages participants to take responsibility for their behaviour.

### *Creating Safer Relationships (CSR)*

This is a one to one course for those who are not suitable for group work and are experiencing relationship difficulties and is delivered under the Rehabilitation Activity Requirement (RAR) if given from Court. The course consists of 8-14 individual sessions, roughly following a modular pattern but allowing personalisation for the individual. It aims to improve empathy, personal responsibility, confidence and understanding of the impact of their behaviour on others, leading to improved relationships. This is open to adult men, who are not able to undertake group programmes.

### *Prisons*

The prison service run a healthy relationships programme for high risk perpetrators, which runs over 2 years.

### *Hampshire constabulary*

The Hampshire constabulary currently work with both victims and perpetrators of DSA, working to try and reduce offending in Southampton. They are in partnership with Aurora New Dawn, who identify and track serial DSA offenders, and refer them into perpetrators services or participate in disruption activities. Hampshire constabulary are also currently in the process of establishing a higher harm team. The higher harm team aims to focus on high risk perpetrators, including high risk DSA perpetrators. The team will take a longer term, preventative approach, by working with perpetrators to reduce their risk of re-offending. This may involve referring perpetrators into support services such as counselling or PP as required.

#### 4.1.5. Other local services

PIPPA (Prevention, Intervention, Public Protection Alliance) phone line

- 023 8091 7917

This services provides a single point of access for all professionals and members of the public who want advice on dealing with DA. This service can then refer on to the appropriate support agency.

MASH

- 023 8083 3336 (in hours)
- 023 8023 3344 (out of hours)

The MASH provides a single point of entry to DA services for all high risk victims. The referrals to this group are then assessed in a daily, multi-agency HRDA meeting, which considers the whole family including the perpetrator.

HRDA

This daily meeting reviews the cases of all high risk DSA victims and any children who are affected by DSA. This meeting involved information sharing, risk assessment and planning to ensure that victims are safe and have access to the appropriate support.

MARAC

This is another multi-agency meeting with professionals from all related agencies. Only very complex high risk victims are referred on from HRDA to MARAC. The agencies share information and create a plan to protect that victim.

MATAC (Multi-Agency Tasking And Co-ordination)

The most harmful perpetrators of DSA are referred into MATAC meetings, a multi-agency meeting, which aims to support perpetrators to change their behaviour and stop perpetrating, or to disrupt and intervene where perpetrators are unwilling to engage in behaviour change.

#### 4.2. National services

Respect

- 0808 802 4040

Respect provide a national helpline for perpetrators who give advice and signpost to accredited PPs.

### 5. Good practice in other areas.

There are no clear examples of best practice elsewhere that Southampton can adopt to tackle this issue. There are many different services available across the country, the majority of which are similar to those provided in Southampton. In fact, in some areas, such as project CARA in the criminal justice system, Southampton is leading innovation in the field. Southampton was a pilot area for HRDA before these services were rolled out across the country. Southampton is also the pilot area for MATAC.

## 6. Stakeholders

In order to better understand the local picture and seek the views of those working in local services several key stakeholders were contacted for individual conversations and a questionnaire was sent out to services that may interact with those experiencing and perpetrating IPA. For a full list of all organisations contacted and a blank stakeholder questionnaire please see Appendix 2. The topics covered in discussions and through the questionnaire can be summarised into four areas, discussed in sections 6.1 to 6.4.

### 6.1. What are the life experiences and characteristics that are commonly found amongst perpetrators?

Figure 22 displays a summary of the life experiences and characteristics that are common in perpetrators or domestic abuse, as described by local stakeholders.

#### Life Experiences

- Childhood trauma
- Time spent in care as a child
- Childhood neglect
- ACEs
- Parental mental ill health or substance use
- Abuse (witnessing abuse or being abused themselves)
- Chaotic family circumstances
- Lack of control in other aspects of life
- Drug use
- Trauma
- Low income/unemployment
- Stress

#### Characteristics

- Attitudes towards women
- Beliefs in strict gender roles
- Need for control
- Feeling powerless
- Entitlement
- Low self esteem
- Lack of insight into the impact of their behaviour
- Difficulty regulating emotions
- Difficulties with impulse control
- Difficulty expressing themselves

*Figure 22 Stakeholders experiences of life experiences and characteristics that are commonly found in perpetrators of IPA.*

## 6.2. Prevention of IPA

Stakeholders were also asked about prevention of IPA, see Figure 23 for their responses on primary and secondary prevention. For tertiary prevention stakeholders suggested PPs, stronger criminal justice sanctions and societal changes in attitudes towards women and acceptability of violence.

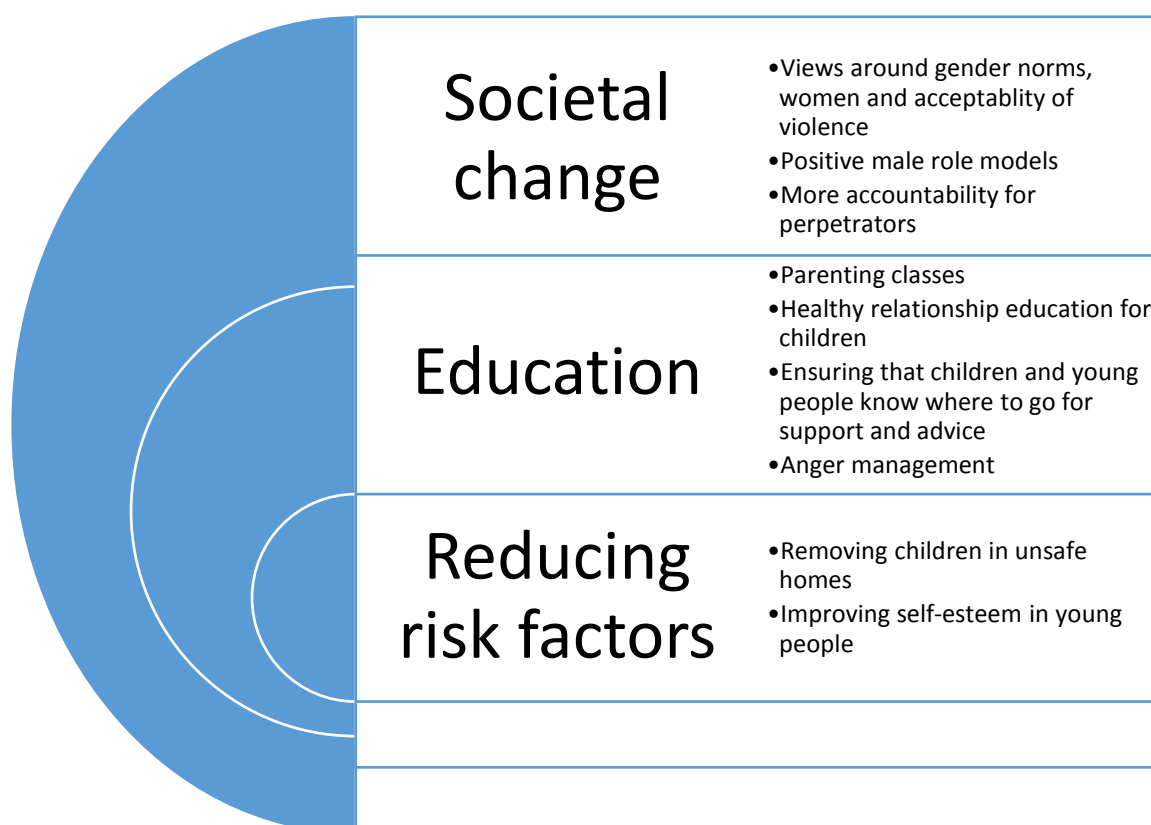


Figure 23 Stakeholder views on effective primary and secondary prevention interventions to prevent people from ever becoming perpetrators, split into three broad categories, reducing risk factors, education and overarching societal change.

## 6.3. Barriers to behaviour change in perpetrators

Stakeholders were asked to describe the barriers that they had encountered in working with perpetrators to change their behaviour. Several stakeholders reported that longstanding beliefs and cultural differences can play a role. For example, acceptance of abusive behaviour as a normal part of a relationship in some groups, and resentment of outside interference. Motivation and willingness to engage were also reported as key barriers. Other barriers included difficulties in finding or accessing services that cater for those from different backgrounds, those with support needs, those in LGBTQ relationships and female perpetrators. Finally, in some areas a lack of understanding or awareness of perpetrator services could be a barrier to referral from other agencies in Southampton, and availability of places on PPs was mentioned as being problematic at times.

#### 6.4. Suggested interventions

Finally, stakeholders were asked questions around what they would do to tackle IPA in Southampton. Their responses are displayed in Figure 24.

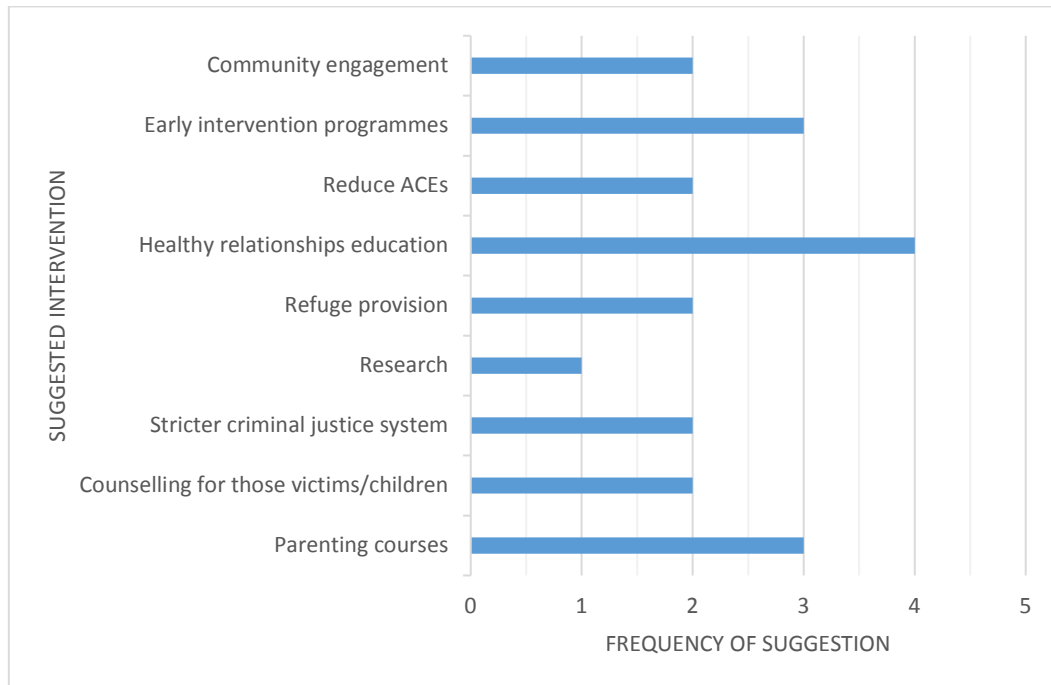


Figure 24 Interventions suggested by stakeholders when asked what they thought would prevent IPA in Southampton

## 7. Unmet need

The rates of DSA in Southampton clearly point to unmet need in terms of preventing IPA in the city. It is worth noting that much of the data is for DSA rather than IPA, and as DSA encompasses a wider range of relationships this is likely to be an overestimate of IPA. However, we also know that DSA is underreported, and that it is likely that the burden of IPA is larger than reflected in current police DSA figures. Additionally, many of the risk factors and interventions for DSA and IPA are the same, and there is so much crossover between the two that tackling one could be reasonably expected to also impact on the other.

During the course of this NA some specific areas of unmet need have also emerged. For example, there appear to be gaps in specific service provision supporting children who have been affected by DSA, for those who are aged between 1 and 3 and between 5 and 7. This means that these children may not receive support to minimise the impact of their experiences, or may have to wait until they reach the appropriate age group for a specific support service. Whilst those who are aged 1-3 may be too young for a specific intervention themselves, they may benefit from family and parenting based interventions. For those children who are the right age, there are often long waiting lists for services (4-12 months), some of which are closed to new referrals from time to time due to service pressures.

Another gap in service provision is for those who are demonstrating abusive behaviour and are under the age of 16. There is no formal perpetrator service to refer these individuals into, and more generic behaviour change programmes such as the Linx programme are currently only available on a very restricted basis in Southampton. There are no specific perpetrator services for this age group available nationally.

Another gap in service provision is for those in LGBTQ relationships, female perpetrators and those with additional needs such as learning disability or mental health or substance abuse disorders. Those in LGBTQ relationships may be able to attend standard PPs but they will not be tailored to their circumstances or specific needs. In many cases female perpetrators will receive one on one sessions rather than group sessions, due to there being insufficient numbers to make up a group. However, one of the main benefits of PPs in groups is the peer influence, which female perpetrators therefore miss out on. In some cases those with learning disabilities, acute mental health issues or substance use disorders may be able to take part in standard PPs, but in some cases this is not appropriate and there are no standard alternatives to offer at present.

When considering the level of need in Southampton there also appears to be significant unmet need. For example, there were over 3,000 recorded incidents with a DSA element in Southampton in 2017/18, yet only 35 referrals made to Hampton Trust in the same period. It may be that some of these perpetrators were receiving support through CRC run perpetrator programmes, but it is not likely to be a significant number. This suggests that there are large numbers of people who could potentially benefit from perpetrator services but are not reaching them. There are many possible causes for this, including but not limited to: insufficient service provision; confusion regarding referral pathways; and unwillingness on the part of the perpetrator to engage with services, as participation in Hampton' Trust's PPs is currently voluntary. Children's services referrals with a DSA flag also reflect the level of unmet need, with 5,480 children in the city found to have some exposure to DSA at assessment between 2014/15 and 2018/19. It is unclear at this time how many of these children received specialist support to help them deal with their experiences. More work is needed to establish the level of service provision for children, so that this can be compared to need.

## 8. Literature review

A systematic literature review was undertaken to better understand the evidence base behind PP and primary prevention strategies. The review aimed to look specifically at preventing IPA between adults in established relationships, and did not consider other forms of abuse or abuse between those outside of this context.

### 8.1. Methodology

Search terms were developed using key terms from the literature on this topic and Mesh terms for respective databases. Databases searched included Cochrane, Ovid Medline and Web of Science. Citation chaining was also used to look for key papers in the field. The search was limited to papers from 2017 onward (as a large NICE evidence review<sup>35</sup> addresses this topic prior to 2017), English language and studies from similar countries to the UK. Both quantitative and qualitative papers were reviewed, as well as systematic reviews and service evaluations. Full details on the search strategy including a PRISMA flow chart can be found in Appendix 3. In addition to those papers identified through the search strategy, key papers including grey literature used for the coinciding scrutiny process at SCC were included in the review<sup>20,22,35-40</sup>.

### 8.2. Findings

In general, the evidence base supporting interventions to prevent IPV is limited, hampered by a historical lack of focus on and investment in primary prevention and PP<sup>36</sup>, and pragmatic difficulties with assessing outcomes given the hidden nature of IPA. Other difficulties include ethical quandaries around the use of control groups for PP and the length of follow up time required for primary prevention interventions, often leading to methodological difficulties<sup>20,36</sup>. These issues make it difficult to confidently and accurately determine whether an intervention has had the desired impact on behaviour. However, in recent years the amount of research in this field has increased substantially and the evidence base is slowly growing. Several studies have attempted to quantify the impact of interventions to prevent IPA, and several key bodies have produced recommendations and guidance<sup>6,11,20,35,36,38-40</sup> around beginning to tackle IPA, at both an individual level (for those already perpetrating abuse) and societal level (to try and reduce IPA rates nationwide).

#### 8.2.1. Grey literature and key policy documents

In the course of this literature review, several overarching documents including key policy documents and approaches to tackling IPA were reviewed. One such document was the NICE DA guidelines<sup>35</sup>, which were updated in 2018 to include the latest evidence. NICE make several recommendations, including multi-agency working and integrated commissioning, early intervention and evaluation of existing PP to add to the available evidence base<sup>35</sup>. Similarly, '*Ending violence against women and girls*', an HM Government strategy document also calls for collaborative working, early intervention and whole family approaches<sup>38</sup>. It also advocates for stronger legal powers and sanctions for abuse, the use of technology such as GPS trackers and education and support for young people<sup>35</sup>, something which is a recurring theme across the majority of the key documents<sup>11,39,40</sup>. A review looking specifically at multiagency working around children who live with DA emphasised the need for societal change in order to facilitate primary prevention of IPV<sup>6</sup>.

The Early Intervention Foundation (EIF) has produced an evidence summary around DA, which emphasises the importance of evidence based practice and calls for an improved evidence base in this area<sup>40</sup>. They also suggest working with young people in primary prevention, and working with families experiencing DA to minimise harm and ensure secondary and tertiary prevention<sup>40</sup>. Finally, the EIF highlight the need for workforce planning to ensure that we have an adequate numbers of workers who can deliver early interventions<sup>40</sup>. When considering violence in a broader context, the Local

Government Association (LGA) emphasises that violence is multifactorial, and also suggest supporting children, young people and families, in particular targeting additional support for high risk groups<sup>39</sup>. In addition to those recommendations listed above, the CDC suggest that safe environments (with low rates of crime, cohesive communities and facilitates) and financial stability are key in preventing IPV<sup>11</sup>. They also advocate for the use of positive role models and a focus on vulnerable children to give them the best start in life<sup>11</sup>.

The Welsh government have recently undertaken a review of PP<sup>20</sup>. They found that, whilst further research is needed, there was evidence to support several interventions. These included whole system approaches, family based interventions and treating coexisting substance use in combination with DA PPs<sup>20</sup>. They found mixed evidence for several other strategies, including the use of CBT in PP and bystander programmes as primary prevention tools<sup>20</sup>. Bystander programmes encourage people witnessing inappropriate or abusive behaviour to intervene, and provide individuals with the tools to do so<sup>41</sup>. They also aim to promote equality and change beliefs to reduce the acceptability of violence and abusive behaviour in a wider context, by stimulating discussion and challenging beliefs<sup>41</sup>.

In summary, there is consensus within the field that multi-agency working, supporting young people and a focus on societal change and primary prevention may be key elements in reducing the ongoing burden of IPA. In addition, ongoing focus on perpetrators and preventing IPA is key.

### 8.2.2. Academic literature

#### *Systematic reviews*

A good quality, UK focused review of school based interventions for primary preventions of IPV found evidence to suggest some improvement in 'soft' outcomes such as increasing knowledge and awareness<sup>37</sup>. The authors note that group work allowing peer feedback and the use of drama may be useful, and suggest that efforts should be made to include more diverse relationships in materials, and including discussion of issues around ethnicity, sexuality and disability within relationships<sup>37</sup>. A review of interventions for young people found that many focussed on preventing victimisation rather than perpetration, and found mixed evidence for effectiveness<sup>42</sup>. A large review of PP across Europe concluded that using self-reported outcomes biases results, and that those participants who completed a PP were less likely to re-offend than those who dropped out<sup>43</sup>. In their review of interventions in healthcare settings, Tarzia et al<sup>44</sup> conclude that the available evidence is weak, but that, for those where substance use is an issue, combining substance use programmes with PP may be beneficial. Finally, a review of the addition of motivational interviewing to PPs to increase engagement found that there was not enough evidence to reach a firm conclusion about any beneficial effect<sup>45</sup>.

#### *Controlled trials*

Several studies evaluating the impact of PP in the UK and Europe have been published since the NICE review update<sup>16,46-49</sup>. In the UK, two randomised controlled trials (RCTs)<sup>16,49</sup> evaluating PP found some evidence of positive benefits. However, one (which was based in Southampton) had strict entry criteria, which limits the generalisability of their findings<sup>16</sup> and both had methodological issues which make it difficult to confidently draw conclusions based on this research. In Europe, an RCT evaluating an internet based, CBT programme for aggressive behaviour within an IP relationship found



improvements in self-reported outcomes<sup>47</sup>. This effect was sustained at follow up but the selection process (self-selected participants with stringent exclusion criteria) limits the generalisability of this study. A controlled trial in Sweden found no benefit from a group-based PP using the Duluth model for those convicted of IPV<sup>46</sup>. A Spanish RCT found that adding motivational interviewing techniques to a PP improved self-reported measures, but not re-arrest rates<sup>48</sup>.

A reasonably well designed American RCT found that combining substance use treatment with PP reduced substance use, although this did not produce a significant difference in the number of violent episodes at follow up<sup>22</sup>. Similarly, in a small American pilot study<sup>21</sup>, adding an IPV intervention to substance use treatment did not have a significant impact on levels of violence at 6 months follow up. Another American RCT found that a brief motivational alcohol reduction intervention before a PP did not offer significant improvements in substance use or IPV when compared to their control, and alcohol education intervention<sup>23</sup>. However, a reduction in substance use and IPV was found in both groups after completing the PP following their respective interventions<sup>23</sup>.

### *Non-controlled trials*

Locally, a mixed methods evaluation of the Hampshire DAPP was undertaken by the University of Southampton<sup>28</sup>. The authors found positive changes in behaviour after the programme, but that nevertheless, one in five participants then went on to re-offend or were suspected of re-offending<sup>28</sup>. They also noted that younger perpetrators in particular were poorly engaged with the available perpetrator services<sup>28</sup>. The authors suggest ongoing development of the programme for young people and those in LGBTQ relationships, as well as further research and evaluation<sup>28</sup>.

In their UK based qualitative evaluation, Walker et al<sup>50</sup> found that several factors appeared to be associated with successful cessation of abusive behaviour. These included peer influence, support, reduced substance use, motivation to change and recognition of abusive behaviour amongst others<sup>50</sup>. They suggest that PP should aim to target these areas to increase efficacy of the programme. One mixed methods evaluation<sup>36</sup> found that Respect accredited PPs lead to an improvement in self-reported outcomes, but the lack of a control group reduces confidence in these results. A British evaluation of multi-agency working found that good communication and information sharing were key to success<sup>51</sup>. One qualitative study explored the use of 'victim impact panels', as an adjunct to the criminal justice system<sup>52</sup>. They report that the panels induced emotional responses and a desire to change in some participants, but did not follow up participants so it is not possible to know if these responses resulted in any change in behaviour. Another criminal justice based study<sup>53</sup> found that a new 'no tolerance' approach to IPV reduced the number of calls, arrests and victim injuries as a result of IPV. In this study, the 'no tolerance' approach involved sending letters to offenders warning them of the consequences of continuing their abusive behaviour and making arrests where appropriate<sup>53</sup>. However, it was unclear whether these reductions were due to result of a true reduction in IPV, or reduced reporting of IPV due to a fear of the consequences of reporting. An American feasibility study<sup>54</sup> focussing on integrating an IPV/parenting programme into residential substance use

treatment found positive changes in levels of self-reported anger. However, this small study did not follow up participants outside of the programme and had no control group<sup>54</sup>.

In summary, despite some methodological difficulties there is preliminary evidence in the literature that some approaches may be beneficial, including motivational techniques, combining substance use treatment with PP (where appropriate) and school based primary prevention programmes.

There is a clear need for more research in this area, particularly for primary prevention interventions, and a need for a consensus on the best approach to measuring outcomes, given the inherent difficulties with self-reported outcomes. Where possible, outcomes should be measured for at least 12 months, and ideally longer.

### 8.3. Comparison to NICE Guidance

This literature review did identify that a life course approach and primary prevention may be key in reducing IPV, which was not fully explored within the NICE guidance. It also found that combining substance use services with PPs may be beneficial, and again this is not fully explored within the guidance. Most other findings of this review are included within the guidance.

### 8.4. Further reading

In addition to the NICE guidance, the following documents may be useful for those who wish to explore some of the concepts or issues raised here in further detail.

- The Welsh government rapid review of PPs (2019)<sup>20</sup>
- The CDC's *Preventing intimate partner violence across the lifespan* (2017)<sup>11</sup>
- The Local Government Association (LGA)'s *Public health approaches to reducing violence* (this discusses prevention of all violence, but many of the principles are transferable to IPA, 2018)<sup>39</sup>
- The NICE review underpinning their domestic violence guidance (2013, updated in 2018)<sup>35</sup>

## 9. Conclusions and recommendations

### 9.1. Conclusions

IPA is responsible for a large amount of ongoing harm in Southampton. Whilst Southampton is already leading innovation in some areas, there is still more that needs to be done to tackle this difficult issue. There are several areas in which there is unmet need that could be addressed in order to try and reduce the prevalence of IPA in the city. There is a need to focus on all three types of prevention (primary, secondary and tertiary) in order to reduce the rates of IPA and ensure that these reductions continue for future generations.

### 9.2. Recommendations

The following recommendations are based on this NA and build on the recommendations of the scrutiny inquiry (these are included for completeness here and listed in italics). The recommendations may help us to better understand and begin to tackle the rates of IPA in Southampton. The recommendations are for both the council and all service providers to consider how they can be met within the remit of each organisation. The recommendations are listed without detailed consideration of cost, and clearly it may not be possible to meet all of them. Each organisation should consider if any can be delivered without any additional funding. If additional funding becomes available then it may be possible to meet more of the recommendations.

#### Children

##### *Universal primary prevention*

- *Relationship Education – to ensure that all children receive healthy relationship education. We must work with schools to ensure that healthy relationships, IPA, harmful gender stereotypes and other key topics are covered in mandatory PSHE from 2020*
- In 2021, to consider exploring how the roll out of mandatory RSE has been implemented across the city and what ongoing support is needed to ensure that healthy relationships and IPA are on the agenda.

##### *Targeted interventions*

- *Adverse Childhood Experiences –SCC take a strategic approach to ACE's, possibly by convening a strategic oversight group, which would allow work across many different areas to be coordinated.*
- Increase provision of parenting support for families who are struggling to parent for any reason
- Conduct a review of level of service provision for children and how this compares with need in the city

#### Adults

##### *Universal primary prevention*

- Explore the potential benefits of bystander programs in inducing cultural change and increasing likelihood of witnessing intervening if they see inappropriate behaviour.

- Community engagement, introducing positive role models and tackling gender stereotypes, acceptance of violence and acceptance of controlling behaviour.
- Explore the views and understand of IPA within different groups and the impact the cultural differences and beliefs have on this understanding
- *Communications Campaign – i.e. white ribbon campaign, to induce cultural shift and social change such that even low levels of abusive behaviour are no longer acceptable in our communities, and those worried about their behaviour feel able to come forward and ask for help.*
- *Reporting of DSA – encourage the local media to follow Level Up reporting guidelines, which encourage accurate reporting and dignity for victims, amongst other things (<https://act.welevelup.org/campaigns/54>)*
- To consider how we might target resources into areas of high need, which may overlap with areas of high deprivation

#### *Perpetrator services and whole system approach*

- Ensure a whole system joined up approach to DSA (this is already underway)
- All services relating to DSA should be clearly advertised, particularly targeting key staff groups, who may encounter perpetrators through their work and groups that are at highest risk of perpetrating (in 2016/17 in Southampton, men aged 20-40 committed more DSA related offenses than other groups)
- Check capacity of services against need across all service areas relevant to IPA, particularly in preventative interventions and PP, where the level of needs seems to surpass provision
- *Perpetrator services – Increase both awareness of and referrals to perpetrator services, through awareness raising campaigns, staff training and earlier identification of perpetrators.* This includes using these pathways at an earlier stage where possible
- *Co-location of Hampton Trust staff within the key service areas – to share skills and knowledge in identifying and engaging perpetrators.*
- Where possible and appropriate introduce DSA champions into service that may have contact with perpetrators or victims of DSA (such as housing)
- Improve links between mental health services and perpetrator services (this should be actioned shortly)
- Improve links between substance use and perpetrator services and consider combining substance use treatment programmes with PPs where applicable and if possible
- Ensure that substance use services have capacity to treat amphetamine and cocaine addiction in addition to services currently offered
- Consider online CBT based relationship skills courses for those with concerns about their behaviour, possibly through IAPT
- Consider that different groups may need different approaches and different assistance to access services/referral pathways
- Using family-based approaches where possible
- Veterans work steam should consider DSA in their work
- *Routine enquiry – establish routine enquiry for perpetrators, as is currently undertaken for victims.*
- *Resources – where possible pursue resources to support perpetrator services (currently 11% of total DSA funding).*

- *MATAC (Multi-Agency Tasking and Co-ordination) – a new approach in Southampton which identifies and intervenes with or tracks high risk offenders, that should be rolled out if evaluations continue to be positive.*
- Further evaluate CARA using less strict inclusion criteria and therefore a more representative population group
- As far as possible address the service gaps identified in section 7

#### *Evidence based decision making*

- Develop local network of academics, commissioners and service leads to translate research into practice and evaluate interventions that are innovative
- Undertake a literature review on how best to support children who are affected by IPA
- *Update the DSA Strategy – the current strategy runs out in 2020.* The next DSA strategy should continue to have a strong focus on prevention
- *Evaluation of perpetrator services – to add to the evidence base in this area and ensure that interventions are effective.* Ensure that any new and existing interventions are evaluated, including primary prevention interventions where possible
- To review local data as it becomes available and for the safe city strategic assessment in autumn 2019
- Further investigate how we compare to other areas, and consider whether high rates in Southampton may be inflated by higher levels of reporting, or truly high levels of DSA
- If found to be truly higher than comparable areas, consider the reasons behind high levels in Southampton
- *Calculate the return on investment for perpetrator services – to support decision making*
- *Alcohol and Substance use – to consider the impact on DSA and ensure joined up working.* Specifically, explore the relationship between alcohol licencing and IPA
- *Working with Government – make use of opportunities offered and work with the government to enable investment in innovative practice in the city.*
- Implement NICE guidance and other key recommendations as they emerge, and consider making use of more detailed technical guidance where it exists, such as the CDC’s technical package for preventing IPV using a life course approach<sup>11</sup>
- Be able to respond flexibly to the evidence base as it emerges
- *The role of Public Health – to consider funding for DSA services*
- *Consideration of the impact on DSA when making Council decisions – include DSA in the Equality and Safety Impact Assessments (e.g. as if they were a protected characteristic).*

### 9.3. Next steps

This report will be considered by the DSA strategy group and used to inform their next strategy (due in 2020). It will also be made publically available on SCC’s Joint Strategic Needs Assessment (JSNA) website, where it will be accessible for reference.

## Appendix 1 Needs Assessments

The ultimate aim of an NA is to improve the health of a population group and reduce inequalities. NAs are designed to collect and collate information that helps us to understand about the health and other needs of a particular group of people<sup>55</sup>. The group of people can be based on geographical area, such as people living within Southampton City limits, or can be focussed on a group of people with a characteristic in common in a defined area, such as military personnel in England or people who have diabetes and live in Hampshire.

The needs assessment process involves gathering information about the chosen group of people, gathering information about the services that already exist to support those people and identifying gaps in service provision or areas of unmet need<sup>56</sup>. This will include using surveillance data, finding comparator areas (if required) and discussion with key stakeholders. In this case, need can be defined as potential to benefit from an intervention<sup>55</sup>. Additionally a review of the evidence or other areas of good practice may help to identify potential interventions to address these gaps. The collated information is then used to create recommendations and an action plan, which hopes to address some of the unmet need identified in the NA.

There are three main approaches to NAs, comparative, epidemiological and corporate<sup>55</sup>. An epidemiological approach relies on collecting data that describes the population of interest, such as looking at the prevalence of a particular disease and confirming the age range of the population of interest. A comparative approach involves comparing your chosen area to another similar area, looking to see if your area has higher or lower levels of both need and service provision. Finally, a corporate approach involves seeking the views of stakeholders, to inform understanding of unmet need and shape any potential recommendations or actions suggested<sup>55</sup>. These stakeholders may include healthcare service providers, local community groups, charities, the public, a sample of the population of interest, social care providers and any other affiliated agencies. In many cases a NA will contain elements from all three approaches.

## Appendix 2 Stakeholder involvement and questionnaire

Table 2 Stakeholder groups contacted through NA process and whether responses were received.

Stakeholder group	Invited for individual discussion	Had individual discussion	Sent questionnaire	Responded to questionnaire
Commissioning	Yes	Yes	No (involved in questionnaire construction)	N/A
Children's services	Yes	Yes	Yes	No
Hampton trust	Yes	Yes	Yes	No
Yellow door	Yes	Yes	Yes	No
Aurora New Dawn	Yes	Yes	Yes	Yes
University Hospital Southampton	Yes	No	Yes	No
CCG	Yes	Yes	Yes	No
No Limits	Yes	Yes	Yes	Yes
Maternity services	Yes	Yes	Yes	No
Hampshire Police	Yes	No	Yes	No
Schools	Yes	No	No	N/A
Southampton Family Trust	No	No	Yes	Yes
Southampton voluntary services	No	N/A	Yes	Yes
Solent NHS trust	No	N/A	Yes	No
Refuge providers	No	N/A	Yes	No
Housing	No	N/A	Yes	No
IDVA service	Yes	Yes	Yes	Yes
Adult services	No	N/A	Yes	Yes

The questionnaire (see below) had a response rate of 37.5%.

**Stakeholder questionnaire: Preventing people from becoming perpetrators of domestic abuse in Southampton.**

The public health and data intelligence teams at Southampton city council are currently undertaking a needs assessment (NA) in Southampton, focussing on how to reduce perpetration of domestic abuse and how to prevent domestic abuse from occurring in the first place. For the purpose of this project, we are focusing solely on domestic abuse between intimate partners. This includes any mental, physical, emotional, economic or sexual abuse, as well as coercive and controlling behaviour.

In order to help us with this project we are asking key stakeholders like yourself to complete the following questionnaire. We are looking specifically for your experiences whilst working in Southampton, to help us understand more about this issue on a local level. Please focus your answers towards perpetrators (rather than victims) of domestic abuse. **Please do not include any confidential information in your answers**, we are looking for general comments only.

1. In your experience, are there any key life experiences that many people who commit domestic abuse seem to have undergone?
  
2. Are there any patterns of characteristics that many people who commit DA seem to share?
  
3. When thinking about preventing domestic abuse, what do you think would be the single most effect thing to reduce the number of under 12 year olds who grow up to commit acts of domestic abuse?
  
4. When thinking about preventing domestic abuse, what do you think would be the single most effect thing to reduce the number of 12-25 year olds who go on to commit any act of domestic abuse?
  
5. When thinking about preventing domestic abuse, what do you think would be the single most effect thing to reduce the number of those who are 25 or older who go onto commit any act of domestic abuse?



6. If you work directly with perpetrators then what barriers do you face in helping perpetrators to change their behaviour?
  
7. Have you come across any perspectives on domestic abuse that are barriers to changing the behaviour of those who are behaving abusively (such as cultural factors or religious beliefs)?
  
8. Does your organisation have any policies around what to do if someone is worried that their behaviour is abusive, (for example, a referral pathway into perpetrator services)?
  
9. With current funding, what changes would you make to improve our chances of preventing domestic abuse in the first place, or improving the impact that our services have in reducing domestic abuse (this could be anything, not necessarily something that your organisation could do)?
  
10. If funding were no object, what changes would you make to improve our chances of preventing domestic abuse in the first place, or improving the impact that our services have in reducing domestic abuse (this could be anything, not necessarily something that your organisation could do)?
  
11. Any other thoughts or comments?

Team/organisation .....

Email address for further discussion of comments (optional) .....

Thanks for your help, it is much appreciated.

## Appendix 3 Search strategy and detailed literature review methodology

The search strategy was developed using the PICO (population, intervention, control and outcome) framework<sup>57</sup> as displayed in Table 3.

Table 3 PICO framework for search strategy

Element of framework	Descriptor
Population	Adult perpetrators of domestic abuse in a relationship with an intimate partner and/or those likely to become perpetrators of domestic abuse
Intervention	Interventions aimed at preventing domestic abuse or preventing repeat domestic abuse
Control	Those not undertaking interventions/areas offering victim support services only
Outcome	reduced levels of domestic violence, reduced re-offending

Once the PICO framework was completed, the following search terms were selected and included in the search;

- Domestic violence
- Intimate partner violence
- Spouse abuse
- Battered women
- Domestic abuse
- Intervention
- Prevention
- Perpetrator programme

The search terms were then used to search several different databases. Once the searches had been completed the papers were screened by title and abstract and then full text, as depicted in Figure 25 and using the criteria displayed in Table 4.

Table 4 Literature inclusion and exclusion criteria

Inclusion	Exclusion
Intimate partner relationships between adults	Non- English language
Intervention to prevent IPV	Published prior to 2017
Any study type	Low income setting
Grey literature including key documents prior to 2017	Military setting/veterans only
Literature accessed and appraised for scrutiny process outside of search criteria	Bystander programmes
	Protocol/conference abstract only

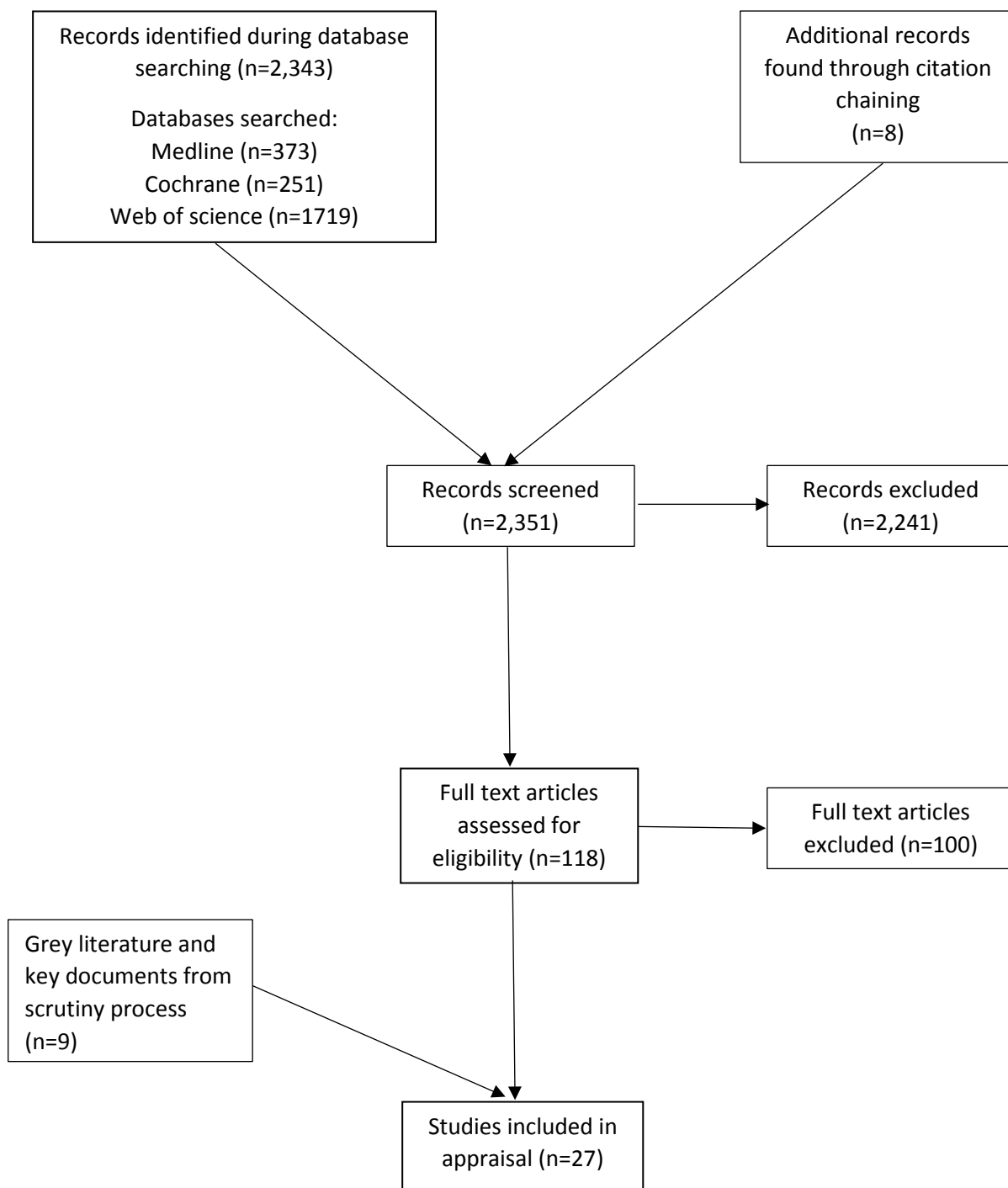


Figure 1 A flow diagram demonstrating literature searching and final paper selection for critical analysis, using preferred reporting items for systematic reviews and meta-analyses (PRISMA) format<sup>1</sup>.

PRISMA format available from Liberati A, Altman DG, Tetzlaff J, et al. The PRISMA Statement for Reporting Systematic Reviews and Meta-Analyses of Studies That Evaluate Health Care Interventions: Explanation and Elaboration. PLOS Medicine 2009;6(7):e1000100. <https://doi.org/10.1371/journal.pmed.1000100>. (accessed 09/07/2018).

## Appendix 4 Funding/commissioning of services available in Southampton city

<b>Organisation</b>	<b>Programme/service</b>	<b>Commissioned/funded by</b>
Maternity services	Ante/postnatal care	Clinical Commissioning Group (CCG)/ Integrated Commissioning Unit (ICU)
Southampton City Council Children's Services	Domestic Abuse Recovering Together Sure start special Children's centres Children's safeguarding line	SCC
Yellow door	Star project Other Yellow door projects	ICU/SCC/ additional fundraising
No Limits	Various	ICU
Southampton Family Trust	adapted FAB	Part funded by ICU
Refuge	Safe housing and support	One funded by SCC, one self-funded
Housing		SCC
The Domestic Abuse Prevention Partnership (DAPP)	Various, see Hampton trust, Aurora new dawn and baseline connections	ICU/SCC, Hampshire County Council (HCC) and the Office of the Police and Crime Commissioner (OPCC)
<i>Hampton Trust</i>	Various	ICU/SCC, HCC and OPCC
<i>Baseline connections</i>	Stabilisation of perps	HT on behalf of DAPP
<i>Aurora New Dawn</i>	Tracking and intervention	Part funded by OPCC and HT, on behalf of DAPP
CRC/ Probation	Building Better Relationships Help Creating Safer Relationships	Government funding to CRC
PIPPA	Phone line	SCC and part of ICU contract with Yellow Door
MASH	Referral point	SCC

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# Agenda Item 9

<b>DECISION-MAKER:</b>	CABINET		
	BANKING FACILITIES ARRANGEMENT & SET OFF AGREEMENT		
<b>DATE OF DECISION:</b>	17 SEPTEMBER 2019		
<b>REPORT OF:</b>	CABINET MEMBER FOR RESOURCES		
<b><u>CONTACT DETAILS</u></b>			
<b>AUTHOR:</b>	<b>Name:</b>	Maddy Modha	Tel: 023 8083 3574
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<b>S151 Officer</b>	<b>Name:</b>	John Harrison	Tel: 023 8083 4897
	<b>E-mail:</b>	<a href="mailto:john.harrison@southampton.gov.uk">john.harrison@southampton.gov.uk</a>	

<b>STATEMENT OF CONFIDENTIALITY</b>	
NOT APPLICABLE	
<b>BRIEF SUMMARY</b>	
<p>Each year our banking institution, Lloyds Bank plc, require the Council to agree its facility arrangements, to include a provision for overdraft, ability to use BACS and direct debits and use of online banking. There is also a set-off agreement which allows all of the Council's bank accounts to be viewed as one single client, protecting the Council's financial position.</p>	
<b>RECOMMENDATIONS:</b>	
<b>It is recommended that Cabinet:</b>	
(i)	Approve the Council entering into a facilities arrangement to include a set-off agreement with Lloyds Bank plc and delegate authority to the Service Director: Finance and Commercialisation to sign any documents required.
<b>REASONS FOR REPORT RECOMMENDATIONS</b>	
1.	Lloyds Bank PLC has seen a change in their processes in relation to the provision of Gross / Net overdraft facilities; and as such require to formally document the Bank's right of set off for these facilities, which will include having the documentation signed by the Council, and this right of set-off will be included within the security part of the facility documentation.
<b>ALTERNATIVE OPTIONS CONSIDERED AND REJECTED</b>	
2.	If SCC do not enter into this agreement there could be a potential that our day to day banking facilities will cease resulting in payments not being able to be made when required and should there be a need for an overdraft, although not used to date, there would be significant costs incurred.
<b>DETAIL (Including consultation carried out)</b>	
3.	The facilities arrangement with Lloyds Bank plc is signed every year by the S.151 Officer under delegated powers to enable the Council to undertake its day to day

	operations. This is the first year that Lloyds Bank plc has mandated that the arrangement is presented and approved by Cabinet.	
4.	Lloyds Bank plc has reviewed its contractual arrangements with its English local authority customers and is asking each local authority to permit the set-off or transfer of credit balances in accounts held with the bank in or towards the satisfaction of any liabilities.	
5.	The set-off agreement will protect the Councils financial position. Without it our credit balances could be at risk in the event of a financial institution collapse. The agreement allows the Council to offset credit and debit balances and to protect the Council's position current practise is to aim for a zero balance at the end of each day.	
<b><u>Capital/Revenue</u></b>		
6.	There are no capital implications to consider and any revenue costs incurred as part of the bank contract are already built within the MTFS. There is no additional revenue impact of this agreement.	
<b><u>Property/Other</u></b>		
7.	There are no property implications arising from this report.	
<b>LEGAL IMPLICATIONS</b>		
<b><u>Statutory power to undertake proposals in the report:</u></b>		
8.	S1 Localism Act 2011	
<b><u>Other Legal Implications:</u></b>		
9.	Financial reporting is consistent with the Chief Financial Officer's duty to ensure good financial administration within the Council. None directly, but in preparing this report, the Council has had regard to the Human Rights Act 1998, the Equality Act 2010, the duty to achieve best value and statutory guidance issued associated with that, and other associated legislation.	
<b>RISK MANAGEMENT IMPLICATIONS</b>		
10.	None.	
<b>POLICY FRAMEWORK IMPLICATIONS</b>		
11	None.	
<b>KEY DECISION?</b>		Yes/No
<b>WARDS/COMMUNITIES AFFECTED:</b>		NONE
<b><u>SUPPORTING DOCUMENTATION</u></b>		
<b>Appendices</b>		
1.	Set-off Agreement – Local Authorities	
<b>Documents In Members' Rooms</b>		
1.		
<b>Equality Impact Assessment</b>		
Do the implications/subject of the report require an Equality and Sa Impact Assessments (ESIA) to be carried out.		Yes/No

<b>Privacy Impact Assessment</b>	
Do the implications/subject of the report require a Privacy Impact Assessment (PIA) to be carried out.	Yes/No
<b>Other Background Documents</b> <b>Equality Impact Assessment and Other Background documents available for inspection at:</b>	
Title of Background Paper(s)	Relevant Paragraph of the Access to Information Procedure Rules / Schedule 12A allowing document to be Exempt/Confidential (if applicable)

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## SET-OFF AGREEMENT

(SOA – Eng Local authorities)

VF 3124072

## Set-Off Agreement

Local authorities

Lloyds Bank plc

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THIS SET-OFF AGREEMENT is made on the ..... day of ..... 20.....

**BETWEEN:**

- (1) **Southampton City Council** a local authority constituted under English law and having its principal offices at **Civic Centre, Southampton, SO14 7LY** (the "**Customer**"); and
- (2) **LLOYDS BANK plc** (Company number 2065) whose address for the purposes of this agreement is at **Mid Market Securities, 5th Floor, 110 St Vincent Street, Glasgow, G2 5ER** (or at such other address as the Bank may from time to time notify to the Customer in writing for this purpose) (the "**Bank**"),

in consideration of the Bank providing or continuing facilities, products or services or giving time or releasing any security or releasing any person from any obligation in respect of facilities, products or services to or at the request of the Customer, whether alone or jointly with any other person or persons.

**1. DEFINITIONS AND INTERPRETATION**

1.1 In this Agreement, so far as the context admits, the following words and expressions shall have the following meanings:

"**Accounts**" means all the present and future accounts of the Customer with the Bank and includes accounts in the Bank's name with any designation which includes the name of the Customer and "**Account**" means any one of them;

"**Credit Balance**" means any sum standing to the credit of an Account, whether in Sterling or any other currency or currency unit and the debt from time to time owing by the Bank represented by that sum and "**Credit Balances**" means all of them;

"**Liabilities**" means all money and liabilities whether actual or contingent (including further advances made hereafter by the Bank) now or at any time hereafter due, owing or incurred from or by the Customer to the Bank anywhere or for which the Customer may be or become liable to the Bank in any manner whatsoever without limitation (and (in any case) whether alone or jointly with any other person and in whatever style, name or form and whether as principal or surety and notwithstanding that the same may at any earlier time have been due, owing or incurred to some other person and have subsequently become due, owing or incurred to the Bank as a result of a transfer, assignment or other transaction or by operation of law) whether in Sterling or any other currency or currency unit and "**Liability**" means any one of them; and

"**Sterling**" means the legal currency for the time being of the United Kingdom.

1.2 In this Agreement:

- (a) the expression "**Bank**" and "**Customer**" where the context admits includes their respective successors in title and/or assigns whether immediate or derivative;
- (b) unless the context requires otherwise:
  - (i) the singular shall include the plural and vice versa;
  - (ii) any reference to a person shall include an individual, a company, corporation, limited liability partnership or other body corporate, a joint venture, society or unincorporated association, an organisation or body of persons (including a trust and a partnership) and any government, state, government or state agency or international organisation whether or not a legal entity. References to a person also include that persons successors and assigns whether immediate or derivative;

- (iii) the expression this Agreement shall mean this Set-Off Agreement and shall extend to every separate and independent stipulation contained herein;
  - (iv) any right, entitlement or power which may be exercised or any determination which may be made by the Bank under or in connection with this Agreement may be exercised or made in the absolute and unfettered discretion of the Bank and the Bank shall not be under any obligation to give reasons therefor;
  - (v) references to any statutory provisions (which for this purpose means any Act of Parliament, statutory instrument or regulation or European directive or regulation or other European legislation) shall be deemed to include a reference to any modification, re-enactment or replacement thereof for the time being in force, all regulations made thereunder from time to time and any analogous provision or rule under any applicable law; and
  - (vi) references to clauses, sub-clauses and schedules shall be references to clauses, sub-clauses and schedules of this Agreement; and
- (c) except where expressly otherwise stated or where the context requires otherwise, each of the provisions of this Agreement shall apply both before and after any demand for payment under this Agreement.

1.3 The clause headings and marginal notes shall be ignored in construing this Agreement.

## **2. BANK'S RIGHTS**

Without prejudice to any other provisions of this Agreement, the Customer agrees that in addition to any general lien, right of set-off, combination or consolidation or other rights to which the Bank as bankers may be entitled by law, the Bank may at any time and from time to time and with or without notice to the Customer:

- (a) combine or consolidate all or any of the Accounts with all or any of the Liabilities; and
- (b) set-off or transfer any Credit Balance in or towards satisfaction of any of the Liabilities.

## **3. FIXED TERM DEPOSITS**

The Bank may at any time and from time to time exercise any of the rights referred to in clause 2 with or without notice to the Customer notwithstanding any other term or condition applying to the Accounts and notwithstanding that any Credit Balance may have been placed with the Bank for fixed or determinable periods of time.

## **4. UNDERTAKINGS**

4.1 In the event of:

- (a) the Customer going into liquidation whether voluntary or compulsory;
- (b) a receiver being appointed of the whole or any part of the undertaking, property or assets of the Customer;
- (c) an application for the appointment of an administrator of the Customer being presented;

- (d) a voluntary arrangement being approved in relation to the Customer; or
- (e) a notice of appointment of or notice of intention to appoint an administrator is issued by or in respect of the Customer,

the Liabilities shall be deemed to have become presently due and payable without demand or further demand immediately before the making of the interim order or the presentation of the petition or application or the passing of the resolution for such winding up or administration or the issuing of the notice of appointment of or notice of intention to appoint such administrator or the appointment of such receiver or the approval of such voluntary arrangement.

4.2 The Customer agrees with the Bank that it shall not (without the prior written consent of the Bank) assign, mortgage, charge or otherwise confer upon any third party any right, title or interest in or to any Credit Balance, or agree to do any such thing, or allow any such third party right, title or interest to subsist (except in each case in favour of, or upon, the Bank).

4.3 Upon demand at any time and at its cost, the Customer shall take all steps and do all such things as the Bank may consider to be necessary or desirable to give effect to and procure the perfection of the rights intended to be granted by this Agreement.

4.4 The Customer undertakes to notify the Bank of the occurrence of any of the events specified in sub-clause 4.1.

#### **5. NO WITHDRAWALS**

Until all of the Liabilities have been fully discharged and satisfied, the Bank may at any time and from time to time (including, without limitation, after the expiry of any fixed or determinable period of time during which a Credit Balance has been placed with the Bank) refuse to permit any withdrawal of the whole or any part of a Credit Balance (whether by dishonouring cheques or otherwise).

#### **6. NO LIABILITY**

The Bank shall not be liable for any loss occasioned to the Customer by reason of the exercise of the Bank's powers under this Agreement including, without limitation, any loss of interest occasioned by any deposit being terminated without notice or before its maturity.

#### **7. CURRENCY CONVERSION**

If and to the extent that the Customer fails to pay on demand the amount due under this agreement in the currency or currency unit or currencies or currency units demanded, the Bank shall be entitled in its absolute discretion with or without notice to the Customer elect to convert the whole or any part of a Credit Balance into the currency or currencies of any Liability (deducting from the proceeds of the conversion any currency premium or other expense). The Bank may take any such action as may be necessary for this purpose, including without limitation opening additional Accounts. The rate of exchange shall be the Bank's spot rate for selling the currency of the Liability for the currency of such Credit Balance at or about 11.00 a.m. on the date the Bank exercises its right to combine or consolidate and/or to set-off or transfer.

**8. CONTINUING SECURITY**

This Agreement shall continue to bind the Customer as a continuing security notwithstanding that the Liabilities may from time to time be reduced to nil and notwithstanding any change in the name, style, constitution or otherwise of the Customer.

**9. CONCLUSIVE EVIDENCE**

A certificate by an official of the Bank as to the Liabilities shall (save for manifest error) be binding and conclusive on the Customer in any legal proceedings both in relation to the existence of the liability and as to the amount thereof.

**10. OTHER SECURITIES OR RIGHTS**

This Agreement is in addition to and is not to prejudice or be prejudiced by any other guarantee, lien, right of set-off, combination or consolidation or other rights exercisable by the Bank in connection with all or any of the Accounts or all or any of the Liabilities and is in addition to and is not to prejudice or be prejudiced by any security the Bank may now or hereafter hold.

**11. UNLAWFULNESS, PARTIAL INVALIDITY**

Each of the provisions in this Agreement are severable and distinct from one another and if at any time any one or more of such provisions is or becomes invalid, illegal or unenforceable, the validity, legality and enforceability of the remaining provisions hereof shall not in any way be affected or impaired thereby.

**12. NON-MERGER, ETC.**

Nothing herein contained shall operate so as to merge or otherwise prejudice or affect any bill, note, guarantee, mortgage or other security or any contractual or other right which the Bank may at any time have for any of the Liabilities or any right or remedy of the Bank thereunder. Any receipt, release or discharge of the security provided by, or of any liability arising under, this Agreement shall not release or discharge the Customer from any liability to the Bank which may exist independently of this Agreement.

**13. RESTRICTION ON LIABILITY OF THE BANK**

Except to the extent that any such exclusion is prohibited or rendered invalid by law, neither the Bank nor its employees and agents shall:

- (a) be under any duty of care or other obligation of whatsoever description to the Bank in relation to or in connection with the exercise of any right conferred upon the Bank; or
- (b) be under any liability to the Customer as a result of, or in consequence of, the exercise, or attempted or purported exercise, or failure to exercise, any of the Bank's rights under this Agreement.

**14. NO RELIANCE ON THE BANK**

- (a) The Customer acknowledges to and agrees with the Bank that, in entering into this Agreement:
  - (i) the Customer has not relied on any oral or written statement, representation, advice, opinion or information made or given to it in good faith by the Bank

or anybody on the Bank's behalf and the Bank shall have no liability to the Customer if it has in fact so done;

- (ii) the Customer has made, independently of the Bank, its own assessment of the viability and profitability of any purchase, project or purpose for which the Customer has incurred the Liabilities and the Bank shall have no liability to the Customer if it has not in fact so done; and
  - (iii) there are no arrangements collateral or relating to this Agreement which have not been recorded in writing and signed on behalf of the Bank and the Customer.
- (b) The Customer agrees with the Bank that the Bank did not have prior to the date of this Agreement, does not have and shall not have any duty to it:
- (i) in respect of the application by the Customer of the money hereby secured; or
  - (ii) in respect of the effectiveness, appropriateness or adequacy of the security constituted by this Agreement or of any other security for the Liabilities.
- (c) The Customer agrees with the Bank for itself and as trustee for the Bank's officials, employees and agents that neither the Bank nor its officials, employees or agents shall have any liability to the Customer in respect of any act or omission by the Bank, its officials, employees or agents done or made in good faith.

## 15. MISCELLANEOUS

- 15.1 Any amendment of or supplement to any part of this Agreement shall only be effective and binding on the Bank and the Customer if made in writing and signed by both the Bank and the Customer. References to this Agreement include each such amendment and supplement.
- 15.2 The Customer and the Bank shall from time to time amend the provisions of this Agreement if the Bank notifies the Customer that any amendments are required to ensure that this Agreement reflects the market practice at the relevant time following the introduction of economic and monetary union and/or the euro in all or any part of the European Union.
- 15.3 The Customer and the Bank agree that the occurrence or non-occurrence of European economic and monetary union, any event or events associated with European economic and monetary union and/or the introduction of any new currency in all or any part of the European Union shall not result in the discharge, cancellation, rescission or termination in whole or in part of this Agreement or give any party hereto the right to cancel, rescind, terminate or vary this Agreement in whole or in part.
- 15.4 Any waiver, consent, receipt, settlement or release given by the Bank in relation to this Agreement shall only be effective if given in writing and then only for the purpose for and upon any terms on which it is given.
- 15.5 Any change in the constitution of the Bank or the Bank's absorption of or amalgamation with any other person shall not in any way prejudice or affect its or their rights under this Agreement and the expression "the Bank" shall include any such other person.
- 15.6 This document shall at all times be the property of the Bank.
- 15.7 Without prejudice to clause 15.6, the Customer may disclose the content of this Agreement in compliance with the Freedom of Information Act 2000 (FOIA) and/or the Environmental

Information Regulations 2004 (EIRs) or as a consequence of order by any court, tribunal or body with authority to order disclosure (including the Information Commissioner). If the Customer receives a request under Section 1 of FOIA (or, if applicable, a request under the EIRs) relating to this Agreement, the Customer may seek the consent of the Bank to release some or all of the information in response to the said request and shall do so if the Customer is minded to disclose such items, whether in terms of the public interest or otherwise. If the Bank fails to respond to such a request for consent within seven days of the request being made, it shall be deemed to have consented to the release of information as requested by the Customer. In all cases the Customer may, without the consent of the Bank, disclose the content of this Agreement if the Customer (acting reasonably) is satisfied that it is in the public interest for it to do so. In reaching this conclusion the Customer shall take into account any representations made in connection with this by the Bank but the decisions of the Customer as to what constitutes the public interest shall be final and conclusive in any dispute, difference or question arising in respect thereof.

## **16. LAW AND JURISDICTION**

- 16.1 This Agreement and any dispute (whether contractual or non-contractual, including, without limitation, claims in tort, for breach of statutory duty or on any other basis) arising out of or in connection with it or its subject matter ("**Dispute**") shall be governed by and construed in accordance with the laws of England and Wales.
- 16.2 The parties to this Agreement irrevocably agree, for the sole benefit of the Bank, that, subject as provided below, the courts of England and Wales shall have exclusive jurisdiction over any Dispute. Nothing in this clause shall limit the right of the Bank to take proceedings against the Customer in any other court of competent jurisdiction, nor shall the taking of proceedings in any one or more jurisdictions preclude the taking of proceedings in any other jurisdictions, whether concurrently or not, to the extent permitted by the law of such other jurisdiction.

**IN WITNESS** whereof the Customer has executed this Agreement as a deed and has delivered it on its being dated.

**The COMMON SEAL of  
SOUTHAMPTON CITY COUNCIL  
was hereunto affixed in the presence of:**

<b>DECISION-MAKER:</b>	<b>CABINET</b>		
<b>SUBJECT:</b>	<b>ALLOCATIONS POLICY AND GYPSY &amp; TRAVELLERS SITE ALLOCATION POLICY</b>		
<b>DATE OF DECISION:</b>	<b>17 SEPTEMBER 2019</b>		
<b>REPORT OF:</b>	<b>CABINET MEMBER FOR HOMES AND CULTURE</b>		
<b><u>CONTACT DETAILS</u></b>			
<b>AUTHOR:</b>	<b>Name:</b>	<b>Nick Bryant, Allocations Manager</b>	<b>Tel:</b> 023 8083 3447
		<b>Matthew Luik, District Housing Manager</b>	023 8091 5001
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<b>Director</b>	<b>Name:</b>	<b>Paul Juan, Service Director: Adults, Housing and Communities</b>	<b>Tel:</b> 023 8083 2530
	<b>E-mail:</b>	<a href="mailto:Paul.juan@southampton.gov.uk">Paul.juan@southampton.gov.uk</a>	

<b>STATEMENT OF CONFIDENTIALITY</b>
None
<b>BRIEF SUMMARY</b>
<p>The Allocations Policy and Gypsy &amp; Travellers Site Allocation Policy are linked policies, both of which require updating to reflect latest legislation and local processes. The Allocations Policy represents an overarching policy, with the Gypsy &amp; Travellers Site Allocation Policy as a linked policy which sets out specific processes and considerations for individuals applying for a pitch at the Kanes Hill Caravan Site.</p>
<p>The Allocations Policy sets out Southampton City Council’s approach to allocating social housing in Southampton pursuant to Section 166A of the Housing Act 1996. It sets out how the council determines priorities and the procedure for allocating housing accommodation in Southampton.</p>
<p>There is a huge demand for social rented homes in Southampton. The purpose of the Allocations Policy is to define a consistent framework, which can be used to allocate the limited number of vacancies that are available. The council aims to:</p> <ul style="list-style-type: none"> <li>• provide affordable housing, for local residents, in housing need;</li> <li>• ensure homes are allocated fairly and efficiently, taking into account the applicant’s individual needs;</li> <li>• make best use of all the available social housing homes; and</li> <li>• give people the opportunity to express preferences about housing accommodation to be allocated to them.</li> </ul>
<p>The Allocations Policy will allow the council to continue to allocate the city’s social housing stock on a fair and consistent basis, and ensure it is used to its best effect. Meeting the greatest possible degree of housing demand whilst having regard for the needs of individual households, enhancing community stability and recognising the difficulties parts of our community face.</p>

The Gypsy and Travellers Site Allocation Policy sets out the council's approach to allocating pitches at the Kanes Hill site, located in Botley Road, Thornhill. It sets out how the council determines priorities and the procedure for allocating pitches.

The development of this policy will allow the council to clarify its position on how it intends to allocate pitches at Kanes Hill and will reflect the latest position in terms of regulation and processes.

**RECOMMENDATIONS:**

	(i)	To consider and approve the Allocations Policy
	(ii)	To consider and approve the Gypsy & Travellers Site Allocation Policy.
	(iii)	Subject to recommendations (i) and (ii) being agreed, to delegate authority to the relevant Service Director to, following consultation with the relevant Cabinet Member, make minor technical amendments to the policy in line with any legislative changes or for the purpose of clarification.
	(iv)	Subject to recommendations (i) and (ii) being agreed, to delegate authority to the relevant Service Director to, following consultation with the relevant Cabinet Member, update the points systems in either policy to respond to local demand.

**REASONS FOR REPORT RECOMMENDATIONS**

1.	The Allocations Policy has not been reviewed since 2016 and, therefore, does not reflect the council's latest position in terms of regulation and processes. The updated policy does not represent any fundamental changes to the policy or service, but instead clarifies what the council is already doing and brings together a number of incremental changes brought forward through delegated powers. The policy has also been updated to reflect the latest legislation in terms of the allocation of social housing.
2.	The Gypsy & Travellers Site Allocation Policy does not represent any significant change service and has been brought in line with processes and legislation. This will allow the council to continue to allocate pitches at Kanes Hill and ensure they are allocated fairly and proportionately.

**ALTERNATIVE OPTIONS CONSIDERED AND REJECTED**

3.	An alternative option is to not review and update the two policies. This option is not recommended as it could put the council at risk of legal challenge, as current policies do not accurately reflect processes or latest legislation.
4.	An alternative considered and rejected was to add a section to the general Allocations Policy which would address allocation for travellers at Kanes Hill, with a procedure for staff. This is different to what is being proposed, which is two completely separate policies, one for general allocations and another for the allocation of pitches at Kanes Hill. The differences are substantial enough to warrant their own policies. Namely, to be eligible for a plot at Kanes Hill a person must be: <ul style="list-style-type: none"> <li>From a gypsy / traveller background (not a stipulation in the general policy)</li> </ul>



	<ul style="list-style-type: none"> <li>• There is no residential condition applied to travellers requesting pitches at Kanes Hill. This differs from the main Allocation Policy requirement of 3 years residence within the Southampton boundary</li> <li>• Specific consideration given to additional relevant legislation relating to Gypsies &amp; Travellers</li> <li>• Assessment of applications is managed by the Thornhill Housing Office not the Allocations Service</li> <li>• There is a separate application form.</li> </ul>
<b>DETAIL (Including consultation carried out)</b>	
<b>Allocation Policy</b>	
5.	As the largest social landlord in Southampton, the council has a responsibility to ensure that housing stock is fully utilised and allocated fairly and proportionately so that homelessness is avoided wherever possible. Furthermore, the council is also expected to maximise the opportunity for Southampton residents to access housing suitable for their needs. The council recognises that there is far more demand for social housing than current supply can meet and that social housing providers in the city will look to a range of housing options in response to this.
6.	Officers have reviewed the council's allocation policies (including the overarching Allocations Policy and linked Gypsy and Traveller Allocations Policy) to ensure that they are up-to-date and reflect the latest position in terms of legislation and regulation as well as current processes. This review also provided opportunity to align the Gypsy and Travellers Site Allocation Policy with the overarching Allocations Policy, ensuring that either were mutually discriminatory or exclusive in terms of how housing or pitches are allocated.
<b>Changes to the Allocations Policy</b>	
7.	The Allocations Policy has been updated to reflect the council's current position and legislation, following a series of incremental changes under delegated powers. The latest version of the policy therefore bring together these incremental and technical changes into a single document for Cabinet consideration.
8.	<p>Clarifications and amendments from previous published version include:</p> <ul style="list-style-type: none"> <li>• Clarification of council aims and reference to our public sector duty and human rights added.</li> <li>• Legal scope has been widened in the new policy to include the Housing and Planning Act 2016, the Homelessness Reduction Act 2017 and the Homes (fit for habitation) Act 2018. Also, reference has been made to additional guidance relied on to develop this policy.</li> <li>• Preventing fraud section has been expanded so there is more information regarding the council's discretion to enforce these policies where it believes fraud has taken place.</li> <li>• Slight change from 'Annual Lettings Plan' to just 'Lettings Plan' as this is updated as and when required and does not need annual updates.</li> <li>• Scope has been expanded and makes reference to Gypsy &amp; Travellers, explaining that this is dealt with under the Gypsy &amp; Traveller Site Allocation Policy.</li> </ul>

	<ul style="list-style-type: none"> <li>• Included the regulation 3 of the allocation of housing and homelessness regulations 2006. Added also is a section regarding the relationship between the EU and UK following Brexit.</li> <li>• More detail has been added to the section on qualifying applicants.</li> <li>• Definition of housing need added and more general information for how points are awarded for housing need (Fitness for Human Habitation Act included).</li> <li>• Change to the number of points awarded to homelessness from 5 to 30.</li> <li>• New criteria added for applicants who meet the homelessness prevention or relief duty.</li> <li>• Bullet point included stating all members of the household must live together to be included on the application for rehousing.</li> <li>• Added sentence extending this provision to applicants detained under the mental health act.</li> <li>• Brought in line with GDPR and data legislation.</li> <li>• Removed any mention of exclusion as we are not allowed to exclude people.</li> <li>• The position on Children’s Services identifying families and young people who may benefit from alternative accommodation has been clarified.</li> <li>• A new section has been included in the 2019 policy outlining the council’s position on direct lets for adapted properties.</li> <li>• A further additional section has been added to the updated policy with regards to urgent adapted lets.</li> <li>• An appendix included in the new policy to convey what defined unsatisfactory housing categories are, including the Homes (Fitness for Human Habitation Act 2018).</li> </ul>
9.	Updating this policy will allow the council to clarify its position on how it intends to allocate social housing in Southampton and will reflect the latest position in terms of regulation and processes. This policy does not represent any significant changes to service, but will outline what the council is already doing.
10.	The policy has been drafted with input from Legal Services, the Policy Team, Housing Management, and Housing Allocations and consideration has been given to the Allocation policies of other authorities. This policy will be reviewed when legislative changes come into force that effect the council’s responsibilities with regards allocation of social housing.
<b>Gypsy &amp; Travellers Site Allocation Policy</b>	
11.	The council has one Gypsy and Traveller site which is located in Kanes Hill, Botley Road, Southampton, comprising of 14 pitches. In order to ensure that pitches at Kanes Hill are used to their best effect and maximise opportunities for gypsies and travellers who wish to reside there, the council should have a policy which defines a consistent framework, which can be used to allocate the limited number of vacancies that are available.
12.	At present, the approach currently being used is outlined in a procedure document from 2003. A decision was taken to review the document due to changes in legislation since that date e.g. the Equality Act 2010, and ensure it reflected the council’s latest position in terms of regulations and process and

	ensure that both the Allocations Policy and Gypsy & Travellers Procedure were aligned and not unlawfully discriminatory or exclusive. It was agreed to develop a Gypsy & Traveller Site Allocation Policy and a best practice guidance document for staff, rather than just a detailed procedure so the council is clear about how it will allocate pitches at Kanesh Hill.
<b>Changes to the Gypsy &amp; Travellers Site Allocation Policy</b>	
13.	This policy is linked to the general Allocations Policy and has been updated to reflect the council's current position and legislation. Amendments from previous versions of policies and procedures include: <ul style="list-style-type: none"> <li>• Removal of terminology regarding the exclusion of applicants and instead referring to the fact that applicants need to be "eligible" but also "qualify" through meeting the council policy requirements.</li> <li>• A move away from the more general way that the policy document assessed the needs of applicants. The new policy assesses applicants on a points based system, reflecting the general Allocations Policy but specific to gypsy / traveller circumstances.</li> <li>• The addition of relevant legislation.</li> <li>• The creation of a revised gypsy traveller application form.</li> </ul>
14.	The council acknowledges that the right to choose to lead a nomadic existence is in law and that it is not the role of a local authority to endorse, disrupt or discourage this lifestyle. The policy has been drafted with input from Legal Services, the Policy Team, Housing Management, Housing Allocations, and consideration has been given to the Allocation policies of other authorities.
<b>RESOURCE IMPLICATIONS</b>	
<b><u>Capital/Revenue</u></b>	
15.	There is no fundamental change to the approach or service, as such, the proposed change in policy is not expected to have an adverse financial impact.
<b><u>Property/Other</u></b>	
16.	None
<b>LEGAL IMPLICATIONS</b>	
<b><u>Statutory power to undertake proposals in the report:</u></b>	
17.	The council have a statutory duty to have an allocation scheme for allocating housing accommodation pursuant to Part 6 Section 166A of the Housing Act 1996 (as amended). The Allocation discretion was extended by the Localism Act 2011.
18.	Planning Policy for Traveller Sites (PPTS) August 2015, paragraph 3 confirms that the Government's overarching aim is to ensure fair and equal treatment for travellers, in a way that facilitates the traditional and nomadic way of life of travellers while respecting the interests of the settled community.
<b><u>Other Legal Implications:</u></b>	
19.	Local authorities have the power to provide Gypsy and Traveller sites but are under no duty to do so. Government guidance under the Planning Policy for Traveller Sites (PPTS) August 2015 advises that local planning authorities

	should ensure that sites are sustainable economically, socially and environmentally.
20.	Section 8 of the Housing Act 1985 requires local authorities to assess the housing needs of their district. Local authorities are required to include policies to address the needs of Gypsies and Travellers in their local development documents Local authorities are required to assess the need for accommodation of Gypsies and Travellers when undertaking a review of housing needs in their district pursuant to Section 225 Housing Act 2004 (HA 2004).
21.	In March 2016 the Department for Communities and Local Government issued draft guidance to local housing authorities on the periodical review of housing needs Caravans and Houseboats.
22.	The Housing (Assessment of Accommodation Needs) (Meaning of Gypsies and Travellers) (England) Regulations 2006 sets out the meaning of Gypsies and travellers for the purposes of Section 225 Ha 2004.
23.	A local authority's policy for the allocation of pitches must comply with the requirements of Part 6 of the Housing Act 1996.
24.	The Mobile Homes Act 1983 (as amended by the Housing and Regeneration Act 2008) imposes duties on Local Authorities to give each occupier a written statement on the pitch agreement. The agreement would also include implied terms set out in Schedule 1 of the 1983 Act. The implied terms include improved protection against eviction.
25.	The Council must have due regard to the Public Sector Equality Duty under the Equality Act 2010 when carrying out any functions including developing any policies that may have any effect on any protected persons, in particular the duty to eliminate discrimination, harassment and victimisation and advance equality of opportunity and fostering good relations. Local Authorities also have a duty under the Human Rights Act 1998, when carrying out any function, not to act incompatibly with rights under the European Convention for the Protection of Fundamental Rights and Freedoms.
<b>RISK MANAGEMENT IMPLICATIONS</b>	
26.	If the council does not adopt these policies, and outline a consistent framework for how it intends to allocate social housing and pitches to its residents then that could leave the council open to legal challenge over future decisions in respects of allocation.
<b>POLICY FRAMEWORK IMPLICATIONS</b>	
27.	The Allocation Policy and Gypsy & Travellers Site Allocation Policy supports Southampton City Council's Strategy (2016-2020) outcomes: <ul style="list-style-type: none"> <li>• People in Southampton live safe, health, independent lives</li> <li>• Southampton is a modern, attractive city where people are proud to live and work</li> </ul>

<b>KEY DECISION?</b>	<b>No</b>
<b>WARDS/COMMUNITIES AFFECTED:</b>	ALL
<u>SUPPORTING DOCUMENTATION</u>	

<b>Appendices</b>	
1.	Allocations Policy
2.	Gypsy & Travellers Site Allocation Policy
<b>Documents In Members' Rooms</b>	
1.	ESIA - Allocations Policy
2.	ESIA - Gypsy & Travellers Site Allocation Policy
<b>Equality Impact Assessment</b>	
Do the implications/subject of the report require an Equality and Safety Impact Assessment (ESIA) to be carried out.	
<b>Yes</b>	
<b>Data Protection Impact Assessment</b>	
Do the implications/subject of the report require a Data Protection Impact Assessment (DPIA) to be carried out.	
<b>No</b>	
<b>Other Background Documents</b>	
<b>Other Background documents available for inspection at:</b>	
<b>Title of Background Paper(s)</b>	<b>Relevant Paragraph of the Access to Information Procedure Rules / Schedule 12A allowing document to be Exempt/Confidential (if applicable)</b>
1.	
2.	

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# Southampton City Council Housing Allocations Policy



# Southampton City Council Housing Allocations Policy



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<b>Version</b>	1	<b>Approved by</b>	Cabinet
<b>Date last amended</b>	22/08/2020	<b>Approval date</b>	Click here to enter a date.
<b>Lead officer</b>	Paul Juan, Service Director – Adults, Housing and Communities	<b>Review date</b>	Click here to enter a date.
<b>Contact</b>	Paul.juan@southampton.gov.uk	<b>Effective date</b>	Click here to enter a date.

## Purpose

1. This policy sets out Southampton City Council's (the council) approach to allocating social housing homes in Southampton pursuant to Section 166A of the Housing Act 1996. It sets out how the council determines priorities and the procedure for allocating housing accommodation in Southampton. The policy takes account of relevant legislation, Government guidance and relevant council strategies and policies. The policy will be reviewed regularly to reflect any Government or local policy changes.
2. There is a huge demand for affordable rented homes in Southampton. The purpose of the Allocations Policy is to define a consistent framework, which can be used to allocate the limited number of vacancies that are available. It should be noted that, even where applicants are accepted onto the Housing Register, there is no guarantee that an offer of accommodation will be made.
3. The council aims to:
  - provide affordable housing, for local residents, in housing need;
  - ensure homes are allocated fairly and efficiently, taking into account the applicant's individual needs;
  - make best use of all the available social housing homes; and
  - give people the opportunity to express preferences about housing accommodation to be allocated to them.
4. Throughout this policy, the council has had due regard to its Public Sector Equality Duty (PSED) and with the Human Rights Act 1998. The purpose of this policy is to ensure a fair and consistent approach to housing allocations. However, Southampton City Council recognises that individual circumstances, needs and characteristics will impact and individuals' housing circumstances, and therefore each household will be considered individually and the council retains the right to make exceptions to the provisions of this policy on a case by case basis.

## Scope

5. Part 6 of the Housing Act 1996, as amended, requires the council to make housing allocations and nominations in accordance with an Allocations Policy. The council allocates housing accommodation when it:
  - selects a person to be a secure or introductory tenant of accommodation held by the authority or another organisation;
  - nominate a person to be a secure or introductory tenant of housing accommodation held by them;
  - nominates a person to be an assured tenant of accommodation held by a private registered provider;
  - the policy applies to social housing tenants living in Southampton who need to transfer to alternative socially rented accommodation within the city.

6. This policy does not include lettings of temporary accommodation, changes to existing tenancies, mutual exchanges, applications in respect of homelessness or lets of caravan pitches to gypsies and travellers. Information is provided on the council website, setting out the arrangements for applying for assistance for people who are homeless.
7. This policy does not apply to allocating pitches at the Kanes Hill Caravan site. Please refer to the Gypsy & Travellers Site Allocation Policy for details.

## Legislative Context

8. In drawing up this policy the relevant legislation and codes of guidance have been considered, in particular:
  - The 1996 Housing Act (Part VI) as amended by the Localism Act 2011 requires the council to have an Allocations Policy for determining priorities and for defining the procedures to be followed in allocating social housing.
  - The Housing Act 1996, as amended by the Homelessness Act 2002 and the Housing Act 2004, require that the council ensures that priority for social housing goes to those in greatest need. This includes homeless people, those who need to move on welfare, hardship or medical grounds, or people living in unsatisfactory housing ('reasonable preference' categories).
  - The Allocation of Housing (qualification criteria for Armed Forces Personnel) (England) Regulations 2012 and supplementary statutory guidance December 2013. The policy must give additional preference to serving or former members of the Armed forces (who meet the specified criteria) who have an urgent housing need. In some cases family members are included.
  - Allocation of Housing and Homelessness (eligibility) (England) Regulations 2006 (as amended) sets out which classes of persons from abroad are eligible or ineligible for allocation of accommodation.
  - Regulations made by the Secretary of State sets out person who may be eligible despite being a person from abroad subject to immigration control.
  - Localism Act 2011(as amended) enable councils to determine which applicants do or do not qualify for social housing, to reflect local circumstances.
  - Allocation of housing (Qualification Criteria for Right to Move) (England) Regulations 2015/967, and takes into account the Allocation of Accommodation; Guidance for Councils, issued in June 2012, updated guidance December 2013 and Right to Move statutory guidance issued in March 2015.
  - The Housing and Planning Act 2016.
  - The Homelessness Reduction Act 2017.

### Working with other social housing providers in the city

9. The Allocations Policy also applies to the allocation of properties by the council on behalf of other social housing providers (Housing Associations, also known as Registered Providers) in the city. The council uses a combined waiting list called the Housing Register.
10. The council and other local providers use a joint waiting list. Applicants to the Housing Register will be considered for housing owned by the council and also other social housing providers.

Details of the landlord and tenancy type available will be made clear at the time of advertising and sign-up so that applicants can exercise choice in this matter.

11. The law relating to the council and other social housing providers varies slightly so, on occasion, there may be some additions or variations to the main policy where specific landlords are concerned. Where this is the case the council will do its best to alert applicants to this at the bidding stage.

## Definitions

12. The council identify applications in the following ways:

- 'R' – applicants who need **rehousing**
- 'T' – applicants who need to **transfer** from their current council property
- 'H' – applicants who are **homeseekers** due to being homeless or at risk of homelessness

### Lettings Plan

13. To assist the council in making best use of resources and meeting statutory requirements, a lettings plan is compiled and published on the council's website. This identifies the different categories of applicants the council are required to assist and sets out how it intends to do this. It will identify the proportion of vacancies likely to be made available to each of the categories of applicants identified in the Allocation Policy.

14. The Lettings Plan is updated as and when it is required to reflect changes in local priorities.

## Policy Detail

### Eligibility and qualifying for the Housing Register

15. In order to join the Housing Register applicants must be both eligible and qualifying and meet the requirements for either "reasonable" or "additional" preference as laid out in the Housing Act 1996 as amended by the Localism Act 2011.

### Eligible/ ineligible applicants

16. An applicant may be ineligible for an allocation of accommodation under S160ZA (2) or (4) of the Housing Act 1996. Provisions on eligibility of persons from abroad are set by Central Government. There are 2 categories of people from abroad who may be ineligible:

- (i) A person from abroad who is subject to immigration control.
- (ii) Two or more persons jointly if any of them is a person subject to immigration control.

17. Regulation 3 of the *Allocation of Housing and Homelessness (Eligibility) (England) Regulations 2006*, as amended, sets out classes of persons who are subject to immigration control, who are eligible for an allocation of housing accommodation under Part 6 of the Housing Act 1996.

18. Currently, European Economic Area (EEA) nationals working, or who have acquired a permanent right of residence, may be eligible for allocation of accommodation. This is likely to change once the UK relationship with the EU is established and this policy may be amended to take into account these changes.

#### Qualifying applicants

19. In addition to being “eligible”, applicants must also “qualify” through meeting the council policy requirements. The council requires that applicants are:

- 18 years of age or older, and;
- Not owners of residential property in the UK or abroad;
- Living within the Southampton City Council boundary and have been doing so continuously for at least three years prior to and throughout the time of application and waiting (subject to the council having due regard to its public sector equality duty and human rights considerations);
- In housing need; and
- Able to manage a tenancy and suitable to be a tenant (see below).

#### Unsuitability to be a tenant

20. You may not qualify for the Housing Register if the council considers you are unable to properly manage a tenancy. This may be because you need a more supported environment than the council can provide, by way of an introductory or secure tenancy, or you or a member of your family are considered to be unsuitable to be a tenant. In making this, and any other decision, the council will take into account all of the relevant factors and make a decision on a case by case basis.

21. The council may reach the view that you are unsuitable to be a tenant through considering factors such as your previous management of a tenancy, housing debts owed or a history of non-payment of rent, a history of arrestable offences committed in the vicinity of your current or previous home or involvement in anti-social behaviour. In making this decision the council can offer advice and steps to improve your chances of becoming a tenant in the future.

22. In determining suitability, the council will take account of the applicant’s level of housing need balanced with the type of and/ or seriousness of the behaviour which may make them unsuitable to be a tenant. This includes any changes in circumstances or behavior since the relevant events occurred together with consideration as to how likely the issues identified are likely to recur.

#### Housing need

23. There is no statutory definition of ‘housing need’. The point’s scheme from section 37 of this policy sets out the categories of people who the council must ensure receive reasonable preference. Applicants who do not fall into a reasonable preference category will be considered to have no housing need.

24. Applicants must remain in housing need throughout the time spent waiting on the Housing Register. They must notify the council within one month of any changes in their address or circumstances.

25. The council uses a points scheme' to prioritise applicants on the Housing Register. The scheme awards points to reflect applicants' circumstances and the degree and/or urgency of applicants' housing need. In addition, applicants will be awarded one point per month waiting time.

#### How the council makes decisions

26. The council makes decisions about housing applications by considering four key questions whenever an application for housing is received:

- a. Is the applicant "eligible" because they meet statutory criteria?
- b. Does the applicant "qualify" under the councils Allocations Policy?
- c. What size and type of property (mostly based on number of bedrooms, but can include other factors such as property condition and facilities) does the applicant need?
- d. What degree of priority is required relative to other applicants?

#### Type of property required

27. The council has to make best use of the resources available in order to be able to house the maximum number of people from the Housing Register. This means that the council have rules about the type of property that applicants can apply for. In deciding on the type of property, and degree of priority required, the council has to consider the type of housing available and the high demand for that housing, for example, there are far more flats than houses and larger homes are scarce.

28. The council classify properties according to a number of different factors. These are:

- The number of bedrooms;
- The type of access inside and outside the property (e.g. steps, stairs, lift, level access);
- Adaptations which have been carried out in order to meet particular needs;
- Whether pets can be permitted;
- Age requirements (if any) of the block or scheme; and
- The provision of support services.

29. If you are accepted onto the Housing Register the council will assess your needs to decide what sort of property you can apply for. The council will tell you what this is once the assessment has been completed and you will be able to bid for this sort of property only.

30. The council does not make any distinction between houses and flats when deciding what type and size of property applicants are eligible for. However, houses can satisfy a greater range of needs than flats so the council have to make best use of them. Therefore, houses will usually be allocated and given priority to particular types of applicants such as families with children or those giving up a larger socially rented home.

#### Size of property required

31. The council have to make best use of the housing stock available, and so expect some people in a household to share a bedroom. The council's rules generally match those in the housing benefit regulations.

32. The council consider the following people may need a bedroom of their own:
- Someone with an assessed medical need for their own bedroom;
  - Couples;
  - Single parents.
33. The council expect the following people to share a bedroom:
- Two children of the same sex (includes step and half siblings, cousins et cetera, age is not relevant);
  - Two children of different sex aged under 10 (including step and half siblings, cousins etc.).
34. Here are some examples of how these rules apply:
- Single parent and 1 child (unless the child is under the age of 12 months) – this family need a two-bedroom property;
  - Couple and two daughters aged 2 and 14 – this family need a two-bedroom property;
  - Couple and four daughters aged 3, 8, 12 and 14 – this family need a three – bedroom property;
  - Single parent with two sons aged 4 and 12 and three daughters aged 14, 16 and 22 – this family need a four-bedroom property.
35. Households without any other qualifying factors and who have the ‘correct’ number of bedrooms will be treated as adequately housed, so will not qualify to join the Housing Register.
36. However, applicants living in a social housing property, which is too large for them, will be treated as if they have reasonable preference and will be permitted to join the Housing Register in order to wait for a property of the appropriate size (this includes allowing downsizers to bid for properties with one-bedroom more than they need). This enables the council to meet the needs of more applicants overall through releasing the larger, under-occupied property, so households in this situation are treated as an exception to the general rule.

#### Points Scheme

37. In framing this policy, the council has had regard to the Communities and Local Government Allocation of Accommodation: Guidance for Local Housing Authorities in England document published in 2012, as amended. This sets out the requirements in respect of reasonable preference and additional preference as follows:
38. “In framing their allocation scheme to determine allocation priorities, housing authorities must ensure that reasonable preference is given to the following categories of people (s.166A (3))”:
- (a) People who are homeless within the meaning of part seven of the Housing Act 1996 (including those who are intentionally homeless and not in priority need);
  - (b) People who are owed a duty by any housing authority under section 190(2), 193(2) or 195(2) of the Housing Act 1996 (or under section 65 (two) or 68 (two) of the Housing Act 1985) or who are occupying accommodation secured by any housing authority under s.192(3);
  - (c) People occupying insanitary or overcrowded housing or otherwise living in unsatisfactory housing conditions;
  - (d) People who need to move on medical or welfare grounds, including grounds relating to

- a disability; and
- (e) People who need to move to a particular locality in the district of the housing authority, where failure to meet that need would cause hardship (to themselves or others).

39. In addition, the council is required to consider giving additional preference to:

- Those who need to move urgently because of a life-threatening illness or sudden disability;
- Families in severe overcrowding which poses a serious health hazard; and
- Those who are homeless and require urgent re-housing as a result of violence or threats of violence, including intimidated witnesses, and those escaping serious antisocial behaviour or domestic violence.

40. The council manages priority between applicants by using a points scheme. The council award most points to applicants who meet the various criteria listed in the legislation meaning applicants in the worst housing conditions will receive more points than other applicants.

41. The council also recognises the amount of time that people have waited for an offer of housing and will add one point per month for each month applicants have been on the Housing Register.

42. For applicants in housing need (reasonable preference) the following points are awarded in addition to one point per month waiting time.



Applicants identified as having a housing need (reasonable preference).	90
Applicants living in more than one of the defined unsatisfactory housing conditions (see appendix 1).	5
Applicants with an assessed medical/ welfare need to move, this includes grounds related to disability.	30
Applicant households with a second household member with an assessed medical /welfare need to move.	5
Applicants with a priority need, who have not contributed to their homelessness and meet the main homelessness duty within the meaning of Part 7 of the Housing act 1996/ Homelessness Act 2002 (S193).	30
Applicants who meet the homelessness prevention and or the homelessness relief duty within the meaning of the Homelessness Reduction Act 2017 S195 (2) and or S189B (2) who would be require temporary homeless family accommodation and none is available.	30
Applicants who are considered homeless within the meaning of Part 7 of the Housing Act 1996 but are intentionally homeless or not in priority need.	5
Existing council tenants in the city are awarded 25 points to create movement within the housing stock	25
Council tenants, and tenants of Partner Housing Associations who live in the city, who are giving up at least 1 bedroom in order to move to smaller accommodation. This excludes anyone moving from a one-bedroom to a studio flat or a two-bedroom flat (first floor or above) or maisonette to a one-bedroom general needs property. Applicants who are giving up socially rented accommodation which contains 3 or more bedrooms will be permitted to bid for properties with one bedroom more than their requirement under this policy e.g. A single person with no dependants giving up a three bedroom house may bid for two bedroom as well as one bedroom accommodation, subject to landlord specific requirements.	200
Applicants who need to move to a particular locality in Southampton where failure to meet that need would cause hardship (to themselves or others). This is primarily aimed at those with an assessed social need to move to a particular area of the city. These points are not generally available to applicants who have a need common to many others, such as wanting to be near to a particular estate / school unless there are exceptional distinguishing factors.	30
<p><u>Armed Forces</u></p> <p>The law requires Local Authorities to give extra help to certain categories of armed forces personnel. The council meet this requirement through allowing relevant applicants to join the Housing Register and to be treated as if they were 'qualifying' applicants under the scheme.</p> <p>Applicants meeting one or more of the following criteria will be admitted to the Housing Register and awarded the 90 housing need (reasonable preference) points to bring them in line with other qualifying applicants.</p> <p>Criteria.</p> <ul style="list-style-type: none"> <li>• serving members of the regular forces who are suffering from a serious injury,</li> </ul>	90

<p>illness or disability which is wholly or partly attributable to their service.</p> <ul style="list-style-type: none"> <li>• former members of the regular forces.</li> <li>• bereaved spouses or civil partners of those serving in the regular forces where (i) the bereaved spouse or civil partner has recently ceased, or will cease to be entitled, to reside in ministry of defence accommodation following the death of their service spouse or civil partner, and (ii) the death was wholly or partly attributable to their service.</li> <li>• existing or former members of the reserve forces who are suffering from a serious injury, illness, or disability which is wholly or partly attributable to their service.</li> <li>• merchant seamen/women who served during the 2nd World War.</li> </ul>	
<p>In addition, if you are in urgent housing need (as assessed by specialist homelessness officers) you will also be awarded an additional 30 points.</p>	30
<p><u>Short term points</u> Awarded for four months. If, at the end of the four months, the move has not been completed then the additional points will usually be removed.</p>	
<p><u>Urgent management move</u> It may sometimes be necessary to arrange an urgent move. This is most usually done where a management transfer has been agreed for social housing tenants or in cases of urgent reciprocal applications (including witness protection). If this is necessary additional points will be awarded for a period of four months to enable the urgent move to take place.</p>	150
<p><u>Urgent Medical/Welfare Need to Move</u> A very small proportion of applicants are assessed as having an urgent need to move because of disability, medical or welfare grounds.</p> <p>Usually an award of these points will be made to people who (1) live in housing which cannot be adapted for their needs and cannot reasonably access other housing options and, due to the lack of an adapted home, cannot access basic facilities such as a toilet, or (2) people living in conditions which pose an imminent, unavoidable risk of serious physical or mental harm and for whom other housing options are not reasonably available</p>	100
<p><u>Urgent unintentionally homeless applicants in priority need</u> The council have specialist homelessness officers who can award these points if the usual re-housing options are unavailable.</p>	100
<p><u>Urgent disrepair</u> Applicants occupying property in Southampton that has had a notice served under parts 8, 9, and 10 of the housing Act 1985, or an order or declaration has been served or action taken under section 5(2) (b), (e), (f) or (g) of the Housing Act 2004.</p>	100
<p><u>Left in Occupation</u> Applicants left in occupation of the council property where a notice to quit has been served and there has been an agreement to rehouse.</p>	100
<p><u>Decants/ Decommissioning</u> Applicants being decanted or moved, for instance due to decommissioning of the council housing stock, where time allows for bidding within Homebid rather than a direct let outside of Homebid.</p>	100

#### Change in applicant's circumstances and keeping us up-to-date

43. The council must make sure that it does not offer properties which do not match the needs of an applicant's household. Therefore, it is important that the council is kept up-to-date with details of applicant's housing situation. This is done by writing to applicants at intervals during the time they are waiting on the Housing Register to check that their circumstances have remained the same. Applicants must supply all the information to the council within 30 days of service of the letter. Applicants who do not supply the information within this time will be removed from the Housing Register.
44. Where an applicant's circumstances have changed (for example they have bought a property, moved home or their family size has increased or decreased) they must also notify the council within one month so that their application can be reassessed. Again, not doing this may result in the applicant's application being removed from the Housing Register.

#### Choice

45. Within the constraints of the council's stock, and the need to manage the allocations process as efficiently as possible, the council will seek to provide the maximum amount of choice possible to applicants. This is done through the council's Homebid scheme which allows applicants to choose the area in which they wish to live and, within their eligibility criteria, the type of property.
46. The council publish information about the letting of properties previously advertised and re-let through the Homebid webpage so that applicants can find out the number of points usually required. Whilst this varies from time to time, in general, this will enable applicants to work out how long they will have to wait for a particular type of vacancy and to tailor their 'bidding' to either shorten their waiting time or to target a particular area or property type.
47. Applicants are also able to choose their landlord through looking at the advertisements in Homebid and to identify whether the rent payable is appropriate for their income. Other information such as heating type, availability of lifts, service charges and support service information is also available in the advertisement.
48. Applicants can choose to bid on up to 3 properties per bidding cycle. The deadline for bids is indicated on the Homebid website and there is no maximum number of times that bids can be made other than this. Once a property has been advertised the council try to complete the lettings process within the quickest time possible and will notify the selected applicants of the various deadlines involved. It is important that properties are let promptly to ensure that eligible applicants are rehoused as quickly as possible. It also reduces unnecessary charges and loss of income by the council for a vacant property. Therefore applicants who are made an offer of a property must respond to this offer within 3 working days or the offer will be removed.
49. The council reserves the right to place bids on behalf of applicants, for example those with 'short term' points or those who are unable to use Homebid (see paragraph 61).

#### How to apply

50. In order to apply for re-housing, applicants will need to join the Housing Register. This is done by completing the online form which can be found on the council website. You must supply the council with appropriate and relevant information, such as your full address history for the last

five years and whether you or anyone else in the application has ever been a council or Housing Association tenant before.

51. In addition, applicants must provide proof of identity and circumstances, this may include National Insurance Number, address, household composition, responsibility for children et cetera. The council also reserves the right to request any other additional information required to make sure that any application for re-housing is accurate and is dealt with properly.
52. Applicants must provide all information within 30 days of submitting their application to the council. If they fail to do this the application may be cancelled. Applicants must also, from time to time, provide information to the council to confirm their current circumstances. Applicants who fail to do this within the set period may be removed from the Housing Register.
53. Any applicant who has difficulty applying for a pitch with the online form, and/ or require this in another format, should email the Thornhill Housing Office at [housing.serviceseast@southampton.gov.uk](mailto:housing.serviceseast@southampton.gov.uk), or alternatively, contact a member of staff on 023 8042 0520.

#### Age designated property and housing with care

54. Some of the council's properties have minimum age requirements (for example, applicants must be 50 or over). Some more specialist schemes require an applicant to have a care assessment carried out and minimum/ maximum levels of care required or a particular diagnoses (for example a dementia diagnosis). Details of these are available on the council's website.

#### Other landlord's requirements

55. The council work with other social landlords in the city so some of the properties advertised may have particular requirements based on the rules adopted by that particular landlord. Where this is the case, the council will show the qualifying criteria in its advertisement. Each landlord has their own Lettings Policy so individuals can ask to see this if they require further detail.

#### Applicants who are unable to use Homebid

56. Most applicants bidding for properties are required to use the Homebid system. However, for a very few applicants it is not practical for them to 'bid' themselves. Where this is the case the council may be able to bid on behalf of those applicants. Instances where this might be the case include elderly applicants who need to downsize but who are unable to manage the administrative process themselves and have no friends or relatives who can assist. The council will decide if an assisted bid is required and, if this is the case, the applicant will not be able to bid themselves. If the council believes that the applicant or their friends and family are able to make bids themselves then the council will provide advice on how to use Homebid and, where necessary, how to obtain assistance from other agencies to do so.

#### Adapted Property Direct Let

57. An Adapted Property Direct Let (APDL) is the status given to applicants who require a significantly adapted property to meet their disability and housing needs. This is nearly always due to the applicant, or a member of their household, being wheelchair dependent within the home. However, other exceptional circumstances may also require an APDL.

58. Before being accepted on to the APDL waiting list, an Occupational Therapist (OT) will visit the applicant and complete an assessment. This assessment will detail what adaptations are required, as well as why there is a need to move.
59. In order to meet the housing needs of applicants, the council matches adapted properties to those waiting for them. All applicants are able to exercise choice with regards location, and this choice will be considered when matching available properties. However, some areas of the city have no social housing, or a very limited supply, and the more restrictive an applicant is, the more difficult it will be to assist.
60. APDLs are managed outside of the council's usual Homebid system. APDL applicants do not need to bid via Homebid and will not be awarded points. This is because directly matching applicants to available, suitable adapted properties ensures that the council makes best use of such properties, which are very scarce.
61. Due to the availability of adapted properties, the wait is often very long; although often not as long as it would be via Homebid, as the wait for all types of social housing is long.
62. APDL applicants are case managed by the council's Specialist Assessment Team. Applicants wait in date order, using the date the APDL was agreed (not necessarily the application date). Applicants will be informed of the date their APDL status began.

#### Urgent APDLs

63. An applicant may be considered as requiring an urgent APDL in exceptional circumstances. When an applicant is considered as being in urgent need:
- the council will inform the applicant of the date their urgent APDL status began;
  - considered above all other applicants with APDL status for available, suitable adapted properties; and
  - if after a period of four months, a suitable adapted property has not been identified, an **adaptable** property may be sourced where possible.
64. An urgent APDL will only be agreed where the applicant, or a member of their household, is in extremely high housing need. Examples of such could include:
- Permanently unable to leave or access the property due to the unsuitable nature of their current home, and as a result are either housebound or unable to return home from hospital / residential care.
  - Unable to receive personal care in a private space, away from other members of the household.
  - Unable to access essential facilities within the property and temporary solutions are not possible.
  - Where there is an imminent, unavoidable risk of significant harm within the current home and a move will resolve this.
  - Where someone has been accepted as homeless by the Council and will be losing their current home and a temporary move will leave the applicant with an urgent need (as identified above).

65. Whilst the applicant's area of choice will be considered, applicants with an urgent need will be expected to be flexible. This will be discussed with the applicant at the point of an urgent APDL being agreed. If an urgent APDL applicant refuses an offer of a property, they will no longer be considered as urgent and will continue to wait in turn.
66. If there is more than one applicant with an urgent need, waiting for the same size of property, the urgent cases will be considered in date order of urgent status being agreed, and then application date.

#### Who can be included in an application for rehousing?

67. The council will require that anybody included in a re-housing application who is eligible to access public funds and services has a long-term commitment to the household and will live in that household once re-housed. This requirement applies to all members of the household including parents, siblings, partners and children and all members of the application must have lived in the household for a minimum of 12 months at the point of application.
68. The council will usually require those people included in the application to have a 'need' to live together. For example, as dependents or where there are caring requirements that cannot be met outside the household. The 'need' to live together may vary from household to household and will be considered on a case by case basis taking into account all individual circumstances.
69. Children included in the application must genuinely live in the household as their only or principal home (applicants unsure whether or not to include children on their application must seek advice from the council). Where care of children is shared, the council will allow them to be listed in only one re-housing application.
70. There are only a few limited exceptions to these requirements. These are children newly born into the household and children leaving care or being fostered. Special arrangements (below) apply in the case of applicants who are foster carers.
71. Applications which include children who have previously been rehoused by the council in the care of someone else will be refused unless it is satisfied that it is necessary for them to live in the new household and that they meet the requirements of long term commitment to the household as set out above.
72. If the council considers that children have been included on the application in order to gain greater priority or access a larger or different type of housing the application may be treated as fraudulent and appropriate measures taken.

#### Debts to the council or other social landlords

73. Applicants and any other members of the household included in the application who owe money in respect of housing debts to the council or another social housing provider will not usually be made an offer of a property, however, each case will be made on its own merits. 'Housing debts' include:
- current rent;
  - rent from a former tenancy;
  - heating and service charges;

- charges for support services;
- maintenance repair charges; and
- 'mesne profits' (charges for the use and occupation of a property where there is no tenancy e.g. where a person has been left in occupation).

74. Where the debt remains unpaid but cannot be subject to further enforcement action because of a relevant court order, the council will decide whether this has an impact on the applicant's suitability to be a tenant.

#### Exceptions to policy

75. Occasionally, there will be exceptional cases will arise which cannot be dealt with within the normal policy criteria. The relevant Council Director will have the authority to make an exception to policy, to give additional priority or to take other action necessary in these cases.

76. It is not intended that this delegated authority be used other than in very exceptional circumstances as this would undermine the authority's ability to be equitable in its treatment of applications for re-housing. The council will take into account all relevant considerations when making this decision including:

- the applicant's degree of housing need;
- significant events in the applicant's tenancy history; and
- the current position in respect of the applicant's ability to manage a tenancy successfully.

77. Where circumstances arise which require an ongoing change to the Allocations Policy the Service Director: Adults, Housing & Communities has delegated authority to do this so long as the change does not fundamentally alter the overall direction or intentions of the policy.

#### Prisoners

78. Prisoners who have lived in Southampton for at least three years immediately prior to starting their prison sentence may join the Housing Register six months prior to their expected release date. The maximum amount of points which will be awarded in respect of this waiting period prior to release is six. Prisoners whose release date is later than expected will not continue to accrue further points throughout this period. This provision also extends to other applicants such as those detained under the Mental Health Act or Hospital Order and will be subject to specialist assessment including the suitability as to asocial housing.

79. On release from prison, prisoners must secure their own accommodation while they wait for rehousing.

#### Risk to applicant or other residents

80. When deciding whether to accept an application, or to make an offer of housing, the council will take into account any known risk factors. This will include the risk to other residents and to the applicant. The issues which will be taken into account include those which might render the applicant vulnerable if re-housed and those which may affect other residents (for example, a known history of violent or anti- social behavior). If the council considers the risk to be too great then it may decide not accept the applicant onto the Housing Register or may not make an offer of accommodation or restrict the offer to certain types of accommodation or to certain areas of

the city.

81. In considering these factors the council recognises the role that settled accommodation can play in enabling offenders to become rehabilitated. However, the council also exercises a duty as landlord to thousands of tenants across the city therefore it is necessary to balance the needs of individual applicants against the needs of the wider tenant population.
82. In reaching a decision on these matters the council will consider all the relevant factors including seeking the view of Health, Police, National Probation Service and other relevant statutory agencies. Examples of issues which will be taken into account include:
- the applicant's degree of housing need;
  - the nature of the applicant's behaviour/convictions/bail or licence conditions;
  - any mitigating circumstances that applied at the time or to current circumstances;
  - the result of any trial period in accommodation; and
  - whether there are any areas of the city or property types which would be unsuitable.

#### Data protection legislation

83. Information will be held and destroyed in accordance with Data Protection legislation and used only for the purpose of assessing housing applications, or for exercising other duties compatible with the council's status as a strategic authority.

#### Right to review decisions

84. Applicants will be notified in writing if they are not eligible or do not qualify for the Housing Register.
85. Applicants have a right to request a review of any decision and a right to request a review of the facts of the case which were taken into account in making the decision. Details of how to do this will be given in the letter sent to them notifying them of the decision. The review will be carried out by an officer who has not been involved in the case and is more senior than the original decision maker.
86. If the applicant, who the council has previously determined as not being treated as a qualifying person (and they believe that they should be treated as qualifying) wishes to apply again for allocation, then they may do so. However, unless they can demonstrate a change in their circumstances the original decision will remain.

#### Right to move

87. The law requires the council to set aside a proportion of their lettings for social tenants from other parts of the country needing to move to the area to take up work. In line with national guidance the council will make available up to 1% of its annual lettings for this purpose.
88. In order to qualify to be considered for the "right to move" applicants must:
- be an existing social housing tenant;
  - have reasonable preference under s. 166 (3) (e) because of the need to move to the local authority's district to avoid hardship;
  - need to move because the tenant works in the district; or
  - need to move to take up an offer of work.



89. In deciding whether applications will be accepted under these arrangements the council will take into account:

- the distance and/or time taken to travel between work and home;
- the availability and affordability of transport, taking into account level of earnings;
- the nature of the work and whether similar opportunities are available closer to home;
- other personal factors, such as medical conditions and childcare, which would be affected if the tenant could not move;
- the length of the work contract; and
- whether failure to move would result in the loss of an opportunity to improve their employment circumstances or prospects, for example, by taking up a better job, a promotion, or an apprenticeship.

90. Voluntary work is excluded from these arrangements as is work which is only short-term, marginal in nature or ancillary to work in another district. Applicants who are admitted to the Housing Register under these arrangements will be treated as if they have reasonable preference.

#### Fostering and care leavers

91. The council recognises that supporting care leavers and fostering contributes to good care of looked after children. A small number of properties will be identified each year to be used to help families start fostering or to increase the number of children who can be looked after and to offer additional assistance to care leavers. A further number of single person units will be made available each year for applicants who are ready to move on from contracted housing related support provision.

92. The council will identify in the lettings plan the percentage of its properties which will be made available for these purposes. This percentage will be identified in the context of the need to achieve the overall objectives of the Allocations Policy and to satisfy statutory requirements.

93. Children's Services will identify families and young people who would benefit from moving to alternative accommodation through this arrangement. The final decision on the allocation of properties is delegated to the Allocations Manager. In the case of adults, SCC homelessness services will identify adults who would benefit from alternative accommodation under this arrangement.

94. Properties let to foster carers will generally be offered as a 2 year fixed term secure tenancy the criteria for renewing the tenancy will include a requirement that the accommodation is still needed in order to provide fostering services.

95. Foster carers who no longer provide fostering services will be considered for re-housing when their fostering arrangements come to an end. Any accommodation offered will generally be suitable for their current needs at the time.

#### Special letting schemes

96. Occasionally, the council, or one of its social housing partners, may decide to implement a "special lettings scheme". This is most frequently done when a newly built or refurbished scheme is being let but can happen at any time if the landlord deems it necessary in order to

make sure that the scheme operates effectively as a good place to live.

97. This principle may also apply to individual properties where there have been significant management problems previously. In this case the landlord may choose to make a “sensitive letting” by imposing additional qualifying criteria for applicants to make sure that similar problems do not arise through the re-letting of the property.
98. Special lettings schemes and sensitive lettings will only be made where they do not compromise the council’s ability to achieve its overall policy aims. Where they are deemed necessary the additional eligibility criteria will be listed in the Homebid property advertisement.

#### Right to buy

99. The council will not offer alternative accommodation to applicants who have an active right to buy application or who are subject to a court order suspending a right to buy application.

#### Deliberately worsening your housing situation / preventing fraud

100. The council takes its responsibility to make proper use of public resources very seriously. Applications for the Housing Register are investigated to ensure assessments and decisions are accurate. The council will require proof of information you have provided in your application, such as Council Tax and Universal Credit details. The council is required to participate with other Local Authorities as part of the National Fraud Initiative and also verify information by office interviews, home visits, statements from previous social landlords, and verification of documents.
101. Where the council considers an application for the Housing Register to be fraudulent, it may take action in line with any of its enforcement policies, whilst adhering to the legislation set out in the Prevention of Social Housing Fraud Act 2013. The council will consider each matter on a case by case basis.
102. If an applicant moves out of, or alters, suitable accommodation so that is unsuitable for their needs, the council will investigate to find out why this has been done. If it is satisfied that this was done in order to improve the applicant’s position on the Housing Register, the council will continue to treat the application as if the move has not taken place.
103. The council will also carry out investigations where it believes that incorrect information has been provided in order to improve an applicant’s rehousing prospects. Where this is the case the council may amend or cancel an application.

#### Further Information

104. Further information about housing options as well as information about benefits and managing debt is available on the [council's website](#).

## APPENDIX 1

### Defined unsatisfactory housing categories

#### 1. Shared facilities

- Lacking sole use of bathroom
- Lacking sole use of kitchen
- Lacking sole use of inside W.C

#### 2. Disrepair

Relating to privately rented accommodation where, despite intervention from the council's environmental health service, the applicant:

- Lacks cold or hot water supplies
- Lacks electricity and / or gas
- Lacks heating in a minimum of one room

#### 3. Applicants requiring larger property

Please refer to the paragraph in the main body of this policy titled "size of property required" for information on how the council determines how many bedrooms it considers a household requires. (Sections 35-40).

#### 4. Applicants requiring housing for older people

Applicant aged 60 (or over or joint applicants both aged 60 or over), living in general needs socially rented accommodation, who need to move to:

- Housing for people aged 50 and over with floating support
- Housing for people aged 55 and over with either floating or scheme based support

Applicant aged 60 (or joint applicants both aged 60 or over), living in privately rented accommodation, who need to move to:

- Housing for people aged 55 and over with either floating or scheme based support

[ENDS]

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# Southampton City Council Gypsy & Travellers Site Allocation Policy



# Southampton City Council

## Gypsy and Travellers Site Allocations Policy

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<b>Gypsy and Travellers Site Allocations Policy</b>			
<b>Version</b>	Version 1.0	Approved by	
<b>Date last amended</b>		Approval date	
<b>Lead officer</b>	Paul Juan - Service Director, Adults, Housing & Communities	Review date	

## Purpose

1. This policy sets out Southampton City Council's (the council) approach to allocating pitches at the council's Kanes Hill site, located in Botley Road, Thornhill. It sets out how the council determines priorities and the procedure for allocating pitches. The policy takes account of relevant legislation and Government guidance and relevant council strategies and policies. The policy will be reviewed regularly to reflect any Government or local policy changes.
2. There is a high demand from Gypsies and Travellers for permanent sites in Southampton. The purpose of the Gypsy and Travellers Site Allocations Policy is to define a consistent framework, which can be used to allocate the limited number of vacancies that are available. It should be noted that, even where applicants are accepted onto the Pitch Waiting List, there is no guarantee that an offer of a pitch will be made.
3. Pitches will only be offered to Gypsies and Travellers or those deemed to live a nomadic lifestyle as defined under the Equality Act 2010 (EA 2010). Gypsy and Travellers is used as a generic term to denote the whole population of those groups, families and individuals who subscribe to Gypsy and Traveller culture and/or lifestyle. The term encompasses ethnic Gypsies and Travellers and those who fall within the legal definition of a 'Gypsy' (s24 of the Caravan Sites and Control of Development Act 1960 as amended by s80 of the Criminal Justice and Public order Act 1994).
4. The council aims to:
  - Provide both eligible and qualifying applicants with a pitch
  - Ensure pitches are allocated fairly and efficiently, taking into account the applicant's individual needs;
  - Make best use of all the available pitches.
5. Throughout this policy, the council has had due regard to its Public Sector Equality Duty (PSED) under the EA 2010 and with the Human Rights Act 1998. This means in particular that the council will process applications fairly, avoiding discrimination on the grounds of ethnicity, disability, religion, gender, sexual orientation, marital status or age.
6. Gypsies and Travellers are ethnic minorities recognised by law. They have a right to a nomadic life style, to equal access to services such as education, health and accommodation and to protection from discrimination and harassment.
7. This policy has been drawn up with particular reference to the councils main Allocation Policy 2019 and where possible is consistent with it.

## Scope

8. Part 6 of the Housing Act 1996, as amended, requires Southampton City Council to make housing allocations in accordance with an Allocations Policy. The council allocates pitches when it selects a person to be an occupier of a pitch held by the authority or another organisation.
9. This policy applies to all Gypsy and Travellers applying for allocation of pitches at the Kaneshill Gypsy and Traveller Site, and the Pitch Waiting List. Gypsy and Travellers may also apply for traditional council housing via the council's main Allocation Policy 2019.
10. This policy does not include lettings of temporary accommodation, or applications in respect of homelessness. Information is provided on the council website, setting out the arrangements for applying for assistance for people who are homeless.

## Legislative Context

11. In drawing up this policy the relevant legislation and codes of guidance have been considered, in particular:
  - The 1996 Housing Act (Part VI) as amended by the Localism Act 2011 requires the council to have an Allocations Policy for determining priorities and for defining the procedures to be followed in allocating social housing. This also extends to allocating pitches at the Kaneshill site.
  - The Housing Act 1996, as amended by the Homelessness Act 2002 and the Housing Act 2004, require that the council ensures that priority for social housing goes to those in greatest need. This includes homeless people, those who need to move on welfare, hardship or medical grounds, or people living in unsatisfactory housing ('reasonable preference' categories).
  - Allocation of Housing and Homelessness (eligibility) (England) Regulations 2006 (as amended) sets out which classes of persons from abroad are eligible or ineligible for allocation of accommodation.
  - Regulations made by the Secretary of State sets out person who may be eligible despite being a person from abroad subject to immigration control.
  - Localism Act 2011 (as amended) enable councils to determine which applicants do or do not qualify for social housing, to reflect local circumstances.
  - Allocation of housing (Qualification Criteria for Right to Move) (England) Regulations 2015/967, and takes into account the Allocation of Accommodation; Guidance for Councils, issued in June 2012, updated guidance December 2013 and Right to Move statutory guidance issued in March 2015.
  - The Housing and Planning Act 2016.
  - The Homelessness Reduction Act 2017.
  - The Homes (Fitness for Human Habitation) Act 2018.
  - The Housing (Assessment of Accommodation Needs) (Meaning of Gypsies and Travellers) (England) Regulations 2006' (Statutory Instrument: 2006 No. 3190).
  - The Equality Act 2010.
  - Human Rights Act 1998.



## Policy Detail

### Eligibility and qualifying for the Pitch Waiting List

12. In order to join the Pitch Waiting List applicants must be both eligible and qualifying and meet the requirements for either “reasonable” or “additional” preference as laid out in the Housing Act 1996 as amended by the Localism Act 2011.
13. Southampton City Council will act in compliance with national legislation regarding eligibility for housing accommodation. An applicant may be ineligible for an allocation of a pitch under S160ZA (2) or (4) of the Housing Act 1996.
14. In addition to being “eligible”, applicants must also “qualify” through meeting the council policy requirements. The council requires that applicants are:
  - Gypsies and Travellers
  - 18 years of age or older, and;
  - Not owners of residential property in the UK or abroad;
  - In housing need; and
  - Able to manage a pitch and suitable to be a tenant (see below).
  - Eligibility does not depend on the applicant living within the council boundary.

### Unsuitability to be a tenant

15. An applicant may not qualify for the Pitch Waiting List if the council considers that individual to be unable to properly manage a pitch. This may be because that individual needs a more supported environment than the council can provide, or that individual or a member of your family are considered to be unsuitable to be a tenant. In making this, and any other decision, the council will take into account all of the relevant factors and make a decision on a case by case basis.
16. The council may reach the view that an individual are unsuitable to be a tenant through considering factors such as previous management of a pitch either on the council's site at Kanes Hill or elsewhere, housing debts owed or a history of non-payment of rent, a history of arrestable offences committed in the vicinity of the applicant's current or previous home or involvement in anti-social behaviour. In making this decision the council will offer advice and steps to improve chances of becoming a tenant in the future.
17. In determining suitability, the council will take account of the applicant's level of housing need balanced with the type of and/ or seriousness of the behaviour which may make them unsuitable to be a tenant. This includes any changes in circumstances or behavior since the relevant events occurred together with consideration as to how likely the issues identified are likely to recur.

### Housing need

18. There is no statutory definition of ‘housing need’. The point's scheme set out in the Southampton City Council housing Allocations Policy sets out the categories of people who the council must ensure receive reasonable preference. Applicants who do not fall into a reasonable preference category will be considered to have no housing need.

19. Applicants must remain in housing need throughout the time spent waiting on the Pitch Waiting List.
20. The council uses a 'point's scheme' to prioritise applicants on the Pitch Waiting List. The scheme awards points to reflect applicants' circumstances and the degree and/or urgency of applicants' housing need. In addition, applicants will be awarded one point per month waiting time.

#### How the council makes decisions

21. The council makes decisions about housing applications by considering four key questions whenever an application for housing is received:
  - a. Is the applicant "eligible" because they meet statutory criteria?
  - b. Does the applicant "qualify" under the councils Gypsy and Travellers Allocations Policy? (see point 20)
  - c. What size and type of pitch (mostly based on the size of the caravan, but can include other factors such as caravan condition and facilities, and requirements for multiple pitches) does the applicant need?
  - d. What degree of priority is required relative to other applicants?

#### Type of pitch required

22. The council has to make best use of the resources available in order to be able to house the maximum number of people from the Pitch Waiting List. This means that the council have rules about the type of pitch that applicants can apply for. In deciding on the type of pitch, and degree of priority required, the council has to consider the type of pitch available and the high demand for that pitch.
23. If an individual is accepted onto the Pitch Waiting List, the council will assess their needs to decide what sort of pitch they can apply for. The council will notify the applicant of its decision once the assessment has been completed and if eligible they will be able to register for the particular type of pitch only.

#### Size of pitch required

24. The site comprises a mixture of single and double plots. Single plots can accommodate either two touring caravans or one mobile home of 5.5 metres wide X27 meters long.
25. Double plots can accommodate either four touring caravans or 2 mobile home 5.5 metres wide x 27 metres long and one touring caravan.

#### Points Scheme

26. In framing this policy, the council have had regard to the Communities and Local Government Allocation of Accommodation: Guidance for Local Housing Authorities in England document published in 2012, as amended. This sets out the requirements in respect of reasonable preference and additional preference as follows:
27. "In framing their allocation scheme to determine allocation priorities, housing authorities must ensure that reasonable preference is given to the following categories of people (s.166A (3))":

- (a) People who are homeless within the meaning of part seven of the Housing Act 1996 (including those who are intentionally homeless and not in priority need);
- (b) People who are owed a duty by any housing authority under section 190(2), 193(2) or 195(2) of the Housing Act 1996 (or under section 65 (two) or 68 (two) of the Housing Act 1985) or who are occupying accommodation secured by any housing authority under s.192(3);
- (c) People occupying insanitary or overcrowded housing or otherwise living in unsatisfactory housing conditions;
- (d) People who need to move on medical or welfare grounds, including grounds relating to a disability; and
- (e) People who need to move to a particular locality in the district of the housing authority, where failure to meet that need would cause hardship (to themselves or others).

28. In addition, the council is required to consider giving additional preference to:

- Those who need to move urgently because of a life-threatening illness or sudden disability;
- Families in severe overcrowding which poses a serious health hazard; and
- Those who are homeless and require urgent re-housing as a result of violence or threats of violence, including intimidated witnesses, and those escaping serious antisocial behaviour or domestic violence.

29. The council manages priority between applicants by using a 'points' scheme. The council award most points to applicants who meet the various criteria listed in the legislation meaning applicants in the worst housing conditions will receive more points than other applicants.

30. The council also recognises the amount of time that people have waited for an offer of housing and will add one point per month for each month applicants have been on the Pitch Waiting List.

31. For applicants in housing need (reasonable preference) the following points are awarded in addition to one point per month waiting time.

Applicants identified as having a housing need (reasonable preference).	90
Applicants living in more than one unsatisfactory housing category as identified by legislation of the defined unsatisfactory housing conditions (see Allocations Policy)	10
Applicants who have lived within the Southampton boundary for a continuous period of 12 months or applicants who have family members who have been resident for more than 3 years	10
Applicants at risk of eviction through no fault of their own (e.g. site closure, redevelopment, etc.)	20
Applicants with an assessed medical/ welfare need to move, this includes grounds related to disability.	30
Applicant households with a second household member with an assessed medical /welfare need to move.	5

<p><u>Short term points for Urgent Medical/Welfare Need to Move</u></p> <p>A very small proportion of applicants are assessed as having an urgent need to move because of disability, medical or welfare grounds.</p> <p>These points will normally be awarded for four months. If, at the end of the four months, the move has not been completed then the additional points will usually be removed.</p>	<p>100</p>
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Change in applicant's circumstances and keeping us up-to-date

32. The council must make sure that it does not offer pitches which do not match the needs of an applicant's household. Therefore, it is important that the council is kept up-to-date with details of applicant's housing situation. This is done by contacting applicants at regular intervals during the time they are waiting on the Pitch Waiting List to check that their circumstances have remained the same. Applicants must supply all the information to the council within 30 days of the request being made, whether in writing, by telephone or in person. Applicants who do not supply the information within this time will be removed from the Pitch Waiting List.
33. Where an applicant's circumstances have changed (for example they have bought a property, moved home or their family size has increased or decreased) they must also notify the council within one month so that their application can be reassessed. Again, not doing this will result in the applicant's application being removed from the Pitch Waiting List.
34. The 2017 Homelessness Reduction Act strengthens a duty in law on the part of the local authority to prevent homelessness. Applicants who are likely to become homeless, should immediately contact the council for advice and assistance.

How to apply

35. In order to apply for a pitch, applicants will need to join the Pitch Waiting List. This is wholly managed by the Thornhill Housing Office and requires applicants to complete the appropriate form which is available directly from the Thornhill Housing Office. We will offer you support in copying the appropriate and relevant information, such as your full address history for the last five years and whether you or anyone else in the application has ever been a council or Housing Association tenant before.
36. In addition, applicants must provide proof of identity and circumstances, this may include National Insurance Number, address, household composition, responsibility for children et cetera. The council also reserves the right to request any other additional information required to make sure that any application for re-housing is accurate and is dealt with properly.
37. Applicants must provide all information within 30 days of submitting their application to the council. If they fail to do this the application may be cancelled. Applicants must also, from time to time, provide information to the council to confirm their current circumstances. Applicants who fail to do this within the set period may be removed from the Pitch Waiting List.
38. Any applicant who has difficulty applying for a pitch with the online form, and/ or require this in another format, should email the Thornhill Housing Office at [housing.serviceseast@southampton.gov.uk](mailto:housing.serviceseast@southampton.gov.uk), or alternatively, contact a member of staff on 023 8042 0520.

#### Who can be included in an application for a Pitch?

39. The council requires that anybody included in an application for a pitch at Kanes Hill Site, who is eligible to access public funds and services, has a long-term commitment to the household and will live in that household once a pitch is allocated. This requirement applies to all members of the household including parents, siblings, partners and children and all members of the application must have lived in the household for a minimum of 12 months at the point of application.
40. The council will usually require those people included in the application to have a 'need' to live together. For example, as dependents to the household, for cultural or religious reasons or where there are caring requirements that cannot be met outside the household. The 'need' to live together may vary from household to household and will be considered on a case by case basis taking into account all individual the households circumstances.

Children included in the application must genuinely live in the household as their only or principal home (applicants unsure whether or not to include children on their application must seek advice from the council). Where care of children is shared, the council will allow them to be listed in only one re-housing application.

41. There are only a few limited exceptions to these requirements. These are children newly born into the household and children leaving care or being fostered. Special arrangements (below) apply in the case of applicants who are foster carers.
42. Applications which include children who have previously been rehoused by the council in the care of someone else will be refused unless the it is satisfied that it is necessary for them to live in the new household and that they meet the requirements of long term commitment to the household as set out above.
43. If the council considers that children have been included on the application in order to gain greater priority or access a larger or different type of housing the application may be treated as fraudulent and appropriate measures taken.

#### Debts to the council or other social landlords

44. Applicants and any other members of the household included in the application who owe money in respect of housing debts to the council or another social housing provider will not usually be made an offer of a pitch, however, each case will be made on its own merits. 'Housing debts' include:
- Current rent/ pitch fee;
  - Rent/pitch fee from a former tenancy/site licence;
  - Heating and service charges;
  - Charges for support services;
  - Maintenance repair charges; and
  - 'Mesne profits' (charges for the use and occupation of a property where there is no tenancy e.g. where a person has been left in occupation).

45. Where the debt remains unpaid but cannot be subject to further enforcement action because of a relevant court order, the council will decide whether this has an impact on the applicant's suitability to be a tenant.

#### Preventing Fraud

46. The council takes its responsibility to make proper use of public resources very seriously. Applications for the Pitch Waiting List are investigated to ensure assessments and decisions are accurate. The council will require proof of information you have provided in your application, such as Council Tax and Universal Credit details. The council is required to participate with other Local Authorities as part of the National Fraud Initiative and also verify information by office interviews, home visits, statements from previous social landlords, and verification of documents.
47. Where the council considers an application for the Pitch Waiting List to be fraudulent, it may take action in line with any of its enforcement policies, whilst adhering to relevant legislation. The council will consider each matter on a case by case basis.
48. If an applicant moves out of, or alters, suitable accommodation so that is unsuitable for their needs, the council will investigate to find out why this has been done. If it is satisfied that this was done in order to improve the applicant's position on the Pitch Waiting List, the council will continue to treat the application as if the move has not taken place.
49. The council will also carry out investigations where it believes that incorrect information has been provided in order to improve an applicant's rehousing prospects. Where this is the case the council may amend or cancel an application.

#### Risk to applicant or other residents

50. When deciding whether to accept an application, or to make an offer of a pitch, the council will take into account any known risk factors. This will include the risk to other residents and to the applicant. The issues which will be taken into account include those which might render the applicant vulnerable if re-housed and those which may affect other residents (for example, a known history of violent or anti-social behavior). If the council considers the risk to be too great then it may decide not to accept the applicant onto the Pitch Waiting List or may not make an offer of a pitch.
51. In considering these factors the council recognises the role that settled accommodation can play in enabling offenders to become rehabilitated. However, the council also exercises a duty as landlord to other residents of the site and therefore it is necessary to balance the needs of individual applicants against the needs of the wider resident population.
52. In reaching a decision on these matters the council will consider all the relevant factors including seeking the view of Health, Police, National Probation Service and other relevant statutory agencies. Examples of issues which will be taken into account include:
- The applicant's degree of housing need;
  - The nature of the applicant's behaviour/convictions/bail or licence conditions;
  - Any mitigating circumstances that applied at the time or to current circumstances;

### Right to review decisions

53. Applicants will be notified in writing if they are not eligible or do not qualify for the Pitch Waiting List or in person by the Housing Officer.
54. Applicants have a right to request a review of any decision and a right to request a review of the facts of the case which were taken into account in making the decision. Details of how to do this will be given in the letter sent to them notifying them of the decision. The review will be carried out by an officer who has not been involved in the case and is more senior than the original decision maker.
55. If the applicant, who the council has previously determined as not being treated as a qualifying person (and they believe that they should be treated as qualifying) wishes to apply again for allocation, then they may do so. However, unless they can demonstrate a change in their circumstances the original decision will remain.

### Data protection legislation

56. Information will be held and destroyed in accordance with Data Protection legislation and used only for the purpose of assessing housing applications, or for exercising other duties compatible with the council's status as a strategic authority.

### Exceptions to policy

57. Occasionally, there will be exceptional cases which will arise which cannot be dealt with within the normal policy criteria. Service Director: Adults Housing & Communities has delegated authority to make an exception to policy, to give additional priority or to take other action necessary in these cases.
58. It is not intended that this delegated authority be used other than in very exceptional circumstances as this would undermine the authority's ability to be equitable in its treatment of applications for a Pitch at the Kaneshill Site.
59. The council will take into account all relevant considerations when making this decision including:
- The applicant's degree of housing need;
  - Significant events in the applicant's tenancy history; and
  - The current position in respect of the applicant's ability to manage a pitch successfully.

### Further Information

60. Further information about housing options as well as information about benefits and managing debt is available on the [council's website](#).

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<b>DECISION-MAKER:</b>	CABINET		
<b>SUBJECT:</b>	M27/M3 TRAVEL DEMAND MANAGEMENT PROJECT		
<b>DATE OF DECISION:</b>	17 SEPTEMBER 2019		
<b>REPORT OF:</b>	CABINET MEMBER FOR PLACE AND TRANSPORT		
<b><u>CONTACT DETAILS</u></b>			
<b>AUTHOR:</b>	<b>Name:</b>	<b>Neil Tuck</b>	Tel: 023 80 83 3409
	<b>E-mail:</b>	Neil.tuck@southampton.gov.uk	
<b>Director</b>	<b>Name:</b>	<b>Denise Edghill</b>	Tel: 023 80 83 4095
	<b>E-mail:</b>	Denise.edghill@southampton.gov.uk	

<b>STATEMENT OF CONFIDENTIALITY</b>	
Not applicable	
<b>BRIEF SUMMARY</b>	
<p>To consider the report of the Cabinet Member for Place and Transport seeking approval for the receipt of £1.34M revenue and £0.36M capital funding awarded to Southampton City Council on behalf of Solent Transport from Highways England for delivery in the 2019/20 and 2020/21 financial years with potential for some roll forward, should there be the case for some interventions to continue. No match funding contributions are required from the Council's budgets. The programme will deliver a set of tailored Travel Demand Management (TDM) measures that have the potential to both manage current and forecast travel demands in the area during the construction of the M27 J4-11 and M3 J9-14 Smart Motorway Schemes (SMS).</p>	
<b>RECOMMENDATIONS:</b>	
(i)	To administer and monitor the use of the Highways England grant funding to support the Council's commitment to reduce emissions and improve air quality within the Southampton area;
(ii)	To accept funding totalling £1.70M awarded by Highways England for 2019/20 and 2020/21;
(iii)	To approve expenditure of the Highways England grant funding for the delivery of Travel Demand Management measures.
(iv)	To add £0.36M to the Place & Transport capital programme to be funded by grant.
(iiv)	Delegate authority to the Director of Growth to enter into a Funding Agreement with Highways England to deliver the TDM measures set out in the report.
<b>REASONS FOR REPORT RECOMMENDATIONS</b>	
1.	Southampton City Council has been successful in securing funding to contribute towards mitigating the impacts of the smart motorways construction works whilst encouraging and enabling sustainable travel in Southampton and surrounding areas. The £1.70M funding from Highways England will resource

	a programme of workplace travel planning, strategic communications and temporary additional transport options for local businesses that will support modal shift away from single occupancy private car use to cycling, walking and public transport. This will contribute towards reducing congestion and harmful emissions and has scope to deliver benefits across the Solent region.
<b>ALTERNATIVE OPTIONS CONSIDERED AND REJECTED</b>	
2.	Not to approve the receipt of grant funding from Highways England. This would result in not being able to carry out the proposed mitigation work as outlined in the associated proposal to Highways England. Failure to accept the funding to carry out the work will also reduce the opportunity to work with Highways England on sustainable travel initiatives in the future.
<b>DETAIL (Including consultation carried out)</b>	
3.	<b>Context</b> Highways England's Smart Motorways programme along the M27 corridor between Junctions 4-11 has commenced with work on the motorway due until 2020/21. A further Smart Motorways programme is due along the M3 Junctions 9-14, with work commencing in 2019/20 for a 2 year period.
4.	During the construction works for the M27 Smart Motorways project there is expected to be a significant level of disruption to traffic with journey times likely to increase and traffic diverting to alternative routes such as the parallel A27. This occurs at present when an incident occurs on the M27. The diversion of traffic and increases in congestion will have a knock on effect on air quality and productivity. Congestion costs around £100m per year in Southampton alone and this impact would be expected to increase significantly during the scheme construction periods. Additional congestion on the A27 corridor is also likely to negatively impact bus services and other alternative modes of travel along this route.
5.	Impacts of a similar nature may also be expected for the M3 Smart Motorways Programme, and most other schemes in the Highways England Road Investment Strategy 1 programme are likely to have at least local impacts, potentially affecting several localities at the same time.
6.	The M27 forms the backbone of the Strategic Road Network in the Solent region with daily traffic flows on some sections as high as 138,000 vehicles per day (2017). The similarly heavily used M3 is also a principal route connecting the Solent with key areas for the economy including the Thames Valley, the midlands and the north; and also provides connectivity for journeys passing through the Solent region en-route to the New Forest, Bournemouth, Poole and parts of Dorset.
7.	Other Highways England managed Strategic Road Network routes in the Solent area all connect to the M27 and/or M3 at various points and provide east-west connections (A27, A31, A36) or north-south connectivity towards Surrey and London A3/ A3(M). Thus the M27 in particular provides a key connection between these various different routes. There are also several spur routes off the M27 (primarily the M271 and M275) which link it with the two city centres and pass very close to the two ports which are critical hubs for the Solent region's economy.

8.	<p>Whilst it was built to function as a strategic road, the pattern of (mostly car-oriented) development that has occurred over the last four decades along the 'M27 corridor' in areas such as Hedge End and Whiteley has resulted in this motorway becoming used for many local journeys. Analysis using Solent Transport's strategic transport model has shown that around 30% of all M27 traffic is "junction hopping", travelling just one or two junctions, and 28% of all traffic on the M27 has a total journey length of 5km or less. Less than 10% of all traffic is travelling ten junctions or more. This represents a high proportion of localised commuter journeys that could be made via alternative modes.</p>
9.	<p>The disruption to commuter trips along the M27, and in time along the M3, will also cause those making localised journeys to consider alternatives in order to avoid delays and disruption and be more amenable to change. This presents an opportunity to change the travel habits of those making localised journeys to work both during and beyond the Smart Motorways programme by presenting them with the right messaging and information, alternative travel options and removing the barriers to accessing alternative options. The measures outlined in the Travel Demand Management package which has secured funding from Highways England are designed to enable this 'behaviour change'.</p>
10.	<p><b>The proposal</b></p> <p>The M27/M3 Travel Demand Management project will work to mitigate and manage the air quality and congestion impact of these major works on the strategic road network (SRN) and on the adjoining local authority road network (LRN) by implementing three packages of actions to encourage commuters primarily to re-mode or re-time their journeys to reduce impact on congestion and air quality, provide effective and coordinated communications about the works, and provide some small scale improvements to infrastructure in key locations.</p>
11.	<p>There are three key elements in the M27/M3 project:</p> <ol style="list-style-type: none"> <li>1) Workplace and school/college engagement. The largest employers and schools/colleges on M3 and M27 will be supported with a range of interventions and incentives to help remove the barriers to travelling sustainably and help businesses to manage disruption during the roadworks. This support should supplement and strengthen activities currently being delivered in schools and workplaces via the Access Fund project. Engagement will use the Council's 'My Journey' brand for continuity;</li> <li>2) Strategic communications: There are two elements, the first is around the works themselves, working closely with Highways England and the local highway authorities, to promote alternative methods of travel such as public transport or active modes. Secondly, communications support and campaigns will be used to complement engagement with the workplaces, schools and colleges, encouraging people to re-mode or reduce their need to travel. The My Journey brand will be used for both these elements;</li> <li>3) A number of supporting projects (a mix of both revenue and capital spend) to enable the local transport network to serve new needs and operate reliably despite additional traffic and demand. This package</li> </ol>

	will look to develop targeted interventions to improve the existing bus network, implementation of an incentive/ discount scheme for rail tickets, signalling improvements along the A27 in Hampshire and tactical bus priority.										
12.	The project will be delivered to maximise long term benefits, lasting positive behaviour change, and enable the transfer of learning to support other Highways England schemes, including through feeding project outcomes into and supporting development of Highways England's TDM toolkit.										
13.	Southampton City Council will act as the lead authority on behalf of Solent Transport in delivering the TDM programme. SCC has been selected as the lead authority due to the synergies with the Department for Transport Access Fund programme, "Southampton: Driving our Cycling Ambition into Local Towns, Schools, Colleges and Workplaces" which is currently being delivered across some of the Southampton Travel to Work area. The Highways England TDM programme will enable strands of this current programme to continue beyond its current timeframe (March 2020).										
14.	The TDM programme is proposed to operate for 18 months (approximately October 2019 to March 2021) and will be governed by the Centre for Sustainable Travel Choices Board, a partnership between key strategic partners (SCC, HCC, Solent Transport, Sustrans, Cycling UK, British Cycling, Eastleigh Borough Council and University of Southampton) which was set up to oversee and deliver sustainable transport programmes. Membership will be expanded to include Highways England and PCC. The TDM project will be also report to the quarterly Solent Transport Joint Committee.										
<b>RESOURCE IMPLICATIONS</b>											
<b><u>Capital/Revenue</u></b>											
15.	<p>Highways England have awarded grant funding of £1.34M revenue and £0.36M capital for the delivery of Travel Demand Management measures associated with network improvement works in the local area. The table below breaks down the measures to be funded by the grant into three packages of work.</p> <table border="1"> <tr> <td>Package 1: Workplace Engagement</td> <td>£0.41</td> </tr> <tr> <td>Package 2: Strategic Communications</td> <td>0.35</td> </tr> <tr> <td>Package 3 Alternative Transport Incentives</td> <td>0.85</td> </tr> <tr> <td>Project Management</td> <td>0.09</td> </tr> <tr> <td><b>Total</b></td> <td><b>1.70</b></td> </tr> </table>	Package 1: Workplace Engagement	£0.41	Package 2: Strategic Communications	0.35	Package 3 Alternative Transport Incentives	0.85	Project Management	0.09	<b>Total</b>	<b>1.70</b>
Package 1: Workplace Engagement	£0.41										
Package 2: Strategic Communications	0.35										
Package 3 Alternative Transport Incentives	0.85										
Project Management	0.09										
<b>Total</b>	<b>1.70</b>										
16.	No Council funds are required as match funding for the grant. In the revenue budget the £1.34M of revenue expenditure associated with the measures will be off-set by the corresponding grant income from Highways England.										
17.	For the capital budget £0.36M will be added to the Place and Transport capital programme to be funded by the corresponding grant income from Highways England.										
<b><u>Property/Other</u></b>											

18.	None
<b>LEGAL IMPLICATIONS</b>	
<b><u>Statutory power to undertake proposals in the report:</u></b>	
19.	S.1 Localism Act 2011 permits a Council to undertake the measures set out in this report. The Council's strategic transport functions are delivered in accordance with the Transport Act 2000 and the Highways Act 1980.
<b><u>Other Legal Implications:</u></b>	
20.	The delivery of the Council's strategic transport functions and environmental improvement powers is derived from a wide range of legislation. Projects that capture personal data will be subject to the Data Protection Act 2018 and delivery will be required to have regard to the public sector equality duty in the Equality Act 2010 and Uk procurement legislation.
<b>RISK MANAGEMENT IMPLICATIONS</b>	
21.	In order to manage risks and ensure that delivery concerns are brought to the Authority's attention, responsibilities for risk management are clearly defined in the TDM proposal to Highways England. A risk management procedure is in place with accountability to the Centre for Sustainable Travel Choices Board, Solent Transport Joint Committee and Highways England as the funding body.
22.	In order to mitigate against unlawful State Aid arising there are a number of measures that can be relied upon, including use of competition to award funding and use of De Minimis provisions where appropriate. The introduction of an element of competition for suppliers for the delivery of engagement work and campaigns (where required) with a bidding process for funds will be undertaken, in a way that ensures all undertakings have equal access to funding (regardless of whether they are local, national or international undertakings). Competition and bidding arrangements will be fair, transparent and genuine.
<b>POLICY FRAMEWORK IMPLICATIONS</b>	
23.	SCC is a Local Transport Authority as prescribed in the Transport Act 2000. The Southampton City Strategy 2015-25 sets out a vision for the whole of the city as 'a city of opportunity where everyone thrives' and is taken forward through the Council Strategy 2016-20 which sets out four outcomes that make up that vision – strong and sustainable growth, people get a good start in life, live safe, happy and independent lives and Southampton is an attractive modern city where people are proud to live and work.
24.	Below the Council Strategy the Southampton Local Transport Plan (LTP3), Clean Air Strategy 2016-2025, Air Quality Action Plan (2009) and Cycling Southampton 2017-2027 translate the vision and outcomes into the way SCC will put this into action. The proposals in this report are not contrary to the requirements of this Policy Framework.

<b>KEY DECISION?</b>	<b>Yes –</b>
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<b>WARDS/COMMUNITIES AFFECTED:</b>	All
<u>SUPPORTING DOCUMENTATION</u>	
<b>Appendices</b>	
1.	Highways England TDM Proposal
<b>Documents In Members' Rooms</b>	
1.	ESIA
<b>Equality Impact Assessment</b>	
<b>Do the implications/subject of the report require an Equality and Safety Impact Assessment (ESIA) to be carried out.</b>	<b>Yes</b>
<b>Data Protection Impact Assessment</b>	
<b>Do the implications/subject of the report require a Data Protection Impact Assessment (DPIA) to be carried out.</b>	<b>No</b>
<b>Other Background Documents</b>	
<b>Other Background documents available for inspection at:</b> Strategic Transport, Transport Policy Team, Civic Centre First Floor.	
<b>Title of Background Paper(s)</b>	<b>Relevant Paragraph of the Access to Information Procedure Rules / Schedule 12A allowing document to be Exempt/Confidential (if applicable)</b>
1.	
2.	

## M27/M3 Travel Demand Management Project

### 1. Introduction

The main objective of this project is to deliver a set of tailored Travel Demand Management measures that have the potential to both manage current and forecast travel demands in the area, whilst also adding further value to planned mitigation packages for the M27 J4-11 and M3 J9-14 Smart Motorway Schemes (SMS).

TDM measures to be developed and implemented on the M27 will be focussed on both the construction phase and, post-scheme delivery, with the M3 focusing on the pre-construction and construction phase with both supporting innovative approaches to managing longer term travel demands and providing ongoing benefits to the SRN through long term modal shift.

Measurable benefits will be felt mainly in terms of improved air quality outcomes through reduced vehicle emissions, enhanced customer satisfaction through access to tailored travel information on-demand and access to additional sustainable transport measures e.g. walking and cycling improvements, increased travel choices, journey time savings through managing congestion, and an improved investment case for any highway capacity enhancements.

TDM interventions will be implemented and expected to enhance network performance through decongestion and improved journey time reliability, improve local air quality through reduced NOx emissions, and deliver improved customer satisfaction. By embedding clear and effective approaches to managing travel demands, these interventions will directly support key themes within Highways England's Delivery Plan; notably supporting economic growth, improving the environment, and assisting a more free-flowing network. The potential of TDM has been recognised by Highways England through a set of commitments defined in the Customer Delivery Plan 2018/19 and mandated in the Customer Service Strategic Plan, particularly in the Key Initiative to 'develop an approach and requirements for Travel Demand Management around Roadworks'. The proposed TDM programme would make a major contribution to early delivery of this objective, as well as being essential for the delivery of many of these commitments for the RIS1 programme in Solent.

#### 1.1 Scope of this document

The scope of this document is to present detailed proposals to deliver the M27/M3 TDM project.

The background to this project and potential impacts of the roadworks associated with construction of the M27 J5-11 and M3 J9-14 SMS on the Solent sub-region are described in Section 2. The strategic alignment of this project with Highways England's strategic aims are briefly discussed in Section 3. The proposal development has been documented in Section 4. The technical proposal is presented in detail in Section 5, while the commercial proposal is outlined in Section 6. Section 7 includes the description of how project management controls will be implemented.

An outline of potential benefits to be delivered by this project and a strategy to monitor and evaluate such benefits is presented in Appendix 1.

### 2. Background

The Solent sub-region is located on the south coast of England centred on the two cities of Southampton and Portsmouth, with an urban area covering Eastleigh, Fareham, Gosport, Havant and Totton and a population of over 1 million.

During the construction works for the M27 Smart Motorways project there is expected to be a significant level of disruption to traffic. With journey times likely to increase on the M27 traffic may divert to alternative routes such as the parallel A27. This occurs at present when an incident occurs on the M27. Local air quality on these routes would suffer particularly at peak times with traffic diverting and additional congestion on the M27. In addition to air quality the productivity of the Solent region would be impacted. Congestion costs around £100m per year in Southampton alone and this impact would be expected to increase significantly during the scheme construction periods. Additional congestion on the A27 corridor is also likely to negatively impact bus services and other alternative modes of travel along this route.

Impacts of a similar nature may also be expected for the M3 SMP, and most other schemes in the RIS1 programme are likely to have at least local impacts, potentially affecting several localities at the same time.

### 2.1 Potential impact of the M27 J5-11 and M3 J9-14 SMS

The M27 forms the backbone of the Strategic Road Network in the Solent region with daily traffic flows on some sections as high as 138,000 vehicles per day (2017). The similarly heavily used M3 is also a principal route connecting the Solent with key areas for the economy including the Thames Valley, the midlands and the north; and also provides connectivity for journeys passing through the Solent sub-region en-route to the New Forest, Bournemouth, Poole and parts of Dorset.

Other Highways England managed SRN routes in the Solent area all connect to the M27 and/or M3 at various points and provide east-west connections (A27, A31, A36) or north-south connectivity towards Surrey and London A3/ A3(M). Thus the M27 in particular provides a key connection between these various different routes. Finally, there are several spur routes off the M27 (primarily the M271 and M275) which link it with the two city centres and pass very close to the two ports which are critical hubs for the sub-region's economy.

The M27 is probably the most critical SRN link in Solent. The ten most trafficked sections of the Solent to Midlands routes are all on the A27 and M27 close to the Southampton and Portsmouth conurbations. Journey times along sections of the M27 are among the most unreliable with travel time reliability often 65% of the average.

Whilst it was built to function as a strategic road, the pattern of (mostly car-oriented) development that has occurred over the last four decades along the "M27 corridor" in areas such as Hedge End and Whiteley has resulted in this motorway becoming used for many local journeys. Analysis using Solent Transport's strategic transport model has shown that around 30% of all M27 traffic is "junction hopping", travelling just one or two junctions, and 28% of all traffic on the M27 has a total journey length of 5km or less. Less than 10% of all traffic is travelling ten junctions or more.

And whilst the M27 and in particular the M3 do provide connectivity for economically critical long distance freight movement, between Portsmouth and Southampton ports and the rest of the UK, there are also a significant number of more local freight movements within Solent- 54% of all HGV traffic is travelling 20km or less and 93% travelling 50km or less.

It should be noted that due to their short nature, many of these HGV trips would not be able to switch to rail and may be difficult to retime (e.g. for just-in-time deliveries) - but that various forms of intervention may have potential to trigger changes in behaviour change amongst the many individuals making short private car trips via the M27.



Highways England's Route Investment Strategy 1 (RIS1) the M27 Smart Motorway project aims to increase capacity, improve journey times and safety by upgrading the M27 between Junctions 4 and 11.

The M27 supports:

- The Port of Southampton; the 4<sup>th</sup> busiest in the UK and the premier port for cruise passengers with 1.8m per year (2016/17), it is the UK's leading port for exports and for trade with non-EU markets, handling £40bn/ year of exports, of which 90% are to non-EU markets. 13% of the UK's overall trade with the USA, Canada, Australia, New Zealand and the Pacific Rim countries is routed via Southampton port. Southampton is also the UK's busiest port for vehicle exports. The M3/M27 corridor is absolutely critical for efficient, reliable and safe connections from manufacturing areas in the Midlands to Southampton Port.
- Southampton Airport as the main regional airport serving almost 40 national and international destinations and in 2017 was used by 2.06m passengers;
- Portsmouth International Port which sees high volumes of trade through international ferry connections to France and Spain with 1.92m passengers and 3.8m tonnes of freight (the second busiest cross-channel port after Dover);
- HM Naval Base Portsmouth; the home port of the Royal Navy's new aircraft carriers;
- Both Southampton and Portsmouth are major gateways to the Isle of Wight with 8.9m passengers journeys and over 250,000 commercial vehicles crossing the Solent (2016/17);
- Whiteley and Segensworth as major centres of employment focused on M27 Junction 9 with large employers including Zurich Insurance, HSBC and the Office for National Statistics
- Significant retail and employment land uses in Hedge End, focused on M27 Junction 7

The Solent region is experiencing significant and ambitious growth:

- PWC's "Good growth for cities" report 2018 identified Southampton as the 3<sup>rd</sup> strongest economic performer between 2016 and 2018 out of 42 UK cities, whilst Portsmouth was places 16<sup>th</sup> (one place behind London)
- The Solent LEP's latest forecasts, which take into account Southampton Port's key role in post-Brexit trade, anticipate that from 2020 onwards, employment growth will accelerate, adding an additional 24,000 jobs in the Solent area- more than three times the amount of jobs created in the previous five-year period
- To support this level of positive economic growth PUSH (2016) has calculated that 104,000 new homes and 1,000,000m<sup>2</sup> of floor space will need to be delivered by 2036 and the 11 Local Planning Authorities in Solent are now planning for and delivering this additional development. This will primarily be focused on the two cities but development will occur in and around Fareham, Eastleigh and Havant.

## 2.2 Alternative modes on transport in the Solent sub-region

Other modes of transport provide alternatives to the M27 and M3 for local and strategic journeys:

- Rail – the network in Solent has around 70 miles of lines and 33 stations and broadly shadows the M27 corridor. The West Coastway Line from Southampton to Havant provides access to Fareham, Cosham and Swanwick (closest station to Whiteley), with a branch into Portsmouth from Cosham. The South West Main Line from Southampton to London passes Southampton Airport, and the Fareham-Eastleigh line serves Botley and Hedge End. Some employers provide their own shuttle buses for employees linking stations to workplaces,

particularly from Swanwick and Southampton Airport Parkway (e.g. HSBC to Whiteley). South Western Railway (the key train operating company in Solent) have franchise commitments for improvements to services in Solent (e.g. an additional hourly Portsmouth-Southampton service) in the coming years.

- Bus – in both cities there is a dense bus network with several key corridors in both cities having high frequency services connecting the city centres with main employment areas such as universities, hospitals, and business hubs. In Fareham & Gosport the award winning Eclipse bus rapid transit service provides a reliable alternative to the A32. There is also strong bus service (First X4/X5 “Solent Ranger”) which operates between Fareham and Southampton, broadly using the parallel A27 corridor. There are also several high frequency, high quality bus services in the Eastleigh and Havant areas- some of which parallel or cross parts of the A27, M27 and M3. However, bus services crossing north of the M27 to Whiteley, Hedge End and in some outlying areas are poor with low frequency or inconvenient or no service. The [Solent Go](#) multi-operator public transport smartcard, managed by Solent Transport, offers a number of all-operator bus and ferry tickets for multi-modal journeys around the Solent area. There are plans to extend Solent Go to rail services during 2019 or 2020.
- Active Travel – both Southampton and Portsmouth have cycle networks of variable quality, and are investing in expanding these networks to encourage more people to cycle for short journeys. Portsmouth in particular is flat and compact, and has good quality routes along much of the east and west sides of the city connecting well to some key employment areas and are developing their Local Cycling and Walking Infrastructure Plan. Meanwhile Southampton are in the process of delivering an ambitious cycle strategy which will deliver “Copenhagen style” cycle facilities on some of the busiest cycle corridors in the coming years.
- Ferry – local ferry services provide links across Portsmouth Harbour to Gosport, across the Hamble to Warsash, and from Hythe to Southampton. Isle of Wight ferry routes are also used on a daily basis by some commuters;
- My Journey – is the award-winning sustainable travel brand in the Solent region. My Journey is curated by Solent Transport, is used as a consistent brand for travel behaviour change related communications, messaging and initiatives by HCC, PCC and SCC, and has established itself as a key mechanism for changing people’s travel behaviours through engagement, journey planning, promotion and marketing work. My Journey enjoys remarkably high brand recognition, with surveys over several years establishing that 57% to 75% of individuals in the Solent area recognise the brand - a considerably higher level of public recognition than the brands used by several nation-wide level active travel campaign/ advocacy groups.



### 2.3 Challenges around air quality

Air quality is a major challenge in the Solent area, with transport a key contributor to breaches of legal NO<sub>x</sub> limits in a variety of locations around the Solent area. Three of the four Solent Transport member authorities are subject to directives from central government to undertake actions to improve air quality:

- Southampton and Fareham Borough were designated by DEFRA in the 2015 and 2017 National Air Quality Action Plans as Local Authorities with persistent exceedance of NO<sub>2</sub>/NO<sub>x</sub> emissions and were required to take local action to achieve statutory NO<sub>2</sub> limit values within the shortest possible time;
- Southampton City Council submitted a business case to DEFRA in January 2019 for funding for measures to be delivered working with partners as part of a bold new Green City Charter which will deliver compliance with the EU limit for nitrogen dioxide by 2020. This supersedes previous proposals for a charging Clean Air Zone in the city;
- In Fareham, a business case was submitted to DEFRA in late 2018 for funding for a variety of measures to bring air quality within legal limits as soon as possible at the northern end of the A32 and part of the A27 in Fareham town centre (part of the route from Gosport to the M27 at junction 11);
- Portsmouth City Council, with five designated Air Quality Management Areas (AQMA) including on the main corridors into the city from the M27/A27 including A2047, A3 and A2030, received a ministerial directive in October 2018 to assess options to improve air quality in light of continued breaches of legal NO<sub>2</sub> limits. Development of a full business case is now underway to be submitted 31 October 2019;
- In Eastleigh Borough the SRN (M3) has a direct impact on air quality with two AQMA being declared on or close to the M3, and there are also AQMA on two routes which are used by traffic accessing the M27 (northern end of Hamble Lane) or on journeys parallel to the M27 (A334 Botley High Street);
- It has been estimated that over 100 deaths in Southampton, 95 in Portsmouth can be attributed to poor air quality.

### 3. Strategic alignment with Highways England priorities

The introduction of TDM interventions by Highways England is an innovative approach, which brings new processes that deliver wider benefits aligning with HE's three imperatives of:

- Improving **customer** satisfaction during roadworks
- Supporting the **delivery** programme of roadworks, and
- Enhancing **safety**.

Whilst TDM is innovative for Highways England, this proposal takes advantage of the extensive experience of implementing travel behaviour change that has been gained by HCC, PCC, SCC and Solent Transport through delivery of large scale travel behaviour change campaigns since 2011 (funded through LSTF and more recently Access Fund funding).

The potential of TDM has been recognised by Highways England through a set of commitments defined in the Customer Delivery Plan 2018/19 and mandated in the Customer Service Strategic Plan, particularly in the Key Initiative to 'develop an approach and requirements for Travel Demand Management around Roadworks'. The proposed TDM programme would make a major contribution to early delivery of this objective, as well as being essential for the delivery of many of these commitments for the RIS1 programme in Solent.

## 4. Proposal development

A business case for a TDM programme consisting of complimentary capital and revenue funding was originally developed in 2017/18 by Solent Transport, HE's SES/ Operational Capability team, and Arup consultancy and was submitted for funding consideration via the **Innovation, Air Quality and Cycling, Safety and Integration Designated Funds**.

Whilst the M27/M3 TDM proposal was well-received, Highways England's Investment Decision Committee (IDC) highlighted that similar proposals were also emerging to support RIS1 schemes on southern parts of the M25, and also were being proposed as part of a range of interventions aimed at reducing congestion on the A27 in West Sussex.

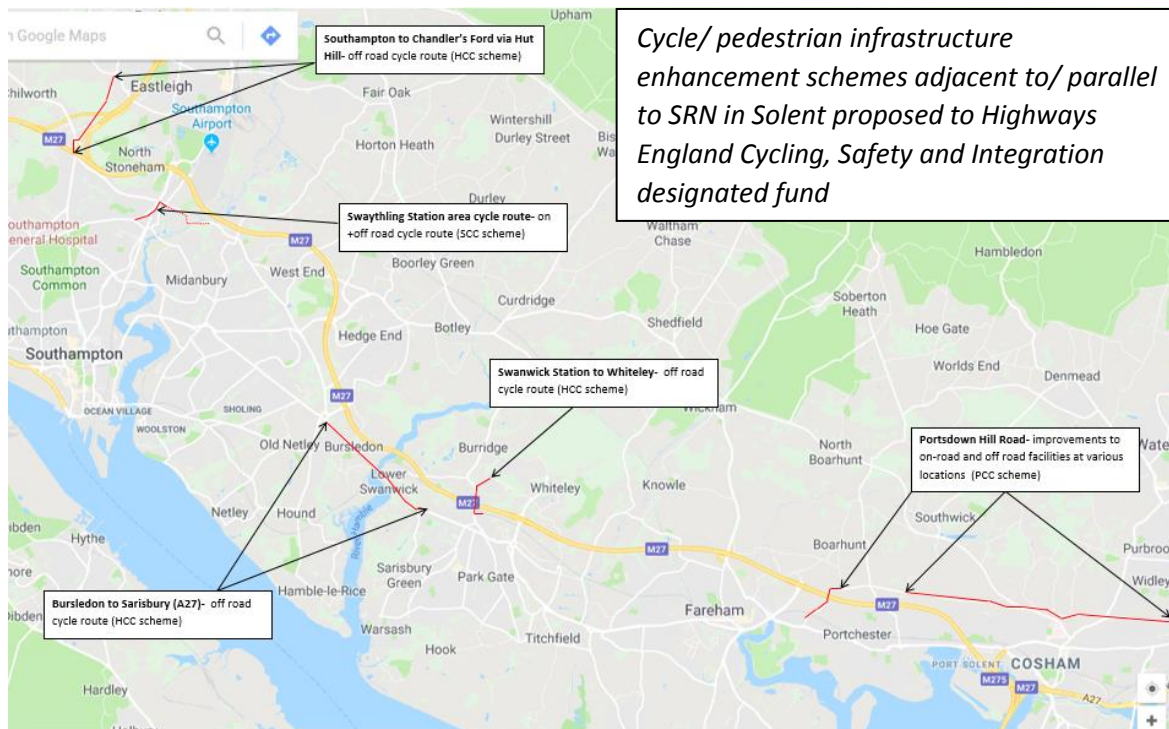
Consequently the IDC took the view that a TDM programme which combined the Solent proposal with these other elements should be developed. Funding was awarded to support development of a new, wider business case in support of this.

It is our understanding that an opportunity for funding from the 2019/20 financial year (final year of RIS1) exists, for delivery of a M27/M3 TDM project over an approximately 18 month period during the 2019/20 financial year and into the 2020/21 financial year, covering the timescales of the M27 SMP and early phases of the M3 SMP. This initial 18 month period could be treated as a pilot which could then be extended using funding from subsequent financial year(s) to deliver TDM supporting the M3 J9-14 SMP and other SRN schemes which follow the M27 SMP.

Solent Transport has worked closely with Highways England to revise and refine the original TDM proposal so it aligns as well as possible with HE's internal priorities, available funding, and funding timescales to maximise the chance of the TDM scheme receiving funding as part of a revised three-element programme also consisting of the Southern M25 and A27 TDM schemes.

This document provides the revised proposal from Solent Transport, which would constitute one element of three for the wider southern RIS1 TDM programme.

In parallel, HE's Cycling, Safety and Integration Designated Fund has initiated separate discussions regarding funding for capital-funded cycle infrastructure elements of the original Solent Transport TDM proposal. Separate discussions are now ongoing regarding potential funding of these interventions (shown in the map overleaf) which, if they are funded by HE's CS&I designated fund, would be highly complementary to the revised TDM proposal presented here. Consequently cycle infrastructure proposals (a major element of capital funding in the original proposal) have been removed from this proposal and are being progressed separately.



It is also important to note that there is an ongoing Strategic Network Management liaison/ workstream already in place for the M27 SMP, involving Highways England and Local Authority Traffic management teams, however this is focused on technical traffic management issues and their communication – actions to promote significant travel behaviour change is not in scope for this work.

## 5. Technical proposal

To mitigate both the air quality and congestion impacts of the construction of the M27 and M3 Smart Motorway Schemes a package of capital and revenue based interventions was proposed by the Solent Transport authorities (Hampshire, Portsmouth and Southampton) to Highways England in 2017/2018, to be delivered as part of a Travel Demand Management (TDM) programme based around a core approach of ‘Reduce, Remode, Retime, Reroute’:

- Reduce – the demand on the SRN,
- Remode – onto alternative modes,
- Retime – changes the time journeys are made,
- Reroute – on to alternative routes or modes.

This approach is based upon that taken by Highways England’s successful M62 SMS TDM pilot which achieved a positive impact and was very well received by road users and the relevant local authorities.

The M27/M3 TDM project would work to mitigate and manage the various types of impact of these major works on the SRN and on the adjoining local authority road network (LRN) by implementing three packages of actions to encourage commuters primarily to remode or retime their journeys to reduce impact on congestion and air quality, provide effective and coordinated communications about the works, and provide some small scale improvements to infrastructure in key locations.

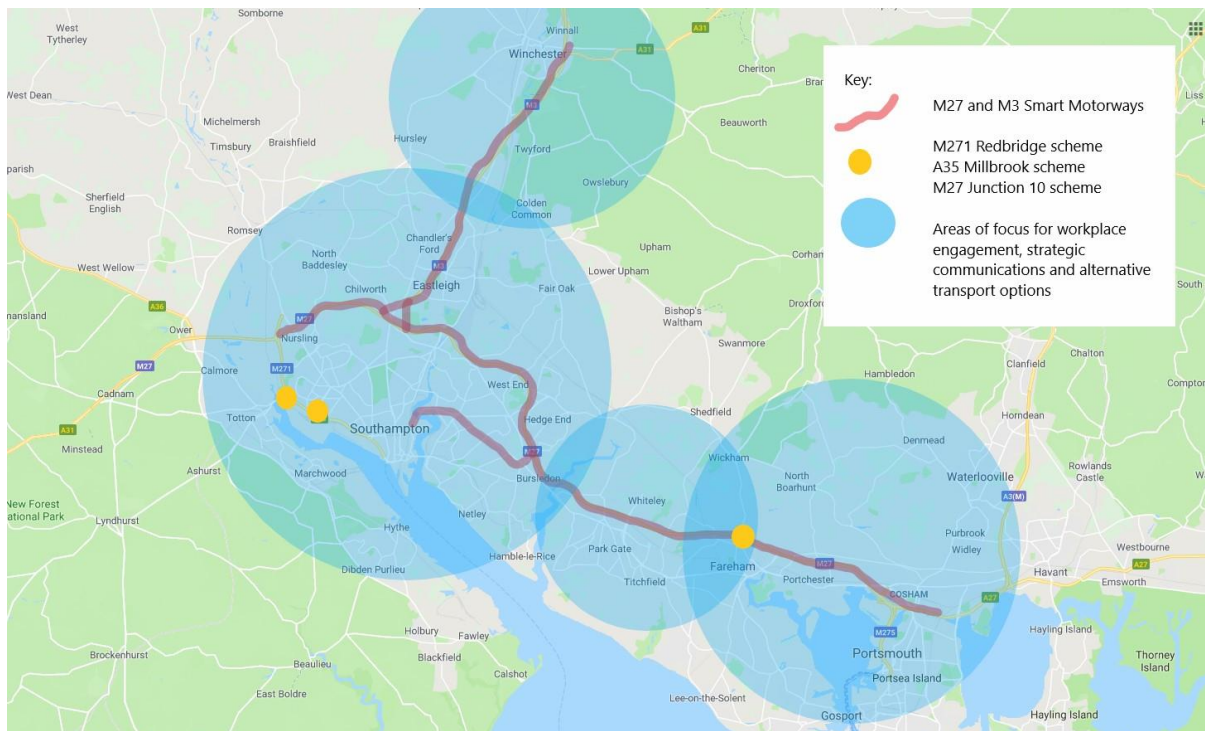
Additionally, the project would be designed and delivered so as to seek to maximise long term benefits, delivering lasting positive behaviour change, and also enabling transfer of learning to support other RIS1/ RIS2 schemes, including through feeding project outcomes into and supporting development of Highways England’s TDM toolkit.

The M27/M3 TDM package consists of three Core Themes:

1. Workplace Engagement
2. Communications
3. Alternative Transport Initiatives

The three core themes will be developed alongside the separate work stream associated with the Strategic Network Management of the Solent area during the HE RIS1 programme and delivery of other local major highway works and network events. This will be coordinated by the Local Highway Authorities working directly alongside Highways England and the respective Major Project teams responsible for delivery of the RIS 1 projects.

The 3 core TDM themes along with the Strategic Network Management provide a comprehensive and coherent package to directly support the delivery of major RIS 1 SRN improvements in the Solent area, and reduce impacts of these roadworks on SRN users, air quality, communities and the wider economy. These are expanded on below. The TDM programme is proposed to operate for 18 months (approximately October 2019 to March 2021) in line with availability of funding from the 2019/20 financial year. However all the elements proposed are scalable and extendable, and the proposal has been designed with an extension to cover the period through to 2023 in mind.



## 5.1 Workplace and Education Establishment Engagement

Through [the My Journey](#) programme, we will engage with the largest employers and education centres (Colleges, Universities & larger schools) located along the M27 corridor and in city centres which generate a significant number of trips to offer advice on travel options and journey planning,

offer a range of support and incentives to help tackle barriers to non-car travel, and offer a toolkit/menu of options to help businesses cope/manage disruption during the roadworks. These actions will also foster a longer term legacy of behaviour change for travel and air quality.

This work package is closely aligned with the current work programme in the Southampton-Hampshire Access Fund project.

The workplaces engagement would occur over the full 18 month period of likely funding availability, and would continue for the duration of any extension period which was awarded. Because the M27 SMP is already on site between Junctions 5 and 9 (Airport to Hedge End) and between Junctions 9 and 11 (Whiteley to Fareham), there will be reduced scope for behaviour change amongst users on the Whiteley to Fareham section of the M27, because the “event” (commencement of major roadworks) which may act as a trigger or “pressure point” - enabling more effective behaviour change according to behaviour change theory has already occurred. Nevertheless, ongoing disruption linked to the construction works presents the need for ongoing engagement with major employers and trip generators, despite the fact that the “change event” has already occurred here. Engagement within the city boundaries of Southampton and north towards Chandler’s Ford and Eastleigh will be prioritised in order to target areas prior to construction works to ready those impacted and offer them opportunities to change.

In workplaces the project would:

- Establish and develop a Travel Planners Network (TPN) based around **three** broad geographical locations to develop relationships and partnership working on influencing sustainable and clean travel and support members in implementing initiatives in their workplaces:
  - o Southampton Travel to Work Area (Southampton, Chandler’s Ford, Totton & Hedge End);
  - o Portsmouth Travel to Work Area (Whiteley, Segensworth, Portsmouth, Fareham, M27 Junction 9, Gosport, Havant & Waterlooville);
  - o M3 Smart Motorways (Chandler’s Ford, Eastleigh up to Winchester targeting major employers including Aviva, B&Q, IBM Hursley, Eastleigh Borough Council, and Southampton Airport)

The Southampton TPN already has 80 member organisations, including NHS, Universities, ABP, major employers such as Ordnance Survey and West Quay shopping centre, and colleges. The Southampton TPN covers over 30,000 employees, and one member organisation has seen a 10% reduction in single car occupancy journeys to work as a result of projects implemented with support from the Southampton TPN. This programme can be self-sustaining after the project and continue as a way of businesses supporting each other in promoting active and clean travel. The easit NETWORK operates in Portsmouth, and there is ambition to create and combine workplace and clean air network.

- Working with individual employers – more bespoke engagement with willing businesses to assist with understanding their travel patterns, implementing their Travel Action Plans, mitigate the impact of the works, provide memberships to the [Clean Air Network](#), run activities or initiatives such as Active Steps, and develop a Workplace Travel/Air Quality Champions. This would be supported by a capital grant scheme to provide infrastructure on-site (e.g. car/lift sharing spaces, alternative fuel promotion, cycle facilities etc.), and development of IT.

- A package of support Services that is offered to employees to widen their knowledge of other transport options where they can choose from a menu of items –Personal Journey Planning (PJP), information on alternative fuels, public transport ticketing offers, and Incentive Schemes

In education establishments the project would:

- Have a focus on clusters of schools, colleges and universities which are larger trip generators on the SRN. This means that colleges in particular would be a focus, as most FE colleges in the area have large catchments extending along the M27. Examples include Barton Peveril college in Eastleigh which attracts students from as far afield as Fareham and even northern parts of Portsmouth, South Downs and Havant College, which draws students from as far afield as Fareham and Gosport; Portsmouth Grammar School which has pupils living in areas as far away as Hedge End and Fareham, and University Technical College Portsmouth which has a large catchment outside of the city boundary. Some students at Portsmouth University and University of Southampton would also be in scope - whilst many students at these establishments live on campus or nearby, each also has a substantial body of students (particularly on part time, MSc or similar courses) who commute from further afield and are likely to use the M27 as part of their journeys - including from origins within the Solent sub-region.
- Some schools, particularly independent and faith schools tend to draw pupils from wider catchments meaning they are likely to generate some education trips along the SRN; whilst some other non-faith comprehensive schools (e.g. Wildern or Hamble College) are also known to have catchments which generate significant numbers of pupil journeys which cross or interact with the SRN.
- Provide structural support on the School's Travel Plans by offering incentives and information to students, staff and parents.
- Supplement and strengthen activities currently being delivered in schools via the Southampton TTW "Access" fund project e.g. school and college travel planning support, Sustrans Bike-it, and Clean Air Schools Challenge

Resources required – 2xFTE Workplace /Education Travel Plan Officers, budget for incentive & grant Schemes, general resources, and support services (particularly oriented towards cycling promotion)

Extension / resource sharing opportunities

Solent Transport and its Member authorities have identified that capability/ capacity/resource exists internally which would enable Solent Transport/ member authorities to manage and promptly deliver similar workplaces/ education engagement activities as part of the A27 corridor TDM proposal. Costs for this would be in line with the per FTE rates identified in this proposal and we could offer geographically conveniently based staff (Southampton/ [Portsmouth]) already in post to deliver this work on the A27 corridor. This approach could result in synergies and efficiencies across both projects. We would be happy to discuss this possibility and develop in more detail if requested by Highways England.



## 5.2 Strategic Communications

We would develop a Communications package that is two-fold – around the works themselves working closely with HE and the local highway authorities; and focused on promoting alternative methods of travel such as public transport or active modes. This would be aimed at both the general travelling public and specific markets both before and during the works. Effective communications can support Theme 1 and 2 to enable and encourage people to re-mode or reduce their need to travel with benefits for the network and air quality.

- Insight work with businesses, residents and other users of the highway network to help ascertain what the biggest challenges for these users will be during the roadworks, and identify the most effective forms of support and information required;

Undertake a construction work comms campaign, backing up and building upon existing communications via the Strategic Network Management workstream, but complementing basic information on road closures, diversions etc with additional efforts to promote alternatives: instead of messaging of “M27 closed between Whiteley and Fareham every evening this week, plan your journey”, messaging would become “M27 closed between Whiteley and Fareham every evening this week - but with up to four trains per hour in the evening on the parallel railway and discounts available for onward bus travel for Solent Go day ticket users- have you thought about diverting onto the train instead?”

- General promotion of the sustainable and clean alternatives – what they are – EV, bus, rail, active travel, ferry, how to use them, Wi-Fi/productivity
- Programme communications support- development of bespoke, distinctive, attractive, effective marketing and communications materials, imagery and messaging utilising the “[My Journey](#)” brand which enjoys high levels of local recognition to support the M27 TDM project and early phases of the M3 Smart Motorways programme and associated TDM

Resources required – 1x FTE Communications Officer, 0.4x FTE Solent Transport Communications Manager, My Journey Roadshow & Insight, 2-3 Annual Campaigns, General comms liaison with HE, wider areas comms (e.g. cruise, summer)

### Extension / resource sharing opportunities

As per above for the workplace engagement and related elements, Solent Transport believes there is potential for sharing of strategic communications resources between the Solent/ M27 TDM project, and the A27 TDM project focused on neighbouring West Sussex.

As per the case for workplace engagement, we already have suitable resource in place which could quickly be pivoted to implement strategic communications actions for the A27 TDM project. Shared delivery of strategic comms across both projects may also enable efficiencies and synergies. Costs for this would be in line with the per FTE rates identified in this proposal and Solent Transport would welcome discussion with Highways England on this possibility.

Whilst comms resource could be shared with the A27 TDM project, Solent Transport’s expectation is that outputs (messaging, style, visual identity, links to further information etc) delivered by a shared communications workstream would be consistent with the local communication campaign standards for the area targeted - i.e. utilising “My Journey” branding for the Solent project, and utilising (we anticipate) “[Travelwise](#)” branding for West Sussex.

There are also opportunities to extend the range of strategic communications activities should further funding become available beyond circa October 2020:

- Pre commencement campaign (akin to London 2012) for schemes such as M3 SMP, and more locally focused schemes, which provides a picture of what is going on, when and why but also informs users that travel conditions will change and that users should plan ahead, and provides early support on the possibilities of using alternative travel modes

### 5.3 Alternative Transport Initiatives

A package of revenue and small capital projects to enable the local transport network to serve new needs/ market opportunities created by the roadworks, can continue to operate reliably despite additional traffic on local networks, and can accommodate additional demand.

- Bus – targeted interventions to enhance the existing bus network and implement innovative new services with low-emission vehicles:
  - o Opening the HSBC shuttle service to Whiteley from Southampton city centre and Airport Parkway to a wider range of users, and potentially extending this service eastwards to Fareham and Portsmouth- supporting both access to Whiteley, and also delivering against a strategic aspiration for Southampton Airport (improved access from the east by non-car modes). As these services already operate under contract to the employers who commission them, these measures will be deliverable at relatively low cost and are a pragmatic way of widening use of existing resources.
  - o Similar enhancements to the SSE shuttle service in Havant and potentially employer shuttles in Eastleigh/ Chandler’s Ford areas
- Multi-modal travel: Implementation of an incentive/ discount scheme for rail tickets purchased using the [Solent Go public transport smartcard](#). Solent Go is operated and managed by Solent Transport, and South Western Railway has a franchise commitment to provide rail ticketing options on Solent Go. Work is underway to develop a Solent Go rail product for launch in late 2019/ early 2020. TDM funding would be used to increase the level of support available for an introductory discount scheme supporting the launch of Solent Go rail products. This would help to support modal shift to rail routes paralleling the M27 and take advantage of improved integration that would be offered by Solent Go rail products.
- ITS improvements along the A27 in Hampshire as it runs parallel with the A27 through installation of Bluetooth data collection, signal optimisation and EVMS
- Tactical Bus priority- traffic management actions and installation of bus priority equipment at certain signalised junctions where possible

## 6. Financial proposal

	Item of expenditure	Budget in UK Sterling
<b>Package 1: Workplace Engagement</b>	Workplace Travel Plan Officer (2xFTE)	£250,000
	Incentive & Grant Schemes	£120,000
	General Resources	£10,000
	Cycle Support Services (Get Cycle Savvy Pit Stop)	£30,000
	Package Total	<b>£410,000</b>
<b>Package 2: Strategic Communications</b>	Construction Work Campaign	£100,000
	Programme Communications	£50,000
	Walking and Cycling digital incentive platform/s	£70,000 £0
	Communications Officer (1.4xFTE)	£132,000
	Package Total	<b>£352,000</b>
<b>Package 3: Alternative Transport Incentives</b>	On-demand buses for businesses	£200,000
	Tactical bus priority	£250,000
	Rail Discounts	£100,000
	C-ITS Infrastructure	£300,000
	Package Total	<b>£850,000</b>
	Project Management (1xFTE)	£88,000
	Package Total	<b>£88,000</b>
	Total cost	<b>£1,700,000</b>

*Table 1 – Proposal Costs Detail*

Some elements of these costs could be scaled up or down if required. As identified on previous pages, there may also be potential for Solent Transport to share resources with or deliver parts of a proposed A27 (Sussex) TDM project, which is also being delivered.

## 7. Project management

### 7.1 Project Delivery

This project would be delivered by Solent Transport, a partnership body formed in 2007 comprising Hampshire County Council, Southampton City Council (SCC), Portsmouth City Council (PCC) and Isle of Wight Council (IOW). The Lead Authority/ budget holder for this project would be SCC, with support from the other participating authorities along the M27 corridor – PCC and HCC.

SCC have been identified as the lead authority because of the synergies between this proposal and the “Southampton: Driving our Cycling Ambition into Local Towns, Schools, Colleges and Workplaces” “Access” fund project which they are currently delivering across some of the Southampton Travel to Work area.

This project is currently delivering a variety of communications, behaviour change and active travel promotional activities in the Southampton Travel to Work area through until March 2020. More information on this project can be viewed [here](#). Experience built up from successful delivery of this project, and the “Better Connected South Hampshire LSTF project before it (2012-15) would be applied to the TDM proposal.

This TDM project would utilise the existing successful delivery and governance mechanisms in place for delivery of the SCC Access Fund project and would be treated as a “bolt-on” extension to this project (with appropriate adaptations). The governance arrangements / resource plans for the Access Fund project were specifically designed so they could be flexibly scaled up should enhancement opportunities –such as this-arise.

## 7.2 Governance

Governance arrangements will be focused on the Centre for Sustainable Travel Choices (CSTC) – a partnership between SCC, Sustrans and the University of Southampton to oversee and deliver sustainable transport programmes. This body was set up in 2012 to deliver the LSTF programme and has since been extended, and expanded to include Hampshire County Council to deliver the Access fund project. We propose that its membership would be further expanded to include Highways England and PCC for the M27 TDM project. Parallel to this, progress on the TDM project will be reported to the quarterly Solent Transport Joint Committee thus delivery would be directly reported to elected Members (Executive Members for Transport) for all three authorities affected by the M27 Smart Motorway scheme.

A Memorandum of Understanding for the proposed TDM project would set out, and secure partners commitments, to agreed roles and responsibilities, the requirement to meet quarterly at a Project Board, and ensure that the governance is correct for this proposal. This would be based on the existing MoU between partners.

The Project Board is proposed to consist of the following members:

- Solent Transport Joint Committee Chair - Cllr Jacqui Rayment (SCC Cabinet Member for Environment & Transport)
- HCC Cabinet Member for Environment & Transport, Cllr Rob Humby
- PCC Cabinet Member of Transport, Cllr (Cllr Lynne Stagg)
- Highways England route sponsor for M27 (John Henderson) or other appropriate HE representative (e.g... member of the M27 SMART project board)
- Senior Responsible Owner (potentially one SRO for all three of HCC,SCC, PCC, possibly provided by Solent Transport staff; or potentially three SROs- one for each authority)
- Senior Local Business Representative- Solent business Park (Whiteley) Management
- Head of Civil, Maritime and Environmental Engineering and Science, University of Southampton
- Director South, Sustrans
- Solent SRN RIS1 TDM project manager

The Senior Responsible Owners (SRO) would be Denise Edghill, Service Director Growth- SCC; Pam Turton , Assistant Director for Transport- PCC, and Frank Baxter, Strategic Transport Manager-HCC; or potentially the Solent Transport Manager Post and/or some combination of these SCC/PCC/HCC officers.

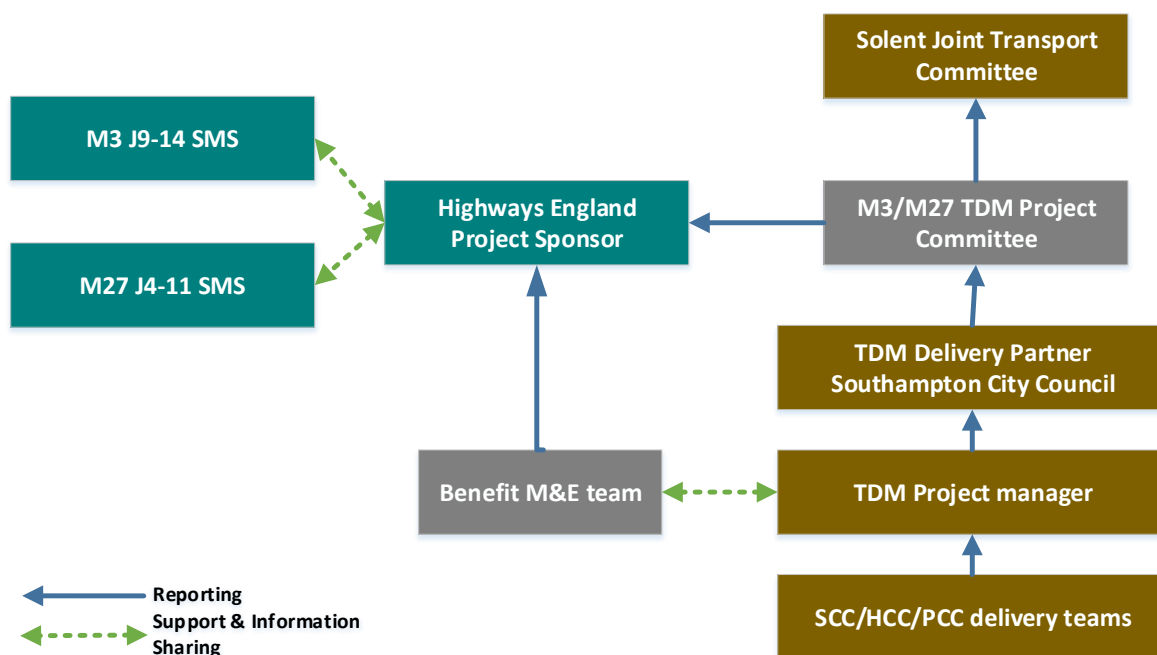
A dedicated Project Manager would be recruited specifically to deliver the TDM project, reporting to Neil Tuck, SCC's Sustainable City Team Leader (who also has overall responsibility for the Access Fund programme).

The Project Manager would take direct responsibility for the delivery of the programme according to the budget, as authorised by the Project Board, and within the timescales and parameters as agreed with Highways England in the event of the proposal being funded. The Project Manager and Sustainable City Team Leader would also report to the Solent Transport Senior Management Board to ensure strategic objectives and synergies across the partnership are being met.

If the political composition changes at any of the Member authorities, there would be no reduction in the support and commitment to the programme- there is strong commitment across all partners for delivery of both Solent Transport and sub-projects delivered by it.

A diagrammatic representation of the governance and delivery structure is shown below.

### M27/M3 TDM Project Governance Structure



### 7.3 Delivery Plan

Assuming the funding agreement is concluded and the proposal formally received by SCC by the end of October 2019, key milestones for delivery would be as follows:

#### Package 1 Workplace Engagement:

- Recruitment/reallocation of Workplace Travel Engagement officers: By October 2019 (using resources currently in place at SCC initially, with support from Sustrans with recruitment of dedicated resource for the Portsmouth Travel to Work Area for a concentrated 6 month period through to March 2020)

- Commencement of grant/ incentive schemes by January 2020 (to allow time for negotiation and set-up)

Package 2: Strategic communications

- Recruitment of Communications officer: By start October 2019 (using resources currently in place at SCC)
- Main construction works comms campaign: From November/December 2019 (to allow time for set-up of campaign)
- Walking & cycling digital incentives schemes: From August 2019 (to allow time for set-up of campaign and launch in key “back to school/ work” period in early September 2019)

Package 3 Alternative transport improvements:

- Opening of shuttle buses to public use: From September 2019 (to allow time for negotiation/ set-up and to enable launch in key “back to school/ work” period in early September 2019)
- Delivery of C-ITS, Tactical Bus Priority, Station Access schemes: Autumn/Winter 2019 (exact timescales TBC)

An outline project plan is provided overleaf.

		Jul-19	Aug-19	Sep-19	Oct-19	Nov-19	Dec-19	Jan-20	Feb-20	Mar-20	Apr-20	May-20	Jun-20	Jul-20	Aug-20	Sep-20	Oct-20	Nov-20	Dec-20	Jan-21	Feb-21	Mar-21
<b>Funding/PM/external milestones</b>																						
	Funding allocation agreed		#																			
	Project initiation processes at Solent Transport	#																				
	Recruit/appoint project manager					#																
	M27 Roadworks End																					
	M3 Roadworks begin																					
<b>Scheme/Element</b>	<b>Commentary</b>																					
<b>Package 1- Workplace Engagement</b>																						
Workplace Travel Plan Officers x2fte	Initial capacity implement workplace engagement provided by existing WPTP officer capacity at SCC			#																		
Incentive & Grant Schemes	Set-up of schemes including discounted bus tickets and other financial incentives for those who change their travel habits							#														
General Resources	Resources including branded equipment, comms materials, training, etc to support initiatives in workplaces					#																
Cycle Support Services	Services including Dr Bike for workplaces, cycle to work challenge etc				#																	
<b>Package 2- Strategic communications</b>																						
Construction Works Communications	Integrated, multi channel (incl vms) campaign to promote alternatives throughout works					#																
Programme Communications	Part of the proposed integrated, coordinated comms strategy					#																
Walking & cycling digital incentive programme (s)	Incentive campaign for cycling promotion							#														
Communications Officer (1.4xFTE)	Resource to deliver comms campaigns			#																		
<b>Package 3: Alternative Transport Improvements</b>																						
Shuttle Buses	Public access to existitng Whiteley/ Havant shuttle services;							#														
C-ITS Infrastructure	ITS improvements along the A27 - VMS, data collection, signal optimisation							#														
Tactical Bus Priority	Signal bus priority / TROs/ other measures to accelerate buses at key pinch points							#														
<b>Monitoring: to be specified/ led by HE/ Consultants</b>																						
	Programme of monitoring activities ongoing																					
	Publication of annual project report by Solent Transport					#											#					
	Study																					
	Design / consultation / procurement/recruitment																					
	Delivery / Promotion																					
	Monitoring & Evaluation																					

Whilst we are confident that Solent Transport and its member Authorities could mobilise quickly for most elements of Packages 1 and 2 (due to pre-existing delivery arrangements for many items), milestones for delivery of measures in Package 3 (Alternative Transport Improvements) would take longer to achieve as these capital schemes would need more time to prepare and mobilise.

Solent Transport and its Member authorities will continue to have the resources in place through collaboration with partners, such as Sustrans and University of Southampton, to deliver the proposals upon announcement of successful award of funding to time, budget and high quality.

All the Solent Transport authorities have an excellent track record in delivering various forms of sustainable travel, behaviour change and capital projects in their respective areas and have worked together on a number of previous projects through Solent Transport including the large LSTF Better Connected South Hampshire programme and now the Access Fund project.

- Portsmouth City Council has successfully delivered projects of these types using LSTF and STTY funding.
- HCC has successfully delivered a number of cycling and walking projects through a variety of schemes in the North Hampshire LSTF, Two Parks LSTF and Rural Transition Year programmes. These have all been delivered to their funding profiles and with high quality outputs and outcomes.
- Southampton City Council, as referred to elsewhere, is currently delivering an “Access” fund behaviour change project within and beyond its city boundaries, and successfully delivered many elements of the South Hampshire LSTF project

All three authorities have defined project management systems that follow the principles of PRINCE2 and use a staged gateway system.

Additionally, experience of delivery of these types of projects in the past means we are able to predict- and avoid- potential issues previously experienced. Our [LSTF “lessons learnt”](#) report demonstrates this, and these lessons learnt (e.g. time to initiate/ mobilise a project) has been incorporated into the project plan.

For capital /network management elements (eg Tactical bus priority, C-ITS infrastructure) each authority has appointed long term delivery partners for capital scheme delivery and network management:

- SCC’s Highways Partnership with Balfour Beatty Living Places (BBLP)
- PCC’s PFI highways maintenance contract with Ensign and transport framework consultant Atkins
- HCC’s Transport planning framework with Atkins & Hampshire Highways delivery partnership with Skanska.

Where specialist support is required this is already in place or will be obtained via open tenders following the SCC’s standard procurement process.

There will be ongoing liaison with Highways England and the Solent LEP on their larger scale infrastructure projects in the area.

## 7.4 Risk Management

Responsibilities for risk management are clearly defined within the CSTC Programme Manager job description. The Risk Management Strategy is summarised in the diagram below and is based on that in place for the current Sustainable Travel City programme



Refine programme objectives and delivery plan	<ul style="list-style-type: none"> <li>• Responsibility of Programme Manager</li> </ul>
Risk identification and assessment	<ul style="list-style-type: none"> <li>• Responsibility of Programme Manager (support from team)</li> <li>• Report initially to SRO</li> </ul>
Present risk register and mitigation measures	<ul style="list-style-type: none"> <li>• Present to Centre for Sustainable Travel Choices Board</li> </ul>
Update risk register (after each board)	<ul style="list-style-type: none"> <li>• Programme manager revisits risk register and amends</li> </ul>
Risk monitoring and mitigation (minor)	<ul style="list-style-type: none"> <li>• Bi-weekly monitoring with Programme Management team meetings</li> </ul>
Risk monitoring and mitigation (major)	<ul style="list-style-type: none"> <li>• Bi-weekly monitoring with Programme Management team meetings</li> <li>• Regular monitoring within monthly Integrated Transport Board</li> </ul>
Report to Board	<ul style="list-style-type: none"> <li>• Report on status of risks every quarter to the Centre for Sustainable Travel Choices Project Board</li> </ul>

It is our perception is that a key external risk, not easily in control of the project, is changes or delays to the M27 Smart Motorway capital works programme. This could then cause knock-on impacts to the TDM project delivery and timescales.

Having Highways England representation in the governance structure and strong engagement with Highways England in the planning of the project is seen as key to addressing this risk, by ensuring that the TDM project manager is aware of potential implications for delivery of this scheme as soon as Highways England are aware of potential changes to the M27 project.

Also, whilst not explicitly a risk, the limited 18 month scope ((as we understand it) of the funding opportunity that may be available limits the potential for longer term sustained behaviour change interventions which may in turn constrain achievement of maximum value from the project - hence Solent Transport would be keen to secure funding from Highways England to extend the project to 2023.

## 7.5 Stakeholder Management

The success of the programme depends on the engagement and support of wide array of stakeholders acting either as promoters, advocates or delivery agents to various projects and initiatives.

Solent Transport and its partners enjoy strong engagement at a strategic and management level with all key stakeholders across the Solent area through our involvement in (and in some cases leadership of) various structures of engagement. This would be used to give the TDM project a high profile and visibility amongst senior representatives of key stakeholders in the area, and would aim to improve the perception of the M27 scheme by demonstrating that Highways England & the Solent Transport authorities, working together, are taking pro-active measures to reduce the impacts of the roadworks both on businesses, residents, and the environment. Ongoing engagement mechanisms which allow us to reach senior staff at key partners include:

- Solent Transport Strategy working group (with attendance from Solent LEP, bus & rail operators, Sustrans, DfT and Highways England)
- Hampshire Chamber of Commerce Planning & Transport Committee/ Hampshire Chamber of Commerce

- Business South
- South Hampshire Bus Operators Association meetings
- Southampton Travel Plan Network
- Portsmouth Travel to Work Area Travel Plan Network
- Southampton and Portsmouth cycle forums

Each of the above groups has extensive contact lists and social media presences. These organisations will also be consulted early on in the project to ensure that engagement activities with their members are well-considered and effective.

Each Transport Authority has strong communication channels reaching many of its own residents. For example, Southampton City Council currently has 11,000 residents signed up for the “Stay Connected” e-bulletin. These communications channels would be used during the implementation of various elements of the strategic communications workstream.

Schools, colleges and the universities are also key stakeholders. The two Southampton-area universities are already members of the Southampton Travel to Work area Travel Plan Network, and support will be given to their communications team to widen the message to their students and staff. University of Portsmouth will also be supported through the Portsmouth Travel to Work Area Travel Plan Network, and all three would be engaged in Summer 2019 to inform incoming students in Autumn 2019. Stakeholder engagement with area colleges and schools will be initiated through existing relationships with the local authorities, and cluster groups will be an additional way to check stakeholder involvement and support during the programme.

Sustrans would lead on the individual engagement of key stakeholders from the business, education and community sector, with the communications aspect of the programme ensuring that alternative contact details for the programme are provided to allow for any concerns to be raised.

Stakeholder management would be undertaken in accordance with RACI principles. Stakeholders are identified according to their role in project delivery and the extent to which they are directly involved into one of four categories (see Table 2 below).

- 1) Responsible – The Stakeholder is directly involved in delivery of the project
- 2) Accountable – The Stakeholder is accountable for delivery and spend
- 3) Consultee – The Stakeholder has a direct interest in the project and needs to be formally consulted as part of the project delivery
- 4) Informed – The Stakeholder has no direct interest in the project but is informed of progress as part of a regular dialogue on delivery of the overall programme.

Scheme/Element	Stakeholders																											
	SCC / PCC / HCC Transport Policy	Solent Transport team	Highways England	Solent area businesses and employees	SCC / PCC / HCC Economic Developm	Solent LEP	Sustrans	Hampshire Chamber of Commerce	South Hants Bus Operators Assoc.	Fareham Borough Council	Test Valley Borough Council	New Forest District Council	Eastleigh Borough Council	Gosport Borough Council	HCC / SCC / PCC Public Health	Area residents	Uni of Sot'on / Solent / Uni of P'mth	FE Colleges and Sixth-Forms	Area schools	Key employers & business parks	South Western Railway	Great Western Railway	Southern Rail	Port of Southampton	HMNB Portsmouth	Local Cycling Groups	Voluntary Partners	Emp. Support Providers
<b>Package 1- Workplace and Education Engagement</b>																												
Workplace Travel Plan Officers x2fte	A	R	C	C	I	I	A	C	I	C	C	C	C	C	C	I	R	C	C	C	I	I	R	R	I	I	I	
Incentive & Grant Schemes	A	C	C	C	I	I	R	C	C	C	C	C	C	C	C	I	C	C	C	C	C	C	C	I	I	I	I	I
General Resources	A	I	C	C	I	I	R	I	I	C	C	C	C	C	C	I	C	C	C	C	I	I	I	I	I	I	I	I
Cycle Support Services	A	I	I	C			R	I	I	C	C	C	C	C	C	I	C	C	C	C				I	I	I	I	I
<b>Package 2- Strategic communications</b>																												
Construction Works Communications	A	C	R	I	C	I	I	I	I	I	I	I	I	I	I	I	I	I	I	I	C	C	C	I	I	I	I	I
Programme Communications	A	I	C	I	C	I	C	I	R	R	R	R	R	R	R	C	C	C	C	I	C	C	R	R				
Walking & cycling digital incentive platforms	A	I	C	C	C	I	R	C	I	C	C	C	C	C	C	C	C	C	C	C	I	I	I	I	I	I	I	
Communications Officer (1.4xFTE)	A	C	I	I	I	I	I	I	I	C	C	C	C	C	C	I	I	I	I	I	I	I	I	I	I	I	I	
<b>Package 3: Alternative Transport Improvements</b>																												
Widening reach of shuttle buses	A	R	C	C	I	I		C	R	I	I	I	I	I		I	C	I		R	C	C	I				I	
C-ITS Infrastructure	A	R	I	I				I	C	I	I	I	I	I			I											
Tactical Bus Priority	A	R	I	I				I	R	C	C	C	C	C		I	C	I										

An annual project report will be produced each summer and uploaded to relevant websites and circulated to all stakeholders. A public facing summary document would be prepared and made available to residents and Members.

## 7.6 Delivery track record

PCC, SCC and HCC have shown throughout their respective LSTF programmes between 2011 and 2017 that they are able to consistently deliver complex projects, including capital and active travel schemes, on time and to budget to the satisfaction of external funders. Examples include:

- £4.5m Better Bus Area Fund – working with SHBOA on delivering improvements to the image and quality of the bus in South Hampshire;
- £31m Better Connected South Hampshire (My Journey) programme including introduction of multi modal Solent Go smartcard;
- Southampton : £3.2m Access Fund programme (2016), £8m Platform to Prosperity (2013), £7m Station Quarter North (2015), £0.1m C-ITS Bluetooth (2017), working with Highways England on M271 Redbridge Roundabout and M27 Southampton Junctions projects;
- Portsmouth : £700k Sustainable Travel Transition Year project, £7m Hard Interchange project;
- Hampshire: £0.6m Rural Area Sustainable Travel Transition Year, £25m Fareham-Gosport Eclipse Bus Rapid Transit

Solent Transport has a proven coordination role across many of these schemes as well as being able to demonstrate delivery of major projects itself (e.g. Better Bus Area Fund project, and implementation of pan-Solent resources with distinctive brands i.e. My Journey and Solent Go).

This is further evidenced through the acknowledgement at the National Transport Awards with multiple awards won by Solent Transport member authorities in the last five years.

This M27/M3 TDM programme builds up the successful delivery of these programmes across the sub-region, and will seek to continue many of the relationships and established initiatives. This will ensure that the team is able to continue the work and focus on improving air quality and the local economy through cost-effective evidence based initiatives.

Solent Transport is supported by all three authorities with resources on call from each of them, as well as some of its own dedicated resources.

The legal agreement between HCC, SCC, Sustrans and the University of Southampton for the Centre for Sustainable Travel Choices is in place and would be considered for extension to ensure that PCC and Highways England are included should funding be secured.

For projects that are not able to be delivered in-house or through this partnership, they will either be delivered via the SCC Highways Partnership with BBLP, HCC and PCC's Framework with Atkins, PCC's highways maintenance contract with Ensign, or by HCC's highways partnership with Skanska. Additional external delivery partners if required can also be procured via each authority's standard procurement procedure.

## Appendix 1 – Benefits monitoring and evaluation strategy outline

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<b>DECISION-MAKER:</b>	<b>CABINET</b>		
<b>SUBJECT:</b>	<b>SECURITY SERVICES CONTRACT</b>		
<b>DATE OF DECISION:</b>	<b>17 SEPTEMBER 2019</b>		
<b>REPORT OF:</b>	<b>CABINET MEMBER FOR RESOURCES</b>		
<b><u>CONTACT DETAILS</u></b>			
<b>AUTHOR:</b>	<b>Name:</b>	<b>Paul Paskins, Service Lead: Supplier Management</b>	<b>Tel:</b> 023 80834353
	<b>E-mail:</b>	<b>paul.paskins@southampton.gov.uk</b>	
<b>Director</b>	<b>Name:</b>	<b>James Strachan, Service Director: Digital &amp; Business Operations</b>	<b>Tel:</b> 023 80833436
	<b>E-mail:</b>	<b>James.strachan@southampton.gov.uk</b>	

<b>STATEMENT OF CONFIDENTIALITY</b>	
Not applicable	
<b>BRIEF SUMMARY</b>	
Southampton City Council (“the Council”) requires services to maintain the security of buildings within its asset portfolio. Following a procurement exercise, it is recommended that Cabinet approve the award of a five-year contract to Vertas Group Ltd, at an estimated total cost of £1.44M over the duration of the contract.	
<b>RECOMMENDATIONS:</b>	
	(i) To approve the award of a Security Services contract to Vertas Group Ltd for a five-year period.
<b>REASONS FOR REPORT RECOMMENDATIONS</b>	
1.	To enable essential security services to be readily available to the Council, adhere to the Council’s Contract Procedure Rules (CPRs) and public procurement legislation and achieve Best Value.
<b>ALTERNATIVE OPTIONS CONSIDERED AND REJECTED</b>	
2.	To award a contract for a shorter duration. This option was rejected as the result of offering the certainty of a longer term contract is that market is more likely to provide more advantageous prices and solutions. In addition, this approach reduces the costs and resources required to undertake repeat procurement exercises over the period and the disruption of potentially engaging an alternative supplier in the short term.
3.	To discontinue utilising security services. This option was rejected as the risks, when assessed against the benefits and costs of continuing to utilise security services, are substantial.
<b>DETAIL (Including consultation carried out)</b>	
4.	Security services are required for Council offices and satellite buildings across the city. These services include security guarding, mobile patrols and key holding.
5.	The security services are essential in order to protect the Council’s buildings and assets by reducing the incidence of costs and risks of vandalism, break-in,

	fire and water damage provide effective and speedy responses to urgent facilities issues.
6.	A tendering process was last undertaken in 2010.
7.	In order to develop a corporate approach and benefit from aggregating the Council's requirements, an officer project group was convened to design a Council-wide specification in order to incorporate all requirements for security services.
8.	An expenditure analysis was undertaken to inform the procurement strategy and assess the likely costs of the contract.
9.	As a result, an "open" procurement process was undertaken inviting tenders for the required range of services.
10.	This process resulted in Vertas Group Ltd winning the evaluation associated with the procurement process.
11.	Awarding a contract to the winning bidder will ensure that the Council's security service requirements are compliant with the Contract Procedure Rules, which form part of the Constitution.
12.	The Financial Procedure Rules (B.41) require Cabinet authorisation for spend values of £500,000 or more. The Rules (B.26) also require Cabinet authorisation for a commitment for future years' spend. As this contract spans 5 years, over the period 2019-2024, a budgetary commitment will be required.
<b>RESOURCE IMPLICATIONS</b>	
<b><u>Capital/Revenue.</u></b>	
13.	Revenue budgets will need to be allocated to cover the cost for 5 years (Financial Procedure Rules B.26 – Commitment for future years' spend).
<b><u>Property/Other Not applicable</u></b>	
14.	The contract will support the maintenance of effective security services to help to ensure that the asset portfolio can be effectively managed in a secure manner.
<b>LEGAL IMPLICATIONS</b>	
<b><u>Statutory power to undertake proposals in the report:</u></b>	
15.	s.111 Local Government Act 1972 and S.1 Localism Act 2011.
<b><u>Other Legal Implications:</u></b>	
16.	This contract will enable the associated services to be purchased in a manner which is fully compliant with the Contract Procedure Rules and public procurement legislation.
<b>RISK MANAGEMENT IMPLICATIONS</b>	
17.	The contract will mitigate the risks of financial loss and service interruption which may otherwise occur as a result facilities related issues including, but not limited to, vandalism, fire, break-in and water damage.
18.	Entering into a contract of this value carries a moderate amount of risk. This will be mitigated by the appropriate clauses within the contract to protect the Council's interests.
19.	Good contract management and monitoring is also essential to ensure that the service is delivered within agreed specification and financial parameters;



	this function will be assumed by the Council's Supplier Management service in order to mitigate these risks.
<b>POLICY FRAMEWORK IMPLICATIONS</b>	
20.	This contract and its services are consistent with the Council's policies and strategies.

<b>KEY DECISION?</b>	<b>Yes</b>
<b>WARDS/COMMUNITIES AFFECTED:</b>	Not Applicable
<u>SUPPORTING DOCUMENTATION</u>	
<b>Appendices</b>	
1.	None.

**Documents In Members' Rooms**

1.	Data Protection Impact Assessment.
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**Equality Impact Assessment**

<b>Do the implications/subject of the report require an Equality and Safety Impact Assessment (ESIA) to be carried out.</b>	<b>No</b>
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**Data Protection Impact Assessment**

<b>Do the implications/subject of the report require a Data Protection Impact Assessment (DPIA) to be carried out?</b>	<b>Yes</b>
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**Other Background Documents**

**Other Background documents available for inspection at:**

<b>Title of Background Paper(s)</b>	<b>Relevant Paragraph of the Access to Information Procedure Rules / Schedule 12A allowing document to be Exempt/Confidential (if applicable)</b>
N/A	

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