

# COUNCIL MEETING

Wednesday, 17th November,  
2021  
at 4.00 pm

Guildhall, Southampton

## **This meeting is open to the public**

### **Members of the Council**

The Mayor – Chair

The Sheriff – Vice-chair

Leader of the Council

Members of the Council (See overleaf)

### **Contacts**

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<b>WARD</b>	<b>COUNCILLOR</b>	<b>WARD</b>	<b>COUNCILLOR</b>
<b>Bargate</b>	Bogle Noon Dr Paffey	<b>Millbrook</b>	G Galton S Galton Moulton
<b>Bassett</b>	Hannides B Harris L Harris	<b>Peartree</b>	Houghton Bell J Payne
<b>Bevois</b>	Rayment Denness Kataria	<b>Portswood</b>	Cooper Mitchell Savage
<b>Bitterne</b>	Magee Prior Streets	<b>Redbridge</b>	Guest McEwing Spicer
<b>Bitterne Park</b>	Fuller Harwood White	<b>Shirley</b>	Chaloner Coombs Kaur
<b>Coxford</b>	D Galton Professor Margetts Renyard	<b>Sholing</b>	J Baillie Guthrie Vaughan
<b>Freemantle</b>	Leggett Shields Windle	<b>Swaythling</b>	Bunday Fielker Vassiliou
<b>Harefield</b>	P Baillie Fitzhenry Laurent	<b>Woolston</b>	Hammond W Payne Stead

## **PUBLIC INFORMATION**

### **Role of the Council**

The Council comprises all 48 Councillors. The Council normally meets six times a year including the annual meeting, at which the Mayor and the Council Leader are elected and committees and sub-committees are appointed, and the budget meeting, at which the Council Tax is set for the following year.

The Council approves the policy framework, which is a series of plans and strategies recommended by the Executive, which set out the key policies and programmes for the main services provided by the Council. It receives a summary report of decisions made by the Executive, and reports on specific issues raised by the Overview and Scrutiny Management Committee. The Council also considers questions and motions submitted by Council Members on matters for which the Council has a responsibility or which affect the City.

## **PUBLIC INVOLVEMENT**

**Questions:-** People who live or work in the City may ask questions of the Mayor, Chairs of Committees and Members of the Executive. (See the Council's Constitution ref Part 4 Council Procedure Rules 10.8)

**Petitions:-** At a meeting of the Council any Member or member of the public may present a petition which is submitted in accordance with the Council's scheme for handling petitions. Petitions containing more than 1,500 signatures (qualifying) will be debated at a Council meeting. (See the Council's Constitution ref Part 4 Council Procedure Rules 10.1)

**Representations:-** At the discretion of the Mayor, members of the public may address the Council 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.

**Deputations:-** A deputation of up to three people can apply to address the Council. A deputation may include the presentation of a petition. (See the Council's Constitution ref Part 4 Council Procedure Rules 10.7)

## **MEETING INFORMATION**

**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.

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

Southampton: Corporate Plan 2020-2025 sets out the four key outcomes:

- Communities, culture & homes - Celebrating the diversity of cultures within Southampton; enhancing our cultural and historical offer and using these to help transform our communities.
- Green City - Providing a sustainable, clean, healthy and safe environment for everyone. Nurturing green spaces and embracing our waterfront.
- Place shaping - Delivering a city for future generations. Using data, insight and vision to meet the current and future needs of the city.
- Wellbeing - Start well, live well, age well, die well; working with other partners and other services to make sure that customers get the right help at the right time

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

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

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

Proposed dates of meetings	
2021	2022
21 July	23 February (Budget)
15 September	16 March
17 November	18 May (AGM)

### **CONDUCT OF MEETING**

#### **FUNCTIONS OF THE COUNCIL**

The functions of the Council are set out in Article 4 of Part 2 of the Constitution

#### **RULES OF PROCEDURE**

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

#### **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 16.

### **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.

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.

Richard Ivory  
Service Director, Legal and Business Operations  
Civic Centre, Southampton, SO14 7LY

Tuesday, 9 November 2021

**TO: ALL MEMBERS OF THE SOUTHAMPTON CITY COUNCIL**

You are hereby summoned to attend a meeting of the COUNCIL to be held on WEDNESDAY, 17TH NOVEMBER, 2021 in the COUNCIL CHAMBER CIVIC CENTRE at 2:00pm when the following business is proposed to be transacted:-

**1 APOLOGIES**

To receive any apologies.

**2 MINUTES (Pages 1 - 10)**

To authorise the signing of the minutes of the Extraordinary Council Meeting held on 11<sup>th</sup> October, 2021 attached.

**3 ANNOUNCEMENTS FROM THE MAYOR AND LEADER**

Matters especially brought forward by the Mayor and the Leader.

**4 DEPUTATIONS, PETITIONS AND PUBLIC QUESTIONS**

To receive any requests for Deputations, Presentation of Petitions or Public Questions.

**5 LOCAL APPOINTMENT OF EXTERNAL AUDITORS (Pages 11 - 24)**

Report of the Executive Director for Finance, Commercialisation and S151 Officer setting out proposals for appointing the external auditor to the Council for the 2023/24 accounts and beyond.

**6 RIVER ITCHEN FLOOD ALLEVIATION SCHEME □ (Pages 25 - 38)**

Report of Councillor Galton, Cabinet Member for Environment detailing the River Itchen Flood Alleviation Scheme.

**7 SOUTHAMPTON - MUMBAI TWINNING (Pages 39 - 48)**

Report of the Deputy Leader of the Council seeking agreement to the signing of an Memorandum Of Understanding with our counterparts in Mumbai, signalling our intention to 'twin' with Mumbai, and agreeing that we will further discussions towards the ambition of agreeing a Civic Twinning arrangement.

**8 INTEGRATED TRANSPORT & HIGHWAYS PROGRAMME 2021/22 - APPROVAL TO SPEND □ (Pages 49 - 62)**

Report of the Cabinet Member for Growth seeking approval to spend on the Integrated Transport and Highways Programme 2021/22.

**9 DIVERSITY AND INCLUSION PLEDGE** (Pages 63 - 72)

Report of the Leader of the Council seeking approval for the formal adoption of a Diversity and Inclusion pledge linked to the Equalities Act 2010. The pledge seeks to commit the Council as a colleagues, an employer and partner in exceeding our responsibilities under the legislation and ensuring we support all those that work with the Council and be the most Diverse and Inclusive Employer that the Council can be.

**10 GAMBLING ACT STATEMENT OF LICENSING PRINCIPLES** (Pages 73 - 178)

Report of Executive Director of Communities, Culture and Homes proposing the adoption of the Gambling Act 2005 Statement of Licensing Policy after its triennial review.

**11 EXECUTIVE BUSINESS REPORT NOVEMBER 2021** (Pages 179 - 186)

Report of the Leader of the Council outlining Executive Business conducted since October 2021.

**12 MOTIONS**

(a) Moved by Councillor Mitchell

“This council recognises the urgency of tackling the climate crisis, particularly for Southampton, which as a coastal city will face many of the worst consequences of climate change.

This council accepts that relying on the Government’s 2050 Net Zero target for our city is too late and lacks ambition. Council commits to take the lead in tackling the climate crisis during this decisive decade and pledges to make the city of Southampton Net Zero by 2035.”

(b) Moved by Councillor Margetts

“This council recognises that childhood poverty in Southampton has a detrimental outcome for future generations in our city. Council further notes that initiatives such as the Right to Food seek to ensure that food is sustainability produced, meets dietary needs and is both available and affordable. Food security can be achieved through action such as Universal Free School Meals, Community Kitchens, and calculating wage rates for families to be able to afford a healthy diet.

This Council is committed to ending food poverty in our city and therefore commits to:

1. Join other cities across the UK, including Portsmouth, to declare Southampton a *Right to Food City*
2. Build on SCC’s child obesity strategy by taking steps to support community kitchens and local food initiatives
3. Designate a lead member for food poverty in Southampton to champion and

- coordinate cross-party and multi-agency efforts across the city
4. Write to all three Southampton MPs to ask them to support legislation to enshrine a Right to Food into UK Law”.

**13 QUESTIONS FROM MEMBERS TO THE CHAIRS OF COMMITTEES OR THE MAYOR**

To consider any question of which notice has been given under Council Procedure Rule 11.2.

**14 APPOINTMENTS TO COMMITTEES, SUB-COMMITTEES AND OTHER BODIES**

To deal with any appointments to Committees, Sub-Committees or other bodies as required.



Richard Ivory  
Service Director – Legal and Business Operations

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## SOUTHAMPTON CITY COUNCIL

### MINUTES OF THE EXTRAORDINARY COUNCIL MEETING HELD ON 11 OCTOBER 2021

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#### Present:

The Mayor, Councillor Houghton  
The Sheriff, Councillor Rayment  
Councillors Magee, Moulton, Vassiliou, D Galton, Denness, Stead, P Baillie, J Baillie, Bell, Bogle, Bunday, Chaloner, Coombs, Cooper, Fielker, Fitzhenry, Fuller, G Galton, S Galton, Guthrie, Hammond, Hannides, B Harris, L Harris, Harwood, Kataria, Kaur, Laurent, Leggett (except items 27-31 and 35-37), Professor Margetts, Mitchell, Noon, Dr Paffey, W Payne, Prior, Renyard, Savage, Shields, Spicer, Streets, Vaughan, White and Windle

#### 27. APOLOGIES

It was noted that apologies had been received from Councillors Guest, McEwing and J Payne.

#### 28. MINUTES

**RESOLVED** that the minutes of the Meetings held on 21<sup>st</sup> July, 2021 be approved and signed as a correct record.

#### 29. ANNOUNCEMENTS FROM THE MAYOR AND LEADER

Announcements from the Mayor:

##### (i) Afghan Refugees

Members, I would like to recognise the incredible contribution from staff across the council, working in partnership with colleagues from the NHS, voluntary sector and central government departments, in supporting a large group of Afghan evacuees who arrived in our city 3 weeks ago at very short notice as part of the Afghan resettlement scheme. Operation Warm Welcome has seen the council work tirelessly to support these families, who have come to the UK to start a new life. We are currently looking after our Afghan friends whilst more permanent arrangements are made to secure them accommodation in the UK. It has been a truly heart-warming effort from many people across the council in supporting and caring for these individuals, and I know from the responses received they are incredibly grateful to the city council and other local organisations who are helping them.

##### (ii) Death of Greg Gilbert

Members, it is with sadness I announce the recent passing of Greg Gilbert – front man for the Delays and an artist. He is represented in the Art Gallery collection and his work is on show in the Art Gallery at the moment as part of a new exhibition. I am pleased to

say that a picture of it on display was sent to him when he was in the hospice so he did see it just before he died. Council stood for a minute's silence.

(ii) The Mayor reflected on events in the City over the past weeks many of which were returning following the pandemic restrictions, including the Southampton Boat Show, the ABP Southampton Marathon, Reclaim Festival, Music in the City and the Solent University graduation celebrations.

Announcements from the Leader:

(i) Change to Cabinet responsibilities

I'd like to formally announce a change in Cabinet responsibilities for Waste and Open Spaces (City Services) from Cllr Steve Galton to Cllr Rob Harwood.

(ii) City of Culture Bid 2025

In addition, I'd like to take a moment to mention the City of Culture and send congratulations to staff and partner organisations from across Southampton who have helped us to secure a place in the final 8 of the UK City of Culture bid 2025. This is a fantastic achievement, having been up against 20 other bids, and secures our position in the next chapter of the process. City of Culture status will bring huge benefits to our city and we wish everyone involved the very best of luck as we move forward with our bid.

30. DEPUTATIONS, PETITIONS AND PUBLIC QUESTIONS

It was noted that no deputations, petitions or public questions had been received.

31. EXECUTIVE BUSINESS

The report of the Leader of the Council was submitted setting out the details of the business undertaken by the Executive.

The Leader and the Cabinet made statements and responded to questions.

The following questions were submitted in accordance with Council Procedure Rule 11.1:-

1. Life Expectancy

Question from Councillor Fielker to Councillor Fitzhenry

The gap in life expectancy between the most and least deprived neighbourhoods in Southampton is almost 10 years. Why then has your administration removed reducing this gap as a measure to success in your new corporate priorities?

Answer

The measures we chose for the plan, were selected on the basis that City Council activity had a substantial impact on the outcome/measure and the timeframe of the plan

– ie 4 years, with a focus on change in the next 2. The measure is obviously important, but not included in the Corporate Plan as life expectancy is a measure in the current Health and Wellbeing Strategy; Health and Wellbeing Strategy 2017-2025 (southampton.gov.uk).

## 2. Health in Planning

Question from Councillor Professor Margetts to Councillor White

What steps in the administration taking to include health as a factor in planning applications?

Answer

The issue of health and planning was referred to officers shortly after we took control of the Council and following advise it was decided that we would not pursue any planning policy changes.

## 3. Buses

Question from Councillor Bogle to Councillor Moulton

The Government's National Bus Strategy requires bus usage to increase beyond pre-Covid levels. Can the Cabinet Member detail what his plans are to achieve this in Southampton?

Answer

At Cabinet on 19 June 2021 it was agreed that developing an Enhanced Partnership was the most appropriate route for Southampton to increase bus patronage. The first step of this will be the submission of a Bus Service Improvement Plan (BSIP) that is going to Cabinet on 18 October before being submitted to the Department of Transport by the end of October. This sets out the vision for how we, the bus operators and stakeholders will work together to achieve aims for bus usage, reliable journeys and passenger satisfaction. Following the submission of the BSIP we will work and consult on the details of the Enhanced Partnership in advance of that coming into place in April 2022.

## 4. Universal Credit

Question from Councillor Dr Paffey to Councillor Vassiliou

Does the Cabinet Member accept that removing the £20 uplift of Universal Credit at the same time as the cost of living increases will have a detrimental effect on vulnerable families in Southampton?

Answer

The £20 Universal Credit uplift was part of the Government's temporary support measures brought in during the Covid-19 pandemic. Now that the temporary uplift is coming to an end, our administration is bringing in policies which will help our City's economy and support our residents to

Get Southampton Moving. Some of the other work we are doing includes:

- The Government has recently announced a £500 M Household Support fund – we await further information on how much Southampton will be allocated to administer and the criteria for these funds
- During the pandemic the City administered in excess, of £3.5m to vulnerable families and those in need via a variety of Government funding initiatives including:
  - DEFRA – food support for vulnerable people
  - DWP - COVID local support Grant rounds 1, 2 and 3
  - Holiday, Activity and Food fund
  - Financial Support for vulnerable families and individuals who are self-isolating
- The Council continues to support and fund local welfare provision for vulnerable families and individuals via services such as those provided by SCRATCH and the Welfare Information line.

## 5. Bitterne Hub

Councillor Kataria to Councillor Hannides

Will the administration commit to securing the necessary budget so the Council can progress with plans for the Bitterne Hub?

Answer

The previous Administration's proposals for the Bitterne Hub would cost £30m, this would add an additional £1.7m Revenue pressure each year to cover the extra borrowing costs. The Administration does not consider this to be the most prudent use of tax payers money at a time when we need to invest in and support priority front line services, including increasing demands on Social Care for Adults and Children, and fixing our network of broken roads and pavements resulting from years of neglect by the previous Labour Administration.

Following consultation, this Administration intends to submit modified proposals for the improvement of local facilities, including the Bitterne Leisure Centre.

## 6. 1000 Parking Spaces

Councillor Kaur (in Councillor McEwing's absence) to Councillor Vassiliou

Can the Cabinet Member please update Council on the public consultation to determine where the 1000 new car park spaces in our estates will be built?

Answer

A project team is now in place to lead this work and they have recently finalised a list of potential sites across the city and will now be reviewing next steps towards action.

- Consultation with residents will form part of the process as each site is taken forward following similar processes as have been used previously. Residents will have



the opportunity to respond on plans for all sites. Depending upon the complexity of the scale of implementation this will range from site notices to targeted mailing of properties.

- Two schemes that were already in train have recently competed at Minster Avenue and Ozier Road, adding 21 spaces in recent weeks.
- Next steps will be to finalise the project plan and phasing of delivery and complete phase one (a further 4 sites tbc) before March 2022 with the majority being completed by end March 2023.

## 7. Spitfire

Councillor W Payne to Councillor Vassiliou

Having committed £500,000 of Southampton taxpayers' money to the Spitfire Memorial at the last Full Council, can the Cabinet Member for Communities, Culture and Heritage guarantee that no more council money will be sought for this project and private funding and other external grants will cover all the remaining cost?

Answer

We have allocated £500,000 to support the Spitfire Memorial Project which will be a proud monument in Southampton.

The charity are now working on producing a business plan to take the project forward. It is too soon to say if we would or would not support them further to deliver this iconic memorial, which is an integral part of our City of Culture bid, but it is our intention to support the charity to raise the required funds from private and other donations/contributions.

## 8. Planning

Councillor Bogle to Councillor Moulton

What is the position of this Administration with regard to the government's Planning for the Future proposals?

Answer

The Government is proposing to implement what it describes as "radical changes" to the planning system. The proposals as set out in the Planning White Paper (last year) will affect plan making processes (Local Plan), and development management processes (determination of planning applications). The proposals are intended to give greater certainty to developers to encourage them to bring forward and implement proposals for growth. The proposals also place a greater emphasis on developing "beautiful buildings". In summary, the key elements of the White Paper are:

- Changing local plans so that they provide more certainty over the type, scale and design of development permitted on different categories of land.
- Significantly decreasing the time it takes for developments to go through the planning system.

- Replacing the existing systems for funding affordable housing and infrastructure from development with a new more predictable and more transparent levy.
- Using post-Brexit freedoms to simplify and enhance the framework for environmental assessments for developments.
- Reforming the framework for locally led development corporations to ensure local areas have access to appropriate delivery vehicles to support growth and regeneration.
- Digitising a system to make it more visual and easier for local people to meaningfully engage with.

The consultation on the White Paper received over 40,000 responses and the Government has not yet published its response to the consultation. Whilst legislation on planning was anticipated to be placed before Parliament this autumn, it has been delayed following the recent changes in Cabinet. Given that we do not know the Government's response and on what will be carried forward into legislation, it is difficult to provide a view on this matter at this time.

## 32. MOTIONS

a) Councillor Fielker moved and Councillor Margetts seconded

Social Care Reform

Council notes the 10% rise in National Insurance tax by this Conservative Government will affect the working poor in Southampton the most. This comes as food and energy prices increase and cuts are being made to Universal Credit. Southampton families don't deserve to be hit by this triple whammy.

Council further notes that the extra money raised by this hike in National Insurance will go mainly to the NHS and does little to support adults with disabilities, improve the pay of care workers, address the crisis of staff shortages or protect the savings and investments of people who need residential care. Small business owners will be disproportionately hit and local authority budgets will be expected to plug the gap between the care cap and actual cost.

This Council believes that reform of social care can only be fixed by a fairer taxation system and fair funding to local government.

Therefore, Council resolves to:

- Commit to not cutting services in other areas that local residents rely on, to fill a gap made by government's failure to effectively reform social care.
- Call on government to guarantee to meet the costs of the social care cap, while making the taxation system fairer to reduce inequality.
- Work with the LGA and others to lobby government to set out a programme which fundamentally reforms social care.

UPON BEING PUT TO THE VOTE THE MOTION WAS DECLARED LOST.

**RESOLVED:** that the motion be rejected.

b) Councillor Renyard moved and Councillor Bunday seconded

### Crime and Policing

Council expresses its concern at the level of crime and anti-social behaviour affecting our communities and the everyday lives of our residents who no longer feel safe in their homes and neighbourhoods.

Council condemns Government for being soft on crime and the causes of crime, and regrets how austerity measures have put a strain on local policing, which has had a negative impact for Southampton people.

Council believes Southampton residents are not getting value for money on policing and deserve better, and we therefore call on Government and the newly elected Conservative Police and Crime Commissioner to:

- Ensure Southampton residents get their fair share of necessary funding and resources needed to tackle crime and anti-social behaviour on our streets.
- Provide policing levels that go higher than pre-2010 numbers, and therefore, not just replacing police officers lost by this Government's previous police cuts.
- Value neighbourhood policing and work more closely with Southampton City Council, to bring forward a plan for 'Police Hubs' across the entire city (starting with the one being proposed for Bitterne), so that policing can be brought closer to our local communities again.

Amendment moved by Councillor Vassiliou and Councillor Moulton seconded:

Paragraph 1, first line, **delete** 'expresses its concern' and **replace** with 'is concerned'  
Paragraph 1, second line, **delete** 'who no longer feel safe in their homes and neighbourhoods.'

Paragraph 2, **delete** all 'Council condemns Government for being soft on crime and the causes of crime and regrets how austerity measures have put a strain on local policing, which has been a negative impact for Southampton people' and replace with 'Council welcomes extra 20,000 new police being recruited nationally. The tough new criminal justice measures being brought in by the government and action particularly in respect to domestic violence and violence against women and girls.'

Paragraph 3, first all, **delete**, 'believes' **replace** with 'resolves to ensure that'  
And **delete** 'are not getting' **replace** with 'get'  
Paragraph 3, second line, **delete**, 'deserve better, and we'

Add new paragraph 'Council resolves to ensure that Southampton residents get value for money on policing and we therefore call on Government and the newly elected Conservative Police and Crime Commissioner to:'

**Delete** bullet point 2 'Provide policing levels that go higher than pre-2010 numbers, and therefore, not just replacing police officers lost by this Government's previous police cuts.'

**Replace** with new bullet point 2 '• Ensure Southampton gets the additional police it needs as part of the extra 600 police being recruited by Hampshire Constabulary.'

Bullet point 3, second line, **delete**, 'to bring forward a plan for 'Police Hubs' across the entire city (starting with the one being proposed for Bitterne), so that policing can be brought closer to our local communities again.' **Replace** with 'by making use of the additional funding allocated by Hampshire Constabulary as part of its new ASB Task Force and also the new £500k Community Fund created in Southampton to tackle anti-social behaviour.'

**Add** new bullet point 4 '• Ensure policing can be brought closer to our local communities, as already being demonstrated by the welcome reopening of Bitterne Police Station.'

**Amended Motion to read:**

Council is concerned at the level of crime and anti-social behaviour affecting our communities and the everyday lives of our residents.

Council welcomes extra 20,000 new police being recruited nationally. The tough new criminal justice measures being brought in by the government and action particularly in respect to domestic violence and violence against women and girls.

Council resolves to ensure that Southampton residents get value for money on policing and we therefore call on Government and the newly elected Conservative Police and Crime Commissioner to:

- Ensure Southampton residents get their fair share of necessary funding and resources needed to tackle crime and anti-social behaviour on our streets.
- Ensure Southampton gets the additional police it needs as part of the extra 600 police being recruited by Hampshire Constabulary.
- Value neighbourhood policing and work more closely with Southampton City Council, by making use of the additional funding allocated by Hampshire Constabulary as part of its new ASB Task Force and also the new £500k Community Fund created in Southampton to tackle anti-social behaviour.
- Ensure policing can be brought closer to our local communities, as already being demonstrated by the welcome reopening of Bitterne Police Station.

UPON BEING PUT TO THE VOTE THE AMENDMENT IN THE NAME OF COUNCILLOR VASSILIOU WAS DECLARED CARRIED.

UPON BEING PUT TO THE VOTE THE AMENDED MOTION WAS DECLARED CARRIED.

**RESOLVED**: that the amended motion be approved.

33. QUESTIONS FROM MEMBERS TO THE CHAIRS OF COMMITTEES OR THE MAYOR

It was noted that no requests for Questions from Members to the Chairs of Committees or the Mayor had been received.

34. APPOINTMENTS TO COMMITTEES, SUB-COMMITTEES AND OTHER BODIES

Council noted that the following Members had been appointed to “Accessible Southampton” Scrutiny Inquiry Panel:-

Councillors Coombs, Guest, Rayment, Streets and Vaughan.

Council also noted that Councillor Renyard would be replaced on Overview and Scrutiny Management Committee by Councillor Kaur.

35. LOCAL GOVERNMENT BOUNDARY COMMISSION ELECTORAL REVIEW

Report of the Leader of the Council setting out the Council’s commitment to the delivery of a statutory Local Government Boundary Commission Electoral Review.

**RESOLVED:**

- (i) That Council resolves Option B:  
That the Council consultation submission to the Boundary Commission recommends that the Council increases its size with additional Councillors (51 in total across 17 wards – an increase of 1 ward).
- (ii) That Council resolves to maintain its current electoral cycle of elections by thirds following the commencement of the electoral review from 2024 onwards.

36. CIVIC HONOURS COMPETITION 2022: BID FOR LORD MAYORALTY STATUS

Report of the Leader of the Council, seeking Council approval to bid for Lord Mayoralty status as part of Her Majesty The Queen’s Civic Honours Competition 2022 and Platinum Jubilee celebrations.

**RESOLVED** that the Council bids for Lord Mayoralty status as part of the Queen’s Platinum Jubilee year celebrations, to cement our status as a destination city of historic and cultural significance and to:

- Coincide with the celebration of Southampton’s 800<sup>th</sup> Mayor in 2022
- Complement our City of Culture 2025 bid.

37. COMMISSIONING HOUSING RELATED SUPPORT SERVICES FOR SINGLE ADULTS, YOUNG PEOPLE AND YOUNG PARENTS

Report of the Cabinet Member for Communities, Culture and Heritage seeking approval of recommendations for the future procurement of Housing Related Support for young people, young parents and single vulnerable adults.

**RESOLVED** subject to approval of Cabinet recommendations (i) – (iii) set out in the report, to agree to the procurement of a range of HRS services for young people, young parents and vulnerable single adults. This is for a maximum period of seven years (4 years initially with option to extend for two further periods of 2 years and 1 year) and a total value from existing budgets of up to £3.66m per annum (£25.62m for the 7 year period).

RECORDED VOTE:

ABSTAINED: Councillors Bogle, Bunday, Chaloner, Coombs, Cooper, Denness, Fielker, Hammond, Kataria, Kaur, Margetts, Mitchell, Noon, Paffey, W Payne, Rayment, Renyard, Savage, Shields, Spicer and Windle.

38. DOMESTIC VIOLENCE AND SEXUAL ABUSE RECOMMISSIONING OF SERVICES

Report withdrawn from the agenda following the approved change in Financial Procedure Rules, there was no decision for Council to take.

<b>DECISION-MAKER:</b>		<b>GOVERNANCE COMMITTEE COUNCIL</b>	
<b>SUBJECT:</b>		<b>LOCAL APPOINTMENT OF EXTERNAL AUDITORS</b>	
<b>DATE OF DECISION:</b>		<b>16 NOVEMBER 2021 (GOVERNANCE COMMITTEE) 17 NOVEMBER 2021 (COUNCIL)</b>	
<b>REPORT OF:</b>		<b>EXECUTIVE DIRECTOR FOR FINANCE, COMMERCIALISATION &amp; S151 OFFICER</b>	
<b><u>CONTACT DETAILS</u></b>			
<b>Executive Director</b>	<b>Title:</b>	<b>Executive Director for Finance, Commercialisation &amp; S151 Officer</b>	
	<b>Name:</b>	<b>John Harrison</b>	<b>Tel: 023 80834897</b>
	<b>E-mail:</b>	<a href="mailto:John.Harrison@southampton.gov.uk">John.Harrison@southampton.gov.uk</a>	
<b>Author:</b>	<b>Title:</b>	<b>MTFS &amp; Revenue Manager</b>	
	<b>Name:</b>	<b>Stephanie Skivington</b>	<b>Tel: 023 80832692</b>
	<b>E-mail:</b>	<a href="mailto:Stephanie.Skivington@southampton.gov.uk">Stephanie.Skivington@southampton.gov.uk</a>	

<b>STATEMENT OF CONFIDENTIALITY</b>		
Not Applicable		
<b>BRIEF SUMMARY</b>		
<p>The Local Audit and Accountability Act 2014 ('the Act') requires that a local auditor is appointed no later than 31 December in the financial year preceding the financial year of the accounts to be audited. This report sets out the proposals for appointing the external auditor to the Council for the 2023/24 accounts and beyond, noting that the current appointment applies up to and including the 2022/23 accounts.</p>		
<p>Regulations made under the Act allow authorities to opt in for their external auditor to be appointed by an 'appointing person'. Public Sector Audit Appointments Ltd ('PSAA') has been specified by the Secretary of State as an 'appointing person' (or 'sector led body'). PSAA has now formally invited the Council to opt-in, along with all other authorities, to the appointment scheme for the financial years 2023/24 to 2027/28, so that they can enter into a number of contracts with appropriately qualified audit firms and appoint a suitable firm to be the Council's external auditor from April 2023.</p>		
<b>RECOMMENDATIONS:</b>		
<b>Governance Committee</b>		
	(i)	To consider and recommend to Council that it accepts the PSAA invitation to 'opt-in' to the sector led national scheme for the appointment of external auditors.
<b>Council</b>		
	(i)	That Council accepts the PSAA invitation to 'opt-in' to the sector led national scheme for the appointment of external auditors for the five financial years commencing 1 April 2023.

<b>REASONS FOR REPORT RECOMMENDATIONS</b>	
1.	Whilst the Council has until December 2022 to appoint the external auditors for the 2023/24 accounts, PSAA has formally invited the Council to opt-in to the national scheme. Details relating to PSAA's invitation are provided in Appendices 1 and 2 of this report. If the Council is to take advantage of this national scheme for appointing external auditors then it needs to take the decision to enable it to accept the invitation by early March 2022.
2.	The Local Audit (Appointing Person) Regulations 2015 ('the Regulations') require that a decision to opt-in must be made by a meeting of the Council (meeting as a whole). The Council then needs to formally respond to PSAA's invitation in the form specified by PSAA.
3.	PSAA will commence the formal procurement process in February 2022. It expects to award contracts in August 2022 and consult with authorities on the appointment of auditors during late summer/autumn 2022 so that it can make an appointment by the statutory deadline of December 2022.
4.	It is considered that the national scheme conducted by PSAA will produce better outcomes and will be less burdensome for the Council than any procurement undertaken locally. More specifically: a) Collective procurement reduces costs for the sector and for individual authorities compared to a multiplicity of smaller local procurements; b) Any auditor conflicts or independence issues at individual authorities would be managed by PSAA who would have a number of contracted firms to call upon; c) Without the national appointment, the Council would need to establish a separate independent auditor panel, which could be difficult, costly and time-consuming; d) It provides the best opportunity to secure the appointment of a qualified, registered auditor - there are only nine accredited local audit firms, and a local procurement would be drawing from the same limited supply of auditor resources as PSAA's national procurement; e) PSAA will monitor contract delivery and ensure compliance with contractual, audit quality and independence requirements; and f) Supporting the sector-led body offers the best way of to ensuring there is a continuing and sustainable public audit market into the medium and long term.
<b>ALTERNATIVE OPTIONS CONSIDERED AND REJECTED</b>	
5.	There are three options open to the Council under the Act. In summary, these comprise: a) Setting up an independent auditor panel and undertaking an individual external auditor procurement and appointment exercise; b) Joining with other councils to set up a joint independent auditor panel and undertaking a joint audit procurement and appointing exercise; or c) Opting-in to a national sector led body that will negotiate contracts and make the appointment on behalf of councils.
6.	If the Council chooses not to opt-in then there would be a need to establish an independent auditor panel. In order to make a stand-alone appointment the auditor panel would need to be set up by the Council itself. The members of the panel must be wholly or a majority of independent members as defined by the Act. Independent members for this purpose are independent appointees, this excludes current and former elected members (or officers) and their close



	families and friends. This means that elected members will not have a majority input to assessing bids and choosing which audit firm to award a contract for the Council's external audit.
7.	Alternatively, the Act enables the Council to join with other authorities to establish a joint auditor panel. Again this will need to be constituted of wholly or a majority of independent appointees (members). Further legal advice would be required on the exact constitution of such a panel having regard to the obligations of each Council under the Act and the Council would need to liaise with other local authorities to assess the appetite for such an arrangement.
8.	Neither of these options are recommended. Both these options would be more resource-intensive processes to implement and without the bulk buying power of the sector led procurement, would be likely to result in a more costly service. It would also be more difficult to manage quality and independence requirements through a local appointment process.
9.	Only auditors registered to undertake local audits by the Financial Reporting Council are eligible for appointment. It should be noted that currently there are only nine providers on the register, nearly all of whom are firms with a national presence. This means that any local procurement exercise, as described above, would seek tenders from these same firms, subject to the need to manage any local independence issues. Local firms could not be invited to bid.
<b>DETAIL (Including consultation carried out)</b>	
10.	The Council's current external auditor is Ernst & Young LLP. This appointment was made in 2017 under the first national opt-in scheme run by PSAA and applies to the accounts for financial years 2018/19 to 2022/23.
11.	The Local Audit and Accountability Act 2014 ('the Act') sets out the arrangements for the appointment of local auditors and gives authorities the ability to decide how and by whom their auditors are appointed. Regulations made under the Act allow authorities to 'opt-in' for their auditor to be appointed by an 'appointing person'.
12.	PSAA is an independent, not-for-profit company limited by guarantee incorporated by the Local Government Association. It was specified as an 'appointing person' in 2016 by the Secretary of State under regulation 3 of the Local Audit (Appointing Person) Regulations 2015. Acting in accordance with this role PSAA is responsible for appointing an auditor and setting scales of fees for relevant principal authorities that have chosen to opt into its national scheme. 98% of eligible bodies made the choice to opt-in for the five-year period commencing in April 2018. PSAA costs are around 4% of the scheme with any surplus distributed back to scheme members. PSAA will make auditor appointments for authorities that choose to opt-in to this second national appointment scheme for audits of the accounts for financial years 2023/24 to 2027/28.
13.	There are pressures on the local audit market arising from additional work and recruitment and retention challenges. PSAA will seek to encourage market sustainability in its procurement. Firms will be able to bid for a variety of differently sized contracts so that they can match their available resources and risk appetite to the contract for which they bid. They will be required to meet appropriate quality standards and to reflect realistic market prices in their tenders, informed by the scale fees and the supporting information provided about each audit. Where regulatory changes are in train which affect the

	amount of audit work suppliers must undertake, firms will be informed as to which developments should be priced into their bids.
14.	<p>The principal benefits in choosing to opt-in to the national scheme are as follows:</p> <p>a) PSAA will manage the procurement process to ensure both quality and price criteria are satisfied and will consult on individual auditor appointments;</p> <p>b) PSAA will ensure the appointment of a suitably qualified and registered auditor and expects to be able to manage the appointments to allow for formal collaboration or joint working initiatives;</p> <p>c) PSAA will monitor contract delivery and ensure compliance with contractual, audit quality and independence requirements;</p> <p>d) PSAA will consult with authorities on the scale of audit fees and ensure these reflect scale, complexity and audit risk;</p> <p>e) It is expected that scheme management costs will be minimised and any surpluses returned to scheme members;</p> <p>e) The overall procurement costs would be lower than an individual smaller scale local procurement.</p>
15.	The scope of the audit will still be specified nationally with the National Audit Office responsible for writing the Code of Audit Practice which all firms appointed to carry out the Council's audit must follow. Auditors are regulated by the FRC, which will be replaced by a new body with wider powers, the Audit, Reporting and Governance Authority (ARGA) during the course of the next audit contract. Councils therefore have very limited influence over the nature of the audit services they are procuring, the nature and quality of which are determined or overseen by third parties.
<b>RESOURCE IMPLICATIONS</b>	
<b><u>Capital/Revenue</u></b>	
16.	The PSAA scale fee for the 2020/21 audit is £109,891, however EY has submitted a proposed rebasing of the scale fee to £178,126 to reflect changes in work required to address professional and regulatory requirements and scope associated with risk. There is a risk that current external audit fee levels could increase when the current contracts end. It is clear that the scope of audit has increased, requiring more audit work. There are also concerns about capacity and sustainability in the local audit market. In 2019 the Ministry of Housing, Communities and Local Government (as was) accepted that audit fees had become insufficient to reflect the increased challenges in auditing local authorities. In response to the Redmond Review the Government committed to review and reform regulations to provide the appointing person with greater flexibility to ensure the costs to audit firms of additional work are met and reduce the need for time consuming case-by-base consideration. A consultation on changes to the Local Audit (Appointing Person) Regulations 2015 took place earlier this year. The Government also announced £15 million nationally in additional funding in 2021/22 to support affected local bodies to meet the anticipated rise in audit fees in 2021/22. The Council's share is not yet known or whether the additional funding will be ongoing.
17.	The proposed fees for the subsequent years cannot be known until the procurement process has been completed, as the costs will depend on proposals from the audit firms, however opting-in to a national scheme will provide maximum opportunity to ensure fees are as low as possible, whilst ensuring the quality of audit is maintained by entering into a large scale collective procurement arrangement.

18.	If the national scheme is not used some additional resource may be needed to establish an auditor panel and conduct a local procurement. Until a procurement exercise is completed it is not possible to state what, if any, additional resource may be required for audit fees for 2023/24.
<b><u>Property/Other</u></b>	
19.	None.
<b>LEGAL IMPLICATIONS</b>	
<b><u>Statutory power to undertake proposals in the report:</u></b>	
20.	Section 7 of the Act requires a relevant authority to appoint a local auditor to audit its accounts for a financial year not later than 31 December in the preceding year. Section 8 governs the procedure for appointment which is reserved to full Council.
21.	Section 12 of the Act makes provision for the failure to appoint a local auditor: the authority must immediately inform the Secretary of State, who may direct the authority to appoint the auditor named in the direction or appoint a local auditor on behalf of the authority.
22.	Section 17 gives the Secretary of State the power to make regulations in relation to an 'appointing person' specified by the Secretary of State. This power has been exercised in the Local Audit (Appointing Person) Regulations 2015. In July 2016 the Secretary of State specified PSAA as the appointing person.
<b><u>Other Legal Implications:</u></b>	
23.	None.
<b>RISK MANAGEMENT IMPLICATIONS</b>	
24.	The principal risks are that the Council <ul style="list-style-type: none"> <li>a) Fails to appoint an auditor in accordance with the requirements and timing specified in local audit legislation; or</li> <li>b) Does not achieve value for money in the appointing process.</li> </ul> These risks are considered best mitigated by opting into the sector-led approach through PSAA.
25.	There is a risk that through the national procurement exercise PSAA may fail to attract sufficient capacity to enable auditor appointments to every opted-in body or realistic market prices. In this eventuality PSAA has fallback options to extend one or more existing contracts for 2023/24 and also 2024/25.
<b>POLICY FRAMEWORK IMPLICATIONS</b>	
26.	Not applicable.

<b>KEY DECISION?</b>	<b>Yes/No</b>
<b>WARDS/COMMUNITIES AFFECTED:</b>	<b>None</b>
<b><u>SUPPORTING DOCUMENTATION</u></b>	

<b>Appendices</b>	
1.	PSAA Invitation – Southampton City Council
2.	Form of notice of acceptance of the invitation to opt in
<b>Documents In Members' Rooms</b>	
1.	None
<b>Equality Impact Assessment</b>	
Do the implications/subject of the report require an Equality and Safety Impact Assessment (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>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)
1.	None

22 September 2021

To: Ms Hopkins, Chief Executive  
Southampton City Council

Copied to: Mr Harrison, S151 Officer  
Councillor Fuller, Chair of Audit Committee or equivalent

Dear Ms Hopkins,

## **Invitation to opt into the national scheme for auditor appointments from April 2023**

I want to ensure that you are aware the external auditor for the audit of your accounts for 2023/24 has to be appointed before the end of December 2022. That may seem a long way away but, as your organisation has a choice about how to make that appointment, your decision-making process needs to begin soon.

We are pleased that the Secretary of State has confirmed PSAA in the role of the appointing person for eligible principal bodies for the period commencing April 2023. Joining PSAA's national scheme for auditor appointments is one of the choices available to your organisation.

In June 2021 we issued a draft prospectus and invited your views and comments on our early thinking on the development of the national scheme for the next period. Feedback from the sector has been extremely helpful and has enabled us to refine our proposals which are now set out in the [scheme prospectus](#) and our [procurement strategy](#). Both documents can be downloaded from our website which also contains a range of useful information that you may find helpful.

The national scheme timetable for appointing auditors from 2023/24 means we now need to issue a formal invitation to you to opt into these arrangements. In order to meet the requirements of the relevant regulations, we also attach a form of acceptance of our invitation which you must use if your organisation decides to join the national scheme. We have specified the five consecutive financial years beginning 1 April 2023 as the compulsory appointing period for the purposes of the regulations which govern the national scheme.

Given the very challenging local audit market, we believe that eligible bodies will be best served by opting to join the scheme and have attached a short summary of why we believe that is the best solution both for individual bodies and the sector as a whole.

I would like to highlight three matters to you:

1. if you opt to join the national scheme, we need to receive your formal acceptance of this invitation by Friday 11 March 2022;

2. the relevant regulations require that, except for a body that is a corporation sole (e.g. a police and crime commissioner), the decision to accept our invitation and to opt in must be made by the members of the authority meeting as a whole e.g. Full Council or equivalent. We appreciate this will need to be built into your decision-making timetable. We have deliberately set a generous timescale for bodies to make opt in decisions (24 weeks compared to the statutory minimum of 8 weeks) to ensure that all eligible bodies have sufficient time to comply with this requirement; and
3. if you decide not to accept the invitation to opt in by the closing date, you may subsequently make a request to opt in, but only after 1 April 2023. We are required to consider such requests and agree to them unless there are reasonable grounds for their refusal. PSAA must consider a request as the appointing person in accordance with the Regulations. The Regulations allow us to recover our reasonable costs for making arrangements to appoint a local auditor in these circumstances, for example if we need to embark on a further procurement or enter into further discussions with our contracted firms.

If you have any other questions not covered by our information, do not hesitate to contact us by email at [ap2@psaa.co.uk](mailto:ap2@psaa.co.uk). We also publish answers to [frequently asked questions](#) on our website.

If you would like to discuss a particular issue with us, please send an email also to [ap2@psaa.co.uk](mailto:ap2@psaa.co.uk), and we will respond to you.

Yours sincerely

Tony Crawley  
Chief Executive

Encl: Summary of the national scheme

## Why accepting the national scheme opt-in invitation is the best solution

### Public Sector Audit Appointments Limited (PSAA)

We are a not-for-profit, independent company limited by guarantee incorporated by the Local Government Association in August 2014.

We have the support of the LGA, which in 2014 worked to secure the option for principal local government and police bodies to appoint auditors through a dedicated sector-led national body.

We have the support of Government; MHCLG's Spring statement confirmed our appointment because of our "strong technical expertise and the proactive work they have done to help to identify improvements that can be made to the process".

We are an active member of the new Local Audit Liaison Committee, chaired by MHCLG and attended by key local audit stakeholders, enabling us to feed in body and audit perspectives to decisions about changes to the local audit framework, and the need to address timeliness through actions across the system.

We conduct research to raise awareness of local audit issues, and work with MHCLG and other stakeholders to enable changes arising from Sir Tony Redmond's review, such as more flexible fee setting and a timelier basis to set scale fees.

We have established an advisory panel, which meets three times per year. Its membership is drawn from relevant representative groups of local government and police bodies, to act as a sounding board for our scheme and to enable us to hear your views on the design and operation of the scheme.

### The national scheme for appointing local auditors

In July 2016, the Secretary of State specified PSAA as an appointing person for principal local government and police bodies for audits from 2018/19, under the provisions of the Local Audit and Accountability Act 2014 and the Local Audit (Appointing Person) Regulations 2015. Acting in accordance with this role PSAA is responsible for appointing an auditor and setting scales of fees for relevant principal authorities that have chosen to opt into its national scheme. 98% of eligible bodies made the choice to opt-in for the five-year period commencing in April 2018.

We will appoint an auditor for all opted-in bodies for each of the five financial years beginning from 1 April 2023.

We aim for all opted-in bodies to receive an audit service of the required quality at a realistic market price and to support the drive towards a long term competitive and more sustainable market for local audit. The focus of our quality assessment will include resourcing capacity and capability including sector knowledge, and client relationship management and communication.

### What the appointing person scheme from 2023 will offer

We believe that a sector-led, collaborative, national scheme stands out as the best option for all eligible bodies, offering the best value for money and assuring the independence of the auditor appointment.

The national scheme from 2023 will build on the range of benefits already available for members:

- transparent and independent auditor appointment via a third party;
- the best opportunity to secure the appointment of a qualified, registered auditor;
- appointment, if possible, of the same auditors to bodies involved in significant collaboration/joint working initiatives, if the parties believe that it will enhance efficiency;
- on-going management of any independence issues which may arise;
- access to a specialist PSAA team with significant experience of working within the context of the relevant regulations to appoint auditors, managing contracts with audit firms, and setting and determining audit fees;
- a value for money offer based on minimising PSAA costs and distribution of any surpluses to scheme members - in 2019 we returned a total £3.5million to relevant bodies and more recently we announced a further distribution of £5.6m in August 2021;
- collective efficiency savings for the sector through undertaking one major procurement as opposed to a multiplicity of smaller procurements;
- avoids the necessity for local bodies to establish an auditor panel and undertake an auditor procurement, enabling time and resources to be deployed on other pressing priorities;
- updates from PSAA to Section 151 officers and Audit Committee Chairs on a range of local audit related matters to inform and support effective auditor-audited body relationships; and
- concerted efforts to work with other stakeholders to develop a more sustainable local audit market.

We are committed to keep developing our scheme, taking into account feedback from scheme members, suppliers and other stakeholders, and learning from the collective post-2018 experience. This work is ongoing, and we have taken a number of initiatives to improve the operation of the scheme for the benefit of all parties.

Importantly we have listened to your feedback to our recent consultation, and our response is reflected in [the scheme prospectus](#).

## **Opting in**

The closing date for opting in is 11 March 2022. We have allowed more than the minimum eight-week notice period required, because the formal approval process for most eligible bodies is a decision made by the members of the authority meeting as a whole [Full Council or equivalent], except police and crime commissioners who are able to make their own decision.

We will confirm receipt of all opt-in notices. A full list of eligible bodies that opt in will be published on our website. Once we have received an opt-in notice, we will write to you to request information on any joint working arrangements relevant to your auditor appointment, and any potential independence matters which may need to be taken into consideration when appointing your auditor.



## **Local Government Reorganisation**

We are aware that reorganisations in the local government areas of Cumbria, Somerset, and North Yorkshire were announced in July 2021. Subject to parliamentary approval shadow elections will take place in May 2022 for the new Councils to become established from 1 April 2023. Newly established local government bodies have the right to opt into PSAA's scheme under Regulation 10 of the Appointing Person Regulations 2015. These Regulations also set out that a local government body that ceases to exist is automatically removed from the scheme.

If for any reason there is any uncertainty that reorganisations will take place or meet the current timetable, we would suggest that the current eligible bodies confirm their acceptance to opt in to avoid the requirement to have to make local arrangements should the reorganisation be delayed.

## **Next Steps**

We expect to formally commence the procurement of audit services in early February 2022. At that time our procurement documentation will be available for opted-in bodies to view through our e-tendering platform.

Our recent webinars to support our consultation proved to be popular, and we will be running a series of webinars covering specific areas of our work and our progress to prepare for the second appointing period. Details can be found on [our website](#) and in [the scheme prospectus](#).

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### **Appointing Period 2023/24 to 2027/28**

### **Form of notice of acceptance of the invitation to opt in**

(Please use the details and text below to submit to PSAA your body's formal notice of acceptance of the invitation to opt into the appointing person arrangements from 2023)

Email to: [ap2@psaa.co.uk](mailto:ap2@psaa.co.uk)

Subject: **Southampton City Council**

**Notice of acceptance of the invitation to become an opted-in authority**

This email is notice of the acceptance of your invitation dated 22 September 2021 to become an opted-in authority for the audit years 2023/2024 to 2027/2028 for the purposes of the appointment of our auditor under the provisions of the Local Audit and Accountability Act 2014 and the requirements of the Local Audit (Appointing Person) Regulations 2015.

I confirm that **Southampton City Council** has made the decision to accept your invitation to become an opted-in authority in accordance with the decision making requirements of the Regulations, and that I am authorised to sign this notice of acceptance on behalf of the authority.

Name: **[insert name of signatory]**

Title: **[insert role of signatory]** (authorised officer)

For and on behalf of: **Southampton City Council**

Date: **[insert date completed]**

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# Agenda Item 6

<b>DECISION-MAKER:</b>	<b>Cabinet Council</b>
<b>SUBJECT:</b>	River Itchen Flood Alleviation Scheme
<b>DATE OF DECISION:</b>	15 November 2021 17 November 2021
<b>REPORT OF:</b>	Councillor Galton Cabinet Member for Environment

<b>CONTACT DETAILS</b>			
<b>Executive Director</b>	Title:	Executive Director of Place	
	Name:	Kate Martin	Tel: 023 8083 4670
	E-mail:	<a href="mailto:Kate.Martin@southampton.gov.uk">Kate.Martin@southampton.gov.uk</a>	
<b>Author</b>	Title:	Service Manager - Service Delivery and Projects	
	Name:	Annamarie Hooper	Tel: 023 8083 2181
	E-mail:	<a href="mailto:Annamarie.Hooper@southampton.gov.uk">Annamarie.Hooper@southampton.gov.uk</a>	

## STATEMENT OF CONFIDENTIALITY

Not Applicable.

## BRIEF SUMMARY

Currently 153 homes and 288 businesses are at risk of flooding on the west bank of the River Itchen. Southampton City Council (SCC) has an opportunity to better protect homes and businesses and support future regeneration opportunities by reducing flood risk through the delivery of the River Itchen Flood Alleviation Scheme (RIFAS); a partnership project between the Environment Agency (leading the design and construction) and SCC (leading the communications, investment and supporting the delivery). Approval is sought from Members on the leading option, a mix of setback and frontline flood defences, and £3M Community Infrastructure Levy (CIL) investment in the scheme.

The leading option identifies Drivers Wharf as a viable setback defence. SCC owns approximately 45% of the land area, which includes part of the existing quay wall that is in a failing state, and therefore has an opportunity to invest in Drivers Wharf now to deliver a frontline defence, which will reduce flood risk to the whole site and eliminate the requirement for a 2<sup>nd</sup> scheme within the next 10 years. Approval is sought from Members to invest £7.2M CIL (additional cost required to upgrade to a frontline defence, from a setback, at Drivers Wharf) as it offers efficiencies through design and delivery as part of the RIFAS. If not approved, the RIFAS will continue as setback on this site, and SCC will need to address the quay wall later as a separate scheme.

## RECOMMENDATIONS FOR CABINET

	(i)	Notes and recommends to Council the option; a mix of setback and frontline flood defences.
	(ii)	Notes this option involves a contribution of £3M from the Council to secure scheme funding of £31.5M from a Flood and Coastal Erosion Risk Management (FCERM) grant-in-aid (GiA) external grant.
	(iii)	Notes and recommends to Council the approval of the alignment on Drivers Wharf as a frontline.
	(iv)	Notes this option involves a further contribution of £7.2M from the Council, bringing the total contribution to £10.2M, to be funded from CIL in full.

## RECOMMENDATIONS FOR COUNCIL

	(i)	To approve the addition of £10.2M to the Growth capital programme as a contribution to the flood alleviation scheme which will be delivered by the Environment Agency. The £10.2M will be funded from Strategic CIL developer contributions; the Investment Strategy, to be delivered as part of the Outline Business Case in Spring 2022, will profile when the investment will be required (by financial year) during the project. The profile will be presented as part of the Capital Programme in February 2022 for capital programme budget setting.
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	(ii)	Agrees that the addition of £10.2M to the Growth Programme is subject to approval to spend. Approval to spend will be sought once the final project and its costings are agreed with the Environment Agency following the submission of the final Outline Business Case (likely to be in Spring 2022).
<b>REASONS FOR REPORT RECOMMENDATIONS</b>		
1.		Current flood risk to 153 homes, 288 businesses, short sections of mainline railway, parts of the A3024 Northam Road, and various critical infrastructure sites (electrical substations, pumping stations). By 2120, the flood risk increases to 1,167 homes and 1,033 businesses, with potential flood depths of up to 1.8m.
2.		Better protection to Northam Estate, a large SCC housing stock and community within 10% most deprived areas in England.
3.		Improve the opportunity for regeneration by reducing flood risk to the area, without precluding development of waterside sites in the future.
4.		Replacement of SCC owned quay wall at Drivers Wharf required within 10 years.
<b>ALTERNATIVE OPTIONS CONSIDERED AND REJECTED</b>		
5.		Do Nothing (£0) – no intervention. Rejected as leaves homes (including SCC Housing stocks) and businesses exposed to present-day flood risk. Drivers Wharf quay wall at risk of failure within 10 years.
6.		Full setback (£27.1M) – a raised wall with an alignment taking the shortest viable route across the scheme area. Rejected as it leaves large areas at risk of flooding. Drivers Wharf quay wall at risk of failure within 10 years.
7.		Full frontline (£122.9M) – new raised wall (steel sheet piles) along the length of the riverbank. Rejected as unaffordable.
<b>DETAIL (Including consultation carried out)</b>		
8.		There is a history of flooding events within the scheme area. Recent recorded events include 1999, 2005, 2008/9 and 2014. Flooding, recorded on 14 February 2014, damaged vehicles and impacted businesses, roads and footways. It is believed that many more incidents of flooding have historically been experienced but not recorded due to the predominately private ownership in the area.
9.		The scheme seeks to install flood risk management infrastructure to reduce the risk of tidal flooding along the west bank of the River Itchen – a 3.6km stretch from Mount Pleasant Industrial Estate to the Southampton Water Activities Centre. The frontage is heavily urbanised and dominated by a variety of commercial businesses.
10.		<p>A timeline of the RIFAS programme to date:</p> <p><b>November 2012</b> – The Southampton Coastal Flood and Erosion Risk Management Strategy identified the west bank of the River Itchen as a priority area for intervention due to the high flood risk.</p> <p><b>2014-2015</b> – The RIFAS Preliminary Study identified two options: a frontline and setback defence.</p> <p><b>2015-2016</b> – The RIFAS Outline Business Case determined the frontline defence as the preferred option.</p> <p><b>February 2016</b> – At a Cabinet meeting, it was recorded that, ‘Two options have been identified, A Front Route Option and a Back Option. The Front Route Option was recommended and agreed as the preferred option’.</p> <p><b>June 2017</b> – Planning Permission approved for the RIFAS Front Route Option with conditions.</p> <p><b>2017</b> – Cost review of Front Route Option by Balfour Beatty and the Environment Agency. Costs escalated from ~£40M to ~£80M. The RIFAS stopped due to the Front Route Option being unaffordable and a lack of resource to deliver.</p> <p><b>February 2018</b> - At Council meeting it was recorded that, ‘Due to the large scale of the project, work still ongoing to assess potential additional external funds, alongside alternative proposals should funding not be secured’.</p>

	<p><b>May 2019</b> – Partnership arrangement agreed between SCC and the Environment Agency to deliver the RIFAS.</p> <p><b>2019-2022</b> – Joint Project Team (SCC, the Environment Agency and consultants and contractors) progressing the scheme through option development to Outline Business Case submission in Spring 2022.</p> <p><b>2019 and 2020</b> – Consultation workshops with internal SCC departments to ensure that the scheme aligns, as far as possible, with other council aspirations, plans and strategies, and to consider placemaking opportunities.</p> <p><b>2021</b> – Stakeholder engagement took place with landowners and businesses that may be impacted by the scheme (presenting all options).</p> <p><b>September – November 2021</b> – Papers and Outline Business Cases (OBCs) have been presented at SCC Governance forums and the recommendations for the preferred scheme option, Drivers Wharf frontline alignment and CIL investment were supported at Place Leadership Team, Change Authority Board, Capital Review Group and by the Cabinet Members for Environment, Growth and Finance and Capital Assets. Leader briefing arranged for 25/10/21.</p>
11.	<p><u>Advantages of the leading scheme option:</u></p> <p><b>Affordable</b> – the leading option is affordable with Grant-in-Aid.</p> <p><b>Reduces flood risk</b> – better protects all existing homes, including the Northam Estate which is a large SCC Housing stock.</p> <p><b>Environment</b> – significantly less encroachment into the Itchen Estuary which is a designated Special Protection Area (SPA).</p> <p><b>Carbon</b> – significantly lower carbon footprint, when compared to frontline, meeting the aspirations of the Southampton Green City Plan (2020) to reduce carbon from SCC schemes.</p> <p><b>Aligns to the current Local Plan (2012)</b> – supports delivery of the mixed-use frontage as set out within the Local Plan and City Centre Master Plan (2013). These plans note the need for strategic flood defences to unlock development potential in a high-risk flood zone.</p> <p><b>Regeneration (area wide)</b> – reduction in flood risk promotes development in all areas benefiting from the defence.</p> <p><b>Regeneration (development and access)</b> – setback is more adaptable to future waterside land use; more flexibility in matching frontline infrastructure to a future land use, providing opportunity for enhanced public realm and waterside access.</p>
12.	<p><u>Disadvantages of the leading scheme option:</u></p> <p><b>Remaining risk</b> – approximately 30 businesses with land or buildings remaining riverside of the defence and at risk of flooding. Most are ‘water compatible’ and likely to recover quickly following a flood event.</p> <p><b>Wall heights</b> – vary between 1.4 - 1.8m depending on current land heights. Setback areas will help screen industrial areas, but frontline areas may limit waterside access and public realm.</p> <p><b>Flood gates</b> – operation and maintenance of gates will be considered once outline design is complete and a total requirement for gates is assessed. Flood gates are a feature in both frontline and setback alignments.</p>
13.	<p><u>Advantages of frontline alignment at Drivers Wharf:</u></p> <p><b>Reduces liabilities</b> that could arise from a collapse or breach of the existing quay wall – health and safety, damages and contamination of a Special Protection Area (SPA). Outline design for a frontline flood defence is included in the current outline design work for the OBC as part of the RIFAS.</p> <p><b>Cost savings</b> – addressing flood risk and quay wall replacement (current structure is failing) with delivery as a single scheme, generating efficiencies with procurement, staff resources and less compensation to land users for disruption as single scheme.</p> <p><b>Flood risk reduction to maximum land area</b> – improving viability for regeneration of SCC and third-party land interests in the future (noting other constraints on this site</p>

	including contamination, pollution and highway capacity issues).																						
14.	<p><u>Disadvantages of frontline alignment at Drivers Wharf:</u></p> <p><b>Some disruption</b> – to waterside businesses during construction phase (but less than delivery of two schemes if a setback alignment is designed at this location).</p> <p><b>Frontline defence acceptance</b> – one stakeholder on site has expressed concern during recent stakeholder engagement.</p> <p><b>Frontline wall heights in region of 1.7m</b> – may reduce access to waterside in future land uses, as well as operations of existing land uses.</p>																						
<b>RESOURCE IMPLICATIONS</b>																							
<u>Revenue</u>																							
15.	The scheme is being delivered by the Environment Agency (design and construction), with SCC staff leading the communications, investment and supporting the delivery. The revenue resource required from SCC to deliver the scheme has been identified as 1.72 FTE across eight members of staff and is included in the Flood Risk Management team's existing. It is expected that the resource requirement will reduce for the construction delivery stage, which commences in 2024 (due for completion in 2027).																						
<u>Capital</u>																							
16.	The capital investment needed to deliver the leading scheme option is estimated to be £32M (which includes Drivers Wharf as a setback alignment). This will be an Environment Agency led scheme who will the majority of the scheme cost. SCC is expected to contribute £3.0M (which unlocks £31.5M FCERM GiA external grant funding). An additional £7.2M is required (difference between cost of setback and frontline) to change the alignment of the defence at Drivers Wharf and enable the replacement of the failing SCC owned quay wall. The total of £10.2M will be funded by Strategic CIL developer contributions.																						
17.	The anticipated phasing of the council's contribution is shown in Appendix 2, although this is provisional at an early stage of the project. The protracted timeframes will allow for future CIL proceeds to assist funding this project, so it is not expected to mean that current CIL funds held and 'banked' already have to be assigned.																						
18.	<p>Details of the overall scheme costs and investment are set out in the table below:</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;"><b>Cost</b></th> <th style="text-align: right;"><b>£M</b></th> </tr> </thead> <tbody> <tr> <td>Main Scheme (Env Agency)</td> <td style="text-align: right;">32.00</td> </tr> <tr> <td>Drivers Wharf</td> <td style="text-align: right;">7.20</td> </tr> <tr> <td>Contingency</td> <td style="text-align: right;">3.50</td> </tr> <tr> <td><b>Total Cost</b></td> <td style="text-align: right;"><b>42.70</b></td> </tr> <tr> <td colspan="2"><hr/></td> </tr> <tr> <th style="text-align: left;"><b>Investment</b></th> <th style="text-align: right;"><b>£M</b></th> </tr> <tr> <td>FCERM GiA</td> <td style="text-align: right;">-31.50</td> </tr> <tr> <td>CIL (SCC contribution)</td> <td style="text-align: right;">-10.20</td> </tr> <tr> <td>Ext. Contributions</td> <td style="text-align: right;">-1.00</td> </tr> <tr> <td><b>Total Funding</b></td> <td style="text-align: right;"><b>-42.70</b></td> </tr> </tbody> </table>	<b>Cost</b>	<b>£M</b>	Main Scheme (Env Agency)	32.00	Drivers Wharf	7.20	Contingency	3.50	<b>Total Cost</b>	<b>42.70</b>	<hr/>		<b>Investment</b>	<b>£M</b>	FCERM GiA	-31.50	CIL (SCC contribution)	-10.20	Ext. Contributions	-1.00	<b>Total Funding</b>	<b>-42.70</b>
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19.	Most of the Environment Agency funding will be secured through FCERM GiA. The maximum FCERM GiA available for the recommended scheme is £31.5M, which is capped by the number of properties protected and damages avoided over the lifetime of the scheme. This funding is only accessible if the whole scheme cost can be secured and can only be used for the viable scheme design and delivery.																						
20.	The SCC contribution to the scheme cost is the target for contributions recommended by the Department for Environment Food and Rural Affairs (DEFRA) and the excess (above scheme cost) can be used to contribute towards public realm and other green initiatives associated within the overall scheme.																						



21.	<p>The CIL contribution will be applied to the scheme throughout the delivery period of 2021/22 – 2027/28 in a way that best fits the Council’s capital programme and will be specified in the project’s Investment Strategy and agreed as part of the Full Business Case (FBC) to be delivered in 2024. The current forecast for the SCC contribution is profiled as follows by financial year:</p> <table border="1" data-bbox="318 281 1352 537"> <thead> <tr> <th data-bbox="318 281 500 344">SCC contribution</th> <th data-bbox="500 281 613 344">2023/24 £M</th> <th data-bbox="613 281 748 344">2024/25 £M</th> <th data-bbox="748 281 862 344">2025/26 £M</th> <th data-bbox="862 281 997 344">2026/27 £M</th> <th data-bbox="997 281 1131 344">2027/28 £M</th> <th data-bbox="1131 281 1245 344">2027/28 £M</th> <th data-bbox="1245 281 1352 344">Total £M</th> </tr> </thead> <tbody> <tr> <td data-bbox="318 344 500 407">SCC contribution</td> <td data-bbox="500 344 613 407">0.5</td> <td data-bbox="613 344 748 407">4.0</td> <td data-bbox="748 344 862 407">4.2</td> <td data-bbox="862 344 997 407">0.5</td> <td data-bbox="997 344 1131 407">0.5</td> <td data-bbox="1131 344 1245 407">0.5</td> <td data-bbox="1245 344 1352 407">10.2</td> </tr> <tr> <td data-bbox="318 407 500 501">Funded by: draw from CIL</td> <td data-bbox="500 407 613 501">0.5</td> <td data-bbox="613 407 748 501">4.0</td> <td data-bbox="748 407 862 501">4.2</td> <td data-bbox="862 407 997 501">0.5</td> <td data-bbox="997 407 1131 501">0.5</td> <td data-bbox="1131 407 1245 501">0.5</td> <td data-bbox="1245 407 1352 501">10.2</td> </tr> <tr> <td data-bbox="318 501 500 537"><b>Net</b></td> <td data-bbox="500 501 613 537">0</td> <td data-bbox="613 501 748 537">0</td> <td data-bbox="748 501 862 537">0</td> <td data-bbox="862 501 997 537">0</td> <td data-bbox="997 501 1131 537">0</td> <td data-bbox="1131 501 1245 537">0</td> <td data-bbox="1245 501 1352 537">0</td> </tr> </tbody> </table>	SCC contribution	2023/24 £M	2024/25 £M	2025/26 £M	2026/27 £M	2027/28 £M	2027/28 £M	Total £M	SCC contribution	0.5	4.0	4.2	0.5	0.5	0.5	10.2	Funded by: draw from CIL	0.5	4.0	4.2	0.5	0.5	0.5	10.2	<b>Net</b>	0	0	0	0	0	0	0
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<b>Net</b>	0	0	0	0	0	0	0																										
22.	<p>Other sources of external funding are being sought, which, if successful, will be swapped to reduce the need for the £10.2M contribution to be funded solely from CIL contributions. For example, £1M is currently being secured through Local Levy from the Southern Regional Flood and Coastal Committee (SRFCC) and the Department of Education.</p>																																
<b>Property/ Other</b>																																	
23.	<p>Reduction in current and longer-term flood risk to private homes and businesses, four schools and SCC owned buildings, including Northam Community Centre, the units at Paget Street and housing stock within the Northam Estate.</p>																																
24.	<p>The RIFAS may increase the viability of future regeneration on Council owned land at Drivers Wharf as it reduces the constraint of flood risk. Further improvement to viability will be gained by combining the replacement quay wall with a frontline defence.</p>																																
25.	<p>The RIFAS does not preclude future regeneration opportunities.</p>																																
<b>LEGAL IMPLICATIONS</b>																																	
<u>Statutory power to undertake proposals in the report</u>																																	
26.	<p>The Environment Agency will lead scheme delivery in accordance with the Environment Agency permissive powers assigned under the Land Drainage Act 1991.</p>																																
27.	<p>Statutory powers to undertake proposals to manage flood and erosion risks are held by SCC under the Coast Protection Act 1949, the Land Drainage Act 1991 and the Flood and Water Management Act 2010, although these are permissive powers only. Where necessary, and to facilitate delivery of the scheme by the Environment Agency, they can be appointed as the Council’s agents to deliver in accordance with the Council’s discretionary legal powers.</p>																																
28.	<p>Planning permission together with any other regulatory consents will be required prior to construction (commencement 2024).</p>																																
<u>Other Legal Implications</u>																																	
29.	<p>An Environmental Impact Assessment to minimise the impact to the environment will be carried out as detailed design progresses.</p>																																
30.	<p>An Equality and Safety Impact Assessment under the Equalities Act 2010 has been carried out. Most person types will not be negatively impacted by the RIFAS, including age, gender reassignment, marriage and civil partnership, race, religion or belief, sex, sexual orientation, and those affected by poverty. Negative issues and impacts include; approximately 30 businesses with land or buildings will remain waterside and therefore at risk of flooding – most are ‘water compatible’ and likely to recover quickly following a flood event and the project will aim to support the businesses with alternative flood risk mitigation measures; some disruption to public access areas which may impact people with a disability, e.g., footpaths during construction – to be mitigated where possible with temporary or permanent alternatives; flood gates required for the scheme may negatively impact businesses that remain waterside in the event of a flood event – flood gates will be designed out where possible, evacuation plans will be produced, and a flood warning system will provide early notification to evacuate; increased carbon during construction</p>																																

	which may impact health and wellbeing – materials and construction techniques will be sought to minimise impact; and, disruption to businesses during construction – will be minimised by ongoing stakeholder engagement.
<b>RISK MANAGEMENT IMPLICATIONS</b>	
31.	The project uses a Risk Register to identify, monitor and manage any high, medium and low project risks from design through to construction.
32.	Financial – scheme costs include a risk allowance, however there may be increases in costs identified following completion of outline and subsequent detailed design.
33.	Stakeholder – approximately 30 businesses with land or buildings are likely to remain waterside of the defence. A majority of these are ‘water-compatible’ operations and evacuation plans will be produced as a project deliverable.
34.	Reputational – should SCC decide not to proceed with the RIFAS, there may be reputational risks associated with future flood events.
35.	Asset maintenance and flood gate operation – a Management and Maintenance Plan will be developed during detailed design as part of the FBC. This will identify any responsibilities of future flood gate maintenance and operation.
36.	Drivers Wharf asset – if not addressed through the RIFAS, SCC will be responsible for managing the replacement quay wall separately.
<b>POLICY FRAMEWORK IMPLICATIONS</b>	
37.	The RIFAS will deliver the first phase of flood defence infrastructure to Southampton’s highest flood risk area as set out within the Southampton FCERM Strategy (2012), and Local Flood Risk Management Strategy (2014).
38.	The RIFAS contributes to the delivery of the Southampton City of Opportunity Corporate Plan (2021-2025) by better protecting homes, businesses and communities from the risk of flooding and climate change, while improving longer term regeneration opportunities.
39.	The RIFAS will contribute towards the delivery of the Green City Plan 2030 by improving the city’s resilience against flooding, climate change and sea level rise over the next 100 years.

KEY DECISION?	Yes
WARDS/ COMMUNITIES AFFECTED:	Bevois Bargate Northam Estate
<b>SUPPORTING DOCUMENTATION</b>	
Appendices	
1.	RIFAS: Supplementary Figures
2.	RIFAS Indicative Spend Profile Proposal
Documents In Members’ Rooms	
1.	<a href="#">Link to Southampton Coastal Flood and Erosion Risk Management Strategy</a>
Equality Impact Assessment	
Do the implications/ subject of the report require an Equality and Safety Impact Assessment (ESIA) to be carried out.	Yes
Data Protection Impact Assessment	
Do the implications/ subject of the report require a Data Protection Impact Assessment (DPIA) to be carried out.	No
Other Background Documents	
Other Background documents available for inspection at:	
Title of Background Paper(s)	Relevant Paragraph of the Access to Information Procedure Rules/ Schedule 12A allowing document to be Exempt/Confidential (if applicable)
1.	



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This document provides some background information to the River Itchen Flood Alleviation Scheme to assist understanding of the current and future flood risk that the area faces, alongside how the scheme will benefit the area.

**Figure 1: Flood risk extent and historic photos**

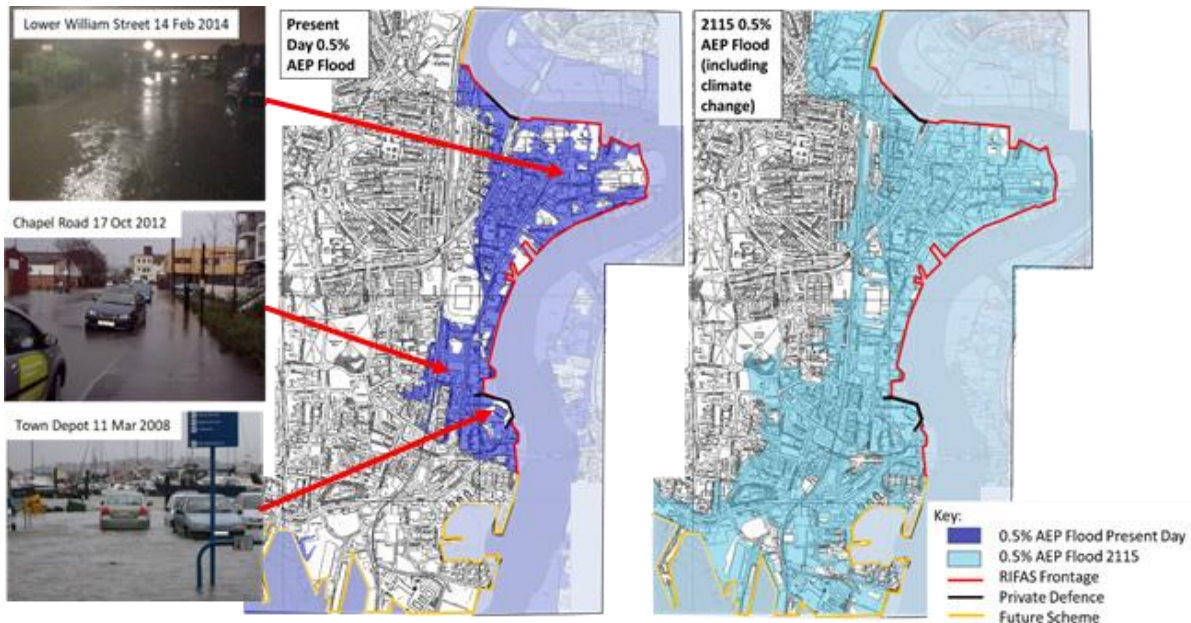
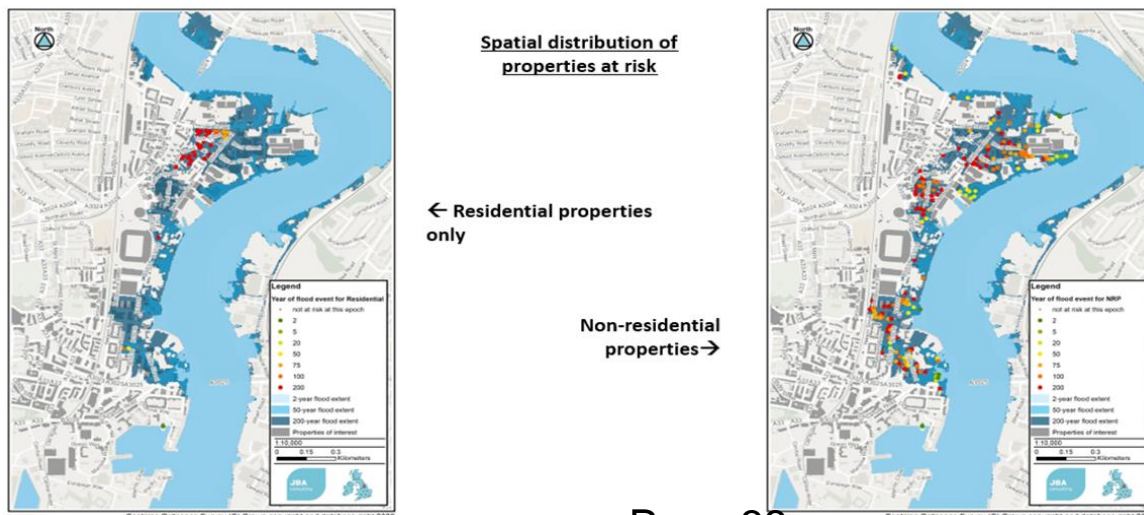


Figure 1 shows the areas (shaded dark blue) that are at risk from a present-day tidal flood event with an Annual Exceedance Probability (AEP) of 0.5%. The 0.5% AEP flood is deemed to be an ‘extreme’ flood event which could result in flood depths of between 0.3-0.6m dependent on the land level. To date, Southampton has not seen this level of flooding, however it has seen less extreme, yet sufficient to cause damage and disruption (see photos left), demonstrating the need to be proactive with flood defences.

The map on the right shows the modelled extent of tidal flood risk in 2115 as a result of climate change and sea level rise. Depths of flooding are predicted to rise to up to 1.6m in some areas. Areas that are at risk today (the dark blue), are likely to see flooding around twice per year if no intervention takes place.

Areas to the north (Bevois Valley and St Denys) and south (Ocean Village and Mayflower Park) will need defences in future years (by 2070) that ‘tie-into’ our proposed defence, otherwise there is a risk that flood water could by-pass the new defence. These are to be considered in a separate phase, as outlined within the Southampton Coastal Flood and Erosion Risk Management Strategy (2012).

**Figure 2: Spatial distribution of residential properties at risk**



At present there are 153 homes and 288 businesses at risk of flooding. The map on the left of Figure 2 shows the position of these homes against a range of different scales of flooding. Most of these homes are located within the Northam Estate which is within the top 5 most deprived communities in Southampton, and within the top 10% most deprived in England (for employment, health and education), therefore may struggle to recover should a flood occur. The Northam Estate also carries one of the Councils largest housing stocks which could present challenges with trying to reaccommodate families and repair properties following a flood.

The map on the right shows the distribution of businesses within the present day flood risk area. Many of the businesses with access to the waterside are deemed to be 'water compatible' (using the definition from the National Planning Practice Guidance, and from engagement carried out to date) and are able to recover more quickly following flooding. Some sites have seen flooding in the past.

**Figure 3: Leading Option (Option 1 mix of frontline and setback) alignment**

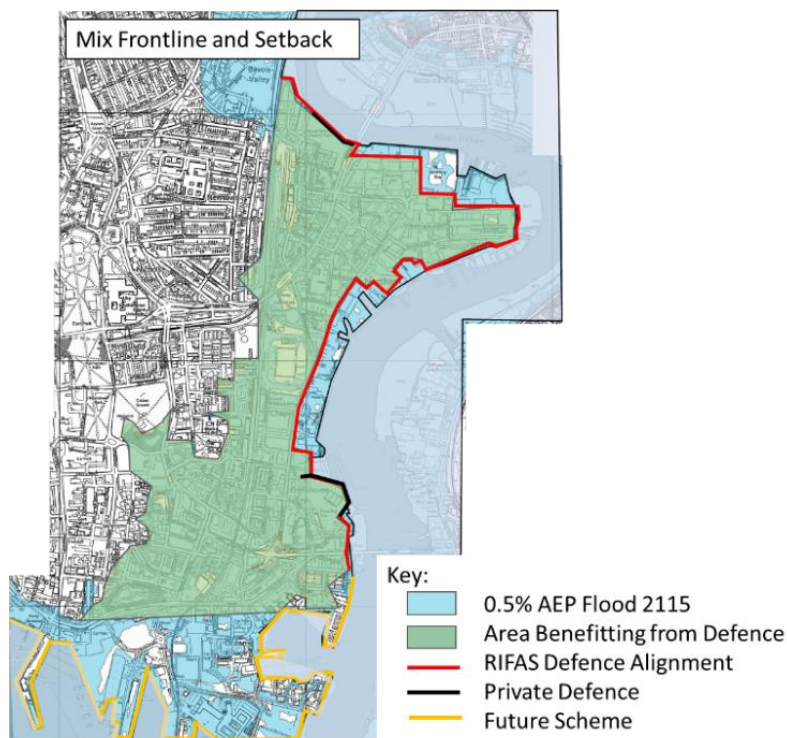


Figure 3 shows the proposed alignment for the RIFAS. The red line shows the proposed new defence, with the black showing the recently constructed developer led defences at Meridian and Chapel Riverside. The yellow line denotes future phases of the defence.

The area shaded green shows all areas that will benefit from the new flood defence. This provides a reduction in flood risk to 1167 homes and 1033 businesses at risk of flooding over the next 100 years, as well as council buildings, schools, religions buildings and critical infrastructure including the A3024 Northam Road, parts of the national railway line and electrical substations, that if flooded will cause disruption for many people outside of the immediate risk area.

By reducing the constraint of flood risk within the green area, this provides better potential for regeneration to come forward. The defence does not harm development potential of the areas remaining riverside of the defence (blue shading) as these can bring forward frontline defences in future should regeneration take place.



**Figure 4: Drivers Wharf Defence Options**



The current Local Plan indicates that Drivers Wharf is a site that holds potential for mixed use development in future. Figure 4 shows the options for the defence alignment at this site. The most economically viable defence option for this site is the setback alignment (green) which will be continued unless additional investment is made in the site to bring this to a fully frontline alignment (red).

The key consideration in the decision to alter the alignment is that just over half of the existing frontline quay wall has been assessed and is noted to be in poor condition. This means that the quay wall will need to be replaced within the next 10 years. Approximately 50% of the quay wall (west of the site, where deterioration is deemed to be more significant) is under Southampton City Council ownership. This means that the council will hold liabilities for any collapse of the quay wall that results in harm to people, property or release of contaminated land into the Itchen Estuary which is an environmentally designated Special Protection Area.

The quay wall will need to be addressed (within similar timescales for construction of the RIFAS), therefore investing now provides opportunities to combine the replacement with construction of a frontline flood defence instead of the setback alignment.

A frontline defence may increase regeneration potential for this site as reduces the risk of flooding, however the site will remain constrained by other factors including air quality, highway capacity issues and land contamination.

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**Indicative spend profile**

Funding (£m)	Financial year								Total
	2021/22	2022/23	2023/24	2024/25	2025/26	2026/27	2027/28	2028/29	
EA Grant-in-Aid		0.75	1.00	2.00	5.00	11.50	10.75	0.50	31.50
SCC CIL (main)			0.5	0.5	0.5	0.5	0.5	0.5	3
SCC CIL (Drivers Wharf)				3.5	3.7				7.2
Other	0.5	0.5							1
<b>Total</b>	0.50	1.25	1.50	6.00	9.20	12.00	11.25	1.00	42.70

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# Agenda Item 7

<b>DECISION-MAKER:</b>	Council		
<b>SUBJECT:</b>	Southampton – Mumbai Twinning		
<b>DATE OF DECISION:</b>	17 <sup>th</sup> November 2021		
<b>REPORT OF:</b>	<b>Councillor Jeremy Moulton</b> <b>Deputy Leader of Southampton City Council and</b> <b>Cabinet Member for Growth</b>		
<b><u>CONTACT DETAILS</u></b>			
<b>Executive Director</b>	<b>Title</b>	Executive Director Communities, Culture & Homes	
	<b>Name:</b>	Mary D’Arcy	Tel: 023 80834611
	<b>E-mail</b>	Mary.D’Arcy@southampton.gov.uk	
<b>Author:</b>	<b>Title</b>	Assistant Project Manager	
	<b>Name:</b>	Daniel Humphrey	Tel: 023 8083 2069
	<b>E-mail</b>	Daniel.Humphrey@southampton.gov.uk	
<b>STATEMENT OF CONFIDENTIALITY</b>			
None			
<b>BRIEF SUMMARY</b>			
<p>Southampton City Council’s Corporate Plan and Economic and Green Growth Strategy highlight our ambition to build on our international relationships and develop our economic and other links with key communities across the world, and specifically it is our ambition to develop a global partnership with India and direct relationship with the City of Mumbai.</p> <p>The partnership will enable the City of Southampton to position itself as an indispensable strategic partner for any organisation based in the city or the wider region, wishing to deepen relationships with India. This would include establishing Southampton’s importance in international trade post Brexit, with 80% of non-EU trade going through the Port of Southampton, becoming a destination city for Indian students, positioning the city as a centre of excellence for innovation and research, and creating a cultural offer which aligns to these ambitions and speaks to the significant part of Southampton’s population that relates to India through family or birth. India will also be a central strand of our bid to become UK City of Culture 2025. To meet this ambition, we are proposing to develop a Civic Twinning relationship with the City of Mumbai within the state of Maharashtra. This will be a Council facilitated relationship, with a political/civic element focussed on creating a but citywide relationship, augmented by institution-to-institution relationships.</p> <p>As part of supporting the ambitions of the City to be the UK City of Culture in 2025, the City of Culture Bid team will be hosting a wider City of Culture India Celebration day on the 22<sup>nd</sup> November 2021. If Council resolves the twinning the intention is that a symbolic ‘signing’ ceremony will be undertaken with the High Commissioner to India, on behalf of our partners from Mumbai, as part of this Celebration day, where the two parties can sign a memorandum of understanding (MOU) that outlines our shared ambition to develop a substantive civic relationship between Southampton and</p>			

Mumbai, and agrees to progress discussions between parties towards developing a twinning agreement.

**RECOMMENDATIONS:**

	(i)	That Council resolves to sign a Memorandum of Understanding between the cities of Southampton and Mumbai, India signalling our intention to ‘twin’ with Mumbai, and that there should be further discussions towards the ambition of agreeing a more formal civic twinning arrangement.
	(ii)	Any further detailed arrangements shall be subject to a further report to Council.

**REASONS FOR REPORT RECOMMENDATIONS**

1.	The forming of a relationship with Mumbai directly links to the city’s ambitions, reflected in the Corporate Plan and the Economic and Green Growth Strategy, to become the UK City of Culture 2025 and to extend our international relationships and partnerships.
2.	Southampton is, and always has been, an international city with an international population. In particular, the city has a significant population that relates to India through family or birth. Our bid to be UK City of Culture will celebrate this significant part of Southampton's population and the city council, through this arrangement seeks to support and facilitate business, cultural, economic and other relationships, that will further the ambitions of the city and its people.
3.	The recommendations in this report seek to support our wider city partner’s ambitions, and to promote Southampton as a destination of choice for study and leisure, whilst strengthening cultural and trade relationships with an important international partner. This directly links to our corporate plan priorities to support Southampton’s visitor economy and ensure Southampton is a destination of choice for business, innovation, research and education, and deliver on our Economic and Growth Strategy.

**ALTERNATIVE OPTIONS CONSIDERED AND REJECTED**

4.	<p>Informal agreement</p> <p>An alternative approach would be to undertake exchanges without a formal agreement in place between Mumbai and Southampton. This would remove the requirements to undertake any kind of formal agreement or to manage the relationships going forward. However, this option comes with significant risk and would most likely result in a loss of benefits. Under this option any exchanges or partnerships between local organisations and their opposites in Mumbai would be done on an ad-hoc basis. This would most likely result in a less successful series of individual partnerships as a holistic approach to the overall exchange between the two cities would not occur.</p>
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	<p>Furthermore, this option would not allow those who wish to develop relationships with those in Mumbai to do so within a facilitative framework, that promotes dialogue, but does not commit or bind any party in any way. We do not at this stage envisage that a framework will be overly resource intensive, but that a formal agreement would include a mechanism to maintain and review the relationship and the partnership at regular intervals at a minimum. This would allow for partners in the city and in Mumbai, to share experience and learning, and ensure that as a City we maximise the benefit of the arrangement and reduce duplication and overlap.</p> <p>This option would also fail to achieve the benefits an agreement between Southampton and Mumbai would bring to the city's bid to become UK City of Culture. Rather than supporting the bid it may have the opposite impact, as it would show a missed opportunity for partnership working within a framework.</p>
5.	<p><b>No agreement</b></p> <p>An alternative option is not to progress an agreement between Southampton and Mumbai at this time. This is not recommended as it would result in the loss of benefits to the UK City of Culture bid and would not support the Council's ambitions to grow its international standing.</p>
<p><b>DETAIL (Including consultation carried out)</b></p>	
6.	<p>Mumbai is the capital city of the Indian state of Maharashtra and a key trading route and major port with extensive connections in Southampton. According to the United Nations, as of 2018, Mumbai is the second-most populous city in the country after Delhi and the seventh-most populous city in the world with a population of roughly 20 million. Early discussions with officer counterparts in Mumbai have focussed on a number of key areas as outlined in this report that could form the basis of a future agreement. These also formed the content of a round table discussion in the city in November 2020, which was attended by a wide ranging set of partners from the Council, business, education, leisure and culture. The event was also attended by H E Gayatri Issar Kumar, High Commissioner of India and the Rt. Hon Baroness Usha Prashar CBE, Chairperson FICCI UK Council.</p>
7.	<p><b>Education</b></p> <p>Both the University of Southampton and Solent University have active ambitious relationships with India. In March 2019, the University of Southampton launched its India Centre for Inclusive Growth and Sustainable Development, which provides a platform for research leaders to come together with policy makers and business and industry partners to deliver evidence-based solutions and unlock the opportunities for policy change, inclusive economic growth, technology and sustainable development for India. One of its research projects, led by Professor Caroline Hall, has seen the University working with Doctors and Researchers in Pune, Mumbai, Mysore, Delhi, Vellore and Hyderabad, studying mothers and children living in a variety of settings, from remote rural communities to some of the largest cities. The Mumbai Maternal</p>

	Nutrition Project looked at the role of food-based approaches in improving preconception nutrition and birth outcomes.
8.	Professor Jane Falkingham OBE, Dean of the Faculty of Social Sciences at the University of Southampton has developed a strategic review for the University, into strategic relationships with India. As part of this work, University of Southampton have a strategic relationship with India Business Group, which is chaired by Lord Patel of Bradford. This relationship enables the University to actively promote the work of their India Centre in the UK to a multiple of sectors.
9.	India is an increasingly significant market for Solent University as India's commitment to developing human capital to progress industry growth and economic development, matches Solent's own commitment to developing industry professionals, who are 'work ready, world ready, future ready'. The strategic importance of Solent University's subject portfolio and its alignment with both local business and industry in Southampton, together with the many growth business and industry sectors identified in Mumbai, creates an excellent opportunity for Solent to work with a range of partners in Mumbai. Solent is committed to engaging with academic, business and industry partners, through collaborative activities and consortia, to support the growth of Indian industries. Solent University is committed to enabling Indian graduates to implement their knowledge, professional skills and industry experience gained at Solent University, to actively drive industry growth and economic development in India. Solent University's industry focussed portfolio includes Maritime, Fashion, Media, Sports, Business and Health Studies.
10.	Solent University is developing exciting plans to establish a Solent India Office, to enhance their presence in India and raise the profile of Solent's contribution to India, through the education, training and development of Indian students. Solent University is interested in liaising with the Federation of Indian Chambers of Commerce and Industry (FICCI) regarding the development of academic-industry consortia in Mumbai.
11.	<b>Trade</b> At present the Associated British Ports (ABP) of Southampton does not have a formal agreement with Jawaharlal Nehru Port (JNPT), however, the Nhava Sheva International Container Terminal (NSICT) is leased to a consortium led by P&O, now a part of DP World. The separate Port of Mumbai mainly handles bulk goods. An obvious starting point is the status of port cities that both Southampton and Mumbai share. Jawaharlal Nehru Port, abbreviated as JNPT, also known as Nhava Sheva, is the largest container port in India located east of Mumbai and handling around 55% of the country's containerized cargo. The CMA CGM Groups runs a shipping service (EPIC 1) connecting Northern Europe with the Indian Subcontinent that calls at Southampton and Nhava Sheva. Initial UK City of Culture 2025 partnership discussions with Alastair Welch, Regional Director of ABP

	Southampton have indicated that the Port would support a twinning ambition with Mumbai.
12.	<p><b>Sport</b></p> <p>Southampton’s sporting links are also a focus area for partnership, particularly cricket, and football. The Ageas Bowl is the home of Hampshire County Cricket Club. Ajinkya Rahane, who represents Mumbai in domestic Indian cricket, became the first Indian player to represent Hampshire during a spell at the club in 2019. Rahane has captained the Indian men’s national cricket team. Mumbai is also home to the current champions of the Indian Premier League, the Mumbai Indians. The IPL Twenty20 cricket league is the most attended cricket league in the world and one of the most attended of all sports leagues globally. Building a relationship with Mumbai can only further foster the global nature of cricket in Southampton, with an aim to extend and support the club in the City.</p>
13.	<p>India is a key market for the Premier League’s international growth strategy &amp; therefore clubs who compete in the League. The Premier League is India’s most popular and most followed football league in world football, with c130m supporters and a growing market. The Premier League signed a mutual agreement of understanding with the Hero Indian Super League in 2020 with a commitment to sharing knowledge &amp; expertise. As part of the Premier League Agreement, SFC U14 Academy team took part in the inaugural Mumbai Cup. India is a territory that can support Southampton Football Club’s aspirations to grow its international fanbase and attract new sponsorship opportunities. As part of the Club’s Commercial International Football programme, the Club are exploring the possibility of developing a partnership with a club located on the north-western side of the state of Maharashtra, which is a city that is an immediate neighbour of Mumbai city and a part of the Mumbai Metropolitan Region. This partnership would be the Club’s first International Academy Partner in India and there’s a desire to increase the number of partners in this territory, whether with Professional Clubs or Community grassroots organisations, based on a shared value for coach &amp; player development. Southampton Football Club have explored opportunities with the India Business Group in the past and intend to continue working with Armajit Singh in the future to hopefully unlock new business partnerships.</p>
14.	<p>Through stakeholder engagement, we understand that sport is a key area for Mumbai, in particular the development of Women’s sport. With Southampton playing host to the Women’s Euros Finals in 2022, there is an opportunity to further develop the engagement in Women’s football working in partnership with stakeholders from Southampton Football Club, the FA and Sport England.</p>
15.	<p>Southampton is a city where many key stakeholders have an active relationship or ambition to further develop business, cultural, sport, education, research or innovation links with India. Working with our local stakeholders and partners is key to ensuring that Southampton benefits from material, economic and international growth as well as positioning itself</p>

	as a city to help the UK achieve its international trading and diplomatic relationships through winning UK City of Culture 2025.
16.	<p><b>Culture</b></p> <p>As part of the bid to become UK City of Culture 2025, Southampton has an opportunity to strategically link its cultural heritage and ambition with Mumbai. The Nehru Centre acts as the cultural wing of The High Commission of India in the UK. Established in 1992, it is regarded by Indian Council for Cultural Relations (ICCR) as its flagship cultural centre abroad, and has, over the years, emerged as a premier institution engaged in India's cultural interface with UK. The ICCR was founded in 1950 and its objectives are: to actively participate in the formulation and implementation of policies and programmes pertaining to India's external cultural relations; to foster and strengthen cultural relations and mutual understanding between India and other countries; to promote cultural exchanges with other countries and people, and to develop relations with nations.</p> <p>Southampton is home to Art Asia, an Arts Council England NPO which produces the annual Mela, which is celebrating its 40<sup>th</sup> Anniversary in 2021. Developing meaningful International Partnerships is a key objective for Southampton City Council. The Executive Director, Place is taking a lead role in developing a strategic plan with her Cabinet Member and the Leader of the Council regarding this wider 'Global Partnership' objective. Any partnership developed between Southampton and Mumbai will also support SCC in meeting some key objectives, specifically those highlighted in the Economic Growth Strategy:</p> <ul style="list-style-type: none"> <li>• Southampton: a partnership approach to growth, by working in collaboration with a wide range of local, regional, national and international partners.</li> <li>• Supporting and growing local business, by supporting the development of a greater relationship with India so the examples listed in this section of the business case can be progressed.</li> <li>• Growing an international city, by strengthening our international links with India.</li> </ul>
17.	International Partnerships are also a key potential differentiator for the city in its bid to be UK City of Culture 2025. As the world emerges from the pandemic and the country from the exit from the EU, long term, sustainable economic recovery will inevitably be the focus for all cities. Our UK City of Culture bid is a key part of Southampton's recovery in the short/medium term, supporting the longer-term needs of the city that are being addressed through the re-focussed work of teams in Place, Adults, Children's and CCH. Southampton's role in the world and its ability to generate economic benefit from international relationships is a potential differentiator for the city, and a counterbalance to the Government's levelling up agenda, in our bid to be UK City of Culture.
18.	In November 2020 the City of Southampton, through the UK City of Culture 2025 Bid team, was invited to host a virtual roundtable discussion led by the Federation of India Chambers of Commerce and Industry (FICCI), on behalf of the Indian High Commission and in partnership with BDO LLP. The event



	<p>was well attended by several of the city’s key stakeholders including the Leader and Chief Executive of Southampton City Council. In addition, key speakers were Associated British Ports, for the Port of Southampton, both the University of Southampton, Solent University, the National Oceanography Centre and Southampton Football Club, all of which currently have existing relationships or wish to further develop links and relationships with India based on their own business objectives and need. The event was also open to a broader selection of city stakeholders, including several Southampton based businesses, all of which are currently trading in India, or who have expressed a keen business interest to do so.</p>
19.	<p>The successful roundtable event, focussed on several key areas of shared ambition, and from a Southampton perspective, our aim would be that any future partnership reflects and compliments several sectors and areas of expertise within the city, and for our supporting stakeholders. With an ambition that together, we can create a relationship that is beneficial to both cities. These are:</p> <ul style="list-style-type: none"> <li>• Culture and creativity. Southampton is currently preparing a bid to become UK City of Culture in 2025. The city has a large Indian diaspora, therefore our links with India are key.</li> <li>• Trade with an emphasis on the connections between our Ports and business, focusing on how our Southampton based businesses can do business in India, whether this be through supply chain, innovation, or manufacturing.</li> <li>• Education, research and innovation linking to the work that both of our Universities are currently undertaking in India, for example the University of Southampton’s innovative India Centre, which champions inclusive growth and sustainable development.</li> <li>• Sport connecting into our positioning as a Host City for Women’s Euros Finals 2022, and the importance of our world class Ageas Bowl Cricket facility.</li> </ul> <p>The event was also attended by Her Excellency Gayatri Kumar, High Commission of India to the UK.</p> <p>Since the event, many key City partners have already followed up on the invitation from FiCCI and the High Commission, to deepen and extend their commercial and cultural relationships and the proposals outlined in this report only seek to deepen and create a firm footing for the appetite already apparent in the city.</p>
20.	<p>As part of the ongoing partnership development work for Southampton’s bid to become UK City of Culture 2025, partnerships have been developed with the following organisations and institutions in order to support this ambition:</p> <ul style="list-style-type: none"> <li>• FiCCI – Federation of Indian Chambers of Commerce and Industry</li> <li>• CWEIC – Commonwealth Enterprise and Investment Council</li> </ul>
<b>RESOURCE IMPLICATIONS</b>	
<b><u>Capital/Revenue</u></b>	
21.	<b>Resources</b>

	<p>At present the resources for these discussions are being facilitated from within existing budgets and resources covering the City of Culture Team, the Executive Director for CCH, and Legal who have agreed to support with the drafting of an initial high-level document. As the discussions and detail of any future agreement are developed, there will be a need to capture any resource implications and ensure appropriate governance and alignment with the wider work on International Partnerships being led by the Place Directorate . This international partnership is also a key focus for the bid to be UK City of Culture and will be supported by the City of Culture team going forward if we are successful.</p> <p>Any additional resources over and above this will be costed and appropriate agreement secured and governance undertaken before any formal commitments are made.</p>
22.	<p>Currently a review of existing, potential and future International Partnerships is being led by the Executive Director for Place. This review will include the long term resource needs for this partnership alongside other Global Partnerships and one of the key strategic outcomes of the recently adopted Economic and Green Growth Strategy.</p>
23.	<p><b>Costs</b> Short-term</p> <p>The resource costs to develop the partnership between March and November 2021 have been absorbed by the teams working on this as stated above. The event India Celebration event scheduled for 22nd November is already costed into City of Culture budgets and it is confirmed that any delegation from India will cover their own costs.</p>
24.	<p><b>Long-term costs</b></p> <p>The long-term costs of the agreement will be determined as part of the ongoing discussions with Mumbai and city partners. It is anticipated that some Partnership/Economic Development team resource will be required to support the Council element of the agreement as part of the wider International Partnership work being led by that team. The nature of this partnership is anticipated to be largely facilitative in nature, given some of the key relationships will lie with partners other than the Council as outlined in this resource. It is therefore proposed that this resource can be absorbed into the wider work of the Council and through strategic partnerships such as those with our Universities and Cultural organisations supported by additional City of Culture resource as described above.</p> <p>Once an agreement is reached, it is anticipated that the arrangement will sit alongside other international partnerships, with clear links to the City of Culture team and the Southampton 2025 Trust if we are successful in our bid to be UK City of Culture.</p> <p>No foreign visits by the Mayor, members or officers are envisaged as is often the case with traditional town twinning arrangements, as part of any future twinning arrangement with Mumbai developed using this approach.</p>

	<p>Relationships will be formed using a variety of digital platforms in the first instance. It may be anticipated that partners across the City may choose to travel to India or invite counterparts to visit the City and as part of a wider partnership approach, the ambition will be to build city wide benefit into any such opportunity.</p> <p>The ambition is that this agreement will be largely facilitative in nature, ensuring that key stakeholder, partners and leaders from across the City are supported to further their relationships and ambitions to develop links with Mumbai specifically and India more generally.</p>
25.	Ongoing budget to support international relationships will form part of the overall plans for the city to develop and cement International Partnerships as part of the delivery of the Economic and Growth Strategies highlighted in this report.
26.	As part of the development of the city's approach, it is anticipated that key partners from the City, will support the 'delivery' of the approach by taking the lead in progressing key elements – such as education, sport and trade relations via the Port. Whether there would be appetite to pool resource to support the long-term management of this specific partnership, given the specific benefits to key partners as highlighted above, could also form part of a sustainable partnership management approach.
<b><u>Property/Other</u></b>	
	None
<b>LEGAL IMPLICATIONS</b>	
<b><u>Statutory power to undertake proposals in the report:</u></b>	
	Local Government Act 1972, Local Government (Miscellaneous Provisions) Act 1976
<b><u>Other Legal Implications:</u></b>	
27.	Regarding the document to be signed there is no prescriptive style of document for such an agreement. The document will not be binding but rather a symbolic statement of intent. It can be as detailed or as light touch as is appropriate although the recommendation is that we take a light touch approach.
<b>RISK MANAGEMENT IMPLICATIONS</b>	
28.	There is a potential risk around capacity within teams to support the twinning process, and also capacity within wider teams as this relationship is progresses (e.g. Legal, Economic Development, Communications etc.) which would impact on the timeframe and quality of delivery. This will be mitigated through prioritisation of workstreams and allocation of sufficient resource. We will also work with city partners, such as our universities, to support the development of the partnership and share responsibilities for delivery.
29.	There is a potential risk of criticism of the approach taken and critical scrutiny of spend due to the performance or perception of previous

	‘twinning’ agreements both locally and nationally. We will mitigate this through clear communications that set the relationship within the Southampton context. We will communicate clearly the benefits to be derived from the twinning with Mumbai. We will ensure transparency of financial data and carefully consider any expenditure linked to this agreement.	
30.	This proposal recommends a step towards a civic agreement between the cities of Southampton and Mumbai that will provide an umbrella for relationships to develop across the city, it is not a commitment to any specific future business, education, sport or cultural agreements being developed with any organisation in the City. Any such arrangements will be managed through the usual organisational governance mechanisms of the organisation in question.	
<b>POLICY FRAMEWORK IMPLICATIONS</b>		
31.	<a href="#">Southampton Economic &amp; Green Growth Strategy</a> ‘Growing an International City’	
<b>KEY DECISION?</b>		<b>No</b>
<b>WARDS/COMMUNITIES AFFECTED:</b>		None
<u>SUPPORTING DOCUMENTATION</u>		
<b>Appendices</b>		
1.	None	
<b>Documents In Members’ Rooms</b>		
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	

<b>DECISION-MAKER:</b>	<b>CABINET COUNCIL</b>
<b>SUBJECT:</b>	<b>INTEGRATED TRANSPORT &amp; HIGHWAYS PROGRAMME 2021/22 – APPROVAL TO SPEND</b>
<b>DATE OF DECISION:</b>	<b>CABINET - NOVEMBER 15, 2021 COUNCIL - NOVEMBER 17, 2021</b>
<b>REPORT OF:</b>	<b>COUNCILLOR MOULTON CABINET MEMBER FOR GROWTH</b>

<b><u>CONTACT DETAILS</u></b>			
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<b>STATEMENT OF CONFIDENTIALITY</b>	
Not applicable	
<b>BRIEF SUMMARY</b>	
<p>A five-year Highways investment programme was added to the capital programme as part of the Medium Term Financial Strategy approved by Council in February 2020. Approval to incur expenditure against the programme is now required for the 2021/22 scheme. This report will give updated details on the projects and any additional funding requirements.</p>	
<b>RECOMMENDATIONS:</b>	
It is recommended for Cabinet:	
	<p>(i) To note the updated capital programme for Integrated Transport and Highways, the revised financing of the programme and the associated capital spend for 2021/22, including amendments detailed within this report and in accordance with financial procedure rules, of £74.55M as detailed in paragraph 17 and Appendix 1</p>
	<p>(ii) To note the overall budget addition of £2.33M, to the Place capital programme funded by government grant and S106 developer contributions, as detailed in paragraph 18 and Appendix 1.</p>
	<p>(iii) To note budget virements between existing schemes within the programme as detailed in paragraph 19 and Appendix 1.</p>
	<p>(iv) To note the details of the projects within Transforming Cities Programme and Future Transport Zone Programme as detailed in Appendices 2 and 3.</p>

**RECOMMENDATIONS:**

It is recommended for Council:

	(i)	To approve the updated capital programme for Integrated Transport and Highways, the revised financing of the programme and the associated capital spend for 2021/22, including amendments detailed within this report and in accordance with financial procedure rules, of £74.55M as detailed in paragraph 17 and Appendix 1.
	(ii)	To approve the overall budget addition of £2.33M, to the Place capital programme funded by government grant and S106 developer contributions, as detailed in paragraph 18 and Appendix 1.
	(iii)	To approve budget virements between existing schemes within the programme as detailed in paragraph 19 and Appendix 1.
	(iv)	To note the details of the projects within Transforming Cities Programme and Future Transport Zone Programme as detailed in Appendices 2 and 3.

**REASONS FOR REPORT RECOMMENDATIONS**

1.	Financial Procedure Rules require that approval to spend is secured to enable the delivery of the Council's capital programme each year.
2.	The details of the projects are included to provide Members with relevant information about the investment being made in the City's infrastructure.
3.	To amend the funding allocations in response to recent funding announcements from the Department for Transport (DfT).

**ALTERNATIVE OPTIONS CONSIDERED AND REJECTED**

4.	A smaller programme than that proposed would undermine the essential support for the ongoing development of Southampton, fail to meet the objectives set out in the Local Transport Plan (LTP4), Green City Plan, the Transforming Cities and Future Transport Zone programmes, or deliver any noticeable improvement in the basic highway infrastructure.
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**DETAIL (Including consultation carried out)**

5.	<p>The Integrated Transport &amp; Highways Capital Programme for 2021/22 includes the delivery of a number of high-profile transport schemes including:</p> <ul style="list-style-type: none"> <li>• Transforming Cities Programme including infrastructure for the hospital Park &amp; Ride, enhanced traffic signal technology, Cycling and public transport interchanges;</li> <li>• Active Travel Fund for cycling and walking;</li> <li>• Future Transport Zone programme;</li> <li>• Programme of road safety, public transport, school streets, cycle and walking, and Intelligent Transport Systems (ITS);</li> <li>• Highways Roads Programme covering carriageway resurfacing, footway and kerbing reconstruction, and footway surfacing; and</li> <li>• Development of the Northam Rail Bridge project.</li> </ul>
6.	The outline for the spend is set out in paragraphs 8-16 with individual schemes in Appendices 1, 2, & 3.
7.	<p><i>Integrated Transport Block</i></p> <p>The 2021/22 Integrated Transport Block funding is based on annual Local Transport Plan Integrated Transport Block from Department for Transport</p>

	<p>(DfT) to Southampton City Council (SCC) and will be used to fund programmes of:</p> <ul style="list-style-type: none"> <li>• Road Safety – engineering measures and safety promotion activities, annual review of reported crash data for city, and contribution to Road Safety Partnership;</li> <li>• Cycling – engineering measures to improve cycling routes and safety;</li> <li>• Accessibility – improved pedestrian crossings and Legible Cities wayfinding programme;</li> <li>• Intelligent Transport Systems (ITS) – traffic signals, ongoing funding of Covid-19 mitigation measures and new traffic monitoring;</li> <li>• Public Transport – improve bus stops, new bus stop information including Real Time Information and bus stop flags;</li> <li>• Travel to School – expansion of the School Streets programme to improve pedestrian safety at school gates; and</li> <li>• Local Transport Improvement Fund – programme of minor works prioritised from Member requests.</li> </ul> <p>Details of the full Integrated Transport programme for 2021/22 totalling £4.44M are shown in Appendix 1.</p>
8.	<p><i>Transforming Cities Fund (TCF)</i></p> <p>In 2020, SCC was successful in its joint bid (with Hampshire County Council) to the DfT’s Transforming Cities Fund receiving £56.90M for sustainable and active travel schemes in Southampton City Region.</p> <p>TCF’s aim is to deliver a step-change in transport sustainably connecting people, jobs and opportunities along four corridors and the city centre to place the Southampton City Region at the forefront of economic competitiveness and productivity in the UK.</p> <p>The bid secured funding for the City Centre and along four corridors as follows:</p> <ul style="list-style-type: none"> <li>• City Centre Transformation – these schemes are the programme’s showcase public realm locations and gateway interchanges, with the four corridors converging in the City Centre. The schemes include high quality interchanges at Southampton Central Station south side and Albion Place. Improvements and congestion reduction along the Northern Ring Road allows public realm realisation along Civic Centre Road as well as strengthening the links between the Cultural Quarter and the High Street for pedestrians;</li> <li>• Western (Totton) corridor – includes schemes to reduce congestion and prioritise buses through smart technology. This corridor also includes Southampton’s first Park &amp; Ride which will be operated weekday by the University Hospital Southampton as part of a purpose-built Park &amp; Ride facility at Adanac Park Health Campus and include the option for public weekend and special event Park &amp; Ride;</li> <li>• Northern (Avenue) corridor – includes schemes to encourage cycling and walking along this corridor, providing segregated cycle facilities on The Avenue from Northlands Road to the subway, and along Lovers Walk and Glen Eyre Road via quietways;</li> <li>• Portswood &amp; Eastleigh corridor – includes schemes to encourage cycling and walking as well as improving bus journey times and</li> </ul>

	<p>reliability along Portswood Road, St Denys Road, and schemes to reduce congestion along A335 Thomas Lewis Way through smart traffic signal technology. This corridor also includes an Active Travel Zone in St Denys and a Mobility Hub in Portswood to boost cycling and walking; and</p> <ul style="list-style-type: none"> <li>• Eastern (Woolston) corridor – includes schemes to encourage cycling and walking as well as better interchange facilities at Woolston including a Mobility Hub and an Active Travel Zone for Woolston and Itchen. Station access will be improved at Woolston and Sholing.</li> </ul> <p>Details of all the SCC Transforming Cities Fund schemes totalling £30.70M for 2021/22 and are shown in Appendix 2.</p>
9.	<p><i>Active Travel Fund Tranche 2</i></p> <p>Southampton City Council was successful in receiving £0.980m capital funding from the DfT's Active Travel Fund. The grant funding supports local transport authorities with producing cycling and walking facilities. This funding is for the following projects:</p> <ul style="list-style-type: none"> <li>• SCN4 Access to University Hospital Southampton – improvements to walking and cycling routes to the Hospital including the provision of new cycle routes from City Centre and Adanac Park;</li> <li>• St Mark's Active Travel Zone – proposals to mitigate the impact on the local transport network of the new Through School at St Mark's Shirley. This will be combined with S106 contributions received from the School's development approval;</li> <li>• Bedford Place and The Polygon Active Travel Zone – proposals to encourage walking and cycling in the Polygon area, and elements to support safety improvements in the Bedford Place area;</li> <li>• SCN6 St Mary's Road - the introduction of dedicated cycle facilities on St Mary's Road to provide better links to Royal South Hants Hospital; and</li> <li>• School Streets – infrastructure to provide a School Street at Shirley Infant School to improve pedestrian safety at the school gate entrance and provide measures to address a long-term school crossing patrol vacancy.</li> </ul>
10.	<p><i>The Solent Future Transport Zone (FTZ)</i></p> <p>SCC, through the Solent Transport partnership (incorporating Hampshire, Isle of Wight and Portsmouth), was awarded £28.8m from the DfT to run numerous tests and trials of innovative approaches to transport across the Solent region, known as the Solent Future Transport Zone. SCC is acting as the financial responsible authority for the programme on behalf of Solent Transport. As these tests and trials take place, the Solent Transport will capture data and invite feedback to understand whether these innovations are improving transport options and the way people travel. Projects include:</p> <ul style="list-style-type: none"> <li>• E-scooter trials,</li> <li>• Developments to the Solent Go Multi Operator Travel Card,</li> <li>• Bike/E-bike rental trials,</li> <li>• Micro and Macro freight consolidation and deliveries,</li> <li>• Transport and Travel mobile app (Mobility as a Service),</li> <li>• Drone medical delivery trials, and</li> <li>• Mobility hubs.</li> </ul>



	Delivery of the FTZ has been reprofiled due to Covid and an extension to 2024/25. Spend will be up to £16.87M in 2021/22 and is detailed in Appendix 3.
11.	<p><i>Major Transport Scheme</i></p> <p>A major project is being developed with Network Rail for the replacement and improvement of the major pinch point at A3024 Northam Rail Bridge. The work will include design, business case development, consultation, and development of products required for Network Rail.</p>
12.	<p><i>Highways &amp; Roads Programme</i></p> <p>The Council is continuing to invest in the highway and public realm infrastructure of the City to help offset the continuing deterioration of the City's roads and footways. The funding sources for this are shown in Appendix 1.</p> <p>Delivery for the remainder of 21/22 Highways &amp; Roads Programme encompasses a wide range of highway carriageway and footway schemes at various stages of design/pricing/construction. These specifically identified locations will ensure a balance against an available total budget of £14.80m. This is an approval spend but requires a subsequent project level approval and policy decision for unadopted roads to follow.</p>
13.	The Transport Asset Management Plan (TAMP), LTP4, Green City Plan and TCF Strategic Outline Business Case (SOBC) have provided the priority for highways spend, the integrated transport projects, the TCF/ Solent FTZ and Green City projects. Individual consultation will be undertaken on each project using agreed consultation strategies.
14.	The Integrated Transport Board has an overarching responsibility for the delivery of the Integrated Transport & Highways Capital Programme. The TCF Programme Board manage the delivery of the TCF programme with review progress and performance and reports exceptions.
15.	The road surfacing projects are based on the latest TAMP priorities. There may be some minor changes to this programme as the individual projects are designed and if further deterioration of the network requires alternative priority investment. Any variations will be subject to the appropriate change control process.
RESOURCE IMPLICATIONS	
<u>Capital/Revenue</u>	

16.	The revised Integrated Transport and Highways for 2021/22 total £74.55M.				
	Summary	Original Budget 2021/22 £M	Budget Additions 2021/22 £M	Budget Virements 2021/22 £M	Revised Budget 2021/22 £M
	Highways	13.89	1.03	(0.12)	14.80
	Integrated Transport	57.56	1.31	0.12	58.99
	Non-Highways	0.54	0.00	0.00	0.54
	Other Environment	0.22	0.00	0.00	0.23
	<b>TOTAL</b>	<b>72.22</b>	<b>2.33</b>	<b>0.00</b>	<b>74.55</b>
	Funded by				
	Council Resources	(12.46)	0.00	0.00	(12.46)
	Contributions (S106)	(4.71)	(2.24)	0.00	(6.95)
	Government Grants	(54.65)	(0.10)	0.00	(54.75)
	Direct Revenue	(0.40)	0.00	0.00	(0.40)
		(72.22)	(2.33)	0.00	(74.55)
	Note – figures have been rounded				
17.	Budget additions of £2.33M are funded by government grants and S106 developer contribution				
18.	Detail of budget virements within existing schemes and their funding are shown in Appendix 1.				
19.	Of the £2.14M Integrated Transport grant funding for 2021/22, £0.95M is to be added to the programme as detailed and the remaining £1.19M has been earmarked as match funding for the Transforming Cities budget and is already included in the approved budget.				
20.	The Connected Southampton budget added to the capital programme in February 2020 consisted of two elements, Transforming Cities and Northam Bridge. The capital programme detailed in Appendix 1 for 2021/22, shows these as two distinct projects to ensure transparency and improved budget monitoring.				
21.	The proposed programme is fully funded and is based on available funding levels.				
<b><u>Property/Other</u></b>					
21.	There are not property implications with this report				
<b>LEGAL IMPLICATIONS</b>					
<b><u>Statutory power to undertake proposals in the report:</u></b>					
22.	Each Capital scheme will be delivered in accordance with a variety of Highways and Environmental legislation, including but not limited to the Highways Act 1980, Road Traffic Regulation Act 1994, Traffic Management Act 2004, and s.1 <u>Localism Act 2011 – general power of competence</u> (having first had regard to the provisions of the Community Strategy).				

<b><u>Other Legal Implications:</u></b>	
23.	Any scheme or change to a scheme must be made having regard to the Human Rights Act 1998 (with any national minimum scheme will be deemed to comply) and the Equalities Act 2010, in particular the Public Sector Equalities duty. Procurement of Schemes will be carried out in accordance with the Council's procurement strategy, existing and newly procured partnership contracts and in accordance with National procurement legislation and directives. Design and implementation of schemes will take into account the provisions of s.17 Crime & Disorder Act 1998 and the impact of schemes on individuals and communities will be assessed against Human Rights Act 1998 and Equalities legislation provisions.
<b>RISK MANAGEMENT IMPLICATIONS</b>	
24.	SCC as the financial accountable body for the Solent Future Transport Zone will need to assess risks in accordance with its Financial Procedure Rules and ensure they are considered and mitigated via the Solent FTZ Programme Board and the Solent Transport Joint Committee. This will guarantee that any financial and commercial programme risks are considered, agreed upfront and where necessary, with common consent, shared across the four Local Transport Authorities.
<b>POLICY FRAMEWORK IMPLICATIONS</b>	
25.	The Capital Programme is compatible with the objectives in the Corporate Plan 2021-25.
26.	The City Council is the Local Transport Authority as laid down in the Transport Act 2000 and the Council's relevant Policy Framework is Connecting Southampton 2020 Transport Strategy (LTP4).
27.	The importance of the condition of the highway network in terms of defects, as well as its ability to assist in providing high quality transport for all modes cannot be understated in terms of providing an indication of the health and vitality of the City. Increased investment by the Council can only signal to businesses and residents that Southampton is a location to invest and commit to. Getting this message clearly across to key stakeholders in the City will be a priority once the programme is approved.

<b>KEY DECISION?</b>	<b>Yes</b>
<b>WARDS/COMMUNITIES AFFECTED:</b>	All
<b><u>SUPPORTING DOCUMENTATION</u></b>	
<b>Appendices</b>	
1.	Revised Integrated Transport and Highways Capital Programme 2021/22 and Associated Funding
2.	Detail of schemes within the Transforming Cites Programme for 2021/22
3.	Detail of Schemes within the Future Transport Zone Programme for 2021/22

1.	
2.	
<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>	
<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.	

# Agenda Item 8

## Integrated Transport and Highways Capital Programme 2021/22 and Associated Funding

Appendix 1

Summary	Scheme	Scheme Description	Original Budget 2021/22 £M	Budget Additions 2021/22 £M	Budget Virements 2021/22 £M	Revised Budget 2021/22 £M
<b>Highways</b>	<b>CG0026</b>	Additional Roads Programme	10.800	1.242	(3.090)	8.952
	<b>CG0027</b>	Essential Highways Minor Works	0.000	0.000	0.060	0.060
	<b>CG0028</b>	Pothole Action Fund	0.000	0.000	1.000	1.000
	<b>CG0029</b>	Cycleways Improvements Programme	0.076	0.000	0.000	0.076
	<b>CG0042</b>	Other Bridge Works	0.030	0.000	1.132	1.162
	<b>CG0049</b>	Unclassified Roads	0.402	0.000	(0.402)	0.000
	<b>CG0050</b>	Footways - Various Treatments	0.000	0.000	1.500	1.500
	<b>CG0052</b>	Highways Drainage Investigations	0.000	0.000	0.250	0.250
	<b>CG0053</b>	St Lighting	0.013	0.000	0.000	0.013
	<b>CG0054</b>	Road Restraint Systems	0.000	0.000	0.300	0.300
	<b>CG0060</b>	Highways Improvements (Developer)	0.405	(0.128)	0.001	0.278
	<b>CG0196</b>	M27/M3 Travel Demand Management	0.360	0.000	0.000	0.360
	<b>CG0197</b>	S106 – Highways	0.381	(0.009)	(0.034)	0.338
	<b>CG0198</b>	S106 - Integrated Transport	0.248	(0.080)	(0.084)	0.084
	<b>CG0231</b>	Pavements	1.000	0.000	(1.000)	0.000
	<b>CT0066</b>	Townhill Park Infrastructure - Roads	0.178	0.000	0.000	0.178
<b>CAP3</b>	Lordswood Close - Unadopted Road	0.000	0.000	0.250	0.250	
<b>Highways Total</b>			<b>13.893</b>	<b>1.025</b>	<b>(0.117)</b>	<b>14.801</b>
<b>Integrated Transport</b>	<b>CAP1</b>	Northam Rail Bridge	0.000	0.000	5.330	5.330
	<b>CAP2</b>	Northam Match Funding	1.650	0.000	0.000	1.650
	<b>CG0006</b>	Cycling	1.107	(0.149)	0.007	0.965
	<b>CG0008</b>	Public Transport	0.705	0.827	0.000	1.532
	<b>CG0009</b>	Improved Safety	0.090	0.192	0.069	0.351
	<b>CG0010</b>	Travel to School	0.000	0.179	0.028	0.207
	<b>CG0013</b>	Accessibility	0.000	0.125	0.013	0.138
	<b>CG0016</b>	Local Transport Improvement Fund	0.240	0.000	0.000	0.240
	<b>CG0017</b>	ITS	0.000	0.300	0.000	0.300
	<b>CG0024</b>	Electric Vehicle Action Plan	0.498	0.000	0.000	0.498
	<b>CG0033</b>	Eastern strategic cycle route development	0.035	(0.035)	0.000	0.000
	<b>CG0034</b>	NCR: Ave East Lodge Rd – Dorset St	0.026	(0.011)	0.000	0.015
	<b>CG0037</b>	Bus Lane & Traffic Enforcement	0.000	0.000	0.000	0.000
	<b>CG0038</b>	Bus Corridor Minor Works	0.223	(0.121)	0.000	0.102
	<b>CG0040</b>	Northam Rail Bridge and corridor improvements	0.093	0.000	0.000	0.093
	<b>CG0209</b>	Future Transport Zone	16.868	0.000	0.000	16.868
<b>CG0215</b>	Transforming Cities Fund	36.028	0.000	(5.330)	30.698	
<b>Integrated Transport Total</b>			<b>57.563</b>	<b>1.307</b>	<b>0.117</b>	<b>58.987</b>
<b>Non-Highways</b>	<b>CT0067</b>	Townhill Park Infrastructure - Parks	0.536	0.000	0.000	0.536
<b>Non-Highways Total</b>			<b>0.536</b>	<b>0.000</b>	<b>0.000</b>	<b>0.536</b>
<b>Other Environment</b>	<b>CT0065</b>	Clean Air Zone	0.217	0.000	0.000	0.217
<b>Other Environment</b>	<b>CT0074</b>	S106 - Air Quality	0.011	0.000	0.000	0.011
<b>Other Environment Total</b>			<b>0.228</b>	<b>0.000</b>	<b>0.000</b>	<b>0.228</b>
<b>Total</b>			<b>72.220</b>	<b>2.332</b>	<b>0.000</b>	<b>74.552</b>

## **Integrated Transport and Highways Capital Programme 2021/22 and Associated Funding**

Funded by				
Council Resources	(12.458)	0.000	0.000	(12.458)
Contributions	(4.711)	(2.236)	0.000	(6.947)
Government Grants	(54.651)	(0.096)	0.000	(54.747)
Direct Revenue	(0.400)	0.000	0.000	(0.400)
<b>Total</b>	<b>(72.220)</b>	<b>(2.332)</b>	<b>0.000</b>	<b>(74.552)</b>

## Detail of Schemes Within the Transforming Cities Programme for 2021/22

Appendix 2

Scheme	Budget 2021/22
A35-A33 Smart Technology	0.13
Southampton-Totton Enhanced Stops	0.02
TCF2 - A335 Smart Technology	0.29
TCF2 - A335/St Denys Road Junction	0.35
TCF2 - Avenue/Burgess Road Junction	0.69
TCF2 - Central Station Interchange	1.92
TCF2 - East/West Spine	1.52
TCF2 - HCC Payments	3.91
TCF2 - High Street Swaythling Bus	0.22
TCF2 - Inner Avenue Quietways	0.12
TCF2 - Itchen Bridge Roundabout	1.08
TCF2 - Marketing and Comms	1.34
TCF2 - Millbrook Roundabout Bus lane	0.66
TCF2 - Millbrook Rd/Regents Bus Lane	0.05
TCF2 - Mountbatten Way Bus Lane	0.10
TCF2 - Northern Inner Ring Road	4.51
TCF2 - Portland Terrace	0.19
TCF2 - Portsmouth Rd Cycle	1.21
TCF2 - Portswood Local Mobility Hub	0.06
TCF2 - Portswood Road Bus Priority	1.50
TCF2 - SCN6 Portswood Road Cycle	0.95
TCF2 - Six Dials Junction	0.23
TCF2 - Soton to Fair Oak Enhanced Stops	0.01
TCF2 - Soton to Fair Oak Super Stops	0.11
TCF2 - Soton to Totton Super Stops	0.06
TCF2 - Southampton West Park & Ride	3.10
TCF2 - St Denys Active Travel Zone	0.60
TCF2 - St Denys Rd Bus Priority	1.25
TCF2 - Stoneham Lane Upgrade	0.23
TCF2 - The Avenue Cycle	0.82
TCF2 - Wessex Lane	0.09
TCF2 - Woolston Active Travel Zone	0.10
TCF2 - Woolston Local Mobility Hub	0.15
Winchester Road Roundabout	0.47
Budget to Carry Forward to 2022/23	2.68
<b>Total Transforming Cities Programme 2021/22</b>	<b>30.70</b>

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**Detail of Schemes Within the Future Transport Zone Programme for 2021/22**

Project Code	Project Description	Work Order	Work Order Description	2021/22 Budget £M
CG0209100	Mobility-as-a-Service (MaaS)	CG0209100100	Future Transport Zone	0.59
CG0209100	Mobility-as-a-Service (MaaS)	CG0209100101	MaaS Trials	1.00
CG0209101	Solent Go	CG0209101100	Solent Go	0.25
CG0209103	Bike Share	CG0209103100	Bike Share	0.64
CG0209106	E-Scooter Trials	CG0209106103	Escooter Trials (SCC)	0.70
CG0209102	Mobility Credits	CG0209102100	Mobility Credits	0.02
CG0217100	Micro consolidation	CG0217100100	Micro consolidation	0.43
CG0217101	Macro consolidation	CG0217101100	Macro consolidation	0.07
CG0217102	Drones for medical logistics	CG0217102100	Drones for medical logistics	0.54
CG0218100	FTZ Monitoring & Evaluation	CG0218100100	Programme Level M&E	0.12
CG0218101	FTZ Marketing & Comms	CG0218101100	Marketing and Comms (Programme Level)	0.12
CG0218102	FTZ Procurement / Legal Support	CG0218102100	FTZ Procurement Support	0.08
CG0218103	FTZ Programme Delivery Team	CG0218103100	FTZ Programme Delivery Team	0.56
				<hr/> 5.10
		Budget to be carried forward into future financial years		11.77
			<b>Total Budget 2021/22</b>	<hr/> <b>16.87</b> <hr/>

Nb.Budgets are reported to the joint committee for the project based on the financial years of the project rather than the standard financial year reported above

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<b>DECISION-MAKER:</b>	COUNCIL
<b>SUBJECT:</b>	Diversity and Inclusion Pledge
<b>DATE OF DECISION:</b>	17 NOVEMBER 2021
<b>REPORT OF:</b>	<b>COUNCILLOR FITZHENRY LEADER OF THE COUNCIL</b>

<u><b>CONTACT DETAILS</b></u>			
<b>Executive Director</b>	<b>Title</b>	Executive Director Communities, Culture and Homes	
	<b>Name:</b>	Mary D'Arcy	Tel: 023 80834611
	<b>E-mail</b>	Mary.D'Arcy@southampton.gov.uk	
<b>Author:</b>	<b>Title</b>	Head of Organisational Development and Diversity and Inclusion Lead	
	<b>Name:</b>	Chris Bishop and Jack Caine	Tel: 023 80832087
	<b>E-mail</b>	Christopher.bishop@southampton.gov.uk and Jack.caine@southampton.gov.uk	

<b>STATEMENT OF CONFIDENTIALITY</b>
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None
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<b>BRIEF SUMMARY</b>
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The report asks the Council to approve the formal adoption of a Diversity and Inclusion Pledge linked to the Equalities Act 2010. The pledge seeks to commit the Council as an employer, as colleagues and community partner to exceed our responsibilities under the legislation and ensure we support all those that work for and with the Council. This is with the goal of being the most diverse and inclusive employer that the Council can be.

<b>RECOMMENDATIONS:</b>
-------------------------

- |  |     |  |
|--|-----|--|
|  | (i) | Agree to adopt and proactively support the Diversity and Inclusion Pledge. |
|--|-----|--|

<b>REASONS FOR REPORT RECOMMENDATIONS</b>
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- |    |   |
|----|---|
| 1. | Southampton City Council is one of the largest employers in the City, and commissions and provides services for all of the residents in what is a large and diverse city. As a front facing, significant community supporter, provider and commissioner of services, the Council should have a visible commitment to diversity and inclusion for all. Our responsibilities include being unprejudiced, non-discriminatory in all of our approaches and in all of our processes and practices. We also seek to identify and remove barriers to employment and career development. This is not the responsibility of any one individual, but of each Councillor and every Council employee. |
| 2. | As part of our bid to be the UK City of Culture 2025, engagement has taken place with communities and organisations from across the City in order to shape our bid and frame our ambition going forward. Through the process of bidding for UK City of Culture 2025, the city has been challenged to consider   |

	how to improve inclusion so that all members of our society (particularly those from seldom heard communities) feel represented, engaged, and have the same opportunities as any other resident. This includes ensuring we fully reflect the community that we serve.
3.	Levelling up across our city is part of the journey that we are on, to enable and support communities and people to access and make the most of opportunity for personal growth and to thrive, whatever their background. The Council is working closely with key strategic partners such as our Universities, Hampshire Constabulary, health partners, businesses, creative and cultural partners and the community and voluntary sector, supported by the City of Culture bid team, to ensure there is also a city wide conversation and approach to diversity and inclusion that will ensure we create the foundations for levelling up, for years to come.
4.	The Council has also begun its' journey towards becoming a child friendly city, that has a focus on diversity, inclusivity, and accessibility. This will incorporate involving children in democratic processes, and engaging them in the design and delivery of policy, strategy, and services.
5.	The Diversity and Inclusion Pledge and associated actions are a way of demonstrating the Council's commitment to equality, diversity, and inclusion.
<b>ALTERNATIVE OPTIONS CONSIDERED AND REJECTED</b>	
6.	To not adopt a pledge. The Council is legally bound to observe the Equalities Act 2010 however the pledge provides commitments over and above the Act demonstrating the Council's commitment to Equalities in all of its functions, services and activities.
<b>DETAIL (Including consultation carried out)</b>	
7.	Southampton City Council is one of the largest employers in the city, is an anchor institution and provider of services to all residents. Yet in many ways, the Council is not visibly representative of the communities that we serve and internally, senior leaders received feedback in the wake of the Black Lives Matter movement and the impact of COVID 19, that the organisation needed to focus more attention on being a truly inclusive employer, if it was to have credibility as a leader within a truly inclusive system across the city of Southampton.
8.	The value of diversity as well as the challenges that face some of our communities have been strong themes during the City of Culture consultation. A focus on diversity, inclusion and reducing the inequalities that arise from structural and institutional norms, both within and out with the Council, is therefore a key levelling up ambition for the Council and will be enhanced and supported by our bid to be the UK City of Culture in 2025.
9.	The Council appointed a temporary Diversity and Inclusion Lead within the Human Resources and Organisational Development service in March 2021. A key focus of this role is to develop our Diversity and Inclusion Pledge and articulate associated actions.
10.	The Council has also appointed a Community Cohesion and Diversity Officer, located within a new Community Cohesion Team (Stronger Communities) to ensure that the diverse communities of Southampton are engaged and supported to feel safe, have their say about services and

	issues that affect them, and so that their views and perspectives inform decision making and service delivery.
11.	<p>The Diversity and Inclusion Lead has set up a series of colleague networks around the protected characteristics set out in the Equalities Act 2010, initially focusing on gender, ethnicity, and sexual orientation:</p> <ul style="list-style-type: none"> <li>• Women in the Workplace</li> <li>• Beauty in Diversity and Ethnicity (BIDE) and</li> <li>• LGBTQ+.</li> </ul> <p>Other colleague networks are being formed too, such as for disability, carers, mental health, and young people; with further engagement taking place with the aim of forming other groups too.</p>
12.	Each of these networks have been consulted on the content of the Diversity and Inclusion pledge and are helping to prioritise actions suggested by over 100 employees who participated in diversity and inclusion engagement events held in early 2021. These actions will be aligned to the pledge and will demonstrate the commitment to it, both in the short and longer term.
13.	A number of partners across the City have also been consulted by the Diversity and Inclusion Lead as part of the system wide approach that we are supporting: Southampton Football Club, Carnival, Southampton Pride, Southampton Solent University, Southampton University, and Balfour Beatty.
14.	It was unanimously agreed by the employee networks that proactive language should be used within the pledge; it should not penalise colleagues for any negative behaviour, but rather it should encourage best practice. The pledge (see Appendix A) therefore uses progressive, productive language and ensures a focus on what can be done, rather than what cannot.
<b>RESOURCE IMPLICATIONS</b>	
<b><u>Capital/Revenue</u></b>	
15.	<p>Having the temporary internal Diversity and Inclusion Lead has enabled the setting up of employee networks, participation in Southampton Pride, creation of the draft pledge, and other related actions. Funding is already in place for this post until 31 March 2022. Between now and March 2022, the Diversity and Inclusion Lead will continue to develop the action plan that will support the pledge.</p> <p>The implementation and delivery of the action plan will be included in a revised Organisational Development (OD) Strategy and plan that will be put forward for agreement in 2022.</p>
<b><u>Property/Other</u></b>	
16.	There are no known property or other implications.
<b>LEGAL IMPLICATIONS</b>	
<b><u>Statutory power to undertake proposals in the report:</u></b>	
17.	S.149 Equalities Act 2010 (the Public Sector Equalities Duty or 'PSED') requires public bodies to eliminate discrimination, harassment and victimisation, advance equality of opportunity between persons having protected characteristics and those who have not and foster good relations between those having protected characteristics and those who have not. The

	adoption of a diversity pledge may be undertaken in accordance with the proactive PSED set out above.
<b>Other Legal Implications:</b>	
18.	The Equality Act 2010 (Specific Duties) Regulations 2011 requires public bodies to publish their equalities objectives at least every 4 years and further information to demonstrate their compliance with the PSED.
<b>RISK MANAGEMENT IMPLICATIONS</b>	
19.	The main risk to the proposed Diversity and Inclusion Pledge is lacking the capacity to undertake actions associated with it. These are being managed temporarily in 2021/22 and will be a consideration in the revised OD plan thereafter.
<b>POLICY FRAMEWORK IMPLICATIONS</b>	
20.	The proposals within the report are entirely consistent with and contribute to the Council's Policy Framework.

<b>KEY DECISION?</b>	N/A
<b>WARDS/COMMUNITIES AFFECTED:</b>	
<u>SUPPORTING DOCUMENTATION</u>	
<b>Appendices</b>	
1.	Appendix A – Southampton City Council Diversity and Inclusion Pledge.
2.	Appendix B – Diversity and Inclusion Pledge Equality and Safety Impact Assessment

#### 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>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>	
<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

### Appendix A

#### Southampton City Council Diversity and Inclusion Pledge

Southampton City Council, which comprises all colleagues, Councillors and our partners, commit to the following principles:

- **Supporting** all members of the council workforce (colleagues, partners, Councillors) to be able to challenge discriminatory behaviour or language, including micro-aggressions.
- **Understanding**, identifying and promoting the rich, diverse cultural offer of the council and the city.
- **Reminding** ourselves that we each have a joint and personal responsibility in upholding the principles of diversity, inclusion, and equity. Everyone is accountable.
- **Ensuring** that we strive for real representation across the organisation, challenging any practices or procedures that might be deemed biased or unfair so that each and every member of the council feels at home within their respective workspace.
- **Creating** the best environment for complex and challenging conversations regarding both protected and non-protected characteristics as defined under the Equalities Act 2010.
- **Allowing** everyone the right to make mistakes and learn from one another to achieve true mutual respect and understanding, reminding one another that we all have lessons to learn, as well as a duty to call one another into the best behaviours.

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## Equality and Safety Impact Assessment

The **Public Sector Equality Duty** (Section 149 of the Equality Act) requires public bodies to have due regard to the need to eliminate discrimination, advance equality of opportunity, and foster good relations between different people carrying out their activities.

The Equality Duty supports good decision making – it encourages public bodies to be more efficient and effective by understanding how different people will be affected by their activities, so that their policies and services are appropriate and accessible to all and meet different people’s needs. The Council’s Equality and Safety Impact Assessment (ESIA) includes an assessment of the community safety impact assessment to comply with Section 17 of the Crime and Disorder Act and will enable the Council to better understand the potential impact of proposals and consider mitigating action.

<b>Name or Brief Description of Proposal</b>	Diversity and Inclusion Pledge
<b>Brief Service Profile (including number of customers)</b>	
<p>The Council is considering adopting a Diversity and Inclusion Pledge linked to the Equalities Act 2010. The pledge seeks to commit the Council as an employer, as colleagues and community partner to exceed our responsibilities under the legislation and ensure we support all those that work for and with the Council. This is with the goal of being the most diverse and inclusive employer that the Council can be.</p>	
<b>Summary of Impact and Issues</b>	
<p>The Diversity and Inclusion Pledge will show the Council’s commitment to equality, diversity, and inclusion. We have already established some colleague networks, such as Women in the Workplace, who are helping to prioritise actions suggested by over 100 employees who participated in diversity and inclusion engagement events. These actions will be aligned to the pledge and will demonstrate how it will be delivered, both in the short and longer term.</p> <p>Anticipated benefits from the pledge and actions are outlined below. There should be no negative impact from adopting the pledge.</p>	
<b>Potential Positive Impacts</b>	
<p>By taking actions in line with the pledge the Council aims to have a range of positive impacts, including the following:</p> <ul style="list-style-type: none"> <li>• Ensuring we fully reflect the community that we serve and that there is real representation across the organisation.</li> <li>• Unprejudiced and non-discriminatory in our approaches, processes</li> </ul>	

<p>and practices.</p> <ul style="list-style-type: none"> <li>• Identify and remove barriers to employment and career development.</li> <li>• Members of the workforce feeling able to challenge discriminatory behaviour, language, practices, or procedures that might be deemed biased or unfair.</li> <li>• All being able to learn about diversity and equality matters from events, videos and materials.</li> <li>• Everyone learning from each other to achieve true mutual respect and understanding.</li> </ul>	
<b>Responsible Lead</b>	Jack Caine
<b>Date</b>	4 November 2021
<b>Approved by Senior Manager</b>	Chris Bishop – Head of Organisational Development
<b>Date</b>	4 November 2021

### Potential Impact

<b>Impact Assessment</b>	<b>Details of Impact</b>	<b>Possible Solutions &amp; Mitigating Actions</b>
<b>Age</b>	No specific impact	
<b>Disability</b>	No specific impact	
<b>Gender Reassignment</b>	No specific impact	
<b>Marriage and Civil Partnership</b>	No specific impact	
<b>Pregnancy and Maternity</b>	No specific impact	
<b>Race</b>	No specific impact	
<b>Religion or Belief</b>	No specific impact	
<b>Sex</b>	No specific impact	
<b>Sexual Orientation</b>	No specific impact	
<b>Community Safety</b>	No specific impact	
<b>Poverty</b>	No specific impact	
<b>Health &amp; Wellbeing</b>	No specific impact	

<b>Impact Assessment</b>	<b>Details of Impact</b>	<b>Possible Solutions &amp; Mitigating Actions</b>
<b>Other Significant Impacts</b>	None	

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<b>DECISION-MAKER:</b>	LICENSING COMMITTEE
	COUNCIL
<b>SUBJECT:</b>	TRIENNIAL REVIEW OF THE GAMBLING ACT 2005 STATEMENT OF LICENSING PRINCIPLES
<b>DATE OF DECISION:</b>	3 <sup>rd</sup> November 2021 (Licensing Committee) 17 <sup>th</sup> November 2021 (Council)
<b>REPORT OF:</b>	<b>Executive Director Communities, Culture and Homes</b>

<u><b>CONTACT DETAILS</b></u>			
<b>Executive Director</b>	<b>Title</b>	Communities, Culture and Homes	
	<b>Name:</b>	<b>Mary D’Arcy</b>	Tel: 023 8083 4611
	<b>E-mail</b>	<b>mary.d’arcy@southampton.gov.uk</b>	
<b>Author:</b>	<b>Title</b>	<b>Licensing manager</b>	
	<b>Name:</b>	<b>Phil Bates</b>	Tel: 023 8083 3523
	<b>E-mail</b>	<b>Phil.bates@southampton.gov.uk</b>	

<b>STATEMENT OF CONFIDENTIALITY</b>	
N/A	
<b>BRIEF SUMMARY</b>	
Section 349 of the Gambling Act 2005 requires the City Council, as licensing authority, to prepare and publish a statement of licensing principles (SLP) that it proposes to apply in exercising its functions under the Act. The Council adopted its first policy from January 2007. This policy must be reviewed at least every three years. The Gambling Commission require SLPs to be adopted by 31st January 2022.	
<b>RECOMMENDATIONS:</b>	
(i)	<u>Licensing Committee</u> That the Committee considers the draft Statement of Licensing Policy that went out to consultation as at appendix 1, the revisions made to it as at appendix 2 (as well as other appendices to the report) and recommend its adoption to Full Council.
(ii)	<u>Council</u> That Council with effect from 31 <sup>st</sup> January 2022 adopts the revised Statement of Licensing Policy as attached at Appendix 2 and subject to any amendment that may be made by the Licensing Committee (if appropriate).
<b>REASONS FOR REPORT RECOMMENDATIONS</b>	
1.	The Council has a statutory obligation to adopt, review and maintain a Statement of Licensing Principles (policy) in relation to the functions allocated to it under the Act.
<b>ALTERNATIVE OPTIONS CONSIDERED AND REJECTED</b>	

2.	Not applicable, the Council is required to have a SLP by law.
<b>DETAIL (Including consultation carried out)</b>	
3.	Section 349 of the Act requires each licensing authority to prepare and publish a statement of principles that they propose to apply in exercising their functions under the Act.
4.	The Act provides for three categories of licence:- (a) Operating licences; (b) Personal licences; and (c) Premises licences
5.	The Gambling Commission issues operating licences and personal licences; and licensing authorities issue premises licences. This has the effect of placing on line gambling under the remit of the Gambling Commission, not the local authority.
6.	The main functions of licensing authorities under the Act are as follows: - <ul style="list-style-type: none"> <li>• Licensing premises for gambling activities</li> <li>• Considering notices given for the temporary use of premises for gambling</li> <li>• Granting permits for gaming and gaming machines in clubs and miners' welfare institutes</li> <li>• Regulating gaming and gaming machines in alcohol licensed premises</li> <li>• Granting permits to family entertainment centres for the use of certain lower stake gaming machines</li> <li>• Granting permits for prize gaming</li> <li>• Considering occasional use notices for betting at tracks</li> <li>• Registering small societies' lotteries</li> </ul>
7.	In May 2021 the Gambling Commission issued revised detailed guidance to licensing authorities on the manner in which they are to exercise their functions under the Act, and in particular, the principles they should apply in exercising their functions.
8.	From April 2016 the Gambling Commission has required operators to identify risks to the licensing objectives associated with premises, its operation and the location in which it is sited. Operators must produce a risk assessment for each premises – setting out mitigation in place or planned to be put in place to reduce risk to the licensing objectives. These requirements are set out within the Commission's Licensing Conditions and Codes of Practice ("LCCP").
9.	Failure to produce a premises risk assessment amounts to a breach of the operator's licence and could result in revocation of that licence. The need to produce a risk assessment means that operators should pay close attention to local risks or concerns identified by the Licensing Authority in its SLP document. The impact of these changes is an increased importance of the SLP.
10.	The vast majority of the SLP is prescriptive or flows from statutory guidance which is expected to be included in the document unless there is very good reason not to do so. The Council also has the benefit of Leading Counsel's

	opinion on a previous draft document to ensure it meets the statutory requirements.
11.	The City Council undertook consultation on the SLP between 5th July 2021 and 27th September 2021 in accordance with the Act and Regulations as well as the Council's own consultation requirements. A report summarising the responses is attached as appendix 2.
12.	Officers have provided comments on the consultation responses and this is attached to the report at appendix 3
13.	Minor amendments have been made to the original document consulted upon in light of comments from members of the licensing committee when they approved the document for consultation and from comments in the consultation responses. None of these amend the policy but provide more information that will assist in the licensing function. A list of these amendments is attached as appendix 4
<b>RESOURCE IMPLICATIONS</b>	
<b><u>Capital/Revenue</u></b>	
14.	N/A
<b><u>Property/Other</u></b>	
15.	N/A
<b>LEGAL IMPLICATIONS</b>	
<b><u>Statutory power to undertake proposals in the report:</u></b>	
16.	Section 349 of the Gambling Act 2005.
<b><u>Other Legal Implications:</u></b>	
17.	The SLP sets out the factors which the Licensing Authority shall take into account, along with relevant statutory guidance, the Gambling Act 2005 and Regulations made thereunder when performing its licensing functions. It is important to note and reiterate that the Licensing Authority is unable to consider issues relating to morality or demand when determining premises licence applications.
18.	Public authorities, under the Equality Act 2010, have a legal obligation to have due regard to the need to eliminate unlawful discrimination, harassment and victimisation; to advance equality of opportunity; and to foster good relations, between persons with different protected characteristics. The protected characteristics are age, disability, gender reassignment, pregnancy and maternity, race, religion or belief, sex, and sexual orientation. An Equality Impact Assessment has not been carried out in this instance as the risks associated with the publication of this document on this duty are considered to be low.
<b>RISK MANAGEMENT IMPLICATIONS</b>	
19.	Failure to properly consult or adopt such a policy will leave decisions by the authority at risk of challenge. Failure to adopt the SLP leaves the authority unable to perform its statutory functions and therefore the risk is high in this regard.
<b>POLICY FRAMEWORK IMPLICATIONS</b>	

20.	The Gambling Act policy is one of the policy framework documents that is required to be considered and adopted by full Council on a triennial basis.
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<b>KEY DECISION?</b>	<b>No</b>
<b>WARDS/COMMUNITIES AFFECTED:</b>	All
<u>SUPPORTING DOCUMENTATION</u>	
<b>Appendices</b>	
1.	Statement of Licensing Principles 2022 to 2025 (SLP)
2.	Report summarising the consultation responses
3.	Officers' comments on responses
4.	List of amendments to the consulted copy of the SLP

**Documents In Members' Rooms**

1.	
2.	

**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>Yes</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>No</b>
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**Other Background Documents**

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

Title of Background Paper(s)	Relevant Paragraph of the Access to Information Procedure Rules / Schedule 12A allowing document to be Exempt/Confidential (if applicable)
1.	
2.	





## **GAMBLING ACT 2005 SECTION 349**

### **STATEMENT OF PRINCIPLES**

This Statement of Principles, unless otherwise amended, will remain in force from 31st January 2022 until 31st January 2025

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## Part A – General

### Part A - General

#### 1.0 Licensing Objectives

1.1 In exercising most of its functions under the Gambling Act 2005, the Licensing Authority must have regard to the licensing objectives as set out in Section 1 of the Act. The licensing objectives are:

- Preventing gambling from being a source of crime or disorder, being associated with crime or disorder or being used to support crime;
- Ensuring that gambling is conducted in a fair and open way; and
- Protecting children and other vulnerable persons from being harmed or exploited by gambling

1.2 The Licensing Authority is aware that the Gambling Commission has stated that the requirement in relation to children is explicitly to protect them from being harmed or exploited by gambling.

1.3 Various reports identify an increase in online gambling and the impact this has on our communities. The Licensing Authority recognises this but understands the remit for local authorities does not include online gambling but will take the impacts into consideration.

1.4 This Licensing Authority is aware that in accordance with Section 153 of the Act, in making its decisions about premises licences and temporary use notices it should aim to permit the use of the premises for gambling in so far as it thinks it:

- (a) in accordance with any relevant code of practice under section 24,
- (b) in accordance with any relevant guidance issued by the Commission under section 25,
- (c) reasonably consistent with the licensing objectives (subject to paragraphs (a) and (b)), and
- (d) in accordance with the statement published by the authority under section 349 (subject to paragraphs (a) to (c)).

#### 2.0 Introduction

2.1 Southampton City is the south coast's regional capital with a population of over 259,000 in an area of 50 square km. Southampton City is the gateway to a wide range of world-class features from the Solent with its marine leisure opportunities to the New Forest National Park. The city is home to two universities, the University of Southampton and Southampton Solent University, with around 43,000 higher education students.

2.2 Southampton has a rich heritage, with a famous seafaring history as an important Roman port. The Old Town is surrounded by a stretch of medieval walls. Southampton's sixty scheduled monuments include the town walls, numerous medieval vaults and cellars, the Tudor House Museum and the Roman remains at Bitterne Manor.

## Part A – General

- 2.3 Southampton is the cruise capital of northern Europe with 2m passengers passing through the port annually. The Port of Southampton is the UK's number one export port and is the country's leading port for automotive trade. The Council's development plan (including the City Centre Action Plan) sets out proposals for major growth in the city centre, including for residential, leisure, retail, and office uses. Growth will be designed to enhance the city centre as a distinctive place. The Council is currently preparing a masterplan for the Mayflower Quarter which provides a major opportunity for growth in the west of the city centre, linking the Central Station, main shopping area and waterfront. Development schemes currently being progressed include the Leisure World site (within the Mayflower Quarter) and Bargate site (in the heart of the city centre and the ex Toys R Us site).
- 2.4 The Leisure World development is estimated to create 1,000 jobs over the construction and beyond as a result of the completed development. The development will include a cinema, casino, food and beverage, accommodation and offices. The development will be phased within a five year construction period.
- 2.5 The Southampton Economic Growth Strategy sets out a comprehensive plan to boost the city's economy over the next decade through a number of key interventions, including:
- consolidating our place-making credentials from the Green City Charter and becoming recognised as a Child Friendly City, to collaborating across the Solent region to secure Freeport status, and competing to win the 2025 City of Culture bid;
  - utilising data, technology and networks to improve the city's 'smart' capabilities that can help deliver on our Net Zero, Wellbeing and a host of other socio-economic priorities; and
  - improving our readiness for increased automation by supporting businesses in digital adoption and the local workforce with the requisite skills, 'know-how' and versatility to compete for jobs and boost local productivity.
- 2.6 In June 2018 gambling facilities in the city included three casinos (two currently operating), four bingo clubs, 36 betting offices, 15 amusement centres, one betting track, and 129 premises licensed for the supply of alcohol for consumption on the premises which have gaming machines installed.
- 2.7 A map of the Southampton area is attached as Appendix A.
- 3.0 Consultation on the Statement of Principles**
- 3.1 Licensing Authorities are required by the Gambling Act 2005 to publish a statement of the principles that they propose to apply when exercising their functions. This statement must be published at least every three years. The statement must also be reviewed from "time to time" and any amended parts re-consulted upon. The statement must then be re-published.

## Part A – General

**3.2** The Licensing Authority has consulted widely on this statement before finalising and publishing it. It should be noted that unsolicited comments may have been received from other persons but all of these have not been listed.

**3.3** The Gambling Act requires that the following parties be consulted by licensing authorities:

- The Chief Officer of Police for Hampshire;
- One or more persons who appear to the authority to represent the interests of persons carrying on gambling businesses in the Southampton area;
- One or more persons who appear to the authority to represent the interests of persons who are likely to be affected by the exercise of the authority's functions under the Act.

**3.4** This policy has been drafted after consultation with the following organisations and individuals.

- Adult Social Care
- Betting & Gaming Council
- British Amusement Catering Trade Association
- Bingo Association
- British Beer & Pub Association
- British Holiday & Home Parks Association
- Citizens Advice
- Community Safety
- Environmental Health
- Federation of licensed victuallers
- Gamblers Anonymous
- BeGambleAware
- Gambling Commission
- Gamcare
- Gamestec
- Gamstop
- Hampshire Constabulary
- Hampshire Fire and Rescue Service
- HM Revenue & Customs
- Licence holders including all the permit holders
- Local courts
- Mencap
- Planning and Sustainability

## Part A – General

- Public Health Southampton
- Racecourse Association Ltd
- Safeguarding Children
- Trading Standards

Additionally it was available for the general public through the Consultation web page of Southampton City Council

- 3.5** The full list of comments made and the consideration by the Council can be obtained from the Licensing Team, Southampton City Council, Civic Centre, Southampton SO14 7LY. The first policy was approved at a meeting of the Full Council on 15th November 2006 and has been subsequently revised and published via the Council's website ([www.southampton.gov.uk/gamblingslp](http://www.southampton.gov.uk/gamblingslp)). Copies are placed in all the city's public libraries as well as being available from the Licensing Team at the Civic Centre.
- 3.6** The Licensing Authority will also consult the above and any other relevant persons as may be appropriate for any subsequent revision of the statement.
- 3.7** Any comments as regards this statement should be sent to:  
The Licensing Manager  
  
Southampton City Council  
Civic Centre  
Southampton  
SO14 7LY  
Tel: 023 8083 3002  
Email: [licensing.policy@southampton.gov.uk](mailto:licensing.policy@southampton.gov.uk)
- 3.8** It should be noted that this Statement of Principles will not override the right of any person to make an application, make representations about an application, or apply for a review of a licence as each will be considered on its own merits and according to the statutory requirements of the Gambling Act 2005.

### **4.0 Declaration**

- 4.1** In publishing this document, the Licensing Authority declares that it has had regard to the licensing objectives of the Act, guidance issued by both the Government and the Gambling Commission and any responses from those consulted on the statement.

### **5.0 Responsible authorities and interested parties**

- 5.1** When dealing with applications for and reviews of premises licences, the Licensing Authority is obliged to consider representations from two categories of persons, referred to as "responsible authorities" and "interested parties." (It should be noted that these are defined differently to those defined in the Licensing Act 2003). Representations made by persons other than responsible authorities or interested parties will be inadmissible.
- 5.2** "Responsible authorities" are public bodies that must be notified of applications by the applicant. They are as follows:

## Part A – General

- the Licensing Authority in whose area the premises are wholly or partly situated;
  - the Gambling Commission;
  - the Chief Officer of Police;
  - the Fire and Rescue Authority;
  - the Local Planning Authority;
  - the Public Protection Service;
  - the Southampton Local Safeguarding Children Board;
  - HM Revenue and Customs; and
  - Any other person prescribed by the Secretary of State
- 5.3** A full list and contact details of all the Responsible Authorities under the Act are contained on the Council’s website ([www.southampton.gov.uk/licensing](http://www.southampton.gov.uk/licensing)).
- 5.4** The Licensing Authority is required by the regulations to state the principles it will apply in exercising its powers under Section 157(h) of the Act when designating in writing, a body which is competent to advise the authority about the protection of children from harm. The principles are:
- The need for the body to be responsible for an area covering the whole of the Licensing Authority’s area; and
  - The need for the body to be answerable to democratically elected persons, rather than any particular vested interest group.
- 5.5** In accordance with the suggestion in the Gambling Commission’s Guidance to Local Authorities, this authority has approached the Local Children’s Safeguarding Board who in turn have designated Southampton Children Services as the body that is competent to advise the authority about the protection of children from harm.
- 5.6** “**Interested parties**” are persons who may make representations about licence applications or apply for a review of an existing licence. These parties are defined in the Act as follows:
- “A person is an interested party in relation to an application for or in respect of a premises licence if, in the opinion of the Licensing Authority which issues the licence or to which the application is made, the person -
- lives sufficiently close to the premises to be likely to be affected by the authorised activities; or
  - has business interests that might be affected by the authorised activities; or
  - represents persons in either of those two groups referred to above”.
- 5.7** Each case will be considered on its merits. This authority will not apply a rigid rule to its decision making. It will consider the examples of considerations provided in the Gambling Commission’s Guidance to Local Authorities.
- 5.8** It will also consider the Gambling Commission’s Guidance that “has business interests” should be given the widest possible interpretation and include partnerships, charities, faith groups and medical practices.



## Part A – General

- 5.9** The Gambling Commission has recommended that the Licensing Authority states that interested parties include trade associations, and trade unions, and residents and tenants' associations (paragraph 6.21 of the Gambling Commission Guidance to Local Authorities). This authority will not, however, generally view these bodies as interested parties unless they have a member who can be classed as an interested person under the terms of the Act, i.e. lives sufficiently close to the premises to be likely affected by the activities being applied for or has business interests that might be affected.
- 5.10** Interested parties can be persons who are democratically elected such as local councillors and MPs. No specific evidence of being asked to represent an interested person will be required as long as the councillor / MP represent the ward likely to be affected.
- 5.11** If interested parties wish to approach councillors to ask them to represent their views then care should be taken that the councillors are not part of the Licensing Committee dealing with that particular licence application. If there are any doubts then please contact
- Democratic Services  
Southampton City Council  
Civic Centre  
Southampton  
SO14 7LY
- 5.12** Other than these however, this authority will generally require written evidence that a person/body (e.g. an advocate / relative) 'represents' someone who either lives sufficiently close to the premises to be likely to be affected by the authorised activities and/or has business interests that might be affected by the authorised activities. A letter from one of these persons, requesting the representation is sufficient.

### **6.0 Exchange of Information**

- 6.1** Licensing Authorities are required to include in their statements the principles to be applied by the authority in exercising the functions under sections 29 and 30 of the Act with respect to the exchange of information between it and the Gambling Commission, and the functions under section 350 of the Act with respect to the exchange of information between it and the other persons listed in Schedule 6 to the Act.
- 6.2** The Licensing Authority will act in accordance with the provisions of the Act in its exchange of information which includes the provision that the Data Protection Act 2018, UK General Data Protection Regulations and other associated legislation will not be contravened. The Licensing Authority will also have regard to the Gambling Commission's Guidance to licensing authorities, in particular part 13 or any other part of the guidance that is applicable as and when amended.

### **7.0 Compliance and Enforcement**

- 7.1** Licensing Authorities are required by regulation under the Act to state the principles to be applied by the authority in exercising the functions under Part 15 of the Act with respect to the inspection of premises; and the powers under

## Part A – General

section 346 of the Act to institute criminal proceedings in respect of the offences specified.

**7.2** This Licensing Authority's principles are that It will be guided by the Gambling Commission's "Guidance to Local Authorities", will adopt a risk-based inspection programme in accordance with the Regulators' Compliance Code and will endeavour to be:

- **Proportionate:** intervention only when necessary: remedies should be appropriate to the risk posed, and costs identified and minimised;
- **Accountable:** decisions must be justified, and subject to public scrutiny;
- **Consistent:** rules and standards must be joined up and implemented fairly;
- **Transparent:** regulators should be open, and keep regulations simple and user friendly; and
- **Targeted:** focused on the problem and minimise side effects.

**7.3** The Licensing Authority will endeavour to avoid duplication with other regulatory regimes so far as possible.

**7.4** The main enforcement and compliance role for the Licensing Authority is to ensure compliance with the premises licences and other authorisations. The Gambling Commission will be the enforcement body for the operator and personal licences it issues. It should also be noted that concerns about the manufacture, supply or repair of gaming machines will not be dealt with by the Licensing Authority but will be notified to the Gambling Commission.

**7.5** In particular, the Gambling Act 2005 (Mandatory and Default Conditions) (England and Wales) Regulations 2007 (SI 2007 no. 1409) make provision for conditions to be attached to premises licences under section 167 and 168 of the Gambling Act 2005

**7.6** The Licensing Authority will keep itself informed of developments as regards the work of the Better Regulation Executive in its consideration of the regulatory functions of local authorities.

**7.7** Having regard to the principle of transparency, the Licensing Authority enforcement policy will be available on request to the Licensing Team.

**7.8** Southampton City Council has an adopted Enforcement Policy which will be adhered to when considering enforcement activity.

### **8.0 The Licensing Authority Functions**

**8.1** The Licensing Authority will:

- Be responsible for the licensing of premises where gambling activities are to take place by issuing Premises Licences
- Issue Provisional Statements

## Part A – General

- Regulate members' clubs and miners' welfare institutes who wish to undertake certain gaming activities via issuing Club Gaming Permits and/or Club Machine Permits
  - Issue Club Machine Permits to Commercial Clubs
  - Grant permits for the use of certain lower stake gaming machines at unlicensed Family Entertainment Centres
  - Receive notifications from alcohol licensed premises (under the Licensing Act 2003) of the use of two or fewer gaming machines
  - Issue Licensed Premises Gaming Machine Permits for premises licensed to sell/supply alcohol for consumption on the licensed premises, under the Licensing Act 2003, where more than two machines are required
  - Register small society lotteries below prescribed thresholds
  - Issue Prize Gaming Permits
  - Receive and endorse Temporary Use Notices
  - Receive Occasional Use Notices
  - Provide information to the Gambling Commission regarding details of licences issued (see section above on information exchange)
  - Maintain registers of the permits and licences that are issued under these functions
- 8.2** The Licensing Authority will not be involved in licensing remote gambling. This will fall to the Gambling Commission via Operator Licences.

## Part B – Premises Licences

### Part B – Premises Licences

#### 9.0 Premises Licences – What Standards the Licensing Authority Expects from Applicants

9.1 The Licensing Authority is required to take into account the following when taking decisions in respect of premises licences:

- (a) Relevant Gambling Commission Codes of Practice
- (b) Relevant Gambling Commission Guidance
- (c) Reasonable consistency with the Licensing Objectives (subject to a and b)
- (d) This is our gambling statement of principles (subject to a – c)

9.2 It is important for there to be clear guidelines as to how we will make decisions about premises licence applications. In this way we can be consistent and ensure the committee have clear reasons for decisions taken. It is also important to be transparent about this process so that those who apply for licences and those who may have opinions about gambling premises know how the process works.

9.3 In light of this we have set out below what we are looking for from applicants looking to offer gambling in Southampton.

9.4 Each application for a premises licence will be considered on its merits; applicants are expected to show how they will meet licensing objective concerns, in order to be granted a licence. Where applicants fail to show how they will meet licensing objective concerns, licence conditions can be imposed or the application rejected.

#### 9.5 Licensing objectives: minimum standards for all premises

9.5.1. We expect high standards from all gambling premises. These standards are in line with the three licensing objectives of the Gambling Act.

9.5.2. The Commission's Licence Conditions and Codes of Practice (LCCP) which were revised and published in October 2020, formalise the need for operators to consider local risks.

9.5.3. All premises licensees are to assess the local risks to the licensing objectives posed by the provision of gambling facilities at each of their premises, and have policies, procedures and control measures to mitigate those risks. It will be expected that operators will factor in the levels of deprivation in their local area and exercise greater vigilance, where appropriate, in matters such as monitoring, intervention, self-exclusion and display of information. In undertaking their risk assessments, they must take into account relevant matters identified in the licensing authority's statement of policy. Appendix B provides details on local profiles in the city. This appendix is to be considered as a separate document from this policy to allow it to be easily updated if necessary.

## Part B – Premises Licences

### 9.5.4. **Preventing gambling from being a source of crime or disorder, being associated with crime or disorder or being used to support crime:**

Generally this objective will be addressed through operating licences issued by the Gambling Commission. However we will require that premises have protocols in place to prevent staff or customers becoming a victim of robbery and identify those persons who may be at risk and that the existence of these protocols is well-publicised. We will also outline control measures for tracks, as track operators do not need to hold an operating licence. The Gambling Commission highlights that “disorder is intended to mean activity that is more serious and disruptive than mere nuisance.” For example, was police assistance required? How threatening was the behaviour to those who could see or hear it?

### 9.5.5. **Ensuring that gambling is conducted in a fair and open way**

Generally this objective will be addressed by:

- The management of the gambling business (in conjunction with the Gambling Commission, who are responsible for issuing and enforcement of the operating licence).
- The personal licence holders proving their suitability and actions (which again is the responsibility of the Gambling Commission)

In the case of those premises that do not hold an operating licence such as tracks, additional conditions may be required dependent on the risks outlined in the application.

### 9.5.6. **Protecting children and other vulnerable persons from being harmed or exploited by gambling**

The Gambling Act defines “children” as those persons under 16 years of age and “young persons” as those persons aged 16 or 17 years of age.

The term “vulnerable persons” is not defined, however the following offers some guidance:

- People who gamble more than they want to
- People who gamble beyond their means
- People who may not be able to make informed or balanced decisions about gambling due to a lack of mental capacity, potentially due to cognitive or mental health conditions, alcohol, drugs or even some pharmaceutical treatments.

The governments ‘Gambling-related harms evidence review’ updated on 30<sup>th</sup> September 2021 estimates 0.5% of the population reached the threshold to be considered problem gamblers and 3.8% of the population were considered as ‘at risk gamblers’. People identified as problem gamblers are more typically male and in younger age groups. The socio-demographic profile of gamblers appears to change as gambling risk increases, with harmful gambling associated with people who are unemployed and among people living in more deprived areas.

In Southampton we would also consider the following people to be vulnerable:

- Those with an inclination to gamble more than they want to or beyond their means

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- Those who are dependent for a source of income on somebody who gambles more than they want to or beyond their means
- Those who are employed by gambling operators and have regular contact with gambling
- Those aged 16-29.
- Habitual players of gaming machines.

Additionally research by City of Westminster Council, Manchester City Council and the Local government Association identified the groups as at greater risk of harm from gambling. This list is not exhaustive but includes the following:

- Young people
- People from Asian or Oriental ethnic groups,
- People who are unemployed
- People in deprived areas
- People who are homeless
- People who are migrants
- People on probation
- People under the influence of drugs and/or alcohol
- People with some mental health, cognitive or neurodiverse conditions
- People with a history of problematic gambling

What constitutes harm or exploitation will have to be considered on a case-by-case basis.

We expect all premises licence holders to have suitable safeguarding policies in respect of children, young persons and vulnerable persons. We expect premises licence holders to ensure that all staff are trained to recognise safeguarding issues when they arise and act appropriately. Such policies must be kept updated and staff training refreshed at frequent intervals.

Further we expect premises to display information on mental health, alcohol and drug services on-site where it is accessible by customers and staff.

### **9.5.7. General considerations for all gambling premises**

We expect high standards from premises licence applicants in order to promote the licensing objectives. We will therefore look to apply licence conditions where appropriate to ensure these standards are met. The types of conditions we may look to apply in respect of all types of premises are listed below with more premises specific conditions listed in 10 to 19 below.

### **9.5.8. Large Casino Premises contribution towards research, education and treatment**

We expect any large casino operator to contribute towards any national and local problem gambling initiatives as deemed appropriate by the Licensing Authority from time to time. This may include the Responsible Gambling Trust and any projects within the City of Southampton.

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### 9.5.9. Data gathering and sharing

Keeping track of the incidence and handling of problem gambling in Southampton is a key part of promoting the licensing objectives. We expect all Southampton-based gambling premises to maintain a log and share this and other information with the Licensing Team upon request.

Data that we consider should be recorded and shared includes (but is not exclusive to):

- (a) Number of interventions in a calendar month along with a short description of the cause and effect
- (b) Number of cases in a calendar month where persons who have decided to voluntarily exclude themselves from the premises have tried to gain entry
- (c) Number of mandatory exclusions needing enforcement in a calendar month along with a short description of the cause and effect
- (d) Attempts to enter by those under age in a calendar month along with short description of incident and action
- (e) Attempts to enter by those under age in the company of adults in a calendar month along with short description of incident and action
- (f) Attempts to enter by those under age with complicit adults in a calendar month along with short description of incident and action
- (g) Incidents of 'at risk behaviour' (to be defined when a data request is made) in a calendar month along with short description of incident and action
- (h) Incidents of 'behaviour requiring immediate intervention' (to be defined when a data request is made) in a calendar month along with short description of incident and action.

We will look to work with the trade to ensure inconvenience is minimised while we build up a picture of gambling risks and progress in risk management. Before any publication, information shared with the Licensing Team would be redacted as appropriate, so as to prevent dissemination of clearly sensitive personal data.

### 9.5.10. Knowledge

We expect all customer-facing and management staff in premises licensed under the Gambling Act 2005 to have sufficient knowledge to tackle risks associated with gambling and know how to promote responsible gambling. Amongst other elements, staff knowledge should include (where appropriate):

- (a) The importance of social responsibility (Premises may wish to seek an audit from GamCare or such other appropriate body in order to obtain a Certificate of Social Responsibility)
- (b) Causes and consequences of problem gambling

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- (c) Identifying and communicating with vulnerable persons: primary intervention and escalation
- (d) Dealing with problem gamblers: exclusion (mandatory and voluntary) and escalating for advice/treatment
- (e) Refusal of entry (alcohol and drugs)
- (f) Age verification procedures and need to return stakes/withdraw winnings if under age persons found gambling
- (g) Importance and enforcement of time/spend limits
- (h) The conditions of the licence
- (i) Maintaining an incident log
- (j) Offences under the Gambling Act
- (k) Categories of gaming machines and the stakes and odds associated with each machine
- (l) Types of gaming and the stakes and odds associated with each
- (m) Staff exclusion from gambling at the premises where they are employed and reasons for restriction
- (n) The "no tipping" rule, unless a common fund into which tips and service charges are paid for distribution to the staff (a "tronc") is established and conducted in accordance with current H.M. Revenue and Customs advice.
- (o) Ability to signpost customers to support services with respect to problem gambling, financial management, debt advice etc.
- (p) Safe cash-handling/payment of winnings
- (q) Identify forged ID and bar those using forged ID from the premises
- (r) Knowledge of a problem gambling helpline number (for their own use as well as that of customers)
- (s) The importance of not encouraging customers to:
  - Increase the amount of money they have decided to gamble
  - Enter into continuous gambling for a prolonged period
  - Continue gambling when they have expressed a wish to stop
  - Re-gamble winnings
  - Chase losses.

Above and beyond this we expect managers to have an in-depth knowledge of all of the above and be able to support staff in ensuring the highest standards with regard to protecting children and other vulnerable persons from being harmed or exploited by gambling.

In so far as training, we do not intend to duplicate any existing training requirement, such as may be required by the Gambling Commission's Code of Practice.

For premises that supply alcohol by retail under the authority of a premises licence granted under the Licensing Act 2003 staff to receive alcohol intervention training



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### 9.5.11. **A self-exclusion scheme**

We expect all premises to operate a voluntary exclusion scheme. This means that wherever customers request to be excluded from the premises, they are excluded for an agreed timeframe. A self-exclusion facility should be supported by a written agreement drawn up in accordance with the relevant code of practice and trade association advice. The premises take responsibility for ensuring the person who requests voluntary exclusion is not readmitted during the agreed period unless a counselling session has first been held and re-admittance agreed.

### 9.5.12. **Intervention to protect vulnerable persons from being harmed or exploited by gambling**

We expect all premises offering gambling to have a mechanism in place to identify vulnerable persons and to monitor and intervene where customers may be gambling beyond their means or more than they would like. Intervention may include raising the customer's awareness of the existence of support services and the availability of a voluntary exclusion scheme. However intervention may also include directing a counselling session and following that session potentially mandatory exclusion.

To reduce the impact of harmful gambling on associates of participants premises to have in place interventions for individuals who are displaying anger or aggressive behaviour linked to their gambling prior to leaving the premises.

Beyond this we do not wish to be overly prescriptive in how intervention shall proceed. This is a developing area and we feel there are benefits with different operators trying out different approaches; the best of which can then be taken forward on a wider scale.

### 9.5.13. **The location of gambling premises**

Locations for gambling premises, which may pose problems, include those in close proximity to premises frequented by children or other vulnerable persons e.g. schools or parks. Each case will be considered on its merits and if adequate measures are put in place in accordance with this policy to restrict access to children, protect vulnerable persons and prevent crime and disorder, there is no reason why one location poses substantively more risk than another. We recognise that the presence of gambling premises with a constant stream of trade in what may have formerly been an underused area may serve to reduce crime and disorder, however this will only be the case where necessary safeguards are put in place either by the operator or by the licensing authority in the form of licence conditions.

### 9.5.14. **Layout and Access**

Premises should ensure that appropriate systems and procedures are in place to ensure the exclusion of those persons who have requested to be excluded as well as under 18s (where appropriate). This should include, at minimum, a "Think 21" scheme with acceptable ID limited to either a photo driving licence, passport or PASS accredited proof-of-age scheme. Prominent signage at all entrances should indicate this

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requirement. We would encourage easily visible exit signs and large clock faces to be placed so that visitors do not lose track of time

Whilst under 18s CANNOT enter the vast majority of licensed gambling premises, there are exceptions. Under 18s CAN enter:

- The gambling areas of a bingo club other than areas containing category C and above gaming machines
- The gambling areas of a track (on race days) other than off-course betting and areas containing category C gaming machines
- Licensed Family Entertainment Centres (FEC)

(See the prescribed mandatory and default conditions and Gambling Commission guidance and codes of practice for details of under 18s rights of access and participation.)

In the case of premises that are able to allow under 18s to access some gambling areas, due attention should be given to layout and access to ensure under 18s do not participate in gambling or gain access to areas where access is restricted, and that the areas are suitably monitored.

Where category C or above gaming machines are available in premises to which under 18s are admitted, we expect: that:

- All such machines are located in an area of the premises separated from the remainder of the premises by a physical barrier which is effective to prevent access other than through a designated entrance
- Only over 18s are admitted to the area where these machines are located
- Access to the area where the machines are located is supervised
- The area where the machines are located is arranged so that it can be observed by staff of the operator or the licence holder
- At the entrance to, and inside any such area there are prominently displayed notices indicating that access to the area is prohibited to persons under 18.

Where under 18s are loitering outside the premises, steps should be taken by the premises licence holder to discourage them from loitering there and consideration should be made to reporting this to the police or a truancy officer as appropriate.

Furthermore, premises should ensure that vulnerable persons are either excluded from gambling (in the case of those who are under the influence of alcohol or drugs, under voluntary exclusion or have been excluded for whatever other reason) or are under supervision with the possibility of intervention.

Whilst supervisors of entrances and exits may need to be registered with the Security Industry Authority, we expect all customer-facing and managerial staff in Southampton to show a due level of competence and understanding of responsible gambling. This may, for example, involve undergoing training and sitting an examination.

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Sometimes several licences may be in place for just one premises or one licence may cover only part of the premises. In light of this operators must carefully consider the premises layout to ensure children and young persons (as appropriate) neither gain access to areas used for gambling nor are brought into close proximity to gambling.

### **9.5.15. Access**

Premises should take such steps as are reasonably practicable to ensure entrances and exits to the premises will enable persons using the premises (including disabled persons) and the facilities to be safe and free from risks to health and while such persons are present on the premises every exit provided for their use shall be unsecured and free from obstruction.

### **9.5.16. Staff restrictions on access to gambling**

Gambling premises staff are brought into close proximity with gaming and/or gaming machines on a regular basis and therefore may have a heightened vulnerability to problem gambling. There is also a risk of off duty staff colluding with their colleagues. For these reasons we feel staff must be excluded from gaming or gambling on the premises at which they work at all times. Larger operators may also want to consider offering an Employee Assistance Programme. Smaller operators may simply wish to refer staff with gambling problems to a local counselling service.

### **9.5.17. Staff to customer ratio**

To ensure the safety of both customers and staff, sufficient staffing numbers should be in place at all times the premises is open. All premises will be expected to demonstrate that they will have in place a suitable staff to customer ratio as appropriate to the premises. A suitable ratio should take into account the protection of staff and customers with respect to the crime and disorder objective as well as the objective of protecting children and other vulnerable persons from being harmed or exploited by gambling.

When deciding their ratio we would advise premises to seek the advice of the Crime Reduction Officer prior to application.

### **9.5.18. Inducements to gamble**

To further ensure the safety of both customers and staff and protect vulnerable persons from being harmed or exploited by gambling, premises should not use inducements to gamble such as free or cut price alcohol or food.

### **9.5.19. Advertising**

Applicants will be required to demonstrate how they will comply with the relevant Gambling Commission code of practice and Advertising Standards Authority regulations in respect of advertisements. Advertising should not target 'vulnerable persons'.

### **9.5.20. On-premises provision of gambling advice**

A risk-aware and gambling literate customer base with recourse to advice and assistance is likely to have a lesser chance of being harmed or exploited by gambling. Where people gamble we want them to do so

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for entertainment rather than in the expectation of a big win or to chase losses.

In light of this, we will expect that all gambling premises:

- (a) Provide leaflets and posters, free telephone helpline and GamCare/BeGambleAware contact details aimed at customers and their families/friends, which will include how to identify signs of problem gambling and pathways to advice and assistance e.g. helpline number and online counselling facility. For every 100m<sup>2</sup> of gambling/gaming and/or gaming machines at least one prominent leaflet display must be provided along with a neighbouring poster to reinforce the message. Leaflets and posters should also be available in more discreet locations e.g. toilets.
- (b) Prominently display details of odds with each gaming machine

Premises should liaise with the BeGambleAware to gain approval for leaflet and poster content and ensure pointers to local sources of help and guidance are up to date and relevant.

Whenever a customer expresses concern about their gambling, unless prevented from doing so by staff safety concerns, staff should provide them with a responsible gambling leaflet, suggest they contact the helpline number and make them aware of their self-exclusion facilities and local counselling services available.

### **9.5.21. Exclusion of those who appear to be under the influence of alcohol or drugs etc.**

In order to protect both staff and those who are under the influence of alcohol or drugs (thereby potentially distorting their ability to make rational decisions), those persons who appear to be in such a state must be immediately excluded from the premises. Signage should be prominently displayed to indicate this. Please note with reference to those persons with mental capacity needs, premises would be well-advised to consult a suitable Mental Health Advisor and formulate a policy to protect this category of vulnerable person from being harmed or exploited by gambling.

### **9.5.22. Safe Cash-handling**

In the interest of preventing crime and disorder, we require all gambling premises in Southampton to have a minimum provision for safe cash-handling and thereby prevent against theft/robbery etc. We will expect minimum standards in terms of:

- The frequency of banking cash (to avoid large sums being involved)
- Use of security personnel for transport
- No. of staff handling cash at any one time
- A fully up to date CCTV system with records kept for an appropriate length of time (including signage to indicate the presence of such a system)

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- Local and emergency contact details for the emergency services clearly displayed in office areas
- Consultation with a Crime Reduction Officer and regular security reviews

For security reasons, while we will not expect premises to tell us the precise details of the protocols they have in place, the licensing authority will need to be satisfied that effective procedures exist. It should be prominently publicised on-site that robust security measures are in place.

### 9.5.23. **Safe payment of winnings**

In the interest of preventing aggravated robbery etc. gambling premises should consider offering their customers a choice of methods by which their winnings may be paid. This could include either cheque or BACS payment. These options should be well publicised.

### 9.5.24. **Adequate lighting inside and out**

We expect all premises to have adequate lighting inside and out (appropriate to the premises in question) to ensure against robbery and other covert activity.

### 9.5.25. **Engagement with the police**

In addition to the need to consult a local Crime Reduction Officer, the operators of new premises/premises undergoing a refurbishment should also engage with the police's architectural liaison unit at the design stage to ensure crime prevention and detection.

### 9.5.26. **Specific types of premises and what we are looking for in respect of each**

While we have outlined minimum standards we expect from all gambling premises in the previous section, any areas we need to stress, due to differences between premises types, are outlined below.

The Council will pay particular attention to any Codes of Practice, issued by the Gambling Commission in respect of specific types of premises.

## 10.0 **General Principles**

10.1 Premises licences are subject to the requirements set out in the Act and regulations, as well as specific mandatory and default conditions which will be detailed in regulations issued by the Secretary of State. Licensing Authorities are able to exclude default conditions and also attach others, where it is believed to be appropriate.

10.2 The Licensing Authority will aim to permit the use of premises for gambling in so far as it thinks it:

- (a) in accordance with any relevant code of practice under section 24,
- (b) in accordance with any relevant guidance issued by the Commission under section 25,

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- (c) reasonably consistent with the licensing objectives (subject to paragraphs (a) and (b)), and
- (d) in accordance with the statement published by the authority under section 349 (subject to paragraphs (a) to (c))

**10.3** The Licensing Authority appreciates that in accordance with the Gambling Commission’s Guidance “moral objections to gambling are not a valid reason to reject applications for premises licences” (except as regards any “no casino” resolution – see section on Casinos below – paragraph 15 below) and also that unmet demand is not a criterion for the Licensing Authority.

### **10.4 Definition of “premises”**

"Premises" is defined in the Act as “at any place”. Different premises licences cannot apply in respect of a single premises at different times. However, it is possible for a single building to be subject to more than one premises licence, provided they are for different parts of the building and the different parts of the building can be reasonably regarded as being different premises. Whether different parts of a building can properly be regarded as being separate premises will always be a question of fact in the circumstances. However, the Gambling Commission does not consider that areas of a building that are artificially or temporarily separate can be properly regarded as different premises.

**10.5** This Licensing Authority takes particular note of the Gambling Commission’s Guidance to Local Authorities which states that (paragraphs 7.26 and 7.27):

“Licensing authorities should take particular care in considering applications for multiple licences for a building and those relating to a discrete part of a building used for other (non-gambling) purposes. In particular they should be aware that entrances and exits from parts of a building covered by one or more licences should be separate and identifiable so that the separation of different premises is not compromised and that people do not ‘drift’ into a gambling area. The plan of the premises should clearly denote entrances and exits.

For bingo and Family Entertainment Centres premises, it is a mandatory condition that under-18s should not have access to areas where category B and C gaming machines are located and this is achieved through further mandatory conditions that require the area to be:

- separated from the rest of the premises by a physical barrier which is effective to prevent access other than by an entrance designed for that purpose
- supervised at all times to ensure that under-18s do not enter the area, and supervised by either:
  - one or more persons whose responsibilities include ensuring that under-18s do not enter the areas
  - CCTV monitored by one or more persons whose responsibilities include ensuring that under-18s do not enter the areas
- arranged in a way that ensures that all parts of the area can be observed.

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A notice must be displayed in a prominent place at the entrance to the area stating that no person under the age of 18 is permitted to enter the area. ”

### 10.6 Duplication with other regulatory regimes

The Licensing Authority will seek to avoid any duplication with other statutory or regulatory systems where possible, including planning. This authority will not consider whether a licence application is likely to be granted planning permission or building regulations approval, in its consideration of it. It will though, listen to, and consider carefully, any concerns about conditions that are not able to be met by licensees due to planning restrictions, should such a situation arise.

### 11.0 Conditions on premises licences

11.1 The mandatory and default conditions are designed to be sufficient to ensure an operation is reasonably consistent with the licensing objectives.

Accordingly, additional conditions will only be imposed where, in the circumstances of the case, there is evidence of a risk to the licensing objectives that is not adequately addressed by the mandatory and default conditions or policies, procedures and mitigation measure outlined in the local area risk assessment.

11.2 The Licensing Authority will ensure that any conditions imposed are proportionate to the circumstances which they are seeking to address, and will ensure that any premises licence conditions are:

- relevant to the need to make the proposed building suitable as a gambling facility (i.e. relate only to gambling, as appropriate under s.153);
- directly related to the premises and the type of licence applied for;
- fairly and reasonably related to the scale and type of premises;
- not replicating requirements set out elsewhere (e.g. the Commission’s Licence conditions and codes of practice (LCCP) or other legislation),
- not seeking to address a matter already dealt with by mandatory conditions and;
- reasonable in all other respects

11.3 Decisions upon individual conditions will be made on a case by case basis. The authority recognises conditions can only be imposed when necessary and any conditions imposed must be proportionate to the aim. There will be a number of measures this Licensing Authority will consider utilising, such as the use of supervisors, appropriate signage for adult only areas etc. There are specific comments made in this regard under some of the licence types below. This Licensing Authority will also expect the licence applicant to offer his/her own suggestions as to ways in which the licensing objectives can be met effectively.

11.4 The Licensing Authority will also consider specific measures which may be required for buildings which are subject to multiple premises licences. Such measures may include:

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- supervision of entrances;
- segregation of gambling from non-gambling areas frequented by children;
- supervision of gaming machines in non-adult gambling specific premises in order to pursue the licensing objectives.

These matters are in accordance with the Gambling Commission's Guidance.

**11.5** The Licensing Authority will also ensure that where category C or above machines are on offer in premises to which children are admitted:

- all such machines are located in an area of the premises which is separated from the remainder of the premises by a physical barrier which is effective to prevent access other than through a designated entrance;
- only adults are admitted to the area where these machines are located;
- access to the area where the machines are located is supervised;
- the area where these machines are located is arranged so that it can be observed by the staff or the licence holder; and
- at the entrance to and inside any such areas there are prominently displayed notices indicating that access to the area is prohibited to persons under 18.

These considerations will apply to premises including buildings where multiple premises licences are applicable.

**11.6** The Licensing Authority is aware that tracks may be subject to one or more than one premises licence, provided each licence relates to a specified area of the track. As per the Gambling Commission's Guidance, this Licensing Authority will consider the impact upon the third licensing objective and the need to ensure that entrances to each type of premises are distinct and that children are excluded from gambling areas where they are not permitted to enter.

**11.7** It is noted that there are conditions which the Licensing Authority cannot attach to premises licence which are:

- any condition on the premises licence which makes it impossible to comply with an operating licence condition;
- conditions relating to gaming machine categories, numbers, or methods of operation;
- conditions which provide that membership of a club or body be required (the Gambling Act 2005 specifically removes the membership requirement for casino and bingo clubs and this provision prevents it being reinstated); and
- conditions in relation to stakes, fees, winnings or prizes



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### 11.8 Door Supervisors

The Gambling Commission advises in its Guidance to Local Authorities that licensing authorities may consider whether there is a need for door supervisors in terms of the licensing objectives of protection of children and vulnerable persons from being harmed or exploited by gambling, and also in terms of preventing premises becoming a source of crime. It is noted though that the door supervisors at casinos or bingo premises may/may not be licensed by the Security Industry Authority (SIA). This Licensing Authority therefore will take into consideration relevant criminal convictions, cautions or formal reprimands, if any, and training requirements that meet SIA standards. This is in recognition of the nature of the work in terms of searching individuals, dealing with potentially aggressive persons, etc.

11.9 For premises other than casinos and bingo premises, operators and licensing authorities may decide that supervision of entrances/machines is necessary for particular cases, but it will need to be decided whether these need to be SIA licensed or not. It will not be automatically assumed that they need to be.

### 12.0 Other Legislation

12.1 The Licensing Authority will not take into account matters not related to gambling and the licensing objectives when considering an application for a premises licence. However, it is for the operator to ensure that premises comply with all other relevant legislation such as fire safety, food safety and health & safety. It should be noted that these examples are not exhaustive, and applicants must ensure that they comply with all other regulatory regimes in respect of their employees and the public.

12.2 So far as is possible, this statement of principles will avoid duplicating those other regulatory regimes.

### 13.0 Adult Gaming Centres (AGCs)

13.1 The Licensing Authority will specifically have regard to the need to protect children and vulnerable persons from harm or being exploited by gambling and will expect the applicant to satisfy the authority that there will be sufficient measures to ensure, for example, that persons under the age of 18 do not have access to the premises.

13.2 The Licensing Authority will expect applicants to offer their own measures to meet the licensing objectives however, appropriate measures / licence conditions may cover issues such as:

- Proof of age schemes
- CCTV
- Supervision of entrances/machine areas
- Physical separation of areas
- Location of entry
- Notices/signage
- Specific opening hours

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- Self-barring schemes
- Provision of information leaflets/helpline numbers for organisations such as GamCare.

This list is neither mandatory nor exhaustive and is merely indicative of reasonable measures which might be in place.

### 14.0 Licensed Family Entertainment Centres

14.1 The Licensing Authority will specifically have regard to the need to protect children and children and vulnerable persons from harm or being exploited by gambling and will expect the applicant to satisfy the authority that there will be sufficient measures to ensure that persons under the age of 18 do not have access to the adult only gaming machine areas.

14.2 The Licensing Authority will expect applicants to offer their own measures to meet the licensing objectives however appropriate measures/licence conditions may cover issues such as:

- CCTV
- Supervision of entrances/machine areas
- Physical separation of areas
- Location of entry
- Notices/signage
- Specific opening hours
- Self-barring schemes
- Provision of information leaflets/helpline numbers for organisations such as GamCare/BeGambleAware
- Measures/training for staff on how to deal with suspected truant school children on the premises
- Ensuring there are no inducements to remain in the gaming areas longer than anyone can reasonably afford to

This list is not mandatory, nor exhaustive, and is merely indicative of example measures.

14.3 The Licensing Authority will refer to any conditions applied by the Gambling Commission to operating licences covering the way in which the area containing the category C machines should be delineated. The Licensing Authority is also aware of mandatory and default conditions on these premises licences.

### 15.0 Casinos

#### 15.1 “No Casino” resolution

The Licensing Authority has not passed a “no casino” resolution under Section 166 of the Gambling Act 2005, but is aware that it has the power to do so. Should the Licensing Authority decide in the future to pass such a resolution, it will update this policy statement with details of that resolution.

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- 15.2** Such a resolution would be reviewed at three yearly intervals or sooner should the circumstances warrant a revision of the resolution. Any such decision will be made by Full Council. Such a resolution would not affect pre-existing licensed casinos.

### Casinos and competing applications

- 15.3** On 26 February 2008 the Secretary of State issued the Code of Practice on Determinations relating to large and small Casinos. The Licensing Authority will comply with this Code which sets out:

- (a) the procedure to be followed in making any determinations required under Paragraphs 4 and 5 of Schedule 9 to the Gambling Act 2005; and
- (b) matters to which the Licensing Authority should have regard in making those determinations.

- 15.4** On 15 May 2008 the Categories of Casino Regulations 2008 and the Gambling (Geographical Distribution of Large and Small Casino Premises Licences) Order 2008 were approved and Southampton City Council was authorised to issue a Large Casino Premises Licence.

- 15.5** On 22<sup>nd</sup> March 2016 the Licensing Authority granted a Provisional Statement for a Large Casino to Aspers. That provisional statement lasted for a period of three years to 22<sup>nd</sup> March 2019. After an application to extend the provisional statement the Licensing Authority granted an extension until 22<sup>nd</sup> March 2022.. If the provisional statement is not converted into a premises licence in time, the authority may seek to run a further competition. If this is necessary, the Statement of Principles shall be amended, as appropriate, to set out the process and criteria.

### 15.6 Betting Machines

The Licensing Authority will, in accordance with the Gambling Commission's Guidance, take into account the size of the premises, the number of counter positions available for person-to-person transactions, and the ability of staff to monitor the use of the machines by children and young persons (it is an offence for those under 18 to bet) or by vulnerable people, when considering the number/nature/circumstances of betting machines an operator wants to offer.

### 16.0 Bingo Premises

- 16.1** The Licensing Authority has noted that if children are allowed to enter premises licensed for bingo that they must not participate in gambling, other than on category D machines. Where category C or above machines are available in premises to which children are admitted the Licensing Authority will ensure:

- all such machines are located in an area of the premises separate from the remainder of the premises by a physical barrier which is effective to prevent access other than through a designated entrance;
- only adults are admitted to the area where the machines are located;
- access to the area where the machines are located is supervised;

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- the area where the machines are located is arranged so that it can be observed by staff of the operator or the licence holder; and
- at the entrance to, and inside any such area there are prominently displayed notices indicating that access to the area is prohibited to persons under 18.

**16.2** This Licensing Authority will follow the guidance about the particular issues that licensing authorities should take into account in relation to the suitability and layout of bingo premises.

### **17.0 Betting Premises**

**17.1 Betting machines** – The Licensing Authority will, in accordance with the Gambling Commission’s Guidance, take into account the size of the premises, the number of counter positions available for person-to-person transactions, and the ability of staff to monitor the use of the machines by children and young persons (it is an offence for those under 18 to bet) or by vulnerable people, when considering the number/nature/circumstances of **betting** machines an operator wants to offer. This is in addition to the four **gaming** machines permitted with a premises licence,

### **18.0 Tracks**

**18.1** Tracks are sites (including horse racecourses and dog tracks) where races or other sporting events take place. Betting is a major gambling activity on tracks, both in the form of pool betting (often known as the “totalisator” or “tote”), and also general betting, often known as “fixed-odds” betting.

**18.2** The Licensing Authority is aware that tracks may be subject to one or more than one premises licence, provided each licence relates to a specified area of the track. The Licensing Authority will especially consider the impact upon the third licensing objective (i.e. the protection of children and vulnerable persons from being harmed or exploited by gambling) and the need to ensure that entrances to each type of premises are distinct and that children are excluded from gambling areas where they are not permitted to enter.

**18.3** The Licensing Authority will therefore expect the premises licence applicant to demonstrate suitable measures to ensure that children do not have access to adult only gaming facilities. It is noted that children and young persons will be permitted to enter track areas where facilities for betting are provided on days when dog-racing and/or horse racing takes place, but that they are still prevented from entering areas where gaming machines (other than category D machines) are provided.

**18.4** This Licensing Authority will expect applicants to offer their own measures to meet the licensing objectives however appropriate measures / licence conditions may cover issues such as:

- Proof of age schemes
- CCTV
- Supervision of entrances / machine areas
- Physical separation of areas
- Location of entry

## Part B – Premises Licences

- Notices / signage
- Specific opening hours
- Self-barring schemes
- Provision of information leaflets / helpline numbers for organisations such as GamCare

This list is not mandatory, nor exhaustive, and is merely indicative of example measures.

### 18.5 Gaming machines

The Licensing Authority will consider the location of gaming machines at tracks, and applicants for track premises licences will need to demonstrate that, where the applicant holds a pool betting operating licence and is going to use his entitlement to four gaming machines, these machines are located in areas from which children are excluded. Children and young persons are not prohibited from playing category D gaming machines on a track.

### 18.6 Betting machines

The Licensing Authority will take into account the size of the premises and the ability of staff to monitor the use of the machines by children and young persons (it is an offence for those under 18 to bet) or by vulnerable people, when considering the number/nature/circumstances of betting machines an operator wants to offer. It will also take note of the Gambling Commission's suggestion that licensing authorities will want to consider restricting the number and location of such machines in respect of applications for track betting premises licences.

### 18.7 Condition on rules being displayed

The Gambling Commission has advised in its Guidance to Local Authorities that "...licensing authorities should attach a condition to track premises licences requiring the track operator to ensure that the rules are prominently displayed in or near the betting areas, or that other measures are taken to ensure that they are made available to the public. For example, the rules could be printed in the race-card or made available in leaflet form from the track office."

### 18.8 Applications and plans

This Licensing Authority note the guidance states the following with regard to defining the premises:

- 18.9** S.151 of the Act requires applicants for premises licences to submit plans of the premises with their application. This ensures that licensing authorities have the necessary information to make an informed judgement about whether the premises are fit for gambling. The plan also informs future premises inspection activity.
- 18.10** Plans for tracks need not be in a particular scale, but should be drawn to scale and should be sufficiently detailed to include the information required by regulations.
- 18.11** In the majority of cases, such as greyhound tracks, racecourses, football stadia and cricket grounds, defining the extent of boundaries may be assisted by

## Part B – Premises Licences

reference to existing plans already submitted to obtain other permissions. These could include:

- the obtaining of a safety certificate under ‘Safety at Sports Ground’ legislation (this applies in respect of sports grounds with capacity to accommodate more than 10,000 spectators)
- the historic boundaries under previous legislation such as, the approval of tracks under Schedule 3 of the Betting, Gaming and Lotteries Act 1963.

**18.12** It is sometimes difficult to define the precise location of betting areas on tracks. The precise location of where betting facilities are provided is not required to be shown on track plans, both by virtue of the fact that betting is permitted anywhere on the premises and because of the difficulties associated with pinpointing exact locations for some types of track. Licensing authorities should satisfy themselves that the plan provides sufficient information to enable them to assess an application.

**18.13** As the plan forms part of the licence document, it also needs to be sufficiently flexible to ensure that a relatively small change in the premises layout would not require an operator to submit an application to vary the track premises licence. Only a significant change to the track layout would require a licence variation. For example, moving a category C gaming machine from one end of a bar that had been marked on the plan as a gaming machine area to another may not necessitate a full variation to a tracks premises licence, nor would the establishment of a new betting area at a racetrack, as neither of these events have any impact on the purpose of the licence or the conditions attached to it. However, relocating category C machines to entirely different parts of a track would generally need to be the subject of an application to vary the premises licence.

### **19.0 Travelling Fairs**

**19.1** It will fall to the Licensing Authority to decide whether, where category D machines and / or equal chance prize gaming without a permit is to be made available for use at travelling fairs, the statutory requirement that the facilities for gambling amount to no more than an ancillary amusement at the fair is met.

**19.2** The Licensing Authority will also consider whether the applicant falls within the statutory definition of a travelling fair.

**19.3** It has been noted that the 27-day statutory maximum for the land being used as a fair, is per calendar year, and that it applies to the piece of land on which the fairs are held, regardless of whether it is the same or different travelling fairs occupying the land. This licensing authority will work with its neighbouring authorities to ensure that land which crosses our boundaries is monitored so that the statutory limits are not exceeded.

### **20.0 Provisional Statements**

**20.1** The Licensing Authority notes at 11.11 of the Guidance for the Gambling Commission it states that “S.210 of the Act, which applies to both premises licences and provisional statements, makes it clear that a licensing authority

## Part B – Premises Licences

must not have regard to whether or not a proposal by the applicant is likely to be permitted in accordance with planning or building law.”.

**20.2** In terms of representations about premises licence applications, following the grant of a provisional statement, no further representations from responsible authorities or interested parties can be taken into account unless they concern matters which could not have been addressed at the provisional statement stage, or they reflect a change in the applicant’s circumstances. In addition, the authority may refuse the premises licence (or grant it on terms different to those attached to the provisional statement) only by reference to matters:

- (a) which could not have been raised by objectors at the provisional stage; or
- (b) which, in the authority’s opinion, reflect a change in the operator’s circumstances.

### **21.0 Reviews of premises licences**

**21.1** Requests for a review of a premises licence can be made by interested parties or responsible authorities, however, it is for the Licensing Authority to decide whether the review is to be carried out. This will be on the basis of whether the request for the review is relevant to the matters listed below, as well as consideration as to whether the request is frivolous, vexatious, will certainly not cause the authority to wish would alter/revoke/suspend the licence, or whether it is substantially the same as previous representations or requests for review:

- In accordance with any relevant code of practice issued by the Gambling Commission;
- In accordance with any relevant guidance issued by the Gambling Commission;
- Reasonably consistent with the licensing objectives; and
- In accordance with the Licensing Authority’s statement of principles.

**21.2** The Licensing Authority can also initiate a review of a licence on the basis of any reason which it thinks is appropriate.

## Part C – Permits / Temporary & Occasional Use Notices

### Part C – Permits, Temporary and Occasional Use Notices

#### 22.0 Unlicensed Family Entertainment Centre Gaming Machine Permits

- 22.1** Where a premises does not hold a premises licence but wishes to provide gaming machines, it may apply to the Licensing Authority for this permit. It should be noted that the applicant must show that the premises will be wholly or mainly used for making gaming machines available for use (Section 238).
- 22.2** The Gambling Act 2005 states that a Licensing Authority may prepare a statement of principles that they propose to consider in determining the suitability of an applicant for a permit and in preparing this statement, and/or considering applications, it need not (but may) have regard to the licensing objectives and shall have regard to any relevant guidance issued by the Gambling Commission under Section 25.
- 22.3** The Guidance also states: "...An application for a permit may be granted only if the Licensing Authority is satisfied that the premises will be used as an unlicensed FEC, and if the Chief Officer of Police has been consulted on the application."
- 22.4** The Licensing Authority cannot attach conditions to this type of permit.
- 22.5** The Licensing Authority will expect the applicant to show that there are policies and procedures in place to protect children from harm. Harm in this context is not necessarily limited to harm from gambling but includes wider child protection considerations. The efficiency of such policies and procedures will each be considered on their merits; however, they may include the following:
- appropriate measures / training for staff as regards suspected truant school children on the premises,
  - measures / training covering how staff would deal with unsupervised very young children being on the premises, or children causing perceived problems on / around the premises.
- 22.6** The Licensing Authority will also expect that
- applicants demonstrate a full understanding of the maximum stakes and prizes of the gambling that is permissible in unlicensed FECs;
  - the applicant shall disclose relevant convictions (those that are set out in Schedule 7 of the Act) in order that the Licensing Authority may consider whether it would be contrary to the licensing objectives to grant a permit; and
  - staff are trained to have a full understanding of the maximum stakes and prizes.



## Part C – Permits / Temporary & Occasional Use Notices

### 23.0 Alcohol Licensed Premises Gaming Machine Permits

**23.1** There is provision in the Act for premises licensed to sell alcohol for consumption on the premises, to automatically have two gaming machines, of categories C and/or D. The premises merely need to notify the Licensing Authority. The Licensing Authority can remove the automatic authorisation in respect of any particular premises if:

- provision of the machines is not reasonably consistent with the pursuit of the licensing objectives;
- gaming has taken place on the premises that breaches a condition of section 282 of the Gambling Act (i.e. that written notice has been provided to the licensing authority, that a fee has been provided and that any relevant code of practice issued by the Gambling Commission about the location and operation of the machine has been complied with)
- the premises are mainly used for gaming; or
- an offence under the Gambling Act has been committed on the premises

**23.2** If a premises wishes to have more than 2 machines, then it needs to apply for a permit and the Licensing Authority must consider that application based upon the licensing objectives, any guidance issued by the Gambling Commission, and “such matters as they think relevant.”

**23.3** The Licensing Authority considers that “such matters” will be decided on a case by case basis but generally there will be regard to the need to protect children and vulnerable persons from being harmed or being exploited by gambling and will expect the applicant to satisfy the authority that there will be sufficient measures to ensure that persons under the age of 18 do not have access to the adult only gaming machines. Measures which will satisfy the authority may include:

- The adult machines being in sight of the bar, or in the sight of staff who will monitor that the machines are not being used by persons under the age of 18;
- Notices and signage; and
- Provision of information leaflets/helpline numbers for organisations such as GamCare.

**23.4** The Licensing Authority recognises that some alcohol licensed premises may apply for a premises licence for their non-alcohol licensed areas. Any such application would most likely need to be applied for, and dealt with as an Adult Gaming Centre premises licence.

**23.5** The Licensing Authority can decide to grant the application with a smaller number of machines and/or a different category of machines than that applied for. Conditions (other than these) cannot be attached.

**23.6** It should also be noted that the holder of a permit must comply with any Code of Practice issued by the Gambling Commission about the location and operation of the machine.

## **Part C – Permits / Temporary & Occasional Use Notices**

### **24.0 Prize Gaming Permits**

**24.1** In making its decision on an application for this permit the Licensing Authority does not need to have regard to the licensing objectives but must have regard to any Gambling Commission guidance.

**24.2** The applicant should set out the types of gaming that he or she is intending to offer and should be able to demonstrate:

- that they understand the limits to stakes and prizes that are set out in Regulations; and
- that the gaming offered is within the law

**24.3** It should be noted that there are conditions in the Gambling Act 2005 with which the permit holder must comply, but that the Licensing Authority cannot attach conditions. The conditions in the Act are:

- the limits on participation fees, as set out in regulations, must be complied with;
- all chances to participate in the gaming must be allocated on the premises on which the gaming is taking place and on one day; the game must be played and completed on the day the chances are allocated; and the result of the game must be made public in the premises on the day that it is played;
- the prize for which the game is played must not exceed the amount set out in regulations (if a money prize), or the prescribed value (if non-monetary prize); and
- participation in the gaming must not entitle the player to take part in any other gambling.

### **25.0 Club Gaming and Club Machine Permits**

**25.1** Members Clubs and Miners' Welfare Institutes may apply for a Club Gaming Permit or a Clubs Gaming machines permit. The Club Gaming Permit will enable the premises to provide gaming machines (3 machines of categories B, C or D), equal chance gaming and games of chance as set-out in regulations. A Club Gaming Machine permit will enable the premises to provide gaming machines (3 machines of categories B, C or D).

**25.2** Members clubs must have at least 25 members and be established and conducted "wholly or mainly" for purposes other than gaming, unless the gaming is permitted by separate regulations. A members' club must be permanent in nature, not established to make commercial profit, and controlled by its members equally. Examples include working men's clubs, branches of Royal British Legion and clubs with political affiliations.

**25.3** The Licensing Authority may only refuse an application on the grounds that:

- (a) the applicant does not fulfil the requirements for a members' or commercial club or miners' welfare institute and therefore is not entitled to receive the type of permit for which it has applied;
- (b) the applicant's premises are used wholly or mainly by children and/or young persons;

## Part C – Permits / Temporary & Occasional Use Notices

- (c) an offence under the Act or a breach of a permit has been committed by the applicant while providing gaming facilities;
- (d) a permit held by the applicant has been cancelled in the previous ten years; or
- (e) an objection has been lodged by the Commission or the police

**25.4** There is a “fast-track” procedure available under the Act for premises which hold a Club Premises Certificate under the Licensing Act 2003. Under the fast-track procedure there is no opportunity for objections to be made by the Gambling Commission or the police, and the ground upon which an authority can refuse a permit are reduced and the grounds on which an application under the process may be refused are:

- (a) that the club is established primarily for gaming, other than gaming prescribed under schedule 12;
- (b) that in addition to the prescribed gaming, the applicant provides facilities for other gaming; or
- (c) that a club gaming permit or club machine permit issued to the applicant in the last ten years has been cancelled.”

**25.5** There are statutory conditions on club gaming permits that no child uses a category B or C machine on the premises and that the holder complies with any relevant provision of a code of practice about the location and operation of gaming machines.

### **26.0 Temporary Use Notices**

**26.1** There are a number of statutory limits as regards Temporary Use Notices. It is noted that it falls to the Licensing Authority to decide what constitutes a ‘set of premises’ where Temporary Use Notices are received relating to the same building/site.

**26.2** As with “premises” the definition of “a set of premises” will be a question of fact in the particular circumstances of each notice that is given. In the Act “premises” is defined as including “any place”. In considering whether a place falls within the definition of a set of premises the Licensing Authority will look at, amongst other things, the ownership/occupation and control of the premises.

**26.3** The Licensing Authority will consider objecting to Temporary Use Notices where it appears that their effect would be to permit regular gambling in a place that could be described as one set of premises

### **27.0 Occasional Use Notices**

**27.1** The Licensing Authority has very little discretion as regards these notices aside from ensuring that the statutory limit of 8 days in a calendar year is not exceeded. The Licensing Authority will need, though, to consider the definition of a “track” and whether the applicant is permitted to avail him/herself of the notice.

## Part D – Other Information

### Part D – Other Information

#### 28.0 Rights of Appeal and Judicial Review

**28.1** The Licensing Authority is aware that its decisions may be subject to an appeal in accordance with the provisions of the Act and judicial review. To ensure a transparent decision making process the Licensing Authority will:

- give clear and comprehensive reasons for a rejection of an application where there is a requirement in the Act to do so; and
- wherever practicable, as best practice, give clear and comprehensive reasons for all decisions connected to its functions under the Act, regardless of whether there is a requirement under the Act to do so.

**28.2** An appeal may be commenced by the giving of a notice of appeal by the appellant to the local magistrates' court within a period of 21 days beginning with the day on which the appellant was notified by the Licensing Authority of the decision to be appealed against.

**28.3** Any person who wishes to pursue an appeal is strongly advised to seek independent professional legal advice from a legal advisor who specialises in the law on gambling.

#### 29.0 Other Matters

**29.1** In order to ensure that applicants and persons who make representations have the necessary information to be able to do so, the information below will be available on the Council's website ([www.southampton.gov.uk/licensing](http://www.southampton.gov.uk/licensing)) or by contacting the Licensing Team:

- Register of premises licences issued by the Licensing Authority
- Fees
- Guidance on how to make an application
- List of responsible authorities and contact details
- Application forms, where appropriate
- Making representations
- Applying for a review of a licence

## Part D – Other Information

### 30.0 The Licensing Authority Delegations

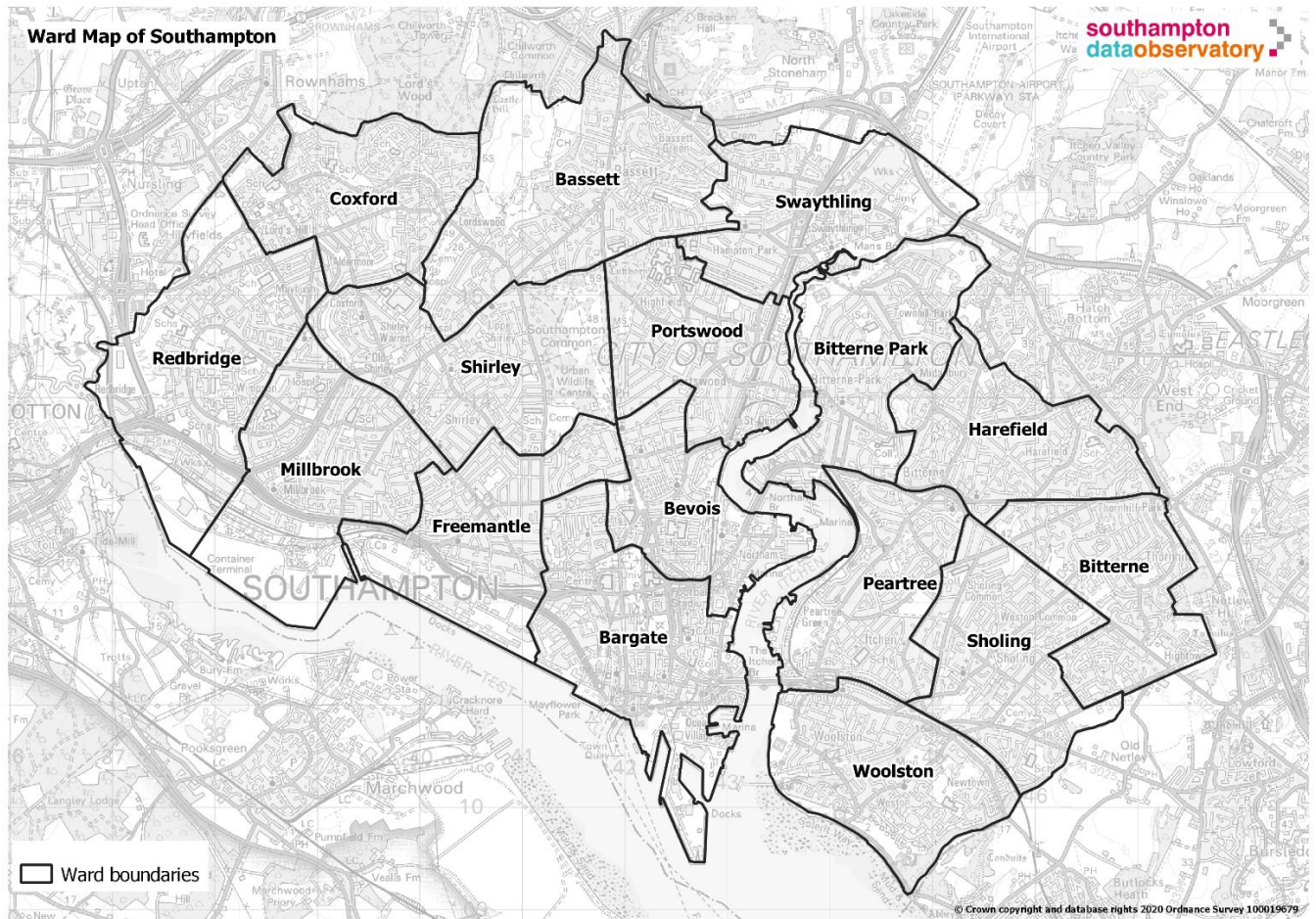
Matter to be dealt with	Full Council	Licensing Committee or Sub-Committee	Officers
Three year licensing statement of principles	<b>X</b>		
Policy not to permit casinos	<b>X</b>		
Fee setting (when appropriate)		Full Licensing Committee	
Application for premises licence		Where representations have been received and not withdrawn (save in respect of any application for a Large Casino which will be heard by the full Licensing Committee)	Where no representations received/ representations have been withdrawn
Application for a variation to a premises licence		Where representations have been received and not withdrawn	Where no representations received/ representations have been withdrawn
Application for a transfer of a premises licence		Where representations have been received from the Commission	Where no representations received from the Commission
Application for a provisional transfer		Where representations have been received and not withdrawn	Where no representations received/ representations have been withdrawn
Review of a premises licence		<b>X</b>	
Application for club gaming/ club machine permits		Where objections have been made (and not withdrawn)	Where no objections made/ objections have been withdrawn
Cancellation of club gaming/ club machine permits		<b>X</b>	
Applications for other permits			<b>X</b>
Cancellation of licensed premises gaming machine permits			<b>X</b>

## Part D – Other Information

Matter to be dealt with	Full Council	Licensing Committee or Sub-Committee	Officers
Consideration of temporary use notice			<b>X</b>
Decision to give a counter notice to a temporary use notice		<b>X</b>	
Decision to determine an application without holding a hearing on grounds contained within S.162 (3)			<b>X</b>
Decision to reject an application for review made under S.197 based on grounds contained within S.198			<b>X</b>
Take “action” (under S.202) following review		Where application heard by Sub-Committee	Where no hearing and all parties agree in advance to relevant “action”.

# Appendix

## 31.0 Appendix A – Map of Southampton



## 32.0 Appendix B Local Profile

Southampton has a young demographic compared to the England average. There are about 63,700 children aged between 0 and 19 years of age living in Southampton. Ethnic diversity is increasing and about a quarter of children and young people live in poverty. (From Joint Strategic Needs assessment)

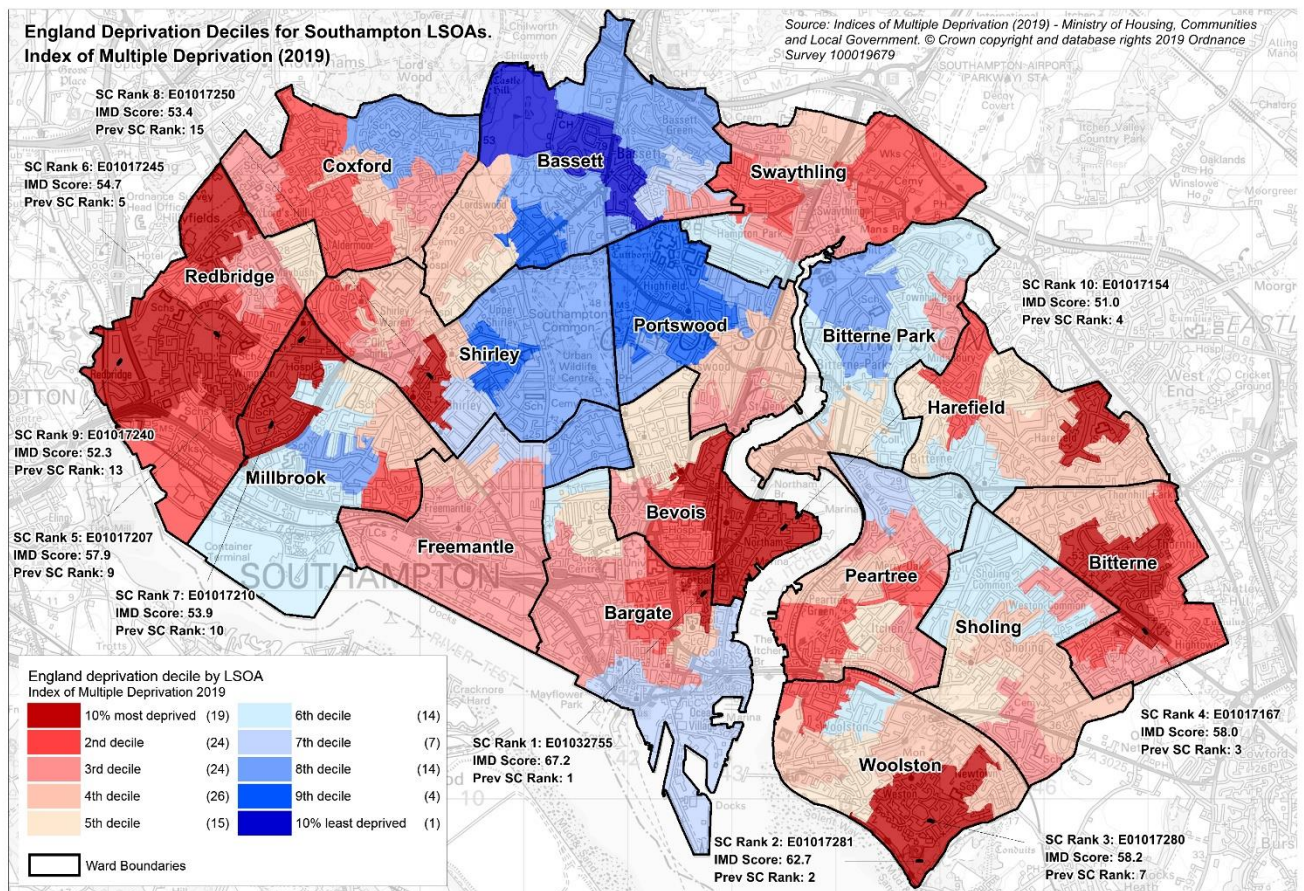
The following maps are broken down into LSOAs (Lower-layer Super Output Areas), which are small areas designed to be of a similar population size, with an average of approximately 1,500 residents or 650 households. There are 32,844 Lower-layer Super Output Areas (LSOAs) in England and 158 in Southampton.

### Deprivation



## Appendix

The following map provides details on the scale of deprivation across the city in 2019, the deeper the red the more deprived an area is whereas a deeper blue indicates the least deprived.



Overall, there has been very little change in relative deprivation levels in Southampton compared to other local authorities in England since the last IMD in 2015, with the Southampton remaining a relatively deprived city.

Three LSOAs have remained in top five for this city....

- Bargate (Golden Grove): 1st in IMD(2019); 1st in IMD(2015)
- Weston (International Way): 2nd in IMD(2019); 2nd in IMD(2015)
- Thornhill (Lydgate Road): 4th in IMD(2019); 3rd in IMD(2015)

Two LSOAs that were in the top ten previously are now in the top five.....

Weston (Kingsclere Avenue): 3rd in IMD(2019); 7th in IMD(2015)  
Millbrook (Lockerley Cres): 5th in IMD(2019); 9th IMD(2015)

The two LSOAs have been replaced in the top five for IMD 2015, remain in the top ten for the IMD 2019.....

- Redbridge (Mansel Park): 6th in IMD(2019); 5th in IMD(2015)
- Northam (Stadium): 10th in IMD(2019); 4th in IMD(2015)



## Appendix

Some of the five most deprived LSOAs are featured in the top five in the following domains.....

Employment (4/5); Income (4/5); Education (3/5); Health (2/5); Crime (2/5)

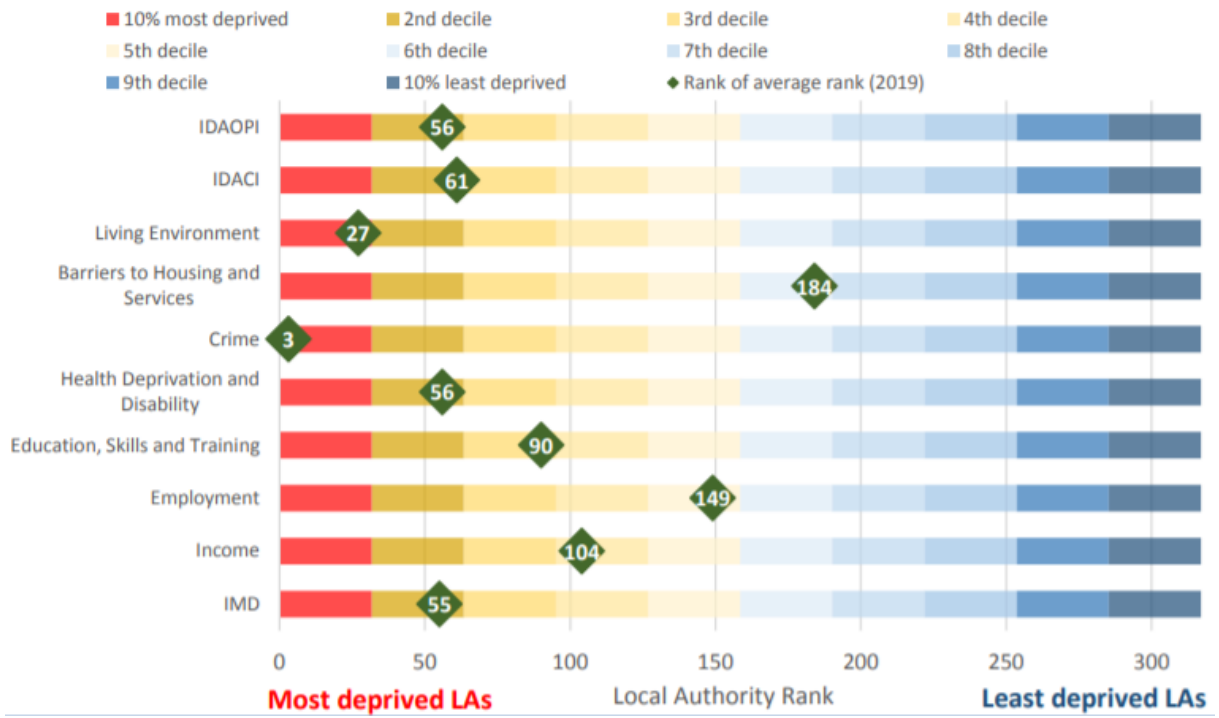
Other key findings from the IMD 2019 analysis for the city are:

- Of the 317 Local Authorities in England, Southampton is ranked 55th (previously 54th) most deprived based on average rank of LSOAs and 61st (previously 67th) most deprived based on average score of LSOAs
- The fact that Southampton appears to be more deprived based on the average rank measure (55th nationally and 2nd amongst comparators), illustrates how Southampton is more uniformly deprived rather than being highly polarised (i.e. extremes of deprivation)
- Southampton has 19 LSOAs within the 10% most deprived in England (same as in 2015) and one LSOA in the 10% least deprived in England (previously zero in 2015)
- Around 12% of Southampton's population live in neighbourhoods within the 10% most deprived nationally; this rises to 18% for the under 18 population, suggesting deprivation disproportionately impacts upon young people in the city
- Over 45% of Southampton's population live in neighbourhoods within the 30% most deprived nationally (around 117,000 people)
- At neighbourhood level, approximately half of the LSOAs in Southampton have become more deprived (77/148; 52%) since 2015, whilst half have become less deprived
- The five most deprived neighbourhoods in Southampton are in Bargate (Golden Grove), Weston (International Way), Weston (Kingsclere Avenue), Thornhill (Lydgate Road) and Millbrook (Lockerley Crescent)
- Southampton is ranked 3rd worst in the country for crime deprivation and is in the worst 20% of local authorities for 5 other deprivation domains

The charts below show Southampton's rank (based on average rank of LSOAs) amongst all 317 LAs in England for each deprivation domain, and how this has changed between 2015 and 2019

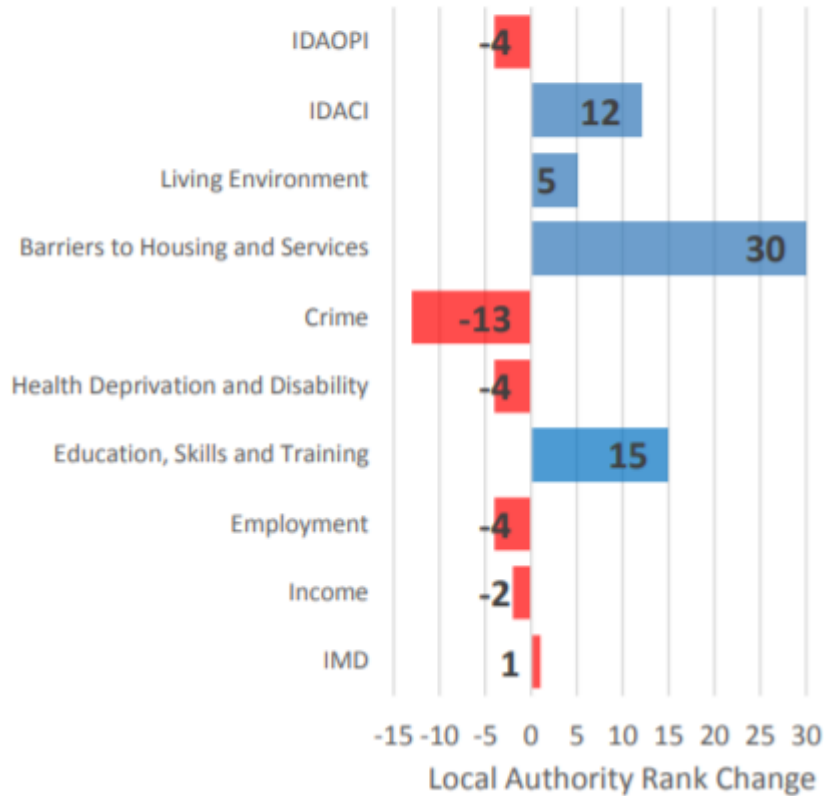
# Appendix

**Indices of Deprivation 2019 - Rank of Average Rank by Domain:  
Southampton Local Authority (out of 317 LAs)**



## Appendix

### Indices of Deprivation - Change in Rank of Average Rank between 2015 and 2019: Southampton Local Authority by Domain



Southampton is ranked 3rd worst in the country for crime and is in the worst 20% of LAs for 5 domains

Crime is the domain which has worsened the most, whilst there have been improvements in Barriers to Housing and Services, Education, Skills and Training and two other domains

#### Housing

Homelessness is reported as spread evenly across the city with no ward or wards standing out as a particular problem. However, the larger Council estate areas generally see less homelessness than other areas.

Extract from the SCC Homeless Prevention Strategy

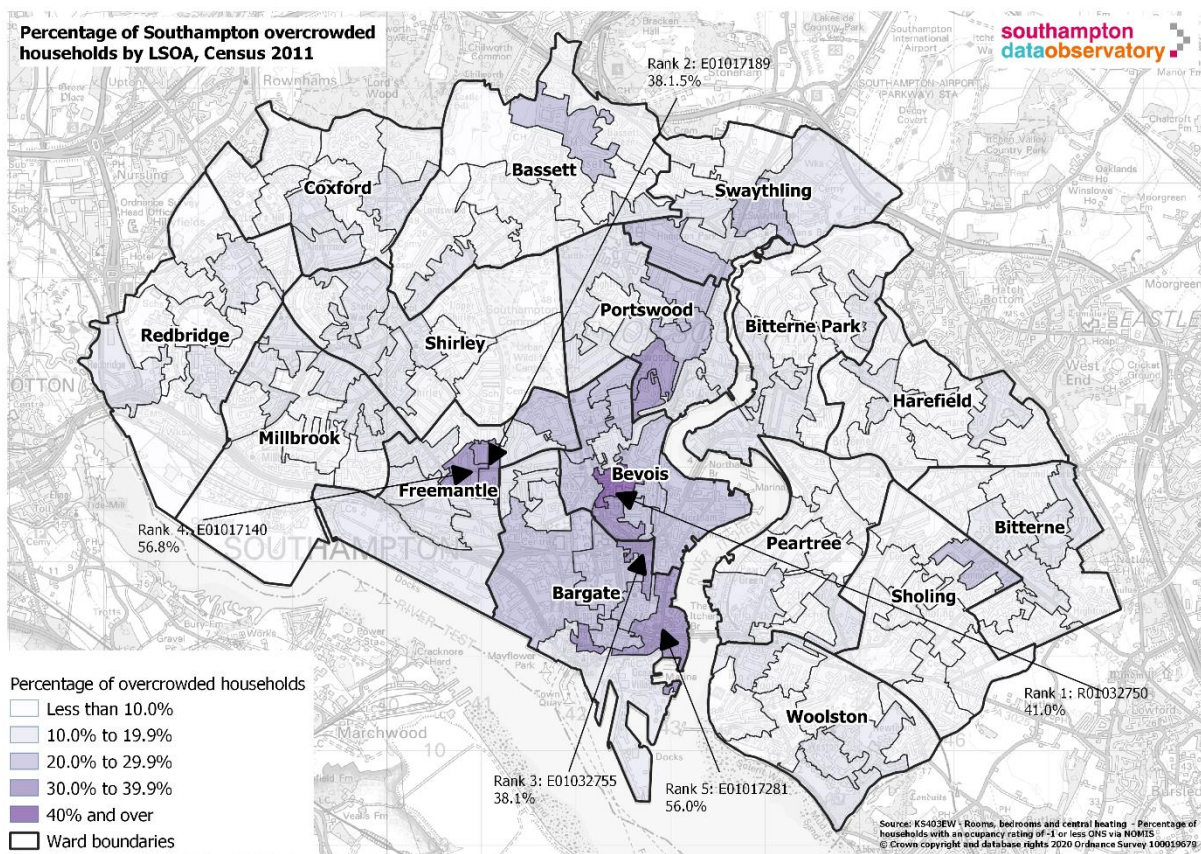
Like the rest of the South East, Southampton's property prices continue to grow at a rate that puts home ownership out of reach for the majority of households. As such the demand for social housing in the city is extremely high and waiting times for an affordable home can often reach up to seven years. Southampton is less affordable than England as a whole and is in the top 5 least affordable areas among its ONS comparators

## Appendix

Consequently, the private rented sector has become a very useful source of meeting local housing needs and has grown to become one of the largest private rented sectors in the South East.

Private rented homes in the city vary in quality, size and cost but generally rent levels are lower here (especially in some areas of the city), than other parts of the region such as the New Forest and Winchester. As a result, people on limited incomes can find themselves priced out of these more expensive housing areas, causing them to move to Southampton out of economic necessity, placing greater strain on the city's housing supply.

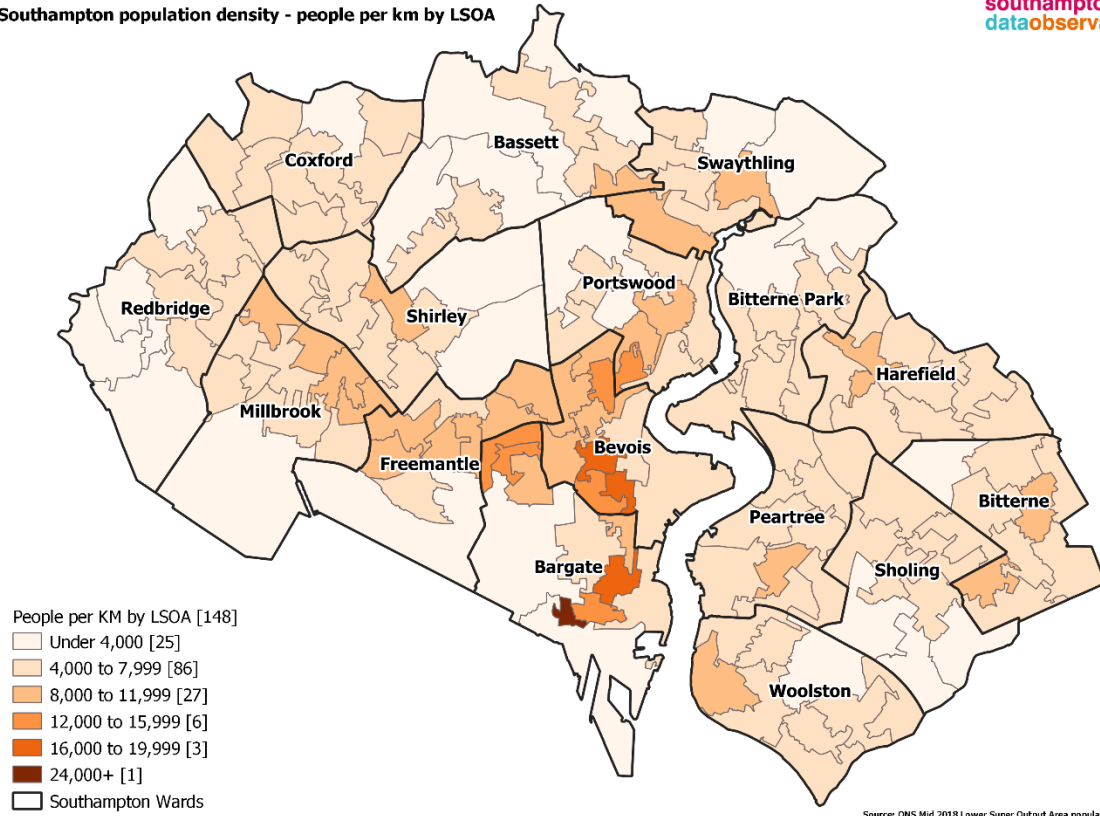
Households can be defined as 'overcrowded' from Census 2011 data, these are households with an occupancy rating of -1 or less which is calculated when there are more people than rooms. The map below shows the areas (LSOAs – neighbourhoods with around 1,500 population each) with higher percentages of overcrowding are Bargate, Bevois and Freemantle.



Population density shows where there are more people living per square kilometre compared to other areas. This is often in areas with less green space and more high-density housing.

# Appendix

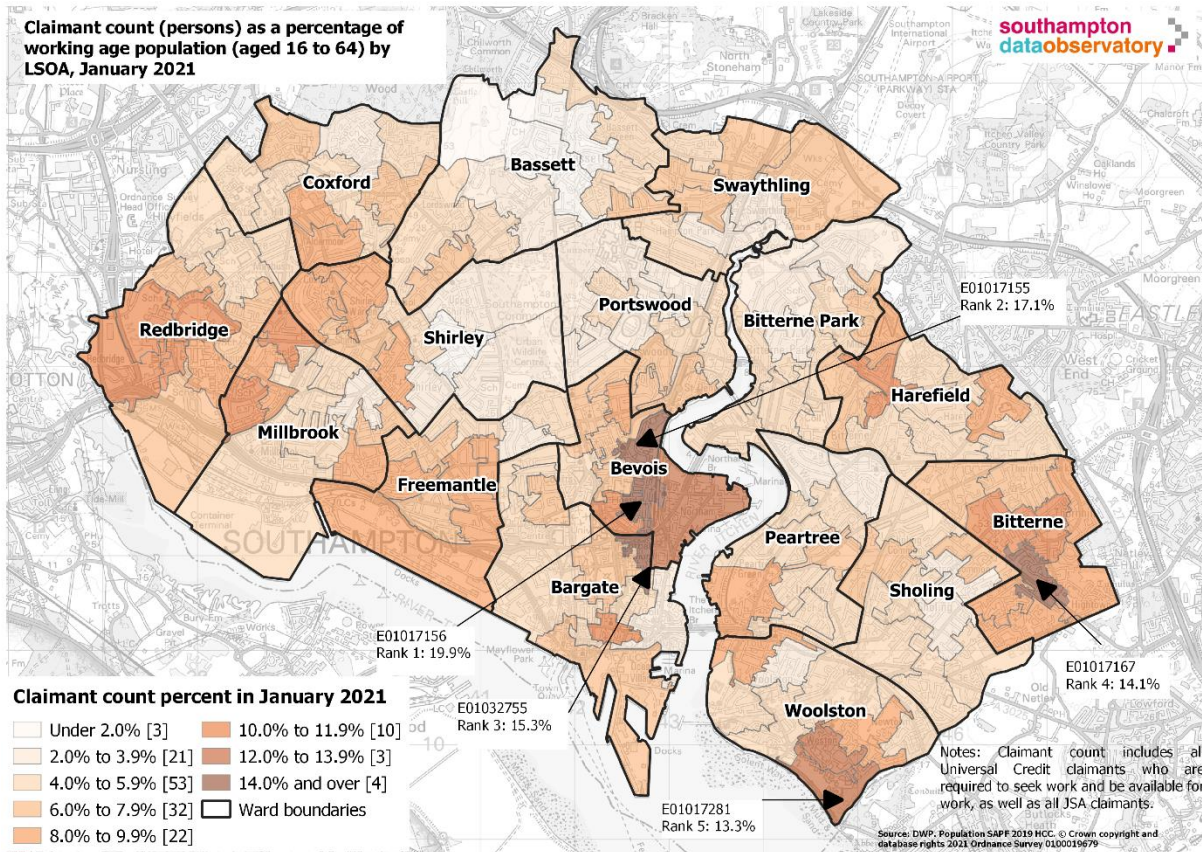
Southampton population density - people per km by LSOA



The following map shows the percentages of working age adults claiming benefit principally for the reason of being unemployed. The areas with the higher percentages are in Bevois, Thornhill and Weston Shore.

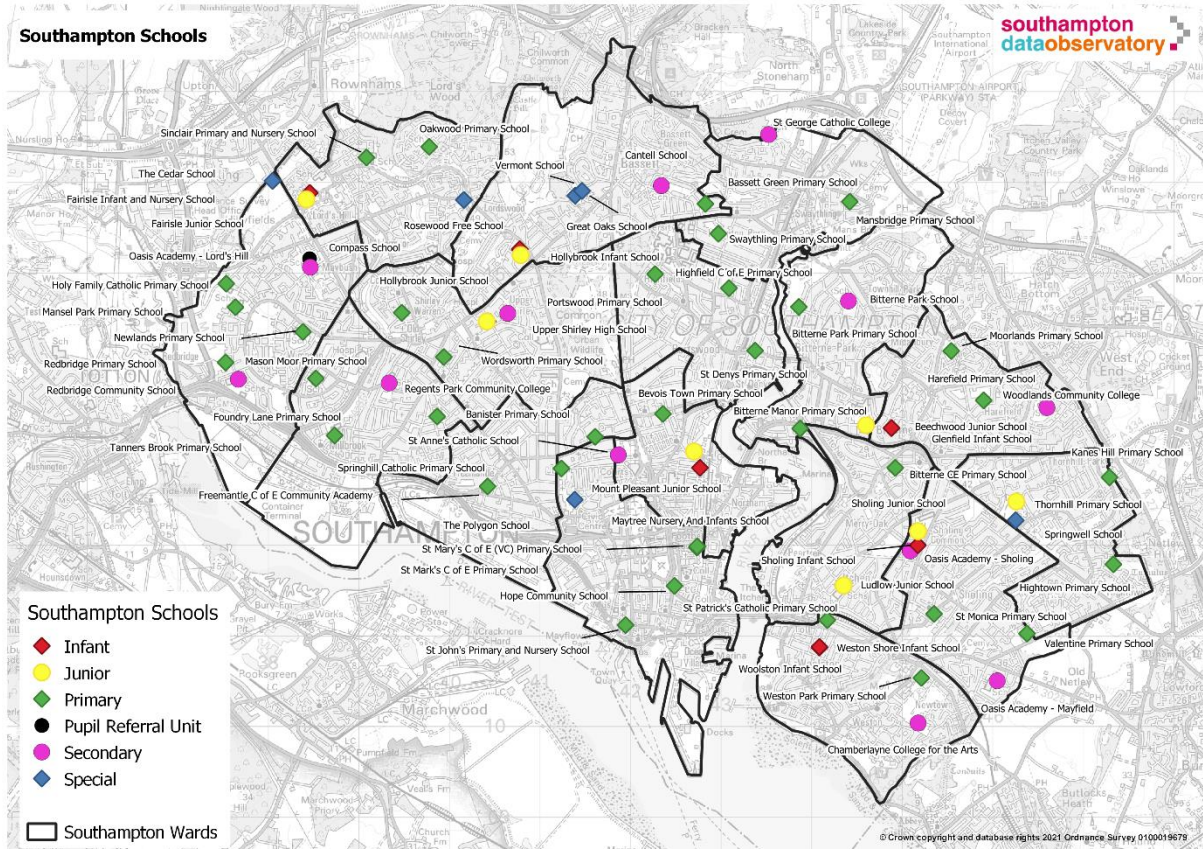


# Appendix



Vulnerable groups at risk from gambling defined by the Gambling Act includes children and young people. The map below shows the location of schools by establishment type.

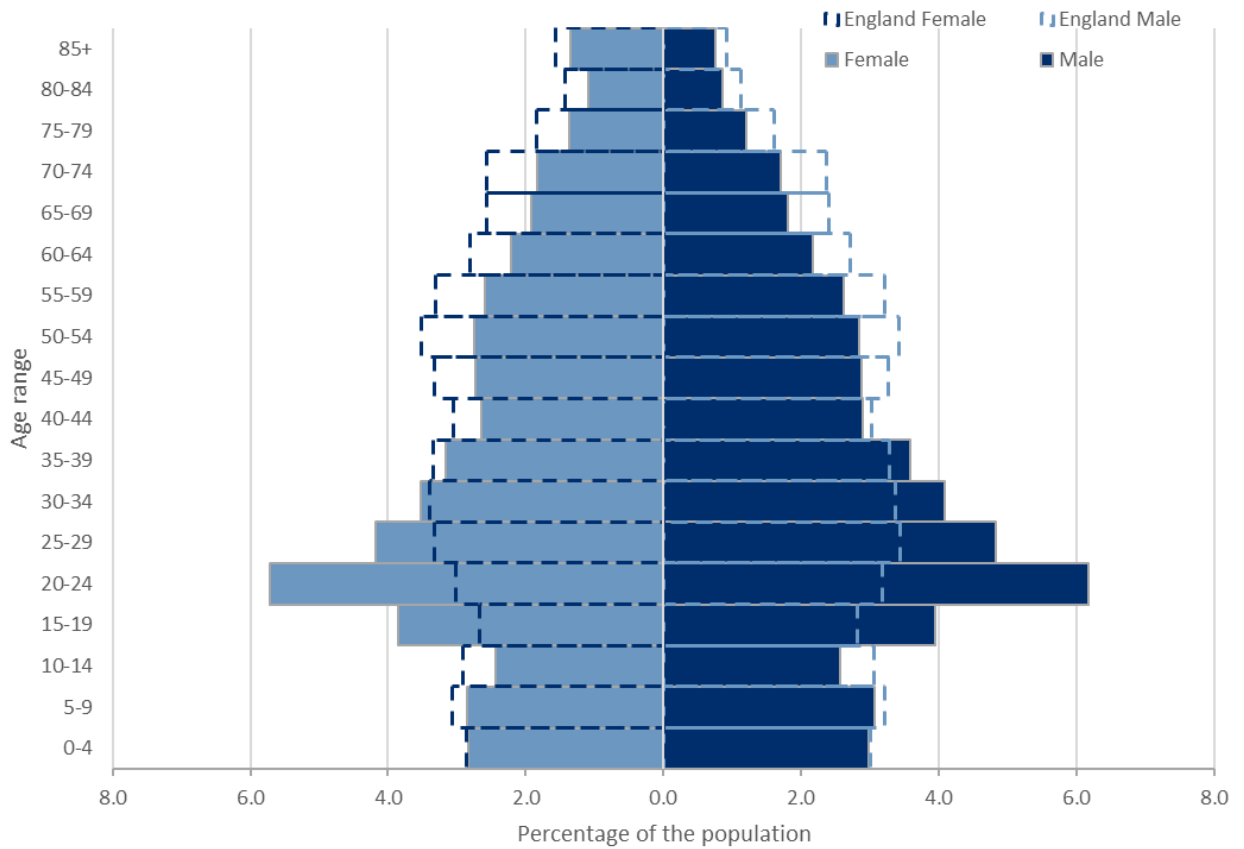
# Appendix



There are 74,553 residents aged 15 to 29 years in the city, 28.7% of the total population. The following population structure figure shows there are higher percentages in Southampton of those aged 15 to 29 years compared to the England average.

# Appendix

Population pyramid for Southampton (residential population) 2019

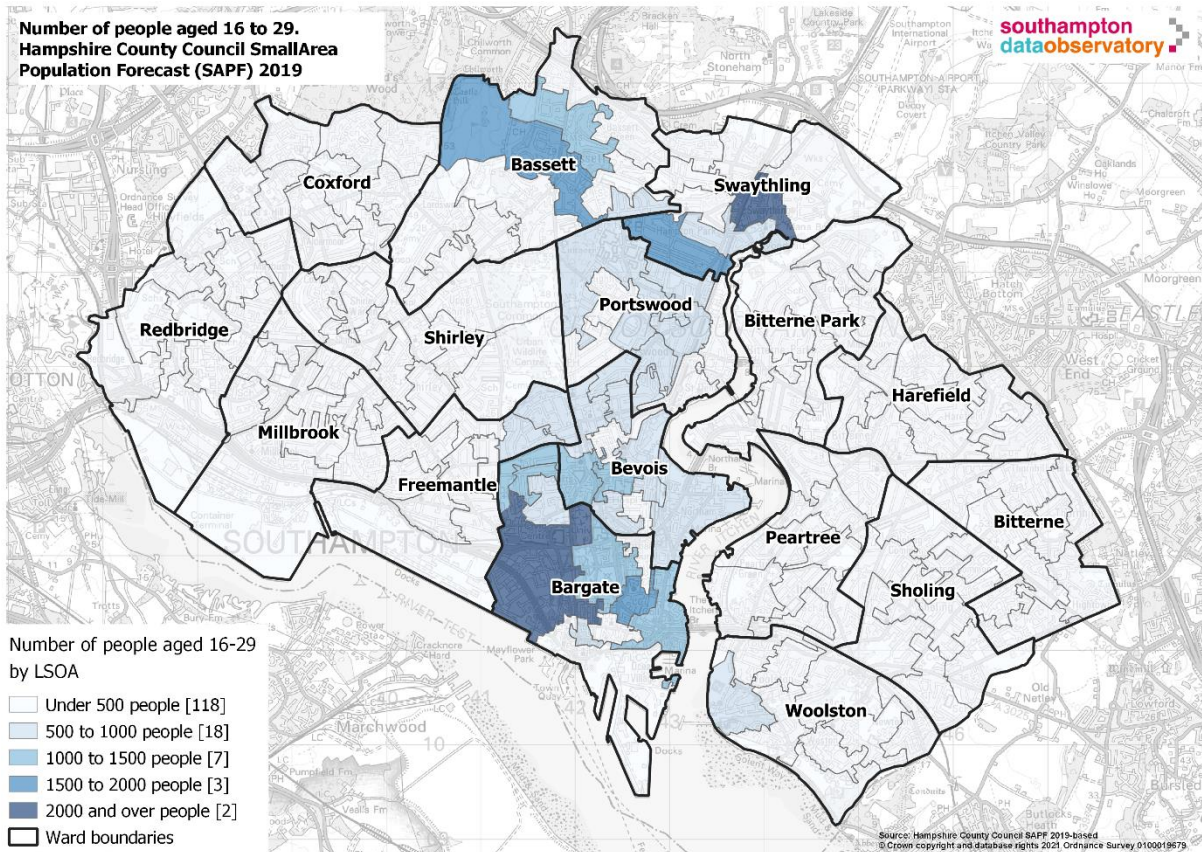


Source: Small Area Population Forecasts for Southampton - 2019-based from Hampshire County Council  
 England figures are from Mid-Year Population Estimates 2019 from Office for National Statistics

The following map shows which LSOAs (neighbourhoods of 1,500 people approx.) have the highest counts of 16 to 29 year olds.

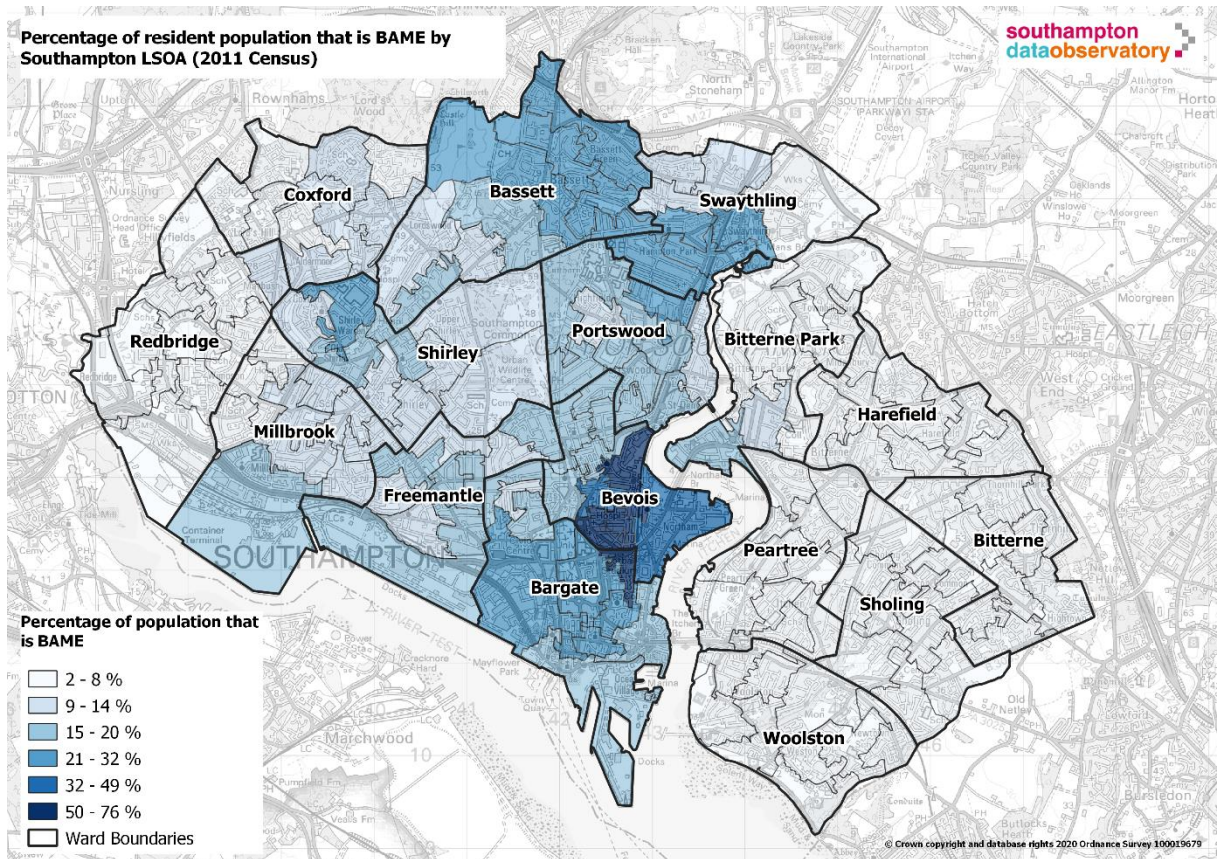


# Appendix



The Census 2011 showed higher percentages of non-white ethnicities (BAME) living in the Bevois area of the city and Bargate, Swaythling and Bassett compared to other areas.

# Appendix



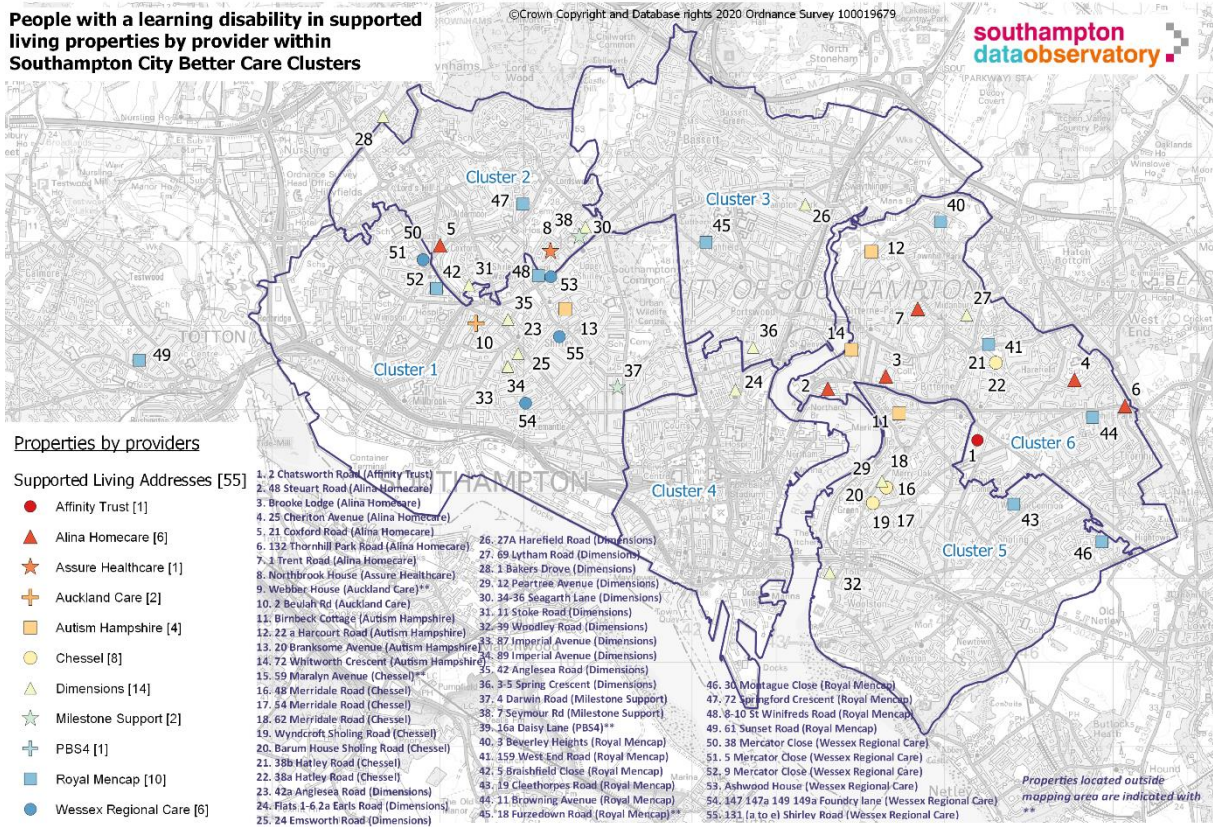
Some population groups may be more at risk to gambling addiction. Geographic locations relating to these groups are shown in the following maps.

Locations of supported living accommodation for people with a learning disability

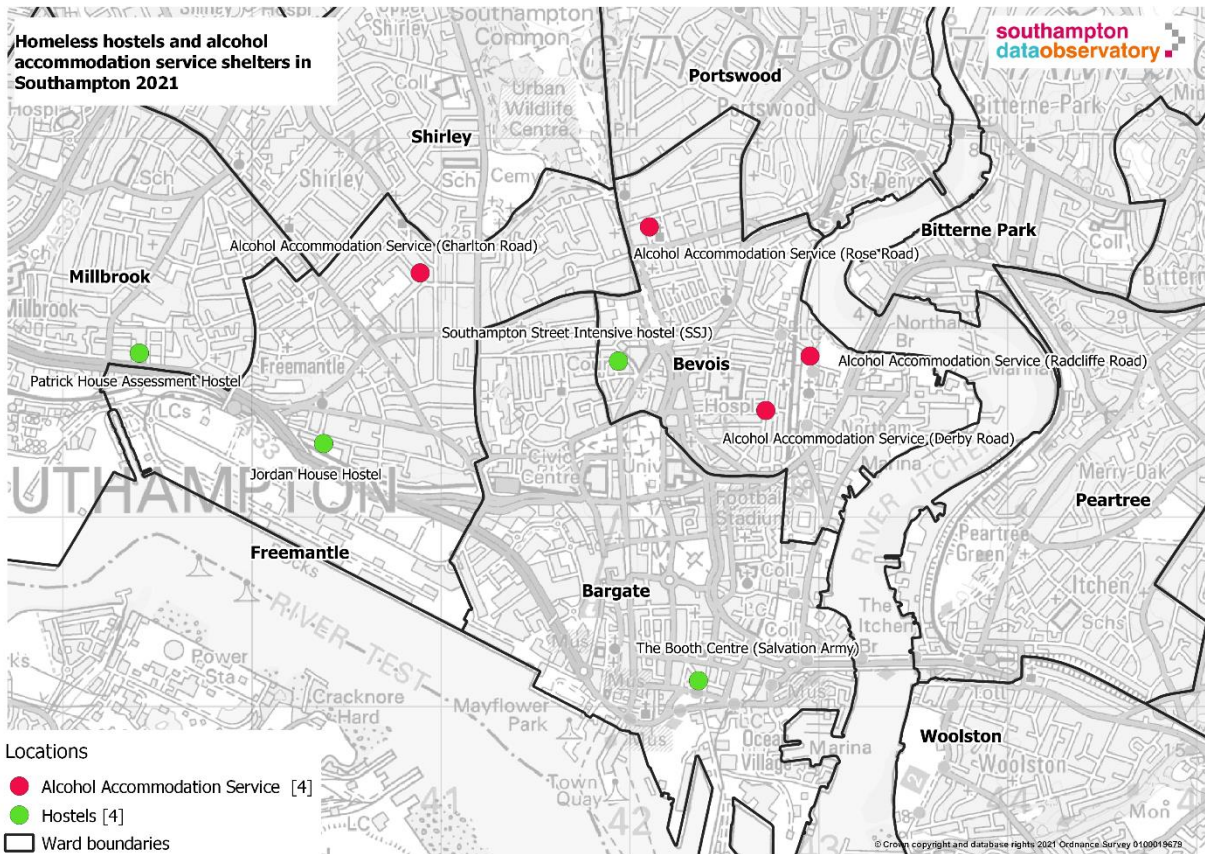


# Appendix

## People with a learning disability in supported living properties by provider within Southampton City Better Care Clusters



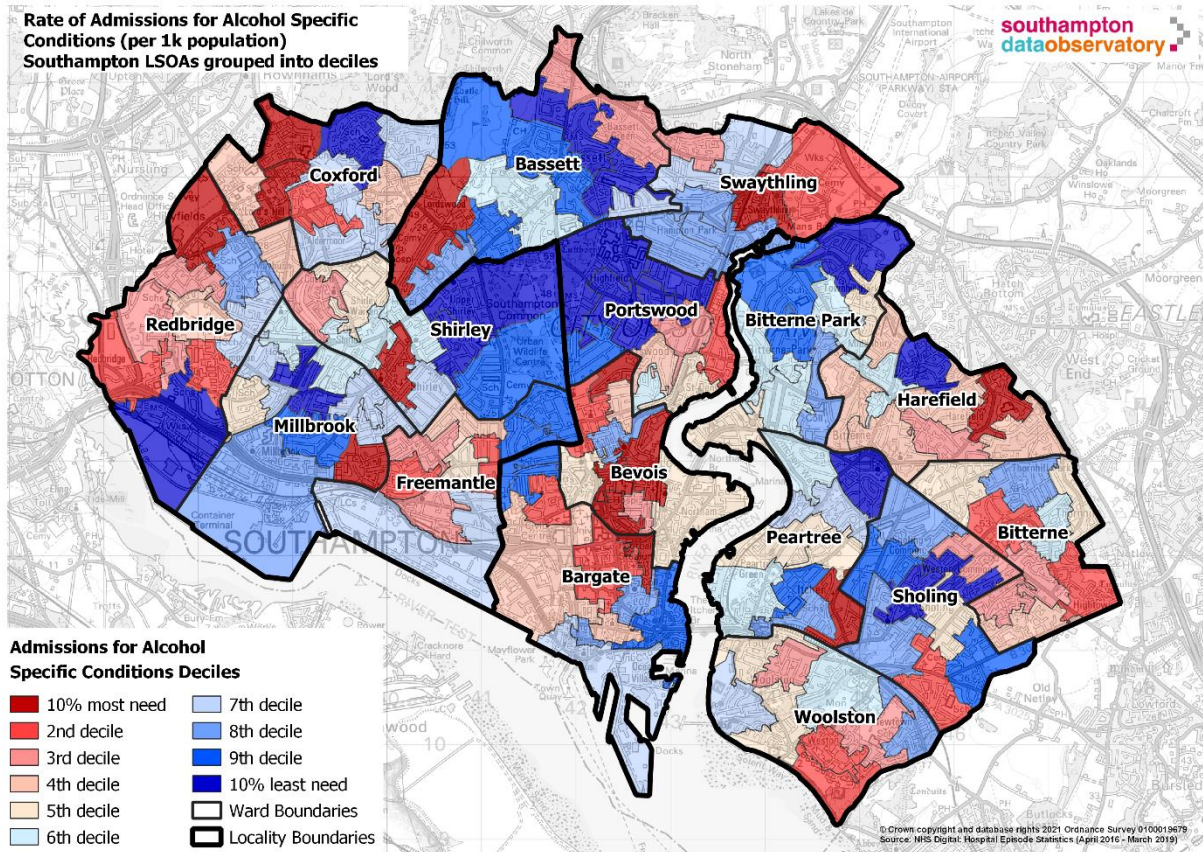
## People who use homeless hostels and alcohol services accommodation shelters





# Appendix

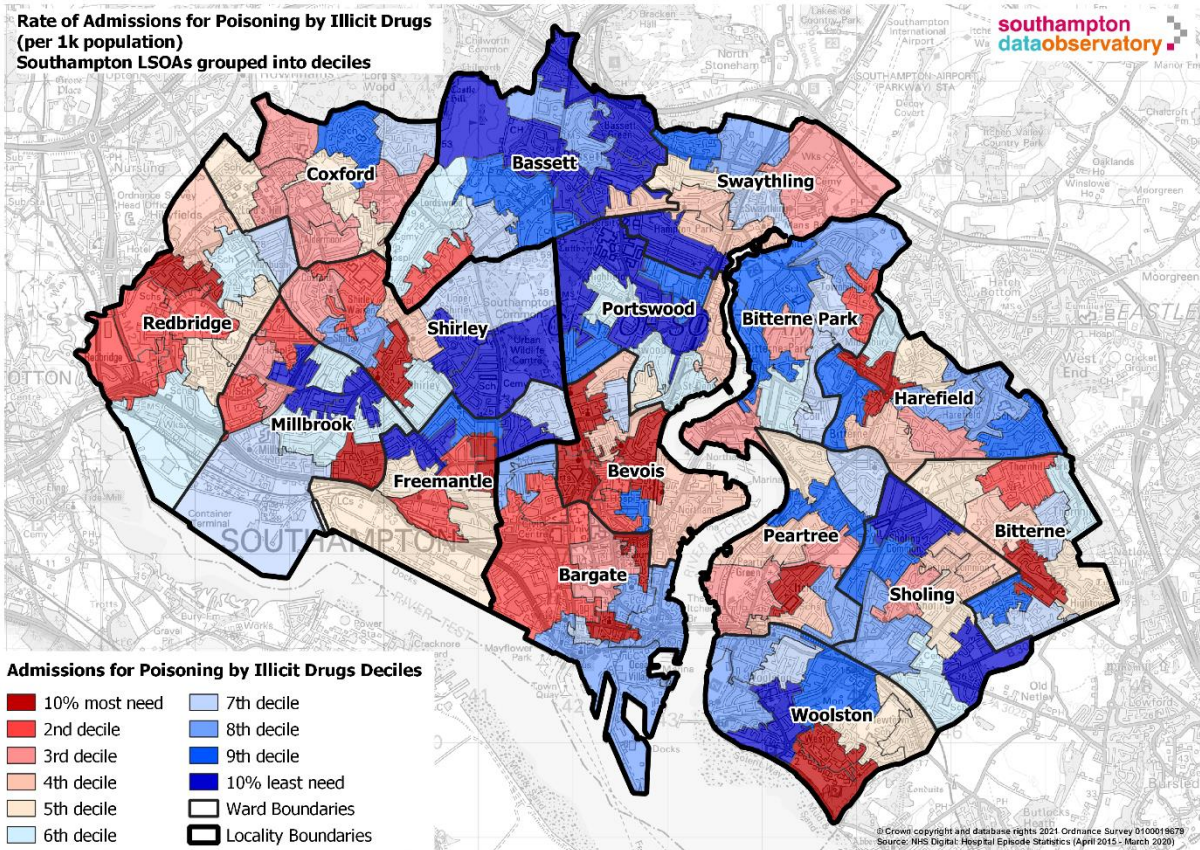
People who have been admitted to hospital with an alcohol specific condition mapped by where they live



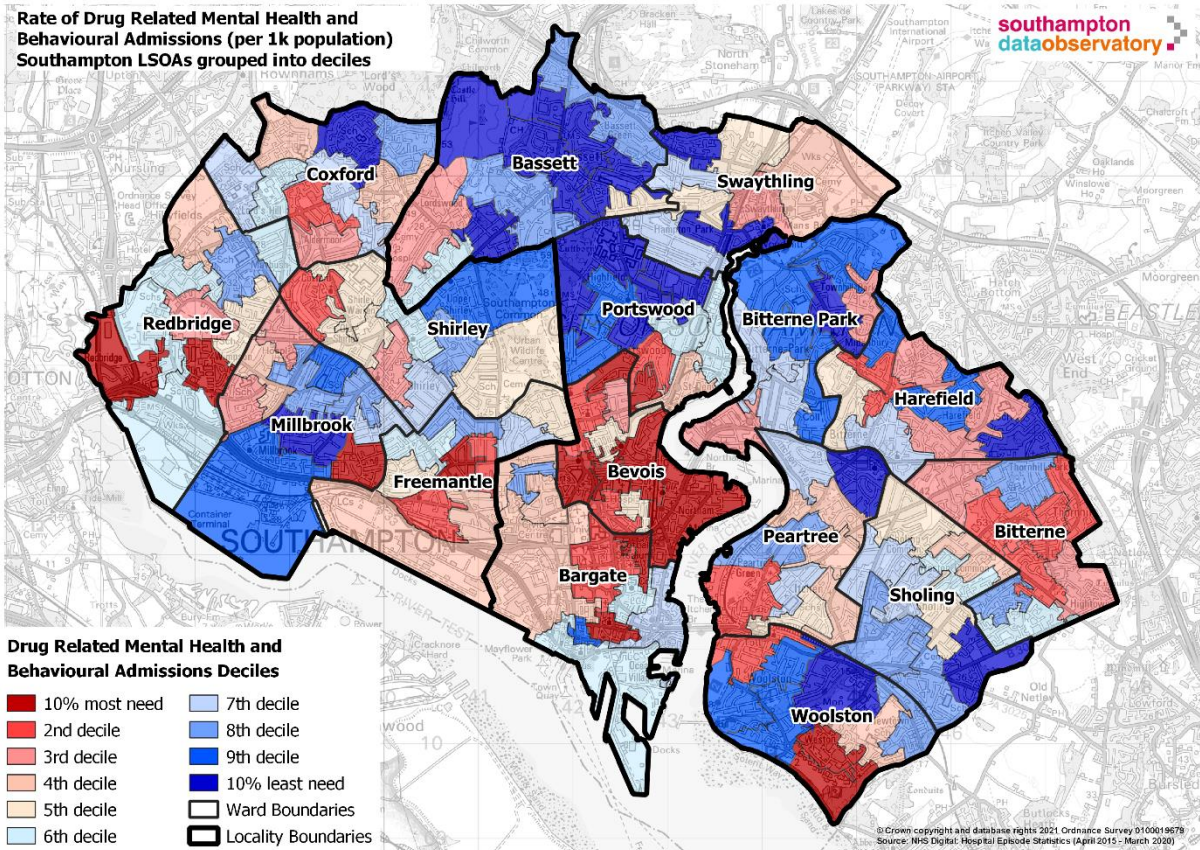
People who have been admitted to hospital with a primary diagnosis of poisoning by illicit drugs mapped by where they live



# Appendix



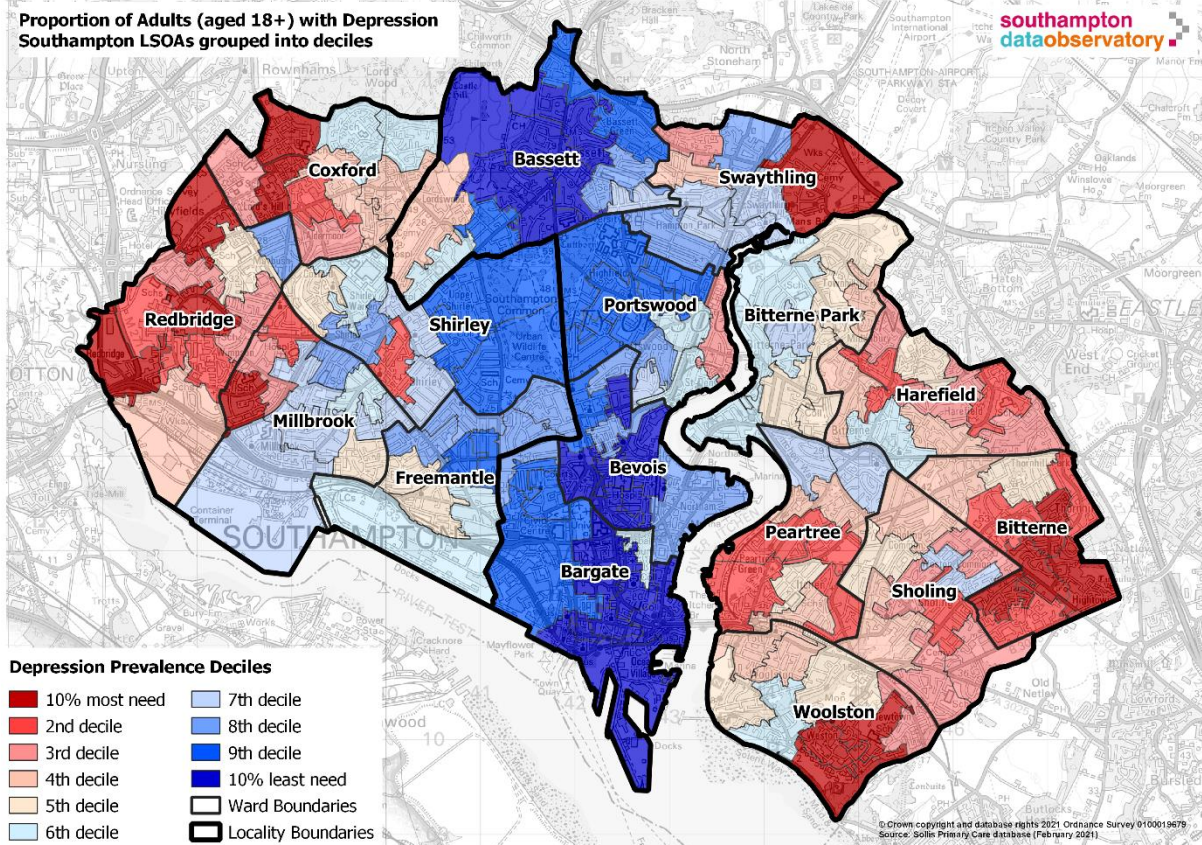
People who have been admitted to hospital with primary or secondary diagnosis of drug related mental health and behavioural disorders mapped by where they live





# Appendix

Patients with a GP diagnosis of a depression mapped by where they live



# Draft Gambling Statement of Licensing Principles Consultation

## Full results summary

Data, Intelligence & Insight Team – October 2021



## Introduction and Methodology

- [Introduction](#)
- [Consultation principles](#)
- [Methodology and promotion](#)
- [Interpreting this report](#)
- [Who are the respondents](#)

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[Protecting children and other vulnerable persons from being harmed or exploited by gambling](#)

[Displaying information on mental health, alcohol and drug services](#)

## Sufficient knowledge to tackle risks associated with gambling

- [Staff alcohol intervention training](#)

## Intervention to protect vulnerable persons from being harmed or exploited by gambling

- [Interventions for individuals who display anger or aggressive behaviour](#)

## Access

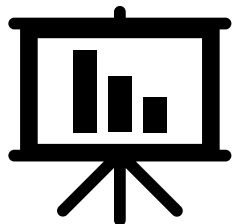
- [Accessing the premises](#)

## Local Area Profile

- [Increase in detail in the local area profile](#)

## Overall policy

- [Overall draft policy](#)
- [Parts of the draft policy that need more information](#)
- [Impact on you, your business or the wider community](#)
- [Draft policy: disagreements, comments, suggestions and impacts](#)







# Introduction and Methodology



- Southampton City Council undertook public consultation on a Draft Gambling Statement of Licensing Principles. This included asking for feedback on five key themes:
  - Protecting children and other vulnerable persons from being harmed or exploited by gambling
  - Sufficient knowledge to tackle risks associated with gambling
  - Intervention to protect vulnerable persons from being harmed or exploited by gambling
  - Access
  - Local Area Profile
- The consultation took place between **05/07/2021 – 26/09/2021**.
- The Statement of Licensing Principles is fully reviewed every three years. This is a legislative requirement.
- The aim of this consultation was to:
  - Communicate clearly to residents and stakeholders the proposed Statement of Licensing Principles Consultation.
  - Ensure any resident, business or stakeholder who wished to comment on the proposals had the opportunity to do so, enabling them to raise any impacts the proposals may have.
  - Allow participants to propose alternative suggestions for consideration which they feel could achieve the objective in a different way.
- This report summarises the aims, principles, methodology and results of the public consultation. It provides a summary of the consultation responses both for the consideration of decision makers and any interested individuals and stakeholders.
- It is important to be mindful that a consultation is not a vote, it is an opportunity for stakeholders to express their views, concerns and alternatives to a proposal. This report outlines in detail the representations made during the consultation period so that decision makers can consider what has been said alongside other information.



Southampton City Council is committed to consultations of the highest standard, which are meaningful and comply with *The Gunning Principles (considered to be the legal standard for consultations)*:

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1. Proposals are still at a formative stage (a final decision has not yet been made)
2. There is sufficient information put forward in the proposals to allow 'intelligent consideration'
3. There is adequate time for consideration and response
4. Conscientious consideration must be given to the consultation responses before a decision is made



New Conversations 2.0  
LGA guide to engagement



## Rules: The Gunning Principles

They were coined by Stephen Sedley QC in a court case in 1985 relating to a school closure consultation (R v London Borough of Brent ex parte Gunning). Prior to this, very little consideration had been given to the laws of consultation. Sedley defined that a consultation is only legitimate when these four principles are met:

- 1. proposals are still at a formative stage**  
A final decision has not yet been made, or predetermined, by the decision makers
- 2. there is sufficient information to give 'intelligent consideration'**  
The information provided must relate to the consultation and must be available, accessible, and easily interpretable for consultees to provide an informed response
- 3. there is adequate time for consideration and response**  
There must be sufficient opportunity for consultees to participate in the consultation. There is no set timeframe for consultation,<sup>1</sup> despite the widely accepted twelve-week consultation period, as the length of time given for consultee to respond can vary depending on the subject and extent of impact of the consultation
- 4. 'conscientious consideration' must be given to the consultation responses before a decision is made**  
Decision-makers should be able to provide evidence that they took consultation responses into account

These principles were reinforced in 2001 in the 'Coughlan Case (R v North and East Devon Health Authority ex parte Coughlan<sup>2</sup>)', which involved a health authority closure and confirmed that they applied to all consultations, and then in a Supreme Court case in 2014 (R ex parte Moseley v LB Haringey<sup>3</sup>), which endorsed the legal standing of the four principles. Since then, the Gunning Principles have formed a strong legal foundation from which the legitimacy of public consultations is assessed, and are frequently referred to as a legal basis for judicial review decisions.<sup>4</sup>

<sup>1</sup> In some local authorities, their local voluntary Compact agreement with the third sector may specify the length of time they are required to consult for. However, in many cases, the Compact is either inactive or has been cancelled so the consultation timeframe is open to debate

<sup>2</sup> BAILII, [England and Wales Court of Appeal \(Civil Decision\) Decisions](#), Accessed: 13 December 2016.

<sup>3</sup> BAILII, [United Kingdom Supreme Court](#), Accessed: 13 December 2016

<sup>4</sup> The information used to produce this document has been taken from the Law of Consultation training course provided by The Consultation Institute



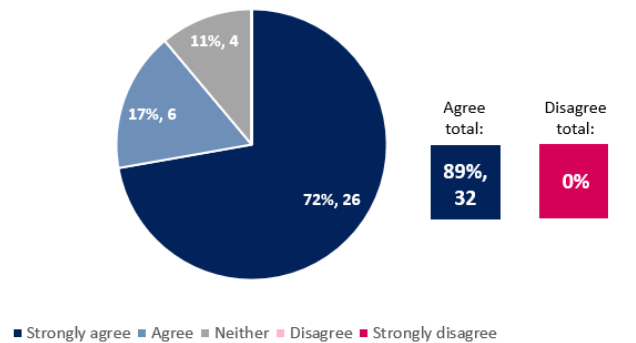
- The agreed approach for this consultation was to use an online questionnaire as the main route for feedback. Questionnaires enable an appropriate amount of explanatory and supporting information to be included in a structured questionnaire, helping to ensure respondents are aware of the background and detail of the proposals.
- Respondents could also write letters or emails to provide feedback on the proposals. Emails or letters from stakeholders that contained consultation feedback were collated and analysed as a part of the overall consultation.
- The consultation was promoted in the following ways by sending emails or letters to:
  - All gambling licence holders
  - Responsible authorities
  - Trade bodies
  - Southampton People's Panel (a panel of over 3700 residents)
  - Published on our website
- All questionnaire results have been analysed and presented in graphs within this report. Respondents were given opportunities throughout the questionnaire to provide written feedback on the proposals. In addition anyone could provide feedback in letters and emails. All written responses and questionnaire comments have been read and then assigned to categories based upon similar sentiment or theme. We have also endeavoured to outline all the unique points and suggestions gathered as a part of the consultation and so there are tables of quotes or summaries of these for each theme of comment.



- It is not the purpose of this report to make recommendations. It is intended to provide an accurate and objective reflection of the feedback received as part of the consultation, which can be used by decision makers as part of the decision making process.
- For each section and proposal, the following are provided:
  - A summary of the **quantitative results** presented in chart form. This is supplied at both city level (all responses received) and by key demographic group (gender and age) to better understand any variation in opinion / sentiment. The quantitative data is useful for understanding whether there is general agreement or disagreement with a proposal / priority.
  - Qualitative analysis of free text comments.** Free text comments provided by respondents have been analysed throughout the questionnaire and grouped by similar sentiment or theme. These **themes** are presented in table form with an indication of how frequently it was mentioned by unique individuals. Individuals may have commented on more than one theme, so could be represented more than once in a table. This qualitative information provides a richer picture of respondent views and may identify specific issues that need to be considered or addressed. A list of **unique points or quotes** within each theme. This provides an added level of granularity and allows more in depth exploration of important themes. Again, this may identify specific issues that need to be considered or addressed.

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## Quantitative analysis



Base respondents: 36

This graph is shown in percentage, followed by respondent count.

## Unique points / quotes

A total of 8 respondents provided a comment on this topic 'If you disagree, or have any comments, impacts, suggestions or alternatives you feel we should consider, please provide details'. The table summarises the unique points and suggestions that were made.

Questions about the proposal (2)
Is there joined up thinking between gambling institutions?
This doesn't specify what the interventions are for. Are they to prevent individuals getting angry or prevent them from gambling more? Also, sometimes being angry at yourself can be socially constructive to gambling less.
Other comments (2)
We do not see any signs of this type of behaviour in the establishment.
I think that there's a link between this kind of behaviour in gambling and domestic abuse
Suggestions (3)
Such interventions should not be restricted to aggressive behaviour; intraversion could equally be a reaction to problem gambling.
This needs to be linked with some clear guidance on what such intervention would involve. It is not appropriate to place front-facing staff in roles where they are facing aggressive behaviour, and they should not be placed at risk in the workplace.
Training should annually renewed and ideally provided by a body other than the employer
Positive comments (1)
This is a good because it will prevent further escalation and the same of others

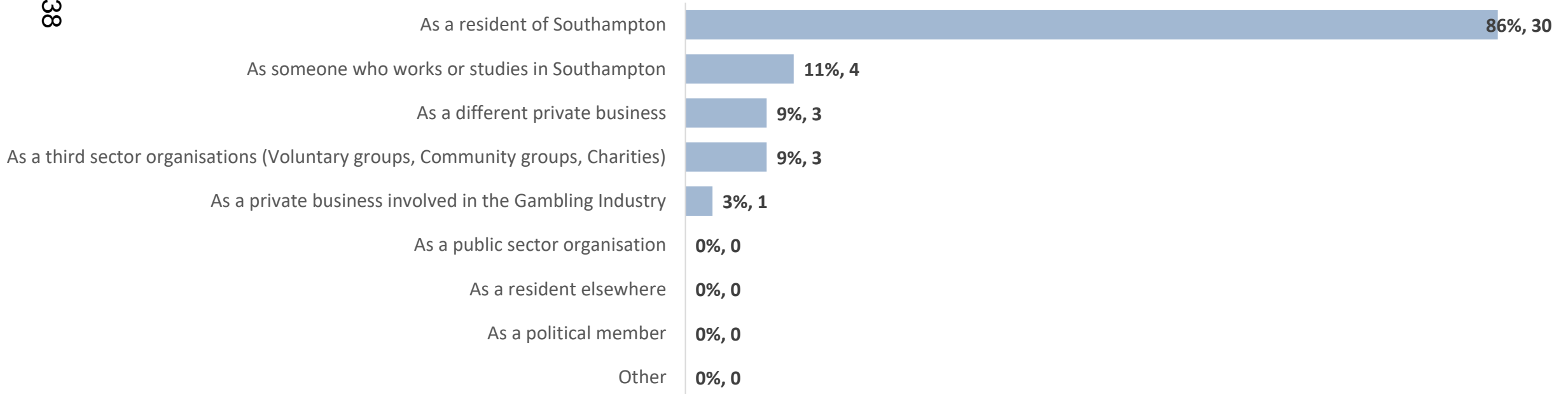


# Who are the respondents?

Overall, there were **38** separate responses to the consultation. Responses came through the following routes:

	Total number of responses
Questionnaire	36
Emails / letters	2
<b>Total</b>	<b>38</b>

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Respondents from the questionnaire were asked which of the following best described their interest in the consultation:





# Protecting children and other vulnerable persons from being harmed or exploited by gambling



The first theme covered within the questionnaire was ‘protecting children and other vulnerable persons from being harmed or exploited by gambling’. As part of this, respondents were asked to provide feedback on each of the points of focus below. The following slides in this section detail the feedback provided.

*The Gambling Act defines “children” as those persons under 16 years of age and “young persons” as those persons aged 16 or 17 years of age.*

*The term “vulnerable persons” is not defined, however the following offers some guidance:*

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- *People who gamble more than they want to*
- *People who gamble beyond their means*
- *People who may not be able to make informed or balanced decisions about gambling due to a lack of mental capacity, potentially due to cognitive or mental health conditions, alcohol, drugs or even some pharmaceutical treatments.*

*We already expect all premises licence holders to have suitable safeguarding policies in respect of children, young persons and vulnerable persons. We already expect premises licence holders to ensure that all staff are trained to recognise safeguarding issues when they arise and act appropriately. Such policies must be kept updated and staff training refreshed at frequent intervals.*

*We are now also proposing that premises are expected to display information on mental health, alcohol and drug services on-site where it is accessible by customers and staff.*





## Key findings:

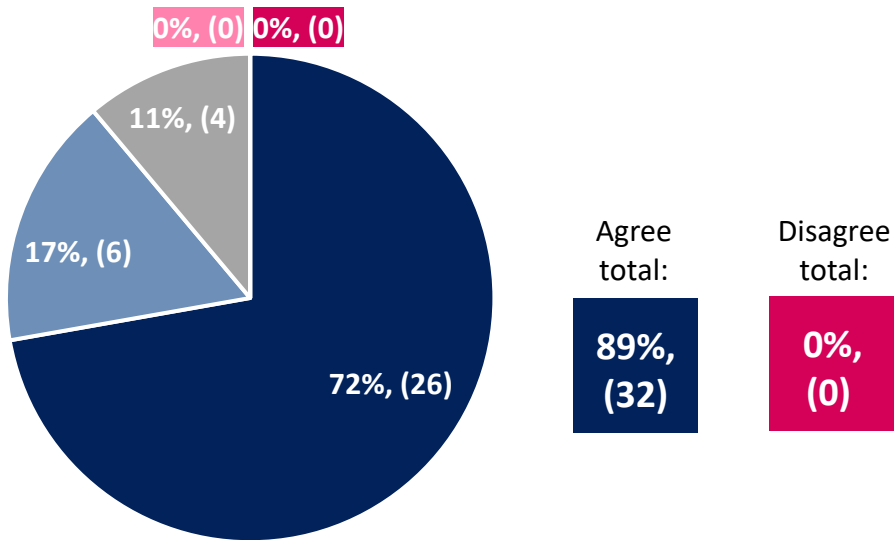
- The majority of respondents (89%) agree with the expectation that premises should display information on mental health, alcohol and drug services on-site.
- No respondents disagreed with this priority

## The detail:

Question: To what extent do you agree or disagree with the expectation that premises display information on mental health, alcohol and drug services on-site?

### Overall:

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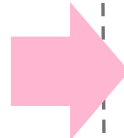
Strongly agree Agree Neither Disagree Strongly disagree

Agree total:

89%, (32)

Disagree total:

0%, (0)



A total of 8 respondents provided a comment on this topic 'If you disagree, or have any comments, impacts, suggestions or alternatives you feel we should consider, please provide details'. The table summarises the unique points and suggestions that were made.

<b>Other comments (2)</b>
<i>Exactly where do you want these policies to be displayed. Do you want posters or proper files on each subject.</i>
<i>Premises should not use advertising and glitz to promote themselves and individual services. Tobacco is sold devoid of such promotions; gambling should be on the same footing.</i>
<b>Positive comments (2)</b>
<i>I totally agree with this. More information that is out there and available is vital</i>
<i>I agree</i>
<b>Suggestions (5)</b>
<i>Probably another information requirement is the probability of winning a gamble. Example is a warning displayed by some spread betting companies that 67% of people lose money when spread betting.</i>
<i>Please check the details are regularly updated and that they work</i>
<i>These should be free and locally available services able to provide adequate long-term support</i>
<i>Information should be displayed outside as well as inside. There should be a minimum size of display, and of the font(s) used. The information should be up to date and accurate.</i>
<i>I feel this simply pays lip-service to a requirement and provided no active support to individuals all whilst placing a completely inessential temptation and cause of mental health distress in their neighbourhood.</i>

Base respondents: 36

This graph is shown in percentage, followed by respondent count.



## Sufficient knowledge to tackle risks associated with gambling



The second theme covered within the questionnaire was ‘sufficient knowledge to tackle risks associated with gambling’. As part of this, respondents were asked to provide feedback on each of the points of focus below. The following slides in this section detail the feedback provided.

*We already expect all customer-facing and management staff in premises licensed under the Gambling Act 2005 to have sufficient knowledge to tackle risks associated with gambling and know how to promote responsible gambling.*

*We are now proposing that staff also receive alcohol intervention training for premises that supply alcohol by retail under the authority of a premises licence granted under the Licensing Act 2003.*



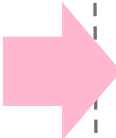
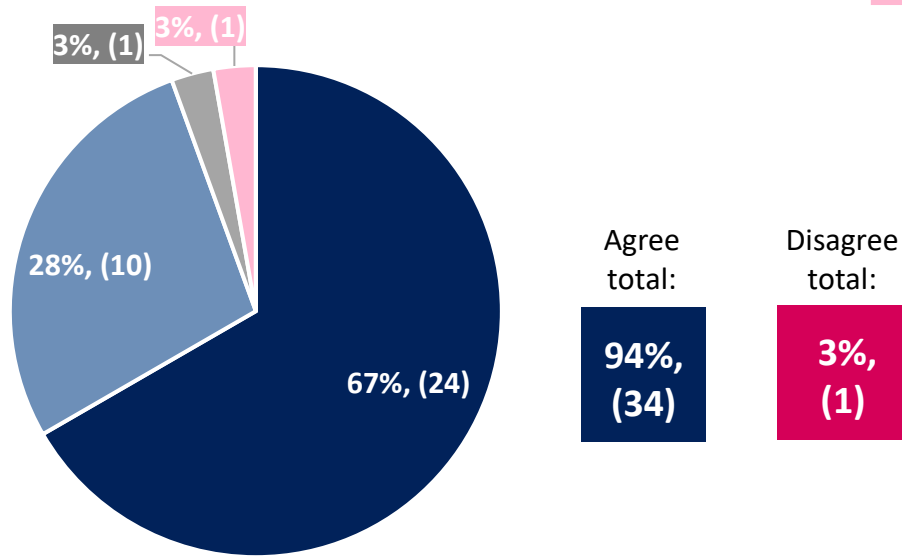
**Key findings:** • The majority of respondents (94%) agreed that staff should receive alcohol intervention training

## The detail:

Question: To what extent do you agree or disagree with the proposal that staff receive alcohol intervention training?

Overall:

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A total of 8 respondents provided a comment on this topic 'If you disagree, or have any comments, impacts, suggestions or alternatives you feel we should consider, please provide details'. The table summarises the unique points and suggestions that were made.

<b>Other comments (1)</b>
wonder how safe it would be in some areas for staff to intervene.
<b>Positive comments (2)</b>
I agree that everyone should be aware when someone has had enough to drink and to inform that person they can not have any more drink and must vacate the premises.
I agree
<b>Suggestions (4)</b>
Training should be given every year and a certificate showing that should be on display. Ideally the intervention training should be supplied by a body other than the employer
if they have a concern, they should raise it with management or the door staff to get support
do not allow premises to supply alcohol and offer gambling at the same time.
Would be great if this training could be a recognised qualification which staff can also benefit from

■ Strongly agree ■ Agree ■ Neither ■ Disagree ■ Strongly disagree

Base respondents: 36

This graph is shown in percentage, followed by respondent count.



# Intervention to protect vulnerable persons from being harmed or exploited by gambling



The third theme covered within the questionnaire was ‘intervention to protect vulnerable persons from being harmed or exploited by gambling’. As part of this, respondents were asked to provide feedback on each of the points of focus below. The following slides in this section detail the feedback provided.

*We already expect all premises offering gambling to have a mechanism in place to identify vulnerable persons and to monitor and intervene where customers may be gambling beyond their means or more than they would like. Intervention may include raising the customer’s awareness of the existence of support services and the availability of a voluntary exclusion scheme. However, intervention may also include directing a counselling session and following that session potentially mandatory exclusion.*

*We are now proposing premises also have in place interventions for individuals who are displaying anger or aggressive behaviour linked to their gambling prior to leaving the premises to reduce the impact of harmful gambling on associates of participants.*



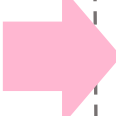
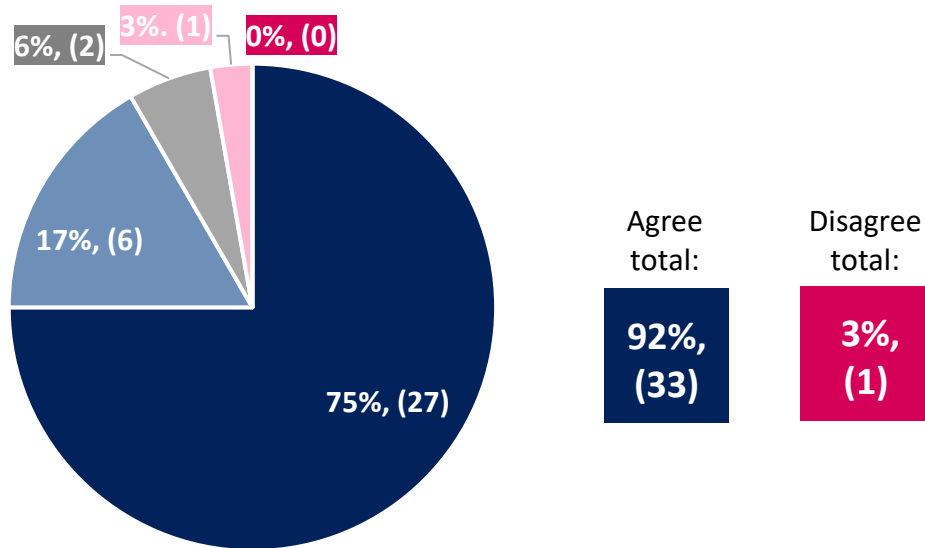
- Key findings:**
- The majority of respondents (92%) agreed that premises should have interventions in place for individuals who display anger or aggressive behaviour linked to their gambling.

## The detail:

Question: To what extent do you agree or disagree with the proposal that premises have in place interventions for individuals who are displaying anger or aggressive behaviour linked to their gambling prior to leaving the premises?

### Overall:

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A total of 8 respondents provided a comment on this topic 'If you disagree, or have any comments, impacts, suggestions or alternatives you feel we should consider, please provide details'. The table summarises the unique points and suggestions that were made.

Questions about the proposal (2)
<i>Is there joined up thinking between gambling institutions?</i>
<i>This doesn't specify what the interventions are for. Are they to prevent individuals getting angry or prevent them from gambling more? Also, sometimes being angry at yourself can be socially constructive to gambling less.</i>
Other comments (2)
<i>We do not see any signs of this type of behaviour in the establishment.</i>
<i>i think that there's a link between this kind of behaviour in gambling and domestic abuse</i>
Suggestions (3)
<i>Such interventions should not be restricted to aggressive behaviour; intraversion could equally be a reaction to problem gambling.</i>
<i>This needs to be linked with some clear guidance on what such intervention would involve. It is not appropriate to place front-facing staff in roles where they are facing aggressive behaviour, and they should not be placed at risk in the workplace.</i>
<i>Training should annually renewed and ideally provided by a body other than the employer</i>
Positive comments (1)
<i>This is a good because it will prevent further escalation and the same of others</i>

■ Strongly agree ■ Agree ■ Neither ■ Disagree ■ Strongly disagree

Base respondents: 36

This graph is shown in percentage, followed by respondent count.



# Access





The fourth theme covered within the questionnaire was 'access'. As part of this, respondents were asked to provide feedback on each of the points of focus below. The following slides in this section detail the feedback provided.

*We are proposing that premises should take such steps as are reasonably practicable to ensure entrances and exits to the premises will enable persons using the premises (including disabled persons) and the facilities to be safe and free from risks to health. While such persons are present on the premises every exit provided for their use shall be unsecured and free from obstruction.*



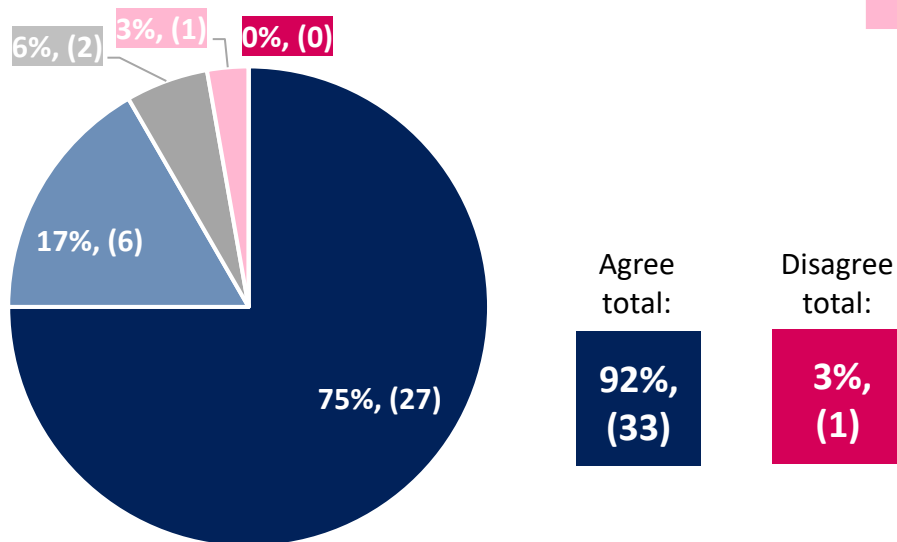
**Key findings:** • The majority of respondents (92%) agreed with the proposal regarding access to the premises.

## The detail:

Question: To what extent do you agree or disagree with the proposal regarding access to the premises?

### Overall:

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Agree total: **92%, (33)**

Disagree total: **3%, (1)**

■ Strongly agree ■ Agree ■ Neither ■ Disagree ■ Strongly disagree

A total of 7 respondents provided a comment on this topic 'If you disagree, or have any comments, impacts, suggestions or alternatives you feel we should consider, please provide details'. The table summarises the unique points and suggestions that were made.

Other comments (2)
<i>Reasonable adjustment for disability access is a legal requirement. Not sure why this needs to be separately stated in this consultation, nor why there should be opportunity to object.</i>
<i>We have two different entrances available, depending on your circumstances. We have a proper disabled access toilet with hand rails and a panic pull cord in place. All main aisles are disable friendly and free from obstruction.</i>
Positive comments (2)
<i>Access for all is good</i>
<i>why would you not? Surely all doors / fire doors need to be useable?</i>
Suggestions (2)
<i>If this is a new requirement in law then premises must be given a decent period of time to achieve this</i>
<i>The wording here is vague. Fire exits that are signposted should be free of obstruction and safe, of course. But premises buildings could have exits that are not accessible to the public or fire exits. These shouldn't need to be included</i>
Should not be encouraging gambling (2)
<i>I am not sure encouraging anyone to gamble is a good idea.</i>
<i>what does this have to do with gambling? Anything making access to gambling harder is probably a good thing...</i>

Base respondents: 36

This graph is shown in percentage, followed by respondent count.



# Local Area Profile



The next theme covered within the questionnaire was 'Local Area Profile'. As part of this, respondents were asked to provide feedback on each of the points of focus below. The following slides in this section detail the feedback provided.

*We are proposing that the Draft Policy contains a significantly more detailed local area profile for applicants and licence holders to consider when making their applications and preparing their risk assessments.*

*The draft policy now contains information and maps on:*

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- *Deprivation (including the Indices of Deprivation)*
- *Housing (including information on homelessness, overcrowded households, population density)*
- *Benefit claimants*
- *Locations of schools*
- *Age ranges of the population*
- *Information on ethnicity*
- *Locations of supported living accommodation for people with a learning disability.*
- *Locations of homeless hostels and alcohol accommodation service shelters*
- *Rates of admissions for alcohol specific conditions*
- *Rate of admissions for poisoning by illicit drugs*
- *Rate of admissions of drug related mental health and behavioural admissions*
- *Proportion of Adults aged 18+ with depression*



## Key findings:

- The majority (81%) of respondents agreed with the proposed increase in detail in the local area profile

A total of 9 respondents provided a comment on this topic 'If you disagree, or have any comments, impacts, suggestions or alternatives you feel we should consider, please provide details'. The table summarises the unique points and suggestions that were made.

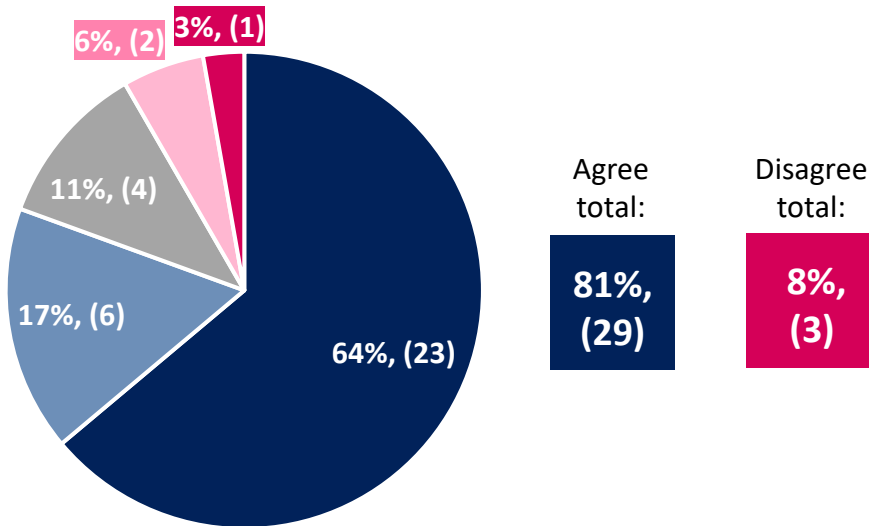
Other comments (2)
<i>it's strange how the slot machine places seem to target area...</i>
<i>caution should be taken in providing deprivation information. This may increase demand for nicer areas and lessen demand for slightly deprived ones. On a macro level, this may increase the economic gap between rich and poor even further. Do we really want areas of deprivation (like slums) or areas with a prominent ethnicity group? Diversity is a good thing for the city.</i>
Positive comments (3)
<i>Very good idea</i>
<i>I strongly agree</i>
<i>More information for the public is a good thing.</i>
Suggestions (6)
<i>I believe you should include data regarding admissions to A&amp;E for alcohol poisoning in local areas. Also levels of domestic abuse and safeguarding</i>
<i>should also include the density of gambling already available in an area.</i>
<i>ideally the policy should aim to reduce over time the number of such premises in areas of higher deprivation</i>
<i>A decision to limit access to gambling opportunities for those most vulnerable, and/or those living in poverty is essential.</i>
<i>All of the above information is used to profile neighbourhoods and identify those with the greatest vulnerability to gambling. Without firm assurances that this data will be used to ensure gambling locations will not be situated in struggling neighbourhoods, this increases the likelihood vulnerable individuals will be exploited.</i>
<i>Provision of such information seems pointless without the expectation that applicants must respond to it and justify their application. It would help to grade the various performance indicators so that areas where additional opportunities to gamble would be toxic can readily be identified, and applications discouraged or discounted accordingly.</i>

## The detail:

Question: To what extent do you agree or disagree with the proposed increase in detail in the local area profile?

### Overall:

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Agree total:  
**81%, (29)**

Disagree total:  
**8%, (3)**

■ Strongly agree ■ Agree ■ Neither ■ Disagree ■ Strongly disagree

Base respondents: 36

This graph is shown in percentage, followed by respondent count.



## Overall policy



# Overall Draft Policy

Have you read the proposed draft policy?

25%,  
(9)

Yes, all of it

44%,  
(16)

Yes, some of it

31%,  
(11)

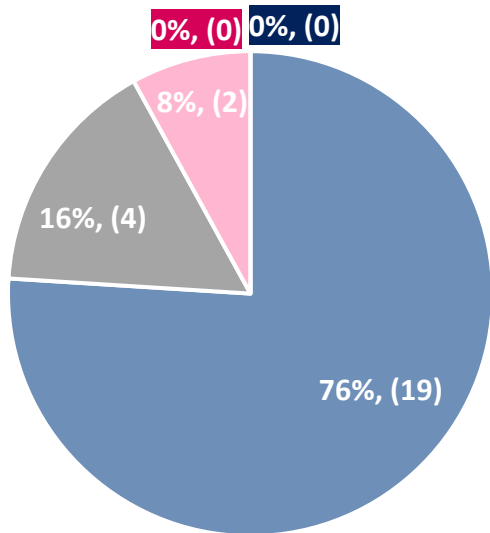
No

If you have read the proposed policy, to what extent do you agree or disagree with the following statements?

*These graphs are shown in percentage, followed by respondent count.*

**The draft policy is easy to understand.**

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■ Strongly agree   ■ Agree   ■ Neither  
■ Disagree   ■ Strongly disagree

Agree total:

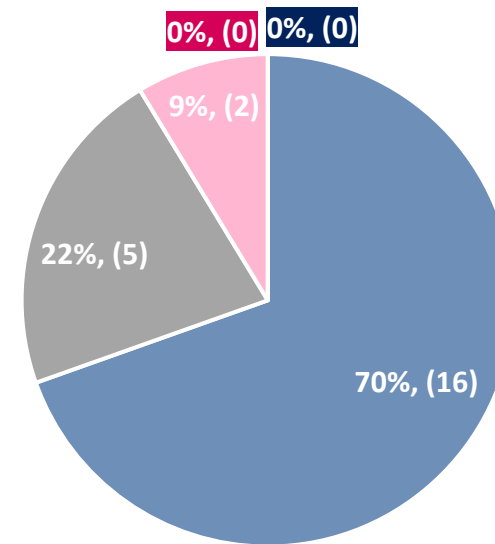
76%,  
19

Disagree total:

8%,  
(2)

Base respondents: 25

**The draft policy provides sufficient information.**



■ Strongly agree   ■ Agree   ■ Neither  
■ Disagree   ■ Strongly disagree

Agree total:

70%,  
(16)

Disagree total:

9%,  
(2)

Base respondents: 23



# Parts of the draft policy that need more information

A total of **7** respondents provided a comment in the survey and **1** email/letter came in on this topic, if there were ‘parts of the draft policy respondents did not understand or felt needed more information.’ The following table summarises the unique points and suggestions that were made.

More information needed (8)
<i>It needs more local data.</i>
<i>9.5.6 item "gamble more than they want to" is a bit vague - how would one assess whether this was the case?</i>
<i>Needs more simple explanations so that it can be simply understood by ALL persons</i>
<i>More detail could be given on how interventions will be made should problems arise.</i>
<i>Paragraph 3.5.6 refers to research undertaken by City of Westminster Council, Manchester City Council and the LGA and then contains a list of bullet points which purports to identify groups at greater risk of harm from gambling. The inclusion of this list without any context whatsoever is misleading, pejorative and does not assist the policy. Accordingly, the list of bullet points and the reference to the research should be removed. If this is not removed then much more context needs to be given and we respectfully submit that the statement of principles is not the relevant vehicle for a discussion with regard to research. Context is very important. For example, the bullet points suggest that people from Asian or Oriental ethnic groups are at greater risk of harm from gambling. It is not that simple. The research (Wardle 2015) states, "where both adults and children of Asian backgrounds were far less likely to gamble than their white British counterparts, yet those that did were more likely to experience problems." Similarly, when discussing matters of deprivation, the same research piece stated, "the evidence relating to household income and gambling harms is mixed showing that generally those of lower income are less likely to gamble but those that do spend a higher proportion of their income on gambling. This was highlighted as a concern given the "likely" lesser ability of lower income households to protect themselves from financial instability (Brown ET AL, 2011). However, as stakeholders noted, there is some unease about labelling all low-income households as vulnerable as income, gambling, debt and money management are likely to interact to shape outcomes." The draft statement of principles must include context. Otherwise, the impression is given that all persons who are young, are of Asian or oriental ethnic groups, who are unemployed or live in deprived areas are presumed to be vulnerable.</i>
<i>Section 11 of Part B explains the Authority's approach to the imposition of conditions on premises licences. This section would be assisted by a clear statement that the mandatory and default conditions are designed to be, and usually are, sufficient to ensure operation that is reasonably consistent with the licensing objectives. Accordingly, additional conditions will only be imposed where, in the circumstances of the case, there is evidence of a risk to the licensing objectives that is not adequately addressed by the mandatory and default conditions or policies, procedures and mitigation measure outlined in the local area risk assessment.</i>
<i>The sentence within paragraph 11.2 that indicates that the Licensing Authority will expect an applicant to offer suggestions as to the way in which the licensing objectives can be met should be re-drafted so that it is understood that this is not expected within the licence application but rather within the risk assessment. As this statement appears in the section relating to conditions on the premises licence, this must be made clear. The inclusion of this sentence in this section suggests that the policies, procedures and mitigation measures may be "converted to" or form the basis of premises licence conditions in the same way as operating schedule statements are treated in applications under Licensing Act 2003. Under Gambling Act 2005, the imposition of conditions should only be considered where the policies, procedures or mitigation measures outlined in the risk assessment do not adequately address the identified risk. The reason for this is that the risk assessment is a dynamic document and (in accordance with SR Code Provision 10.1.2) must be reviewed if there is a significant change in local circumstances. As risks change, or new risks are identified, the policies, procedures and mitigation measures to address those identified risks may be changed very quickly. However, if the mitigation measures are the subject of premises licence conditions then an application for variation of the premises licence will be required to change these conditions. This could delay changes and would cause unnecessary expense and administration for operators.</i>
<i>Paragraph 17.1 refers to the ability of the Licensing Authority to impose conditions on the number of betting machines an operator proposes to offer. This paragraph should be re-drafted so that there is a clear differentiation is made between the Authority's powers to limit the numbers of betting machines and gaming machines. This paragraph should be clear that whilst the Licensing Authority has the ability to condition the number of betting machines, the holder of a betting premises licence may make available up to four category B, C or D machines available for use. This right to four gaming machines cannot be fettered by condition.</i>
Other suggestions (1)
<i>The document requires proof reading as there are a number of errors in it.</i>





## Key findings:

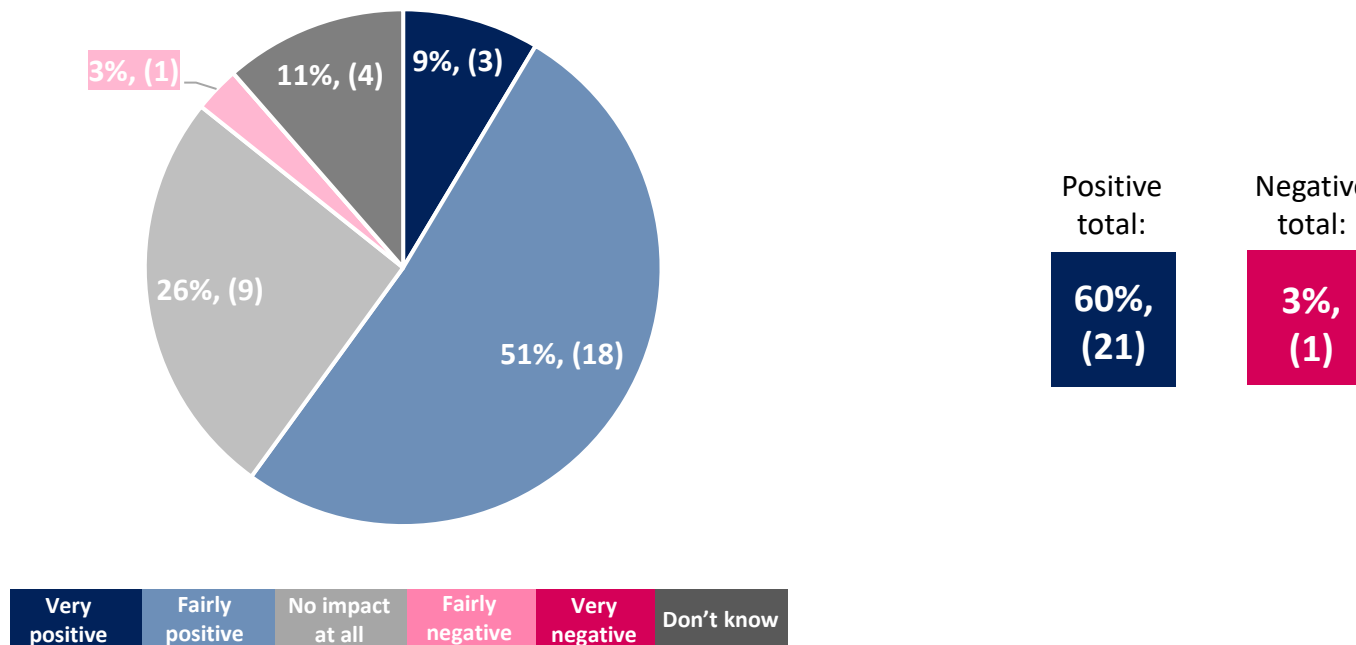
- The majority of respondents (60%) highlighted that if the draft policy was to be implemented, it would have a positive impact on themselves, their business or the wider community.
- Just over a quarter of respondents (26%) selected that if the draft policy was to be implemented, it would have no impact at all on them, their business or the wider community.

## The detail:

Question: If the draft policy was to be implemented, what impact do you feel this may have on you, your business or the wider community?

Overall:

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Base respondents: 35

This graph is shown in percentage, followed by respondent count.



A total of **6** respondents provided a comment in the survey and **1** email/letter came in on this topic, if respondents ‘disagreed with anything about the draft policy or had any comments, impacts, suggestions or alternatives they felt we should consider.’ The following table summarises the unique points and suggestions that were made.

<b>Other comments (4)</b>
<i>I have NEVER gambled and I drink very little. I am retired and thus dont own any business which it would effect</i>
<i>Not to sure if I have the expertise to make a proper judgement. My personal experience is working in the motor trade for about 25 years.</i>
<i>Gambling does not affect me personally, and I don't know how much impact it has on the local area, but I have heard a lot on the radio about the problems so many more people have developed that I feel we have to put as much in place as possible to help stop problems developing.</i>
<i>I think it would make those who use illegal means of gambling less public.</i>
<b>Suggestions (2)</b>
<i>I would hope that draft policy is distributed as widely as possible to those who have the experience.</i>
<i>Just that this may require more policing that is not available and is very much linked into wider public health issues that may be effected positively or negatively by the policy</i>
<b>Negative comments (3)</b>
<i>The council is neither bold nor ambitious enough to declare gambling premises as broadly a negative addition to our neighbourhoods in Southampton. Whilst it claims to better support individuals, it ultimately facilitates the growth of a distateful industry that exploits the vulnerable for finacial gain. Gambling locations are not part of healthy neighbourhoods. This policy does not go anywhere near far enough to halt the profusion of these premises in the city which contribute positively to the councils coffers but have an extremely negative impact on our communities.</i>
<i>Fed up with antisocial behaviour and gatherings outside of arcades / some bookmakers in the city.</i>
<i>Within paragraph 9.5.14, there is a paragraph requiring that where under 18's are loitering outside a premises, steps should be taken by the premises licence holder (although the word "holder" is missing) to discourage them from loitering there. This is not a matter of responsibility for a premises licence holder who has no power to "move on" persons loitering and this cannot be an expectation of the premises licence holder.</i>
<b>Positive comments about the draft consultation (2)</b>
<i>Having had experience of preparing and reading draft plans, then revised plans, you can get bogged down in jargon. But I got the salient points and felt confident enough to be able to comment.</i>
<i>On behalf of the [anonymised], we thank you for the opportunity to comment on your draft statement of principles [...] We will work with you to ensure that its members' operation of its premises will operate in accordance with the licensing objectives.</i>

### OFFICER RESPONSES TO CONSULTATION

#### PROTECTING CHILDREN AND VULNERABLE PEOPLE

ISSUE RAISED	COMMENT
Where should the display on mental health be and what will the contents be	This will be left to the discretion of the business and advice can be sought from the licensing team, premises already display similar material signposting help for problem gamblers.

#### ALCOHOL INTERVENTION TRAINING

ISSUE RAISED	COMMENT
Questions how safe it will be for staff to intervene	The training is about early intervention and will complement other training already in place.

#### AGGRESSIVE BEHAVIOUR INTERVENTION PRIOR TO LEAVING

ISSUE RAISED	COMMENT
Need clear guidance on what this intervention is	The purpose is to intervene and try to calm an individual prior to leaving. A policy from the premises on talking to such individuals and signposting the various elements of guidance other areas of this policy recommends premises adopt, such as problem gambling.

#### ACCESS

	This section is about ensuring all facilities, not just exits are accessible by all.
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#### LOCAL AREA PROFILE

	<u>Each premises has to conduct a risk assessment based on the locality. The local area profile provides the data for premises to use when considering the risk. This applies to current premises and any new applications. This will place requirements on applicants and licence holders to ensure appropriate mitigation is in place to reduce the identified risks.</u>
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#### OTHER COMMENTS

Suggestion to display the probability of winning a gamble	This will vary dependant on the type of premises and the type of gambling on offer. The Gambling Commission have not made it a mandatory condition. Machines already hold this information. Conditions should be imposed when it is proven necessary to support the licensing objectives.
Inclusion of research on vulnerable groups	The document simply states the research identified these groups as at 'greater' risk. The purpose is to highlight the potential for risk to allow the

should be either removed or more context added	operator to take appropriate measures. A more detailed breakdown of the research is not required at this level.
Section 11 on conditions to make it clear mandatory conditions are normally sufficient	New para 11.1 added to policy covering this.
11.2 (now 11.3) questions if this is linked to risk assessment or application	This section is on conditions and remains appropriate to this section. This section explains the process that will be adopted should conditions be necessary and when it is lawful to add conditions to a licence. The risk assessment is different and is a dynamic document as the author suggests.
17.1 should include entitlement to 4 gaming machines	17.1 amended to reflect this
9.5.14 the licence holder has no power to move people on	Also pointed out missing words, corrected. Agree they have no power but they should be taking steps to discourage such gatherings, this may include asking for police attendance at particular times.

### Changes to consulted GA05 SLP

New 1.3 comment about online gambling

*1.3 Various reports identify an increase in online gambling and the impact this has on our communities. The Licensing Authority recognises this but understands the remit for local authorities does not include online gambling but will take the impacts into consideration.*

Updated Section 2 to reflect the situation as of 26/10/21

*2.0 Introduction*

*2.1 Southampton City is the south coast's regional capital with a population of over 259,000 in an area of 50 square km. Southampton City is the gateway to a wide range of world-class features from the Solent with its marine leisure opportunities to the New Forest National Park. The city is home to two universities, the University of Southampton and Southampton Solent University, with around 43,000 higher education students.*

*2.2 Southampton has a rich heritage, with a famous seafaring history as an important Roman port. The Old Town is surrounded by a stretch of medieval walls. Southampton's sixty scheduled monuments include the town walls, numerous medieval vaults and cellars, the Tudor House Museum and the Roman remains at Bitterne Manor.*

*2.3 Southampton is the cruise capital of northern Europe with 2m passengers passing through the port annually. The Port of Southampton is the UK's number one export port and is the country's leading port for automotive trade.*

*The Council's development plan (including the City Centre Action Plan) sets out proposals for major growth in the city centre, including for residential, leisure, retail, and office uses. Growth will be designed to enhance the city centre as a distinctive place. The Council is currently preparing a masterplan for the Mayflower Quarter which provides a major opportunity for growth in the west of the city centre, linking the Central Station, main shopping area and waterfront. Development schemes currently being progressed include the Leisure World site (within the Mayflower Quarter) and Bargate site (in the heart of the city centre and the ex Toys R Us site).*

*2.4 The Leisure World development is estimated to create 1,000 jobs over the construction and beyond as a result of the completed development. The development will include a cinema, casino, food and beverage, accommodation and offices. The development will be phased within a five year construction period.*

*2.5 The Southampton Economic Growth Strategy sets out a comprehensive plan to boost the city's economy over the next decade through a number of key interventions, including:*

- *consolidating our place-making credentials from the Green City Charter and becoming recognised as a Child Friendly City, to collaborating across the Solent region to secure Freeport status, and competing to win the 2025 City of Culture bid;*
- *utilising data, technology and networks to improve the city's 'smart' capabilities that can help deliver on our Net Zero, Wellbeing and a host of other socio-economic priorities; and*
- *improving our readiness for increased automation by supporting businesses in digital adoption and the local workforce with the requisite skills, 'know-how' and versatility to compete for jobs and boost local productivity.*

*2.6 In June 2018 gambling facilities in the city included three casinos (two currently operating), four bingo clubs, 36 betting offices, 15 amusement centres, one betting track, and 129 premises licensed for the supply of alcohol for consumption on the premises which have gaming machines installed.*

*2.7 A map of the Southampton area is attached as Appendix A.*

#### *9.5.6 New para on problem gamblers*

*The governments 'Gambling-related harms evidence review' updated on 30th September 2021 estimates 0.5% of the population reached the threshold to be considered problem gamblers and 3.8% of the population were considered as 'at risk gamblers'. People identified as problem gamblers are more typically male and in younger age groups. The socio-demographic profile of gamblers appears to change as gambling risk increases, with harmful gambling associated with people who are unemployed and among people living in more deprived areas.*

*and homelessness changed to homeless*

#### *9.5.14 Grammar correction to include the words 'holder to'*

#### *New para 11.1*

*The mandatory and default conditions are designed to be sufficient to ensure an operation is reasonably consistent with the licensing objectives. Accordingly, additional conditions will only be imposed where, in the circumstances of the case, there is evidence of a risk to the licensing objectives that is not adequately addressed by the mandatory and default conditions or policies, procedures and mitigation measure outlined in the local area risk assessment.*

*17.1 additional sentence explaining the limit can be applied to betting machines and is in addition to the four gaming machines allowed in the licence.*

#### *32 LSOA explanation*

*The following maps are broken down into LSOAs (Lower-layer Super Output Areas), which are small areas designed to be of a similar population size, with an average of approximately 1,500 residents or 650 households. There are 32,844 Lower-layer Super Output Areas (LSOAs) in England and 158 in Southampton.*

# Agenda Item 10

Appendix 5

<b>DECISION-MAKER:</b>	LICENSING COMMITTEE
	COUNCIL
<b>SUBJECT:</b>	TRIENNIAL REVIEW OF THE GAMBLING ACT 2005 STATEMENT OF LICENSING PRINCIPLES
<b>DATE OF DECISION:</b>	3 <sup>rd</sup> November 2021 (Licensing Committee) 17 <sup>th</sup> November 2021 (Council)
<b>REPORT OF:</b>	<b>Executive Director Communities, Culture and Homes</b>

<b><u>CONTACT DETAILS</u></b>			
<b>Executive Director</b>	<b>Title</b>	Communities, Culture and Homes	
	<b>Name:</b>	<b>Mary D’Arcy</b>	Tel: 023 8083 4611
	<b>E-mail</b>	<b>mary.d’arcy@southampton.gov.uk</b>	
<b>Author:</b>	<b>Title</b>	<b>Licensing manager</b>	
	<b>Name:</b>	<b>Phil Bates</b>	Tel: 023 8083 3523
	<b>E-mail</b>	<b>Phil.bates@southampton.gov.uk</b>	

<b>STATEMENT OF CONFIDENTIALITY</b>	
N/A	
<b>BRIEF SUMMARY</b>	
Section 349 of the Gambling Act 2005 requires the City Council, as licensing authority, to prepare and publish a statement of licensing principles (SLP) that it proposes to apply in exercising its functions under the Act. The Council adopted its first policy from January 2007. This policy must be reviewed at least every three years. The Gambling Commission require SLPs to be adopted by 31st January 2022.	
<b>RECOMMENDATIONS:</b>	
(i)	<u>Licensing Committee</u> That the Committee considers the draft Statement of Licensing Policy that went out to consultation as at appendix 1, the revisions made to it as at appendix 2 (as well as other appendices to the report) and recommend its adoption to Full Council.
(ii)	<u>Council</u> That Council with effect from 31 <sup>st</sup> January 2022 adopts the revised Statement of Licensing Policy as attached at Appendix 2 and subject to any amendment that may be made by the Licensing Committee (if appropriate).
<b>REASONS FOR REPORT RECOMMENDATIONS</b>	
1.	The Council has a statutory obligation to adopt, review and maintain a Statement of Licensing Principles (policy) in relation to the functions allocated to it under the Act.
<b>ALTERNATIVE OPTIONS CONSIDERED AND REJECTED</b>	

2.	Not applicable, the Council is required to have a SLP by law.
<b>DETAIL (Including consultation carried out)</b>	
3.	Section 349 of the Act requires each licensing authority to prepare and publish a statement of principles that they propose to apply in exercising their functions under the Act.
4.	The Act provides for three categories of licence:- (a) Operating licences; (b) Personal licences; and (c) Premises licences
5.	The Gambling Commission issues operating licences and personal licences; and licensing authorities issue premises licences. This has the effect of placing on line gambling under the remit of the Gambling Commission, not the local authority.
6.	The main functions of licensing authorities under the Act are as follows: - <ul style="list-style-type: none"> <li>• Licensing premises for gambling activities</li> <li>• Considering notices given for the temporary use of premises for gambling</li> <li>• Granting permits for gaming and gaming machines in clubs and miners' welfare institutes</li> <li>• Regulating gaming and gaming machines in alcohol licensed premises</li> <li>• Granting permits to family entertainment centres for the use of certain lower stake gaming machines</li> <li>• Granting permits for prize gaming</li> <li>• Considering occasional use notices for betting at tracks</li> <li>• Registering small societies' lotteries</li> </ul>
7.	In May 2021 the Gambling Commission issued revised detailed guidance to licensing authorities on the manner in which they are to exercise their functions under the Act, and in particular, the principles they should apply in exercising their functions.
8.	From April 2016 the Gambling Commission has required operators to identify risks to the licensing objectives associated with premises, its operation and the location in which it is sited. Operators must produce a risk assessment for each premises – setting out mitigation in place or planned to be put in place to reduce risk to the licensing objectives. These requirements are set out within the Commission's Licensing Conditions and Codes of Practice ("LCCP").
9.	Failure to produce a premises risk assessment amounts to a breach of the operator's licence and could result in revocation of that licence. The need to produce a risk assessment means that operators should pay close attention to local risks or concerns identified by the Licensing Authority in its SLP document. The impact of these changes is an increased importance of the SLP.
10.	The vast majority of the SLP is prescriptive or flows from statutory guidance which is expected to be included in the document unless there is very good reason not to do so. The Council also has the benefit of Leading Counsel's



	opinion on a previous draft document to ensure it meets the statutory requirements.
11.	The City Council undertook consultation on the SLP between 5th July 2021 and 27th September 2021 in accordance with the Act and Regulations as well as the Council's own consultation requirements. A report summarising the responses is attached as appendix 2.
12.	Officers have provided comments on the consultation responses and this is attached to the report at appendix 3
13.	Minor amendments have been made to the original document consulted upon in light of comments from members of the licensing committee when they approved the document for consultation and from comments in the consultation responses. None of these amend the policy but provide more information that will assist in the licensing function. A list of these amendments is attached as appendix 4
<b>RESOURCE IMPLICATIONS</b>	
<b><u>Capital/Revenue</u></b>	
14.	N/A
<b><u>Property/Other</u></b>	
15.	N/A
<b>LEGAL IMPLICATIONS</b>	
<b><u>Statutory power to undertake proposals in the report:</u></b>	
16.	Section 349 of the Gambling Act 2005.
<b><u>Other Legal Implications:</u></b>	
17.	The SLP sets out the factors which the Licensing Authority shall take into account, along with relevant statutory guidance, the Gambling Act 2005 and Regulations made thereunder when performing its licensing functions. It is important to note and reiterate that the Licensing Authority is unable to consider issues relating to morality or demand when determining premises licence applications.
18.	Public authorities, under the Equality Act 2010, have a legal obligation to have due regard to the need to eliminate unlawful discrimination, harassment and victimisation; to advance equality of opportunity; and to foster good relations, between persons with different protected characteristics. The protected characteristics are age, disability, gender reassignment, pregnancy and maternity, race, religion or belief, sex, and sexual orientation. An Equality Impact Assessment has not been carried out in this instance as the risks associated with the publication of this document on this duty are considered to be low.
<b>RISK MANAGEMENT IMPLICATIONS</b>	
19.	Failure to properly consult or adopt such a policy will leave decisions by the authority at risk of challenge. Failure to adopt the SLP leaves the authority unable to perform its statutory functions and therefore the risk is high in this regard.
<b>POLICY FRAMEWORK IMPLICATIONS</b>	

20.	The Gambling Act policy is one of the policy framework documents that is required to be considered and adopted by full Council on a triennial basis.
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<b>KEY DECISION?</b>	<b>No</b>
<b>WARDS/COMMUNITIES AFFECTED:</b>	All
<u>SUPPORTING DOCUMENTATION</u>	
<b>Appendices</b>	
1.	Statement of Licensing Principles 2022 to 2025 (SLP)
2.	Report summarising the consultation responses
3.	Officers' comments on responses
4.	List of amendments to the consulted copy of the SLP

**Documents In Members' Rooms**

1.	
2.	

**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>Yes</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>No</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>
1.	
2.	



### Equality and Safety Impact Assessment

The **Public Sector Equality Duty** (Section 149 of the Equality Act) requires public bodies to have due regard to the need to eliminate discrimination, advance equality of opportunity, and foster good relations between different people carrying out their activities.

The Equality Duty supports good decision making – it encourages public bodies to be more efficient and effective by understanding how different people will be affected by their activities, so that their policies and services are appropriate and accessible to all and meet different people’s needs. The Council’s Equality and Safety Impact Assessment (ESIA) includes an assessment of the community safety impact assessment to comply with Section 17 of the Crime and Disorder Act and will enable the Council to better understand the potential impact of proposals and consider mitigating action.

<b>Name or Brief Description of Proposal</b>	GAMBLING ACT STATEMENT OF LICENSING PRINCIPLES
<b>Brief Service Profile (including number of customers)</b>	
<p>The Licensing Authority will:</p> <ul style="list-style-type: none"> <li>• Be responsible for the licensing of premises where gambling activities are to take place by issuing Premises Licences</li> <li>• Issue Provisional Statements</li> <li>• Regulate members’ clubs and miners’ welfare institutes who wish to undertake certain gaming activities via issuing Club Gaming Permits and/or Club Machine Permits</li> <li>• Issue Club Machine Permits to Commercial Clubs</li> <li>• Grant permits for the use of certain lower stake gaming machines at unlicensed Family Entertainment Centres</li> <li>• Receive notifications from alcohol licensed premises (under the Licensing Act 2003) of the use of two or fewer gaming machines</li> <li>• Issue Licensed Premises Gaming Machine Permits for premises licensed to sell/supply alcohol for consumption on the licensed premises, under the Licensing Act 2003, where more than two machines are required</li> <li>• Register small society lotteries below prescribed thresholds</li> <li>• Issue Prize Gaming Permits</li> <li>• Receive and endorse Temporary Use Notices</li> <li>• Receive Occasional Use Notices</li> </ul>	

- Provide information to the Gambling Commission regarding details of licences issued (see section above on information exchange)
- Maintain registers of the permits and licences that are issued under these functions

The Licensing Authority will not be involved in licensing remote gambling. This will fall to the Gambling Commission via Operator Licences.

Within Southampton, the functions of the licensing authority under the Gambling Act 2005 are below (numbers of licences/permits etc):-

- Licensing premises for gambling activities (44)
- Considering notices given for the temporary use of premises for gambling (nil)
- Granting permits for gaming and gaming machines in clubs and miners' welfare institutes (10)
- Regulating gaming and gaming machines in alcohol licensed premises (98)
- Granting permits to family entertainment centres for the use of certain lower stake gaming machines (5)
- Granting permits for prize gaming (nil)
- Considering occasional use notices for betting at tracks (nil)
- Registering small societies' lotteries (10 in the last year)

### **Summary of Impact and Issues**

The policy explains how the licensing authority will deal with applications under its remit in line with the Gambling Act 2005 and what considerations applicants need to consider when making applications and carrying out risk assessments. This includes how vulnerable groups should be protected as well as included in any activity.

The emphasis is strong on the protection of the vulnerable but at the same time is not a bar to these groups joining in and enjoying safely such activities. The Gambling Act defines "children" as those persons under 16 years of age and "young persons" as those persons aged 16 or 17 years of age.

The term "vulnerable persons" is not defined, however the following offers some guidance:

- People who gamble more than they want to
- People who gamble beyond their means
- People who may not be able to make informed or balanced

decisions about gambling due to a lack of mental capacity, potentially due to cognitive or mental health conditions, , alcohol, drugs or even some pharmaceutical treatments.

In Southampton we would also consider the following people to be vulnerable:

- Those with an inclination to gamble more than they want to or beyond their means
- Those who are dependent for a source of income on somebody who gambles more than they want to or beyond their means
- Those who are employed by gambling operators and have regular contact with gambling
- Those aged 16-29.
- Habitual players of gaming machines

Additionally, research by City of Westminster Council, Manchester City Council and the Local government Association identified the groups as at greater risk of harm from gambling. This list is not exhaustive but includes the following:

- Young people
- People from Asian or Oriental ethnic groups,
- People who are unemployed
- People in deprived areas
- People who are homeless
- People who are migrants
- People on probation
- People under the influence of drugs and/or alcohol
- People with some mental health, cognitive or neurodiverse conditions
- People with a history of problematic gambling

The governments 'Gambling-related harms evidence review' updated on 30<sup>th</sup> September 2021 estimates 0.5% of the population reached the threshold to be considered problem gamblers and 3.8% of the population were considered as 'at risk gamblers'. People identified as problem gamblers are more typically male and in younger age groups. The socio-demographic profile of gamblers appears to change as gambling risk increases, with harmful gambling associated with people who are unemployed and among people living in more deprived areas.

The amendments to the policy ensure that the document is up to date and reflects revised guidance issued by the Gambling Commission in May 2021.

#### **Potential Positive Impacts**

This policy provides strong safeguards whilst not being prohibitive of businesses flourishing and allows the public from all sections of our community to participate in gambling activities in a safe environment.

<b>Responsible Service Manager</b>	Phil Bates
<b>Date</b>	18 <sup>th</sup> October 2021
<b>Approved by Senior Manager</b>	Mary D'Arcy
<b>Date</b>	25.10.21

### Potential Impact

<b>Impact Assessment</b>	<b>Details of Impact</b>	<b>Possible Solutions &amp; Mitigating Actions</b>
<b>Age</b>	<p>The young are identified as a vulnerable group for gambling and policy places measures to protect them.</p> <p>People identified as problem gamblers are more typically male and in younger age groups.</p>	<p>There are measures within the policy requiring licence holders to undertake risk assessments.</p> <p>There are further measures set out in the policy. These include:</p> <p>All premises licence holders are expected to have suitable safeguarding policies in respect of children, young persons and vulnerable persons.</p> <p>All premises licence holders are expected to ensure that all staff are trained to recognise safeguarding issues when they arise and act appropriately.</p> <p>All premises licence holders are expected to display information on mental health, alcohol and drug services on-site where it is accessible by customers and staff.</p> <p>Locations for gambling premises which may pose</p>

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
		<p>problems, including those in close proximity to premises frequented by children or other vulnerable persons, will be considered on its merits and whether there are adequate measures to restrict access to children, protect vulnerable persons and prevent crime and disorder.</p> <p>Premises should ensure that appropriate systems and procedures are in place to ensure the exclusion of those persons who have requested to be excluded as well as under 18s (where appropriate).</p> <p>For bingo and Family Entertainment Centres premises, it is a mandatory condition that under-18s should not have access to certain areas.</p> <p>In Adult Gaming Centres (AGCs), the Licensing Authority will specifically have regard to the need to protect children and vulnerable persons from harm or being exploited by gambling and will expect the applicant to satisfy the authority that there will be sufficient measures to ensure, for example, that persons under the age of 18 do not have access to the</p>

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
		<p>premises.</p> <p>In regard to Permits, Temporary and Occasional Use Notices, the Licensing Authority will expect the applicant to show that there are policies and procedures in place to protect children from harm.</p>
<b>Disability</b>	<p>Those with mental capacity needs may have difficulty understanding signage and well-being information available at premises.</p>	<p>In order to protect both staff and those who are under the influence of alcohol or drugs (thereby potentially distorting their ability to make rational decisions), those persons who appear to be in such a state must be immediately excluded from the premises. Signage should be prominently displayed to indicate this. With reference to those persons with mental capacity needs, premises would be well-advised to consult a suitable Mental Health Advisor and formulate a policy to protect this category of vulnerable person from being harmed or exploited by gambling.</p>
<b>Gender Reassignment</b>	No identified impact	N/A
<b>Marriage and Civil Partnership</b>	No identified impact	N/A
<b>Pregnancy and Maternity</b>	No identified impact	N/A



<b>Impact Assessment</b>	<b>Details of Impact</b>	<b>Possible Solutions &amp; Mitigating Actions</b>
<b>Race</b>	Certain ethnicity groups have been identified as at increased risk of harm.	<p>This has been addressed in the policy's requirement for licence holders to undertake risk assessments.</p> <p>Further, each application for a premises licence will be considered on its merits; applicants are expected to show how they will meet licensing objective concerns, including protecting vulnerable persons from being harmed or exploited by gambling.</p>
<b>Religion or Belief</b>	No identified impact	N/A
<b>Sex</b>	Males identified as at greater risk than females to gambling harm.	<p>This has been addressed in the policy's requirement for licence holders to undertake risk assessments.</p> <p>Further, each application for a premises licence will be considered on its merits; applicants are expected to show how they will meet licensing objective concerns, including protecting vulnerable persons from being harmed or exploited by gambling.</p>
<b>Sexual Orientation</b>	No identified impact	N/A
<b>Community Safety</b>	Gambling can be a source of crime and disorder, can be associated with crime and disorder, or be used to support	In the interest of preventing crime and disorder, the policy requires all gambling premises in Southampton

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
	crime.	<p>to have a minimum provision for safe cash-handling and thereby prevent against theft/robbery.</p> <p>The policy sets out the expectation for all premises to have adequate lighting inside and out (appropriate to the premises in question) to ensure against robbery and other covert activity.</p> <p>The policy requires that in addition to the need to consult a local Crime Reduction Officer, the operators of new premises/premises undergoing a refurbishment should also engage with the police's architectural liaison unit at the design stage to ensure crime prevention and detection.</p> <p>Premises are required to have protocols in place to prevent staff or customers becoming a victim of robbery and identify those persons who may be at risk and that the existence of these protocols is well-publicised. We will also outline control measures for tracks, as track operators do not need to hold an operating licence.</p> <p>To ensure the safety of both customers and staff,</p>

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
		sufficient staffing numbers should be in place at all times the premises is open
<b>Poverty</b>	Individuals living in areas of deprivation identified as at greater risk of suffering gambling harms.	<p>This has been addressed in the policy's requirement for licence holders to undertake risk assessments.</p> <p>Further, each application for a premises licence will be considered on its merits; applicants are expected to show how they will meet licensing objective concerns, including protecting vulnerable persons from being harmed or exploited by gambling.</p>
<b>Health &amp; Wellbeing</b>	Gambling addiction identified as a health issue.	<p>The policy has measures for signposting and promoting of appropriate support services for individuals suffering issues</p> <p>We expect all Southampton-based gambling premises to maintain a log of the incidence and handling of problem gambling and share this and other information with the Licensing Team upon request.</p> <p>We will look to work with the trade to ensure inconvenience is minimised while we build up a picture of gambling risks and progress in risk</p>

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
		<p>management.</p> <p>We expect all customer-facing and management staff in premises licensed under the Gambling Act 2005 to have sufficient knowledge to tackle risks associated with gambling and know how to promote responsible gambling.</p> <p>We expect all premises to operate a voluntary exclusion scheme.</p> <p>We expect all premises offering gambling to have a mechanism in place to identify vulnerable persons and to monitor and intervene where customers may be gambling beyond their means or more than they would like.</p> <p>Premises should ensure that vulnerable persons are either excluded from gambling (in the case of those who are under the influence of alcohol or drugs, under voluntary exclusion or have been excluded for whatever other reason) or are under supervision with the possibility of intervention.</p> <p>Advertising should not target 'vulnerable persons'.</p> <p>Premises should not use inducements to gamble</p>

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
		such as free or cut price alcohol or food, to further ensure the safety of both customers and staff and protect vulnerable persons from being harmed or exploited by gambling.
<b>Other Significant Impacts</b>	No identified impact	N/A

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<b>DECISION-MAKER:</b>	COUNCIL		
<b>SUBJECT:</b>	EXECUTIVE BUSINESS REPORT		
<b>DATE OF DECISION:</b>	17 November 2021		
<b>REPORT OF:</b>	LEADER OF THE COUNCIL		
<b><u>CONTACT DETAILS</u></b>			
<b>Author</b>	<b>Name:</b>	Romilly Beard Policy & Strategy Manager	Tel: 023 8083 3310
	<b>E-mail:</b>	romilly.beard@southampton.gov.uk	
<b>Director</b>	<b>Name:</b>	Mike Harris Deputy Chief Executive	Tel: 023 8083 2882
	<b>E-mail:</b>	mike.harris@southampton.gov.uk	

<b>STATEMENT OF CONFIDENTIALITY</b>
None.

<b>BRIEF SUMMARY</b>
This report outlines the Executive Business conducted since October 2021.

<b>RECOMMENDATIONS:</b>
(i) That the report be noted.

<b>REASONS FOR REPORT RECOMMENDATIONS</b>
1. This report is presented in accordance with Part 4 of the Council's Constitution.

<b>ALTERNATIVE OPTIONS CONSIDERED AND REJECTED</b>
2. Not applicable.

<b>DETAIL (Including consultation carried out)</b>
3. This report outlines the activity of the Executive and activities to progress the priorities set out in the Council's Corporate Plan since the date of the last report on 11 October 2021.

	<b>Communities, Culture and Heritage</b>
4.	We are investing over £6m into making the most of the amazing monuments and memorials that tell Southampton's story. The Bargate, Town Walls, Castle Vault and the Weigh House are all part of the programme, along with many other historic sites across the city. We have heritage assets to rival other cities, and this plays a big part of our bid to become UK City of Culture 2025. With the help of Prichard Architecture, we have carried out the most comprehensive condition survey of Southampton City Council's heritage assets since 1993 in line with Historic England guidance, and will be using this investment to repair and conserve many of the monuments in Southampton.

5.	In October we celebrated getting through to the next round of the UK City of Culture 2025 competition. We are up against seven other bids and will find out in March 2022 if we are shortlisted. There are so many transformative opportunities for Sotonians if we win UK City of Culture in May 2022. If we
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	<p>win, we will feel the benefits Hull saw when they won in 2017, plus much more - Hull gained more than 800 jobs, a spectacular crowd-worthy events programme, over six million visitors to the city, a £300m+ boost to their visitor economy with the resulting bustling shops, restaurants, hotels and transport, over 100 schools engaged in their learning programmes, and 56,000 young people took part in City of Culture activities. In the coming months, the Southampton 2025 Trust will be developing the final bid ready for submission in January 2022. The #makeitSO campaign is being rolled out by the bid team and partner organisations, of which I am proud to say the Council is key player, to raise awareness and galvanise audiences behind the bid. In addition, engagement work continues with a wide range of private, charity and public sector stakeholders. Internally within the Council we will be undertaking a mass awareness campaign and providing managers with a toolkit of resources to raise awareness and engagement levels within their teams and also with their local audiences. This is our time - let's #makeitSO.</p>
	<p><b>Our Greener City</b></p>
6.	<p>Millbrook Roundabout Living Wall has been awarded a prestigious gold, Green Apple Award by The Green Organisation. The Southampton City Council, Balfour Beatty and Biotope collaboration is a unique feature at one of the busiest gateways to the city.</p>
7.	<p>I am incredibly pleased to announce that once again, Portswood Rec, Riverside Park and St James' Park have all been recognised as some of the best parks in the UK by the annual Green Flag Awards. During the past 18 months, especially during the lockdowns, our parks and green spaces have played a vital role for people, as a place to relax, exercise and meet friends and family safely. The news that Portswood Rec, Riverside Park, Central Parks and St James's Park have achieved the Green Flag Award is testament to the hard work and dedication of the team that make our green spaces places that everyone can enjoy.</p>
	<p><b>Growth</b></p>
8.	<p>I am pleased to say that the Council has launched a grant scheme to support event organisers in the city in the coming months, helping to boost growth, the economy, and community life as we build back better from COVID-19. Grants of between £250 and £5,000 are available to support up to 50% of the costs of events and festivals that are accessible to the general public. Applications are welcome from non-profit organisations such as voluntary and community groups, social enterprises, faith organisations, schools, PTAs and 'Friends of' groups, as well as for-profit businesses and sole traders (applications will be considered on a case-by-case basis). Priority will be given to residents and organisations/businesses based in the city.</p>
9.	<p>I am also proud to announce that our Gatehouse Apartments partners Grainger, were joined by Councillors and the Executive Director of Place, Kate Martin, to celebrate the success of the 132-home scheme - launched in March this year, the East Street apartment development was fully leased in</p>



	<p>just over three months, eight months ahead of schedule. The pet-friendly development of one and two-bedroom apartments started welcoming its first residents at Easter with the entire complex now fully occupied. Helen Gordon, Grainger's CEO, has confirmed that as a result of in-depth research, Grainger has identified Southampton as one of their 22 'targeted cities' for long-term investment based on demand and growth prospects. Grainger's investment demonstrates the incredibly exciting opportunities for investors and developers in the city.</p>
	<p><b>Wellbeing</b></p>
10.	<p>We have worked closely with educational settings, including universities, to provide guidance and communicate key messages around infection prevention. We worked with University of Southampton Students Union on a joint video featuring Dr Debbie Chase providing advice on vaccinations and safe behaviours. We have also worked with both universities in the city and produced communications assets to support a campaign at the start of the academic year to encourage safe behaviours. Other audiences have been engaged through targeted outreach activities, including a visit by our Community Champions to a supported housing scheme where they explained the importance of regular testing and handed out more than 100 kits. As a council, we have also taken positive action to ensure that as of 11 November, all staff working in a CQC-registered care home are fully vaccinated, and that from this date all new starters will have a vaccination requirement for their roles.</p>
11.	<p>The council is working towards signing up to the Local Authority Declaration on Healthy Weight. The declaration consists of 16 commitments that aim to promote healthy weight across the local area. Because the declaration is a council-wide commitment to promoting the health and wellbeing of the local population, we have now convened a steering group to enable all departments to play a role and ensure that healthy weight is considered in all policy and practice. The steering group will be responsible for progressing the action plan that will achieve sign-up to the declaration and monitor progress against the 16 commitments. This work sits alongside existing projects that help tackle childhood obesity such as the Healthy Early Years Award and Healthy High Five.</p>
	<p><b>A Council that works with and for you</b></p>
12.	<p>Southampton City Council Highways Partnership, with Balfour Beatty, have made it through to the finals in the Europe, Middle East and Africa region for the Outstanding Cooperation and Collaboration category at the World Commerce &amp; Contracting (formerly IACCM) Innovation and Excellence Awards 2021. Recognising the value of mutual and independent goals and open and trusting ways of working, this nomination is a ringing endorsement of our invaluable partnership. The finals will be held on 1 December.</p>
13.	<p>Our staff have also continued to exhibit exemplary standards of work, garnering more awards in recognition of their contributions to our valuable</p>

	services. Neville Tomblin and Nigel Mullan were shortlisted in the Security and Fire Excellence Awards, four Housing staff have received recognition from the Police Head of Investigation Command for their work in bringing domestic violence cases to a satisfactory conclusion, and Potters Court has also received major national recognition as we have been nominated for Homebuilder of the Year in the prestigious UK Housing Awards.
<b>RESOURCE IMPLICATIONS</b>	
<b><u>Capital/Revenue</u></b>	
	None.
<b><u>Property/Other</u></b>	
	None.
<b>LEGAL IMPLICATIONS</b>	
<b><u>Statutory power to undertake proposals in the report:</u></b>	
	As defined in the report appropriate to each section.
<b><u>Other Legal Implications:</u></b>	
	None.
<b>RISK MANAGEMENT IMPLICATIONS</b>	
	None.
<b>POLICY FRAMEWORK IMPLICATIONS</b>	
	None.

<b>KEY DECISION?</b>	No
<b>WARDS/COMMUNITIES AFFECTED:</b>	All
<b><u>SUPPORTING DOCUMENTATION</u></b>	
<b>Appendices</b>	
1.	None
<b>Documents In Members' Rooms</b>	
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>	No
<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>	No
<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.