

Public Document Pack

Cabinet

Tuesday, 17th September, 2024
at 4.30 pm

PLEASE NOTE TIME OF MEETING

Council Chamber, Civic Centre

Members

Leader – Councillor Fielker

Deputy Leader and Cabinet Member for Finance and
Corporate Services – Councillor Letts

Cabinet Member for Economic Development – Councillor
Bogle

Cabinet Member for Environment and Transport -
Councillor Keogh

Cabinet Member for Children and Learning – Councillor
Winning

Cabinet Member for Compliance and Leisure– Councillor
Kataria

Cabinet Member for Communities and Safer City –
Councillor C Lambert

Cabinet Member for Housing Operations – Councillor A
Frampton

Cabinet Member for Adults and Health – Councillor Finn

Cabinet Member for Green City and Net Zero – Councillor
Savage

(QUORUM – 4)

Contacts

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BACKGROUND AND RELEVANT INFORMATION

The Role of the Executive

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

The Forward Plan

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

Implementation of Decisions

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

Mobile Telephones – Please switch your mobile telephones or other IT to silent whilst in the meeting.

Use of Social Media

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

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

Municipal Year Dates (Tuesdays)

2024	2025
25 June	7 January
16 July	28 January
27 August	25 February (Budget)
17 September	25 March
29 October	29 April
26 November	
17 December	

Executive Functions

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

Key Decisions

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

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

Procedure / Public Representations

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

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

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

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

Southampton: Corporate Plan 2022-2030 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

CONDUCT OF MEETING

TERMS OF REFERENCE

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

RULES OF PROCEDURE

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

DISCLOSURE OF INTERESTS

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

DISCLOSABLE PECUNIARY INTERESTS

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

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

(ii) Sponsorship:

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

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

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

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

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

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

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

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

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 4.

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.

AGENDA

1 **APOLOGIES**

To receive any apologies.

2 **DISCLOSURE OF PERSONAL AND PECUNIARY INTERESTS**

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

EXECUTIVE BUSINESS

3 **STATEMENT FROM THE LEADER**

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

Record of the decision making held on 27 August, 2024 attached.

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

There are no matters referred for reconsideration.

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

There are no items for consideration

7 **EXECUTIVE APPOINTMENTS**

To deal with any executive appointments, as required.

ITEMS FOR DECISION BY CABINET

8 **NORTHAM RAIL BRIDGE** □ (Pages 5 - 28)

Report of Cabinet Member for Environment and Transport seeking approval for exemption to procurement to enter into partnership with Network Rail for the Northam Rail Bridge project, detailing latest Council contributions and grant from Department for Transport.

9 SAFEGUARDING PARTNERSHIP REVIEW (Pages 29 - 52)

To consider the report of the Cabinet Member for Adults and health seeking approval for the proposed amalgamation of Southampton Safeguarding Children Partnership (SSCP) and Southampton Safeguarding Adults Board (SSAB) to be incorporated under The Southampton Children and Adults Safeguarding Partnership (SCASP).

10 CORPORATE PERFORMANCE REPORTING (Pages 53 - 68)

To consider the report of the Leader of the Council detailing the performance management process and quarter 1 performance.

11 COMMUNITY SAFETY / REFRESH OF CITY SAFETY STRATEGY (Pages 69 - 80)

To consider the report of the Cabinet Member for Communities and Safer City seeking approval for the Safe City Partnership. The local Community Safety Partnership, 'Southampton Safe City Partnership' (SSCP) has a strategy to prevent and reduce crime, as required by Sections 5-7 Crime and Disorder Act 1998, for 22-27.

12 FREEDOM OF INFORMATION, DATA PROTECTION AND REGULATION OF INVESTIGATORY POWERS ACTS: ANNUAL REVIEW 2023-24 (Pages 81 - 134)

To consider the report of the Director of Legal and Governance detailing the statistical information for the financial year 2023-24 with regard to information governance. This report details statistical information on requests received under the Freedom of Information Act 2000 (FOIA), the Environmental Information Regulations 2004 (EIR), the UK General Data Protection Regulation (GDPR) and the Council's activity under the Regulation of Investigatory Powers Act 2000 (RIPA).

13 ANNUAL COMPLAINTS REPORT 2024 (Pages 135 - 150)

To consider the report of the Cabinet Member for Finances and Resources reporting the Local Government and Social Care Ombudsman / Housing Ombudsman annual letters for the compliant year 2023/24 and update on key learning arising from the Council internal complaints policies.

14 HOUSEHOLD SUPPORT FUND SEPTEMBER 2024 □ (Pages 151 - 160)

To consider the report of the Cabinet Member for Communities and Safer City requesting approval to accept government funding relating to the Household Support Fund.

NOTE: This report is submitted for consideration as a General Exception under paragraph 15 of the Access to Information Procedure Rules in Part 4 of the City Council's Constitution, notice having been given to the Chair of the relevant Scrutiny Panel. The matter requires a decision under this regulation due to its urgency (that it is impracticable to defer the decision until 28 clear days' notice has been given on the Forward Plan). This is due to the timescales given between the Government announcement of funding being made available on 2 September 2024 and the period within which the scheme must be delivered between 1 October 2024 and 31 March 2025.

15 EXCLUSION OF THE PRESS AND PUBLIC - EXEMPT PAPERS INCLUDED IN THE FOLLOWING ITEM

To move that in accordance with the Council's Constitution, specifically the Access to Information Procedure Rules contained within the Constitution, the press and public be excluded from the meeting in respect of any consideration of the exempt appendix to the following Item.

Appendix 1 of this report contains information deemed to be exempt from general publication based on Category 3 of Paragraph 10.4 of the Council's Access to Information Procedure Rules. This includes details of commercial terms which have not yet been agreed between parties and which if disclosed, could put the Council or other parties at a commercial disadvantage.

16 TEMPORARY ACCOMMODATION - LEASE AGREEMENT □ (Pages 161 - 172)

To consider the report of the Leader of the Council detailing the performance management process and quarter 1 performance.

17 EXCLUSION OF THE PRESS AND PUBLIC - EXEMPT PAPERS INCLUDED IN THE FOLLOWING ITEM

To move that in accordance with the Council's Constitution, specifically the Access to Information Procedure Rules contained within the Constitution, the press and public be excluded from the meeting in respect of any consideration of the exempt appendix to the following Item.

Appendix 1 of this report is not for publication by virtue of categories 3 (commercial sensitivity) and 7A (obligation of confidentiality) of paragraph 10.4 of Southampton City Council's ("the Council's") Access to Information Procedure Rules, as contained in the Council's Constitution.

It is not in the public interest to disclose this information as the report contains confidential and commercially sensitive information in relation to one of the Council's suppliers. It would prejudice the Council's ability to operate in a commercial environment and obtain best value in contract negotiations and would prejudice the Council's commercial relationships with third parties if they believed the Council would not honour obligations of confidentiality.

18 TRANSFORMATION UPDATE (SEPTEMBER) □ (Pages 173 - 214)

To consider the report of the Leader detailing progress on the Transformation Programme.

19 EXCLUSION OF THE PRESS AND PUBLIC - EXEMPT PAPERS INCLUDED IN THE FOLLOWING ITEM

To move that in accordance with the Council's Constitution, specifically the Access to Information Procedure Rules contained within the Constitution, the press and public be excluded from the meeting in respect of any consideration of the exempt report to the following Item.

The report is not for publication by virtue of category 3 (Information relating to the financial or business affairs of any particular person (including the Authority holding that

information) and category 7A (obligation of confidentiality) of paragraph 10.4 of Southampton City Council's ("the Council's") Access to Information Procedure Rules, as contained in the Council's Constitution.

It is not in the public interest to disclose this information as the report contains confidential and commercially sensitive information in relation to one of the Council's suppliers. It would prejudice the Council's ability to operate in a commercial environment and obtain best value in contract negotiations and would prejudice the Council's commercial relationships with third parties if they believed the Council would not honour obligations of confidentiality.

20 LEISURE SERVICE □ (Pages 215 - 220)

To consider the report of the Cabinet Member for Compliance and Leisure outlining the future of leisure contracting services.

Monday, 9 September 2024

Director of Legal and Governance

SOUTHAMPTON CITY COUNCIL
EXECUTIVE DECISION MAKING

RECORD OF THE DECISION MAKING HELD ON 27 AUGUST 2024

Present:

Councillor Fielker - Leader of the Council
Councillor Letts - Cabinet Member for Finance and Corporate Services
Councillor Finn - Cabinet Member for Adults and Health
Councillor A Frampton - Cabinet Member for Housing Operations
Councillor C Lambert - Cabinet Member for Communities and Safer City
Councillor Kataria - Cabinet Member for Compliance and Leisure
Councillor Keogh - Cabinet Member for Environment and Transport
Councillor Savage - Cabinet Member for Green City and Net Zero

Apologies: Councillors Bogle and Winning

15. MOUNT PLEASANT & NORTHUMBERLAND RD PUBLIC SPACE PROTECTION ORDERS (PSPO)

Decision Made: (CAB 24/25 45450)

On consideration of the report of the Leader of the Council and having received representations from Ms Emma Kerrigan-Draper of Mount Pleasant Schools Federation, Cabinet approved the following:

- (i) Following consultation and consideration of the representations made, to proceed with the implementation of the proposed Public Spaces Protection order for the Mount Pleasant footpath (between Mount Pleasant Road and Imperial Road - S014 0EB - Unique Street Reference Number: (USRN) 37012003)
- (ii) Following consultation and consideration of the representations made, to not proceed with the implementation of the proposed Public Space Protection order for Northumberland Road footpath and the Veny play-area (land at Northumberland Road, side of Maytree Infant and Nursery School, Northam - SO14 0EL - Northumberland Road footpath. Unique Street Ref No: 37011868)

16. FINANCIAL POSITION UPDATE

Decision Made: (CAB 24/25 45707)

On consideration of the report of the Cabinet Member for Finance and Corporate Services, Cabinet approved the following:

- (i) Agree the £6.13M adjustments to be made to directorate budgets to reflect sustained favourable variances reported in the first four months of 2024/25 due to transformation and other measures, to be transferred to centrally held

- contingency to reduce the reliance on Exceptional Financial Support (EFS), as set out in paragraph 6.
- (ii) Within the £6.13M, recommend Council approve the budget adjustment for the sustained favourable variance of £3.75M for Community Wellbeing to be transferred to centrally held contingency, as this element requires Council approval.
 - (iii) Agree the progress being made to deliver on the Deficit Recovery Plans that have been developed to mitigate forecast overspends in a number of specified budget areas, as set out in paragraph 7.
 - (iv) Recommend Council approve the virement of £20M income and expenditure within the Schools Budget to recognise increased funding, as set out in paragraph 22.

17. CAPITAL FINANCIAL MONITORING FOR THE PERIOD TO THE END OF JUNE 2024

Decision Made: (CAB 24/25 45709)

On consideration of the report of the Cabinet Member for Finance and Corporate Services, Cabinet approved the following:

- (i) To note the revised General Fund Capital Programme, which totals £206.06M as detailed in paragraph 3.
- (ii) To note the HRA Capital Programme is £240.53M as detailed in paragraph 3.
- (iii) To approve slippage of £6.24M within the General Fund programme, as detailed in paragraphs 7 to 9 and Appendix 3.
- (iv) To note that the overall forecast position for 2024/25 at quarter 1 is £170.82M, resulting in a potential underspend of £1.01M, as detailed in paragraphs 10 to 12 and Appendix 2.
- (v) To note that the capital programme remains fully funded up to 2028/29 based on the latest forecast of available resources although the forecast can be subject to change; most notably regarding the value and timing of anticipated capital receipts and the use of prudent assumptions of future government grants to be received.

18. BUDGET MATTERS

Decision Made: (CAB 24/25 45427)

On consideration of the report of the Cabinet Member for Finance and Corporate Services, Cabinet approved the following:

- (i) To approve the release of transformation funding as detailed in Appendix 1 from reserves or the Exceptional Financial Support (EFS) facility.
- (ii) To approve the appointment of Newton Europe Ltd (“Newton Europe”) as an interim transformation partner to commence the implementation of “adapt | grow | thrive” transformation savings proposals.
- (iii) To delegate authority to the Chief Executive, following consultation with the Leader of the Council, to take all necessary actions, including finalising

contractual and commercial arrangements, in order to complete the appointment of the interim transformation partner.

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Agenda Item 8

DECISION-MAKER:	Cabinet
SUBJECT:	Northam Rail Bridge
DATE OF DECISION:	17 September 2024
REPORT OF:	COUNCILLOR KEOGH CABINET MEMBER FOR ENVIRONMENT & TRANSPORT

<u>CONTACT DETAILS</u>			
Executive Director	Title	Executive Director of Growth & Prosperity	
	Name:	Nawaz Khan	Tel:
	E-mail	nawaz.khan@southampton.gov.uk	
Author:	Title	Transport Policy & Sustainable Travel Manager	
	Name:	Iain Steane	Tel: 023 83802283
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STATEMENT OF CONFIDENTIALITY	
Not applicable	
BRIEF SUMMARY	
<p>This paper details the latest position on the Northam Rail Bridge project covering the requirement to appoint Network Rail as the lead design and build contractor for the bridge span element of the project, changes in the costs for the Outline Business Case (OBC) submission to the Department for Transport (DfT) for funding for the proposed works, and accepting the OBC development grant from the DfT.</p>	
RECOMMENDATIONS:	
(i)	To delegate authority to the Head of Supplier Management to direct award a contract for design and build in relation to the Northam Bridge Project via a procurement exemption to Network Rail to support the development of the Outline Business Case (for the design and other products).
(ii)	To accept the initial Outline Business Case grant of £1.45M from Department for Transport, to adjust the Northam Rail Bridge capital budget, and authorise spend of the funding across 2024/25-2026/27 financial years.
(iii)	To delegate authority to the Executive Director of Growth and Prosperity in consultation with the Executive Director of Enabling Services (s.151 Officer) to accept any future grants in relation to this project and make the necessary budget adjustments (including spend approvals within budget) arising from the acceptance of such grants.
(iv)	To approve the change in the local contribution (an increase of £0.416M to now a total of £1.377M consisting of SCC Local Transport Plan, Revenue, and S106 Developer Contributions funding from 2024/25 and 2025/26) and change the allocation for Northam Rail Bridge OBC in the Capital Programme.

REASONS FOR REPORT RECOMMENDATIONS	
1	<ul style="list-style-type: none"> i. The condition of Northam Bridge is deemed to be extremely poor and mitigation measures that will be needed if the current structure is retained (such as weight restrictions or restricted motor vehicle access) will have significant impacts on the wider city transport network, and as such a replacement bridge is preferred. ii. To enable the Council to direct award via a procurement exemption to Network Rail to deliver the necessary design, assurance, rail surveys, engagement with the train and freight operating companies, and to deliver accurate and compliant bridge structure design that is acceptable to Network Rail achieving financial best value without compromising the required service specification. iii. To enable the grant monies received from the DfT to be added to the Capital Programme and enable spend.
ALTERNATIVE OPTIONS CONSIDERED AND REJECTED	
2	<p><u>Not to proceed with the project</u></p> <p>Due to the condition of the Northam Bridge, additional mitigation measures would be needed such as additional weight restrictions or possible restriction on all motor vehicle access over the Bridge. This would have significant impacts on the wider city transport network and reduce the number of east / west crossings.</p>
3	<p><u>Use an open tendering exercise</u></p> <p>Network Rail are not on any framework that the Council has access to, therefore an open tender would have needed to be carried out. Given the value of the potential work this would be through a longer tender process which would elongate the scheme development. The tasks required can only be carried out by Network Rail and as such a tendering exercise may lead to an award to Network Rail in any case.</p>
4	<p><u>Use the Highways Services Partnership (HSP)</u></p> <p>The Council has a 5 year Highways Service Partnership (HSP) with Balfour Beatty Living Places (BBLP) for highways design, construction and maintenance. The current contract is due to end in 2025 and while BBLP are part of the wider Balfour Beatty company and have access to Balfour Beatty Rail – who work with Network Rail on delivery of rail infrastructure projects – the nature of the work at Northam Rail Bridge means this is not an optimal route. BBLP would have to engage with Network Rail to carry out many of the activities that the direct commission would do. This would incur additional costs to the project.</p>
DETAILS	
5	<p>BACKGROUND</p> <p>Over several years, the Council (SCC) has been working with a range of partners, including National Highways and Network Rail, to bring forward a major project to replace and enhance the A3024 Northam Rail Bridge.</p>
6	<p>The bridge is an ageing asset that carries the single carriageway A3024, a major route into Southampton City Centre and the Port of Southampton from the east, across the main railway lines into Southampton. The single carriageway acts as a constraint on the A3024 for all traffic, particularly buses, making their journey times longer and unreliable.</p> <p>Location of the bridge and context is in Appendix 2.</p>

7	<p>Due to the age and extremely poor condition of the bridge, which is a joint maintenance liability between SCC and Network Rail, a weight limit of 7.5 tonnes has been imposed (except for buses). If the bridge is left in its current condition without significant investment and allowed to deteriorate further the weight limit may need to be lowered further and ultimately the bridge closed to traffic. This would sever the A3024 and place significant traffic pressures on other roads into the City Centre including Itchen Bridge and Cobden Bridge and disrupt bus services from the east. It would also impact on the development potential of the Itchen Riverside area.</p>
8	<p>The A3024 Northam Rail Bridge project consists of:</p> <ul style="list-style-type: none"> • Replacement and widening of the existing single carriageway road over rail bridge structure with two new 2-lane highway bridges and associated approach works – with potential for bus priority lane(s); • New pedestrian-cycle bridge that realigns the St Mary’s Stadium footbridge; • Junction changes at Brinton’s Road and Britannia Road with new traffic signals, bus priority and pedestrian-cycle crossings; • New pedestrian and cycle routes around the bridge to improve connectivity, safety and accessibility for all; and • Public realm, landscaping and biodiversity works in Old Northam Road and other areas.
9	<p>This project is a key component of the infrastructure pipeline required for Southampton’s economic growth and renaissance. Completing the project with replacement structures would secure the long-term future of the bridge and route into the City centre, Itchen Riverside – including approved redevelopment of the adjacent former Northam Gasholders site, St Mary’s Stadium and the Port. It would improve safety, journey times and reliability for all modes of transport particularly buses and cycles. The scheme is part of the Saints Mile which provides improvements from St Marys Stadium to Southampton Central Station.</p> <p>The project will provide health benefits related to air quality (via a reduction in congestion along the corridor), increase in physical activity (through the enhancement of the pedestrian and cycle facilities) and increase in biodiversity. The Outline Business Case will assess what level of benefits there will be from the project.</p>
10	<p>PROGRESS TO DATE</p> <p>The Northam Rail Bridge project has been a longstanding aspiration for Southampton and has been through several stages to reach the current position:</p> <ul style="list-style-type: none"> • Developed by National Highways in 2015-17 as part of the then M27 Southampton Junctions Roads Investment Strategy (RIS1) scheme. The RIS1 scheme was descoped removing the A3024 and Bridge components in 2019. Since then SCC has taken on the lead, working with Network Rail, to secure funding for the project. • SCC led scheme to improve junctions on A3024 Bursledon Road completed in 2020; • The A3024 has been identified as part of the Major Road Network (MRN) and SCC put forward Northam Rail Bridge as part of the South East’s portfolio of MRN schemes for funding. • This was accepted and a Strategic Outline Business Case (SOBC) was submitted, initially in Summer 2019 and then resubmitted in Summer 2021 for consideration by DfT for MRN funding.

	<ul style="list-style-type: none"> • The SOBC was approved by DfT in November 2023 which has enabled access to DfT funding (Business Case Development Grant – BCDG) to support the progression of Outline Business Case (OBC). • A paper was taken to Capital Board in January 2024 to include Northam Rail Bridge project and then expected OBC costs of £3.201M into the Capital Programme for 2024/25-2026/27, using £0.961M of Local Transport Plan funding as match. • Officers have been engaging with Network Rail to bring them on-board as ‘partners’ in the project due to the shared ownership of the bridge • Confirmation of the remit of works for Network Rail and updated costs which have increased from £1.96M (2019) to £2.81M because of inflation, third party costs and internal NR costs. • Project Team and governance being assembled within Integrated Transport and BBLP to progress the OBC and highway designs. • Latest OBC grant letter received from DfT for £1.45M.
11	<p>NETWORK RAIL</p> <p>Northam Rail Bridge is a shared asset between SCC and Network Rail and crosses a busy and important section of the railway. Given this, the project needs to be developed as a partnership between SCC and Network Rail. This is to ensure that the necessary design parameters, agreements, surveys and other technical work specific to the railway is completed correctly, along with planning how and when the bridge can be constructed. Network Rail has a governance programme in place for the delivery of major projects on its assets known as Project Acceleration in a Controlled Environment (PACE) which requires schemes to pass through milestones, with each stage requiring financial contribution. The engagement with Network Rail is a vital part of the process as it will require closure of the South West Main Line in Southampton for a short duration. Having access to this expertise is essential for SCC to successfully deliver the project.</p> <p>Officers have been engaging with Network Rail’s Wessex Team and Network Rail have an appointed Sponsor who is the primary point of contact and lead for the project within the organisation. A red line boundary for the project has been drawn with Network Rail taking the lead on the bridge structure (abutment to abutment) and SCC the remaining abutments and highway infrastructure (junctions, abutments and approaches, bus & active travel infrastructure, public realm, landscaping etc), and the OBC.</p> <p>As part of this a review of the project to date was done by Network Rail to understand the alignment with Network Rail’s internal PACE process and ensure that the correct pieces of work are completed. This includes option assessments, land & consents strategy, risk register, costs, construction planning & indicative delivery programme, safety & hazards, costs, compliance, constructability, design and surveys.</p>
12	<p>With an updated remit Network Rail have supplied SCC with a revised cost to develop the project through PACE1 stage (feasibility design and surveys). The total is now £2.811M, which is an increase on the previous cost of £1.96M (+£0.851m). This increase is due to inflation (based on construction inflation Dec 2018-Jun 24 of 17%), risk increase to 15% from 10%, third party rates (benchmarked rate from DfT), Network Rail fee and Industry Risk Fee. This will have an increase in the project cost for the creation of the Outline Business Case.</p>

13	<p>To ensure compliance it has been identified that Network Rail are the most suitable supplier to carry out the PACE products as they have the expertise and experience to do the work. To engage Network Rail directly the Council would need to carry out an exemption to the Contract Procedure Rules (CPRs).</p>
14	<p>Procurement of services by SCC needs to adhere to the Contract Procedures Rules (CPRs) governing how SCC must buy what it needs. As a public body, SCC must comply with all relevant UK procurement legislation. The purpose of the CPRs is to ensure that the Council does so and mitigates the risk of legal challenge. The CPRs also help the Council to obtain its requirements at the best price considering all factors while promoting fair and open competition.</p> <p>The CPRs must be adhered to unless a valid exemption has been granted. An exemption means that activity can be undertaken would of the rules set out within the CPRs.</p> <p>Exemptions may only be authorised in exceptional circumstances and no exemption can be given which breaches public procurement law.</p> <p>Within Section 5 of the CPRs, an exemption is only agreed if there is sufficient justification to authorise the request on one of the following grounds:</p> <ol style="list-style-type: none"> i. The nature of the market for the works to be carried out or the goods or services to be provided has been investigated and is demonstrated to be such that a departure from the requirement of the Rules is justifiable; or ii. The requirement for the works, goods or services that are required in circumstances of extreme urgency that could not reasonably have been foreseen; or iii. There are other circumstances which are genuinely exceptional.
15	<p>Alternatives to Network Rail, such as through the Highways Services Partnership (HSP) with BBLP or an open market tender exercise were explored. However, given the value and timelines for open market this is not achievable and may not offer value for money. BBLP have access to a wider supply chain and the Rail Division of Balfour Beatty itself. Any appointed supplier or using BBLP would need to engage with Network Rail as the national rail infrastructure owner. There would be costs associated with this approach which would be higher than a direct award to Network Rail.</p>
16	<p>Therefore, following an investigation that identified Network Rail as the only market provider for the works and it was deemed that the first justification for exemption applies, as below:</p> <ul style="list-style-type: none"> • Network Rail are the only provider of rail infrastructure in UK and have the experience and expertise in complex bridge structure scheme design and delivery; • Appointing a consultant or using the HSP does not provide value for money as there is a need to engage with Network Rail as the partial asset owner of the bridge and rail infrastructure owner. This engagement will come at an additional cost to any of the consultant; • The design of the bridge structure will need to meet the technical specification for Network Rail and requires their input; • Given the location of Northam Rail Bridge above the junction for the South West Main Line, Eastern Docks Branch Line, and accessing the Northam

	<p>Traincare depot detailed negotiation and engagement is required with all the train and freight operating companies and planning of construction; and</p> <ul style="list-style-type: none"> • Removes a considerable risk liability for the Council. <p>As a consequence an exemption is required under the CPRs to engage with Network Rail.</p>																				
17	<p>OUTLINE BUSINESS CASE & DESIGN</p> <p>The Outline Business Case (OBC) forms part of the DfT’s decision making process and projects need to demonstrate how they fit with HM Treasury’s ‘five-case business case’ model – strategic, economic, financial, commercial and management. The OBC will take the work completed to date through the SOBC and update it with latest designs, costs, value for money assessments and governance arrangements.</p> <p>As the SOBC was completed in 2019 and using information and designs developed between 2017 and 2018 these will all need up dating so that the latest information is used in the OBC. This includes the design for the bridge itself.</p>																				
18	<p>SCC would remain the lead for the reaming of the pieces of work associated with the OBC, design work, surveys, assessments, and public consultation, which will be funded from the remaining of the grant from the DfT (minus the Network Rail costs) and SCC match funding. These would either be done in-house, through the HSP, or using external consultants such as for traffic modelling or Environmental Impact Assessment:</p> <ul style="list-style-type: none"> • Strategic Case – updating the narrative; • Economic Case – updating the value for money assessment and modelling; • Financial Case – updated costs; • Commercial Case – setting out the route to market and benefits realisation; and • Management Case – updating governance, monitoring & evaluation, and stakeholder engagement – this would include public consultation on the proposed scheme. 																				
19	<p>The development of the OBC is anticipated be through 2024 with a submission of the final OBC to DfT by end of the year. Once approved SCC will be able to move onto the Full Business Case (FBC) development – which again access BCDG funding from DfT – for submission in 2026.</p> <p>The indicative timeline is:</p> <table border="1" data-bbox="292 1630 1461 2128"> <thead> <tr> <th data-bbox="292 1630 1094 1680">Milestone Activity</th> <th data-bbox="1094 1630 1461 1680">Estimated Date</th> </tr> </thead> <tbody> <tr> <td data-bbox="292 1680 1094 1727">Obtain NR and SCC authority</td> <td data-bbox="1094 1680 1461 1727">17th September 2024</td> </tr> <tr> <td data-bbox="292 1727 1094 1809">Commence PACE1, Junctions & Approaches Design, OBC</td> <td data-bbox="1094 1727 1461 1809">30th September 2024</td> </tr> <tr> <td data-bbox="292 1809 1094 1856">Public Consultation</td> <td data-bbox="1094 1809 1461 1856">Summer 2025</td> </tr> <tr> <td data-bbox="292 1856 1094 1904">Complete PACE1, Junctions & Approaches, and OBC</td> <td data-bbox="1094 1856 1461 1904">17th October 2025</td> </tr> <tr> <td data-bbox="292 1904 1094 1951">Submit OBC to DfT</td> <td data-bbox="1094 1904 1461 1951">31st December 2025</td> </tr> <tr> <td data-bbox="292 1951 1094 1998">Obtain DfT Approval*</td> <td data-bbox="1094 1951 1461 1998">Spring 2026</td> </tr> <tr> <td data-bbox="292 1998 1094 2045"></td> <td data-bbox="1094 1998 1461 2045"></td> </tr> <tr> <td data-bbox="292 2045 1094 2092">Outline Design</td> <td data-bbox="1094 2045 1461 2092">Summer 2025</td> </tr> <tr> <td data-bbox="292 2092 1094 2128">Full Business Case</td> <td data-bbox="1094 2092 1461 2128">Summer 2026*</td> </tr> </tbody> </table>	Milestone Activity	Estimated Date	Obtain NR and SCC authority	17 th September 2024	Commence PACE1, Junctions & Approaches Design, OBC	30 th September 2024	Public Consultation	Summer 2025	Complete PACE1, Junctions & Approaches, and OBC	17 th October 2025	Submit OBC to DfT	31 st December 2025	Obtain DfT Approval*	Spring 2026			Outline Design	Summer 2025	Full Business Case	Summer 2026*
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	Detailed Design	Winter 2026*
	FBC submitted to DfT & Approval	Winter 2026-Spring 2027*
	Start Construction	Summer 2027*
	Bridge Demolition & Installation (9-day rail blockade)	Winter 2028/29*
	Substantial Completion and opening	Summer 2029*
	(* - dates subject to DfT funding approval of OBC and FBC to maintain critical path)	
20	<p>The total cost of the OBC was reported to Capital Board in January 2024 at £3.201M with DfT providing capital funding of £2.24M and SCC £0.961M, which was added to the Capital Programme in March 2024. With the increase in Network Rail costs the total is now £4.052M with a request to DfT to provide £2.674M and SCC £1.377M local match. This is expanded on in Finance section.</p> <p>To date DfT have provided £1.707M – including the £1.45M grant for 2024/25. Under the Finance Procedure Rules the OBC grant requires acceptance by Cabinet.</p>	
RESOURCE IMPLICATIONS		
21	<p>The development of the OBC will be led by the Integrated Transport Service Area within Transport & Planning. This will include existing officers and partners at BBLP (through the HSP) and working with Network Rail. Funding within the BCDG is for a dedicated project lead within the Service Area to client manage the project.</p>	
Financial		
22	<p>A criteria of 'Purposeful Investment' will be applied when reviewing all existing and proposed future capital programme items. This is to ensure investment is focused on delivering the optimum value for money for the Council and its benefits are fully considered against taking account of the financial challenges the Council faces. The Purposeful Investment criteria is as follows:</p> <ul style="list-style-type: none"> • Does it reduce revenue expenditure/increase income in the current year or future years? • Does it stop a potential financial pressure in future years? • Does it have a significant impact on the lives of residents? In particular taking account of the following considerations: <ul style="list-style-type: none"> ○ Solid Return on Investment (RoI) (e.g. generating significant external funding/ investment or inward returns from the investment to the Council) ○ Is it a major element necessary for the achievement of the Corporate Plan ○ A key commitment of the Administration. 	
23	<p>Northam Rail Bridge meets the third bullet as it is necessary to achieve the Corporate Plan, potentially bring in £71+M of DfT investment into Southampton. It also achieves the second bullet as removes the long-term maintenance liability of the bridge from SCC and Network Rail.</p>	
24	<p>The overall cost of the Northam Rail Bridge project is currently £71.7M based on 2023 prices. Following the Government announcements in October 2023 regarding HS2 and the launch of the Network North programme most schemes in the current MRN programme are likely to be 100% funded by the DfT. This includes Northam Rail Bridge. Previously funding from DfT would have covered</p>	

85% of the total (~£60.945M) with the remaining 15% (totalling ~£10.755M) to come from local match funding sources such as Community Infrastructure Levy (CIL), Developer Contributions being secured from adjoining developments in the area, SCC Local Transport funds and potentially Network Rail (likely through complementary works). This new funding level means that this potential liability for SCC has been removed, noting that has not finally been confirmed by DfT but this is officers current understanding. However, the new Government’s review of Transport capital spend has made this unclear – the Council has had no clear direction from DfT on this and funding for the full delivery of the project is not yet secured.

25 The OBC development has been costed at £4.052M, this an increase of £0.851M from the indicative cost at SOBC stage which was £3.201M (as reported to Capital Board in January 2024). This covers design, consultation, environmental & transport survey, transport modelling, Network Rail related activities, surveys, business case development, risk, and resource. The cost increase at this stage is due to increases in Network Rail’s costs from £1.96M in 2019 to £2.811M in 2024. These costs are based on an updated Client Remit and take into account cost increases from inflation, third parties costs, and risk. The updated cost estimates for the OBC activities is set out below.

OBC Activity	Estimated Cost (2019)	Estimated Cost (2024)
Data Collection	£20,000	£20,000
Consultation	£25,000	£25,000
Environment Surveys & EIA	£125,000	£125,000
Traffic Modelling	£60,000	£60,000
Highway & Approaches Design	£400,000	£400,000
Network Rail Costs	£1,960,000	£2,811,035
OBC Development	£185,000	£185,000
Project Management	£135,000	£135,000
Risk	£291,000	£291,000
Total	£2,910,000	£4,052,035

26 The DfT can provide capital grant (Business Case Development Grant) funding towards the development of the OBC to 66% of the total – in line with their guidelines. The total requested BCDG from DfT is £2,674,343 with a local contribution of £1.377M. This is an increase of £0.416M from the approved line in the Capital Programme and will require adjusting. The grant letter for 2024/25 is in Appendix A. The FBC is expected to be approximately £2.511M, which will be confirmed through the OBC.

OBC	
DfT 66%	£ 2,674,343
SCC 33%	£ 1,377,692
Total	£ 4,052,035
FBC	
DfT 66%	£1,657,746
SCC 33%	£828,873
Total	£2,511,737

		Business Case Total																																																		
		DfT 66%	£ 4,332,089																																																	
		SCC 33%	£ 2,206,565																																																	
			£ 6,563,772																																																	
27	<p>DfT have confirmed £1.707M of BCDG (£0.257M in 2023/24 and £1.450M in 2024/25) so far. The funding profile is set out in Table 4 with the new Local Contribution consisting of S106 Developer contributions, allocation from SCC's Local Transport Plan Integrated Transport Block (LTP IBT) grant from DfT (annually £2.214M) for 2024/25 and 2025/26. There is no new or existing capital borrowing for this.</p> <table border="1"> <thead> <tr> <th>OBC</th> <th>2022/23 Actual</th> <th>2023/24 Actual</th> <th>2024/25 Budget</th> <th>2025/26 Budget</th> <th>Total</th> </tr> </thead> <tbody> <tr> <td>DfT Capital</td> <td></td> <td>£58,462</td> <td>£1,648,944</td> <td>£966,937</td> <td>£2,674,343</td> </tr> <tr> <td>SCC LTP ITB</td> <td>£100,804</td> <td></td> <td>£354,439</td> <td>£845,450</td> <td>£1,300,693</td> </tr> <tr> <td>SCC Revenue</td> <td></td> <td></td> <td></td> <td>£60,000</td> <td>£60,000</td> </tr> <tr> <td>S106</td> <td></td> <td></td> <td>£17,000</td> <td></td> <td>£17,000</td> </tr> <tr> <td>Total</td> <td>£100,804</td> <td>£58,462</td> <td>£2,020,383</td> <td>£1,872,387</td> <td>£4,052,036</td> </tr> <tr> <td>In capital Programme</td> <td>£100,804</td> <td>£58,462</td> <td>£2,539,000</td> <td>£504,000</td> <td>£3,202,266</td> </tr> <tr> <td>Addition/(Rephase)</td> <td></td> <td></td> <td>(£518,617)</td> <td>£1,368,387</td> <td>£849,770</td> </tr> </tbody> </table>				OBC	2022/23 Actual	2023/24 Actual	2024/25 Budget	2025/26 Budget	Total	DfT Capital		£58,462	£1,648,944	£966,937	£2,674,343	SCC LTP ITB	£100,804		£354,439	£845,450	£1,300,693	SCC Revenue				£60,000	£60,000	S106			£17,000		£17,000	Total	£100,804	£58,462	£2,020,383	£1,872,387	£4,052,036	In capital Programme	£100,804	£58,462	£2,539,000	£504,000	£3,202,266	Addition/(Rephase)			(£518,617)	£1,368,387	£849,770
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28	<p>Given the Council's financial position careful consideration about essential spend is required. This project is 'invest to save' by developing a business case that unlocks a significant amount of Government funding to replace an ageing highways structural asset.</p>																																																			
29	<p>The local match for the OBC, and identified for the FBC, is coming from SCC's Local Transport Plan Integrated Transport Block annual allocation of £2.14M, S106 Developer Contributions and General Fund Revenue.</p> <ul style="list-style-type: none"> The LTP Integrated Transport is an annual capital grant from DfT to SCC as Local Transport Authority for spending on local transport projects. This is confirmed to 2024/25 but is a longstanding grant from Government and is expected to continue following any Spending Review in 2025. Developer Contributions have been, or planned to be, received from approved schemes such as Cemex and Northam Gasholders. The Revenue comes from Transport Policy budget allocation – a 'studies' budget for developing schemes and purchasing services. This is approximately £0.09Mpa, for 25/26 £0.03M is allocated for subscriptions with £0.06M available to support the OBC. This is subject to 25/26 budget being approved. 																																																			
30	<p>The LTP funding has been spread over 3 years for the OBC and potentially the FBC to minimise the impact on 1 year as there are other projects, maintenance, or schemes that require the LTP funding.</p> <p>The use of the £2.14M LTP grant impacts on the wider LTP Integrated Transport Programme for improvements to active travel, public transport, accessibility, sustainability and congestion reduction. As a result of the Northam Rail Bridge project, the level of investment available schemes in 2024/25-2026/27 will be reduced. The LTP programme for 2024/25 has not been finalised and had anticipated that match to Northam Rail Bridge would be required. No projects</p>																																																			

	<p>are stopping as a result of this but it should be noted that due to the funding required, new schemes such as walking / cycling / wheeling projects will be limited in the next three years unless new government funding is provided (such as Active Travel Fund grants from the DfT).</p> <p>The LTP programme is supplemented by additional competitive grants that SCC applies for which can continue to deliver the aspirations of the LTP and Corporate Plan.</p>
31	<p>With the change in funding profile the Capital Programme will required adjusting to the £4.052M total and £1.377M of SCC funding to reflect this and the recommendation is to do so to accurately reflect the latest funding profile.</p>
32	<p>It should be noted that the costs for the other elements of the OBC are indicative and may change or could be done in-house to keep costs down. As costs become clearer the 2025/26 amount may change. Any overspend/higher costs may need to be met locally or in some cases discussions with the DfT. If there is overspend, or costs increases are significant for elements these will either not be done or where possible work would be done in-house by SCC staff.</p>
33	<p>Options were considered for the SCC match:</p> <ul style="list-style-type: none"> • Additional Capital Borrowing (not recommended) – the OBC development was in the Capital Programme but removed. No new capital borrowing is permitted, • Not to increase the BCDG ask and local match - to keep the budget as set out in the January 2024 Capital Board paper. This would cover the Network Rail costs and some of the OBC work (e.g. Highway & Approach design) • Not to provide match - there is a requirement from DfT that match funding of minimum of 33% is provided to access the Development Grant.
<u>Property/Other</u>	
34	<p>The ownership and maintenance liability for the bridge is shared between Network Rail and SCC, with the structure and some of the approaches responsibility of Network Rail and the carriageway and remaining part of the approaches the responsibility of SCC. At this time, there is no budget set aside for a major maintenance / replacement of the bridge in SCC forecasts.</p>
LEGAL IMPLICATIONS	
<u>Statutory power to undertake proposals in the report:</u>	
35	<p>The Highways Act 1980 contains the primary source of powers to make repairs and improvements to highway assets (including rail bridges that carry highways). S.1 Localism Act 2011 also provides wide powers to carry out improvement works to public infrastructure (the 'General Power of Competence').</p>
<u>Other Legal Implications:</u>	
36	<p>The report sets out the options available to the Council under relevant UK procurement legislation. In designing and delivering this project the Council has had due regard to its duties under s149 Equalities Act 2010 (the Public Sector Equality Duty) , s.17 Crime & Disorder Act 1998 and other relevant general legislation.</p>
RISK MANAGEMENT IMPLICATIONS	
37	<p>The main risks for this are:</p>

	<ul style="list-style-type: none"> • Cost increases on the OBC elements and further funding required – elements will be developed within the cash limited budgets and if further funding required discussions with Network Rail; • Resources within SCC and Network Rail to carry out the OBC and related products – at this time the work will be coordinated by the Integrated Transport team and will need the use of external service partners to complete the OBC; • Not proceeding with the project – as highlighted this will require mitigation measures due to the condition of the asset; • Changes in Government funding following the DfT’s Transport Capital Programme review; • LTP funding for 2025/26 and 2026/27 being confirmed by Government.
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POLICY FRAMEWORK IMPLICATIONS

38	<p>Northam Rail Bridge is a key project in Southampton and the development of the OBC aligns/included with several SCC policies:</p> <ul style="list-style-type: none"> • Corporate Plan – named within the Prosperous City goal; • Supports the Transformation plans as part of the ‘grow’ strand by working with partners at Network Rail to achieve growth and prosperity through improved transport connections; • Connected Southampton 2040 (LTP4) Transport Strategy – named project to support the A Successful Southampton goal, and supports the visions of the Bus Service Improvement Plan (BSIP) and ten-year Cycle Strategy to improve bus journey reliability and time and create the Southampton Cycle Network; • Emerging Local Plan; • Supports Renaissance Masterplanning areas of Itchen Riverside and Cultural Quarter (Old Northam Road) and connectivity to the City Centre (‘Saints Mile’); • Other policies/projects - River Itchen Flood Alleviation Scheme, Climate Change Strategy, Healthy Lives Strategy (better access to Northam and Golden Grove Estates), Economic & Green Growth, the emerging Solent Transport Strategy and the Transport for South East Transport Strategy & Strategic Investment Plan.
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KEY DECISION?	Yes
WARDS/COMMUNITIES AFFECTED:	Bargate and Bevois
<u>SUPPORTING DOCUMENTATION</u>	
Appendices	
1.	DfT Grant Letter
2.	Location Plan
3	Equality and Safety Impact Assessment
Documents In Members’ Rooms	
1.	None
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.		
2.		



Department for Transport

Mel Creighton
Executive Director, Corporate
Services and S151 Officer
Southampton City Council
Civic Centre
Southampton
S014 7LY

Robert Fox
Road Investment, Policy and Pipeline
Development
Department for Transport
Direct Line: 07966 511804
e-mail: robertS.fox@dft.gov.uk

Web Site: www.dft.gov.uk

25 July 2024

Dear Mel,

Award of Section 31 Grant for Financial Year 2024/25 – Northam Rail Bridge

This letter is to confirm the decision of Ministers to make a funding contribution from the Department for Transport of £1,450,406 in 2024/25 for development work on the above scheme up to and including the production of an Outline Business Case (OBC) as defined in the DfT's Transport Business Case guidance.

Grant will be paid to you under Section 31 of the Local Government Act 2003 and is awarded subject to the following:

- a) The funding is capital in nature and so relies on your authority being able to capitalise the expenditure to which it relates.
- b) The funding is to undertake work on the scheme as described in the application for funding from the Major Road Network programme and should not be used for any other purpose such as advanced purchase of land, utilities diversions etc. Any significant updates or changes to this scope should be agreed with DfT.
- c) DfT reserves the right to seek reimbursement from your authority of any payments made relating in respect of this grant award if the scheme is not constructed.
- d) Your authority is responsible for meeting all costs of producing the OBC over and above this funding.
- e) DfT expects the needs of all users, including cyclists, pedestrians, disabled people and public transport users, to be considered and benefits for them delivered as part of the solutions proposed in this scheme.
- f) A DfT representative may attend Project Board meetings as observer and Project Board papers and minutes should be provided to DfT on request.
- g) In general, updates of progress, and information on work carried out should be shared to DfT on an open and transparent basis and no reasonable request for information withheld.
- h) Your authority must arrange for the submission of an audit report to the Department from an independent and external reporting accountant in respect of the grant covered by this letter and the accompanying grant determination and any subsequent amendments to those documents. The accountant's audit report must

be produced in accordance with specific assurance instructions to be issued by the Department.

I attach a grant determination for the 2024/25 financial year.

Please confirm that you are content to accept the grant on the terms described above and we will then arrange payment of the grant.

If you have any queries about the contents of this letter or the attached grant terms and conditions, please contact me either by phone on 07966 511804 or by e-mail at roberts.fox@dft.gov.uk

Yours sincerely

A handwritten signature in black ink that reads "Robert Fox". The signature is written in a cursive style with a large initial 'R' and a stylized 'F'.

Robert Fox

ACKNOWLEDGMENT AND ACCEPTANCE DECLARATION

Northam Rail Bridge

I ACKNOWLEDGE RECEIPT OF THE S31 GRANT LETTER FOR SOUTHAMPTON CITY COUNCIL FOR 2024/25 AND

I ACCEPT THE GRANT OFFER FOR AND ON BEHALF OF SOUTHAMPTON CITY COUNCIL SUBJECT TO THE TERMS AND CONDITIONS SET OUT IN THIS LETTER AND THE ANNEXES TO THIS LETTER. I CONFIRM THAT I AM LAWFULLY AUTHORISED TO DO SO

SIGNED (CHIEF FINANCE OFFICER).....






PLEASE PRINT NAME.....

DATE.....

Please return to the Department for Transport: S31MajorProjects@dft.gov.uk – a scanned pdf is acceptable

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-  Public Realm
-  Northam Rail Bridge
-  River Itchen Flood Alleviation Scheme
-  Regeneration Sites
-  Masterplan Quarters

City Centre

Northam Rail Bridge

Old Northam Road

St Mary's Stadium

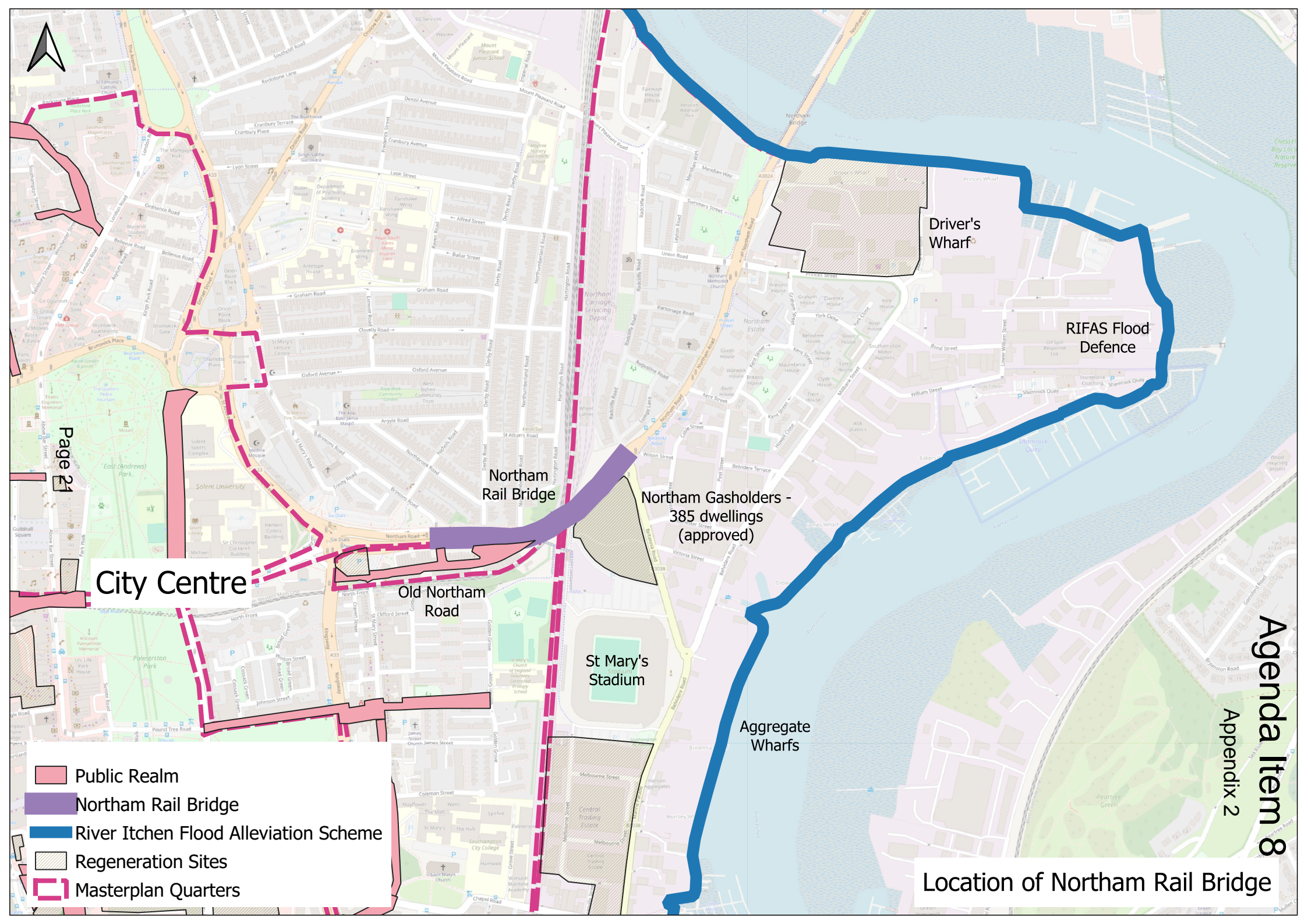
Northam Gasholders - 385 dwellings (approved)

Aggregate Wharfs

Driver's Wharf

RIFAS Flood Defence

Location of Northam Rail Bridge



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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.

Name or Brief Description of Proposal	Northam Rail Bridge replacement Works will include new bridges for walking / cycling, bus and motor vehicles, changes to the approach junctions, and public realm works in the area
Brief Service Profile (including number of customers)	
<p>Integrated Transport is responsible for the policy and strategy relating to all transport activities within the City.</p> <p>Customers include all transport users in the City including residents, visitors and business related activity. Customers will be multi-modal – walking, cycling, bus, private motor car and business related transport (freight etc).</p> <p>There will also be an impact on train travel during construction</p>	
Summary of Impact and Issues	
<p>Construction activities associated with the new bridge and associated improvements which may impact journey options and journey times</p> <p>Changes to travel modes for users</p>	
Potential Positive Impacts	
<p>Increased physical activity through improvements to walking and cycling network</p>	

Improvements to air quality via a reduction in congestion Improvements to biodiversity through increased greening and public space opportunities for rain gardens	
Responsible Service Manager	Wade Holmes, Service Manager Integrated Transport
Date	19/08/2024

Potential Impact

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
Age	<p>Bus travel forms a key transport mode for people aged over 65 with the availability of the concessionary bus pass.</p> <p>Disruption during construction may impact older people with age-related mobility issues having to walk further where bus stops are not located near their destination</p> <p>The final scheme will improve access options for age related travel including better walking / cycling and bus travel</p> <p>A new road layout will be delivered which may be confusing for elderly residents with age related issues (eg dementia) who have been used to a long term traffic arrangement over the Bridge</p>	<p>A construction management plan will be required detailing on how information on new bus stops / routes during construction will be access</p> <p>Undertake walking audit between existing stops and proposed temporary stops</p> <p>Material to be prepared on how to use new road layouts during construction and post scheme to be distributed via appropriate channels</p>
Disability	<p>Bus travel can form a key mode of transport for people with disabilities, who are eligible for a Disabled Person's bus pass.</p>	<p>A construction management plan will be required detailing on how information on new bus stops / routes during</p>

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
	<p>An increase in journey time to reach destinations due to construction work</p>	<p>construction will be access</p> <p>Undertake walking audit between existing stops and proposed temporary stops</p> <p>Advise of potential delays via signage across the network (via Variable Message Signs)</p>
Gender Reassignment	<p>Of the 1,007 hate crimes reports in Southampton in 2021, a low proportion (less than 50) were related to transgender identity</p> <p>An increase in journey time to reach destinations due to new bus stop locations or the need to interchange</p> <p>Safety concerns relating to hate crime may be exacerbated at night time and in darkness</p>	<p>Ensure appropriate lighting strategy for construction and for final design</p> <p>Adopt safer by design principles to reduce crime opportunities such as designing out blind spots</p>
Care Experienced	<p>It is not anticipated that the proposals will have a greater negative impact on these individuals.</p>	
Marriage and Civil Partnership	<p>It is not anticipated that the proposals will have a greater negative impact on these individuals.</p>	
Pregnancy and Maternity	<p>An increase in journey time to reach destinations due to new bus stop locations or the need to interchange due to some reduced mobility / using buggies whilst construction activates are happening</p>	<p>Provide information on new bus network / bus stop locations during construction</p> <p>Advise of potential delays via signage across the network (via Variable Message Signs)</p>

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
Race	<p>80.7 % of Southampton residents identify with being white, with 10.6% identify being Asian / Asian British, 3% identify being Black, Black British</p> <p>Inner city wards are more likely to have a higher percentage of Ethnic Groups other than white.</p> <p>Of the 1,007 hate crimes reports in Southampton in 2021, the majority (almost 600) were related to race</p> <p>Safety concerns relating to race may be exacerbated at night time and in darkness</p>	<p>Provide information on new bus network / bus stop locations during construction</p> <p>Ensure appropriate lighting strategy for construction and for final design</p> <p>Adopt safer by design principles to reduce crime opportunities such as designing out blind spots</p>
Religion or Belief	<p>Safety concerns relating to religion may be exacerbated at night time and in darkness</p>	<p>Ensure appropriate lighting strategy for construction and for final design</p> <p>Pedestrian / walking cycling plans to be prepared during construction and after construction</p> <p>Adopt safer by design principles to reduce crime opportunities such as designing out blind spots</p>
Sex	<p>It is not anticipated that the proposals will have a greater negative impact on these individuals.</p>	
Sexual Orientation	<p>Hate crime reporting data for Southampton indicates that of 1007 hate crime reported incidents in 2021, sexual</p>	<p>Ensure appropriate lighting strategy for construction and for final design</p>

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
	<p>orientation made up approximately 150 reports.</p> <p>Safety concerns relating to sexual orientation may be exacerbated at night time and in darkness</p>	<p>Pedestrian / walking cycling plans to be prepared during construction and after construction</p> <p>Adopt safer by design principles to reduce crime opportunities such as designing out blind spots</p>
Community Safety	<p>Safety concerns related to community safety may be exacerbated at night time and in darkness</p>	<p>Ensure appropriate lighting strategy for construction and for final design</p> <p>Pedestrian / walking cycling plans to be prepared during construction and after construction</p> <p>Adopt safer by design principles to reduce crime opportunities such as designing out blind spots</p>
Poverty	<p>Southampton is a relatively deprived city being 55th out of 317 local authorities and some areas being within the 10% deprived in England</p> <p>Changing transport options during construction activities eg longer travel routes costing more money may become unaffordable</p> <p>Some characteristics of people in poverty may prevent them from accessing information such as written material or on the internet</p>	<p>Promote fare offers on bus travel during construction works</p> <p>Provide information on impacts on site in written and diagrammatic form</p>
Health & Wellbeing	<p>Disturbances during construction for local residents such as noise, dust</p>	<p>A construction management plan will be required to address</p>

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
		potential impacts and the mitigations required
Other Significant Impacts		

Agenda Item 9

DECISION-MAKER:	Cabinet
SUBJECT:	Multi-agency Safeguarding Arrangements review
DATE OF DECISION:	17 th September 2024
REPORT OF:	Councillor Finn Cabinet Member for Adults and Health

<u>CONTACT DETAILS</u>			
Executive Director	Title	Executive Directors – Children and Learning Community Wellbeing	
	Name:	Robert Henderson and Claire Edgar	Tel: 07468758995 023 80 833045
Author:	E-mail:	rebecca.holdsworth@southampton.gov.uk / 023 8091 7671	
	Title	Partnerships Team Manager	
	Name:	stuart.webb@southampton.gov.uk / 02380 834102	
	E-mail:	Head of Quality Assurance/ Principal Social Worker – Children and Learning	

STATEMENT OF CONFIDENTIALITY
Not applicable
BRIEF SUMMARY
<p>Proposal for amalgamation of Southampton Safeguarding Children Partnership (SSCP) and Southampton Safeguarding Adults Board (SSAB) to be incorporated under the Southampton Children and Adults Safeguarding Partnership (SCASP), with greater alignment with the Safe City Partnership.</p> <p>The purpose of the partnership is to support the statutory safeguarding partners and relevant agencies to fulfil their responsibilities for safeguarding and promoting the welfare of children and adults at risk and/or have needs for care and support.</p> <p>SCASP will provide effective and informed leadership to the local safeguarding system and deliver a shared responsibility for the safeguarding of children, young people and adults at risk in Southampton. The partnership also seeks to engage with children, young people, adults and their families to inform its work and provide added value.</p> <p>The proposal aims to secure the ethos of working as a whole system for all residents of Southampton, recognising that each are members of the community and working together will promote the safeguarding of all by the multi-agency partnership employing a whole life pathway approach.</p>

RECOMMENDATIONS:		
	(i)	To support the establishment of the Southampton Children and Adults Safeguarding Partnership (SCASP) as an outside body supported by the Council. It is proposed that the SCASP will meet bi-monthly to oversee the executive decision making. This will be chaired by the Chief Executive of the Council, with attendance by the statutory decision makers (the Lead and/or Designated Safeguarding Partners) from the Hampshire and Isle of Wight Constabulary, NHS Hampshire and Isle of Wight and the Directors of Adult and Children Social Care.
	(ii)	It is recommended that the Independent Scrutineer of the SSCP becomes the overall Independent Scrutineer of the SCASP.
	(iii)	The Adult and Children Systems Board will meet on a quarterly basis to address the work of the subgroup activity and to gain assurance or provide challenge on the effectiveness of the safeguarding functions across the partnership. This will be chaired by one of the Delegated Safeguarding Partners with membership from each of the statutory partners, including education, the Safe City Partnership and relevant agencies, as well as the Independent Scrutineer. Lead members will be in attendance to provide a two-way line of communication to Cabinet or Committee.
	(iv)	The subgroup activity of the SCASP will be streamlined to promote shared learning, timely decision making around reviews and a shared quality assurance system across the partnership. This will serve to promote the integration of learning for all agencies in the system who work with children, families and adults, recognising that partners will work with and come into contact with everyone in the Southampton community for the purpose of prevention and safeguarding.
REASONS FOR REPORT RECOMMENDATIONS		
1.	The current structure is not aligned with a high number of subgroups and meetings, where similar agenda items are discussed and duplicated. The proposal will result in a clearer structure, with scrutiny and governance in line with statutory requirements.	
2.	The proposal will support the safeguarding of all residents, promoting community and in keeping with the Family Safeguarding Model and the Whole Life Pathway approach.	
ALTERNATIVE OPTIONS CONSIDERED AND REJECTED		
3.	<p>Maintain the current structures for the SSCP and SSAB</p> <ul style="list-style-type: none"> • There is duplication in meeting agendas which result in inefficiencies in the system, with the same Board members attending numerous meetings where the same information is shared. • There is a lack of co-ordination and consistency in shared learning and challenge across the partnership with areas working in silo, with potential gaps and duplication of assurance activity. • The potential to promote sustainable change across wider family networks and communities is lost when the partnership is focusing on different groups of the community. 	

DETAIL (Including consultation carried out)	
4.	<p>The statutory roles, responsibilities of the Safeguarding Children’s Partnership are (Working Together to safeguard Children 2023 chapter 2);</p> <ul style="list-style-type: none"> • Every local authority, ICB and constabulary in England must be covered by a multi-agency safeguarding arrangement. The purpose of multi-agency safeguarding arrangements is to ensure that, at a local level, organisations and agencies are clear about how they will work together to safeguard children and promote their welfare. • Once agreed, local multi-agency safeguarding arrangements must be published and safeguarding partners must jointly report on the activity they have undertaken in a 12 month period. • Where a local authority in England knows or suspects that a child has been abused or neglected, the local authority must notify the Child safeguarding Practice review Panel if: The child dies or is seriously harmed in the local authority’s area and oversee a review if improvements are needed to safeguard and promote the welfare of children, if there are concerns regarding two or more organisations. <p>The statutory roles, responsibilities and functions of the Safeguarding Adults Board are (The Care Act 2014, section 42);</p> <ul style="list-style-type: none"> • Each local authority must establish a Safeguarding Adults Board. The objective of a SAB is to help and protect adults in its areas by co-ordinating and ensuring the effectiveness of what each of its members does. • The strategic plan and annual report must be published to report on the activity undertaken in a 12 month period and the agreed strategic priorities shared. • The SAB must arrange for there to be a review of a case involving an adult in its area with care and support needs if the adult has died or has experienced serious abuse or neglect and there is reasonable cause for concern about how members of the SAB have worked together to safeguard the adult. <p>It is essential that learning across safeguarding practice is identified across all organisations. The proposals will ensure that there is a greater clarity and oversight of the scrutiny across the city to ultimately improve and monitor safeguarding practice and arrangements for all residents in the city.</p>
5.	<p>Consultation has been undertaken with Wiltshire and Northumberland Safeguarding Partnerships. Both have implemented an amalgamated partnership over the last two years and Northumberland have recently been commended for the strength of the partnership during their Ofsted inspection where they were upgraded from Good to Outstanding.</p>
6.	<p>Consultation has also been undertaken with the statutory partners at an executive level across all partnerships. They agree with the proposals and excited to be part of the proposed changes. There are further meetings planned with partners to co-produce the details of the meeting structures and activity and to forward plan the review and scrutiny of the proposed multi-agency safeguarding arrangements.</p>

7.	The overall decision making around high-level scrutiny of the multi-agency safeguarding arrangements will be with the Executive Group, chaired by the Chief Executive of the council and attended by the Lead officers in the key statutory partner agencies; NHS Hampshire and Hampshire and Isle of Wight Constabulary), referred to as the Lead Safeguarding Partners. This is specified in Working Together to Safeguard Children 2023. An independent scrutineer will provide detailed scrutiny and advice to the Board and the Executive which is specified in Working Together to Safeguard Children 2023 and The Care Act 2014. The structure of the subgroups, Board and Executive is appended, with the proposed terms of reference. There has been collaboration across the partner agencies and the current scrutineer, along with research with Northumberland Safeguarding Partnership where similar arrangements are successfully in place.
8.	The subgroups will undertake the work of the Safeguarding partnership to ensure that lessons from reviews are identified and actions progressed from the Practice Review Group with the Learning and Development subgroup. Assurance will be gained through the activity in the Practice and Performance subgroup. The delegated decision making in the groups will be shared with the Children and Adult Systems Board to ensure that there is oversight and scrutiny of the commissioning of reviews and the progressions of practice improvement and dissemination of learning. The Board will be chaired by the Delegated Safeguarding Partners, as per the requirement in Working Together to Safeguard Children 2023.

RESOURCE IMPLICATIONS

Capital/Revenue

9.	<p>The current arrangements are funded across NHS Hampshire, Hampshire and Isle of Wight Constabulary and Southampton City Council, with a small contribution to the Children’s Safeguarding Partnership from Probation. The staffing costs, training and workshop activity and review costs for the Southampton Safeguarding Children’s Partnership amount to £249,760. The breakdown of the contributions are as follows;</p> <p>SCC - £141,062 HIOW constabulary - £25,098 NHS Hampshire - £79,801 Probation - £3,799</p> <p>The total running costs for the Safeguarding Adults Board are £203,131. The breakdown of the contributions are;</p> <p>SCC - £113,903 HOIW Constabulary - £25,494 NHS Hampshire - £63,734</p>
10.	The contributions are negotiated on an annual basis, as per Working Together to Safeguard Children 2023 and The Care Act 2014. The majority of savings for the new arrangements will be in the reduction in the number of meetings for senior level leaders to attend, which is 18 meetings per annum. With the greater collaboration across Children and Adults safeguarding arrangements, it is expected that there will be streamlining of learning and

	<p>assurance across the city which should result in a reduction in the number of Safeguarding Reviews with similar themes arising. There will be a financial saving of £22,921 per annum with the appointment of one Scrutineer 2 days per month across the proposed Partnership Arrangements.</p> <p>The streamlining of subgroups, the Systems Board and the Executive will result in a reduction in the frequency of attendance by senior leaders across the partnership from 68 to 34 per year.</p>
<u>Property/Other</u>	
11.	The subgroups, Board and Executive will hold hybrid arrangements for the meetings, both virtually and in person at Southampton Civic Centre.
LEGAL IMPLICATIONS	
<u>Statutory power to undertake proposals in the report:</u>	
12.	The proposals set out in this report meet the requirements for safeguarding partnership arrangements set out in the Care Act 2014 and the associated statutory guidance “Working Together to Safeguard Children 2023”.
<u>Other Legal Implications:</u>	
13.	In establishing the Partnership and Board regard has been had to the Council’s Equality duties (particularly those that relate to protected characteristics engaged by the work of the Partnership) and s.17 Crime & Disorder Act 1998.
RISK MANAGEMENT IMPLICATIONS	
14.	<p>Proposals are compliant with Working Together 2023 and Care Act 2014, tested through engagement with two existing integrated partnerships. Scrutiny is robust through the Children and Learning Scrutiny Panel and the Health Overview and Scrutiny Panel.</p> <p>Factors impacting upon partnership effectiveness are considered in the council’s strategic risk register and reviewed quarterly.</p>
POLICY FRAMEWORK IMPLICATIONS	
15.	The proposals contribute to the ‘Healthier and Safer Communities’ priority in Southampton’s City Strategy and the strategic objectives of the corporate plan .

KEY DECISION?	No
WARDS/COMMUNITIES AFFECTED:	All
<u>SUPPORTING DOCUMENTATION</u>	
Appendices	
1.	Proposed Terms of Reference for the Multi-Agency Safeguarding Arrangements

2.	Proposed Structure of the Southampton Children and Adults Safeguarding Partnership	
3.	Equality Impact Assessment	
Documents In Members' Rooms		
1.	None.	
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.	Full briefing paper – Safeguarding Partnership Arrangements	
2.	The Care Act 2014	
3.	Working Together to Safeguard Children 2023	



Proposed Terms of Reference for the Southampton Children and Adults Safeguarding Partnership (SCASP), including Safe City Partnership

Safeguarding Partnership Executive Group

The Executive Group undertakes the overall statutory safeguarding responsibility and strategic function and oversees the Southampton Children and Adults Safeguarding Partnership and the Community Safety Partnership. It is the key decision making body of the Multi-Agency Safeguarding Arrangements (MASAs). The group will provide leadership to promote a culture of learning and will also ensure that other local area leaders promote these arrangements.

The Executive Group will:

- Provide strategic leadership for all who work together to safeguard children, adults and communities
- To set the City priorities and ensure partnership collaboration to address these through system leadership
- Set, agree and review the plan for the new arrangements
- Identify priorities and themes for scrutiny
- Ensure that the 'relevant agencies / partners' are able to meet their obligations
- Provide the resources required to ensure that objectives are met – proposals for funding and resources will be submitted
- Commission appropriately experienced and high quality independent scrutineer capacity
- Be responsible for everyone knowing how arrangements work
- Facilitate resolution of escalated professional disagreement
- Ensure that the voices of adults and children are given equal priority

The executive group will have fixed membership of the three core partners to reflect their decision making responsibilities. There will be flexibility to include other relevant agencies when appropriate. The Partnership manager will also attend.

Chair: Chief Executive of the Council

Membership: police, health and social care titles (adult and children) and safe city partnership

Quoracy:

Meeting frequency: 6 times a year

Sub Groups

The sub groups act on behalf of the safeguarding partners to assist them to fulfil their responsibilities under the [Care Act 2014 \(legislation.gov.uk\)](#) [Children Act 2004 \(legislation.gov.uk\)](#) [Children and Social Work Act 2017 \(legislation.gov.uk\)](#) and [Working together to safeguard children 2023: statutory guidance \(publishing.service.gov.uk\)](#)

The safeguarding partners will appoint group chairs who will support the work of the groups and report on plans and progress achieved

Regular updates will be provided to the safeguarding partners via executive group meetings and the Partnership Manager / Scrutineer updates

A quorum is represented by a representative from the three safeguarding partner organisations ie. Southampton City Council, Integrated Care Board and the Hampshire and IoW Constabulary

Members who are unable to attend will ensure they have a representative to attend on their behalf

The individual groups determine the frequency they need to meet to progress their work

Adult and Children Systems Board

The Systems Board will consider activity within the SCASP for that period and any national, regional or local activities that may impact on the SCASP. The group will collectively identify areas of celebration, areas of concern and future focused areas for the following period. This group will also have an evaluation and development function to review and analyse the value of the partnership
Membership consists of chairs of subgroups and other key partners.

The Systems Board will:

- Have oversight of subgroup / group work plans
- Agree highlight messages from SCASP activity for that period
- Plan towards and drive progress of the SCASP business plan
- Provide assurances to the executive group
- Contribute to the evaluation and ongoing development of the SCASP
- Share responsibility to identify / propose solutions to challenges
- Escalate concerns
- Incorporate strategic oversight and scrutiny of the Family Safeguarding Model twice a year

Chair: Independent Scrutineer / DSP

Membership: To be ascertained – chairs of subgroups and key partners

Meeting frequency:

Partnership Review Group

The PRG will ensure SCASP comply with statutory requirements for SARS, Rapid Reviews, CSPRs and DARDS for children and adults.

Key Responsibilities:

- Ensure cases are reviewed in line with statutory requirements as set out in [Care Act 2014 \(legislation.gov.uk\)](https://legislation.gov.uk) and [Working together to safeguard children 2023: statutory guidance \(publishing.service.gov.uk\)](https://publishing.service.gov.uk) and [DHR-Statutory-Guidance-161206.pdf \(publishing.service.gov.uk\)](https://publishing.service.gov.uk) (awaiting update following consultation)
- Develop a triage system with the three statutory partners when a referral is received prior to the discussion at PRG
- If a statutory review is agreed, set the terms of reference and methodology
- Consider the draft report and recommendations and agree any suggested amendments
- Share recommendations with the executive group, National CSPR Panel, DfE, Ofsted and the Home Office (DARDS)
- Oversee and monitor recommendations and action plans and seek endorsement from systems board and executive group
- Consider cases in which there may have been missed opportunities or potential learning, including examples of good practice. Escalate cases to executive group if it is felt a learning review should be undertaken
- Ensure findings from all reviews are shared with the Learning and Development Group and Practice Improvement Group (QA) to consider the implications for training and procedure and ensure assurance activity, including data analysis and audits

Chair:

Membership:

Meeting Frequency: Monthly, with Rapid Reviews convened and as when required to meet statutory timeframes.

Quoracy: inc designates (ICB)

A Rapid Review meeting will be convened following notification of Serious Incident Notification (as set out in LCSPR Framework). All relevant agencies who have (or had) involvement with the subject child or family will be required to contribute to the Rapid Review and attend the meeting.

The Rapid Review Meeting record will be completed and agreed at the meeting. The outcomes/recommendations will be shared with (and agreement sought from) statutory safeguarding partners and the independent scrutineer, before being sent to the national Child Safeguarding Practice Review Panel, for consideration (as set out in Chapter 4: WT2018).

Learning and Development Group

The purpose of the L&D group is to promote and co-ordinate multi-agency development and learning, through the sharing of good multi-agency practice from a range of sources. The L&D Group is a joint subgroup.

Key Responsibilities:

- Network with all SCASP subgroups as part of the planning and implementation of a development and learning strategy
- Identify lessons learned from national, regional and local reviews, or significant cases, research papers or updated guidance
- Identify learning needs, develop and maintain a shared multi-agency training offer that incorporates the national, regional and local learning
- Support the embedding of a learning loop from safeguarding reviews and partnership activities
- Analyse and evidence the impact of the learning and development strategy
- Benchmarking practice and learning against national and regional trends

Chair:

Membership:

Meeting Frequency: Quarterly

Practice and Performance Improvement Group (QA)

The purpose of the Practice Improvement Group is to establish, co-ordinate, implement and monitor performance on a single and multi-agency basis, regarding children and adults, in line with the scope of the partnership. This will enable the partnership to understand the available data and findings of audit activity and how best it can be used.

Practice and Performance Improvement Group (QA)

- To quality assure operational effectiveness of safeguarding policies and procedures through quality of practice activities
- Provide a focus on selected themes or priorities to explore, where a multi-agency response is most needed
- Make suggestions and recommendations to improve multi-agency working within and across partnerships
- Identify local multi-agency practice strengths and areas of celebration, aligned to the priorities
- Benchmarking data, performance and practice against national and regional trends to agree recommendations for improvement across the partnerships
- Leading on multi-agency audits of practice – this will include setting an audit programme, undertaking the audits and monitoring the impact of findings
- Oversight of single agency audits
- Oversight of external inspections – including the dissemination of learning across the partnership and monitoring any action plans / improvement plans on behalf of the SCASP
- Establish the performance information to assist in setting and reviewing the partnership priorities
- Seek assurance each agency is monitoring and evaluating their performance to report into the subgroup

Chair:

Membership:

Meeting Frequency: Quarterly

Prioritising the voice and lived experience of children, young people, adults and families to inform safeguarding performance and practice improvements

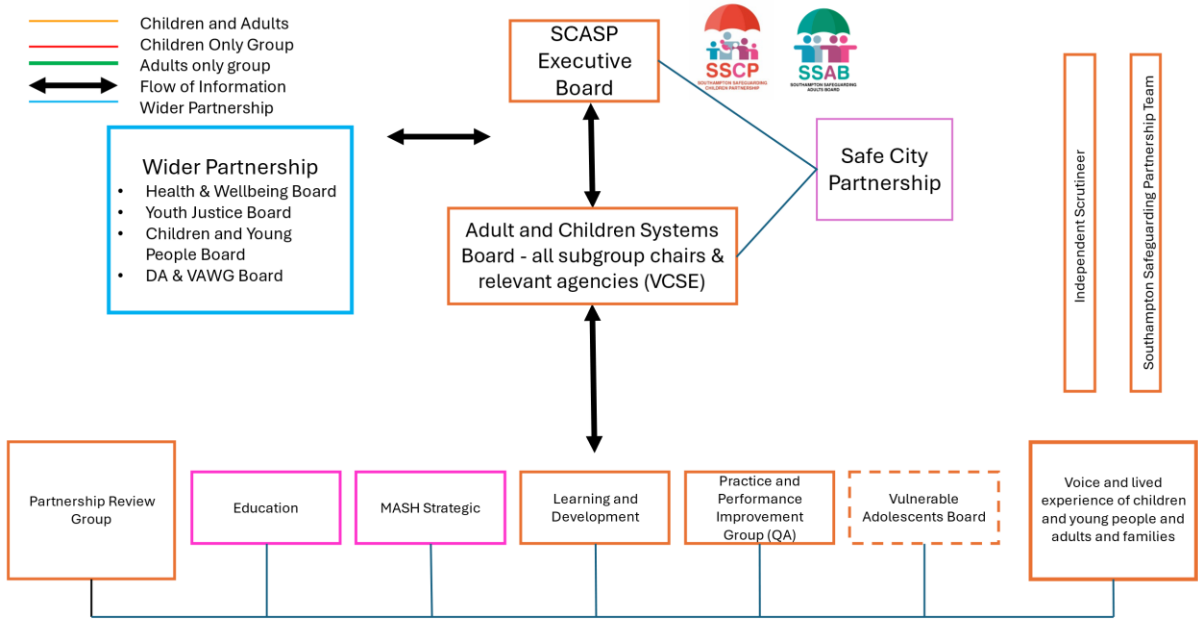
It is essential that safeguarding practice is informed in a meaningful way by those who are in need of support and protection. The SCASP will ensure that the work of the subgroups, Systems Board and the Executive is informed by the active participation of those with lived experience. This will be undertaken through involvement in review activity, improvement work, co-design and ultimately co-production. The development of relationships and integration of community and faith groups will be prioritised to ensure the diversity of the residents of Southampton is understood and included.

Relationships with the wider region – Portsmouth, Hampshire and Isle of Wight

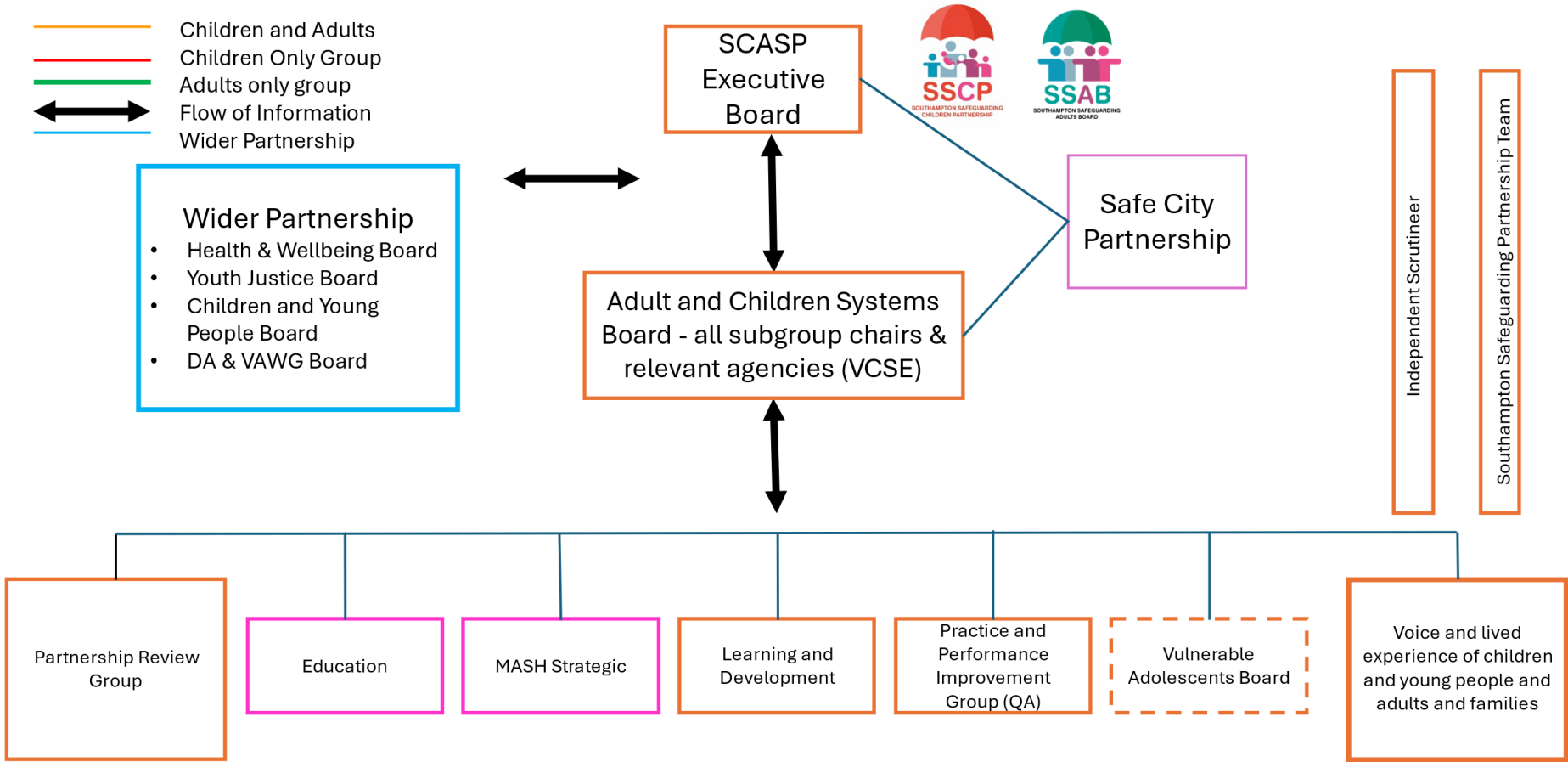
It is important to maintain links where there are cross cutting issues and opportunities for shared activity across the wider region, whilst ensuring that the specific demographics relating to Southampton are prioritised by the SCASP.

Task and Finish Groups – as and when required

Task and finish groups provide the opportunity to work on a specific area of work related to the strategic priorities or an area of activity where we already know that some improvement is required. Each group will develop clear aims and objectives and will formulate an action plan for improvement. Progress is monitored quarterly by the Safeguarding Partners through the Business Groups and reported on by the group lead.



Rebecca Holdsworth 8th August 2024



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Equality Impact Assessment Form



SOUTHAMPTON
CITY COUNCIL

Purpose

The purpose of an HR Equality Impact Assessment is to work out how a policy, procedure, strategy, function, practice, decision or project will affect people from different groups internally in terms of our employees. This is to ensure as far as possible our decisions and practices are developed in full recognition of the diverse needs, circumstances and concerns of the staff who will be affected by them.

Section 1: Overview

Name of policy, procedure strategy, project, practice or decision and brief description:	
Author of EIA:	
Date EIA completed:	
Date EIA to be reviewed:	
Frequency of Review: (1 Year / 3 Years)	
Justification of review:	

a) What is the purpose of the policy / procedure / strategy / project / practice or decision?

Provide a brief overview of what the project is designed to achieve, what you are proposing to do / change and why.

b) If consultation is planned, please provide brief details of format, date and who will be consulted. What engagement has taken place?

c) Who will be affected by this policy / procedure / strategy / project?

Section 2: Data collection and evidence

It is important to have as much up to date, reliable information as possible about different groups the policy / procedure / strategy / project is likely to or does affect.

a) What data, research, other evidence / information has been collated?

(please e-mail gareth.terry@southampton.gov.uk for your departments figures in relation to the below tables – if relevant)

Gender	Number of Staff	Disability	Number of Staff	Pregnancy or Maternity	Number of Staff
Men				Expectant mothers	
Women				Maternity, Paternity, Adoption, Parental leave	

Age	Number of Staff	Race	Number of Staff
16 - 27		BME	
28 - 39			
40 - 49			
50+			

b) Use the below table to show (on the basis of existing knowledge, data and best estimates):

- Where you think that the policy/procedure/strategy/project could have a negative impact on any of the protected characteristic groups, that is, it could disadvantage them – if no impact, please note the evidence for this.
- Where you think that the policy/procedure/strategy/project could have a positive impact on any of the groups or contribute to promoting equality, equal opportunities or improving relationships within equality characteristics.

(Please refer to the EIA Self Help Guidelines for an explanation of the levels of impact – high or low)

	Positive Impact (high or low)	Negative Impact (high or low)	No impact	Reasons and evidence (provide details of specific groups affected even for no impact)
Age	Please Select	Please Select	Please Select	
Disability	Please Select	Please Select	Please Select	
Race	Please Select	Please Select	Please Select	
Religion or Belief	Please Select	Please Select	Please Select	
Sex	Please select	Please Select	Please Select	
Sexual Orientation	Please Select	Please Select	Please Select	
Marriage and civil partnership	Please Select	Please Select	Please Select	
Gender reassignment	Please Select	Please Select	Please Select	
Pregnancy and maternity	Please Select	Please Select	Please Select	

c) If you have identified a negative high or low impact, please provide information on how you propose to manage it.

Section 3: Making a decision

Please summarise your findings and give an overview of whether the policy / procedure / project / strategy will meet the Council’s responsibilities in relation to equality.

The results of the EIA provide four possible outcomes. Please consider these carefully and complete the outcome relevant to this policy / procedure / project / strategy with justification. Note it is possible to have more than one outcome per project:

Outcome 1	No major Change required when the EIA has not identified any potential for discrimination
Outcome 2	Adjust the policy / procedure / project / strategy to remove barriers identified by the EIA or better promotes equality. Action Plan required.
Outcome 3	Continue the policy / procedure / project / strategy despite potential for adverse impact or missed opportunities to promote equality. Action Plan required.
Outcome 4	Stop and rethink the policy / procedure / project / strategy when the EIA shows actual or potential unlawful discrimination.

What is the outcome that you have decided upon? Please include justification.

--

Section 4: Action Plan

The below provides an opportunity to state how any negative impact will be mitigated. It also allows you to list how you will tackle any gaps in the policy / procedure / strategy / project.

Issue	Actions/Who is Responsible <i>(consider changes in communication methods, revising programmes or involvement activities)</i>	Target date

Section 5: Sign-off

The policy / procedure / strategy / project has been fully assessed in relation to its potential effects on equality and all relevant concerns have been addressed.

Once you have completed the EIA please sign the below and forward to your Service Lead. Once completed, please send this form to your HR Advisor.

Author of EIA			
Name:		Job Title and Service Area	
Date:		Signature:	R. Holdsworth

Quality check			
Name (checked by):		Job Title	Head of Quality Assurance, Children and Learning
Date:		Signature:	S.Webb

DECISION-MAKER:	Cabinet
SUBJECT:	Corporate Performance Reporting
DATE OF DECISION:	17 September 2024
REPORT OF:	COUNCILLOR FIELKER LEADER OF THE COUNCIL

<u>CONTACT DETAILS</u>			
Executive Director	Title	Director of Strategy & Performance	
	Name:	Munira Holloway	Tel: 023 8083 4476
	E-mail	munira.holloway@southampton.gov.uk	
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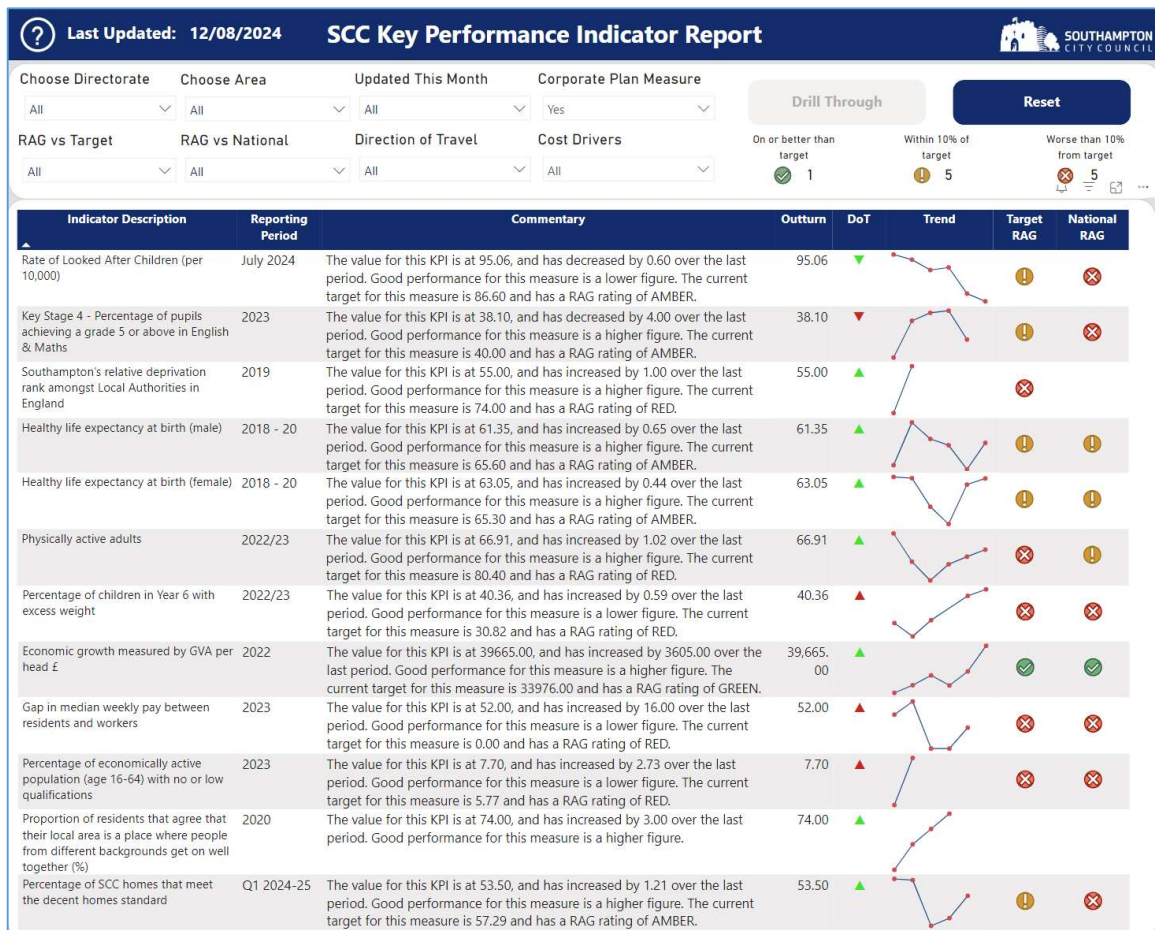
STATEMENT OF CONFIDENTIALITY
NOT APPLICABLE
BRIEF SUMMARY
<p>Southampton City Council recognises the importance of effective performance management in delivering high-quality services to its residents. By implementing an updated, comprehensive reporting process, the council aims to foster an evidence and intelligence-led culture, as outlined in its Data and Intelligence Strategy.</p>
<p>This report provides a summary of the Q1 strategic accountability and performance framework for the council. It is being developed on an iterative basis, and in time will align to ensure it is reflective of the aligned strategic outcomes in the City Plan, Master Plan and other key strategies. Effective partnership working is core to successful achievement of some of the outcomes, these are considered core indicators about the city and whilst the council does not necessarily have direct control over the outcomes, recognising the council's leadership role in partnerships across the city remain important areas of focus.</p>
<p>2024/25 being a transitional year for the council, a one year update to the Corporate Plan was agreed, with service business plans developed to support this. The performance report covers key performance indicators (KPIs) relating to the Corporate Plan, service business plans and relevant measures from the Office of Local Government (Oflog). These are refreshed monthly and reported to Management Board and Cabinet on a quarterly basis.</p>
<p>This report also summarises performance by directorate, highlighting areas that are on track / improving as well as areas of concern and actions being taken to address these.</p>

RECOMMENDATIONS:	
(i)	To note the performance report.
(ii)	To note performance issues raised, actions being taken and consider any areas for focus or further investigation.
REASONS FOR REPORT RECOMMENDATIONS	
1.	Embedding a consistent and effective performance reporting process is important in order for the organisation to effectively manage its services and finances, improve processes and outcomes and to deliver on transformation objectives.
2.	The proposed approach aligns to the Data and Intelligence Strategy for the Council and its aspiration to be an evidence and intelligence-led organisation.
ALTERNATIVE OPTIONS CONSIDERED AND REJECTED	
3.	No corporate reporting process in place, with reporting ad-hoc or on request. Rejected as regular performance reporting is essential for the council to effectively manage its business.
DETAIL (Including consultation carried out)	
4.	Background The SCC Corporate Performance Report provides a high level overview of the performance of the organisation. The report has been developed in Power BI, allowing managers and Cabinet Members to explore a key set of measures on a regular basis, benchmark performance (against local targets, the national average / comparator areas), and also examine trends over time.
5..	The dashboards bring together performance, finance and HR data in a single location using a Power BI Application. Managers can access this information in one location, providing a single version of the truth.
6.	The Corporate KPI measures will be reviewed with Management Board, the Business Planning and Performance Group and Cabinet to ensure they continue to be relevant and reflect key performance issues. Other than those relating to the Corporate Plan, indicators will be added, removed or raised by exception if needed throughout the year.
7.	In some areas local targets have been agreed with services to measure performance. The report also allows users to benchmark indicators against the national average and comparator areas (where available) to get a broader understanding of relative performance and where Southampton may be an outlier.
8.	Although the report is updated monthly, some measures are only available on a quarterly or annual basis and so will be updated as new data becomes available.
9.	Briefing details: Overall, the report provides a mixed picture of performance across the organisation. There are certainly some areas of positive movement, and evidence of where decisive transformation or improvement activity has produced positive results. Where there are areas of concern these are being addressed both at a service and cross departmental level. Transformation plans

are developing across the entire organisation which alongside financial benefits will be focused on ensuring performance meets expected levels.

10. **Corporate Plan indicators**

Most measures in the Corporate Plan are strategic indicators that reflect the city's overall status. While the council has limited control over these indicators, they are crucial for understanding residents' needs and service requirements. Achieving the aspirational local targets set requires effective partnership across the city.



11. **Key Performance Indicators (KPIs)**

Among the 11 KPIs with local targets:

- 1 is on track (green)
- 4 are close to target (amber), within 10%
- 6 are not meeting targets (red)

Despite this, 8 indicators are showing improvement.

Children in Care (CiC)

The current rate of Children in Care is 96.1 per 10,000 children, a decrease from 98.3 in March 2024.

This rate was as high as 113 in December 2022, but has been gradually reducing over the past 18 months. Our average is now lower than our statistical neighbours, who have an average of 100.9. We aim to reach a target of 72 by March 2026, which would place us among the best performers in our group. This ambition is based on the new Family Safeguarding approach launched in June 2024. If the current trend continues the year end rate would be circa 89.4,

which is short of our target of 86.6, but having seen the positive impact to date the new approach is expected to drive further improvements.

Academic achievement

The latest official data for 2022/23 indicates that academic achievement for Key Stage 4 (KS4) students is currently below the national average, with 38.1% achieving a grade 5 or above in English and Maths, compared to 45.5% nationally. Early provisional 2023/24 results day analysis indicates 40% of Southampton pupils (10 out of 12 schools) achieved a 9-5 in English and Maths GCSE. Official provisional analysis is due to be released by the DfE in late September or early October and will provide more detail into the 2023/24 performance for all Southampton schools.

Health and wellbeing

Healthy life expectancy at birth for both males and females is below the national average, as are levels of physical activity. These trends are likely linked to the city's level of deprivation.

Both indicators have shown improvement recently, suggesting a positive trend.

Childhood obesity

The percentage of children in Year 6 classified as overweight or obese has risen to 40.4% in 2022/23, higher than the national average of 36.6%.

Economic Indicators

Economic indicators present a mixed picture. Economic growth, measured by Gross Value Added (GVA) per head, is above the national average and improving. However, the proportion of residents with no or low qualifications and the pay gap between residents and workers in the city are worse than the England average and not improving.

Housing Standards

Only 53.5% of homes meet the decent homes standard, which is significantly lower than the national average of 93.5%.

More detail on the KPIs above are provided in the Directorate summaries below.

12. Children and Learning – Social Care:

Indicator Description	Reporting Period	Commentary	Outturn	DoT	Trend	Target RAG	National RAG
Rolling rate of referrals per 10,000 of Under 18 Population	July 2024	The value for this KPI is at 575.97, and has decreased by 11.43 over the last period. Good performance for this measure is a lower figure. The current target for this measure is 581.00 and has a RAG rating of GREEN.	575.97	▼		✓	
Rate of Children in Need (per 10,000)	July 2024	The value for this KPI is at 347.75, and has decreased by 5.81 over the last period. Good performance for this measure is a lower figure. The current target for this measure is 354.00 and has a RAG rating of GREEN.	347.75	▼		✓	!
Percentage of re-referrals within 12 months	July 2024	The value for this KPI is at 20.63, and has decreased by 5.21 over the last period. Good performance for this measure is a lower figure. The current target for this measure is 20.40 and has a RAG rating of AMBER.	20.63	▼		!	
Rate of Children subject to Child Protection Plan (per 10,000)	July 2024	The value for this KPI is at 44.32, and has decreased by 5.62 over the last period. Good performance for this measure is a lower figure. The current target for this measure is 49.00 and has a RAG rating of GREEN.	44.32	▼		✓	!
Percentage of Child Protection Children subject to a plan for a second or subsequent time	July 2024	The value for this KPI is at 37.56, and has increased by 1.01 over the last period. Good performance for this measure is a lower figure. The current target for this measure is 25.10 and has a RAG rating of RED.	37.56	▲		✗	
Rate of Looked After Children (per 10,000)	July 2024	The value for this KPI is at 95.06, and has decreased by 0.60 over the last period. Good performance for this measure is a lower figure. The current target for this measure is 86.60 and has a RAG rating of AMBER.	95.06	▼		!	✗
Percentage of CLA placed in SCC provision fostering placements as at the end of the month	July 2024	The value for this KPI is at 45.36, and has decreased by 0.34 over the last period. Good performance for this measure is a higher figure. The current target for this measure is 58.00 and has a RAG rating of RED.	45.36	▼		✗	
Percentage of CLA at end of month with 3 or more placements during the year	July 2024	The value for this KPI is at 13.50, and has decreased by 0.76 over the last period. Good performance for this measure is a lower figure. The current target for this measure is 10.50 and has a RAG rating of RED.	13.50	▼		✗	
Percentage of care leavers in suitable accommodation on their 19th to 21st birthday	July 2024	The value for this KPI is at 84.95, and has increased by 0.71 over the last period. Good performance for this measure is a higher figure. The current target for this measure is 87.90 and has a RAG rating of AMBER.	84.95	▲		!	!
Percentage of care leavers aged 19-21 in Education, Employment or Training	July 2024	The value for this KPI is at 56.80, and has decreased by 1.82 over the last period. Good performance for this measure is a higher figure. The current target for this measure is 54.70 and has a RAG rating of GREEN.	56.80	▼		✓	✓
Percentage of care leavers in touch with the authority from 19th - 21st birthday	July 2024	The value for this KPI is at 91.75, and has decreased by 0.37 over the last period. Good performance for this measure is a higher figure. The current target for this measure is 93.70 and has a RAG rating of AMBER.	91.75	▼		!	

At a corporate level, the performance of the Children and Learning – Social Care is assessed through 11 key performance indicators (KPIs), with 2 indicators rated green, 4 amber, and 5 red. Most KPIs are trending positively reflecting the work that has been undertaken to improve the division over the past few years.

On track / improving

Referral rates: The referral rate has decreased significantly from 747 per 10,000 children in October 2023 to 588. This is close to the new target set for a 10% reduction in 2024-25, with a current reduction of 9%.

Children in Need: The rate of Children in Need has fallen to 350.6 per 10,000 children as of June 2024, aligning with a downward trend since January 2024. The previous target was achieved in November 2023, and the service has already met its new goal of a 10% reduction from March 2024.

Child Protection Plans: The number of children under Child Protection plans has decreased to 49.9 per 10,000, below the statistical average of 52.9. We are on track to reach our target of 49.0, although we remain higher than the national average of 43.2, which is not unusual for a city with our demographic.

Children in Care (CiC): The rate of CiC is now 96.1 per 10,000 children, down from 98.3 in March 2024. This is a significant reduction from 113 in December 2022. The long-term goal is to reduce this to 72 by March 2026, with the new Family Safeguarding approach expected to facilitate further improvements.

Fostering and Care Leavers: There have been improvements in fostering placements and stability. Additionally, 58.6% of care leavers are in education, employment, or training, exceeding the target of 54.7%.

Areas of focus

Re-referral rates: The rate of re-referrals within 12 months has increased to 26.1%, surpassing the target of 20.4%. This rise is attributed to some double counting as a result of the implementation of the new Family Help Model.

Action: Double counting issues will be resolved by the next reporting period. A case audit underway to analyse the June cohort of re-referrals.

Repeat Child Protection plans: Nearly 37% of children are on a Child Protection Plan for a second or subsequent time, above the target of 25.1%. 2% return within a year, and 7% within two years, with domestic abuse identified as the primary reason for repeat plans.

Action: The Safe and Together approach alongside domestic abuse practitioners being situated within the team aims to address this, supporting long term change.

Care Leavers in suitable accommodation: The percentage of care leavers in suitable accommodation has dropped to 84.2%, below the target of 87.9% and below the national average of 88%.

13. Children and Learning – Education & Youth Offending:

Indicator Description	Reporting Period	Commentary	Outturn	DoT	Trend	Target RAG	National RAG
Rate of First Time Entrants into Youth Justice (per 100,000)	Jan 23 - Dec 23	The value for this KPI is at 202.00, and has decreased by 23.00 over the last period. Good performance for this measure is a lower figure. The current target for this measure is 161.00 and has a RAG rating of RED.	169.00	▼		!	!
EYFSP - Good Level of Development	2023	The value for this KPI is at 66.90, and has increased by 5.10 over the last period. Good performance for this measure is a higher figure. The current target for this measure is 68.00 and has a RAG rating of AMBER.	66.90	▲		!	!
Key Stage 2 - Reading, Writing and Maths combined at the Expected Standard	2023	The value for this KPI is at 56.00, and has increased by 3.00 over the last period. Good performance for this measure is a higher figure. The current target for this measure is 58.00 and has a RAG rating of AMBER.	56.00	▲		!	!
Percentage of young people reoffending	Apr 22 - Jun 22	The value for this KPI is at 45.00, and has increased by 3.33 over the last period. Good performance for this measure is a lower figure. The current target for this measure is 27.10 and has a RAG rating of RED.	45.00	▲		×	×
Key Stage 4 - Attainment 8 Points Score	2023	The value for this KPI is at 42.90, and has decreased by 3.20 over the last period. Good performance for this measure is a higher figure. The current target for this measure is 44.00 and has a RAG rating of AMBER.	42.90	▼		!	!
Key Stage 4 - Percentage of pupils achieving a grade 5 or above in English & Maths	2023	The value for this KPI is at 38.10, and has decreased by 4.00 over the last period. Good performance for this measure is a higher figure. The current target for this measure is 40.00 and has a RAG rating of AMBER.	38.10	▼		!	×
Free School Meal Eligible Pupils	Spring 2024	The value for this KPI is at 35.60, and has increased by 0.50 over the last period. Good performance for this measure is a lower figure. The current target for this measure is 36.00 and has a RAG rating of GREEN.	35.60	▲		✓	×
Persistent Absence (10%)	Autumn 2023/24	The value for this KPI is at 21.16, and has decreased by 2.14 over the last period. Good performance for this measure is a lower figure. The current target for this measure is 21.20 and has a RAG rating of GREEN.	21.16	▼		✓	!
Overall Absence	Autumn 2023/24	The value for this KPI is at 7.32, and has decreased by 0.78 over the last period. Good performance for this measure is a lower figure. The current target for this measure is 7.20 and has a RAG rating of AMBER.	7.32	▼		!	!
Percentage of 16-17 year olds Not in Education, Employment or Training (INEET)	2023	The value for this KPI is at 4.10, and has increased by 0.30 over the last period. Good performance for this measure is a lower figure. The current target for this measure is 4.60 and has a RAG rating of GREEN.	4.10	▲		✓	×

The performance of the Children and Learning – Education & Youth Offending sector is monitored at a corporate level through 10 key performance indicators, with 3 indicators rated green, 6 amber, and 1 red. 5 KPIs are improving, while 5 are worsening.

On track / improving

Absence Rates: The latest data from the Autumn term shows improvement in both overall absence (7.32% vs target of 7.20%) and persistent absence

(21.16% vs target of 21.20%). Primary schools have driven these improvements, while secondary schools still struggle with persistent absence.

Team Around the School Initiative: Schools involved in this initiative have seen particularly rapid improvements in absence rates.

Youth Offending: Over two-thirds of Youth Offending Services inspected in the past year received an overall rating of 'Good' or 'Outstanding', with stable staffing, manageable caseloads, and impressive services. This has translated into positive individual casework.

Areas of focus

Educational outcomes: Data from the 2022/23 academic year shows 55.9% of KS2 pupils achieved the expected standard in reading, writing, and maths, similar to last year but below the 58% target and likely still below the national average.

Early 2024 data indicates a 0.3% reduction in pupils achieving a Good Level of Development at the end of Reception, 29 pupils lower than the early national average.

Actions:

- Service redesign to ensure right skills and capacity to drive standards
- New model for school improvement has been adopted from this academic year (September 2024)
- Development of new partnerships to raise attainment in specific subjects (e.g. primary maths)
- Focus and targeted support to reduce absence from school...leading to better academic outcomes.

Reducing absence for pupils classified as SEN K is a priority across all school phases.

Actions:

- Delivering Better Value programme providing more supportive inclusion practice for mainstream schools via the Autism in Schools programme, the work of the Inclusion Audit Manager, the Southampton Inclusion Partnership and the SEMH modules.
- Roll out of the Neuro Diversity Profiling Tool to Southampton schools leveraging in earlier, more preventative interventions for children without an EHCP.
- Pilot phase of the mainstream schools cluster funding programme enabling groups of schools to deliver earlier interventions to children, particularly those classified as SEN K.

14. Community Wellbeing – Adult Social Care:

Indicator Description	Reporting Period	Commentary	Outturn	DoT	Trend	Target RAG	National RAG
Number of contacts created by or received by ASC Connect team (including those created by Contact Centre team)	31/07/2024	The value for this KPI is at 826.00, and has increased by 114.00 over the last period. Good performance for this measure is a lower figure.	826.00	▲			
The proportion of people who received short-term services during the year – who previously were not receiving services – where no further request was made for ongoing support.	2022/23	The value for this KPI is at 73.18, and has decreased by 11.52 over the last period. Good performance for this measure is a higher figure. The current target for this measure is 76.40 and has a RAG rating of AMBER.	73.18	▼		!	!
The proportion of people who use services who find it easy to find information about services	2022/23	The value for this KPI is at 65.70, and has increased by 1.20 over the last period. Good performance for this measure is a higher figure. The current target for this measure is 64.60 and has a RAG rating of GREEN.	65.70	▲		✓	!
The proportion of carers who find it easy to find information about support.	2021/22	The value for this KPI is at 63.40, and has increased by 4.70 over the last period. Good performance for this measure is a higher figure. The current target for this measure is 57.70 and has a RAG rating of GREEN.	63.40	▲		✓	✓
% of contacts with an outcome of request for telecare or housing adaptations or reablement intervention required	31/07/2024	The value for this KPI is at 16.09, and has increased by 0.81 over the last period. Good performance for this measure is a higher figure. The current target for this measure is 15.00 and has a RAG rating of GREEN.	16.09	▲		✓	
Number of New Care Act Assessments completed (excluding terminated assessments, unplanned reviews and planned reviews)	31/07/2024	The value for this KPI is at 157.00, and has increased by 53.00 over the last period.	157.00	▲			
Proportion of people and carers with eligible long term services reviewed during the past 12 months	31/07/2024	The value for this KPI is at 50.56, and has decreased by 2.22 over the last period. Good performance for this measure is a higher figure. The current target for this measure is 75.00 and has a RAG rating of RED.	50.56	▼		✗	
Proportion of completed safeguarding enquiries where the Adult at Risk achieved their desired outcomes	31/07/2024	The value for this KPI is at 66.67, and has increased by 23.81 over the last period. Good performance for this measure is a higher figure. The current target for this measure is 44.60 and has a RAG rating of GREEN.	66.67	▲		✓	
(ASC) Staff turnover in the workforce (The proportion of directly employed staff in the formal care workforce leaving their role in the past 12 months)	2022/23	The value for this KPI is at 28.30, and has decreased by 3.20 over the last period. Good performance for this measure is a lower figure. The current target for this measure is 30.00 and has a RAG rating of GREEN.	28.30	▼		✓	✓
Proportion of people who use services who receive direct payments	31/07/2024	The value for this KPI is at 12.50, and has increased by 0.01 over the last period. Good performance for this measure is a higher figure. The current target for this measure is 18.00 and has a RAG rating of RED.	12.50	▲		✗	✗
Cumulative number of younger adults (aged 18-64) whose long-term support needs are met by admission to residential and nursing care homes, per 100,000 population	31/07/2024	The value for this KPI is at 5.95, and has increased by 0.59 over the last period. Good performance for this measure is a lower figure. The national benchmark for the year is 1668.00. The target based on how far we are into the period for this measure is 4.87 and therefore the the RAG rating is RED.	5.95	▲		✓	✓
Cumulative number of older adults (aged 65 and over) whose long-term support needs are met by admission to residential and nursing care homes, per 100,000 population	31/07/2024	The value for this KPI is at 176.06, and has increased by 40.41 over the last period. Good performance for this measure is a lower figure. The target based on how far we are into the period for this measure is 186.93 and therefore the the RAG rating is GREEN.	176.06	▲		✓	✓
Quality of life of people who use services - adjusted to account only for the additional impact of local-authority funded social care on quality of life, removing non-service-related factors (underlying health and care needs, gender, and so on).	2022/23	The value for this KPI is at 0.39, and has increased by 0.01 over the last period. Good performance for this measure is a higher figure. The current target for this measure is 40.70 and has a RAG rating of RED.	0.39	▲		!	!
Quality of life of carers	2021/22	The value for this KPI is at 7.50, and has increased by 0.50 over the last period. Good performance for this measure is a higher figure. The current target for this measure is 7.30 and has a RAG rating of GREEN.	7.50	▲		✓	✓

The performance of the Adult Social Care (ASC) sector is evaluated through 13 key performance indicators (KPIs). Currently, 7 KPIs are rated green, 4 are amber (within 10% of the target), and 2 are red.

Out of all 15 KPIs, 7 are improving, 7 are worsening, and 1 has remained unchanged.

On track / improving

Reduction in contacts: There has been a reduction in the number of contacts to ASC over the past year, with 2,571 contacts recorded in Q1 24/25, down from 2,673 in Q4 23/24. Monthly fluctuations are common.

Care Act assessments: The number of new Care Act assessments continues to fall, having decreased from 384 in Q4 23/24 to 329 in Q1 24/25. This will be validated via the ASC Improvement Board, however we know improvements in recording and the timeliness of conducting assessments and reviews is improving.

Telecare and Housing Adaptations: The percentage of contacts resulting in requests for telecare or housing adaptations increased to 15.3% in June, exceeding the target of 15%. This indicates effective early intervention and prevention of potentially more costly long-term care. However there still remains a significant challenge of works being undertaken that can lead to lengthy delays once a referral has been received. This means sometimes individuals who can live at home for longer may be placed into residential care as their care needs may deteriorate whilst waiting for this support. There are cross-organisational plans in place to improve this.

Admissions to Care Homes: The rate of admissions for individuals aged 65 and older to residential and nursing care homes rose to 124.1 per 100,000 in June. If this trend continues, the projected annual rate would be 496, which is still below the target of 560.8.

ASC review data: Positive results show that 60.4% of reviews are conducted within 12 months, exceeding the national average of 57%.

Areas of focus

Direct Payments: The percentage of service users receiving direct payments remains low at 12.3% in June, below the local target of 18% and significantly lower than the national average of 26.2%. This figure has been stable over the past year and ranks among the lowest amongst comparators.

Action: A new direct payments 'Virtual Wallet' offer is being developed as part of the transformation programme. Work is also being undertaken to provide staff with the tools and understanding to encourage the use of Direct Payments.

Adult admissions: The rate of admissions for individuals aged 18-64 to residential and nursing care homes was stable at 4.76 per 100,000 in June. However, if the Q1 trend continues, the projected annual rate would be 19.04, exceeding the target of 14.60. This figure will be positively impacted by de-registration of residential homes to Supported Living and the transformation work that is focused on people being supported in the accommodation that best meets their needs, in the most independent setting.

Action: ASC will pay close attention to this target via its transformation work and its own improvement board as outlined earlier and it reflects a need for the Council to improve its Supported Living offer and waiting times for individuals requiring Housing adaptations as well as support to individuals to maintain their own tenancies to avoid ASC having to place individuals into residential care settings and to ensure individuals may live in their own home and community for as long as possible.

The transformation programme is addressing areas of concern and positive results have already been seen. Under the transformation programme key performance indicators will be aligned to each outline business case, to track our progress and offer key measures to evidence progress. As part of this, measures included in the dashboard will be reviewed to ensure they provide better insight into progress.

15. Community Wellbeing – Public Health and Communities:

Indicator Description	Reporting Period	Commentary	Outturn	DoT	Trend	Target RAG	National RAG
Number of contacts created by or received by ASC Connect team (including those created by Contact Centre team)	31/07/2024	The value for this KPI is at 826.00, and has increased by 114.00 over the last period. Good performance for this measure is a lower figure.	826.00	▲			
The proportion of people who received short-term services during the year – who previously were not receiving services – where no further request was made for ongoing support.	2022/23	The value for this KPI is at 73.18, and has decreased by 11.52 over the last period. Good performance for this measure is a higher figure. The current target for this measure is 76.40 and has a RAG rating of AMBER.	73.18	▼		!	!
The proportion of people who use services who find it easy to find information about services	2022/23	The value for this KPI is at 65.70, and has increased by 1.20 over the last period. Good performance for this measure is a higher figure. The current target for this measure is 64.60 and has a RAG rating of GREEN.	65.70	▲		✓	!
The proportion of carers who find it easy to find information about support.	2021/22	The value for this KPI is at 63.40, and has increased by 4.70 over the last period. Good performance for this measure is a higher figure. The current target for this measure is 57.70 and has a RAG rating of GREEN.	63.40	▲		✓	✓
% of contacts with an outcome of request for telecare or housing adaptations or reablement intervention required	31/07/2024	The value for this KPI is at 16.09, and has increased by 0.81 over the last period. Good performance for this measure is a higher figure. The current target for this measure is 15.00 and has a RAG rating of GREEN.	16.09	▲		✓	
Number of New Care Act Assessments completed (excluding terminated assessments, unplanned reviews and planned reviews)	31/07/2024	The value for this KPI is at 157.00, and has increased by 53.00 over the last period.	157.00	▲			
Proportion of people and carers with eligible long term services reviewed during the past 12 months	31/07/2024	The value for this KPI is at 50.56, and has decreased by 2.22 over the last period. Good performance for this measure is a higher figure. The current target for this measure is 75.00 and has a RAG rating of RED.	50.56	▼		✗	
Proportion of completed safeguarding enquiries where the Adult at Risk achieved their desired outcomes	31/07/2024	The value for this KPI is at 66.67, and has increased by 23.81 over the last period. Good performance for this measure is a higher figure. The current target for this measure is 44.60 and has a RAG rating of GREEN.	66.67	▲		✓	
(ASC) Staff turnover in the workforce (The proportion of directly employed staff in the formal care workforce leaving their role in the past 12 months)	2022/23	The value for this KPI is at 28.30, and has decreased by 3.20 over the last period. Good performance for this measure is a lower figure. The current target for this measure is 30.00 and has a RAG rating of GREEN.	28.30	▼		✓	✓
Proportion of people who use services who receive direct payments	31/07/2024	The value for this KPI is at 12.50, and has increased by 0.01 over the last period. Good performance for this measure is a higher figure. The current target for this measure is 18.00 and has a RAG rating of RED.	12.50	▲		✗	✗
Cumulative number of younger adults (aged 18-64) whose long-term support needs are met by admission to residential and nursing care homes, per 100,000 population	31/07/2024	The value for this KPI is at 5.95, and has increased by 0.59 over the last period. Good performance for this measure is a lower figure. The national benchmark for the year is 1668.00. The target based on how far we are into the period for this measure is 4.87 and therefore the the RAG rating is RED.	5.95	▲		✓	✓
Cumulative number of older adults (aged 65 and over) whose long-term support needs are met by admission to residential and nursing care homes, per 100,000 population	31/07/2024	The value for this KPI is at 176.06, and has increased by 40.41 over the last period. Good performance for this measure is a lower figure. The target based on how far we are into the period for this measure is 186.93 and therefore the the RAG rating is GREEN.	176.06	▲		✓	✓
Quality of life of people who use services - adjusted to account only for the additional impact of local-authority funded social care on quality of life, removing non-service-related factors (underlying health and care needs, gender, and so on).	2022/23	The value for this KPI is at 0.39, and has increased by 0.01 over the last period. Good performance for this measure is a higher figure. The current target for this measure is 40.70 and has a RAG rating of RED.	0.39	▲		!	!
Quality of life of carers	2021/22	The value for this KPI is at 7.50, and has increased by 0.50 over the last period. Good performance for this measure is a higher figure. The current target for this measure is 7.30 and has a RAG rating of GREEN.	7.50	▲		✓	✓

These represent strategic indicators on the state of the city. Although we have less direct control of these, they provide important context for the city, impacting on outcomes for residents and demand for services. Aspirational local targets have been set and require effective partnership working across the city to have a positive impact. Recognising the council's leadership role in this, significant effort is being made to improve collaborative working across the system. The development of the Southampton City Plan will provide an opportunity to further engage and embed effective partnership working to achieve these common goals.

Of the 16 KPIs with local targets set, none are currently green, 5 are amber (within 10% of target), and 11 are red. However, amongst the total 18 KPIs, 11 are moving in the right direction (improving), while 5 are worsening.

Areas of focus

Crime rates: Rates of violent crime, domestic abuse, and hate crime are significantly higher than the national average. However, quarterly local data over the last 12 months suggest rates for all three are falling, although not yet meeting our local targets. The targets are based on the England average and are long-term aspirations.

Action: Whilst the direction of travel shows the city is improving in reducing the commission rates of these crimes, given the challenges of deprivation compared to many others, work continues with the police, residents groups and the safe city partnership.

Health outcomes: Residents tend to have poorer health outcomes compared to the national average, as demonstrated across all public health KPIs. The targets set are based on the best amongst our comparator areas (except for smoking prevalence, which is a national target) and are aspirational.

Deprivation: The city has higher levels of deprivation compared to the England average, with around 12% of the population living in neighbourhoods within the 10% most deprived nationally. This rises to 18% for the under 18 population, suggesting deprivation disproportionately impacts young people. Over 45% of the population live in neighbourhoods within the 30% most deprived nationally (around 117,000 people), and the city is ranked 55th most deprived amongst the 317 local authority areas in England.

Healthy Life expectancy: Changes in self-reported good health prevalence have a larger impact on healthy life expectancy than changes in mortality rates. Self-reported poor health is associated with living with multiple long-term conditions, having musculoskeletal system conditions, and is linked to household income, education, smoking, and physical activity.

Childhood obesity: Childhood obesity is the result of a highly complex system of interacting drivers. Local key drivers have been identified, and the intent is to address these working together with system partners to create a health-promoting environment for families.

Action: We have greater ambition for our Public Health and deprivation indicators requiring action across the building blocks for good health. Alongside this, there has been a recent reset of relationships with Health partners with a strong emphasis on ensuring the Public Health Grant and monies held across Southampton to support the Health and Social Care system is scrutinised more rigorously by the Health and Care Partnership Board and the Health and Wellbeing Board. These two boards will also set clear key performance indicators for system partners and providers in order to improve on these public health and deprivation outcomes together moving forward.

16. **Growth & Prosperity:**

Indicator Description	Reporting Period	Commentary	Outturn	DoT	Trend	Target RAG	National RAG
Economic growth measured by GVA per head £	2022	The value for this KPI is at 39665.00, and has increased by 3605.00 over the last period. Good performance for this measure is a higher figure. The current target for this measure is 33976.00 and has a RAG rating of GREEN.	39,665.00	▲		✓	✓
Employment rate (aged 16-64)	2023	The value for this KPI is at 76.70, and has increased by 2.40 over the last period. Good performance for this measure is a higher figure. The current target for this measure is 75.70 and has a RAG rating of GREEN.	76.70	▲		✓	✓
Gap in median weekly pay between residents and workers	2023	The value for this KPI is at 52.00, and has increased by 16.00 over the last period. Good performance for this measure is a lower figure. The current target for this measure is 0.00 and has a RAG rating of RED.	52.00	▲		✗	✗
Percentage of the economically active population (age 16-64) with level 3+ qualifications	2023	The value for this KPI is at 69.65, and has decreased by 6.33 over the last period. Good performance for this measure is a higher figure. The current target for this measure is 72.83 and has a RAG rating of AMBER.	69.65	▼		!	!
Percentage of economically active population (age 16-64) with no or low qualifications	2023	The value for this KPI is at 7.70, and has increased by 2.73 over the last period. Good performance for this measure is a lower figure. The current target for this measure is 5.77 and has a RAG rating of RED.	7.70	▲		✗	✗
Percentage of major planning applications decided on time	2021 - 23	The value for this KPI is at 100.00, and has not changed over the last period. Good performance for this measure is a higher figure. The current target for this measure is 60.00 and has a RAG rating of GREEN.	200.00	▶		✓	✓

Economic Indicators

Supporting the development of fair and sustainable local economy, built on inclusive growth and shared prosperity, is a key outcome goal for the Council and partners. As such, the economic indicators below are presenting a mixed picture. Positively, Gross Value Added (GVA) per head and the employment rate are above the national average. However, other areas such as out-of-work

benefit claimants, the pay gap between residents and workers, and resident qualification levels are below the England average. While many underlying factors contributing to this socio-economic position have been discussed in the Community Wellbeing section, particularly regarding deprivation and health, work is nevertheless underway – and will need to evolve - that looks to address where possible these challenges.

In relation to the city economy, research and experience suggest it currently lacks resilience, especially in the city centre. So it is critical that in our future planning, we are collectively looking to support efforts that accelerate a diversification of what's on offer, balancing off lower value sectors (some of which are in decline) with more balanced and future focussed offer, while driving the dynamism needed to enhance both the resilience and growth potential of the local economy.

Therefore, to address the challenges above a new sub-regional strategy and local Growth and Prosperity plan will serve as blueprints for fostering growth and enhancing economic resilience.

Growth and Prosperity plan

The Growth and Prosperity plan aims to cover a broad range of strategic outcomes, including:

- Growth and investment
- Good jobs, employability, and skills
- Infrastructure and transport
- Housing and regeneration

Aligned with the sub-regional strategy, this plan will contextualise economic performance within the region, emphasising growth potential. The plan also supports the council's goal of increasing corporate tax revenues, as outlined in the Medium Term Financial Strategy (MTFS) for financial sustainability. The benefits of growth are expected to enhance the Council's financial position through higher Council Tax and Business Rates revenues.

The outcomes from the sub-regional strategy and Southampton City Plan are anticipated to be positive and wide-ranging, building on strategic objectives such as ensuring accessible education and skills pathways, addressing worklessness, sustained infrastructure investment, and growth that benefits local residents and businesses.

17. Resident Services:

Indicator Description	Reporting Period	Commentary	Outturn	DoT	Trend	Target RAG	National RAG
Percentage of customer who are very satisfied or fairly satisfied with the way the council runs things	2020	The value for this KPI is at 68.00, and has increased by 18.00 over the last period. Good performance for this measure is a higher figure.	68.00	▲			
Percentage of customer who are very satisfied or fairly satisfied that the council provides value for money	2020	The value for this KPI is at 51.00, and has increased by 8.00 over the last period. Good performance for this measure is a higher figure.	51.00	▲			
Percentage of call centre customers rating service levels as good	01/07/2024	The value for this KPI is at 87.00, and has increased by 2.00 over the last period. Good performance for this measure is a higher figure. The current target for this measure is 90.00 and has a RAG rating of AMBER.	87.00	▲		!	
Number of reported fly tipping incidents (per 1,000 population)	2022/23	The value for this KPI is at 37.50, and has decreased by 2.90 over the last period. Good performance for this measure is a lower figure. The current target for this measure is 45.00 and has a RAG rating of GREEN.	37.50	▼		✓	✗
Percentage of household waste sent for recycling	2023/24	The value for this KPI is at 29.10, and has decreased by 1.80 over the last period. Good performance for this measure is a higher figure. The current target for this measure is 50.00 and has a RAG rating of RED.	29.60	▲		✗	✗
Percentage of Municipal Waste sent to Landfill	2023/24	The value for this KPI is at 4.20, and has increased by 1.70 over the last period. Good performance for this measure is a lower figure. The current target for this measure is 7.30 and has a RAG rating of GREEN.	3.90	▼		✓	✓
Estimated percentage of scheduled bins collected	July 2024	The value for this KPI is at 99.80, and has increased by 0.10 over the last period. Good performance for this measure is a higher figure. The current target for this measure is 99.00 and has a RAG rating of GREEN.	99.80	▲		✓	
Number of reported missed bins	July 2024	The value for this KPI is at 1483.00, and has decreased by 182.00 over the last period. Good performance for this measure is a lower figure. The current target for this measure is 1500.00 and has a RAG rating of GREEN.	1,483.00	▼		✓	
Contamination rate of recycling - calculated as estimated proportion that is rejected of total amount of household waste sent for recycling.	2021/22	The value for this KPI is at 17.25, and has increased by 0.65 over the last period. Good performance for this measure is a lower figure. The current target for this measure is 20.00 and has a RAG rating of GREEN.	34.50	▲		✓	✗
Residual household waste (kg per household)	2023/24	The value for this KPI is at 557.00, and has decreased by 1.00 over the last period. Good performance for this measure is a lower figure. The current target for this measure is 600.00 and has a RAG rating of GREEN.	567.00	▼		✓	✗
Percentage of people who are satisfied with their local area as a place to live	2020	The value for this KPI is at 85.00, and has increased by 7.00 over the last period. Good performance for this measure is a higher figure.	85.00	▲			
Proportion of residents that agree that their local area is a place where people from different backgrounds get on well together (%)	2020	The value for this KPI is at 74.00, and has increased by 3.00 over the last period. Good performance for this measure is a higher figure.	74.00	▲			
Percentage of SCC homes that meet the decent homes standard	Q1 2024-25	The value for this KPI is at 53.50, and has increased by 1.21 over the last period. Good performance for this measure is a higher figure. The current target for this measure is 57.29 and has a RAG rating of AMBER.	53.50	▲		!	✗
Number of properties that are non-decent due to Housing Health and Safety Rating System	Q1 2024-25	The value for this KPI is at 78.00, and has decreased by 1.00 over the last period. Good performance for this measure is a lower figure. The current target for this measure is 63.00 and has a RAG rating of RED.	78.00	▼		✗	
Percentage of all repair jobs completed on time across SCC homes (emergency, urgent, routine)	Q1 2024-25	The value for this KPI is at 54.46, and has decreased by 7.54 over the last period. Good performance for this measure is a higher figure. The current target for this measure is 90.00 and has a RAG rating of RED.	54.46	▼		✗	
Total number of voids at quarter end	Q1 2024-25	The value for this KPI is at 387.00, and has decreased by 107.00 over the last period. Good performance for this measure is a lower figure.	387.00	▼			
Number of households with children accommodated in BnB over 6 weeks	Q1 2024-25	The value for this KPI is at 1.00, and has decreased by 2.00 over the last period. Good performance for this measure is a lower figure. The current target for this measure is 0.00 and has a RAG rating of RED.	1.00	▼		✗	
Number of rough sleepers (single night count)	Q1 2024-25	The value for this KPI is at 25.00, and has increased by 4.00 over the last period. Good performance for this measure is a lower figure. The current target for this measure is 18.00 and has a RAG rating of RED.	25.00	▲		✗	

Resident Services

The key performance area measures present a mixed picture both in terms of RAG rating and direction of travel trends. Whilst there are positive trends in some areas, challenges remain across the Directorate. Transformation and improvement activity is underway to address all areas of concern.

On track / improving

Bin collection rates: Estimated scheduled bin collection rates are high at 99.7% (target 99%). Although reported missed bins in June were higher than target (1,665 compared to 1,500), this figure is improving due to the waste improvement project, which had recorded 11,679 missed bins in April.

Households in B&B: The number of households with children accommodated in Bed and Breakfast (B&B) for over 6 weeks has decreased to 3 in Q4 23/24, continuing a downward trend from a high of 26 in Q1 23/24.

Waste sent to landfill: The percentage of waste sent to landfill is at 4.3%, lower than the national average of 7.3%, despite a slight increase in Q3 2023/24.

Areas of focus

Call Centre service levels: The proportion of call centre customers rating service levels as good is at 85%, lower than last year. The service faces

significant staffing challenges, with 4 vacancies and 9 recent resignations. The average speed of answer has increased to 24 minutes, and less than 50% of calls have been answered since May, leading to increased online form completions and backlogs.

Action: Work has been undertaken to understand the root causes of demand, including from internal functions. Improvement actions are in place alongside a strong focus on right first time across the organisation.

Recycling rates: The recycling rate remains low at 29.1% in Q3 23/24, significantly below the England average of 41.7% and the local target of 50%.

Action: Communication to residents supporting recycling are in place. Plans to recycle a wider range of materials and introduce weekly food waste collections are in place, but uncertainty over funding and government actions poses challenges.

Rough sleepers: The number of rough sleepers increased to 25 in Q1 24/25, up from an annual low of 21 in Q4 23/24. Numbers tend to fluctuate throughout the quarter, with some nights seeing a rise in new individuals sleeping rough.

Decent Homes Standard: Only 53.5% of homes meet the decent homes standard, well below the England average of 93.5%.

Action: A new maintenance contractor has been appointed to focus on improving the standard.

Housing

Voids: The total number of housing voids was 387 at the end of Q1, a reduction from Q4 23/24, however this reduction is due to a change in counting methods.

Housing repair jobs: The proportion of housing repair jobs completed on time fell to 54.5% in Q1, significantly below the target of 90%. Contributing factors include a 10% rise in second visits due to responsive repairs escalating into major repairs. While an additional £25 million approved in October 2023 will help, it will take time to address the backlog. Recruitment of more trades and staff is underway to improve repair turnaround times.

Action: Housing transformation work, including further development of core IT systems, is in progress to address concerns in the housing area.

18. Enabling Services & Strategy & Performance:

Indicator Description	Reporting Period	Commentary	Outturn	DoT	Trend	Target RAG	National RAG
Proportion of audit recommendations completed as per tracker for previous financial year	2023/24	The value for this KPI is at 45.00, and has not changed over the last period. Good performance for this measure is a higher figure. The current target for this measure is 100.00 and has a RAG rating of RED.	45.00	▶		⊗	
Percentage of time key IT systems are available during working hours	01/06/2024	The value for this KPI is at 99.69, and has increased by 0.19 over the last period. Good performance for this measure is a higher figure. The current target for this measure is 99.00 and has a RAG rating of GREEN.	99.69	▲		⊙	
Council tax collection rate (in year) (%) (benchmarking)	2023/24	The value for this KPI is at 93.89, and has increased by 0.29 over the last period. Good performance for this measure is a higher figure. The current target for this measure is 95.00 and has a RAG rating of AMBER.	93.89	▲		⚠	⚠
Proportion of contracts with local suppliers	2023/24	The value for this KPI is at 39.00, and has increased by 8.00 over the last period. Good performance for this measure is a higher figure. The current target for this measure is 43.00 and has a RAG rating of AMBER.	39.00	▲		⚠	
Proportion of contracts with SMEs	2023/24	The value for this KPI is at 67.00, and has increased by 1.00 over the last period. Good performance for this measure is a higher figure. The current target for this measure is 60.00 and has a RAG rating of GREEN.	67.00	▲		⊙	
Contract Procedure Rule Compliant Spend	2023/24	The value for this KPI is at 99.00, and has increased by 3.00 over the last period. Good performance for this measure is a higher figure. The current target for this measure is 90.00 and has a RAG rating of GREEN.	99.00	▲		⊙	⊙

	<p>Many of the indicators monitored at directorate level for both Enabling Services and Strategy & Performance directorates are reflective of the wider organisation and managed accordingly. The KPIs highlighted above are more directly within the areas control or influence, and generally reflect the continuous improvement approach across both areas.</p> <p>IT System availability: Core IT systems were available for over 99% of core working hours in Q1. This measure is still being refined, as it currently only includes network switches and server availability. Anecdotal</p> <p>Council Tax collection rate: The in-year council tax collection rate is 27.06% as of June, on track to meet the end-of-year target of 95%. Performance is expected to improve further as a pilot with HMRC begins and three Revenue Assistant vacancies are filled.</p> <p>Contract compliance: The compliant spend on contracts remains high at 99% at the end of 2023/24, exceeding the target of 90%. However, this figure currently only includes Business World transactions, there is work underway to capture data from feeder systems and provide an holistic picture.</p> <p>External funding bids: The council is developing robust data collection mechanisms to report on external funding bids. Since April 2023, approximately 60 bids have been submitted, resulting in around £12 million in successful external funding. External funding measures will be developed further and incorporated into the report.</p>
19.	In summary, whilst performance and trends across the council and the city are mixed, corporate KPIs have cross organisational ownership, with focus and plans developed to drive tangible improvement.
RESOURCE IMPLICATIONS	
<u>Capital/Revenue</u>	
20.	Performance reporting delivered through BAU resource
<u>Property/Other</u>	
21.	N/A
LEGAL IMPLICATIONS	
<u>Statutory power to undertake proposals in the report:</u>	
22.	Section 111 Local Government Act 1972
<u>Other Legal Implications:</u>	
23.	N/A
RISK MANAGEMENT IMPLICATIONS	
24.	N/A
POLICY FRAMEWORK IMPLICATIONS	
25.	N/A

KEY DECISION?	No
WARDS/COMMUNITIES AFFECTED:	All
<u>SUPPORTING DOCUMENTATION</u>	
Appendices	
1.	None
Documents In Members' Rooms	
1.	None
Equality Impact Assessment	
Do the implications/subject of the report require an Equality and Safety Impact Assessment (ESIA) to be carried out.	No
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.	
2.	

DECISION-MAKER:	CABINET COUNCIL
SUBJECT:	COMMUNITY SAFETY / REFRESH OF CITY SAFETY STRATEGY
DATE OF DECISION:	17 SEPTEMBER 2024 18 SEPTEMBER 2024
REPORT OF:	COUNCILLOR C LAMBERT CABINET MEMBER FOR COMMUNITIES AND SAFER CITY

<u>CONTACT DETAILS</u>			
AUTHOR:	Title	Head of Service, Stronger Communities	
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Director	Title	Executive Director for Community Wellbeing, Children & Learning	
	Name:	Robert Henderson	Tel:
	E-mail:	Robert.henderson@southampton.gov.uk	

STATEMENT OF CONFIDENTIALITY
None.

BRIEF SUMMARY
The local Community Safety Partnership, 'Southampton Safe City Partnership' (SSCP) has a strategy to prevent and reduce crime, as required by Sections 5-7 Crime and Disorder Act 1998, for 2022-27.
The opportunity to conduct a mid-term strategy review has coincided with the election of a new Chair of the SSCP (Rob Henderson). Over the life cycle of a 5-year strategy, key partner representatives change, as do crime and disorder trends so, whilst the core priorities of the strategy remain, the focus of tactical and operational activities need to be reviewed.
The overarching SCCP priorities remain: <ol style="list-style-type: none"> 1. Keeping People safe from harm 2. Preventing and Reducing Reoffending 3. Creating Safe and Strong Communities
The key crime issues to respond to for 24-28, identified by the annual SSCP 'Safe City' assessment are: <ul style="list-style-type: none"> • Tackling Violent Crime including serious youth violence, domestic abuse and rape • Tackling Theft especially burglary, retail theft and car theft

<ul style="list-style-type: none"> Tackling anti-social behaviour through rapid and effective partnership responses 	
RECOMMENDATIONS:	
CABINET:	
	(i) To recommend the refreshed Southampton Safe City Partnership Plan to Council for approval.
COUNCIL:	
	(ii) To approve the refreshed Southampton Safe City Partnership Plan as set out in Appendix 1 to this report.
	(ii) To delegate authority to the Executive Director for Community Wellbeing, Children and Learning to make minor amendments to the Southampton Safe City Partnership Plan following consultation with the Cabinet Member for Communities and Safer City.
REASONS FOR REPORT RECOMMENDATIONS	
1.	To comply with the statutory and Constitutional requirements to have a plan.
ALTERNATIVE OPTIONS CONSIDERED AND REJECTED	
2.	None, the Council is required to have a Plan by law.
DETAIL (Including consultation carried out)	
3.	The SSCP is managed by the Council's Stronger Communities team on behalf of the following statutory partners: <ul style="list-style-type: none"> Hampshire and Isle of Wight Constabulary. Hampshire and Isle of Wight Fire and Rescue Service. Hampshire, Southampton, and Isle of Wight Integrated Care Board National Probation Service (Southampton).
4.	Under section 5-7 of the Crime and Disorder Act the SSCP (of which Southampton City Council is a statutory member) has a legal obligation to formulate and implement: <p>(a) a strategy for the reduction of crime and disorder in the area (including anti-social and other behaviour adversely affecting the local environment); and</p> <p>(b) a strategy for combatting the misuse of drugs, alcohol, and other substances in the area; and</p> <p>(c) a strategy for the reduction of re-offending in the area</p>
5.	A high-quality, annual Safe City Assessment allows a data-led approach to fulfilling both the statutory duties of the CSP (Community Safety Partnership), but also the key crime and disorder issues affecting communities, and published on the Southampton Data Observatory website: <p>data.southampton.gov.uk/media/m20a2aoj/safe-city-strategic-assessment-report-2022-23.pdf</p>
6.	After publication of the report in late 2023, the SSCP Strategic Board met on 29 th January 2024 in a workshop format to discuss and agree the key tactical areas ('Obsessions') for action in the remaining years of the Strategy.

7.	The result is a refocused tactical plan, achieving the SCCP priorities by focussing on the key crime issues identified by data analysis and public survey. (Appendix 1)
8.	The SSCP work to prevent and reduce crime fits with the Corporate Priority for 'A Proud and Resilient City' and is specifically mentioned as part of 'Help communities feel safer within their neighbourhoods with a sense of belonging'.
9.	The strategy refresh builds on the existing partnership working and now includes for each tactical 'obsession': <ul style="list-style-type: none"> • Summary of data • What need to be done • How we will do it • Measures of success
10.	The board includes non-statutory partners, for example: <ul style="list-style-type: none"> • No Limits • Saints Foundation • OPCC (Office of Police & Crime Commissioner) Violence Reduction Unit • Southampton Voluntary Services • Victim Support <p>which helps shared focus and working on the key issues across the City.</p>
11.	The revised strategy was reviewed and agreed at the SSCP strategic board, 1 st July. The progress and review of key performance indicators will then be managed by the Strategic Board. Preparation for a full review of the strategy will commence in 26/27.
RESOURCE IMPLICATIONS	
<u>Capital/Revenue</u>	
12.	The Head of Service, Stronger Communities, continues to function as Partnership manager, supported by SCC (Southampton City Council) staff from Stronger Communities (coordination of SSCP Action Plan), Meeting Support (arranging meetings, minute-taking), Consultation Team (Community Safety Survey) and the Data Team (production of Safe City Strategic assessment and maintenance of Data Observatory).
13.	The SSCP has no budget allocation from SCC, nor any other partners.
14.	Work is underway to itemise SCC staff time in supporting the SSCP, as the burden for the organisational and support sits disproportionality with SCC. Many of the operational activities of partners are 'business as usual' and not exclusively funded to support SSCP objectives.
15.	Various funding bids to the Home Office, OPCC etc. led by the Partnership Manager have brought the city approximately £1.1m to tackle: <ul style="list-style-type: none"> • Violent crime • Violence against Women and Girls • Anti-social Behaviour

	<ul style="list-style-type: none"> Residential burglary
16.	<p>In 22/23, compared to 21/22:</p> <ul style="list-style-type: none"> Serious violence had reduced by 19.9% Anti-Social behaviour had reduced by 30% <p>reflecting focused partnership working in the City Centre ‘Operation Defender’ and Serious Youth Violence ‘Operation Meero’.</p>

Data / Intelligence & Evidence

17.	<p>The SSCP strategy is data-led:</p> <p>Safe City Strategic Assessment 2021-22 (southampton.gov.uk)</p> <p>Stronger Communities brokered a monthly download of Police crime data, for which the Data Insights Team have constructed a Power Bi dashboard which supports data-led partnership responses through the monthly Partnership Action Groups:</p>
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Communications

18.	<p>Once out of the pre-election period, a soft launch of the updated SSCP Strategy will take place, followed by regular updates on tactical activities, namely:</p> <ul style="list-style-type: none"> Safer Streets 5 – VAWG, ASB and Residential Burglary prevention, including extra CCTV UKSPF – safer streets work stream (Youth Diversion from crime/asb) Young Peoples Service – ASB youth diversion, Serious Youth Violence
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Property/Other

19.	None.
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LEGAL IMPLICATIONS	
<u>Statutory power to undertake proposals in the report:</u>	
20.	Community Safety Partnerships are a statutory requirement under Section 5-7 of the Crime and Disorder Act 1998.
<u>Other Legal Implications:</u>	
21.	None.
RISK MANAGEMENT IMPLICATIONS	
22.	The key risk for SCC is, as a statutory partner, non-delivery of for the statutory requirement. This Strategy refresh ensures continued statutory compliance and demonstrates the efficiency and effectiveness of the SSCP.
POLICY FRAMEWORK IMPLICATIONS	
23.	This is a policy thst requires Council approval

KEY DECISION?	No
WARDS/COMMUNITIES AFFECTED:	All
<u>SUPPORTING DOCUMENTATION</u>	
Appendices	
1.	Draft Safe City Partnership Plan.

Documents In Members' Rooms

1.	None
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.	
2.	

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Southampton Safe City Strategy

Priorities and current statistics
August 2024

Community Safety KPI's



Priority 1:
Keeping people
safe from harm



Priority 2:
Preventing
and reducing
offending



Priority 3:
Creating safe
and stronger
communities

Community Safety KPI's

Provisional data from April 2023 – March 2024



Any declines may not reflect a genuine decline, due to changes in crime counting rules introduced in 2023. More information can be found in the Office for Statistics Regulation Publication. [\(Click here for more info\)](#)

Our obsessions

Obsession 1

2024/25:

Tackling Violent Crime including serious youth violence, domestic abuse and rape

Obsession 2

2024/25:

Tackling Theft especially burglary, retail theft and car theft

Obsession 3

2024/25:

Tackling anti-social behaviour through rapid and effective partnership responses





Violent Crime

**All violent crime
down -1.9%**



**Serious Violence
down -19.9%**



**Domestic Abuse DV
down -4.8%**



- All violent crime -1.9%
- Serious Violence -19.9%
- Domestic Abuse DV -4.8%
- Sexual Offences +0.8%, Rape +8.3%
- What do we need to do?
- Make our Violent Crime Hotspots safer
- Reduce the number of repeat Domestic Abuse offences
- Reduce Rape incidents
- Tackle Serious Youth Violence

Continue our public health approach to understand and tackle the underlying causes of serious violence in our city, by defining and measuring the problems, to implement effective strategies and evaluating their impact.

Violent Crime – How will we do this?

**Sexual Offences
up +0.8%**



**Rape
up +8.3%**

- Establish a multi-agency governance mechanism to identify, engage and monitor young people involved in violent crime and evaluate impact
- Work in partnership to reduce city centre night-time economy violence and Violence against Women and Girls (Op Defender)
- Work with the Violent Crime Task Force to tackle violence hotspots
- Develop the domestic abuse service to focus increasingly on perpetrators and family safeguarding
- Undertake a deep dive analysis on Rape and develop a multi-agency response plan

How will we measure this?

- Community Safety dashboard KPI's

Violent Crime – What does success look like?

Theme	Current picture	Proposed targets
Overall violent crime	<ul style="list-style-type: none"> Southampton had a violent crime rate of 58 crimes per 1k population in 2022/23 Southampton is ranked second highest for violent crime among comparator CSPs and 11th nationally placing Southampton in the worse 5% of CSPs nationally 	<ul style="list-style-type: none"> Southampton's violent crime rate (58 per 1k population) to be lower than our comparator average (41.9 per 1k population)
Domestic abuse	<ul style="list-style-type: none"> There were 5,645 domestic flagged crimes in Southampton during 2022/23 Repeat victimisation and offending remains a substantial issue: 30.3% of victims experienced multiple domestic flagged crimes in the year; increasing for the fourth consecutive year since 2019/20 34.2% of domestic crime offenders committed more than one domestic flagged offence in the year, also a third consecutive increase since 2019/20 	<ul style="list-style-type: none"> Increase the number of domestic flagged crimes – through improved identification of domestic flagged crimes and more victims reporting A reduction in the proportion of repeat domestic abuse victims and offenders
Sexual offences	<ul style="list-style-type: none"> Southampton has the highest rate of sexual offences among comparator CSPs and 7th highest in England and Wales (296 with a valid sexual offences rate total) There was a +0.8% increase in the number of sexual offences in Southampton and a +8.3% increase in Rapes between 2021/22 and 2022/23 	<ul style="list-style-type: none"> Southampton's sexual offence rate (5.4 per 1k population) to be lower than our comparator average (3.7 per 1k)
Community Safety Survey	<ul style="list-style-type: none"> A large proportion of respondents answered 'don't know' when asked about key issues in their local area, which highlights an opportunity for raising awareness and increase crime reporting: Domestic abuse (54%) Sexual offences (41%) Serious violent crime (29%) Over half of respondents experiencing or witnessing crimes are not reporting them, this is particularly concerning for high harm and priority crimes such as violent crime, domestic abuse and sexual offences Feelings of safety after dark in Southampton are low, both in the city centre (28% felt safe) and in local areas (41%). There continues to be a significant gap in feelings of safety between males and females. Approximately a third (34%) of females felt safe in their local area after dark compared to over half of males (51%) and less than a quarter of females (22%) felt safe in the city centre after dark compared to almost two fifths (38%) of males. 	<ul style="list-style-type: none"> Increase awareness and reporting of crimes, particularly high harm and priority offences. Monitored through the annual community safety survey An increase in the proportion of respondents in the Southampton community safety survey feeling safe after dark, particularly for females

Theft – What do we need to do?

▲
All theft
up +17.7%

- Reduce retail theft
- Prevent offences in our burglary hotspots
- Prevent more keyless vehicle thefts

▲
Burglary non-res
up +20.4%

▲
Vehicle Crime
up +27.9%



Theft – How will we do this?

- Work with the chambers of commerce and retail industry to establish a retail theft action plan
- Identify high volume perpetrators and reduce their impact
- Implement property marking schemes in priority streets
- Develop and deliver vehicle crime prevention campaigns

How will we measure this?

- Police Crime data

Theft – What does success look like?

Theme	Current picture	Proposed targets
Overall theft offences	<ul style="list-style-type: none"> • Theft offences emerged as one of the top priorities for the first time in the Safe City Strategic Assessment • In 2022/23, Southampton experienced 40.4 theft offences per 1k population, which is significantly higher than the national average and second highest among comparators • Southampton experienced a +17.7% increase in the volume of theft offences between 2021/22 and 2022/23 	<ul style="list-style-type: none"> • Southampton's overall theft offence rate (40.4 per 1k population) to be lower than our comparator average (34.7) • Southampton's rate of residential burglaries (5.4 per 1k population) to be lower than our comparator average (3.5) • Southampton's rate of vehicle offences (11 per 1k population) to be lower than our comparator average (8.6)
Residential burglary	<ul style="list-style-type: none"> • There were 5.4 residential burglaries per 1k population in Southampton during 2022/23, which is significantly higher than the national average (3.3) and highest amongst comparators • Despite a decline in the volume of residential burglaries (-1.1%) over the last year, residential burglary is one of the most severe theft offences 	
Vehicle offences	<ul style="list-style-type: none"> • There were 2,719 vehicle offences in Southampton during 2022/23, which equates to a rate of 11 offences per 1k population, significantly higher than the national average (7.1) • Southampton has the fourth highest vehicle offence rate among comparators 	

Anti-Social Behaviour – What do we need to do?

**Anti-Social Behaviour
down 30.4%**



- Establish a clear mechanism for community reporting of ASB to help identify hotspots and trends
- Tackle motorcycle nuisance through partnership action
- Reduce ASB associated with begging in the City Centre, signposting to appropriate support services
- Strengthen our collective responses to address all forms of anti-social behaviour across our city.

Anti-Social Behaviour – How will we do this?

- Hold Police and Communities Together meetings in our communities on a regular basis
- Work with police, council, communities and landowners to target harden and respond to repeated incidents
- Establish an ASB coordinator across the partnership
- Establish a multi-agency rapid response service to disrupt anti-social behaviour and engage perpetrators constructively in positive activities
- Increase the numbers of redeployable CCTV cameras to respond quickly to areas of concern

How will we measure this?

- Police Crime data
- Increase confidence in Police
- Increase the community perception of Southampton as a safe city

Anti-Social Behaviour – What does success look like?

Theme	Current picture	Proposed targets
Recorded incidents	<ul style="list-style-type: none"> Anti-social behaviour declined by -30.4% between 2021/22 and 2022/23, however, this is unlikely to reflect a genuine decline due to perceived barriers to reporting 	<ul style="list-style-type: none"> Increase the number of reported anti-social behaviour incidents
Community Safety Survey	<ul style="list-style-type: none"> The 2023 community safety survey showed that 70% of people witnessing or experiencing ASB are not reporting this, with common reasons for not reporting including reporting it makes no difference, not serious enough to report and it happens too often 67% of respondents to the 2023 survey felt that anti-social behaviour was an issue in their local area Confidence in The Partnership remains low, with just 14% of survey respondents feeling that The Partnership are successfully dealing with crime and anti-social behaviour in their local area 	



Agencies represented

Community Rehabilitation Company
Go! Southampton
Hampshire Constabulary
Hampshire Fire and Rescue
Southampton City Council
Southampton Clinical Commissioning Group
National Probation Service
Office of Police Crime Commissioner (Hampshire)
Public Health
Youth Offending Service

DECISION-MAKER:		CABINET	
SUBJECT:		FREEDOM OF INFORMATION, DATA PROTECTION & REGULATION OF INVESTIGATORY POWERS ACTS: ANNUAL REVIEW 2023-24	
DATE OF DECISION:		17 th September 2024	
REPORT OF:		Director of Legal and Governance	
<u>CONTACT DETAILS</u>			
AUTHOR:	Name:	CHRIS THORNTON, Data Protection Officer	Tel: 023 8083 2627
	E-mail:	chris.thornton@southampton.gov.uk	
Director	Name:	MEL CREIGHTON, Executive Director Enabling Services and S151 Officer	Tel: 023 8083 3528
	E-mail:	Richard.ivory@southampton.gov.uk	
STATEMENT OF CONFIDENTIALITY			
None			
BRIEF SUMMARY			
A report detailing the statistical information for the financial year 2023-24 with regard to information governance. This report details statistical information on requests received under the Freedom of Information Act 2000 (FOIA), the Environmental Information Regulations 2004 (EIR), the UK General Data Protection Regulation (GDPR) and the Council's activity under the Regulation of Investigatory Powers Act 2000 (RIPA).			
RECOMMENDATIONS:			
	(i)	To accept the update of the statistical information for the year 1 st April 2023 – 31 st March 2024 reporting on the Council's performance relating to: <ul style="list-style-type: none"> • FOIA and associated legislation • GDPR • RIPA 2000 	
	(ii)	To agree the updated Corporate Surveillance document (October 2023) attached at appendix 1	
	(iii)	To agree the actions detailed at paragraph 21	
REASONS FOR REPORT RECOMMENDATIONS			
1.	To keep Members informed as to the impact of the legislation to the Council, the type and nature of information requests and resources deployed to respond to them and to detail the form and type of information requests received in 2023-24 to monitor and demonstrate continued performance improvement activity.		
ALTERNATIVE OPTIONS CONSIDERED AND REJECTED			
2.	The alternative to bringing this report before members is to not report the yearly analysis. This was rejected because it is considered to be good governance to report such matters to Members, provides an audit trail to demonstrate to the Information Commissioner that the Council has a robust structure in place to comply with the legislation, and to maintain the profile of information law requirements, track the matters		

that have generated public interest over the past year to inform service decisions and resource implication within the organisation.

DETAIL (Including consultation carried out)

3. This report will be published on the Council’s website

FOIA

4. FOIA and EIR gives separate rights to request information and environmental information from public authorities. Responses must be issued within 20 working days.

5. Under the FOIA and associated legislation, anybody may request information from a public authority with functions in England, Wales and/or Northern Ireland. Subject to exemptions, the FOIA confers two statutory rights on applicants:

- (i) The right to be told whether or not the public authority holds that information; and
- (ii) The right to have that information communicated to them

6. There are two types of exemptions that may apply to requests for information – absolute and qualified.

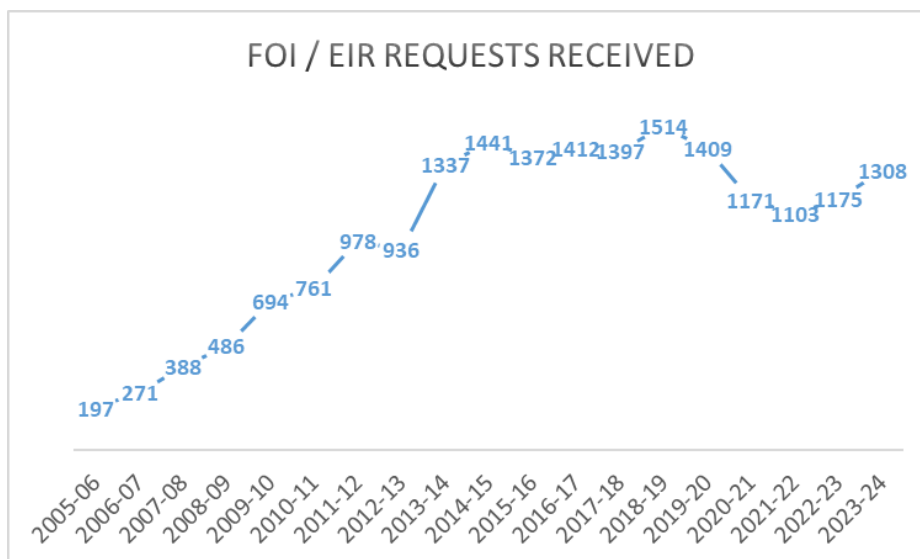
7. Information that falls into a particular exemption category, for example information relating to commercial interests, will have to be disclosed unless it can be successfully argued that the public interest in withholding it is greater than the public interest in releasing it. Such exemptions are known as qualified exemptions.

8. Where information falls within the terms of an absolute exemption, for example, information reasonably accessible by other means or information contained in court records, a public authority may withhold the information without considering any public interest arguments.

9. For 2023-24, the Council received 1308 requests, broken down as follows:

Total Requests	FOI Requests	EIR Requests
1308	1236	72

10. This represents a continued increase on previous years (by 11%), returning to pre-pandemic levels.



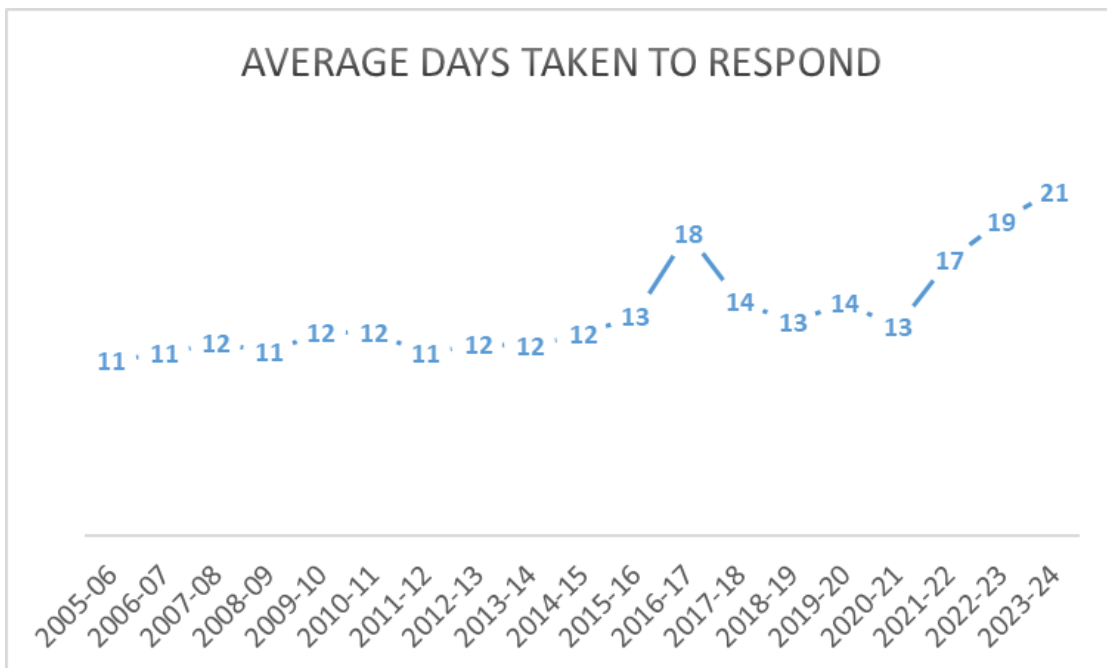
11.	<p>The Directorate breakdown of the requests is as follows:</p> <table border="1" data-bbox="231 309 1433 824"> <thead> <tr> <th>Directorate</th> <th>No. Rec'd</th> <th>Responded On Time</th> <th>Responded Late</th> <th>Av. Days Taken</th> </tr> </thead> <tbody> <tr> <td>Children and Learning</td> <td>198</td> <td>75%</td> <td>25%</td> <td>20</td> </tr> <tr> <td>Community Wellbeing</td> <td>106</td> <td>79%</td> <td>21%</td> <td>22</td> </tr> <tr> <td>Enabling Services</td> <td>351</td> <td>88%</td> <td>12%</td> <td>20</td> </tr> <tr> <td>Growth and Prosperity</td> <td>286</td> <td>82%</td> <td>18%</td> <td>28</td> </tr> <tr> <td>Resident Services</td> <td>341</td> <td>84%</td> <td>16%</td> <td>18</td> </tr> <tr> <td>Strategy and Performance</td> <td>14</td> <td>93%</td> <td>7%</td> <td>18</td> </tr> <tr> <td>Not allocated</td> <td>12</td> <td>N/A</td> <td>N/A</td> <td>N/A</td> </tr> <tr> <td>Grand Total</td> <td>1308</td> <td>83%</td> <td>17%</td> <td>21</td> </tr> </tbody> </table> <p>Compliance is calculated from the requests <i>responded to</i> within the year. This may include requests <i>received</i> in the previous year.</p> <p>Requests are not allocated to a directorate when it is not clear what information is sought from the request. Clarification is requested, and if this is not received within 3 months, the request is deemed to be lapsed.</p>	Directorate	No. Rec'd	Responded On Time	Responded Late	Av. Days Taken	Children and Learning	198	75%	25%	20	Community Wellbeing	106	79%	21%	22	Enabling Services	351	88%	12%	20	Growth and Prosperity	286	82%	18%	28	Resident Services	341	84%	16%	18	Strategy and Performance	14	93%	7%	18	Not allocated	12	N/A	N/A	N/A	Grand Total	1308	83%	17%	21
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12.	<p>Under the FOIA, a public authority may refuse requests on the basis of:</p> <ul style="list-style-type: none"> • Cost • If the request is a repeat of a previous request • If the request is deemed to be vexatious <p>A breakdown of the requests refused in 2023-24 is detailed below:</p> <table border="1" data-bbox="231 1344 1444 1512"> <thead> <tr> <th>Reason for Refusal</th> <th>Count</th> </tr> </thead> <tbody> <tr> <td>Cost</td> <td>76</td> </tr> <tr> <td>Repeated</td> <td>7</td> </tr> <tr> <td>Vexatious</td> <td>159</td> </tr> </tbody> </table>	Reason for Refusal	Count	Cost	76	Repeated	7	Vexatious	159																																					
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13.	<p>Under FOIA, where the cost of responding to the request will exceed the Freedom of Information and Data Protection (Appropriate Limit and Fees) Regulations 2004 (which is currently set at £450 for local authorities), the Council may refuse to comply with it.</p> <p>As detailed above, the Council issued 76 Refusal Notices on fees grounds, which represents a slight increase, with 64 being issued last year.</p>																																													
14.	<p>When applying the fees exemption, the service area looks at the amount of time it would take to locate the information sought. If the fee limit is exceeded, it is usually because individual records or files have to be searched (i.e. the information requested doesn't form part of a reportable field).</p> <p>The service area would be asked to do a sample search, which would give the Council an estimate / average time, which is then used to calculate the total time.</p>																																													

	<p>E.g. if searching one file would take 5 minutes on average, searching 250 files would take 1250 minutes, which equates to 20.8 hours (and over the 18 hour fee limit). Each “item” requested needs to be looked at separately, however, which is why the Council might issue a partial response (some of the information can be disclosed within 18 hours, and some cannot).</p>																																								
15.	<p>In terms of vexatious requests, the Council has been more proactive at identifying requests that are vexatious in nature (where the public interest in responding does not outweigh the burden on the Council in responding).</p> <p>As such, there has been an increase in the number of vexatious requests refused, rising from 64 to 159.</p>																																								
16.	<p>During the year, 83% of all monitored FOI and EIR requests were responded to with within the statutory deadline of 20 working days. This is a slight increase on the previous year, and compliance has been relatively stable for the past few years.</p> <p>The Council’s target rate for responses is 90%.</p> <div data-bbox="284 819 1407 1487" data-label="Figure"> <table border="1"> <caption>% FOI / EIR ANSWERED WITHIN 20 WORKING DAYS</caption> <thead> <tr> <th>Year</th> <th>Percentage</th> </tr> </thead> <tbody> <tr><td>2005-06</td><td>97</td></tr> <tr><td>2006-07</td><td>96</td></tr> <tr><td>2007-08</td><td>98</td></tr> <tr><td>2008-09</td><td>95</td></tr> <tr><td>2009-10</td><td>90</td></tr> <tr><td>2010-11</td><td>92</td></tr> <tr><td>2011-12</td><td>96</td></tr> <tr><td>2012-13</td><td>97</td></tr> <tr><td>2013-14</td><td>98</td></tr> <tr><td>2014-15</td><td>96</td></tr> <tr><td>2015-16</td><td>89</td></tr> <tr><td>2016-17</td><td>71</td></tr> <tr><td>2017-18</td><td>81</td></tr> <tr><td>2018-19</td><td>86</td></tr> <tr><td>2019-20</td><td>83</td></tr> <tr><td>2020-21</td><td>90</td></tr> <tr><td>2021-22</td><td>84</td></tr> <tr><td>2022-23</td><td>81</td></tr> <tr><td>2023-24</td><td>83</td></tr> </tbody> </table> </div>	Year	Percentage	2005-06	97	2006-07	96	2007-08	98	2008-09	95	2009-10	90	2010-11	92	2011-12	96	2012-13	97	2013-14	98	2014-15	96	2015-16	89	2016-17	71	2017-18	81	2018-19	86	2019-20	83	2020-21	90	2021-22	84	2022-23	81	2023-24	83
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17. Reasons why a request might not be answered within the statutory timeframe are as follows:

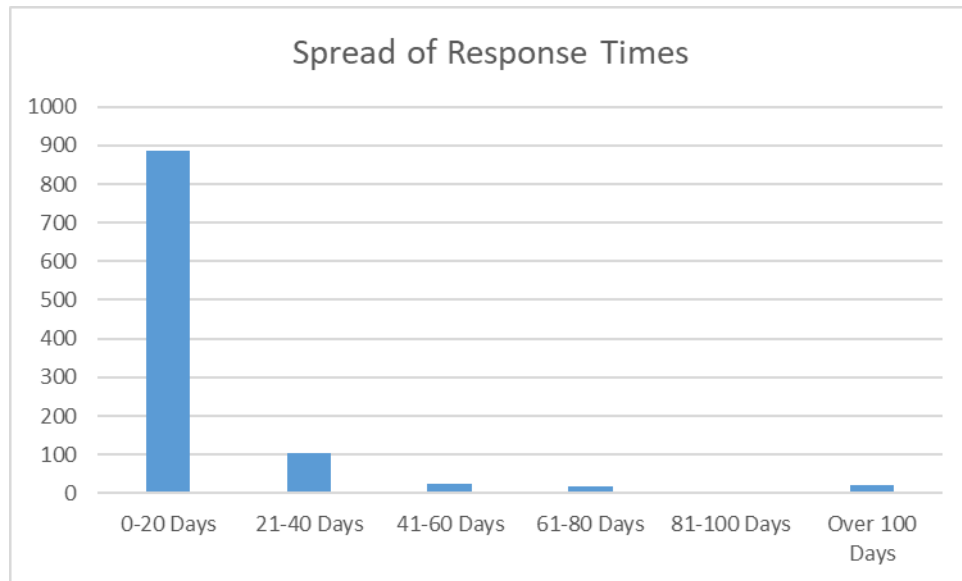
- Requests not being referred to the Corporate Legal team when received by the service area
- Service areas experiencing high workloads for other statutory services, that have a higher priority.
- Requests being initially allocated to the incorrect service area, and this does not become apparent until near the end of the deadline.
- Human / administrative errors.
- The complexity of the request – for example, if there are a large number of components to the response that need to be compiled to respond in full, but a costs limits/staff time exemption can't be applied, more than one exemption needs to be applied, or a large amount of redaction is required (this can't be considered in the costs limits).
- The request contains inaccuracies - for example, if a response is initially sent out on time but is later identified to contain errors, a revised response should be sent and it is likely that such instances will take us past the deadlines.
- Staff absence, particularly if the service area holding the data is a small team, or the request needs approval from a particular individual
- Representations are sought from third parties regarding the request (e.g. those that might have commercial interests in the data being released).

18. The average days taken to respond has increased to 21 days, which represents the highest average since the FOIA came into force, and the first time that the average has exceeded the statutory limit.



19.

However, the vast majority of requests were responded to within the 20-working day period:



20.

Reasons for delays in the requests that exceeded 100 days included:

- Requests generally becoming more complex, involving more service areas. This has resulted in a more complicated co-ordination process
- Service areas failing to respond or engaging late into / within the statutory timeframe.
- Late notification from service areas when there are concerns over the disclosure of information, as there is often a need to convene and conduct public interest test panels to consider exemptions in these cases.
- Structure changes leading to changes in Information Asset Owners and Administrators, who are contacted to approve or chase requests.
- Requests being sent to the wrong service area, and the time taken to identify the correct service area
- Workloads and staffing issues within the service areas

For the other requests that went overdue, the general reasons were resourced-based, with service areas prioritising core service provision.

21.

In order to reduce the number of late FOI requests, and the time taken to respond to requests, the Council recommends the following actions:

- To ensure all staff undertake their mandatory IG training. It is anticipated that the new learning and development system will address this, due to its improved reminder and monitoring functions.
- A comms campaign around the FOI process, ensuring that staff are aware of their role in the process, and understand the need to identify requests early, and collate information as soon as possible
- Guidance given to staff involved in the co-ordination of requests, to ensure that requests are sent to the correct service area
- Establishing a corporate FOI process / timeframe that aims for responses to be disclosed within 16 working days, rather than 20

22.	<p>The breakdown of the request outcomes is as follows:</p> <table border="1" data-bbox="245 282 1458 465"> <thead> <tr> <th data-bbox="245 282 852 331">Outcome</th> <th data-bbox="852 282 1458 331">No. of Requests Closed in Period</th> </tr> </thead> <tbody> <tr> <td data-bbox="245 331 852 376">Fully Answered</td> <td data-bbox="852 331 1458 376">891</td> </tr> <tr> <td data-bbox="245 376 852 421">Refused or Part Refused</td> <td data-bbox="852 376 1458 421">200</td> </tr> <tr> <td data-bbox="245 421 852 465">Lapsed or Withdrawn</td> <td data-bbox="852 421 1458 465">108</td> </tr> </tbody> </table> <p>Fully answered requests include those where information is not held, or an exemption has been applied. This would still be classed as being fully answered.</p> <p>Refused or part-refused requests are where the request has been refused in its entirety, or only certain elements have been refused (e.g. on cost grounds). Other reasons for refusal will be because the request is vexatious or repetitive in nature.</p> <p>Lapsed or withdrawn requests are where the requester has actively withdrawn their request, or has not come back with clarification when asked within 3 months.</p>	Outcome	No. of Requests Closed in Period	Fully Answered	891	Refused or Part Refused	200	Lapsed or Withdrawn	108
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23.	<p>For requests made in 2023-24, 33 individuals requested internal reviews regarding decisions made to withhold, partially withhold information requested, or where they were generally unhappy with how their request was handled. This is an increase on the 13 reviews requested last year, which is as a result of the Council's stricter approach to refusing requests it deemed to be vexatious.</p>								
24.	<p>The themes of the internal reviews were as follows:</p> <ul style="list-style-type: none"> • The requester was unhappy that their request has been deemed to be vexatious • The requester was unhappy with the request being refused on the grounds of cost (i.e. they were not satisfied with the Council's estimate) • The requester was unhappy with the Council's application of an exemption to withhold information (e.g. commercial interests). • The requester was not satisfied that all information within scope of their request had been provided. 								
25.	<p>This year, 5 complaints were made to the ICO; 4 related to requests being late, and one related to the Council's refusal of a request as vexatious. In all cases, responses were issued, and no further action was taken by the ICO.</p>								

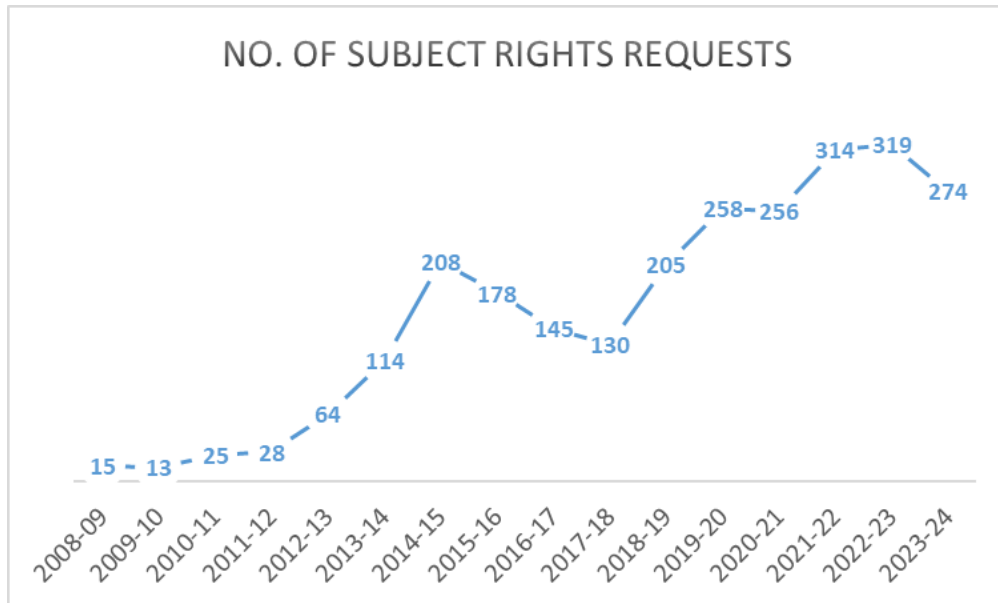
26.	<p>As with all years, types of requests have been varied and covered every service area of the Council, including budget, HR, council tax and business rates data, schools, highways maintenance, and social services.</p> <p>The top ten request subjects ranked in order of popularity are as follows:</p> <table border="1" data-bbox="231 398 1086 972"> <thead> <tr> <th data-bbox="231 398 954 454">Service Area</th> <th data-bbox="954 398 1086 454">No.</th> </tr> </thead> <tbody> <tr> <td data-bbox="231 454 954 510">Housing</td> <td data-bbox="954 454 1086 510">90</td> </tr> <tr> <td data-bbox="231 510 954 566">HR</td> <td data-bbox="954 510 1086 566">72</td> </tr> <tr> <td data-bbox="231 566 954 622">Highways</td> <td data-bbox="954 566 1086 622">61</td> </tr> <tr> <td data-bbox="231 622 954 678">Schools</td> <td data-bbox="954 622 1086 678">58</td> </tr> <tr> <td data-bbox="231 678 954 734">Procurement</td> <td data-bbox="954 678 1086 734">54</td> </tr> <tr> <td data-bbox="231 734 954 790">Children and Families</td> <td data-bbox="954 734 1086 790">50</td> </tr> <tr> <td data-bbox="231 790 954 846">Parking</td> <td data-bbox="954 790 1086 846">36</td> </tr> <tr> <td data-bbox="231 846 954 902">Adult Social Care</td> <td data-bbox="954 846 1086 902">35</td> </tr> <tr> <td data-bbox="231 902 954 958">Planning</td> <td data-bbox="954 902 1086 958">35</td> </tr> <tr> <td data-bbox="231 958 954 972">Information communication technology</td> <td data-bbox="954 958 1086 972">34</td> </tr> </tbody> </table>	Service Area	No.	Housing	90	HR	72	Highways	61	Schools	58	Procurement	54	Children and Families	50	Parking	36	Adult Social Care	35	Planning	35	Information communication technology	34
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27.	<p>The breakdown of requester type is as follows:</p> <table border="1" data-bbox="244 1070 1458 1301"> <thead> <tr> <th data-bbox="244 1070 852 1126">Requester Category</th> <th data-bbox="852 1070 1458 1126">% of Requests</th> </tr> </thead> <tbody> <tr> <td data-bbox="244 1126 852 1171">Private Citizens</td> <td data-bbox="852 1126 1458 1171">61%</td> </tr> <tr> <td data-bbox="244 1171 852 1216">Companies / Businesses</td> <td data-bbox="852 1171 1458 1216">15%</td> </tr> <tr> <td data-bbox="244 1216 852 1261">Media</td> <td data-bbox="852 1216 1458 1261">12%</td> </tr> <tr> <td data-bbox="244 1261 852 1301">Remainder</td> <td data-bbox="852 1261 1458 1301">12%</td> </tr> </tbody> </table> <p>The remaining requests came from a combination of charities, students, researchers, lobby groups, MPs / City Council Members and other Councils etc.</p>	Requester Category	% of Requests	Private Citizens	61%	Companies / Businesses	15%	Media	12%	Remainder	12%												
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28.	<p>Previously, Members requested information as to how much time and resources each Service spends on dealing with requests. Research from Parliamentary post-legislative scrutiny of the Act indicates “the best-performing local authorities took between 1 and 6 hours for each request”. We can estimate that our time spend on requests is comparable to this and using the £25 per hour rate that the Act allows us to charge for staff time when refusing requests, we can estimate that each request costs the Council between £25 and £150 to respond on average.</p>																						
29.	<p>As Corporate Legal accurately time-record, we are able to detail how much time it takes to log, monitor, and give advice on requests. For 2023-24, the average time taken per request was 1.3 hours. Most requests (around 94%) take around half an hour to action within the Corporate Legal Team but, where detailed exemptions and redactions are needed, this can increase time taken on a single request for very complex cases.</p>																						

30.	<p>For example, the Corporate Legal time spent just over 39 hours on one single request in 2023-24. The average therefore predominantly represents the time taken for detailed application of legal tests to requests where the Council seeks to withhold certain information from release. These are activities cannot be included when determining whether to refuse a request on the grounds on time / costs.</p> <p>The total amount of time the Corporate Legal team spent on processing and providing advice on FOI requests for 2023-24 was 1851 hours, which equates to a cost of £89,399.</p>																											
31.	<p>In providing advice and guidance on all information governance matters for 2023-24 (e.g. processing information requests, investigating breaches, conducting Data Protection Impact Assessments etc.), the Corporate Legal team spent 5051 hours, equating to a cost of £264,344. This includes:</p> <table border="1" data-bbox="258 705 1520 1137"> <thead> <tr> <th data-bbox="258 705 1117 757">Information Governance Work</th> <th data-bbox="1117 705 1287 757">Hours</th> <th data-bbox="1287 705 1520 757">Cost</th> </tr> </thead> <tbody> <tr> <td data-bbox="258 757 1117 801">FOI Requests</td> <td data-bbox="1117 757 1287 801">1851</td> <td data-bbox="1287 757 1520 801">£89,399</td> </tr> <tr> <td data-bbox="258 801 1117 846">SAR Requests</td> <td data-bbox="1117 801 1287 846">1153</td> <td data-bbox="1287 801 1520 846">£52,118</td> </tr> <tr> <td data-bbox="258 846 1117 891">Providing General Data Protection Advice</td> <td data-bbox="1117 846 1287 891">760</td> <td data-bbox="1287 846 1520 891">£47,707</td> </tr> <tr> <td data-bbox="258 891 1117 936">Third Party, CCTV, and Re-Use Requests</td> <td data-bbox="1117 891 1287 936">531</td> <td data-bbox="1287 891 1520 936">£29,616</td> </tr> <tr> <td data-bbox="258 936 1117 981">Investigating Data Breaches, Complaints, or Concerns</td> <td data-bbox="1117 936 1287 981">389</td> <td data-bbox="1287 936 1520 981">£21,924</td> </tr> <tr> <td data-bbox="258 981 1117 1025">Conducting Data Protection Impact Assessments</td> <td data-bbox="1117 981 1287 1025">166</td> <td data-bbox="1287 981 1520 1025">£10,387</td> </tr> <tr> <td data-bbox="258 1025 1117 1070">Drafting and Reviewing Data Sharing Agreements</td> <td data-bbox="1117 1025 1287 1070">79</td> <td data-bbox="1287 1025 1520 1070">£4,864</td> </tr> <tr> <td data-bbox="258 1070 1117 1137">RIPA advice</td> <td data-bbox="1117 1070 1287 1137">73</td> <td data-bbox="1287 1070 1520 1137">£5,111</td> </tr> </tbody> </table>	Information Governance Work	Hours	Cost	FOI Requests	1851	£89,399	SAR Requests	1153	£52,118	Providing General Data Protection Advice	760	£47,707	Third Party, CCTV, and Re-Use Requests	531	£29,616	Investigating Data Breaches, Complaints, or Concerns	389	£21,924	Conducting Data Protection Impact Assessments	166	£10,387	Drafting and Reviewing Data Sharing Agreements	79	£4,864	RIPA advice	73	£5,111
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32.	<p>It should be stressed that these figures do not include the time taken for the Service Centre or the service areas' involvement in these matters, and the Council does not have a mechanism for capturing that resource cost (which comprises the bulk of any cost to the Council).</p>																											
33.	<p>In the Corporate Legal team there are now 3 FTE member of staff dedicated to providing advice and monitoring compliance with information law. Other members of Legal Services, the Director of Legal and Governance, Head of Legal Partnerships and apprentices support this function when their capacity allows.</p>																											
GENERAL DATA PROTECTION REGULATION																												
34.	<p>The GDPR gives individuals the right to know what information is held about them, along with other rights, and provides a framework to ensure that personal information is handled properly.</p>																											
35.	<p>Under the GDPR, an individual is entitled to access personal data held by an organisation, of which that individual is the data subject. Such requests for information are known as subject access requests. Other requests available under the GDPR are:</p> <ul style="list-style-type: none"> • Rectification • Erasure • Restriction • Object • Portability <p>The Council has to respond to such requests within one calendar month.</p>																											

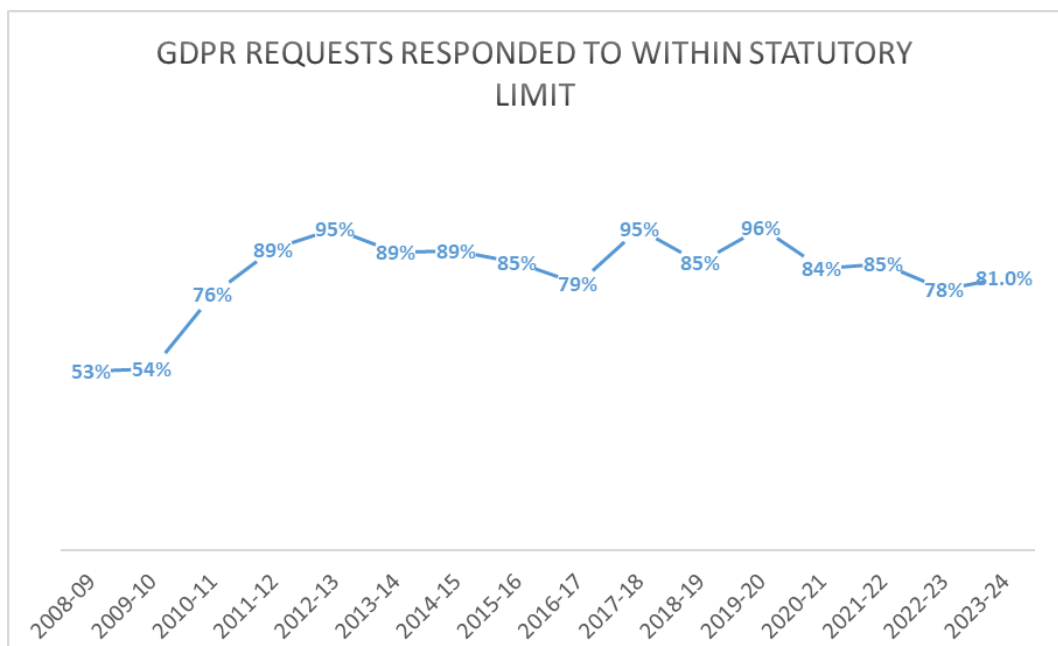
36. For the year 2023-24, the Council received 274 rights requests, broken down as follows:

Request Type	No. Received
Subject Access	259
Erasure	8
Rectification	4
Objection	3

37. This represents a decrease on last year, and is the second time the Council has seen a decrease in such requests since the introduction of the GDPR in 2018.



38. 81% of the requests were responded to within the statutory timescales compared with 78% last year. Again, the Council's target is 90% compliance.



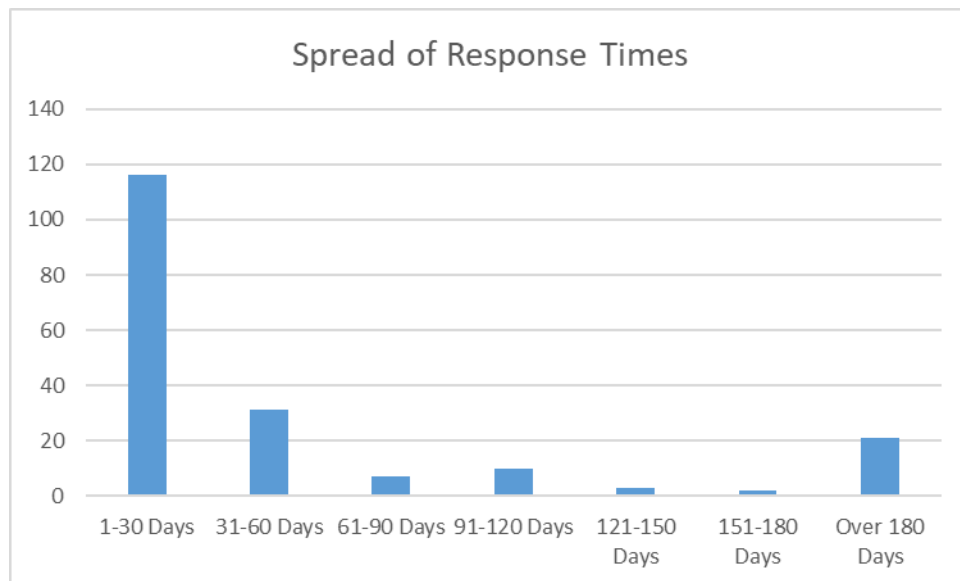
39. The Directorate breakdown is as follows:

	No. Rec'd	Responded on time	Responded Late	Av. Days Taken
Children and Learning	161	64%	36%	91
Community Wellbeing	15	100%	0%	33
Enabling Services	40	97%	3%	34
Growth and Prosperity	9	100%	0%	23
Resident Services	49	97%	3%	35
Strategy and Performance	0	N/A	N/A	N/A
Grand Total	274	81%	19%	63

Compliance is calculated from the requests *responded to* within the year. This may include requests *received* in the previous year.

Requests are not allocated to a directorate when it is not clear what information is sought from the request. Clarification is requested, and if this is not received within 3 months, the request is deemed to be lapsed.

40. The majority of requests (61%) were responded to within the one-month period.



It should be noted with SARs that the GDPR enables the Council to extend the deadline up to 90 days, if the request is particularly complex. As such, those that took up to 90 days may not necessarily be "late".

41. The delays generally occurred within the Children and Learning, which is to be expected as they receive the largest volume of requests. For requests that took over 100 days to respond to, the main themes were:

- The volume and complexity of requests for social care information
- Delays in receiving social worker's advice on redactions and approval of proposed disclosure document.

	<ul style="list-style-type: none"> • Children and Learning clearing a large backlog of requests. This is still being done on a first-come-first-served basis and whilst the backlog is being cleared it has led to a large number of “late” requests being responded to, attributing to the figures above (which only included requests that were responded to). • Requests involving a large volume of historic records. In most cases, the Council were able to give a partial disclosure on or just after the statutory deadline and then would provide a monthly disclosure bundle until the SAR was complete. 										
42.	<p>For requests received during 2023-24, 5 individuals requested internal reviews regarding decisions made to withhold, partially withhold information requested, or where they were generally unhappy with how their request was handled.</p> <p>The themes of reviews are as follows:</p> <ul style="list-style-type: none"> • The requester was not satisfied that the Council had disclosed all information it held on them • The requester was not happy with the delays in responding, and / or the application of the 2-month extension • The requester did not agree with the Council’s decision that they did not have the authority to act on behalf of the data subject • The requester was not happy with the redactions applied to the documents provided 										
43.	<p>There were 4 occasions where the ICO contacted the Council in light of concerns they had about how a request was handled. Two complaints were in respect of late requests, one complaint was regarding the Council’s application of the time extension, and the remaining complaint what that the Council has not disclosed all information held.</p> <p>All complaints were addressed with no further action being taken by the Commissioner.</p>										
44.	<p>Sometimes, there is a requirement to disclose personal data which might otherwise be in breach of the GDPR. Where an exemption from the non-disclosure provisions applies, such disclosure is not in breach of the GDPR.</p> <p>Examples of exemptions include crime and taxation and disclosures required by law or made in connection with legal proceedings. Such requests are typically made to the Council by regulatory authorities such as the police, the Department of Work and Pensions and so on as part of their investigations.</p>										
45.	<p>For the year 2023-24 the Council received 292 requests for data from such third-party organisations compared to 304 in the previous year.</p> <p>The top three requester types are as follows:</p> <table border="1"> <thead> <tr> <th>Type</th> <th>Requests</th> </tr> </thead> <tbody> <tr> <td>Police</td> <td>121</td> </tr> <tr> <td>Local Authority</td> <td>85</td> </tr> <tr> <td>Government Agency</td> <td>68</td> </tr> <tr> <td>Other</td> <td>18</td> </tr> </tbody> </table>	Type	Requests	Police	121	Local Authority	85	Government Agency	68	Other	18
Type	Requests										
Police	121										
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Government Agency	68										
Other	18										
46.	<p>In addition to these requests, the CCTV control room (City Watch) and Licensing Team received 1253 and 30 third party requests respectively (all of the Licensing requests were for footage from the vehicle Taxi Cameras). These requests are regulated by information sharing agreements, which removes the requirement to have each one authorised by Corporate Legal.</p>										

	DATA SECURITY INCIDENTS
47.	<p>During 2023-24, 217 data security incidents were reported to the Corporate Legal team, which represents a slight increase from last year's 196 reported incidents. However, we strongly encourage full reporting of all breaches, however minor, so this figure on its own does not indicate anything is systemically wrong with how the Council handles its data.</p> <p>80% of these 217 were determined to be actual data breaches upon investigation, with the most common cause (56% of incidents) being data sent electronically to incorrect recipients.</p> <p>It should be noted that a "breach" could include an internal disclosure of information to the wrong member of staff, but as this information has not been shared externally, the detriment to the data subject would be deemed to be minimal.</p>
48.	<p>Crucially, the Council records the "severity" of the incidents reported, determined by a number of factors, including the nature of the information involved, the volume of data, and the possible harm the breach might cause to individuals involved. Any incident receiving a severity rating over 1 was considered to require a full investigation and remediation report.</p> <p>It is important to note that for 2023-24, the average severity of incidents determined to be actual breaches was 0.2.</p>
49.	Importantly, none of the data breaches reported were considered sufficiently serious to be reported to the Information Commissioner's Office.
	NHS TOOLKIT
50.	In order to share information with our health partners, the Council has to provide annual assurance as to the standard of its information governance compliance. In the absence of any service information governance lead, the Corporate Legal Team again assumed short-term responsibility for collation of the Toolkit evidence. The Council was self-assessed at being 100% compliant with the mandatory evidence requirements.
51.	This year, the Council's evidence was reviewed by the NHS, and it was deemed that the Council provided full data security assurance.
	RIPA
52.	Under RIPA, the Council as a public authority is permitted to carry out directed surveillance, the use of covert human intelligence sources and to obtain communications data if it is both necessary for the purpose of preventing or detecting crime and/or disorder and the proposed form and manner of the activity is proportionate to the alleged offence.
53.	There were no authorisations made under RIPA in 2023-24.
54.	Examples of activity authorised in previous years include covert surveillance of a victim's home to detect acts of criminality, directed surveillance of individuals who were involved in fraudulent activities and a Covert Human Intelligence Source ('CHIS') was used to form an online relationship with a suspect to make a test purchase of suspected counterfeit goods.
55.	The Council is required to formally appoint a 'Senior Responsible Officer' for RIPA. The Director of Legal and Governance is the officer who undertakes this role. The Senior Responsible Officer has responsibility for maintaining the central record of authorisations; the integrity of the RIPA process within their authority; compliance with the Act and Codes of Practice; oversight of the reporting errors to the Surveillance

	Commissioner; engagement with inspectors from the Investigatory Powers Commissioner and implementation of any subsequent action plan.																				
56.	Training for Council officers involved in RIPA processes is regularly undertaken and is delivered by the Corporate Legal Team. Our documentation, procedures and training are also used as ‘best practice’ by a number of other local authorities and we regularly provide training for partner authorities on request. This year we also delivered four training sessions to officers at Eastleigh Borough Council and one session to officers at Fareham Borough Council.																				
57.	<p>The Investigatory Powers Commissioner’s Office (formerly the Office of Surveillance Commissioners) carried out its most recent inspection of the Council’s management of covert activities in December 2022. In his report of December 2022, The Rt. Hon. Sir Brian Leveson, the Investigatory Powers Commissioner, noted:</p> <p>“In conclusion, it is clear that SCC remains very well placed as regards its levels of compliance with RIPA and the Investigatory Powers Act. It is positive to see the Policy and training kept on at least an annual refresher basis, and in Mrs Horspool and Mr Ivory, you reap the benefits from their longevity in these particular roles”</p>																				
58.	The Council’s reviewed and updated Corporate Surveillance Guidance for 2024 is attached at appendix 1																				
	DATA PROTECTION IMPACT ASSESSMENTS																				
59.	<p>Under Council policy, a Data Protection Impact Assessment (or DPIA) must be carried out for new projects.</p> <p>Carrying out a DPIA enables the Council to identify and address any privacy risks at an early stage, ensure a “privacy by design approach, and adhere to the accountability principle of the GDPR.</p>																				
60.	<p>In 2023-24, the Council conducted 61 DPIAs, which is a decrease on the previous year. This represents downward trend over the past few years, which has seen the Council reduce the number of projects and procurement activities undertaken, and there is a finite number of retrospective DPIAs the Council deemed necessary to carry out as part of its work around GDPR implementation.</p> <div data-bbox="338 1400 1369 2011" data-label="Figure"> <table border="1"> <caption>DPIAS UNDERTAKEN</caption> <thead> <tr> <th>Financial Year</th> <th>Number of DPIAs Undertaken</th> </tr> </thead> <tbody> <tr> <td>2015-16</td> <td>15</td> </tr> <tr> <td>2016-17</td> <td>26</td> </tr> <tr> <td>2017-18</td> <td>48</td> </tr> <tr> <td>2018-19</td> <td>139</td> </tr> <tr> <td>2019-20</td> <td>169</td> </tr> <tr> <td>2020-21</td> <td>125</td> </tr> <tr> <td>2021-22</td> <td>128</td> </tr> <tr> <td>2022-23</td> <td>103</td> </tr> <tr> <td>2023-24</td> <td>61</td> </tr> </tbody> </table> </div>	Financial Year	Number of DPIAs Undertaken	2015-16	15	2016-17	26	2017-18	48	2018-19	139	2019-20	169	2020-21	125	2021-22	128	2022-23	103	2023-24	61
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61.	The DPIA process is still embedded within project management and procurement. This gives Corporate Legal valuable oversight with regard to any privacy risks associated with new endeavours, and ensuring a “privacy by design” approach
RESOURCE IMPLICATIONS	
<u>Capital/Revenue</u>	
62.	None directly related to this report. The administration of information law within the authority is managed within budget and corporate overheads, but ensuring that the Council performs to an acceptable information governance standard and complies with the new statutory standards imposed by the GDPR and DPA18 places increased pressure on finite and already stretched resources.
<u>Property/Other</u>	
63.	None directly related to the report.
LEGAL IMPLICATIONS	
<u>Statutory power to undertake proposals in the report:</u>	
64.	The statutory obligations relating to information law are detailed in the body of this report.
<u>Other Legal Implications:</u>	
65.	None directly related to this report.
RISK MANAGEMENT IMPLICATIONS	
66.	The potential impact of the decision in terms of finance, service delivery and reputation is considered to be low. Although the report does highlight potential future pressures on service delivery with the advent of the GDPR, the decision of members in this report is to note the performance of the Council in terms of information governance for 2023-24.
POLICY FRAMEWORK IMPLICATIONS	
67.	The information contained in this report is consistent with and not contrary to the Council’s policy framework.

KEY DECISION?	No
WARDS/COMMUNITIES AFFECTED:	none
<u>SUPPORTING DOCUMENTATION</u>	
Appendices	
1.	Corporate Surveillance Guidance October 2023
Documents In Members’ Rooms None	
1.	None
Equality Impact Assessment	
Do the implications/subject of the report require an Equality and Safety Impact Assessment (ESIA) to be carried out.	No

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 None		
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.	None	

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**Southampton City Council
Corporate Surveillance Guidance
The Regulation of Investigatory Powers Act
2000
October 2023**



Southampton City Council
Corporate Surveillance Guidance
The Regulation of Investigatory Powers Act 2000
October 2023

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Corporate Surveillance Guidance			
Version	18.0	Approved by	Director of Governance, Legal & HR
Date last amended	2 nd October 2023	Approval date	2 nd October 2023
Lead officer	Tracy Horspool, Senior Solicitor (Corporate)	Review date	2 nd October 2024
Contact	information@southampton.gov.uk	Effective date	2 nd October 2023

1. Introduction

1.1 Summary

The Regulation of Investigatory Powers Act 2000 ('RIPA') brought into force the regulation of covert investigation by a number of bodies, including local authorities. RIPA regulates a number of investigative procedures, the most recent of which is the access to communications data.

This document is intended to provide officers with guidance on the use of covert surveillance, Covert Human Intelligence Sources ('Sources') and the obtaining and disclosure of communications data under RIPA. Officers must take into account the Codes of Practice issued under RIPA (RIPA and the Codes of Practice may be found at www.security.homeoffice.gov.uk).

1.2 Background

The Human Rights Act 1998 requires the Council, and organisations working on its behalf, pursuant to Article 8 of the European Convention, to respect the private and family life of a citizen, his home and his correspondence.

The European Convention did not, however, make this an absolute right, but a qualified right. Accordingly, in certain circumstances, the Council may interfere in the citizen's right mentioned above, if such interference is:

- (a) in accordance with the law
- (b) necessary (as defined in this document); and
- (c) proportionate (as defined in this document).

RIPA provides a statutory mechanism for authorising certain types of surveillance. It seeks to ensure that any interference with an individual's right under Article 8 of the European Convention is necessary and proportionate. In doing so, RIPA seeks to ensure both the public interest and the human rights of individuals are suitably balanced.

If the correct procedures are not followed, evidence may be disallowed by the courts, a complaint of maladministration could be made to the Ombudsman, and/or the Council could be ordered to pay compensation. It is essential, therefore, that all

involved with RIPA comply with this document and any further guidance that may be issued, from time to time, by the Director of Legal & Business Services.

Each officer of the Council with responsibilities for the conduct of investigations, shall, before carrying out any investigation involving RIPA, undertake appropriate training to ensure that investigations and operations that he/she carries out will be conducted lawfully.

The Director of Governance, Legal & HR, is appointed as the senior responsible officer to ensure the integrity of the process within the Council and its compliance with RIPA; to have oversight of reporting of errors to the relevant oversight commissioner; responsibility for engagement with the Investigatory Powers Commissioner's Office when they conduct their inspections and where necessary, oversight of the implementation of any post-inspection action plan. The senior responsible officer will also ensure that Members regularly review the Council's use of RIPA.

1.3 *Review*

RIPA and this document are important for the effective and efficient operation of the Council's actions with regard to surveillance. This document will, therefore be kept under yearly review by the Director of Governance, Legal & HR.

Authorising Officers must bring any suggestions for continuous improvement of this document to the attention of the Director of Governance, Legal & HR, at the earliest possible opportunity.

1.4 *Scope*

RIPA covers the authorisation of directed surveillance, the authorisation of sources and the authorisation of the obtaining of communications data. Communications data includes information relating to the use of a postal service or telecommunications system but does not include the contents of the communication itself, contents of e-mails or interaction with websites. An authorisation under RIPA will provide lawful authority for the investigating officer to carry out surveillance.

In terms of monitoring e-mails and internet usage, it is important to recognise the interplay and overlaps with the Council's e-mail and internet policies and guidance, the Telecommunications (Lawful Business Practice) (Interception of Communications) Regulations 2000 and the Data Protection Act 2018. RIPA forms should be used where relevant and they will only be relevant where the criteria listed on the forms are fully met.

2. General

2.1 *Definition of Surveillance*

'Surveillance' includes:

- a) monitoring, observing or listening to persons, their movements, their conversations or their other activities or communication;
- b) recording anything monitored, observed or listened to in the course of surveillance; and
- c) surveillance by or with the assistance of a surveillance device.

Surveillance includes the interception of postal and telephone communications where the sender or recipient consents to the reading of or listening to or recording of the communication. This is a form of directed surveillance.

2.2 *Confidential Material*

Particular care should be taken in cases where the subject of the investigation or operation might reasonably expect a high degree of privacy, or where confidential information is involved. Confidential information consists of matters subject to legal privilege, confidential personal information, confidential journalistic material and communications between an MP and a constituent.

Applications in which the surveillance is likely to result in the acquisition of confidential material will only be considered in exceptional and compelling circumstances with full regard to the proportionality issues this raises.

The Authorising Officer shall give the fullest consideration to any cases where the subject of the surveillance might reasonably expect a high degree of privacy, for instance in his or her home.

Where a likely consequence of surveillance would result in the acquisition of confidential material, the investigating officer must seek authority from the Chief Executive, or, in his absence, the Director of Governance, Legal & HR.

3. Directed and intrusive surveillance

3.1 *Directed Surveillance*

Directed surveillance is surveillance which is covert, but not intrusive, and undertaken:

- a) for the purposes of a specific investigation or specific operation;
- b) in such a manner as is likely to result in the obtaining of private information about a person (whether or not one specifically identified for the purposes of the investigation or operation); and
- c) otherwise than by way of an immediate response to events or circumstances the nature of which is such that it would not be reasonably practicable for an authorisation under RIPA to be sought for the carrying out of the surveillance.

3.2 *Intrusive Surveillance*

That surveillance becomes intrusive if the covert surveillance:

- a) is carried out by means of a surveillance device in relation to anything taking place on any residential premises or in any private vehicle; or
- b) is carried out without that device being present on the premises or in the vehicle, is not intrusive unless the device is such that it consistently provides information of the same quality and detail as might be expected to be obtained from a device actually present on the premises or in the vehicle, or
- c) is carried out in places ordinarily used for legal consultation, at a time when they are being used for such consultations

Therefore, directed surveillance turns into intrusive surveillance if it is carried out involving anything that occurs on residential premises or any private vehicle and involves the presence of someone on the premises or in the vehicle or is carried out by means of a surveillance device **OR** when directed surveillance is carried out in places ordinarily used for legal consultation, at a time when they are being used for such consultations.

For intrusive surveillance relating to residential premises or private vehicles, if any device used is not on the premises or in the vehicle, it is only intrusive surveillance if it consistently produces information of the same quality as if it were.

Where covert surveillance is carried out by a device designed or adapted principally for the purpose of providing information about the location of a vehicle, the activity is directed surveillance.

Commercial premises and vehicles are therefore excluded from intrusive surveillance. Currently, local authorities are **not** authorised to carry out intrusive surveillance.

4. Identifying directed surveillance

Ask yourself the following questions:

4.1 *Is the surveillance covert?*

Covert surveillance is any surveillance that is carried out in a manner calculated to ensure that the persons subject to the surveillance are unaware that it is or may be taking place.

If your activities are not hidden from the subjects of your investigation, you are not within the RIPA framework at all. In many cases, Officers will be behaving in the same way as a normal member of the public (e.g. in the case of most test purchases), and/or will be going about Council business openly (e.g. a market inspector walking through markets).

Similarly, surveillance will be overt if the subject has been told it will happen (e.g. where a noisemaker is warned (preferably in writing) that noise will be recorded if the noise continues, or where an entertainment licence is issued subject to conditions, and the licensee is told that officers may visit without notice or identifying themselves to the owner/proprietor to check that conditions are being met.

It should be noted that if the same outcome can be achieved by overt means then those means need to be fully explored in the first instance. Covert surveillance must only be undertaken when there is no less invasive way of achieving the outcome.

4.2 Is the surveillance for the purposes of a specific investigation or a specific operation?

Although, the provisions of the Act do not normally cover the use of overt CCTV surveillance systems, since members of the public are aware that such systems are in use, there may be occasions when public authorities use overt CCTV systems for the purposes of a specific investigation or operation. For example, if the CCTV cameras are targeting a particular known offender. In such cases, authorisation for directed surveillance may be necessary.

4.3 Is the surveillance in such a manner that is likely to result in the obtaining of private information about a person?

Private information includes any information relating to a person's private or family life. The concept of private information should be broadly interpreted to include an individual's private or personal relationship with others. It includes an individual's business and family relationships. Family life itself should be treated as extending beyond the formal relationships created by marriage.

4.4 Is the surveillance otherwise than by way of an immediate response to events or circumstances where it is not reasonably practicable to get authorisation?

Directed surveillance does not include covert surveillance carried out by way of an immediate response to events or circumstances which, by their very nature, could not have been foreseen. For example, a police officer would not require an authorisation to conceal himself and observe a suspicious person that he came across in the course of a patrol.

However, if as a result of that immediate response, you undertake a specific investigation you will need authorisation.

5. Covert human intelligence sources

5.1 Definition

A person is a source if:

- a) he establishes or maintains a personal or other relationship with a person for the covert purpose of facilitating the doing of anything falling within paragraph (b) or (c);
- b) he covertly uses such a relationship to obtain information or to provide access to any information to another person; or

- c) he covertly discloses information obtained by the use of such a relationship or as a consequence of the existence of such a relationship.

A source may include those referred to as agents, informants and officers working undercover.

A purpose is covert, in relation to the establishment or maintenance of a personal or other relationship, if and only if, the relationship is conducted in a manner that is calculated to ensure that one of the parties to the relationship is unaware of the purpose.

A relationship is used covertly, and information obtained is disclosed covertly, if and only if it is used or disclosed in a manner that is calculated to ensure that one of the parties to the relationship is unaware of the use or disclosure in question.

The use of a source involves inducing, asking or assisting a person to engage in the conduct of a source, or to obtain information by means of the conduct of such a source.

This covers the use of professional witnesses to obtain information and evidence. For example, it will include professional witnesses retained by Housing to pose as tenants to obtain information and evidence against alleged nuisance perpetrators.

Carrying out test purchases will not require the purchaser to establish a relationship with the supplier with the covert purpose of obtaining information and, therefore, the purchaser will not normally be a CHIS. For example, authorisation would not normally be required for test purchases carried out in the ordinary course of business (e.g. walking into a shop and purchasing a product over the counter).

By contrast, developing a relationship with a person in the shop, to obtain information about the seller's suppliers of an illegal product will require authorisation as a CHIS. Similarly, using mobile hidden recording devices or CCTV cameras to record what is going on in the shop will require authorisation as directed surveillance. In all cases, a prior risk assessment is essential in relation to any young person used for a test purchase.

The Code of Practice states that the provisions of RIPA are not intended to apply in circumstances where members of the public volunteer information to the police or other authorities, as part of their normal civic duties, or to contact numbers set up to receive information (such as Crimestoppers, Customs Confidential, the Anti Terrorist Hotline, or the Security Service Public Telephone Number). Members of the public acting in this way would not generally be regarded as sources.

It should be noted, however, that if the information provided is recorded as potentially useful or actionable, there is potential duty of care to the individual and the onus is on the public authority to manage human sources properly. Authorising Officers should be alive to the possibility of 'status drift'. Authorising Officers, when deciding whether to grant an authorisation, should take account of the difference between a volunteer of information already known to the individual and the relevance of the exploitation of a relationship for a covert purpose.

An authorisation under RIPA will provide lawful authority for the use of a source.

5.2 Security and Welfare

Only the Chief Executive or, in his absence, the Director of Governance, Legal & HR, is able to authorise the use of vulnerable individuals and juvenile sources. The Authorising Officer shall have regard to the special safeguards and provisions that apply to vulnerable individuals and juvenile sources, more particularly set out in the Covert Human Intelligence Source Code of Practice at www.security.homeoffice.gov.uk.

The Authorising Officer shall ensure that arrangements are in place for the proper oversight and management of sources, including appointing individual officers for each source. The person responsible for the day-to-day contact between the public authority and the source will usually be of a rank or position below that of the Authorising Officer.

Officers using a source shall consider the safety and welfare of that source (even after cancellation of the authorisation), and the foreseeable consequences to others of the tasks they are asked to carry out. The Authorising Officer shall carry out a risk assessment before authorising the source.

6. Covert surveillance of social networking sites (SNS)

6.1 Even though data may be deemed published and no longer under the control of the author, it is unwise to regard it as 'open source' or publicly available. The author has a reasonable expectation of privacy if access controls are applied. In some cases, data may be deemed private communication still in transmission.

6.2 If it is necessary and proportionate for a public authority to breach covertly access controls, the minimum requirement is an authorisation for directed surveillance. An authorisation for the use and conduct of a CHIS is necessary if a relationship is established or maintained by a member of a public authority or by a person acting on its behalf, i.e. the activity is more than mere reading of the site's content

6.3 Officers must not:

- Set up a false identity for a covert purpose without authorisation
- Adopt the identity of a person known, or likely to be known, to the subject of interest or users of the site without authorisation and without the consent of the person of the person whose identity is used, and without considering the protection of that person. The consent must be explicit.
- Use their personal social network login details to view individuals under investigation

6.4 In deciding whether online surveillance should be regarded as covert, consideration should be given to the likelihood of the subject(s) knowing that the surveillance is or may be taking place. Use of the internet itself may be considered as adopting a surveillance technique calculated to ensure that the subject is unaware of it, even if no further steps are taken to conceal the activity. Conversely, if reasonable steps have been taken to inform the public or particular individuals that the surveillance is or may be taking place, this can be regarded as overt and a directed surveillance authorisation will not normally be available.

6.5 As set out in paragraph 6.6 below, depending on the nature of the online platform, there may be a reduced expectation of privacy where information relating to a person or group of people is made openly available within the public domain, however in some circumstances privacy implications still apply. This is because the intention when making such information available was not for it to be used for a covert purpose such as investigative activity. This is regardless of whether a user of a website or social media platform has sought to protect such information by restricting its access by activating privacy settings.

6.6 Where information about an individual is placed on a publicly accessible database, for example the telephone directory or Companies House, which is commonly used and known to be accessible to all, they are unlikely to have any reasonable expectation of privacy over the monitoring by public authorities of that information. Individuals who post information on social media networks and other websites whose purpose is to communicate messages to a wide audience are also less likely to hold a reasonable expectation of privacy in relation to that information.

6.7 Whether the Council interferes with a person's private life includes a consideration of the nature of the Council's activity in relation to that information. Simple reconnaissance of such sites (i.e. preliminary examination with a view to establishing whether the site or its contents are of interest) is unlikely to interfere with a person's reasonably held expectation of privacy and therefore is not likely to require a directed surveillance authorisation. But where the Council is systematically collecting and recording information about a particular person or group, a directed surveillance authorisation should be considered. These considerations apply regardless of when the information was shared online.

Example 1: A simple internet search on a name, address or telephone number to find out whether a subject of interest has an online presence is unlikely to need an authorisation. However, if having found an individual's social media profile or identity it is decided to monitor it or extract information from it for retention in a record because it is relevant to an investigation or operation, authorisation should then be considered.

Example 2: Initial examination of an individual's online profile to establish whether they are of relevance to an investigation is unlikely to need an authorisation. Visiting a website would not normally amount to surveillance, but if during that visit it is intended to extract and record information to establish a profile including information such as identity, pattern of life, habits, intentions or associations, it may be advisable to have in place an authorisation even for that single visit. As set out in the following paragraph, the purpose of the visit may be relevant as to whether an authorisation should be sought.

Example 3: General monitoring of the internet in circumstances where it is not part of a specific, ongoing investigation or operation does not require RIPA authorisation. This includes any monitoring that is intended to identify themes, trends, possible indicators of criminality or other factors that may influence operational strategies or deployments. It may also include the discovery of previously unknown subjects of interest, but once it is decided to monitor those individuals as part of an ongoing operation or investigation, authorisation should be considered.

6.8 In order to determine whether a directed surveillance authorisation should be sought for accessing information on a website as part of a covert investigation or operation, it is necessary to look at the intended purpose and scope of the online activity it is proposed to undertake. Factors that should be considered in establishing whether a directed surveillance authorisation is required include:

- Whether the investigation or research is directed towards an individual or organisation;
- Whether it is likely to result in obtaining private information about a person or group of people;
- Whether it is likely to involve visiting internet sites to build up an intelligence picture or profile;
- Whether the information obtained will be recorded and retained;
- Whether the information is likely to provide an observer with a pattern of lifestyle;
- Whether the information is being combined with other sources of information or intelligence, which amounts to information relating to a person's private life;
- Whether the investigation or research is part of an ongoing piece of work involving repeated viewing of the subject(s);
- Whether it is likely to involve identifying and recording information about third parties, such as friends and family members of the subject of interest, or information posted by third parties, that may include private information and therefore constitute collateral intrusion into the privacy of these third parties.

6.9 Internet searches carried out by a third party on behalf of a public authority, or with the use of a search tool, may still require a directed surveillance authorisation

Example: Researchers within a public authority using automated monitoring tools to search for common terminology used online for illegal purposes will not normally require a directed surveillance authorisation. Similarly, general analysis of data by public authorities either directly or through a third party for predictive purposes (e.g. identifying crime hotspots or analysing trends) is not usually directed surveillance. In such cases, the focus on individuals or groups is likely to be sufficiently cursory that it would not meet the definition of surveillance. But officers should be aware of the possibility that the broad thematic research may evolve, and that authorisation may be appropriate at the point where it begins to focus on specific individuals or groups. If specific names or other identifiers of an individual or group are applied to the search or analysis, an authorisation should be considered.

6.10 Each viewing of a company or an individual's Social Media profile for the purpose of investigation or evidence gathering must be notified to the senior responsible officer and will be recorded on the log held by the Corporate Legal Team. All Authorising Officers have access to view the log on Sharepoint.

7. Communications data

7.1 *Definition*

This covers any conduct in relation to a postal service or telecommunications system for obtaining communications data and the disclosure to any person of such data. For these purposes, communications data includes information relating to the use of a postal service or telecommunications system but does not include the contents of the communication itself, content of emails or interaction with websites.

Communications data includes subscribers details, names and addresses and telephone numbers of those contacted, billing addresses, account information, web addresses visited etc.

The Investigatory Powers Act 2016 (IPA) created new Communications Data terminology. Communications Data now comprises 'Entity Data' and 'Events Data'.

Entity Data broadly replaces 'Subscriber Data' under RIPA, s21(4)(c), e.g name of subscriber, address for billing, contact telephone number, subscriber account information etc.

Events Data identifies or describes events which consist of one or more entities engaging in an activity at a specific time or times. It includes call histories and activity, including itemized records of telephone calls, internet connections, dates and times/duration of calls etc. Event data refers to both 'Traffic Data' (S21(4)(a)) and 'Service Use Information' (S21(4)(b)) under RIPA. Where the purpose of the acquisition is to prevent or detect crime and the data required is Events data, the offence or conduct of the offence being investigated must meet at least one of the definitions of serious crime.

7.2 *Serious Crime threshold*

From 1st November 2018, an amendment to RIPA came into force adding a serious crime threshold to the acquisition of service or traffic data. This means that where an application is for the crime statutory purpose (S60A(7)(b)) to acquire event data, the crime must be a serious crime.

7.3 *Definition of Serious Crime*

- 12 months (or more) imprisonment
 - an offence that is capable of attracting a prison sentence of 12 months or more
- Corporate Body
 - an offence by a person who is not an individual
- S81 Offence
 - an offence falling within the definition of serious crime in S81(3)(b) of the IPA where the conduct involves the use of violence, results in substantial financial gain or is by a large number of persons in pursuit of a common

purpose

- Communication Offence
 - an offence which involves, as an integral part of it, the sending of a communication
- Breach of Privacy
 - an offence which involves, as an integral part of it, a breach of a person's privacy

For advice as to how to deal with 'non RIPA' authorised investigations, please seek further advice from the Council's Corporate Legal Team.

8. Authorisation procedure

8.1 *General*

Authorisation is required for the use of directed surveillance, for the conduct and use of sources and for the conduct in relation to a postal service or telecommunication system and the disclosure to any person of such data. Authorisation for directed surveillance can only be granted if the purpose of the surveillance is the prevention or detection of crime(s) punishable by 6 months imprisonment or more, or relates to the sale or alcohol or tobacco to underage persons.

All applications for authorisation of directed surveillance or for the conduct and use of any source must be referred to the RIPA Co-Ordinator (Senior Solicitor-Corporate legal Team) before submission by the Co-Ordinator to an Authorising Officer for consideration.

If the authorisation is provisionally approved by the Authorising Officer, each provisional authorisation then needs to receive judicial approval before being acted upon. Once approved, the original authorisation and accompanying paperwork must be forwarded to the RIPA Co-Ordinator (Senior Solicitor – Corporate Legal Team) to allocate the application a Unique Reference Number (URN) and for key details to be entered onto the central register. For further detail, see paragraph 12.1.

Any officer wishing to engage in conduct in relation to a postal service and telecommunication system for obtaining communications data and the disclosure to any person of such data must also seek authorisation, the procedure of which differs slightly and is outlined in paragraph 8.5.

8.2 *Who can give Provisional Authorisations?*

By law, the 'Authorising Officer' for local authority purposes is any assistant Chief Officer, assistant Head of Service, service manager or equivalent. An Authorising Officer may grant a provisional authorisation, but this authorisation will not take effect until it receives judicial approval (See paragraph 7.4). More senior officers within a

Council may also give provisional authorisations in the circumstances to those whom they are senior. Please note that certain provisional authorisations, namely those relating to confidential information, vulnerable individuals and juvenile sources, can

only be granted by the Chief Executive, or, in his genuine absence, the Director of Legal & Business Operations.

The Council's authorised posts are listed in [Appendix 1](#). This appendix will be kept up to date by the Director of Governance, Legal & HR and added to as needs require. If a Chief Officer wishes to add, delete or substitute a post, a request must be referred to the Director of Governance, Legal & HR, for consideration as necessary. The Director of Governance, Legal & HR, has the delegated authority to add, delete or substitute posts.

It will be the responsibility of Authorising Officers who have been duly certified to ensure their relevant members of staff are also suitably trained as 'applicants' so as to avoid common mistakes appearing on forms for RIPA authorisations.

Training will be given, or approved by the Director of Governance, Legal & HR, before Authorising Officers are certified to sign any RIPA forms. A certificate of training will be provided to the individual and a central register of all those individuals who have undergone training or a one-to-one meeting with the Director of Governance, Legal & HR, on such matters, will be kept by the Director of Governance, Legal & HR.

Authorising officers should not normally be responsible for authorising operations in which they are directly involved, although it is recognised that this may sometimes be unavoidable. Where an Authorising Officer authorises such an investigation or operation the central register will highlight this and the Commissioner or inspector will be notified of this during his or her next inspection

Authorising Officers will also ensure that staff who report to them follow this guidance document and do not undertake or carry out any form of surveillance without first obtaining the relevant authorisations in compliance with this document.

Authorising Officers must also ensure that, when sending copies of authorisations and associated documentation to the Director of Governance, Legal & HR, the same are sent in sealed envelopes and marked 'Strictly Private and Confidential'.

Any equipment to be used in any approved surveillance must be properly controlled, recorded and maintained for audit purposes.

8.3 Grounds for Authorisation – the 'necessary & proportionate' test

An Authorising Officer has a number of obligations within the provisions of the Act, which must be met before carrying out any form of surveillance.

An Authorising Officer shall not grant a provisional authorisation for the carrying out of directed surveillance, or for the use of a source or for the obtaining or disclosing of communications data unless he believes:

- a) that a provisional authorisation is necessary and
- b) the provisionally authorised investigation is proportionate to what is sought to be achieved by carrying it out

For local authority investigations, provisional authorisation is deemed “**necessary**” in the circumstances of the particular case if it is for the purpose of preventing and detecting crime or of preventing disorder.

Conduct is not deemed “**proportionate**” if the pursuance of the legitimate aim listed above will not justify the interference if the means used to achieve the aim are excessive in the circumstances. Any conduct must meet the objective in question and must not be arbitrary or unfair nor must the impact on any individuals or group be too severe.

The conduct must also be the least invasive method of achieving the end and the risk of intrusion into the privacy of persons other than those who are directly the subjects of the investigation must be assessed and taken into account (see Collateral Intrusion below).

Consideration must be given to the seriousness of the offence under consideration. Authorisation for directed surveillance can only be granted if the purpose of the surveillance is the prevention or detection of crime(s) punishable by 6 months imprisonment or more, or relates to the sale or alcohol or tobacco to underage persons. Covert surveillance relating to dog fouling and schools admissions/suspected false addresses will not be deemed a proportionate activity.

Careful consideration needs to be made by authorising officers of all of these points. Such consideration needs to be demonstrated on the authorisation form in the relevant parts. Authorising Officers must exercise their minds every time they are asked to sign a form. They must never sign or rubber stamp the form without thinking about their personal and the Council’s responsibilities.

Any boxes not needed on the form/s must be clearly marked as being ‘not applicable’ or a line put through the same. Great care must also be taken to ensure accurate information is used and inserted in the correct boxes. Reasons for any refusal of an application must also be kept on the form and retained for future audits.

Authorising Officers should not be responsible for authorising investigations or operations in which they are directly involved.

Collateral Intrusion

Before provisionally authorising investigative procedures, the Authorising Officer shall also take into account the risk of intrusion into the privacy of persons other than those who are directly the subjects of the investigation or operation (collateral intrusion). The investigating officer shall take measures, wherever practicable, to avoid or minimise unnecessary intrusion into the lives of those not directly connected with the investigation or operation.

An application for a provisional authorisation shall include an assessment of the risk of any collateral intrusion. The Authorising Officer shall take this into account, when considering the proportionality of the surveillance.

Where an operation unexpectedly interferes with the privacy of individuals who were not the subject of surveillance or covered by the authorisation in some other way, the investigating officer should inform the Authorising Officer.

8.4 Judicial Approval of Provisional Authorisations and Renewals

The Council is only able to grant a provisional authorisation or renewal to conduct covert surveillance. All provisional authorisations and renewals must be approved by the Magistrates Court before surveillance commences.

The Council must apply to the local Magistrates Court for an Order approving the grant or renewal of an authorisation. A template application form and draft Order are included at [Appendix 5](#) to this policy. In order to obtain judicial approval, the first page of the template form must be completed and submitted along with a copy of the provisional authorisation and any other relevant supporting documents.

The Council does not need to give notice of the application to the person(s) subject to the application or their legal representatives. If the Magistrates Court refuse to approve the application, they may also make an order quashing the provisional authorisation.

The Magistrates will consider the provisionally authorised application or renewal, and will need to satisfy themselves that:

- a) At the time of provisional authorisation, there were reasonable grounds for believing that the tests of necessity and proportionality were satisfied in relation to the authorisation, and that those grounds still exist;
- b) That the person who granted provisional authorisation was an appropriately designated person;
- c) The provisional grant or renewal of any authorisation or notice was not in breach of any restrictions imposed under RIPA; and
- d) Any other conditions provided for by an order made by the Secretary of State were satisfied.

A further requirement in relation to renewal of covert human intelligence sources, is that judicial approval will only be granted if the Magistrates are satisfied that a review has been carried out, which considers:

- the use made of the source in the period since authorisation was granted (or the last renewal); and
- the tasks given to the source during that period, and the information obtained from the conduct or use of the source.

and for the purposes of making an Order, the Magistrates have considered the results of that review.

The Council's Trading Standards Team will generally make applications for judicial approval to the Magistrates Court on behalf of the Council. Any particularly complex authorisations or authorisations arising from other areas of the Council that require legal input or representation may be dealt with by the Council's Legal Team if necessary in the circumstances.

8.5 Special Procedure for Authorisation in respect of Communications Data

8.5.1 The introduction of the Office for Communications Data Authorisations (OCDA) means the acquisition of Communications Data by local authority officers is no longer subject to judicial approval by a Magistrate. OCDA assesses Communications Data applications from public authorities and makes decisions about those applications that strike a fine balance between the protection of privacy and the risk to public safety. OCDA acts as a hub of authorisation expertise, independently assessing applications, holding authorities accountable to robust safeguarding standards and challenging where required.

8.5.2 Applications for the obtaining and disclosure of communications data may only be made by officers of the City Council.

8.5.3 Applications for communications data must be channelled through single points of contact (“SPoCs”). The SPoC is able to advise authorising officers as to whether an authorisation or notice is appropriate.

The City Council use the services of the National Anti-Fraud Network (NAFN) for all Communications Data enquiries and as such NAFN performs the role of a SPoC through their qualified SPoC officers. All applicants must be registered with NAFN via the NAFN website at www.nafn.gov.uk. Any initial internal queries can be directed to Tracy Horspool, Senior Solicitor (Corporate) at tracy.horspool@southampton.gov.uk.

8.5.4 The SPoC is required to:

- provide quality assurance checks to ensure that applications consistently comply with IPA standards and to a sufficient level to meet OCDA and IPCO scrutiny
- monitor those applications which are returned for rework or rejected by OCDA and determine the reasons why
- provide organisational and/or individual training as and where necessary sharing best practice, advice and support
- be the point of contact between public authorities and OCDA

8.5.5 S60A of IPA provides for independent authorisation of communications data requests by the Investigatory Powers Commissioner (IPC). OCDA performs this function on behalf of the IPC. An authorising officer in OCDA can authorise any lawful request, for any of the specified purposes from any listed authority. For the City Council, the sole purpose is the ‘applicable crime purpose’.

8.5.6 The IPA provides a new requirement for a local authority making an application to ensure someone of at least the rank of Senior Responsible Officer is aware.

8.5.7 OCDA will only retain, for a limited period of time, the Communications Data applications which are sent to them and the decision document they issue back to public authorities. Public Authorities are therefore required to keep records of both the Communications Data applications that they issue as well as the decisions received from OCDA. Communications data, and all copies, extracts and summaries of it must be handled and stored securely. The requirements of the Data Protection Act 2018 and the principles of the Criminal Procedure and Investigations Act 1996 must be strictly followed.

8.5.8 Where the purpose of a Communications Data application is to identify a journalistic source, these must first be authorized by an Authorising Individual (OCDA AO or DSO) but must also be approved by an IPCO Judicial Commissioner (JC). The Applicant and SPOC should pay special consideration to these applications and inform their Senior Responsible Officer. The IPA does not alter the existing processes for Communications Data applications that may feature sensitive professions including medical doctors, lawyers, journalists, parliamentarians or ministers of religion. If the Communications Data could contain information relating to any of these professions, this must be noted in the application.

8.6 *Urgency*

Urgent authorisations are no longer available in relation to directed surveillance or covert human intelligence sources.

8.7 *Standard Forms*

All authorisations must be in writing.

Standard forms for seeking provisional directed surveillance and source authorisations are provided at [Appendices 3 & 4](#). The standard form for obtaining judicial approval is provided at [Appendix 5](#). All authorisations shall be sought using the standard forms as amended from time to time.

9. **Activities by other public authorities**

9.1 The investigating officer shall make enquiries of other public authorities e.g. the police whether they are carrying out similar activities if he considers that there is such a possibility in order to ensure that there is no conflict between the activities of this Council and those other public authorities.

10. **Joint investigations**

10.1 When some other agency has been instructed on behalf of the City Council to undertake any action under RIPA, this document and the forms in it must be used (as per normal procedure) and the agency advised or kept informed, as necessary, of the various requirements. They must be made aware explicitly what they are authorised to do.

When some other agency (e.g. police, Customs & Excise, HMRC etc.):

- (a) wish to use the City Council's resources (e.g. CCTV surveillance systems), that agency must use its own RIPA procedures and, before any officer agrees to allow the Council's resources to be used for the other agency's purposes, he must obtain a copy of that agency's RIPA form for the record and/or relevant extracts from the same which are sufficient for the purposes of protecting the Council and the use of its resources
- (b) wish to use the Council's premises for their own RIPA action, the officer should, normally, co-operate with the same, unless there are security or other good operational or managerial reasons as to why the Council's premises should not be used for the agency's activities. In such cases, the Council's own RIPA forms should not be used as the Council is only assisting and not being involved in the RIPA activity of the external agency being involved in the RIPA activity of the external agency.

In terms of (a), if the police or other agency wish to use the Council's resources for general surveillance, as opposed to specific RIPA authorisations, an appropriate letter requesting the proposed use, remit, duration, details of who will be undertaking the general surveillance and the purpose of it must be obtained from the police or other agency before any Council resources are made available for the proposed use.

11. Duration, renewals and cancellation of authorisations

11.1 Duration

Authorisations must be reviewed in the time stated and cancelled once no longer needed.

Authorisations last for:

- a) 12 months from the date of the judicial approval for the conduct or use of a source (4 months for juvenile CHIS authorisations)
- b) three months from the date of judicial approval for directed surveillance
- c) one month from the date of approval for communications data, or earlier if cancelled

However, whether the surveillance is carried out/conducted or not in the relevant period, does not mean that the authorisation is spent. Authorisations do not expire, they have to be reviewed, or cancelled if no longer required.

11.2 Reviews

The Authorising Officer shall undertake regular reviews of authorisations to assess the need for the surveillance to continue. The results of a review should be recorded on the central record of authorisations.

Where the surveillance provides access to confidential information or involves collateral intrusion the officer should conduct frequent reviews.

Standard review forms for directed surveillance and CHIS are available on the RIPA intranet pages.

11.3 Renewals

Authorisations may be renewed more than once, if necessary, and the renewal should be kept/recorded as part of the central record of authorisations

Authorisations can be renewed in writing shortly before the maximum period has expired. An authorisation cannot be renewed after it has expired.

The Authorising Officer must consider the matter afresh, including taking into account the benefits of the surveillance to date and any collateral intrusion that has occurred.

The renewal will begin on the day when the authorisation would have expired, provided the necessary judicial approval has been obtained.

A further requirement in relation to renewal of covert human intelligence sources, is that judicial approval will only be granted if the Magistrates are satisfied that a review has been carried out, which considers:

- the use made of the source in the period since authorisation was granted (or the last renewal); and
- the tasks given to the source during that period, and the information obtained from the conduct or use of the source.

and for the purposes of making an Order, the Magistrates have considered the results of that review. The Authorising Officer who granted or last renewed the authorisation must cancel it if he is satisfied that the investigative procedure no longer meets the criteria upon which it was authorised.

Standard renewal forms for the authorisation of directed surveillance and CHIS are available on the RIPA intranet pages.

11.4 Cancellations

An Authorising Officer shall cancel a notice or authorisation as soon as it is no longer necessary, or the conduct is no longer proportionate to what is sought to be achieved. The duty to cancel a notice falls on the authorising officer who issued it.

In the case of a notice issued in respect of communications data, the relevant postal or telecommunications operator will be informed of the cancellation.

Standard cancellation forms for directed surveillance and CHIS are available on the RIPA intranet pages.

12. Records

The City Council must keep a detailed record of all authorisations, reviews, renewals, cancellations and rejections in departments and a central register of all such forms will be maintained by the Director of Governance, Legal & HR.

In relation to communications data, the designated SpoC will retain the forms and the Director of Governance, Legal & HR, will have access to such forms as and when required.

12.1 Central record of all Authorisations

The Director of Governance, Legal & HR, shall hold and monitor a centrally retrievable record of all provisional and judicially approved authorisations. The Authorising Officer must notify and forward a copy of any provisional notice or authorisation granted, renewed or cancelled and any judicial approval received or refused within 1 week of the event to the Director of Governance, Legal & HR to ensure that the records are regularly updated.

The record will be made available to the relevant Commissioner or an Inspector from the Investigatory Powers Commissioner's Office. These records will be retained for a period of 5 years from the ending of the authorisation. A record will be kept of the dates on which the authorisation notice is started and cancelled.

The Director of Governance, Legal & HR will monitor the submission of provisional and judicially approved authorisations and notices and give appropriate guidance, from time to time, or amend any provisional or draft document as necessary. The records submitted to the Director of Governance, Legal & HR, shall contain the following information:

- a) the type of authorisation or notice
- b) the date the provisional authorisation or notice was given;
- c) name and rank/grade of the authorising officer;
- d) the date judicial approval was received or refused;
- e) the unique reference number (URN) of the investigation or operation;
- f) the title of the investigation or operation, including a brief description and names of subjects, if known;
- g) if the authorisation or notice is renewed, when it was renewed and who authorised the renewal, including the name and rank/grade of the authorising officer and the date of judicial approval;
- h) whether the investigation or operation is likely to result in obtaining confidential information;
- i) review dates
- j) the date the authorisation or notice was cancelled
- k) details of secure storage of surveillance data
- l) stipulated period during which any surveillance data obtained must be reviewed, retained or destroyed

12.2 Records maintained in the Department

The Authorising Officer shall maintain the following documentation, which need not form part of the centrally retrievable record:

- a) a copy of the application and provisional authorisation or notice together with a copy of any order of judicial approval or refusal, as well as any

supplementary documentation and notification of the approval given by the Authorising Officer;

- b) a record of the period over which the surveillance has taken place;
- c) the frequency of reviews prescribed by the Authorising Officer;

- d) a record of the result of each review of the authorisation or notice;
- e) a copy of any renewal of an authorisation or notice, together with judicial approval or refusal and the supporting documentation submitted when the renewal was requested;
- f) the date and time when any instruction was given by the Authorising Officer;
- g) the unique reference number for the authorisation (URN);
- h) the stipulated period during which any surveillance data obtained must be reviewed, retained or destroyed

Each form must have a URN. The Authorising Officers will issue the relevant URN to applicants. The cross-referencing of each URN takes place within the form for audit purposes. Rejected forms will also have URN's.

12.3 Other Record of Covert Human Intelligence Sources

Proper records must be kept of the authorisation and use of a source. An Authorising Officer must not grant a provisional authorisation for the use or conduct of a source unless he believes that there are arrangements in place for ensuring that there is at all times a person with the responsibility for maintaining a record of the use made of the source. The records must be kept confidential. Further advice should be sought from the Director of Governance, Legal & HR on this point if authority is proposed to be granted for the use of a CHIS.

The records shall contain the following information:

- (a) the identity of the source;
- (b) the identity, where known, used by the source;
- (c) any relevant investigating authority other than the Council;
- (d) the means by which the source is referred to within each relevant investigating authority;
- (e) any other significant information connected with the security and welfare of the source;
- (f) any confirmation made by a person granting or renewing an authorisation for the conduct or use of a source that the information in paragraph (d) has been considered and that any identified risks to the security and welfare of the source have where appropriate been properly explained to and understood by the source;
- (g) the date when, and the circumstances in which, the source was recruited;
- (h) the identities of the persons who, in relation to the source;
 - i. hold day-to-day responsibility for dealing with the source and for the source's security and welfare
 - ii. have a general oversight of the use made of the source (not to be the person identified in (h)(i))
 - iii. have responsibility for maintaining a record of the use made of the source
- (i) the periods during which those persons have discharged those responsibilities;
- (j) the tasks given to the source and the demands made of him in relation to his

- activities as a source;
- (k) all contacts or communications between the source and a person acting on behalf of any relevant investigating authority;

- (l) the information obtained by the conduct or use of the source;
- (m) any dissemination of information obtained in that way; and
- (n) in the case of a source who is not an undercover operative, every payment, benefit or reward and every offer of a payment, benefit or reward that is made or provided by or on behalf of any relevant investigating authority in respect of the source's activities for the benefit of that or any other relevant investigating authority.

13. Retention and destruction

13.1 Material obtained from properly authorised surveillance or a source may be used in other investigations. Arrangements shall be in place for the handling, storage, review and destruction of material obtained through the use of covert surveillance, a source or the obtaining or disclosure of communications data. Authorising Officers must ensure compliance with the appropriate data protection requirements, any legal constraints on destruction and the council's corporate policies relating to the handling and storage, review and destruction of material. The authorisation must stipulate the period during which the surveillance data may be retained, reviewed and destroyed. This will also be recorded on the central record of authorisations and in the records maintained in the department (see paragraphs 12.1 and 12.2).

13.2 Where the product of surveillance could be relevant to pending or future proceedings, it should be retained in accordance with established disclosure requirements for an appropriate period and subject to review. Reviews must be conducted at regular intervals to ensure that the justification for retention is still valid. Records shall generally be maintained for a period of 5 years from the cancellation of the authorisation, following which they shall be securely destroyed in accordance with the Council's Records Review and Retention Schedule.

13.3 As detailed in paragraphs 12.2 and 12.3, Applicants and Authorising Officers must keep copies of completed RIPA forms, but care must be taken to ensure any copies are stored securely, reviewed and disposed of in accordance with the relevant legal framework and the council's Records Review and Retention Schedule. It is good practice for officers who will be carrying out surveillance to retain a copy of the authorisation as a reminder of exactly what has been authorised. Under the Criminal Procedure and Investigations Act 1996 and its Code of Practice, case files are required to hold original documents for court action.

13.4 All data obtained under RIPA must be secured against unauthorised interference and clearly labelled and stored in such a way to enable compliance with data retention and disposal. This requirement will apply to information which is shared with other teams for the purpose of any investigation or to determine legal action to be undertaken.

13.5 All data obtained under RIPA must be stored in a secure manner using password protection or restricted access files. All RIPA records, whether in original form or copies shall be kept in secure locked storage when not in use. Storage must be in council premises to which access is restricted. Both physical and IT security, as appropriate, must be in place to secure the material.

13.6 A display of personal data or operational data on a computer screen should only take

place in a setting in which no unauthorised person is present.

13.7 Transmission of surveillance data must be limited to that strictly necessary for the purposes of the investigation. All recipients of data obtained under RIPA must be limited to such information as is strictly necessary for the purposes of the investigation and such information to be retained only as long as is necessary and in accordance with the council's Records Review and Retention Schedule. Review and disposal of data must be recorded on each occasion on the council's Records Review Log.

13.8 Officers within the same team who need to be aware of the investigation and have a demonstrable 'need to know', should be granted access to the data held on the relevant computer system (for example Uniform or Iken), rather than multiple copies of the data being emailed.

13.9 In the absence of a court order, disclosure to third parties, such as the police, can only be authorised by the council's senior responsible officer. Such disclosures must be recorded in writing and satisfy all legal tests. Disclosure must be the minimum necessary and only for an authorised purpose as set out below:

- is, or is likely to become, necessary for any of the statutory purposes set out in the RIPA Act in relation to covert surveillance or CHIS activity;
- is necessary for facilitating the carrying out of the functions of public authorities under RIPA;
- is necessary for facilitating the carrying out of any functions of the Commissioner or the Investigatory Powers Tribunal;
- is necessary for the purposes of legal proceedings; or
- is necessary for the performance of the functions of any person by or under any enactment.

14. Consequences of ignoring RIPA

14.1 RIPA states that if authorisation confers entitlement to engage in a certain conduct and the conduct is in accordance with the authorisation, then it shall be lawful for all purposes.

Where there is interference with the right to respect for private and family life guaranteed under Article 8 of the European Convention on Human Rights, and where there is no other source of lawful authority, the consequence of not obtaining an authorisation under RIPA may be that the action is unlawful by virtue of section 6 of the Human Rights Act 1998.

Officers shall seek an authorisation where the directed surveillance, the use of a source or the obtaining or disclosure of communications data is likely to interfere with a person's Article 8 rights to privacy by obtaining private information about that person, whether or not that person is the subject of the investigation or operation.

Obtaining an authorisation will ensure that the action is carried out in accordance with law and subject to stringent safeguards against abuse.

15. Scrutiny of investigatory bodies

15.1 The Investigatory Powers Commissioner's Office independently scrutinises the use of RIPA powers by the investigatory bodies that are subject to it.

The Commissioner will inspect Councils to ensure compliance with RIPA and can audit/review the Council's policies and procedures, and individual authorisations. Further detail can be found at www.ipco.org.uk

15.2 There is also a statutory complaints system welcomed by the Council. The Investigatory Powers Tribunal has been established under RIPA to deal with complaints from members of the public about the use or conduct by public authorities of these powers. The Tribunal is separate from IPCO.

The Council welcomes this external scrutiny. It expects its officers to co-operate fully with these statutory bodies and to bring forward any proposals for improvement that may follow on from an inspection report or a Tribunal hearing.

**IF IN DOUBT ADVICE MUST BE SOUGHT FROM THE DIRECTOR OF LEGAL AND
BUSINESS SERVICES OR THE CORPORATE LEGAL TEAM**

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DECISION-MAKER:	Cabinet
SUBJECT:	Annual Complaints Report (Ombudsman Complaints) 2024
DATE OF DECISION:	17 September 2024
REPORT OF:	Councillor Letts Deputy Leader and Cabinet Member for Finance & Corporate Services

<u>CONTACT DETAILS</u>			
Executive Director	Title	Executive Director for Enabling Services	
	Name:	Mel Creighton	Tel: 023 8083 3528
	E-mail	Mel.creighton@southampton.gov.uk	
Author:	Title	Head of Legal Partnerships	
	Name:	Sarita Riley	Tel: 023 8083 3218
	E-mail	Sarita.riley@southampton.gov.uk	

STATEMENT OF CONFIDENTIALITY	
N/A	
BRIEF SUMMARY	
A report to summarise the complaints referred to the Local Government & Social Care Ombudsman ('LGSCO') and Housing Ombudsman ('HO') for the complaints year ending 31 st March 2024, performance against comparators and learning from key complaints.	
RECOMMENDATIONS:	
(i)	To consider the complaints outcomes for 2023/24 and to instruct officers to consider these findings when reviewing service delivery and improvement plans for 2024 onwards.
(ii)	To re-confirm Housing Services as the service area designated under the complaints policy for which stage 2 complaints are considered by the Council's independent complaints team within Enabling Services and offered additional advice, training and assistance for the period 2024-26 in order to assist the service area on its improvement journey.
REASONS FOR REPORT RECOMMENDATIONS	
1.	While Councils aspire to get things right first time, every time, we recognise that mistakes can happen. It is important that mistakes (faults) are recognised and used to improve our services and to identify and resolve performance issues wherever possible to drive up service improvement and customer satisfaction. The overall percentage of complaints that are not resolved on initial contact with the Council is low. Complaints that progress through the Council's complaints processes and result in investigation by the LGSCO and

	HO remain a very small proportion of the complaints received demonstrating a good service improvement and learning from complaints ethos within the Council. It is nonetheless important for senior leaders within the Council to understand where failures have resulted in Ombudsman referrals and findings and to ensure that the Council uses complaints data to understand where services can be improved.
2.	The Council's Complaints Policy allows for one additional service area (in addition to Children's Services statutory complaints) to be designated as needing more intensive support from the Council's independent complaints team in Enabling Services. Since April 2024, that Service area has been Housing and it is recommended that continues for at least a further 18 months as this remains the area with the highest number of unresolved complaints at Ombudsman stage and reflects the Council's commitment to addressing the significant impact housing services has on the Council's values and priorities.
ALTERNATIVE OPTIONS CONSIDERED AND REJECTED	
3.	N/A
DETAIL (Including consultation carried out)	
4.	Historically, complaints outcomes and Annual LGSCO Letters have been reported to Governance Committee. In January 2024 changes to the Council's Complaints Policy were approved to reduce the number of complaint stages within the policy and to give greater ownership and accountability for complaint outcomes to service areas by making them responsible for investigating and resolving complaints (at all stages) and building learning from complaints into service area improvement plans. This change allowed the Council's independent complaints team (based within the Legal Partnership in Enabling Services) to focus on advice, assistance and training to service areas to improve their complaints handling and to focus on the time consuming and complex children's services statutory complaints processes. Stage 1 complaints are addressed at frontline service level. Stage 2 (final stage) complaints are addressed by a Senior Manager / Director for the Service. If unresolved at that point a customer may refer the matter to the LGSCO or HO.
5.	In order to provide an appropriate level of challenge and 'critical friend' support it was decided to identify one service area every 2 years for more intensive support and for whom the independent team would undertake stage 2 investigations (normally those carried out by the Senior Manager / Director for the service area after initial complaints responses have failed to secure a resolution). The first area identified for support, and which it is recommended continues for the time being, is Housing Services.
6.	For housing complaints, the LGSCO will investigate those relating to corporate management of housing services or where the complaint does not relate to the landlord function of the Council (homelessness etc). Tenant generated complaints are investigated by the Housing Ombudsman.
LGSCO Complaints 2023-24:	
7.	The full details of the LGSCO Annual letter reporting on complaints received are set out in appendix 1.
8.	68 Complaints were received (61 not upheld) by area were as follows: <ul style="list-style-type: none"> • 11 Adult Social Care

	<ul style="list-style-type: none"> • 5 Corporate (taxation etc) • 20 Education / Children’s Social Care • 14 Environment / Public Protection • 3 Highways & Transport • 9 Housing Management • 6 Planning
9.	<p>The LGSCO carried out eight investigations, of which seven were upheld (88%) as follows:</p> <ul style="list-style-type: none"> • 5 Education and Children’s • 1 Housing • 1 Corporate (allotments)
10.	<p>While this figure may seem high, it is worth noting that 61 of 68 complaints were either not investigated after initial inquiries or were not upheld / did not merit an investigation. In each of the cases that were upheld, the Council had already upheld or partially upheld the complaint at stage 2 and the complainant referred the matter to the LGSCO as they were dissatisfied with the remedy they were offered. These figures compare very favourably with our comparator authorities as they represent an uphold rate of 2.8 decisions per 100,000 residents (compared to 4.6 decisions per 100,000 in similar unitary authorities). The service improvements the Council agreed to implement to remedy these complaints are set out in appendix 1.</p>
11.	<p>This is reflected in the ‘satisfactory remedy’ section of the annual letter which confirmed that only one of the seven upheld complaints was adequately remedied by the Council (an apology was offered in all cases, but compensation was not). The Council is not an outlier in this regard (14% compared to 13% elsewhere) but it does reflect the need to work with service areas to identify the correct remedy to offer where complaints are upheld earlier in the complaints process. Sometimes ‘saying sorry’ is simply not enough. The guiding principle followed by the LGSCO is to ‘put the complainant back in the position they would have been in had the Council’s fault not occurred’. This doesn’t always mean offering compensation, but sometimes we do need to recognise the time and trouble a person has been put to in making and pursuing a valid complaint and consider non-monetary remedies (e.g. where multiple parking tickets have been issued incorrectly, consider giving the complainant a season ticket for parking for a suitable period as a remedy or where alternative education provision has been missed, consider funding a tutor to ‘catch up’ learning).</p>
12.	<p>The Council has a strong relationship with the LGSCO and works hard to ensure their findings are something the Council can, and should, implement. This is reflected in the 100% compliance rate with their findings on complaints.</p>
	<p>HO Complaints 2023-24:</p>
13.	<p>The Housing Ombudsman deals with complaints from or relating to Council tenants and the landlord functions of the Council. The Housing Ombudsman was established by the Secretary of State for Communities and Local Government under the Housing Act 1996 and Council’s and other registered social landlords are required by law to be members of the Ombudsman Scheme. The Housing Ombudsman has similar powers to the LGSCO, albeit deriving from the powers of the Secretary of State and Housing Act. While</p>

	the Housing Ombudsman publishes an annual complaints review, they do not provide reporting data to individual Councils in the same way as the LGSCO does. We have pulled the following together from our own corporate data on complaints.
14.	The Housing Ombudsman has a statutory Complaints Handling Code which came into force on 1 st April 2024. The Council has assessed its complaints policies and processes against this Code and is compliant.
15.	The Council is not notified of the number of complaints referred to the Housing Ombudsman versus those they decide to investigate. Our figures for 2023-24 identify five proceeded to full investigation. Three of the complaints was upheld. One case related to noise / anti-social behaviour reported by one tenant against another. An order for £300 compensation was agreed together with an undertaking to apologise and review our guidance and training for officers on record keeping around the analysis of noise recordings and on ensuring it has proper regard to its ASB powers when it receives complaints (disconnect between housing services and noise nuisance services identified). A second case related to damp and mould and delays remedying that. A total of £2,857.70 compensation was payable in that case, together with orders to rectify the condition of the property. The remaining case related to a failure in a heating system with £450 compensation and repairs ordered.
16.	It should be noted that the Housing Ombudsman was dealing with a significant backlog of repairs post covid and referrals to the Council were consistently low until April 2024. We had already identified a growing area of concern, despite the figures set out above, based on the number of legal disrepair claims we were receiving. This has been borne out by the part year figures for 2024. From April of this year (and will be reported in full in the next annual report) we have 18 Housing Ombudsman cases in the first five months of 2024. That is more than triple the annual complaints from last year with 8 months of the reporting year still to go.
17.	A requirement for all housing staff to undertake the online complaints learning has been agreed by Senior Managers and is in the process of being rolled out across the summer to all housing staff. Further, more targeted training delivered by the complaints team in Enabling Services was planned for the summer, however this has had to be postponed to the Autumn due to the unforeseen death in service of the Council's complaints manager and the need to triage resources to complaint investigation while the very small team recovers from this loss. Complaint investigation has been supplemented by other members of the Legal Partnership team, including the Head of Legal Services Partnership (who acts as the Council's ombudsman link officer) while we support the remaining member of the complaints team during this time and carry out recruitment activity to bring the team back up to capacity.
18.	Housing Services are working with the Council's complaints team to identify trends in complaints and service improvements plans (focused initially on dealing with repairs and cross departmental working and communication, ownership of complaints within housing and improving communication with complainants and tenants more generally. A complaint review panel has been established in the service area to oversee learning from complaints and track, monitor and report on trends in housing complaints and consideration is being given to creating a post within housing that acts as a single point of

	contact for complaints handling and evidence collation (a position trialled and working well in both Adults and Childrens Services).
19.	The Housing Ombudsman has recently published several special investigation reports that will need to be built into learning by the Council's Housing Services. These include a spotlight report on 'Repairing Trust' issued on 1 st August 2024 relating to the national issues being faced by Council's in dealing with housing repair backlogs and disrepair claims, a special investigation into Lewisham Council due to the very high failure rate of maladministration in that Council and spotlight reports on 'Damp and Mould, noise complaints, and complaint handling processes. Reviewing and considering these will be built into the housing service improvement plan and the work of the newly established complaints review panel in housing.
	Council (stage 1 and 2 Complaints):
20.	Detailed monitoring and learning from these complaints are not available for the 2023-24 year as we have only moved to the new complaints system from 1 st April 2024. Service areas are not yet fully recording complaints on LAGAN (the Council's current complaints recording system) and it is proposed to report in more detail on the operation of service area ownership of complaints in the next annual report. Headline figures for Members information is as follows.
21.	<p>Total complaints received (stage 1) - 550.</p> <ul style="list-style-type: none"> • Adults Housing –405 (of which 341 Housing) • Childrens – 76 • Corporate – 1 • Gateway – 4 • Growth 21 (of which 7 Planning / 12 Transport) • Revs & Bens – 23 • Waste – 1 (note – we do NOT record missed bins as complaints)
22.	Service areas have not included any detail of payments made, compensation payable or remedies offered in relation to the above complaints or the percentage / number upheld.
23.	From the data available it can be reported that in 246 cases, an apology was given (suggesting at least 246 were upheld in whole or part), in 374 cases an explanation was offered to the complainant, in 146 cases the Council agreed to make repairs (at the Council's cost), in 4 cases it was agreed to repay outstanding amounts owed (overpayments) and in 1 case a compensation payment is recorded at stage 1 (but not how much or for what).
24.	<p>Total complaints received (stage 2) – 182:</p> <p>Details of complaints and learning is attached at appendix 2. Headlines are:</p> <ul style="list-style-type: none"> • 13 Partially Upheld / 22 Upheld <p>A total of £3010 compensation was offered to resolve complaints at stage 2 before progressing on to LGSCO / HO.</p>

	<p>Service area complaints at stage 2:</p> <ul style="list-style-type: none"> • 13 Adults' • 19 Childrens • 6 Education and schools • 10 Corporate • 8 Council Tax / Benefits • 6 Parking • 6 Highways • 4 Hospital Discharge • 8 Parks & Street Cleansing • 9 Planning • 10 Regulatory Services (Bereavement /Environmental Heath) • 4 Waste • 68 Housing (Repairs, Leasehold, Allocations, Supported Housing).
RESOURCE IMPLICATIONS	
<u>Capital/Revenue</u>	
25.	Where a complaint is upheld a compensation payment may be ordered. Compensation amounts remain low and in line with previous years. A total of £4,532.70 was payable in 2023-24 (of which £3,582.70 relate to Housing Ombudsman matters). The cost of compensation payments agreed with the LGSCO and HO are borne by the service area in which the main default occurred. This is in addition to the £3,010 in remedies offered at stage 2 (internal) Council complaints.
26.	This does not capture the cost of remedying complaints to service areas (cost of repair, cost of replacement services etc) which the complaints service cannot monitor or track and which is reflected in service area budgets. These costs can be high (the average cost of a repair can range from £500 to £50k plus depending on the type and nature of the repair required, for Childrens and Education complaints the costs can be significant if they require additional service under a care plan, or a financial re-assessment for carers payment for adults etc. The overall cost to the Council of remedying faults remains an area of financial concern for service area budgets (as unplanned expenditure) that increases pressure on planned service budgets.
<u>Property/Other</u>	
27.	Housing disrepairs continue to be the highest area of upheld complaints relating to Council assets. An improvement plan is being progressed to address the backlog of disrepair within housing stock and will be the subject of separate reporting (including feedback from the recent Housing Regulator visit) in due course. Any Improvement Plan, and any change in the number and nature of complaints and disrepairs claims received, will be subject to and dependent upon approval of the Asset Management Strategy and identification of appropriate funding to invest in the improvement of housing stock condition.
LEGAL IMPLICATIONS	
<u>Statutory power to undertake proposals in the report:</u>	

28.	S.111 Local Government Act 1972 and s.1 Localism Act 2011 provide the framework under which the Council operates a complaints policy to assist in the delivery of its statutory and discretionary functions.
29.	The LGSCO operates under Royal Charter and is designated by the Crown under the Local Government Act 1974 (Part III) to investigate complaints against Councils and provide advice and guidance on good administrative practice. The LGSCO has the same powers as the High Court to compel the production of evidence and information to enable them to investigate complaints and issue their findings (which are publicly available on their website). The 1974 Act provides a process under which Councils voluntarily resolve complaints and, in the event they fail to do so, a statutory Order and publication process through full Council. Ultimately the LGSCO may take Court action to secure Directions to comply with their Orders and may publish 'Public Interest Reports' nationally where they find serious failings it in in the wider public interest to report on.
<u>Other Legal Implications:</u>	
30.	In investigating, responding to and reporting on complaints the Council has had regards to its duties under s149 Equalities Act 2010 (the 'Public Sector Equality Duty'), s.17 Crime & Disorder Act 1998, the Data Protection Act 2018 and the legislative framework under which we deliver our statutory services. A formal Equalities Impact Assessment is not required in relation to this 'information' report.
RISK MANAGEMENT IMPLICATIONS	
31.	The Council has a strong complaints reporting and learning from complaints framework. Complaint levels remain relatively low when considered alongside comparator data and the system of recording and responding to complaints is robust. Nonetheless, upheld complaints represent those times the Council has 'got it wrong' and there are reputational and financial consequences when this occurs. These are recorded in this report.
32.	The greatest area of financial costs and reputational risk to the Council remains housing disrepair claims. These are increasing and while resources are being identified and put in place to address these (including the legal claims for disrepair that have a separate legal route for challenge outside the complaints policy) it will take time to address the backlog of repairs required within financial and people resources available. It is primarily for this reason that Housing Services are recommended to remain the service area provided with additional complaints support for the next 18 months – 2 years.
POLICY FRAMEWORK IMPLICATIONS	
33.	Reporting on and learning from complaints supports the delivery of all council services and functions and directly feeds into service improvements under the Council's corporate plans and priorities.

KEY DECISION?	No
WARDS/COMMUNITIES AFFECTED:	N/A
<u>SUPPORTING DOCUMENTATION</u>	

Appendices		
1.	Annual LGSCO Letter and Report	
2.	Complaints Data – Stage 2	
Documents In Members' Rooms		
1.	N/A	
Equality Impact Assessment		
Do the implications/subject of the report require an Equality and Safety Impact Assessment (ESIA) to be carried out.		No
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.	N/A	
2.	N/A	

17 July 2024

By email

Mr Travers
Chief Executive
Southampton City Council

Dear Mr Travers

Annual Review letter 2023-24

I write to you with your annual summary of complaint statistics from the Local Government and Social Care Ombudsman for the year ending 31 March 2024. The information offers valuable insight about your organisation's approach to complaints, and I know you will consider it as part of your corporate governance processes. As such, I have sought to share this letter with the Leader of your Council and Chair of the appropriate Scrutiny Committee, to ensure effective ownership and oversight of complaint outcomes, which offer valuable opportunities to learn and improve. In addition, this year, we have encouraged Monitoring Officers to register to receive the letter directly, supporting their role to report the decisions we uphold to their council.

For most of the reporting year, Paul Najsarek steered the organisation during his tenure as interim Ombudsman, and I was delighted to take up the role of Ombudsman in February 2024. I look forward to working with you and colleagues across the local government sector to ensure we continue to harness the value of individual complaints and drive and promote systemic change and improvement across the local government landscape.

While I know this ambition will align with your own, I am aware of the difficult financial circumstances and service demands that make continuous improvement a challenging focus for the sector. However, we will continue to hold organisations to account through our investigations and recommend proportionate actions to remedy injustice. Despite the challenges, I have great confidence that you recognise the valuable contribution and insight complaints, and their swift resolution, offer to improve services for the public.

Complaint statistics

Our statistics focus on three key areas that help to assess your organisation's commitment to putting things right when they go wrong:

Complaints upheld - We uphold complaints when we find fault in an organisation's actions, including where the organisation accepted fault before we investigated. We include the total number of investigations completed to provide important context for the statistic. This year, we also provide the number of upheld complaints per 100,000 population.

Compliance with recommendations - We recommend ways for organisations to put things right when faults have caused injustice and monitor their compliance with our recommendations. Failure to comply is rare and a compliance rate below 100% is a cause for concern.

Satisfactory remedy provided by the authority - In these cases, the organisation upheld the complaint and we agreed with how it offered to put things right. We encourage the early resolution of complaints and give credit to organisations that accept fault and find appropriate ways to put things right.

Finally, we compare the three key annual statistics for your organisation with similar authorities to provide an average marker of performance. We do this for County Councils, District Councils, Metropolitan Boroughs, Unitary Councils, and London Boroughs.

Your annual data, and a copy of this letter, will be uploaded to our interactive map, [Your council's performance](#), on 24 July 2024. This useful tool places all our data and information about councils in one place. You can find the detail of the decisions we have made about your Council, read the public reports we have issued, and view the service improvements your Council has agreed to make as a result of our investigations, as well as previous annual review letters.

Supporting complaint and service improvement

In February, following a period of consultation, we launched the [Complaint Handling Code](#) for councils, setting out a clear process for responding to complaints effectively and fairly. It is aligned with the Code issued to housing authorities and landlords by the Housing Ombudsman Service and we encourage you to adopt the Code without undue delay. Twenty councils have volunteered to take part in an implementation pilot over the next two years that will develop further guidance and best practice.

The Code is issued to councils under our powers to provide guidance about good administrative practice. We expect councils to carefully consider the Code when developing policies and procedures and will begin considering it as part of our processes from April 2026 at the earliest.

The Code is considered good practice for all organisations we investigate (except where there are statutory complaint handling processes in place), and we may decide to issue it as guidance to other organisations in future.

Our successful complaint handling training programme continues to develop with new modules in Adult Social Care and Children's Services complaint handling available soon. All our courses include practical interactive workshops that help participants develop their complaint handling skills. We delivered 126 online workshops during the year, reaching more than 1,700 people. To find out more visit www.lgo.org.uk/training or get in touch at training@lgo.org.uk.

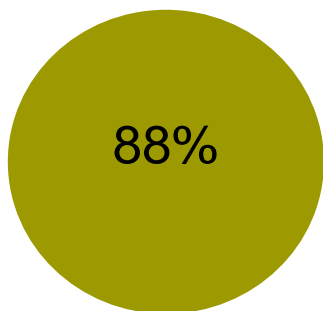
Returning to the theme of continuous improvement, we recognise the importance of reflecting on our own performance. With that in mind I encourage you to share your view of our organisation via this survey: <https://www.smartsurvey.co.uk/s/ombudsman/>. Your responses will help us to assess our impact and improve our offer to you. We want to gather a range of views and welcome multiple responses from organisations, so please do share the link with relevant colleagues.

Yours sincerely,



Amerdeep Somal
Local Government and Social Care Ombudsman
Chair, Commission for Local Administration in England

Complaints upheld



88% of complaints we investigated were upheld.

This compares to an average of **79%** in similar organisations.

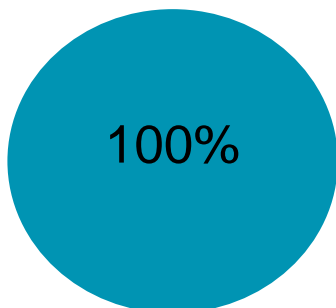
7
upheld decisions

This is 2.8 upheld decisions per 100,000 residents.

The average for authorities of this type is 4.6 upheld decisions per 100,000 residents.

Statistics are based on a total of **8** investigations for the period between 1 April 2023 to 31 March 2024

Compliance with Ombudsman recommendations



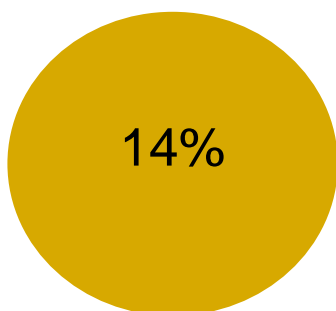
In **100%** of cases we were satisfied the organisation had successfully implemented our recommendations.

This compares to an average of **100%** in similar organisations.

Statistics are based on a total of **5** compliance outcomes for the period between 1 April 2023 to 31 March 2024

- Failure to comply with our recommendations is rare. An organisation with a compliance rate below 100% should scrutinise those complaints where it failed to comply and identify any learning.

Satisfactory remedy provided by the organisation



In **14%** of upheld cases we found the organisation had provided a satisfactory remedy before the complaint reached the Ombudsman.

This compares to an average of **13%** in similar organisations.

1
satisfactory remedy decision

Statistics are based on a total of **7** upheld decisions for the period between 1 April 2023 to 31 March 2024

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Agenda Item 13

Appendix 2

Reference	Authority	Category	Received
22017897	Southampton City Council	Environmental Services & Public Protection & Regulation	04/05/23
22018048	Southampton City Council	Corporate & Other Services	24/05/23
23000028	Southampton City Council	Education & Childrens Services	06/04/23
23000346	Southampton City Council	Education & Childrens Services	14/04/23
23000677	Southampton City Council	Environmental Services & Public Protection & Regulation	20/04/23
23000801	Southampton City Council	Environmental Services & Public Protection & Regulation	16/06/23
23001018	Southampton City Council	Education & Childrens Services	26/04/23
23001323	Southampton City Council	Adult Care Services	27/04/23
23002478	Southampton City Council	Adult Care Services	11/07/23
23002674	Southampton City Council	Adult Care Services	24/05/23
23003411	Southampton City Council	Planning & Development	12/06/23
23003687	Southampton City Council	Environmental Services & Public Protection & Regulation	19/06/23
23004086	Southampton City Council	Environmental Services & Public Protection & Regulation	03/07/23
23004134	Southampton City Council	Environmental Services & Public Protection & Regulation	19/06/23
23004240	Southampton City Council	Planning & Development	27/06/23
23004603	Southampton City Council	Adult Care Services	05/07/23
23004768	Southampton City Council	Adult Care Services	29/06/23
23005907	Southampton City Council	Housing	03/08/23
23006090	Southampton City Council	Adult Care Services	28/07/23
23006439	Southampton City Council	Highways & Transport	03/08/23
23006722	Southampton City Council	Education & Childrens Services	08/08/23
23006826	Southampton City Council	Housing	09/08/23
23006966	Southampton City Council	Corporate & Other Services	22/08/23
23007160	Southampton City Council	Education & Childrens Services	14/08/23
23007685	Southampton City Council	Environmental Services & Public Protection & Regulation	21/08/23
23008310	Southampton City Council	Adult Care Services	29/08/23
23008864	Southampton City Council	Highways & Transport	12/09/23
23008939	Southampton City Council	Corporate & Other Services	13/09/23
23009111	Southampton City Council	Corporate & Other Services	12/09/23
23009372	Southampton City Council	Education & Childrens Services	22/09/23
23009635	Southampton City Council	Housing	03/10/23
23009848	Southampton City Council	Environmental Services & Public Protection & Regulation	04/10/23
23009958	Southampton City Council	Housing	05/10/23
23010019	Southampton City Council	Education & Childrens Services	06/10/23
23010503	Southampton City Council	Corporate & Other Services	26/10/23
23010609	Southampton City Council	Housing	15/10/23
23011350	Southampton City Council	Education & Childrens Services	25/10/23
23011410	Southampton City Council	Education & Childrens Services	25/10/23
23011848	Southampton City Council	Environmental Services & Public Protection & Regulation	27/10/23
23012005	Southampton City Council	Adult Care Services	04/11/23
23018411	Southampton City Council	Environmental Services & Public Protection & Regulation	15/03/24
23012509	Southampton City Council	Environmental Services & Public Protection & Regulation	23/11/23
23013863	Southampton City Council	Housing	29/11/23
23014074	Southampton City Council	Education & Childrens Services	06/12/23
23014153	Southampton City Council	Education & Childrens Services	06/12/23
23014617	Southampton City Council	Adult Care Services	13/12/23
23015265	Southampton City Council	Planning & Development	02/02/24
23015436	Southampton City Council	Environmental Services & Public Protection & Regulation	08/01/24
23015448	Southampton City Council	Planning & Development	05/01/24
23015647	Southampton City Council	Housing	11/01/24
23015702	Southampton City Council	Education & Childrens Services	10/01/24
23015977	Southampton City Council	Housing	15/01/24
23016003	Southampton City Council	Education & Childrens Services	15/01/24
23016246	Southampton City Council	Adult Care Services	18/01/24
23016561	Southampton City Council	Housing	23/01/24
23017003	Southampton City Council	Planning & Development	30/01/24
23017151	Southampton City Council	Adult Care Services	22/03/24
23017179	Southampton City Council	Education & Childrens Services	01/02/24
23017353	Southampton City Council	Environmental Services & Public Protection & Regulation	02/02/24
23017701	Southampton City Council	Education & Childrens Services	08/02/24
23017741	Southampton City Council	Education & Childrens Services	09/02/24
23018508	Southampton City Council	Education & Childrens Services	21/02/24
23018683	Southampton City Council	Education & Childrens Services	23/02/24
23019913	Southampton City Council	Education & Childrens Services	08/03/24
23020201	Southampton City Council	Environmental Services & Public Protection & Regulation	14/03/24
23020654	Southampton City Council	Education & Childrens Services	25/03/24
23020675	Southampton City Council	Planning & Development	25/03/24
23020885	Southampton City Council	Highways & Transport	28/03/24

Reference	Authority	Category	Decided	Remedy	Remedy Target Date	Remedy Achieved Date	Satisfaction with Compliance
22007813	Southampton City Council	Education & Childrens Services	13/02/23	Apology Financial redress: Avoidable distress/time and trouble Financial redress: Loss of service Procedure or policy change/review	13/04/23	18/04/23	Remedy completed late
22011043	Southampton City Council	Corporate & Other Services	20/04/23	Procedure or policy change/review Provide information/advice to person affected	21/07/23	21/06/23	Remedy complete and satisfied
22015121	Southampton City Council	Education & Childrens Services	09/10/23	Apology Financial redress: Avoidable distress/time and trouble	07/11/23	06/11/23	Remedy complete and satisfied
23000028	Southampton City Council	Education & Childrens Services	15/11/23	Apology Financial redress: Avoidable distress/time and trouble Provide services to person affected Procedure or policy change/review	15/01/24	06/02/24	Remedy completed late
23001018	Southampton City Council	Education & Childrens Services	25/10/23	Apology Financial redress: Avoidable distress/time and trouble Financial redress: Loss of service Provide training and/or guidance	26/01/24	26/01/24	Remedy completed late

Explanatory notes

Cases received

Cases with a recorded received date between 1 April 2023 and 31 March 2024. Status as of 9 April 2024.

Cases decided

Cases with a recorded decision date between 1 April 2023 and 31 March 2024. Status as of 9 April 2024. Some cases may have been reopened since that date, with either a decision outcome pending or a new decision outcome recorded.

We report our decisions by the following outcomes:

Invalid or incomplete: We were not given enough information to consider the issue.

Advice given: We provided early advice or explained where to go for the right help.

Referred back for local resolution: We found the complaint was brought to us too early because the organisation involved was not given the chance to consider it first.

Closed after initial enquiries: We assessed the complaint but decided against completing an investigation. This might be because the law says we're not allowed to investigate it, or because it would not be an effective use of public funds if we did.

Upheld: We completed an investigation and found evidence of fault, or we found the organisation accepted fault early on.

Not upheld: We completed an investigation but did not find evidence of fault.

Compliance outcomes

Cases with a recorded remedy achieved date between 1 April 2023 and 31 March 2024. Status as of 15 May 2024. The relevant date is the date of compliance with the recommendations (for example, the date on an apology letter) rather than the date the evidence is provided to us. If we were notified after 15 May 2024 of a remedy achieved before 31 March 2024, this will not be included here.

Some cases may be marked as 'Remedy completed late' even when the remedy achieved date is before the remedy target date. This happens because the target date covers all remedies (service improvements and personal remedies). As service improvements often have a longer timescale for completion, we will mark a case as 'completed late' where this longer timescale is met, but the personal remedy was provided late.

DECISION-MAKER:	Cabinet Council
SUBJECT:	Household Support Fund: September 2024
DATE OF DECISION:	17 September 2024 (Cabinet) 18 September 2024 (Council)
REPORT OF:	COUNCILLOR LAMBERT CABINET MEMBER FOR COMMUNITIES & SAFER CITY

<u>CONTACT DETAILS</u>			
Executive Director	Title	Executive Director Community Wellbeing	
	Name:	Claire Edgar	Tel: 023 8083 3045
	E-mail :	Claire.edgar@southampton.gov.uk	
Author:	Title	Service Lead Housing Needs & Welfare	
	Name:	Maria Byrne	Tel: 023 8254 5421
	E-mail :	maria.byrne@southampton.gov.uk	

STATEMENT OF CONFIDENTIALITY		
Not applicable.		
BRIEF SUMMARY		
<p>The Government announced on 2 September 2024 its intention to extend Household Support Fund for an additional six months. The funding is provided to County Councils and Unitary Authorities in England to support those most in need to help with the cost of living. Southampton City Council is awaiting confirmation of the funding amount for the period from 1 October 2024 to 31 March 2025, it is anticipated the amount will be in line with previous tranches of Household Support Fund and is estimated it will be in the region of £2.2 million.</p>		
RECOMMENDATIONS:		
Having complied with paragraph 15 of the Council’s Access to Information Procedure Rules:		
Cabinet	(i)	To approve in principle for Southampton City Council to participate in the delivery of the next phase of Household Support Fund from 1 October 2024 to 31 March 2025.
	(ii)	To delegate authority to the Executive Director Community Wellbeing to finalise the details of the local Household Support Fund scheme following consultation with the Executive Director Enabling Services and S151 Officer and the Cabinet Member for Communities and Safer City and to administer funding in accordance with that scheme.

Council	(i)	To approve and accept Household Support Fund for the period 1 October 2024 to 31 March 2025.
	(ii)	To approve and accept future tranches of the Household Support Fund
REASONS FOR REPORT RECOMMENDATIONS		
1.	This report is submitted for consideration as a General Exception under paragraph 15 of the Access to Information Procedure Rules in Part 4 of the City Council's Constitution, notice having been given to the Chair of the relevant Scrutiny Panel. The matter requires a decision under this regulation due to its urgency (that it is impracticable to defer the decision until 28 clear days' notice has been given on the Forward Plan). This is due to the timescales given between the Government announcement of funding being made available on 2 September 2024 and the period within which the scheme must be delivered between 1 October 2024 and 31 March 2025.	
2	This pledge of funding for Household Support Fund is to be provided to County Councils and Unitary Authorities and forms part of the Government's wider package of support for those most in need, to help with the cost of living. This funding can be used to support some of our most vulnerable households.	
3.	Local Authorities are yet to receive the final guidance and confirmation of actual amount of funding allocated. However, as a guide, the total allocation for Southampton City Council for the last phase of Household Support Fund (1 April to 30 September 2024) was £2,222,676.23. If the amount allocated is below £2m Council approval will not be required but a delegation to accept future funding may be considered prudent to save further last minute reports to Cabinet or Council for approval.	
ALTERNATIVE OPTIONS CONSIDERED AND REJECTED		
4.	The Council may consider not accepting this funding. This is not recommended as the fund is designed to assist Local Authorities to help residents experiencing financial hardship and to be complementary to the Government's wider package of 'Help for Households' - cost of living support.	
DETAIL (Including consultation carried out)		
5.	Since December 2020, the Government has provided funding to Local Authorities to provide hardship support for residents who have been affected by the pandemic and its recovery and the 'Cost of Living' crisis. This support was previously directed to Local Authorities through the Department for Work and Pensions (DWP) Winter fund, and the Covid Local Support Grant. This finished on 30 of September 2021 and was superseded by the Household Support Fund (HSF).	
6.	Household Support Fund has been provided to County Councils and Unitary Authorities since October 2021 and forms part of the Government's wider package of support for those most in need, to help with the cost of living. Locally, this funding has been used to support some of our most vulnerable households.	

7.	In previous phases, Household Support Fund could be used to support households with the cost of food and water bills, essential costs related to energy, food and water, and with wider essential costs. Local Authorities have had some discretion on exactly how the funding has been used - but this has to be within the scope set out in the grant determination and guidance.
8.	<p>Previous announcements of Household Support Fund have been made at quite short notice and requirements of scheme have changed significantly between phases. These requirements can have a significant impact on how and what local authorities are able to deliver.</p> <p>For example:</p> <ul style="list-style-type: none"> • 30 September 2021-31 March 2022 allowed Local Authorities to spend up to 80% of their allocated funding on households with children and the remaining 20% on those without. • 1 April 2022- 30 September 2022 required Local Authorities to ensure that at least one third of the available funds was made available to pensioners. • 1 October 2022 – 31 March 2023 required Local Authorities to operate at least part of their scheme on an application basis i.e. residents should have the opportunity to come forward to ask for support. • 1 April 2023-31 March 2024 continued to require Local Authorities to operate at least part of their scheme on an application basis i.e. residents should have the opportunity to come forward (self-referral) to ask for support and was also extended to being able to use the funding for advice service provision - where advice was linked to HSF practical support.
9.	<p>For the most recent phase (1 April 2024 – 30 September 2024), we received £2.2million and have delivered a mixed model of support to residents including:</p> <ul style="list-style-type: none"> • Vouchers for Free School Meal eligible pupils in school holidays. • Self-Referral Online scheme for supermarket vouchers • Agency Referral Scheme for supermarket vouchers, white goods and prepayment utility top-ups. • Increased capacity in local projects offering practical support to tackle fuel & food poverty and welfare advice provision. • Help with housing costs via increased funding for Discretionary Housing Payments and rent deposits.
10.	We are awaiting guidance from Central Government for Household Support Fund (1 October 2024 to 31 March 2025). We will design and deliver our scheme in line with the requirements and in consultation with key stakeholders, and in consultation with the Cabinet Member for Communities and Safer City. A delivery plan will be submitted to the DWP and will be signed off by the Authority's Section 151 Officer.
RESOURCE IMPLICATIONS	
<u>Capital/Revenue</u>	

11.	Our local Household Support Fund scheme will be designed to keep within the funding provided by Central Government and will be robustly monitored via regular reports to the Household Support Fund Steering Group to ensure no overspend occurs and that appropriate returns to Government to draw down funding are accurate.
<u>Property/Other</u>	
12.	None.
LEGAL IMPLICATIONS	
<u>Statutory power to undertake proposals in the report:</u>	
13.	Localism Act 2011 ('General Power of Competence').
<u>Other Legal Implications:</u>	
14.	The Council must act in accordance with the Public Contracts Regulations 2015 ("PCRs") when procuring services from third parties to enable delivery of scheme objectives. On receipt of the guidance we will consult with our Procurement Services to ensure our delivery plan complies with PCR requirements.
15.	The Scheme must be designed having regard to the provisions of the Equalities Act 2010, and in particular, the Public Sector Equality Duty ('PSED') as set out in s.149 of the Act (the need to exercise functions having regard to the need to eliminate harassment, victimisation and discrimination on the grounds of protected characteristics). An Equalities Impact Assessment will be undertaken when designing the Scheme to ensure compliance with the PSED.
RISK MANAGEMENT IMPLICATIONS	
16.	Southampton City Council has experience of administering previous Household Support Fund resources to residents. The timescales between receiving confirmation of the funding allocation and the new guidance and the delivery period of the scheme brings some practical challenges and may lead to a delay to full implementation, but officers will review the guidance and requirements and seek to implement a full scheme, following consultation with the Cabinet Member, as soon as is practical after the 1 October 2025.
17.	Although this fund is designed to assist local authorities to help residents experiencing financial hardship linked to rises in the cost of living, there will be restrictions in the type of support that can be provided to residents. It may also be difficult to predict levels of need and demand, and residents' expectations of support available.
POLICY FRAMEWORK IMPLICATIONS	
18.	The recommendations of this report are entirely consistent with and not contrary to the Council's policy framework.

KEY DECISION?	Yes
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WARDS/COMMUNITIES AFFECTED:	ALL
<u>SUPPORTING DOCUMENTATION</u>	
Appendices	
1.	ESIA
Documents In Members' Rooms	
1.	None
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)

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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.

Name or Brief Description of Proposal	Acceptance of government funds for Household Support Fund (HSF)
Brief Service Profile (including number of customers)	
The HSF is funded by central government to provide support to families and individuals in particular hardship at a time of rising costs. SCC has been advised that funding will be made available to Local Authorities for the period 1/10/2024 to 31/03/2025 .	
Summary of Impact and Issues	
There may be groups who are particularly vulnerable to rising prices even for example large families or single income families. In previous phases of Household Support Fund, it was intended to cover a wide range of low-income households in need including families with children of all ages, pensioners, unpaid carers, care leavers, and people with disabilities. Household Support Fund allows local authorities to provide additional support at a time when some households are struggling with the current cost of living crisis.	
Potential Positive Impacts	
<ul style="list-style-type: none"> • Additional support for families and individuals in need at a time of rising prices. • Enable families to access other support including advice and guidance on benefits and other support they may be eligible for. 	
Responsible Service Manager	Sara Crawford/Maria Byrne
Date	06/09/2024
Approved by Senior Manager	Claire Edgar
Date	06/09/2024

Potential Impact

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
Age	Failure to accept and distribute this fund will impact significantly on poorer pensioner households who may be able to access this support.	Accept the funding.
Disability	Failure to accept and distribute this fund will impact significantly on households with a disabled person who may be able to access this support.	Accept the funding.
Gender Reassignment	None identified.	
Marriage and Civil Partnership	None identified.	
Pregnancy and Maternity	Failure to accept and distribute this fund will impact significantly on pregnant women or those unable to work households who may be able to access this support.	Accept the funding.
Race	Failure to accept and distribute this fund will impact significantly on individuals and families from all ethnicities who may be able to access this support.	Accept the funding.
Religion or Belief	None identified.	
Sex	None identified.	
Sexual Orientation	None identified.	
Community Safety	None identified.	
Poverty	Failure to accept and distribute this fund will impact significantly on individuals and families from all parts of the City who are struggling financially and who may be able to access this support.	Accept the funding.
Health & Wellbeing	Failure to accept and distribute this fund will further impact on the health and wellbeing of families and individuals already negatively impacted by the cost of living crisis.	Accept the funding.

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
Other Significant Impacts	None identified.	

DRAFT

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DECISION-MAKER:	CABINET		
SUBJECT:	TEMPORARY ACCOMMODATION – LEASE AGREEMENT		
DATE OF DECISION:	17 SEPTEMBER 2024		
REPORT OF:	COUNCILLOR FRAMPTON- CABINET MEMBER FOR HOUSING		
<u>CONTACT DETAILS</u>			
AUTHOR:	Name:	MARIA BYRNE	Tel: 023 8083 3687
	E-mail:	Maria.byrne@southampton.gov.uk	
Director	Name:	Debbie Ward	Tel: 023 8083 3351
	E-mail:	Debbie.Ward@southampton.gov.uk	

STATEMENT OF CONFIDENTIALITY	
Appendix 1 of this report contains information deemed to be exempt from general publication based on Category 3 of Paragraph 10.4 of the Council’s Access to Information Procedure Rules. This includes details of commercial terms which have not yet been agreed between parties and which if disclosed, could put the Council or other parties at a commercial disadvantage.	
BRIEF SUMMARY	
<p>Southampton City Council (SCC) has a duty under the Housing Act 1996 (as amended) and the Homelessness Reduction Act 2017 to secure temporary accommodation for homeless households in certain circumstances, for example, whilst homelessness enquiries are undertaken or until suitable accommodation can be found under the main housing duty.</p> <p>The report advises Cabinet of the proposals to lease a property made up of 24 self contained units of accommodation for use as emergency accommodation for a 3 year period. The site would provide 16 studio flats for use as emergency nightly paid accommodation and 8 studio flats for use as temporary accommodation. The proposal aims to meet the current demand for emergency and temporary accommodation.</p>	
RECOMMENDATIONS:	
(i)	<p>To approve the proposal to enter into a lease for this property to use it for homeless households for a 3 year duration subject to the following conditions:</p> <ul style="list-style-type: none"> a) A property inspection has been carried out by SCC and compliance information will need to be requested and reviewed accordingly b) The Valuation and Assets team will be instructed to review the proposed terms of the lease agreed to date and will liaise with the property owner as required. c) Once proposed terms have been agreed The Valuation and Asset Team will instruct legal services to review any documentation required. d) Clarification is sought in relation to insurance of the building. e) Following consultation that Cabinet approves delegated powers to the Executive Director of Growth and Prosperity following consultation

	<p>with the Executive Director for Enabling Services to finalise the terms of the deal for the lease.</p> <p>f) That Cabinet approved delegated powers to the Executive Director of Growth and Prosperity to carry out any further functions or activities needed to conclude this arrangement.</p>
REASONS FOR REPORT RECOMMENDATIONS	
ALTERNATIVE OPTIONS CONSIDERED AND REJECTED	
1.	<p>Option 1 – Do Nothing</p> <p>If we do nothing then our spend on emergency accommodation will continue to increase and could exceed that of previous years and not provide value for money.</p>
DETAIL (Including consultation carried out)	
2.	<p>The number of homeless households approaching the council as homeless has increased by 64% since 2019- 2020 and by 14% in the last 12 months. This combined with an unprecedented period of economic disruption has unsurprisingly led to increasing numbers of households being accommodated by Southampton City Council in temporary accommodation.</p> <p>Because of the heightened demand, this means that the Council has needed to increase its use of emergency accommodation which includes bed and breakfast and nightly paid accommodation. This comes as a significant cost to the council.</p>
3.	<p>Nationally the most common length of time for households with children to be in temporary accommodation was for 2 to 5 years accounting for 26.3% of households with children. For Southampton, the most common length of time was for 1 to 2 years accounting for 35% of households with children.</p> <p>Nationally the most common length of time for single households to stay in temporary accommodation was less than 6 months, accounting for 37.5% of single households. For Southampton, single households' length of time in temporary accommodation is typically 1-2 years at 36%.</p> <p>As per the Homelessness (Suitability of Accommodation) Order 2003, it is unlawful for councils to accommodate families (including single pregnant women) in B&B / Hotel accommodation that is not self-contained for over a period of 6 weeks. However, the difficulties in accessing longer term accommodation are lengthening the time families spend in emergency and temporary accommodation.</p> <p>This presents significant risk of legal challenge and is an area that is closely monitored by the DLUHC. In January 2023, the council had over 20 households with children in bed and breakfast accommodation over 6 weeks which exceeded our legal threshold. This has now been significantly reduced.</p> <p>Since the beginning of 2023, SCC has increased its usage of nightly paid accommodation which are self contained accommodation units. Although these</p>

units can address the demand we have, the cost of these units is expensive and not a cost effective solution.

Therefore by considering the option of this property this would provide the Council with emergency accommodation at a reduced unit price which could provide savings to the local authority until we are able to progress longer term alternative temporary accommodation solutions.

Consideration also needs to be given for the social impact that providing good quality accommodation to households during a very turbulent time of change can have across other teams within SCC and the support that they may need.

Currently our supply of emergency accommodation is on a spot purchase basis which has been that way for many years. In early July 2024 we saw the number of households in emergency accommodation rise to 200 households which is the highest it has been. During the summer period we continue to see a limited amount of accommodation available in the city and having guaranteed access to a provision which will provide good quality accommodation for homeless households is essential.

The property owner initially proposed leasing the property for emergency accommodation some time ago. Recent renewed contact has led to discussions regarding a dual-purpose use: emergency and temporary accommodation. This adaptation would yield an additional eight units of temporary accommodation, offering households a secure interim living environment while they transition to permanent housing.

This particular property is centrally located with excellent transport connections throughout the area. Exclusive use of the entire building affords us complete control over occupancy, a luxury not typically afforded by other emergency accommodation properties, which are often shared with other local authorities.

This arrangement will enable us to establish eight additional units of temporary accommodation for longer-term placements until households are permanently housed. A dedicated, self-contained property for emergency accommodation will expedite the relocation of households from unsuitable placements, such as hotels, compared to circumstances where such a property is unavailable.

As part of the Homelessness Prevention Transformation Programme which aims to fundamentally transform the delivery of homelessness services by the Council.

The initiative focuses on:

- **Proactive and Preventative Approaches:** Shifting from reactive measures to proactive strategies to prevent homelessness before it occurs.
- **Enhanced Access to Information and Support:** Providing easier access to comprehensive information, advice, and guidance.

	<ul style="list-style-type: none"> • People-Centric Services: Prioritising the needs of individuals and families, ensuring they remain at the heart of all service delivery. • Staff Training and Support: Investing in staff development to support the transition and ensure effective implementation. <p>Additional initiatives to address the immediate need for temporary accommodation, will include:</p> <ul style="list-style-type: none"> • RTB receipts: Leverage Right to Buy (RTB) receipts to purchase properties for temporary accommodation. • Utilisation of VOID properties: Seek permission to use decanted VOID properties as temporary accommodation. This will require a policy change and agreement to allocate VOID property repair resources to these decanted properties. <p>These combined measures will help reduce the demand on services and minimise the length of stay and numbers of households in emergency/ temporary accommodation.</p>
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RESOURCE IMPLICATIONS

Revenue

4. The financial implications of the proposal are set out in Appendix 1.

Property/Other

5. The property visually appears to be of good quality but will require a surveyor's inspection to confirm its suitability. The Valuations and Estates Team is aware of the property and has confirmed that their role would be to negotiate the final terms, draft a report of agreed terms providing the necessary information to enable legal officers to prepare a lease.

The owner of the property would be responsible for the following:

- All property maintenance both internal and external, including general wear and tear;
- In the event of deliberate damage caused to the property by a household, the property owner will submit a quote to SCC detailing the necessary repairs. Subsequently, both parties will collaborate to determine SCC's liability of cost. SCC will subsequently seek to recover these costs from the responsible household
- Responsible for cleaning the entire building, including all emergency accommodation flats and the eight temporary accommodation flats when vacant.
- For insuring the entire building
- Council Tax for the emergency accommodation units will be the responsibility of the owner and the temporary accommodation units will be the responsibility of the occupants (subject to agreement).
- They will be responsible for taking the bookings for the emergency accommodation placements and booking the household in.

	<ul style="list-style-type: none"> • All of the emergency accommodation units will be fully furnished • Linen and towels for the emergency accommodation units will be provided and changed once a week. • Is responsible for payment of the following utilities electric, water, sewer, telephone and internet <p>The Council will be responsible for:</p> <ul style="list-style-type: none"> • Reporting any repairs that they become aware of • Covering the cost of deliberate damage to a property once agreed by both parties • For the council tax of the 16 units of emergency accommodation and the 8 temporary accommodation units if unoccupied • The decision of who all the units are allocated to is the decision of the Council at all times. • Responsible for the management of the 8 temporary accommodation units including tenancy management and rent collection. • Notifying the owner when a unit of temporary accommodation is going to become void. <p>If approved, the next steps will involve developing a detailed schedule outlining the responsibilities of all parties involved.</p>
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Temporary Accommodation Units

6.	Temporary accommodation units will be leased under non-secure tenancies, mirroring our successful Hugg Homes model used for over five years. To effectively manage rental income, these properties must be integrated into the NEC Housing System for monitoring by the Home Seekers Letting Team.
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LEGAL IMPLICATIONS

Statutory power to undertake proposals in the report

7.	<p>The Council has a duty under the Housing Act 1996 (Part VII), as amended, to ensure that accommodation is made available for homeless applicants who are owed a full housing duty by the Council.</p> <p>Where the Council determines under the provisions of the Housing Act 1996 Part VII (as amended) that a person/household is eligible for assistance, homeless, in priority need and not homeless intentionally, it has a duty to secure suitable accommodation (unless it refers the applicant to another authority under the local connection provisions): s193(2), s206(1).</p> <p>The suitability of accommodation is governed by s210 of the 1996 Act, a number of statutory instruments made under that provision (SIs 1996/3204, 2003/3326 and 2012/2601) and by the Homelessness Code of Guidance for Local Authorities. When discharging its housing duties under Part VII, the Council must, so far as reasonably practicable, secure that accommodation is available for the applicant’s occupation in their own district: s208(1) of the 1996 Act.</p>
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	The Homelessness Reduction Act 2017 places a duty on Local Authorities to intervene at an early stage to help prevent homelessness and take reasonable steps to relieve homelessness for all eligible applicants, not just those in priority need.
RISK MANAGEMENT IMPLICATIONS	
8.	The current owner of the property required an urgent decision on whether SCC are in a position to proceed with the proposal as the company were planning to let the flats to students and they would need to notify potential residents that they were unable to proceed if SCC decided to lease the property. SCC have agreed in principle to proceed with progressing the matter which is subject to contract and the property satisfying our requirements.
9.	While there's a potential for unoccupied periods, given the current 200 households in emergency housing, full occupancy is highly probable. This property would be a priority for allocation. The only exception would be if the property becomes uninhabitable due to damage or necessary repairs.
10.	There is a risk that the property may not be needed for the full three-year lease term. However, this risk is mitigated by a break clause allowing SCC to terminate the lease after one year with three months' notice.
11.	The current suggested proposal is that SCC will be required to meet the cost of repairs following a deliberate act caused by an occupying household resulting in damage to the building. The potential financial liability (which is not able to be covered under the council's insurance arrangements) A collaboration process between both parties will need to be established with a view to seeking an agreement whereby the maximum sum that the council would be liable for in respect of any one incident is capped and/or a maximum sum in any one period.
POLICY FRAMEWORK IMPLICATIONS	
12.	The policy is in accordance with the relevant Policy Framework policies and supports the aims of the Homelessness & Rough Sleeping Strategy.

KEY DECISION?	No
WARDS/COMMUNITIES AFFECTED:	
<u>SUPPORTING DOCUMENTATION</u>	
Appendix 1	

Documents In Members' Rooms

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

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DECISION-MAKER:	Cabinet Council
SUBJECT:	Transformation Implementation Partner
DATE OF DECISION:	17 September 2024 (Cabinet) 18 September 2024 (Council)
REPORT OF:	Councillor Fielker The Leader of the Council

<u>CONTACT DETAILS</u>			
Executive Director	Title	Chief Executive	
	Name:	Andrew Travers	Tel: 023 8083 2943
	E-mail	Andrew.travers@southampton.gov.uk	
Author:	Title	Transformation Director	
	Name:	James Wills-Fleming	Tel: 023 8083 2054
	E-mail	james.wills-fleming@southampton.gov.uk	

STATEMENT OF CONFIDENTIALITY	
<p>Appendix 1 of this report is not for publication by virtue of categories 3 (commercial sensitivity) and 7A (obligation of confidentiality) of paragraph 10.4 of Southampton City Council's ("the Council's") Access to Information Procedure Rules, as contained in the Council's Constitution.</p> <p>It is not in the public interest to disclose this information as the report contains confidential and commercially sensitive information in relation to one of the Council's suppliers. It would prejudice the Council's ability to operate in a commercial environment and obtain best value in contract negotiations and would prejudice the Council's commercial relationships with third parties if they believed the Council would not honour obligations of confidentiality.</p>	
BRIEF SUMMARY	
To approve the appointment of Newton Europe as the council's Transformation Implementation Partner to support the adapt grow thrive programme.	
RECOMMENDATIONS:	
Cabinet:	
	(i) To approve the release of transformation funding as detailed in 'Resource Implications' from reserves or the Exceptional Financial Support (EFS) facility
	(ii) To approve the appointment of Newton Europe Ltd ("Newton Europe") as transformation partner to support the implementation of "adapt grow thrive" transformation savings proposals
	(ii) To delegate authority to the Chief Executive following consultation with the Leader of the Council to take all necessary actions,

		including finalising contractual and commercial arrangements, in order to complete the appointment of the transformation partner.
Council:		
	(i)	To approve the release of transformation funding as detailed in 'Resource Implications' from reserves or the Exceptional Financial Support (EFS) facility
REASONS FOR REPORT RECOMMENDATIONS		
1.	This proposed appointment is a key element in the organisational transformation of the Council in order to reach a position in which its General Revenue Fund budget is balanced in future years without the need for Exceptional Financial Support from the government. This is a key component in enabling the Council to achieve long-term financial sustainability.	
2.	This appointment follows, and directly relates to, the completion of a diagnostic phase of work by the proposed transformation partner, Newton Europe.	
3.	It was intended from the outset that an implementation phase of the transformation programme would follow the diagnostic phase if that diagnostic phase was successful in identifying transformation activities and financial savings opportunities of sufficient scale and impact to support the commissioning of the second phase.	
4.	Appendix 1 sets out the confidential and commercially sensitive terms relating to this report and the appointment of the transformation implementation partner.	
ALTERNATIVE OPTIONS CONSIDERED AND REJECTED		
5.	Do not proceed with the implementation of transformation proposals. This option was rejected as it would result in the Council failing in its plan to become financially stable.	
6.	Undertake a procurement process to appoint an alternative transformation partner. This option was rejected as the implementation phase of this element of the transformation programme was envisaged in the original procurement process and subsequent appointment of Newton Europe. The implementation phase directly relates to the diagnostic phase; the implementation phase has been designed by Newton Europe as a result of the diagnostic phase and, therefore, this appointment enables continuity and speed in proceeding with the implementation phase.	
7.	Proceed with the transformation proposals using only existing Council resources and/or temporary staff appointments. Whilst the council already has an experienced core Projects & Change team, this option was rejected as the Council does not possess sufficient capacity to implement the proposals itself within the required timeframe without external assistance and support.	
DETAIL (Including consultation carried out)		
8.	The Council undertook a process in the 2023/24 financial year to appoint a transformation partner to undertake a Diagnostic Phase (the "Diagnostic Phase"), primarily relating to the Wellbeing (Children & Learning) and	

	Wellbeing & Housing areas of the Council. This process envisaged that the transformation partner could be appointed to undertake a subsequent Implementation Phase (the “Implementation Phase”) at the sole discretion of the Council.
9.	The route to market identified for this process was a further competition through the Crown Commercial Service RM6187 Management Consultancy Framework Three Agreement (“MCF3”). This framework includes a maximum framework price against which bidders provide their price to ensure best value is evidenced. Following the competitive process, the Council we received 2 bids and Newton Europe were identified through a Most Economically Advantageous Tender evaluation as the successful supplier.
10.	Newton Europe was appointed in March 2024 to undertake the Diagnostic Phase as the result of an urgency decision by the (previous) Chief Executive taken under delegated powers on 22 December 2023.
11.	This Diagnostic Phase was primarily focused on identifying the potential financial savings, associated benefits and process improvements that could be achieved across Children’s Services and Adults Social Care through a subsequent Implementation Phase of transformation activity. The Diagnostic Phase has now been completed and has successfully achieved its aims and objectives.
12.	Following the completion of this diagnostic phase, and other work carried out by all areas of the council, the full scope of the council’s Transformation Programme, named “adapt grow thrive”, was approved by Cabinet in July 2024 (see ‘background papers’ for detail). This report set out that in order for the council to successfully deliver its transformation plan, external support would be required throughout the implementation phase of the programme.
13.	On 27 August 2024 Cabinet approved the appointment of Newton Europe as the Council’s interim transformation partner to initiate implementation activity covering September and October 2024.
14.	This report seeks approval to proceed with Newton Europe as its main transformation partner for the full Implementation Phase, covering the period up until the end of the 2027/28 financial year.
15.	This report sets out the scope of work to be undertaken by Newton Europe as lead Transformation Partner and other key considerations, including detail of the proposed commercial model and the accompanying assurance mechanisms that the council will use to manage any future commercial relationship.
16.	The scope of the partnership support from Newton Europe covers two main areas: <ol style="list-style-type: none"> 1. Providing implementation resource and leadership to collectively deliver specific key programmes of activity within the Adults & Health, Children’s Services and Schools & SEND Transformation Portfolios, ensuring the savings associated with these programmes are delivered. 2. Support across the wider adapt grow thrive programme in capacity as a transformation partner to support with the strategic delivery of the programme and the following identified targeted complex issues: <ul style="list-style-type: none"> • Development of a demand and capacity planning model with the finance and analytics teams to help construct a long term MTFS.

	<ul style="list-style-type: none"> Supporting the evolution of the prevention business case to factor in identified opportunities across the transformation portfolio and identify near term opportunities.
17.	<p>Adults & Health and Children’s Services Transformation</p> <p>The core focus of Newton’s implementation support will be on our key programmes of activity within our Adults & Health and Children’s Services Portfolios. The July Cabinet Report set out the detailed scope of the activity contained within these portfolios. A summary of the specific areas that Newton will be implementing is given below. This includes the types of performance indicators that will be used to measure the success of this work.</p>
18.	The specific programmes of activity set out below are expected to deliver a combined annually recurring saving to the council of £23,000,000 by 2026/27.
19.	Newton Europe will also provide strategic support to the remaining activity in both the Adults & Health and Children’s Services Portfolios, along with the Schools & SEND Portfolio. The combined total savings expectations across these three portfolios, including the specific programmes outlined below, is c£30,000,000pa.
20.	<p>Adult Social Care & Health</p> <p>Newton’s focus within Adult Social Care & Health will be on implementing the following key programmes of activity:</p> <ul style="list-style-type: none"> Living and Ageing Well Whole Life Pathways Service Productivity and Redesign
21.	<p>Living and Ageing Well</p> <p>Improvements will be delivered through four main initiatives:</p> <ul style="list-style-type: none"> Hospital Discharge Decision-making – Reduce the number of older adults requiring expensive long-term care via hospital discharge decisions Reablement Demand and Effectiveness- Reduce long-term homecare demand by maximising the throughput and efficacy of the reablement service. Community Decision Making - Reduce the number of older adults requiring expensive long-term care via community decisions Physical Disabilities Support Model - Increase the number of service users with their ideal, most independent setting and support <p>Success will be measured by tracking performance indicators, including:</p> <ul style="list-style-type: none"> Reduction in starts into residential and nursing placements Reduction in the level of domiciliary care support received to support older adults at home, more independently Reducing the needs of those starting at the front door for the first time Increasing the support of those with domiciliary care support at home to be fully or more independent, and increase the active progression/enablement to reduce the level of support of service users
22.	<p>Whole Life Pathways</p> <p>The programme aims to ensure that individuals using our service will be able to access appropriate, strengths-based, independent, person-centred</p>

	<p>outcomes of care that are in-line with the Care Act and meets their needs, leading to enhanced independence and a better quality of life.</p> <p>Improvements will be delivered through five main initiatives:</p> <ul style="list-style-type: none"> • Moves - Relocating individuals to settings that maximise their independence. • Step-downs - Reducing overprovision of care within settings. • Progressions - Gradually upskilling individuals to progress towards eventual moves/step-downs. • Transitions - Improving alignment with Children’s teams for seamless transitions. • Continuing Health Care (CHC) - Ensuring appropriate funding setups for individuals with health needs. <p>Success will be measured by tracking performance indicators, including:</p> <ul style="list-style-type: none"> • Number of service users moving/stepping down to a more independent support level
23.	<p>Service Productivity and Redesign</p> <p>This programme is targeting productivity improvements across all areas of Adult Social Care. Whilst many improvements will be cross cutting across teams/practitioners, a structured approach in providing additional support on the staffing areas with the largest spend will be deployed.</p> <p>Improvements will be delivered through a combination of reviewing and redesigning process flows to streamline activity and reduce workload in non-value adding activities and performance visibility, supported by caseload management tooling and processes.</p> <p>Success will be measured by tracking performance indicators, including:</p> <ul style="list-style-type: none"> • Productivity gains across teams leading to savings
24.	<p>Children’s Services</p> <p>Newton’s focus within Children’s Services will be on implementing the following key programmes of activity:</p> <ul style="list-style-type: none"> • Managing Demand • Right Child Right Home
25.	<p>Managing Demand</p> <p>This programme is focussed on providing more targeted support to families to reduce the number of care entrants, and increasing the number of children who can safely return to their families. This will be achieved through:</p> <ul style="list-style-type: none"> • Launch of the ‘Family Help’ service, focused on prevention, targeted early intervention, assessment and meeting need to prevent higher level statutory intervention. • Redesign and relaunch of the Children’s Resource Service (MASH). • Implementation of the Family Safeguarding Model – recruitment of specialist adult workers embedded in Family Safeguarding Teams, supporting more children to remain with their families. • Strengthening family group conferencing as a way to keep families together. • Launching a new ‘Building Bridges Service’ (within existing resource), targeting the families and foster carers who need urgent or intensive help.

	<ul style="list-style-type: none"> Supporting reunification of children in care back to their families (where this is the right plan for them) and promoting other permanence options such as adoption, special guardianship orders and long-term fostering. <p>Success will be measured by tracking performance indicators, including:</p> <ul style="list-style-type: none"> Reduction in the number of new care entrants annually Achieving permanence for children who are currently blocked
26.	<p>Right Child Right Home</p> <p>This programme aims to reduce the proportion of Children in non-ideal placement types and reduce the average cost of provision. It will:</p> <ul style="list-style-type: none"> Maximise the proportion of children and young people who receive support from SCC's own placements as opposed to those provided by private companies. Maximise the proportion of children and young people who benefit from support in the placement type that is ideally suited to their needs, avoiding less than ideal matches which could lead to placement disruption. Placing and supporting children in stable, good quality, and value for money placements. Provide suitable accommodation for families who require this in order for children to return home from care. Ensure sufficient and suitable local accommodation for care leavers, enabling us to keep them close to their support networks and reducing costs. Ensure the most cost-effective accommodation for families who have no recourse to public funds, reducing the impact on council budgets. <p>Success will be measured by tracking performance indicators, including:</p> <ul style="list-style-type: none"> Reduction in the residential caseload Support an increased number of children in-house Reduction in the average cost of residential care
27.	<p>Support across the wider adapt grow thrive programme.</p> <p>This includes specific support with the following targeted complex issues:</p> <p>Demand and Capacity Planning Model</p> <p>To support the council to improve the data and evidence that is used as part of the annual business planning cycle, a demand planning model will be developed, focused on people-based demand, that will inform the demand on council services and the forecast across the 10-year horizon. To include:</p> <ul style="list-style-type: none"> A model to support and challenge the 5-year financial planning horizon A model to support strategic planning for 10-year horizon Guidance for senior leaders on how to use the model and, based on the scenarios that the model is showing for given sets of inputs, suggested questions to ask through the strategy and budget planning process and of decision makers. A revised annual planning cycle utilising the decision-making forums of the council, the availability of the data, insights and directorate planning work to inform budget planning <p>Prevention Business Case</p> <p>To support the council to enhance both the short-term prevention agenda delivering a minimum of £1m of savings towards the council's budget</p>

	<p>challenge and the 10-year prevention strategy, with a particular focus on the near-term activity that needs to be progressed.</p> <ul style="list-style-type: none"> • Consolidate the prevention activity across the transformation portfolio into a single delivery plan, exploring areas where the £1m target can be increased through either additional opportunities or extension of already identified opportunities to other areas. Analytical support to extract the prevention elements from the portfolio and consolidate into one prevention overview • Identifying opportunities to make the delivery of the prevention work more efficient and more impactful • Drafting of a single aligned prevention plan, alongside key stakeholders, that maximises short term benefit from prevention and initiates the delivery of the long-term strategy
28.	<p>Delivery Approach and Timescales</p> <p>Appendix 2 sets out the proposed resourcing approach and delivery timescales.</p>
29.	<p>Newton Europe has a proven track record of delivering savings within the public sector, having worked on over 100 similar programmes and with over 40 local authorities. Appendix 3 gives a sample of some of the reference sites of previous work delivered.</p>
30.	<p>A key element of the delivery approach is that Newton Europe resources will be embedded within the service areas and teams going through the changes, working alongside, and with, council staff. This helps to ensure that the changes being implemented are fully sustainable and that council staff are fully involved with delivering the improvements.</p> <p>The implementation will be delivered forming a full-time hybrid team, with Newton Europe providing specialist transformation capability covering programme management, benefit realisation, operations, behavioural change and digital tooling. This will:</p> <ul style="list-style-type: none"> • Create dedicated delivery capacity to support across significant transformation scope to ensure delivery of areas which are of most critical financial importance • Supplement existing SCC capabilities with specialised transformation capabilities, including with respect to solution diagnosis & design, behavioural science, performance visibility & management techniques and the development of advanced digital tools • Provide the agility to react quickly when things change, protecting delivery of the target outcome
31.	<p>Summary implementation plans are included in Appendix 2. These set out that the implementation activity relating to the key activity in Adults & Health and Children’s Services are planned to take place through until the end of 2025, with the bulk of the activity happening within the first 12 months of implementation. The programme timeline will remain under constant review and work will not finish until all of the agreed performance indicators and deliverables have been achieved.</p>
32.	<p>Contract Terms</p> <p>The total contract value is £9,000,000. Appendix 1 sets out the confidential and commercially sensitive terms relating to this report and the appointment of the transformation implementation partner.</p>

33.	The successful completion of Newton Europe’s implementation activity will be monitored and managed through the tracking and achievement of specific key performance indicators relating to each programme, which are linked to the achievement of the ultimate financial benefit.
34.	Examples of the types of indicators that will be used to measure success are included in the programme summaries above. The full set of metrics to be included in the formal contract documentation will be agreed prior to finalising the contract terms. These will be tracked and monitored through a specific financial monitoring group as part of the transformation programme governance, and regular updates on progress will be provided through both Cabinet and Overview and Scrutiny Committees.
35.	Payment milestones will be monthly and agreed to align with the timescales and profile of effort set out in the implementation plans. The final profile will be agreed as part of finalising the contract terms.
36.	Alongside the on-going monitoring of the performance measures and delivery progress through the normal transformation programme governance, the contract will be subject to dedicated quarterly ‘checkpoint’ reviews. These reviews will ensure that benefit delivery is on track and the council will have the ability to delay upcoming payments for a set period if expected benefits are significantly off-track.

RESOURCE IMPLICATIONS

Capital/Revenue

37.	<p>The report recommends the approval of a contract to the value of £9M, with the following profile.</p> <p>Table 1 Profiled expenditure</p> <table border="1"> <thead> <tr> <th></th> <th>2024/25 £M</th> <th>2025/26 £M</th> <th>Total £M</th> </tr> </thead> <tbody> <tr> <td>Contract Spend</td> <td>4.9</td> <td>4.1</td> <td>9.0</td> </tr> </tbody> </table> <p>The expenditure on this contract can be classified as transformation spend that will result in savings, therefore there are 3 potential routes to funding this expenditure.</p> <ol style="list-style-type: none"> 1. To utilise the allocation given within exceptional financial support should this be confirmed as available by government £10.6M 2. To utilise the transformation reserve £4.66M 3. To fund from capital receipts flexibilities – amount subject to receipts being available <p>The budget will need to be established in the general fund account and funded by the most financially efficient method at the close of this financial year bearing in mind EFS is only in place for 2024/25.</p> <p>The confidential appendix provides more detail on the financial aspects of the contract and the elements in place to ensure value for money.</p>		2024/25 £M	2025/26 £M	Total £M	Contract Spend	4.9	4.1	9.0
	2024/25 £M	2025/26 £M	Total £M						
Contract Spend	4.9	4.1	9.0						

	Should the council utilise borrowing to fund this expenditure the ongoing revenue cost will be circa £0.8M for 20 years subject to prevailing Public Works Loans Board interest rate
Property/Other	
38.	Not Applicable.
LEGAL IMPLICATIONS	
Statutory power to undertake proposals in the report:	
39.	The Council has the necessary statutory powers in the Local Government Act 1972 and Localism Act 2011 to proceed with the recommendation of this report.
Other Legal Implications:	
40.	The Council must comply with the obligations contained in the Public Contract Regulations (2015) and the appointment of Newton Europe is consistent with those obligations. The proposed procurement route complies with this.
RISK MANAGEMENT IMPLICATIONS	
41.	Failure to deliver the required actions and associated transformation programme within the required timeframe would prevent the council from setting a balanced budget 2025-26. The implementation of the transformation programme activity is also a key aspect of the EFS “minded to” decision. This risk is being managed on the Corporate Risk register, with the programme governance and structure as set out in this report and associated appendices acting as key mitigations to prevent this risk from materialising. Reporting to Cabinet on the overall budget position is provided through the regular Budget/MTFS updates.
POLICY FRAMEWORK IMPLICATIONS	
42.	The recommendations of this report are consistent with, and not contrary to, the Council’s Policy Framework. It will support delivery of the priorities and outcomes set out in the Southampton City Strategy 2015 – 25 and the Southampton City Corporate Plan 2022 – 30 (updated in 2024).

KEY DECISION?	Yes
WARDS/COMMUNITIES AFFECTED:	Not Applicable
<u>SUPPORTING DOCUMENTATION</u>	
Appendices	
1.	Exempt Report
2.	Newton Delivery Approach
3.	Newton References
Documents In Members’ Rooms	
1.	Not Applicable
Equality Impact Assessment	
Do the implications/subject of the report require an Equality and Safety Impact Assessment (ESIA) to be carried out.	No

Data Protection Impact Assessment		
Do the implications/subject of the report require a Data Protection Impact Assessment (DPIA) to be carried out.		Yes
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.	16 July 2024 Cabinet – “Transformation Update”: https://www.southampton.gov.uk/modernGov/ieDecisions/details.aspx?id=2461	

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Proposed Structure of the Hybrid Delivery Team

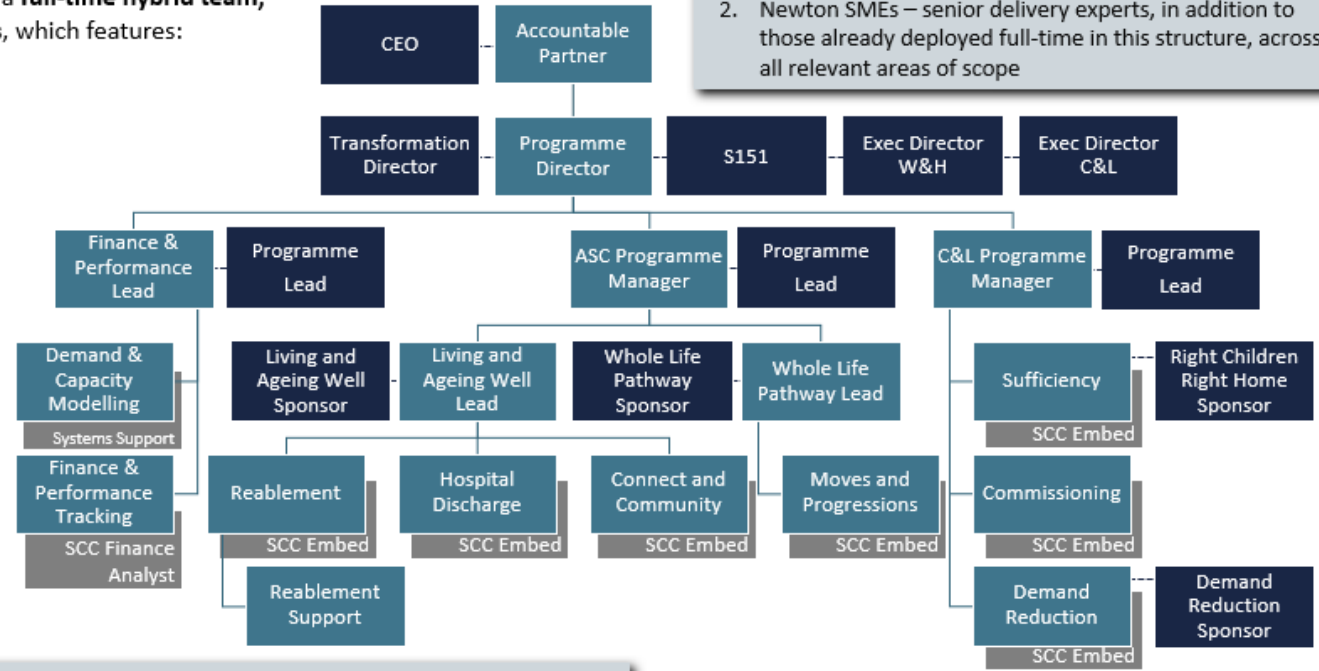
To maximise the pace and scale with which impact can be achieved, supporting the ongoing development of the organisation, as well as the sustainability of this impact beyond the lifetime of our external delivery support. We propose forming a **full-time hybrid team, working directly on delivery of change alongside the services**, which features:

- **Specialist transformation capability** from Newton, covering programme management, benefit realisation, operations, behavioural change and digital tooling.
- **Portfolio and OBCs sponsors** retaining sponsorship for the delivery of the initiatives alongside their BAU responsibilities, working collaboratively with hybrid delivery team leads.
- Direct contribution of **SCC Embedded Staff** to the design and implementation of new ways of working, **embedded full-time with Newton colleagues** in the structure. These analysts will be **directly involved in all delivery activity**, developing an in-depth understanding of what has made the changes work and what is most likely to cause them to topple over. Working side-by-side with Newton colleagues will also allow organic and formal opportunities for skills transfer, further mitigating the impact of Newton exit.
- The time-bound formation of **design and adoption teams** around each workstream (not shown here). These teams would consist of the relevant members of this hybrid delivery team plus **subject matter experts (incl. HoS, FBP)** and change advocates from within services. These teams are not full-time on the programme. This allows for **co-design of solutions from teams with exceptional combined skills and knowledge**.

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The Newton team will be supported by two advisory groups:

1. Senior Advisors – advisors to Newton with decades of experience, adding to our transformation expertise with direct experience leading Adult’s, Children’s, Finance and Healthcare functions within Public Service
2. Newton SMEs – senior delivery experts, in addition to those already deployed full-time in this structure, across all relevant areas of scope



In addition to the dedicated delivery team shown here, there will also be roles for managers and front-line staff within the directorates. Whilst these will be dedicated roles it is expected that they will be staffed within their substantive roles. This is also expected of supporting functions such as finance.

Key:

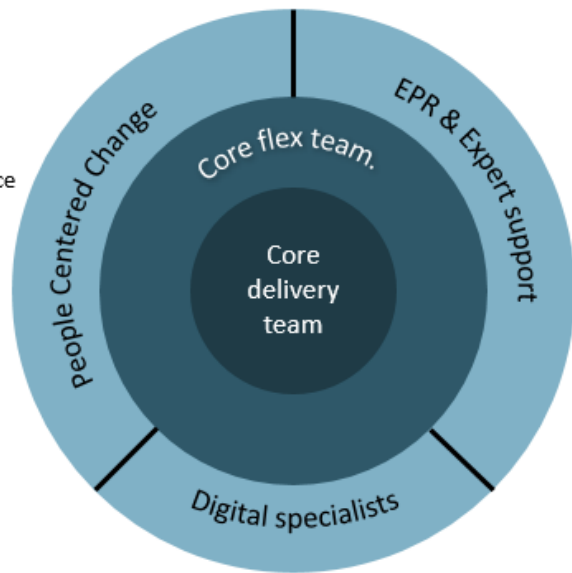
- Newton Full-Time (light blue box)
- SCC Full-Time (dark blue box)
- SCC Sponsor Role (Part-Time) (medium blue box)

Partnership Team – Newton Resourcing Approach – Blending with the SCC Team

Resources are tailored to programme, to form a collective team to deliver the outcome. Newton provide a core team, with a unique combination of expertise and experience across several disciplines, that will flex in size over time, in response to the needs of the programme – to ensure programme outcomes are delivered. The core team is complemented by specialists and the wider Newton IP & expertise to provide targeted specialist input when required.

Change experts will join the team at pivotal points of the programme to support the workforce to adopt and adapt with the change

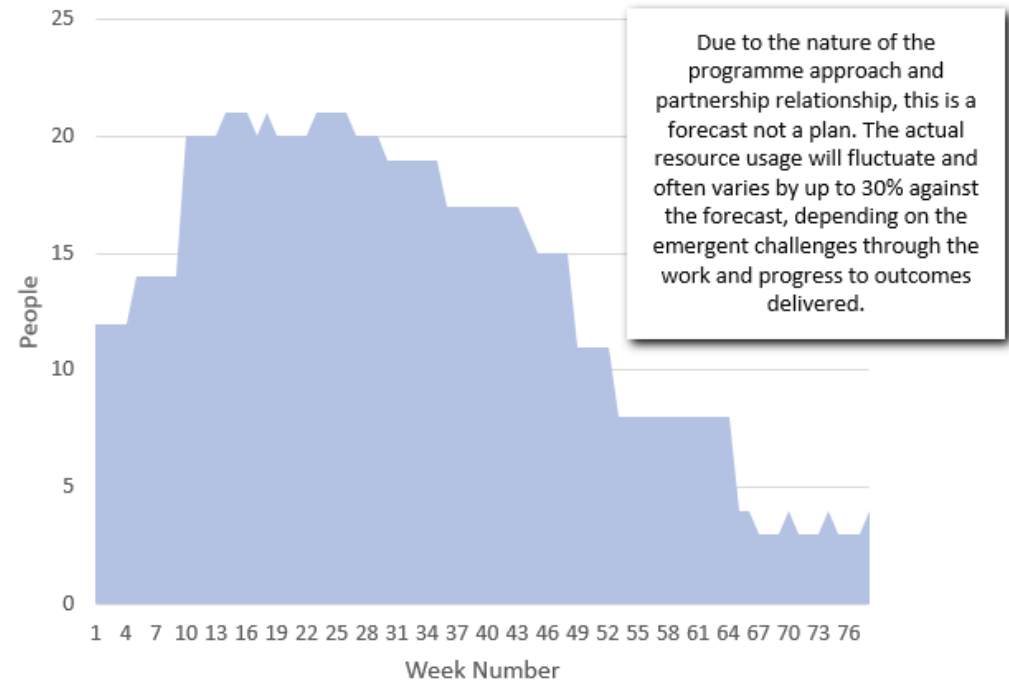
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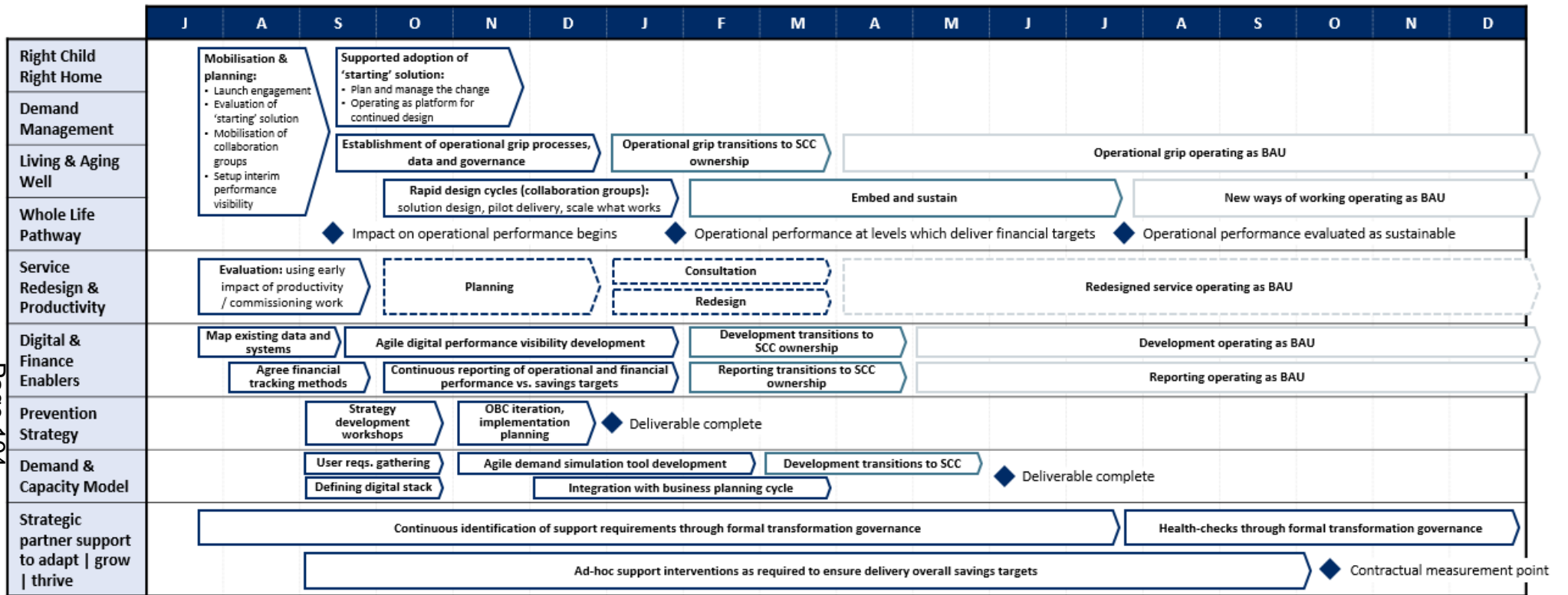
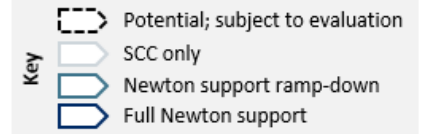
Digital subject matter specialists, drawn in at the appropriate time, following the programme lifecycle and maturity of the solution design.

Extended Peer Review team. Two Consistent reviewers, drawing in subject matter experts as required. Senior Advisors, industry experts supporting the delivery.

Forecast Indicative Programme Resourcing by Week



Newton support to adapt | grow | thrive: Plan on a page

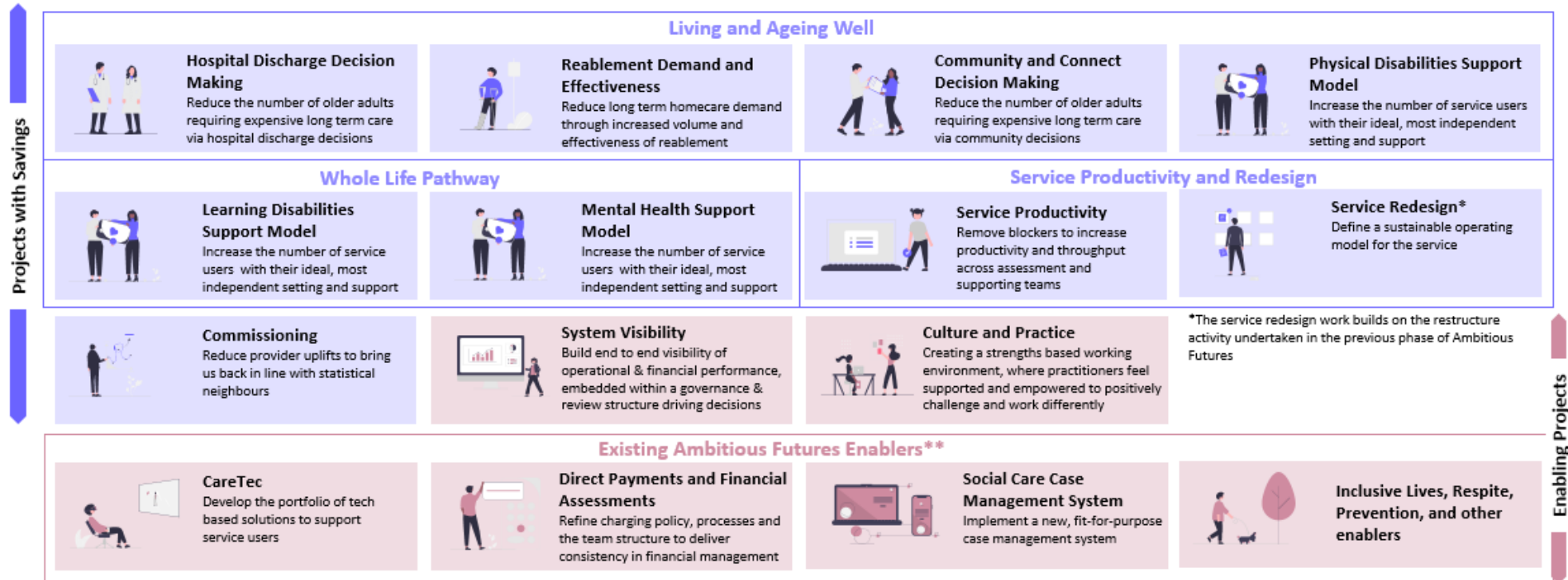


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Scope of Transformation

Community Wellbeing Portfolio

For Adults and Community Wellbeing to play our part in addressing the Council's financial challenges whilst upholding the values of the directorate, this work must build on the existing transformation activity established in Ambitious Futures and unlock savings primarily through improving the outcomes we deliver for the service users. To do this, we must...



Projects with Savings

Enabling Projects

Community Wellbeing Delivery Plan

Note this plan represents the activity identified across targeted delivery areas, and is currently being consolidated alongside existing Ambitious Futures activity

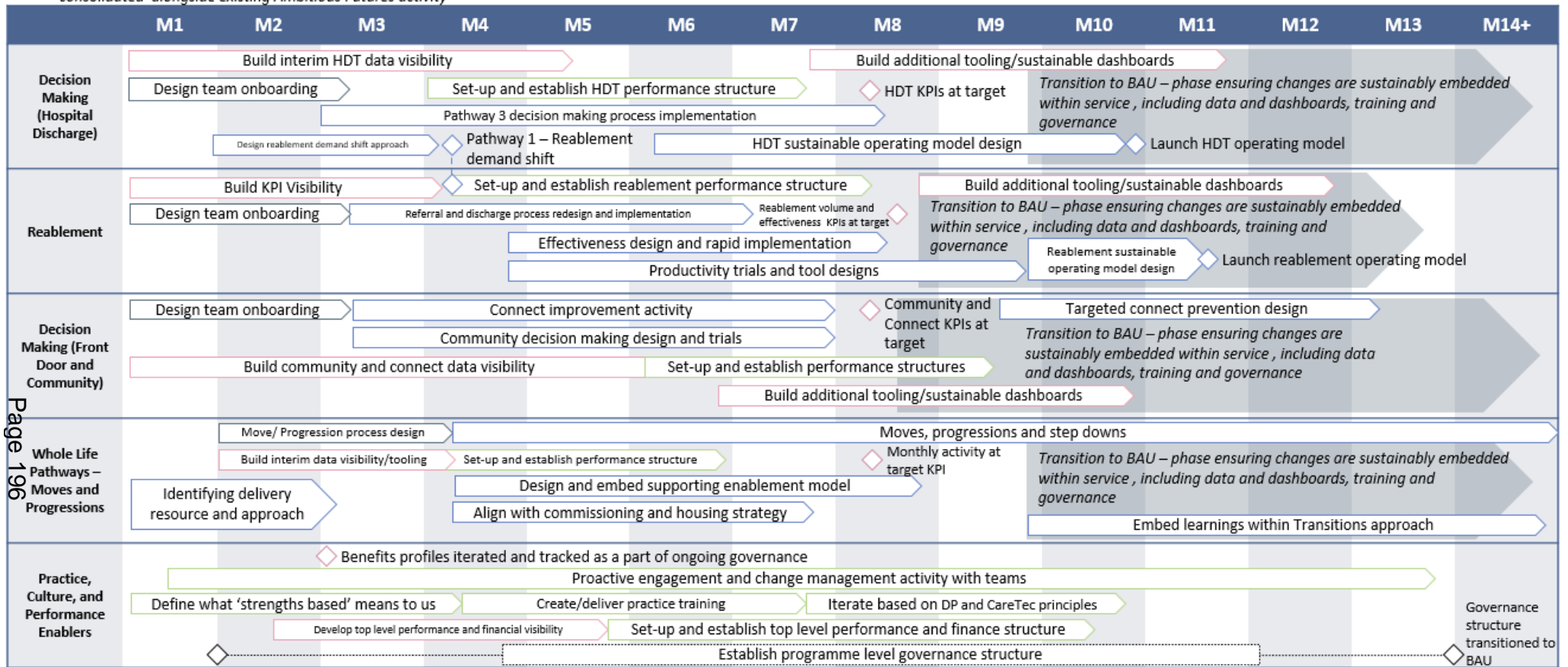
Key:

Practice/Culture

Data/Performance

Process Redesign

Other

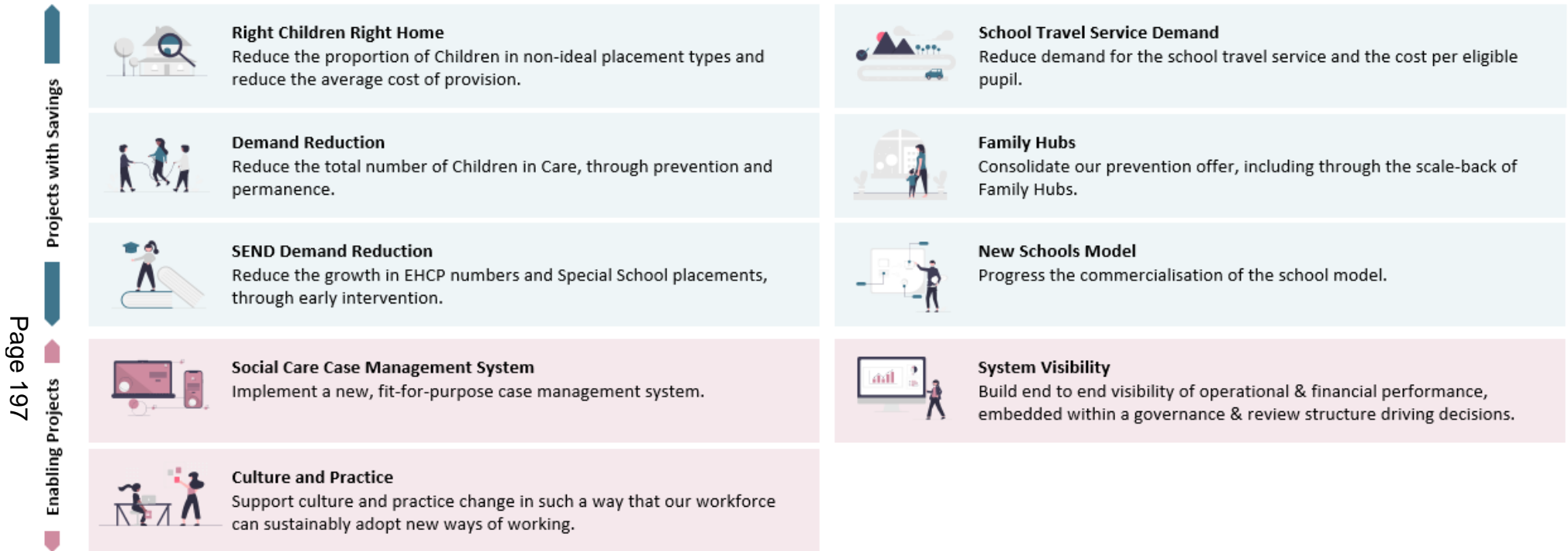


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Scope of Transformation

Children's Services, School & SEND Portfolios

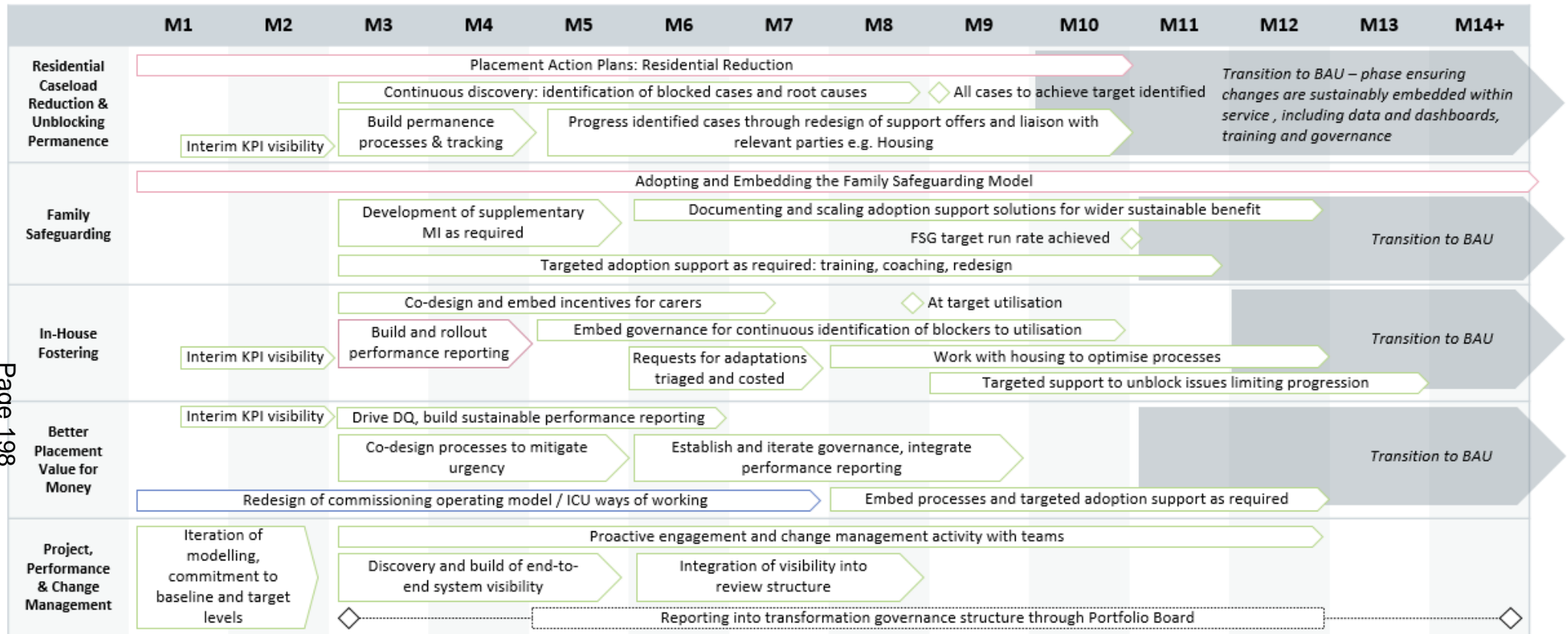
For Children & Learning to play our part in addressing the Council's financial challenges whilst upholding the values of the directorate, this work must build on the 'Good' quality of the service and unlock savings primarily through improving the outcomes we deliver for the Children of Southampton, thereby reducing the amount of support we must provide. To do this, we must...



Children's Services Delivery Plan

Key:

- Newton-Supported
- Pre-Existing
- Enabling
- Other



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Better Lives

Derbyshire County Council identified that one in three residents could have achieved a more independent outcome.

To achieve this, the service need to develop a new data-driven and evidence-based approach, which focussed on independence and staff empowerment, and overcome some of the cultural and organisational barriers which existed.

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Better Lives

DERBYSHIRE COUNTY COUNCIL

We identified £21.1m in potential recurrent financial benefit and went on to deliver £26.2m in actual recurring financial benefits.

Our approach

After engaging with teams from across the Council to diagnose the challenges and design solutions, we trialled new ways of working in targeted localities across the county. This gave us small, agile environments, co-produced by a partnership team consisting of Derbyshire 'design leads', managers, and frontline staff and dedicated Newton colleagues.

Each of these trials resulted in newly iterated and improved solutions which were then rolled out across the wider county. The solutions jointly designed covered new ways of working for staff to better provide services across community decision making, working age adults, and short-term services.

What we did

We focused on supporting working age adults to move from residential care to a more independent setting, for example by using alternative community-based support. We also modelled the ideal service required to meet the demand for short-term services, designing and rolling out the new ways of working which would deliver this service. To support reablement workers, we designed an app to report and track the progress of residents. This app allows for easy and fast communication across the wider team, and the data builds a clear understanding of the individual's strengths and needs to further personalise their care.

We also worked in partnership with Derbyshire teams to design a Power BI tool, 'the Data Dock', which drives evidence-based decisions at every level of P&P (i.e. the local social work teams), short-term services, and Working Age adults. This data is used in sustainable, fully embedded 'Improvement Cycles' which span every layer of ASC, being used to identify successes and challenges and informing future strategies for service development.

The results

1 / 3

fewer residential placements, with more residents staying at home

≥ 40%

more people are accessing short-term services.

100

of service users feel the redesigned reablement service significantly increased their level of independence

≥ 100

people with learning disabilities will be moving from residential care into their own homes

Establishing a consistent strengths-based approach

After engaging with teams from across the Council to diagnose the challenges and design solutions, we trialled new ways of working in targeted localities across the county. This gave us small, agile environments, co-produced by a partnership team consisting of Derbyshire 'design leads', managers, and frontline staff and dedicated Newton colleagues.

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“

I feel very privileged to have been part of this and feel like I have a fire in my belly again.

The new way of working is exactly what I trained for.”

DERBYSHIRE COUNTY COUNCIL
SOCIAL WORKER

Empowering Lewisham

THE CHALLENGE

Lewisham Borough Council's adult social care service aims to provide consistent, fair access to outstanding tailored care and support for their residents in need. At the same time, like many other authorities, it is facing significant financial pressure.

Over the past three years, Lewisham's community services expenditure had increased significantly. Therefore, they decided to embark on the Empowering Lewisham programme with the objective of identifying opportunities to achieve their ambition for residents while becoming more financially sustainable.



Empowering Lewisham

IDENTIFYING OPPORTUNITIES TO ACHIEVE THEIR AMBITION

The Empowering Lewisham programme started with a comprehensive, evidence-based diagnostic.

This involved collating the expertise and experience of frontline staff and overlaying these invaluable insights, with extensive analysis of financial and operational data to identify the greatest opportunities to improve outcomes and reduce costs.

The diagnostic involved engaging with over 100 practitioners from 12 disciplines to review more than 100 active cases in multi-disciplinary team review workshops, to understand the opportunities to achieve more independent outcomes for people. This was supported by analysis of millions of data points from the case management system, to understand baselines, trends, patterns, and variation.

Considerable time was also spent directly at the frontline with staff, shadowing activity and ways of working, to develop an understanding of processes and barriers (most notably around paperwork and IT delays), as well as the team culture and environment for change. Hypothesis and findings were tested and iterated with colleagues across all levels of the organisation.



The diagnostic identified that it would be possible to achieve more independent outcomes for Lewisham residents.

By doing so, it also identified the opportunity to deliver more than £8.6m per year of financial benefit.

DELIVERING AND SUSTAINING THE CHANGE

Based on the findings from the diagnostic, a plan was created to transform practice, processes, and ways of working across adult social care to achieve the opportunities identified. This involved three operational workstreams, supported by enablers of digital, finance, change, and culture. The aims of each workstream were:

1 Supporting frontline practitioners with better practice and processes

Case reviews conducted during the diagnostic identified that **58% of older adults could have achieved a better and more independent outcome.**

Together, frontline practitioners co-designed changes to their practices and processes, that had the potential to enable all of these better outcomes to be achieved for the individuals.

This involved, for example, introducing multi-disciplinary decision-making, improved access and awareness of services, and creating more streamlined processes.

2 Improving the efficiency and effectiveness of enablement services

Case reviews identified that up to an **additional 500 people per year could be more independent if they were to receive enablement.** The primary reasons people did not receive support were either capacity challenges, or uncertainty about the impact it could have. The case reviews also showed that those residents receiving enablement could achieve a greater level of independence if a goals-focused approach were in place. As a result, the workstream aimed to create an enablement service that had 300 more ‘finishers’ per year and was 50% more effective at promoting independence.

To do so, the focus was a combination of process change while creating a system-wide mentality shift to ‘enablement-first’. At the same time, a plan was created to tactically invest in services to ensure consistent capacity and maximum efficacy.

3 Progression and next steps for adults with learning disabilities

Case review workshops identified that there was a **significant opportunity to better support and actively progress the independence of adults with learning disabilities.** Multi-disciplinary team reviews of cases of adults with learning disabilities and transitions cases showed that a significant proportion of individuals could benefit from a progression service.

New ways of working were created to support individuals with a tailored approach, enabling them to become more independent in regard to specific needs domains. This was combined with a new structured approach to resident led reviews, often resulting in setting and accommodation changes.

Empowering Lewisham

ENABLERS OF THE CHANGE

Business intelligence

‘Empowering Lewisham’ was a landmark programme in the Council’s Business Intelligence approach, particularly in how it brought operational data to key decision-makers. In addition to creating sustainable dashboards across operational teams, key operational colleagues were upskilled to build and adapt their own reports, and to use the intelligence to understand, interrogate and build an evidence-based narrative around resident outcomes and service performance.

Financial rigour

‘Empowering Lewisham’ gave significant focus to ensuring a comprehensive understanding of the link between operational performance and the total adult social care spend in Lewisham. A previous disconnect between operational systems and financial reporting made live visibility of expected outturn challenging. A new finance tool shows how and where cost is being introduced and leaving the system, which supports strategic financial and operational planning.

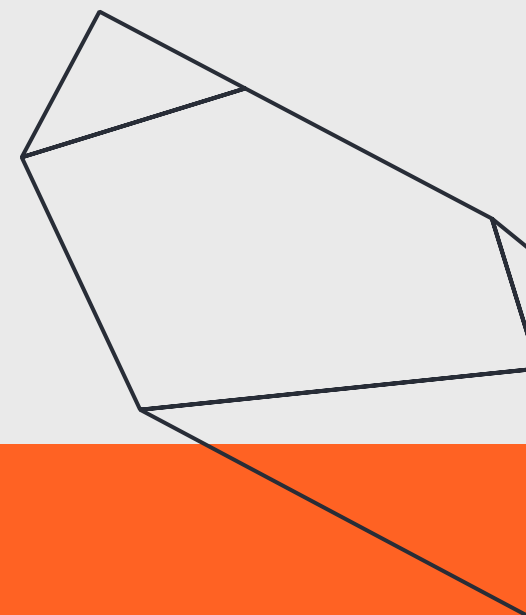
Leadership development

In parallel with operational improvement, ‘Empowering Lewisham’ looked to understand and improve the alignment of system and service leaders behind consistent priorities. There was a significant number of change and improvement initiatives in progress in Lewisham. The programme brought the responsible leads together to consolidate the work behind agreed aligned principles, actively tackle overlaps, and look for opportunities to share learnings and resource to maximise impact.



We can now constantly review and improve performance far more regularly. We can see a single, shared view of what is happening and the impact that is having, so that as a team we can make the right decisions for our residents.”

LEWISHAM COUNCIL



Empowering Lewisham

CREATING LASTING IMPACT

The programme allowed the service to better navigate system complexity as well as several wider market issues, enabling them to

- coalesce around a vision of how to support residents more effectively
- gather evidence about what was stopping this from happening, and
- better navigate how to adapt to the rapidly changing environment around them.

Lewisham Council has now embedded a more evidence-based approach to service delivery and change, and the focus on achieving the most ideal outcomes for individuals is driving continuous improvement across the service.

This was supported by a structured programme of learning and development for staff, including several colleagues who were seconded, full time, to form a joint programme team. By upskilling these individuals, the council has been able to take core learnings from 'Empowering Lewisham' and apply these across other change programmes. They have also been able to establish consistent governance which ensures alignment in approach and continuous improvement.



Empowering Lewisham

CREATING LASTING IMPACT

The Empowering Lewisham programme has, and continues to achieve, better outcomes for residents. It is also on track to deliver more than £8.6m in annualised financial benefit.

Specific results to date include:

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52 fewer people require long-term residential or nursing support and roughly 4,000 fewer hours of commissioned care are required each week, as residents are living more independently.

315 additional people are benefitting from the enablement service each year, and the number of individuals being delayed leaving the service has reduced by half.

Less than half the number of residents go straight to a long-term placement (down to 20% from 40%) on discharge from an acute hospital.

12 individuals with learning disabilities have moved to more independent settings and a further 19 are living more independently in their existing setting, because staff have been working with them in a tailored way to maximise what they are able to do for themselves.

In September 2023, several case reviews were repeated to understand the impact on delivering ideal outcomes. At the start of the programme, 58% of older adults reviewed could have had a better outcome. This had dropped to 36%.

Empowering Lewisham

CREATING LASTING IMPACT

Residents are benefitting because of these new ways of working.

Mrs. A is a 77-year-old female who came to the peer supported discharge discussion (PSSD – a MDT discussion on the acute hospital ward) having been identified by a senior social worker as a case that would benefit from a review.

Prior to admission she was living in a nursing home. Mrs A lacks capacity and struggles to eat, taking 1.5 hours to feed at hospital. Her husband is very supportive and expressed that he would be keen for this wife to return home.

The risks presented were the challenges in feeding, lack of capacity, and a low-grade pressure sore. Mrs A can hear and understand, however, is unable to engage. Mr A is very supportive, spending much of the day on the ward and is currently feeding her in hospital.

The initial plan was for Mrs A to return to placement.

The new Peer Supported Discharge Discussion (PSDD) approach led to a discussion regarding the strengths of Mrs A. Mrs A can hear and understand, and sleeps through the night.

She displayed no challenging behaviour and has a supportive husband and son.

It was recommended that occupational therapy complete a functional assessment to identify what, if any equipment might be required should Mrs A return home. In addition to a referral to district nursing, speech and language therapy support was recommended to support Mrs A in feeding. The home library service (talking books) was also suggested.

The PSDD recommended having a conversation with the husband to identify areas to support him and ensure financial understanding. A referral to Carers Lewisham was suggested in addition to respite via a sitting support service.

As a result, Mrs A was discharged home, with Mr A providing most of the care.



Mrs A's welfare had improved considerably. Barring unexpected emergencies, we expect this situation to continue for the long term."

MR A

Newton has been working as the strategic partner of one London Borough since 2019.

A multi-phase approach is improving outcomes for the residents of the city and achieving sustainable financial savings (£17m recurrent, annualised benefits) for the Council.



Supporting change that delivers measurable benefits across the whole authority

FINANCIAL BRIDGING

Our work with the Council initiated a major change to join-up finance and performance data. Supported by an integrated data warehouse, our Automated Data Management System links over £40m of annual care expenditure to service users and packages, enabling the Council to link the ledger to operational data from the care management system to explain variance. This is now driving a finance reform programme to improve financial management across every council directorate.

DIGITAL INNOVATION

We brought innovation in digital approaches to our work across the Council by empowering staff with the best possible data, tools and systems, measuring the success at every level. As part of this, we worked closely with digital specialists within the Council to build bespoke digital tools.

CHANGE CAPABILITY BUILDING

Our programmes have been the catalyst for establishing the Council's corporate approach to continuous improvement.

We have embedded organisational change capability across adult's and children's services, finance, performance, digital, communications, HR and continuous improvement.

For example, we designed and delivered a suite of training to enable the Council's staff in children's services to design, implement and sustain impactful change. This means that they are now able to both drive continuous improvement in children's services beyond the initial scope.

CULTURE CHANGE AND LEADERSHIP DEVELOPMENT

Our programmes with the Council are founded in cultural and behavioural change and supported by leadership development. For example, from the very start of the adult's programme, we ensured that the Council's own teams were at the centre of designing any new ways of working. We worked alongside 200 staff, across 14 teams to design, train and implement improvements to their ways of working - there were nearly 300 hours of improvement meetings. These ensured all staff were aligned on the same goals and the steps to achieve them.

Throughout the programme, we conducted surveys to understand how they felt:

- **72% of staff now feel they have the skills required to successfully carry out their work to the required standards** (compared to 14% before).
- **70% of staff now believe the leadership team are aligned on a shared vision and share the same top priorities for the organisation** (compared to 24% before).
- **62% of frontline staff agree that there is a clear vision and priorities, compared to 20% in 2019.**
- **55% more staff feel confident to measure change, and the number of staff who feel supported to change has tripled.**

“

I love the clarity of this (strengths-based framework)! It's very helpful to have such accessible principles to underpin the work, and I really like the 'strength in' language

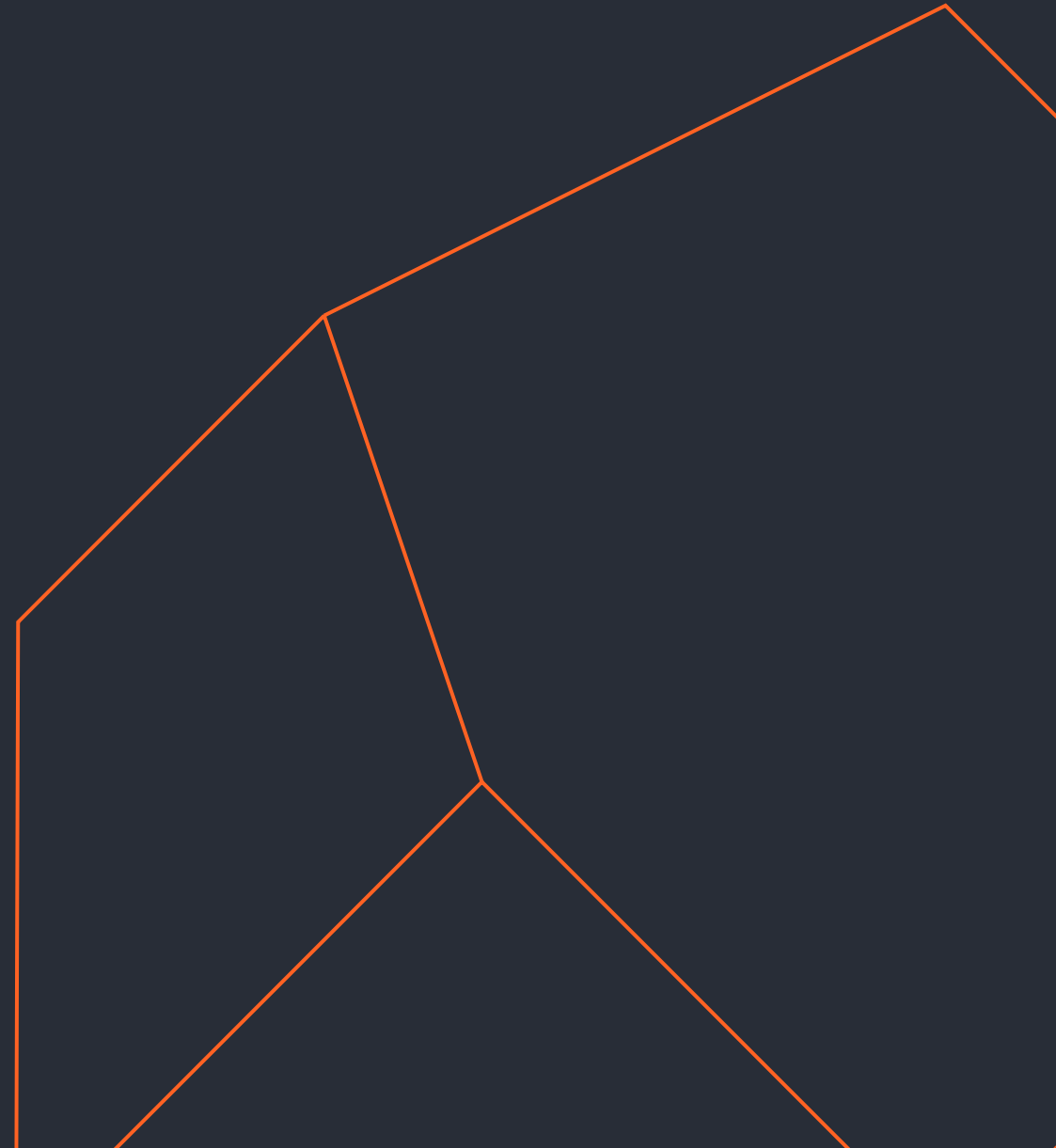
RESEARCH IN PRACTICE

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“

The programme has given me an awareness to further explore avenues and strategies to promote independence, as well as enabling the service users to be heard to voice to their preferences and goals!

SOCIAL CARE ASSESSOR



The approach – Working with Adult Social Care

Colleagues from both Newton and the Council worked together, in the midst of the COVID-19 pandemic, on an ambitious change programme for adult social care.

The programme is based on an agreed set of key principles:

- To involve the frontline teams throughout the process.
- To have full political buy in and leadership, with strong support from the Leader and Lead member.
- To create new ways of working that are better for residents and staff.
- To use the power of data and evidence to design the changes and thoroughly test them.
- That any changes will be sustainable and help to deliver the vision for the service.
- A desire to keep learning and improving to build 21st century adult health and social care.



We focussed on three areas of work:

1. Increasing the effectiveness and capacity of the reablement service, which is a critical service for achieving independence.
2. Taking a consistent strengths-based approach to practice to achieve the best outcomes for residents.
3. Modernising the learning disability service and offering residents more opportunity for progression.

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To design and deliver innovative new structures, processes and ways of working that work for all staff and residents, the programme team brought together a diverse team with different skills and experience. We drew on data expertise from finance and performance, commissioning and frontline service delivery teams. In some cases, external providers and residents with lived experience were brought into shape the programme. Some of the Council's social care staff were also seconded into the change team on a full-time basis to ensure we had real frontline experience. Having this diverse team design and test new ways of working gave us the confidence that our solutions worked, and it built a wide-ranging team of champions, who could support their colleagues to adopt new ways of working.



Results

The programme has, and continues to achieve, better outcomes for residents. it has also resulted in over £8m in annualised savings. Not only has this delivered for social care, but this work has been the catalyst for establishing the corporate approach to continuous improvement across the borough.

OLDER ADULTS

5000

hours of unnecessary
homecare avoided per
year

72%

more reablement
referrals for residents as
they leave hospital

60

placements avoided per
year

34%

more resident achieving
their most independent
outcome each week and
improved consistency
between teams

536

new discoveries of
community services
since the digital tool
was introduced

REABLEMENT

48%

reduction in length of stay on the service



Doubled the number of service finishers

37%

fewer hours of homecare required per week as a result of more effective interventions

WORKING AGE ADULTS



Developing a different day opportunities model which residents are now being consulted about

18

residents moving to a more independent setting (with more being picked up all the time by the newly formed 'progression' teams)

THE IMPACT ON STAFF

72%

of staff now feel they have the skills required to successfully carry out their work to the required standards (compared to 14% before)

70%

of staff now believe the leadership team are aligned on a shared vision and share the same top priorities for the organisation (compared to 24% before)

62%

of frontline staff agree that there is a clear vision and priorities, compared to 20% in 2019

55%

more staff feel confident to measure change, and the number of staff who feel supported to change has tripled.

We also worked in strategic partnership with the Council on a programme that covered the entirety of their children's services budget, including SEND.

The focus of the programme was on delivering brilliant outcomes for the children and young people living in the borough, avoiding escalations where possible, and reducing the timeframes to achieve good outcomes.



The challenge

Before our diagnostic and implementation programme, the Council's children's services department was already in a position of strength, delivering great outcomes for the children and young people of the borough. As a directorate, they wanted to build on this to further improve the outcomes they deliver for children, young people and their families.

During the diagnostic, we developed a deep understanding of the service. 121 staff participated in a workshops to review 199 cases; over 30k lines of data were also studied, while 42 staff participated in live studies and time surveys and 86 participants responded to environment surveys.

Overall, we identified opportunities for:

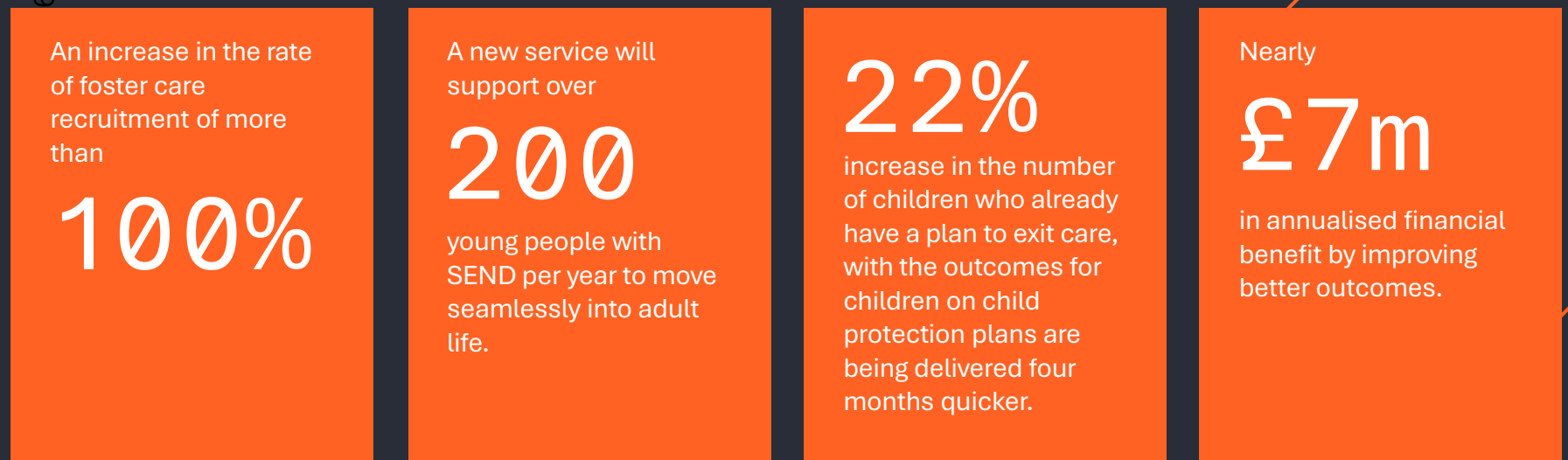
- 10 - 15 fewer children per year needing a second child protection plan by providing the right step down and prevention processes.
- 40 - 60 fewer children a year needing a second child in need plan by collaboratively working with families in a framework to further improve outcomes and strength building in families.
- 9 - 16 more children to be placed with internal foster families per year.
- 10 - 20 more young people with severe/complex learning needs within specialist provision gaining employment per year.
- 30 - 50 more young people between 18 and 25 years old with severe/complex learning needs within specialist provision being more independent.
- Outcomes for children and families to be achieved two months earlier through improving practice
- 7 - 13 fewer children each year coming into care by proving the right support at the right time.

Across all the workstreams, we built a comprehensive benefits tracking mechanism, so the service can see the impact on their bottom line. To sustain the improvements, we also focused on building digital, operational and financial capability, to empower teams to support children and families with the best possible data, tools and systems, measuring the success at every level.

Above and beyond the financial benefits, the Newton team supported the Children's Service in a range of activities to provide additional improvement to the service which will ultimately benefit children and residents across the borough. For example, we built a Power BI dashboard using historic health visiting data to support the management of switching case management systems in that service. This dashboard was used 5,000 times over three months after its launch, enabling continuity of support for many families in the borough.

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RESULTS INCLUDE:



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Document is Confidential

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