

# Overview and Scrutiny Management Committee

Thursday, 14th November, 2019  
at 5.30 pm

## PLEASE NOTE TIME OF MEETING

Council Chamber - Civic Centre

This meeting is open to the public

### Members

Councillor S Galton (Chair)  
Councillor Fuller (Vice-Chair)  
Councillor Bell  
Councillor Bunday  
Councillor Cooper  
Councillor Fitzhenry  
Councillor Harwood  
Councillor Whitbread  
Councillor Windle

### Appointed Members

Catherine Hobbs, Roman Catholic Church  
Rob Sanders, Church of England  
Nicola Brown, Primary Parent Governor  
Francis Otieno, Primary Parent Governor  
Claire Rogers, Secondary Parent Governor

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## PUBLIC INFORMATION

### Overview and Scrutiny Management Committee

The Overview and Scrutiny Management Committee holds the Executive to account, exercises the call-in process, and sets and monitors standards for scrutiny. It formulates a programme of scrutiny inquiries and appoints Scrutiny Panels to undertake them. Members of the Executive cannot serve on this Committee.

#### **Role of Overview and Scrutiny**

Overview and Scrutiny includes the following three functions:

- Holding the Executive to account by questioning and evaluating the Executive's actions, both before and after decisions taken.
- Developing and reviewing Council policies, including the Policy Framework and Budget Strategy.
- Making reports and recommendations on any aspect of Council business and other matters that affect the City and its citizens.

Overview and Scrutiny can ask the Executive to reconsider a decision, but they do not have the power to change the decision themselves.

**Use of Social Media:-** The Council supports the video or audio recording of meetings open to the public, for either live or subsequent broadcast. However, if, in the Chair's opinion, a person filming or recording a meeting or taking photographs is interrupting proceedings or causing a disturbance, under the Council's Standing Orders the person can be ordered to stop their activity, or to leave the meeting. By entering the meeting room you are consenting to being recorded and to the use of those images and recordings for broadcasting and or/training purposes. The meeting may be recorded by the press or members of the public.

Any person or organisation filming, recording or broadcasting any meeting of the Council is responsible for any claims or other liability resulting from them doing so.

Details of the Council's Guidance on the recording of meetings is available on the Council's website.

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

- Southampton has strong and sustainable economic growth
- Children and young people get a good start in life
- People in Southampton live safe, healthy, independent lives
- Southampton is an attractive modern City, where people are proud to live and work

#### **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.

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

**Mobile Telephones:-** Please switch your mobile telephones to silent whilst in the meeting

#### **Fire Procedure:-**

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

**Access is available for disabled people.** Please contact the Democratic Support Officer who will help to make any necessary arrangements.

#### **Dates of Meetings: Municipal Year 2019/20**

<b>2019</b>	<b>2020</b>
13 June	16 January
11 July	13 February
15 August	12 March
12 September	16 April
10 October	
14 November	
12 December	

## **CONDUCT OF MEETING**

### **TERMS OF REFERENCE**

The general role and terms of reference for the Overview and Scrutiny Management Committee, together with those for all Scrutiny Panels, are set out in Part 2 (Article 6) of the Council's Constitution, and their particular roles are set out in Part 4 (Overview and Scrutiny Procedure Rules – paragraph 5) of the Constitution.

### **RULES OF PROCEDURE**

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

### **BUSINESS TO BE DISCUSSED**

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

### **QUORUM**

The minimum number of appointed Members required to be in attendance to hold the meeting is 4.

## **DISCLOSURE OF INTERESTS**

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

### **DISCLOSABLE PECUNIARY INTERESTS**

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

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

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

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

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

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

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

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

- a) the total nominal value of the securities exceeds £25,000 or one hundredth of the total issued share capital of that body, or
- b) if the share capital of that body is of more than one class, the total nominal value of the shares of any one class in which you / your spouse etc has a beneficial interest that exceeds one hundredth of the total issued share capital of that class.

## **Other Interests**

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

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

Any public authority or body exercising functions of a public nature

Any body directed to charitable purposes

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

## **Principles of Decision Making**

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

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

In exercising discretion, the decision maker must:

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

## **AGENDA**

### **1 APOLOGIES AND CHANGES IN PANEL MEMBERSHIP (IF ANY)**

To note any changes in membership of the Panel made in accordance with Council Procedure Rule 4.3.

### **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.

NOTE: Members are reminded that, where applicable, they must complete the appropriate form recording details of any such interests and hand it to the Democratic Support Officer.

### **3 DECLARATIONS OF SCRUTINY INTEREST**

Members are invited to declare any prior participation in any decision taken by a Committee, Sub-Committee, or Panel of the Council on the agenda and being scrutinised at this meeting.

### **4 DECLARATION OF PARTY POLITICAL WHIP**

Members are invited to declare the application of any party political whip on any matter on the agenda and being scrutinised at this meeting.

### **5 STATEMENT FROM THE CHAIR**

### **6 MINUTES OF THE PREVIOUS MEETING (INCLUDING MATTERS ARISING)**

(Pages 1 - 2)

To approve and sign as a correct record the Minutes of the meetings held on 10<sup>th</sup> October, 2019 and to deal with any matters arising, attached.

### **7 UPDATE ON THE PERFORMANCE AND TRANSITION OF SERVICES FROM CAPITA TO THE CITY COUNCIL** (Pages 3 - 28)

Report of the Cabinet Member for Resources providing the Committee with an overview of the transition of services from Capita to the Council.

### **8 MEDIUM TERM FINANCIAL STRATEGY UPDATE 2019/20 TO 2022/23**

(Pages 29 - 130)

Report of the Chair of the Overview and Scrutiny Management Committee recommending that the Committee discuss the appended Cabinet report updating the Medium Term Financial Strategy, and highlight any matters which Members feel should be taken into account by the Executive before they finalise their budget

proposals that will be recommended to Council on 26 February 2020.

**9 MONITORING SCRUTINY RECOMMENDATIONS TO THE EXECUTIVE**

(Pages 131 - 136)

Report of the Director, Legal and Governance enabling the Overview and Scrutiny Management Committee to monitor and track progress on recommendations made to the Executive at previous meetings.

**10 EXCLUSION OF THE PRESS AND PUBLIC - CONFIDENTIAL 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 confidential appendix to the following Item.

The confidential appendix 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 - Information relating to the financial or business affairs of any particular person (including the Authority holding that information). If the content of this report were to be treated as a public document it would reveal information that is both commercially sensitive and detrimental to the business affairs of the Council.

**11 FORWARD PLAN** (Pages 137 - 142)

Report of the Director, Legal and Governance enabling the Overview and Scrutiny Management Committee to examine the content of the Forward Plan and to discuss issues of interest or concern with the Executive.

Wednesday, 6 November 2019

Director of Legal and Governance

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SOUTHAMPTON CITY COUNCIL  
OVERVIEW AND SCRUTINY MANAGEMENT COMMITTEE  
MINUTES OF THE MEETING HELD ON 10 OCTOBER 2019

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Present: Councillors S Galton (Chair), Fuller (Vice-Chair), Bell, Bunday, Cooper, Fitzhenry, Harwood and Windle

Apologies: Councillors Whitbread and Catherine Hobbs

Also in attendance: Cabinet Member for Homes and Culture – Councillor Kaur  
Cabinet Member for Resources – Councillor Barnes-Andrews

16. **APOLOGIES AND CHANGES IN PANEL MEMBERSHIP (IF ANY)**

The Committee noted the apologies of Councillor Whitbread.

17. **MINUTES OF THE PREVIOUS MEETING (INCLUDING MATTERS ARISING)**

**RESOLVED** that the minutes of the 15<sup>th</sup> August, 2019 Overview and Scrutiny Management Committee be approved and signed as a correct record.

18. **GREEN CITY CHARTER UPDATE**

The Committee considered the report of the Cabinet Member for Green City and Environment detailing an update on the adoption and implementation of the Green City Charter and subsequent development of the Green City Delivery Plan.

The Cabinet Member for Green City and Environment, Councillor Leggett, was present and with the consent of the Chair addressed the meeting. Representations were also received from Extinction Rebellion, Airport Expansion Opposition, the Green Party and other interested parties.

**RESOLVED** that:

- i) whilst recognising that Planning was a regulatory function of the Council, consideration was given to the Council holding a meeting of the Planning and Rights of Way Panel to establish the Council's position with regards to an application to expand Southampton airport;
- ii) a record of the actions taken by signatory organisations that contribute to the objectives within the Green City Charter was developed and updated on a regular basis;
- iii) the Council ensured that the development of policies that were designed to influence planning applications and decisions relating to air quality was incorporated into Council policy as soon as possible, and that the target implementation date was provided to the Committee;
- iv) the Cabinet Member clarified the position with regards to whether the 2030 carbon neutral target applied to the Council or the City and what was meant by carbon neutral; and

- v) the Committee were provided with an explanation of the proposed Social Value Procurement Policy and Framework and how this differed from the existing ethical and sustainable procurement policies.

19. **ESTATE REGENERATION**

The Committee considered the report of the Cabinet Member for Homes and Culture detailing an update on the current approach for Estate Regeneration within the programme to deliver 1000 Council homes.

The Cabinet Member for Homes and Culture, Councillor Kaur, was present and with the consent of the Chair addressed the meeting. Representations were also received from SO18 Big Local, residents from Townhill Park, the Head Teacher and Governor of Townhill Park Infant School and interested parties.

**RESOLVED** that:

- i) a briefing note was circulated to the Committee outlining the actions being developed by the Council in response to the difficulties being experienced by Townhill Park Infant School due to the estate regeneration programme; and
- ii) elected Members were kept apprised of developments and estate regeneration proposals were circulated to ward councillors when they were presented to residents forums.

20. **FORWARD PLAN**

**THE FUTURE OF ST. MARY'S LEISURE CENTRE**

The Committee considered and noted the report of the Cabinet Member for Homes and Culture. Councillor Kaur, Cabinet Member for Homes and Culture, was present and with the consent of the Chair addressed the meeting.

**COMMERCIAL PROPERTY INVESTMENT FUND**

The Committee considered and noted the report of the Cabinet Member for Resources. Councillor Barnes-Andrews, Cabinet Member for Resources, was present and with the consent of the Chair addressed the meeting.

# Agenda Item 7

<b>DECISION-MAKER:</b>	OVERVIEW AND SCRUTINY MANAGEMENT COMMITTEE		
<b>SUBJECT:</b>	UPDATE ON THE PERFORMANCE AND TRANSITION OF SERVICES FROM CAPITA TO THE COUNCIL		
<b>DATE OF DECISION:</b>	14 NOVEMBER 2019		
<b>REPORT OF:</b>	CABINET MEMBER FOR RESOURCES		
<b><u>CONTACT DETAILS</u></b>			
<b>AUTHOR:</b>	<b>Name:</b>	<b>James Strachan</b>	<b>Tel:</b> 023 8083 3436
	<b>E-mail:</b>	<b>James.strachan@southampton.gov.uk</b>	
<b>Director</b>	<b>Name:</b>	<b>Mike Harris</b>	<b>Tel:</b> 023 8083 2882
	<b>E-mail:</b>	<b>Mike.harris@southampton.gov.uk</b>	

<b>STATEMENT OF CONFIDENTIALITY</b>
Not required. While previous reports on this topic were kept confidential during the life of the insourcing project due to legal, commercial and HR considerations, following the closure of the project there is no reason to withhold the majority of relevant information.
<b>BRIEF SUMMARY</b>
In July 2018 the City Council decided to terminate the Strategic Services Partnership (SSP) contract with Capita. A project (codenamed 'Sage') was established to prepare for five services and associated staff to be transferred from Capita to the Council. Capita established a parallel project ('STEP') to execute the transfer.
The Overview and Scrutiny Management Committee (OSMC) was kept updated during the life of the projects and indicated its wish to receive reports in future about the performance of services following transfer back to the Council.
Both projects concluded successfully on 23 July 2019 with the transfer of over 240 staff and nearly 200 contracts to the Council. This was achieved within the financial mandate authorised by the Council. All risks were successfully managed and the projects were properly closed down in accordance with project management methodology.
Services have been performing satisfactorily since transfer and the expected benefits are starting to be realised. A number of services have already gone through a restructuring process as a result of which vacant posts are being filled. The Council is moving forward with a different but positive relationship with Capita.
This report provides OSMC with a summary of the transfer and the first very early set of performance data. Only two full months of data are available at the time of writing and it is therefore too early to draw any significant conclusions. It will be necessary to provide the Committee with a fuller update in early 2020, perhaps at financial year-end.
OSMC should note that this report presents only the Council's perspective on Projects Sage and STEP. It is not a joint report and Capita has not been consulted on its contents.
<b>RECOMMENDATIONS:</b>

	(i)	That the Committee notes this report.
<b>REASONS FOR REPORT RECOMMENDATIONS</b>		
1.	OSMC has requested a performance report from the services transferring back from Capita.	
<b>ALTERNATIVE OPTIONS CONSIDERED AND REJECTED</b>		
2.	Not to provide a performance report. Rejected due to OSMC having made clear its wish to receive such a report.	
<b>DETAIL (Including consultation carried out)</b>		
	<b>Transfer preparations and implementation</b>	
3.	In the months and weeks prior to transfer day there were intensive preparations by both Capita and the Council, jointly and individually. This included nearly 200 contracts being transferred to the Council, IT systems that were shared with other Capita clients being successfully disaggregated, and the Council undertaking all the necessary HR preparations to welcome a huge influx of new staff on a single day.	
4.	<p>On 23 July 2019, more than 240 staff associated with the services listed below were transferred under the TUPE regulations to the Council's employment:</p> <ul style="list-style-type: none"> <li>• Revenues and Benefits</li> <li>• IT</li> <li>• HR services including Payroll, Health and Safety and Learning and Development</li> <li>• Procurement</li> <li>• Customer Services</li> </ul> <p>Staff associated with the Print service did not transfer because the Council had notified Capita that it had alternative provision in place and would not continue with that service. Three Capita staff were not agreed by the Council to be eligible for transfer.</p> <p>In the months preceding transfer, staff turnover within Capita was normal in most services. Procurement was the only service that experienced a material loss of staff, with some vacancies being filled on an interim basis by Capita and others held open to be filled after transfer.</p>	
5.	<p>Smooth transfer was the principal objective for both Capita and the Council and this was jointly achieved. All staff agreed by the Council to be eligible for TUPE transfer reported for work on 23 July. No technical difficulties were encountered on the day, with all IT systems continuing to perform as normal. 23 July was payroll day for Council staff and all staff, including foster carers, were successfully paid.</p> <p>The Service Director for Digital and Business Operations wrote to Capita management on the day of transfer to thank them for their efforts and those of their staff. Other events were held to thank project staff.</p>	
6.	A series of welcome sessions were hosted by the Mayor, the Leader and the Chief Executive, with 76% of transferring staff attending. Staff from relevant SCC services also attended these events as well as team-building sessions arranged by the project team.	

7.	Following transfer a number of inaccuracies were discovered in the personnel data supplied by Capita. Resolving this was made more difficult because it had been agreed that historic personnel data would not be delivered by Capita until the end of August. (In the event the final files were not delivered by Capita until October.)
8.	At the time of writing this report only two of nearly 200 contracts remain to be resolved. Discussions with these suppliers, both of which are under the wider Capita umbrella, continue.
9.	The Sage project was formally closed on 12 September by the Project Board, with all actions completed or handed over to business as usual. A Project Closure report including principal lessons learned is attached as Appendix 1. This report has been slightly edited to remove some information not suitable for publication, such as invoicing status and potential for TUPE settlements.
10.	The business case for termination was based on the savings to be achieved by no longer having to fund the costs of Capita's margin and management team, and by service efficiencies such as elimination of duplicate contracts and removal of vacant posts that were not required. Budgets for the five transferring services were agreed by the Council Management Team during the project, forecasting higher savings than had been originally committed in the Full Council decision. These budgets are now embedded in the proposed budget for 2020/21 and longer-term financial plans.
11.	New financial benefits, not included in the original business case or agreed service budgets, are also becoming apparent. For example, the Council has been able to procure new IT equipment at a lower price than it would have paid were the contract still in place. It is expected that further such benefits will be realised as the services bed in.
	<b>Service restructuring</b>
12.	It was always seen as necessary to restructure the returning and existing services after transfer. There were a number of reasons for this: <ul style="list-style-type: none"> <li>• The contract had been in place for 12 years and the structure, culture and organisational practice of the two organisations had grown apart. A restructure enables the services and individual roles to be realigned to achieve future strategic goals.</li> <li>• Capita had deployed some transferred staff (particularly IT) on other contracts, and used non-transferred staff on the Southampton contract, which meant that there were areas of both under- and over-capacity within the staff cohort transferring to the Council.</li> <li>• There were areas of duplication between Capita teams and Council teams, and some gaps.</li> <li>• The business case for termination and transfer assumed the removal of some posts, mainly vacancies.</li> </ul>
13.	The Support Services Restructure started on 29 July and finished on 12 September. Staff from the Revenues and Benefits, Procurement and Customer Services teams were in scope. A management restructure of IT Services started the following week.
14.	<b>IT:</b> A management structure has been confirmed. This is designed to realign the most senior management roles into a cohesive management team with

	<p>equitable roles and responsibilities. This is the first step towards forming a team to lead the transformation of the service in line with the aim and aspiration to become a customer-focused, proactive service that can respond to colleagues' needs.</p> <p>One appointment has been made and the other two posts will be advertised. The new interim Head of IT, who starts with the Council in January, will take forward any wider change in the usual consultative manner.</p>
15.	<p><b>Revenues and Benefits:</b> Following completion of the consultation it has been confirmed that all permanent staff are natural successors to posts within the new structure. There are two vacancies. As described in paragraph 17, these vacancies are part of a wider ring fence.</p>
16.	<p><b>Procurement:</b> The total establishment for the Supplier Management team (which includes Procurement) is 33 posts. 18 appointments have been made and took effect as of 1<sup>st</sup> November. A further seven Procurement roles are now out to advertisement, including three Business Partner roles. The team has significant capacity pressures, particularly in Procurement and Buying Services, and the recruitment is being progressed as swiftly as possible.</p>
17.	<p><b>Customer Services:</b> Following completion of the consultation 41 employees have been successfully appointed to new roles. Vacancies are part of a wider ring-fence and although some are now out for advertisement, a number are being held back for other imminent restructures so any staff at risk get a first opportunity to apply. In total there are 22.5 full time equivalent vacancies across Customer Services. This level of vacant posts is having some impact on performance. Every effort is being made to recruit to fill these as quickly possible. In addition, an external appointment has been made to the post of Service Manager for Customer Operations, who is due to start in November.</p>
18.	<p><b>HR Services:</b> as the transferred staff have been heavily involved in supporting all other restructures and the roll-out of Business World, the review of the overall service was deferred and the proposed start date of 24 October 2019 planned. This will follow the standard 45-day consultation with an end of consultation date of 7 December 2019 for January 2020 implementation.</p>
	<p><b>Service performance since transfer</b></p>
19.	<p>Members are reminded that the original report to Council and subsequent reports to OSMC stated that there was likely to be a dip in performance following transfer, due to the disruption of changing management, restructuring and recruitment to fill any vacant posts. It remains the case that, given the extent of change within these services over recent months, management does not expect full 'business as usual' status to be achieved across the board until the end of the financial year.</p>
20.	<p>However, the performance position remains stable overall. This is a tribute to to the hard work and resilience of all staff during a period of significant change. A summary of initial performance data is attached as Appendix 2. A further report after more time has elapsed, allowing for a fuller interpretation of post-transfer performance, can be brought to OSMC at a future date.</p>
21.	<p>Service managers are now considering whether the performance indicators on which they report, many of which are inherited from the Capita contract, should be changed and made more relevant. For example, in IT most of the</p>

	KPIs and PIs that have been measured hitherto do little to demonstrate the quality or customer satisfaction of service. It is intended to move away from these to indicators that are customer-oriented, that will give a view of how the customer is experiencing the service; for example measuring end-to-end times to receive equipment once it has been ordered.
	<b>Continuing relationship with Capita</b>
22.	The final Capita invoices due under the SSP contract have been processed for payment, all sums due to the Council have been paid by Capita, and all Capita's claims for contract 'breakage' costs have been fully and finally settled. There are therefore no contractual or commercial 'loose ends'.
23.	The Council continues to have an important relationship with Capita following the end of the SSP contract. For example, the company is a supplier of major systems used by the Council, including in Education and Revenues and Benefits.
24.	Capita continues to have a presence in Southampton and still occupies the third floor of One Guildhall Square. This lease is due to expire in July 2020 but may be extended.
<b>RESOURCE IMPLICATIONS</b>	
<b><u>Capital/Revenue</u></b>	
25.	No new implications beyond the business case authorised by Council in July 2018 as yet identified. Recurring gross savings of £1.49M by the end of four years continue to be expected. We continue to monitor the overall financial position, including any resultant costs, as the services bed in.
26.	The project budget was accurately forecast and has been fully used.
<b><u>Property/Other</u></b>	
27.	As noted above, Capita currently only has a lease for the third floor of One Guildhall Square until July 2020. This position will be reviewed before that date.
<b>LEGAL IMPLICATIONS</b>	
<b><u>Statutory power to undertake proposals in the report:</u></b>	
28.	S1 Localism Act 2011, S111 Local Government Act 1972
<b><u>Other Legal Implications:</u></b>	
29.	The staff who were not deemed by the Council to be eligible for TUPE transfer have time-limited rights to bring claims before the Employment Tribunal challenging the position. It is not appropriate to comment on the potential for this in a public report.
<b>RISK MANAGEMENT IMPLICATIONS</b>	
30.	All project risks were successfully managed.
<b>POLICY FRAMEWORK IMPLICATIONS</b>	
31.	N/A

<b>KEY DECISION?</b>	<b>No</b>	
<b>WARDS/COMMUNITIES AFFECTED:</b>	none	
<u>SUPPORTING DOCUMENTATION</u>		
<b>Appendices</b>		
1.	Project Closure report	
2.	Performance report	
<b>Documents In Members' Rooms</b>		
1.	None	
<b>Equality Impact Assessment</b>		
<b>Do the implications/subject of the report require an Equality and Safety Impact Assessment (ESIA) to be carried out.</b>		<b>No</b>
<b>Data Protection Impact Assessment</b>		
<b>Do the implications/subject of the report require a Data Protection Impact Assessment (DPIA) to be carried out.</b>		<b>No</b>
<b>Other Background Documents</b>		
<b>Other Background documents available for inspection at:</b>		
<b>Title of Background Paper(s)</b>	<b>Relevant Paragraph of the Access to Information Procedure Rules / Schedule 12A allowing document to be Exempt/Confidential (if applicable)</b>	
1.		
2.		

# Project Closure Report

## Document Reference Information

Project	Sage
Project Sponsor	James Strachan
Programme Manager	Helen Seward
Version Number	v0.4 post closure board update
Version Date	22 <sup>nd</sup> October 2019

### **Document Purpose**

This project report is used during project closure to review how the project performed against the approved Project Approach Document (in this case Project Initiation Document) and Business Case (in this case Council report). It also supports the:

- exploration of how well the project has met its objectives and delivered against the expected benefits.
- communication of performance information (against budget, quality and time targets).
- management of assets (handing off of any assets acquired for the project).
- procurement closure – closing of any contracts.
- financial closure - confirming payment of all monies to and by SCC.
- handover of delivered products and services to users including all information necessary for ongoing use and maintenance (contractual and operational).

## 1. Executive Summary

On 18<sup>th</sup> July 2018 the Council decided to terminate its strategic partnership with Capita. The Southampton Strategic Partnership (SSP) delivered a number of services to the council; HR and payroll (including L&D and H&S), Revenues and Benefits, Customer Services, IT, Print and Procurement. The Sage project was set up to ensure the successful and smooth transfer of services and staff from Capita to SCC by midnight on the 22<sup>nd</sup> July 2019 into 23<sup>rd</sup> July 2019, whilst maintaining service standards and also ensuring readiness of the council to receive those services. It also included preparation and planning for the future of those returned services. The Sage project commenced some time prior to a formal decision being made and initially was managed by a small group of senior managers in the council and the business case for the project was made in a confidential Council report. The financial details of that report remain confidential as they are commercially sensitive. The Sage project ends with the successful transfer of staff and services, completion of all relevant third-party arrangements and handover of any outstanding or overlapping activities. The Southampton Termination Exit Plan (STEP) project ran alongside Sage for the delivery period i.e. from the council notifying Capita of the decision to terminate the SSP contract in July 2018 to the contract ending in July 2019. The STEP project was the Capita project to ensure the smooth transfer of services to SCC. The STEP project was subject to its own governance and a separate closedown process.

Although described as two projects, they were closely linked and the PID that was produced for the STEP project including the project objectives, was used as the basis for the Sage project. The STEP governance and workstreams operated jointly between Capita and SCC although Capita were ultimately responsible for the STEP project. Governance of the STEP project was separate to Sage with Capita being responsible for the STEP project and reporting back to the wider Capita organisation. Sage governance was purely internal to SCC as it also involved the council's readiness and preparations for transfer and post-transfer activities which were not appropriate to share with Capita.

## 2. Project Objectives

Objective	Demonstrate how this has been achieved
Ensure the continuity of the Services or equivalent services under any transfer of the whole or part of the Services (STEP)	Service transfer took place on 23 <sup>rd</sup> July 2019. All services transferred successfully and achieved continuity of service with no problems. There was no need to invoke business continuity plans (BCPs) that had been prepared by the Council.
Set out a well-planned and controlled process to allow the smooth transfer of the provision of Services from the Provider (Capita) back to the City Council (SCC), including people, systems, knowledge and documentation (STEP)	<p>PID and project Gantt agreed and baselined. Change control process followed, reporting by STEP workstreams was generally adhered to.</p> <p><b>People</b> – All staff eligible for transfer under TUPE regulations transferred to SCC on 23<sup>rd</sup> July and attended work. This totalled approx. 240 individuals. The council contested posts where relevant and this resulted in only three contested posts i.e. these posts did not transfer to the council.</p> <p><b>Systems</b> – Although systems transferred successfully to the council, the process was not always well planned or controlled as detailed information required from Capita was often delivered late and of a poor quality. All IT systems operated successfully on day 1 after transfer.</p>

	<p><b>Knowledge</b> – The majority of knowledge was transferred to the council as required; however often it was not provided in a timely fashion. Knowledge held by members of staff has transferred with them. As expected, some instances of a lack of data or poor-quality data have arisen post-transfer for example in customer services where data was deleted, and late delivery of the personnel files for transferring employees.</p> <p><b>Documentation</b></p> <p><b>Programme/Governance Documentation</b> – PID and Gantt in place throughout STEP project. Sage project plans in place although these could have been updated more regularly. Sage highlight report produced for board meetings.</p> <p><b>Project working documents</b> – These documents were provided for all workstreams, while at times they may not have always been provided before meetings had taken place, this did not cause project delays. All information provided by Capita was uploaded to the STEP SharePoint site.</p> <p><b>Contractual documents</b> – Such documents were not provided by Capita to SCC on some occasions; when provided they were not always provided in a timely fashion. Not all contractual documents were consistent across different workstreams. This led to SCC having to make late decisions and in some cases an inability for SCC to make informed business decisions. Contractual documentation for new contracts was completed appropriately including exemption requests where required.</p> <p><b>Operational documents</b> – This varied across workstreams. Some workstreams were provided access to operational documents at an early stage of the project. Other workstreams had difficulty in obtaining required documents and in some cases this affected service planning activities. Structure charts and job descriptions are examples of documents which were provided with varying quality. They were not provided in a standardised manner and often led to confusion amongst those working on the project. It became apparent post-transfer that information provided by Capita managers to the Capita project was not always passed on to SCC – this caused frustration for all involved post-transfer.</p> <p><b>People Documents</b> – This area of documentation was the weakest of all aspect of the projects. Although Capita met deadlines for providing information it was often incomplete or inaccurate and numerous clarifications would be required. This took time and delayed accurate budget planning. There were also disagreements regarding the impact of GDPR on the transfer and provision of employee information. In addition, the lack of transparency regarding when information was changed by Capita also caused problems within the project.</p>
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### 3. Project Benefits

<b>Expected Benefit</b>	<b>Achieved (Y/ N / partial)</b>	<b>Demonstrate how this has been achieved / why this has not been achieved / any ongoing activity</b>
Financial savings (as per confidential Council report)	Y – early indications are that financial benefits will be achieved	Transferring services budget envelopes were finalised in May 2019 and are on track to meet expected savings. However, there were still some unknowns at that point, particularly in relation to employee costs, restructures and third-party contracts. Actual financial benefits cannot be measured until end of financial year; however, currently the budget is on track for all service areas.
Opportunity to integrate services that are currently split and to create a coherent and complementary set of services to support the council and its customers	Partial – some services have restructured to achieve this.	Services have transferred back to SCC successfully and plans are in place or are in development to restructure services in the immediate term. As is to be expected this has caused some disruption although performance remains stable. Since completion of this project a senior management resources review has commenced and once this is concluded, the transferred services will be able to review and implement their further service development plans. The resources review was not known about at the start of this project.

<b>Success Criteria</b>	<b>Achieved (Y/ N / partial)</b>	<b>Demonstrate how this has been achieved / why this has not been achieved / any ongoing activity</b>
Services are able to deliver on day 1 post transfer	Y	All services operated successfully on day 1.
Adequate staff levels arrive for work on day 1	Y	100% of staff eligible for TUPE transfer reported for work on transfer day and no business continuity plans were required to be put into action.
Teams have working areas which they can access	Y	ID passes issued to transferring staff at welcome events on day 1 (old passes continued to operate until new ones collected). Some limited issues with access for those with additional access rights but these were addressed promptly. Alternative arrangements in place for those with planned absence on day 1.
Equipment required to carry out roles is available.	Y	Service delivery on transfer day was not disrupted and no POs or P1s were reported. All equipment transferred as expected.
Individuals have adequate access to IT systems for their role.	Y	No reports of systems issues on day 1 or linked to Sage. All IT systems operational on day 1.
Customers are able to contact the council in an unaltered way.	Y	<ul style="list-style-type: none"> <li>Capita call answering KPI = 60% of calls in 200 seconds, in the first week we achieved 66.4% in 200 seconds</li> <li>The average time to answer a call over the first five days was 230 seconds (3 minutes 50 seconds); for last July (2018) the</li> </ul>

		<p>whole month performance was 213 (3 minutes 33 seconds). Average time to answer a call in August 2019 was 190 seconds.</p> <ul style="list-style-type: none"> <li>The Capita email processing KPI was 90% in one business day, in the first week we achieved 98% and in August it was 92.95%.</li> </ul>
TUPE transfer is carried out lawfully	Y	244 employees transferred to SCC under TUPE. Only 3 posts were contested and did not transfer to SCC.
Staff are welcomed to SCC and are supported to transfer employer	Y	<p>Induction information was publicised on staff stuff and via the welcome leaflet and emails.</p> <p>76% of transferring employees attended a welcome event (target was 75%)</p>

#### 4. Time and Quality Performance

Target	Performance Summary
Project delivered on time	<p>Services transferred on the planned date of 23<sup>rd</sup> July 2019.</p> <p>Out of 190 third party arrangements held by Capita on behalf of SCC, as at transfer date only six contract novations/ assignments were outstanding.</p> <p>As of the end of September, all contract novations were complete.</p> <p>At the time of writing there are two new contracts which are outstanding and still in negotiation (Printing for R&amp;B and HR, DBAs).</p>
Project delivered to required quality	<p>The requirement to achieve service continuity was achieved and it can be considered that the project delivered the required quality.</p> <p>However, there are remaining outstanding issues to be resolved based on the quality of information provided by Capita throughout the project. The quality of information provided by Capita under the STEP project was often of poor quality, lacking in detail or missing. This had an impact on the Sage project and planning for the return of services. Personnel files for transferred employees were due by the end of August but they were not fully delivered by Capita until October. This caused frustration amongst affected staff as well as making management of HR issues extremely difficult.</p>

## 5. Budget Performance

	Planned spend	Actual spend to 30/09/19	Forecast	Variance
Total project budget	£950,000	£481,699	£950,000	£0

At the time of writing the project budget is forecast to be within the planned spend of 950k. The above forecast includes all relevant outstanding payments to Capita and continuation of some resource costs in HR and Finance to support the transferred services with their restructures, resource costs in IT and customer services, as well as funding to enable co-location of teams. It should be noted that there may be costs in relation to TUPE settlements which are unknown, therefore the forecast also includes a small contingency for legal and HR costs. Any equal pay claims from transferred employees can contractually be recovered from Capita.

## 6. Procurement status

The Sage programme included a significant element of work in relation to the 190 contracts that Capita held on behalf of SCC. Some of these contracts have been novated to SCC, some have required new contracts and others were in fact already held in SCC's name. The table below summarises the position to date for each of the 6 operational service workstream areas.

Procurement contract	Contract Status (22/10/19)
HR and Payroll workstream	12 out of 13 contracts complete New contract with CIC for printing is outstanding (NB one contract to combine HR and R&B printing, below).
Revenue & Benefits workstream	12 out of 13 contracts complete New contract with CIC for printing is outstanding (NB one contract to combine HR and R&B printing, above).
IT workstream	119 out of 120 contracts complete New contract for DBA (Data Base Administration) is outstanding.
Customer Services workstream	9 out of 9 contracts complete No contracts outstanding.
Procurement workstream	4 out of 4 contracts complete No contracts outstanding.
General Management workstream	20 out of 20 contracts complete No contracts outstanding.

The ongoing processes for contract management will be managed by the Supplier Management team.

## 7. Asset Management

The project included the identification of shared and exclusive assets across the SSP. Detailed spreadsheets were provided by Capita per operational service workstream and the vast majority were exclusive assets i.e. already owned by SCC. This included IT equipment, office furniture and some systems. All assets that were shared have been addressed either through new contracts or ceasing use. There is a plan in place for IT to remove any further SCC-owned equipment from floor 3 of One Guildhall Square.

## 8. Handover of products and services to BAU

<b>What deliverable/change has been handed over? How was this done?</b> <b>STEP</b>	<b>Handover completed by and when</b>
HR and Payroll (including L&D and H&S)	23/07/19 service transferred to SCC
IT Service	23/07/19 service transferred to SCC
Customer Services	23/07/19 service transferred to SCC
Revenues & Benefits	23/07/19 service transferred to SCC
Procurement Service	23/07/19 service transferred to SCC
Print Service	Service did not transfer to SCC as alternative service provision in place

<b>What deliverable/change has been handed over? How was this done?</b> <b>SAGE</b>	<b>Handover completed by and when</b>
My Learning coursebooker upgrade	Handover to Head of Service OD as of August 2019
Medigold – equipment and wifi	Handed over to Head of Service HR Operations by end of September
Renewals process and plan for IT	Handover to Service Lead IT and Digital as of August 2019
IT disposal procurement of new contract	Handover to Service Lead IT and Digital as of August 2019
IT cabling provider procurement	Handover to Service Lead IT and Digital as of August 2019
MFD replacements / follow me printing	Handover to Service Lead IT and Digital as of August 2019
Outstanding case work for HR relating to TUPE transfer	Handover as of SAGE board 3 <sup>rd</sup> August, HR have additional resources in place to support
Business Continuity Plan (BCP) follow up actions and spin off actions	Final session 12th September handed over to service areas as BAU activity
Property services system review	Handover to Service Lead Capital Assets as of August 2019

Accommodation moves, co-location of services post transfer	Handover to SWOW project as of August 2019
Restructures	Handover as of SAGE board 3 <sup>rd</sup> August, HR have additional resources in place to support
3 <sup>rd</sup> party contract information and exemption forms	Handover to Supplier Management team as of August 2019
Comms room and MPLS licence	Handover to Supplier Management team and Service Lead IT and Digital as of end of September 2019

It should be noted that Capita wrote to SCC on 16 July 2019 with an SSP handover Summary document giving Capita's perspective on the STEP project. Generally, SCC do not agree with the content of that document.

## 9. Approvals

Project closure approved by and date	
<b>Programme Manager</b>	v0.3 Helen Saward 12/09/19
<b>Project Sponsor</b>	v0.3 James Strachan 12/09/19
<b>Reporting to</b>	Sage Board and CMT Programme Board

### Supporting documents;

Appendix 1 – Lessons learnt summary

## Appendix 1 Lessons learnt summary

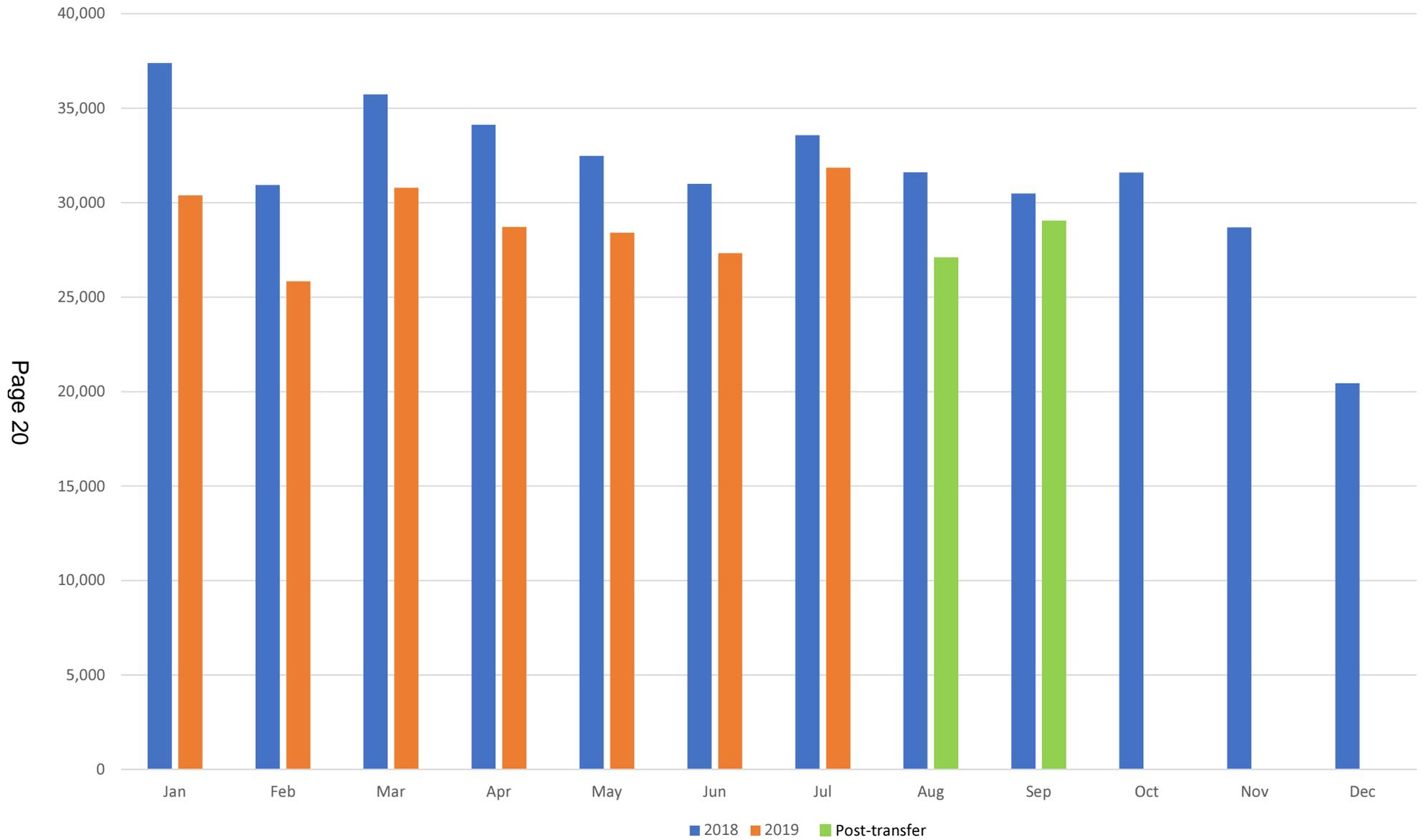
Is this something to repeat or avoid?	Area	Sage/STEP	Description
Avoid	Engagement/Change	Sage	It was difficult to engage with impacted staff who were managing services when they themselves were impacted by the project
Avoid	Resourcing	Sage	Returning services budget envelopes were provided too late and this hampered business planning activities and restructure planning.
Avoid	Resourcing	Sage	Workloads for workstream leads were unmanageable.
Repeat	Governance	Sage/STEP	STEP and SAGE highlight reporting was completed regularly.
Avoid	Resourcing	Sage	There were multiple single points of dependency across the project team
Repeat	Resourcing	Sage	All SME's were aware of their role and the importance of the project - this was an open door which made delivery easier.
Repeat	Governance	Sage/STEP	Defined project, with defined scope which was delivered. Baseline PID, Baseline Gantt. Effective change control and governance.
Repeat	Resourcing	Sage	Recognition of the importance of project budget. Appreciation of the need to adequately resource a project to achieve successful delivery
Avoid	Governance	Sage/STEP	Mismatch between SCC experience of contract vs Capita messaging to staff - assumed Capita had reflected SCC views about success of contract internally
Repeat	Engagement/Change	Sage	Good mix with formal board meeting and more informal delivery group. Helped engagement.
Repeat	Governance	STEP	In service areas where there were already good working relationships, it helped move actions forward quicker.
Avoid	Engagement/Change	Sage	Lack of participation in L&D offer, for example, due to short timelines, competing pressures, conflicting dynamics. Purpose not clear enough, info not passed on quickly enough.

# 'Sage' service performance since transfer

November 2019

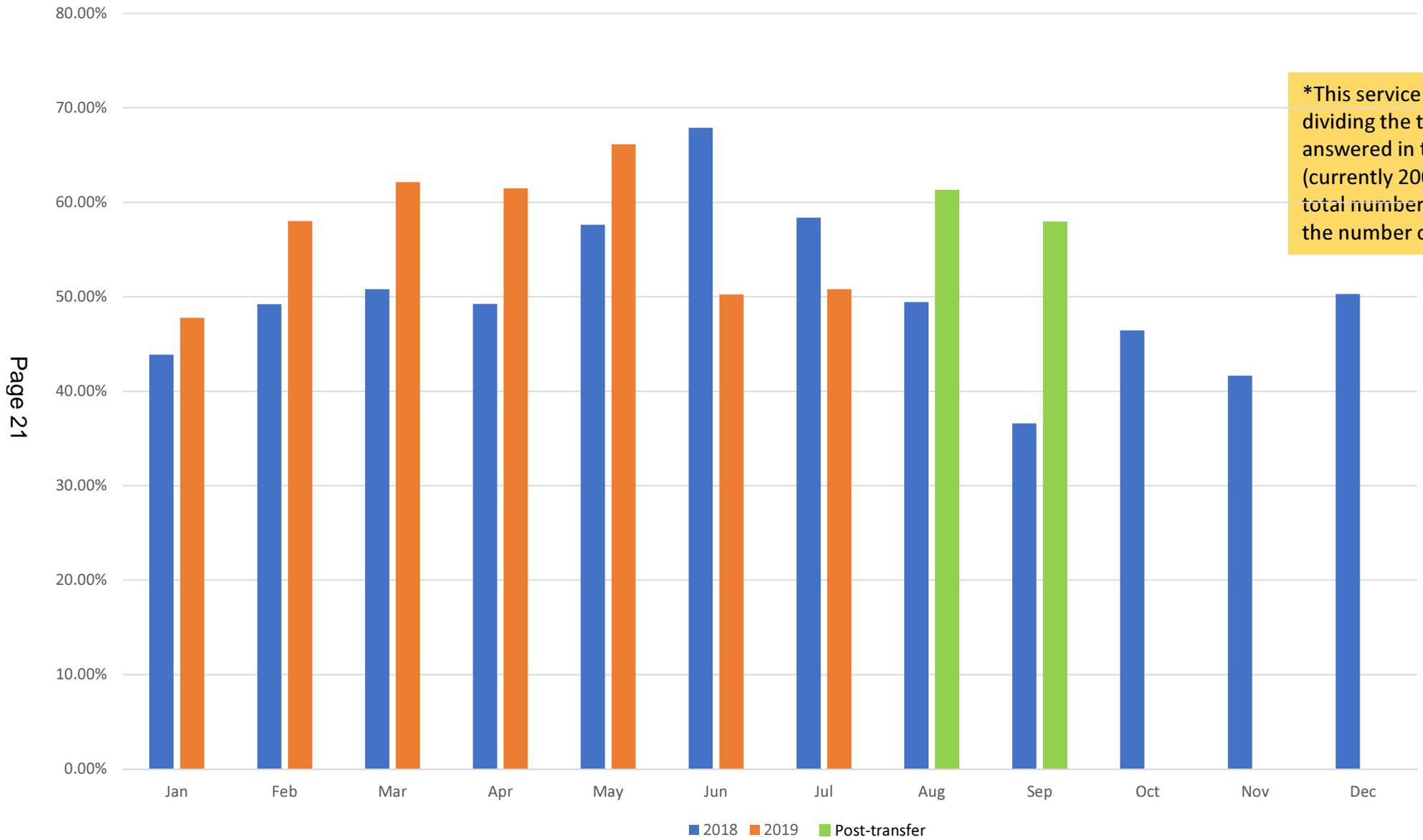
# Customer Service

Contact centre calls offered



# Customer Service

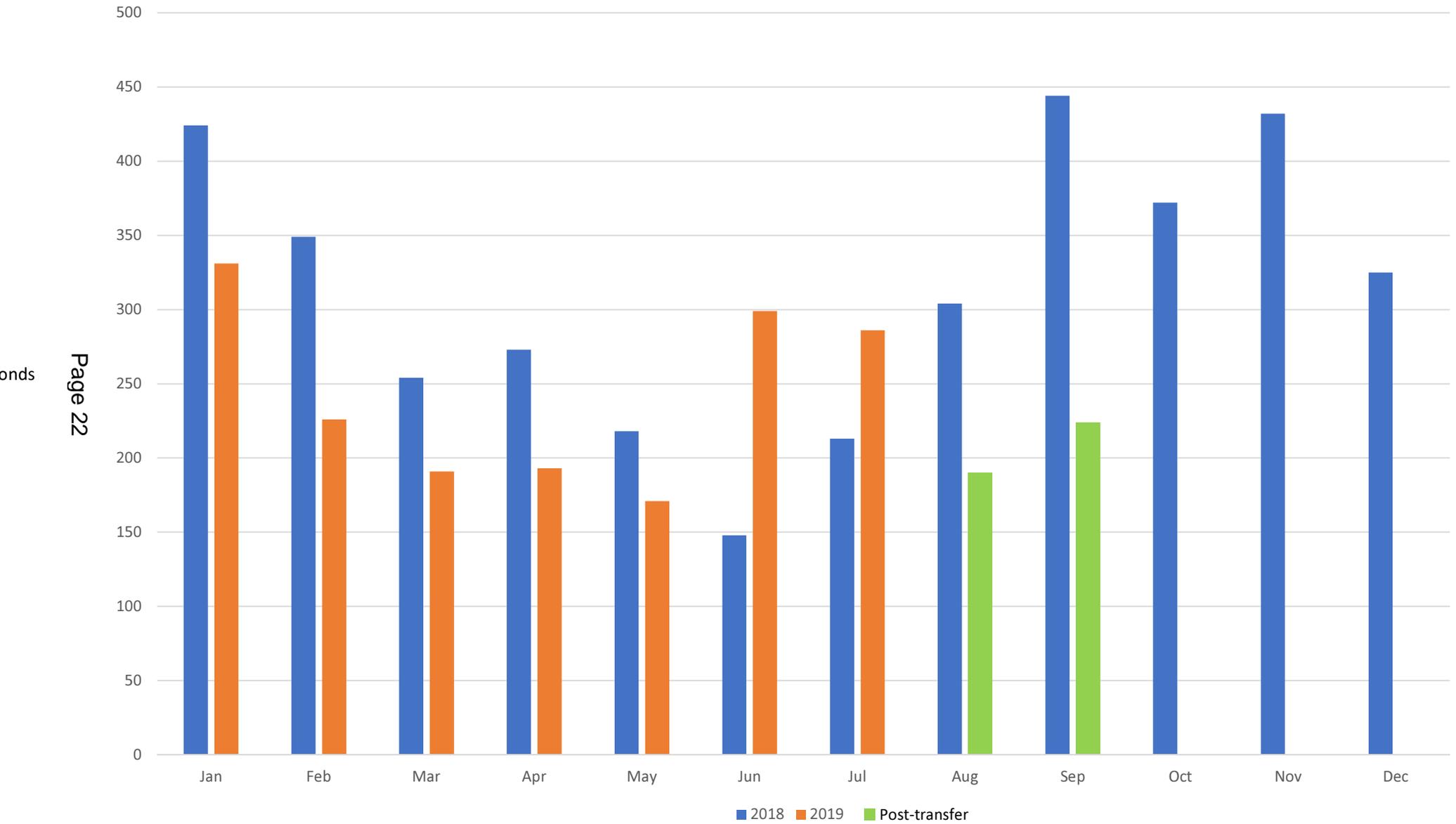
Calls meeting service level\*



\*This service level is calculated by dividing the total number of calls answered in the acceptable time (currently 200 seconds) by the total number of calls answered plus the number of calls abandoned.

# Customer Service

Average speed of answer



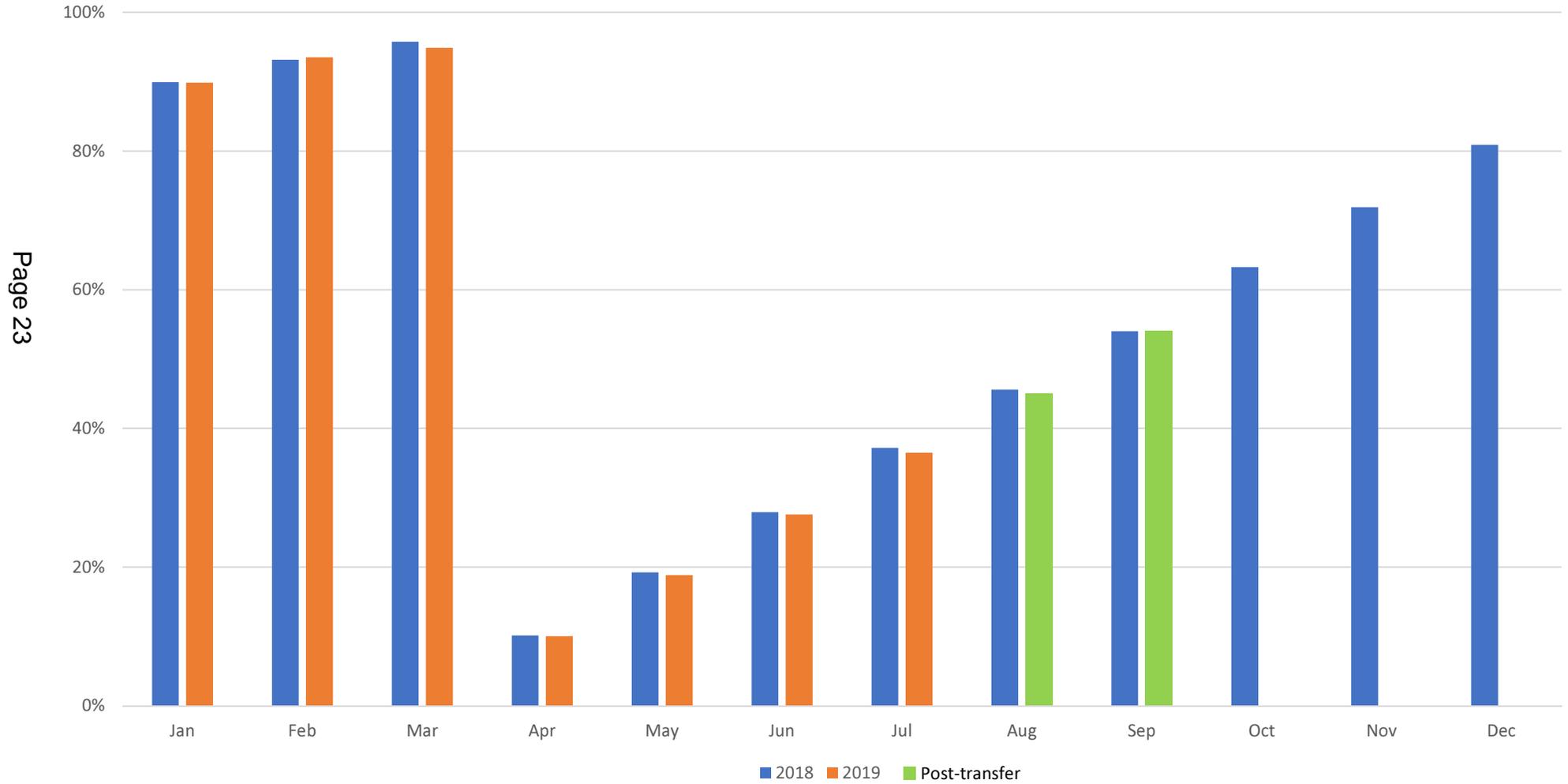
onds

Page 22

■ 2018 ■ 2019 ■ Post-transfer

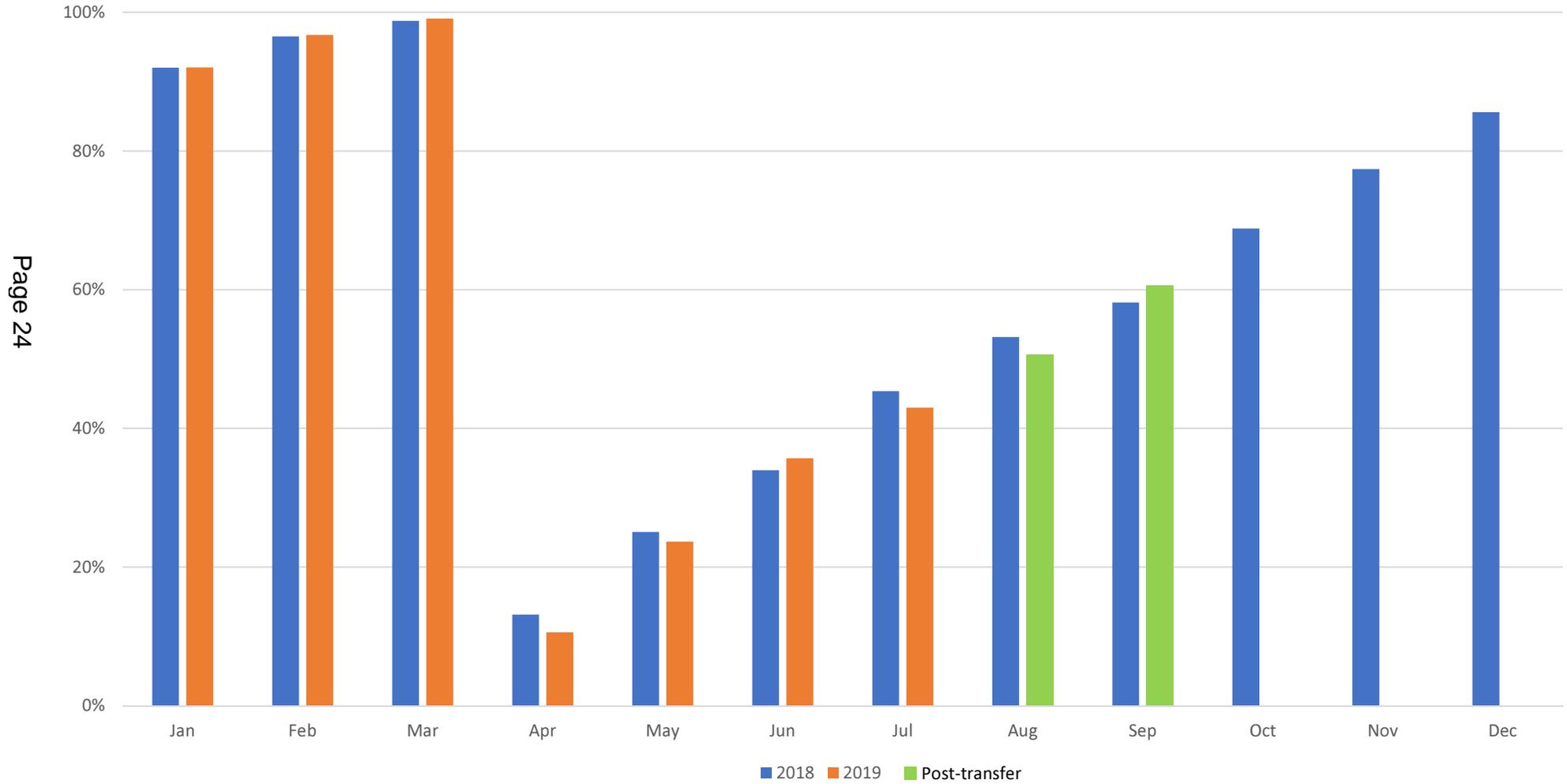
# Revenues and Benefits

Council Tax collection

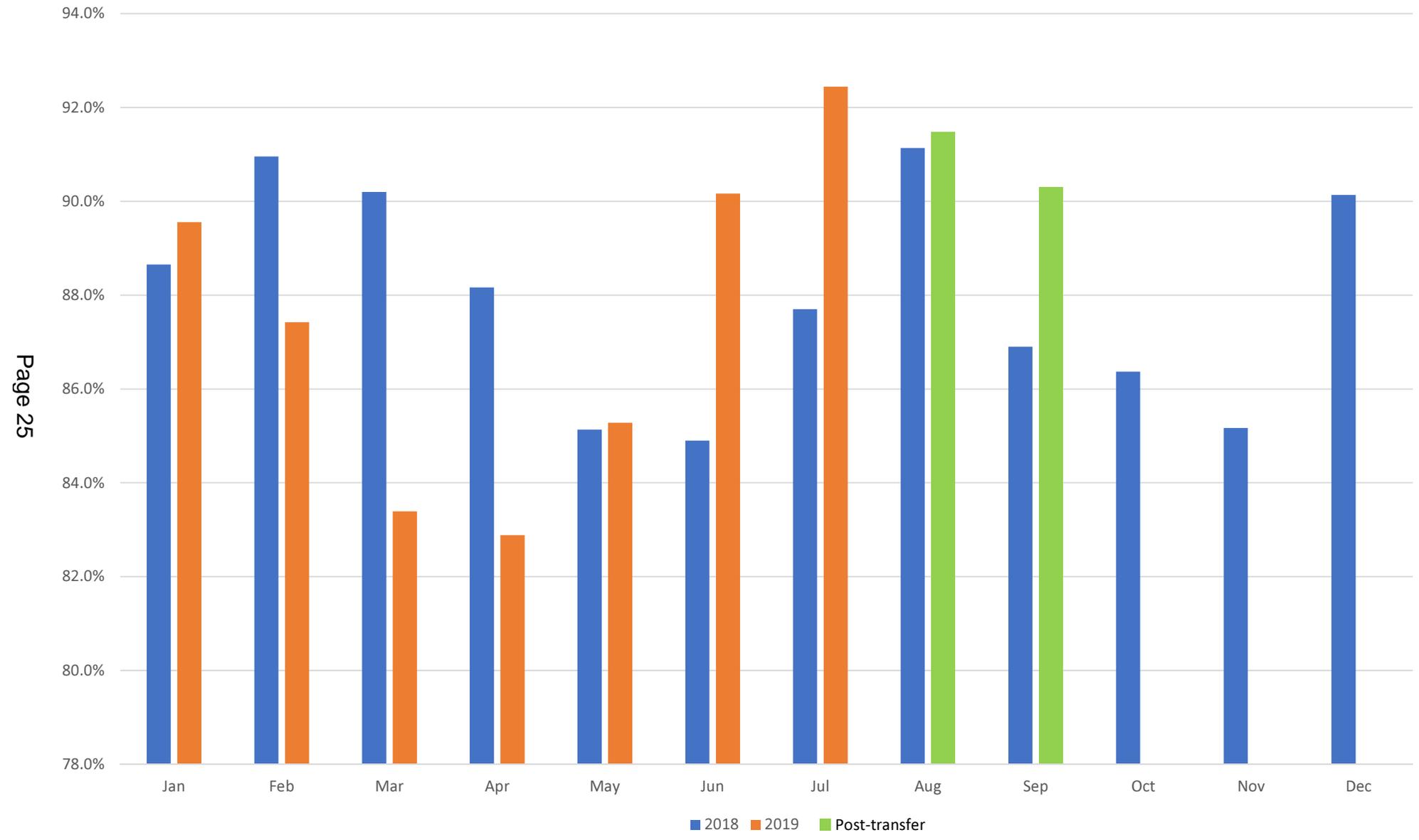


# Revenues and Benefits

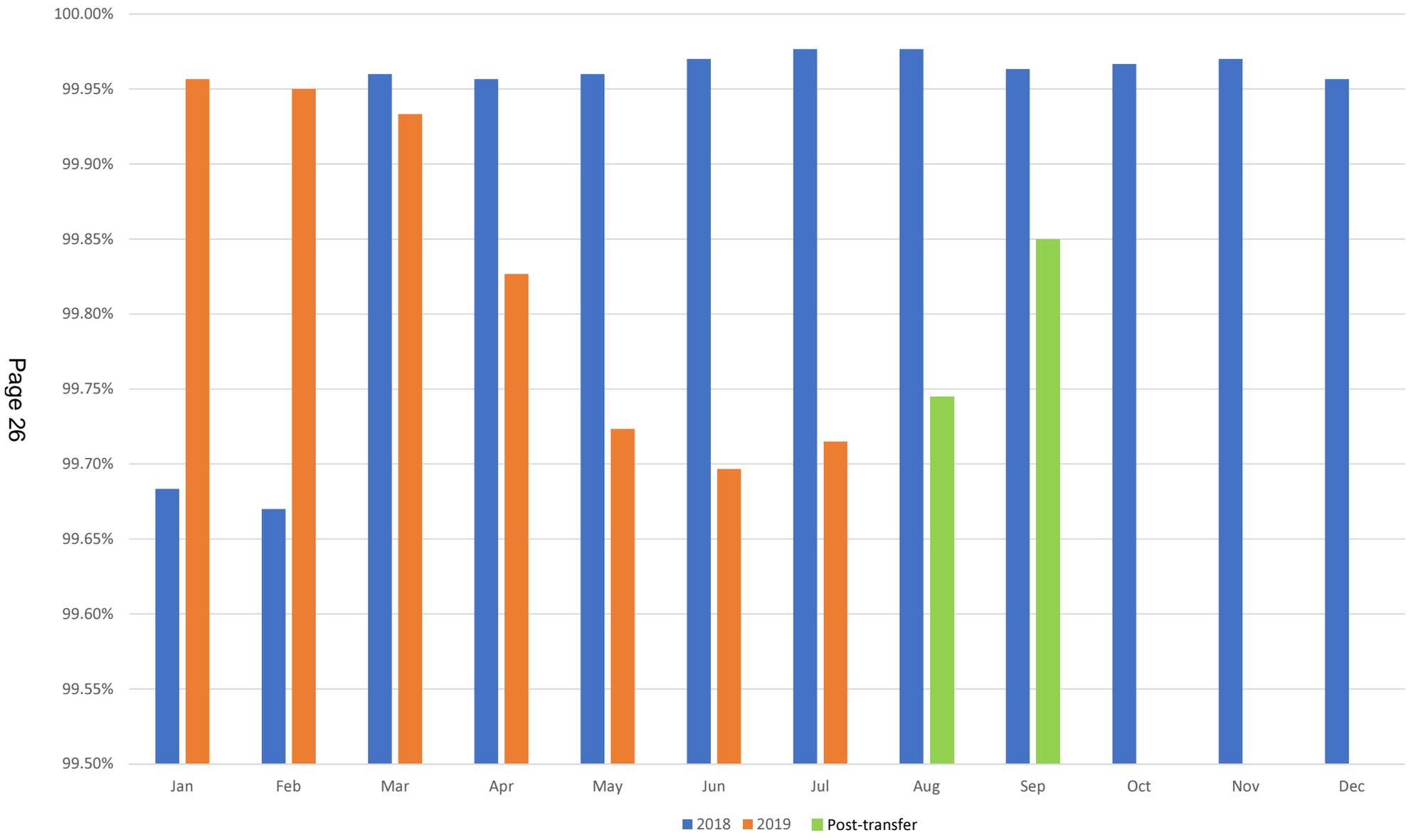
Business Rates collection



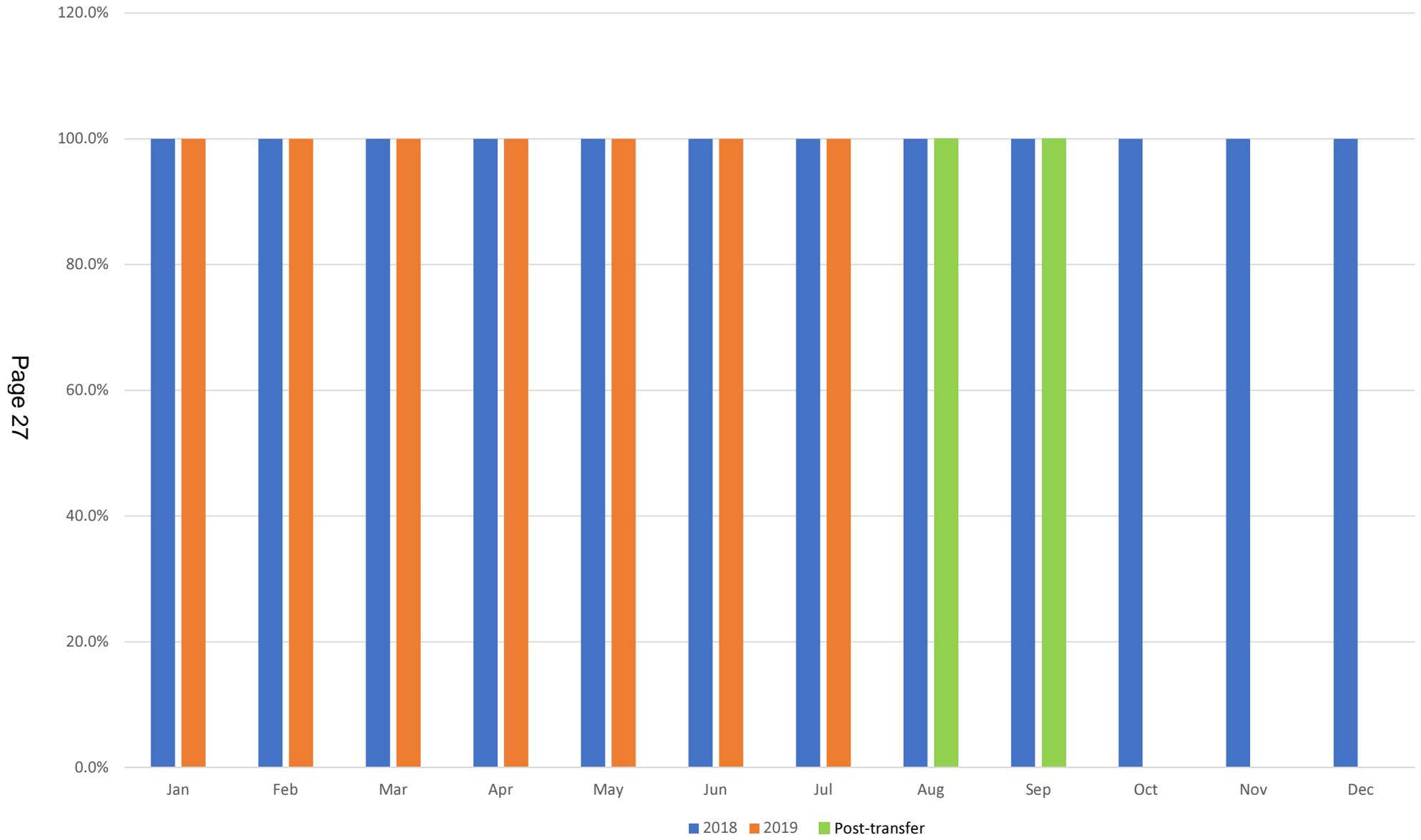
### IT calls answered in 30 seconds



### Class A website availability



### MS Outlook/Exchange availability



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# Agenda Item 8

<b>DECISION-MAKER:</b>	OVERVIEW AND SCRUTINY MANAGEMENT COMMITTEE		
<b>SUBJECT:</b>	MEDIUM TERM FINANCIAL STRATEGY UPDATE 2019/20 TO 2022/23		
<b>DATE OF DECISION:</b>	14 NOVEMBER 2019		
<b>REPORT OF:</b>	CHAIR OF THE OVERVIEW AND SCRUTINY MANAGEMENT COMMITTEE		
<b><u>CONTACT DETAILS</u></b>			
<b>AUTHOR:</b>	<b>Name:</b>	<b>Mark Pirnie</b>	<b>Tel:</b> <b>023 8083 3886</b>
	<b>E-mail:</b>	<b>Mark.pirnie@southampton.gov.uk</b>	
<b>STATEMENT OF CONFIDENTIALITY</b>			
None			
<b>BRIEF SUMMARY</b>			
<p>At the 15 October 2019 meeting Cabinet approved the attached report and appendices providing an update to the Medium Term Financial Strategy (MTFS) for the period up to 2022/23.</p> <p>The Cabinet report identified that consultation on the draft budget proposals for 2020/21 through to 2022/23 would commence on 16 October 2019. As a key consultee the Overview and Scrutiny Management Committee (OSMC) are invited to use the papers to explore the issues with the decision maker and to highlight any matters which Members feel should be taken into account by the Executive before they finalise their budget proposals that will be recommended to Council on 26 February 2020.</p>			
<b>RECOMMENDATIONS:</b>			
	(i)	That the Committee discuss the appended Cabinet report and associated appendices and highlight any matters which Members feel should be taken into account by the Executive before they finalise their budget proposals that will be recommended to Council on 26 February 2020.	
<b>REASONS FOR REPORT RECOMMENDATIONS</b>			
1.	To enable Members to identify any matters which they feel Cabinet should take into account when reaching a decision.		
<b>ALTERNATIVE OPTIONS CONSIDERED AND REJECTED</b>			
2.	Not applicable.		
<b>DETAIL (Including consultation carried out)</b>			
3.	Council approved a 4 year MTFS in February 2019. At the 15 October 2019 meeting Cabinet approved an update to the strategy. The attached Cabinet report outlines the Executive's draft budget proposals for 2020/21 through to 2022/23 to address the identified budget gap for those years. These proposals will be used as the basis for a conversation and consultation with a range of stakeholders over the coming months.		

4.	The OSMC have the opportunity to discuss the budget proposals outlined within the Cabinet report, and the assumptions upon which they are based, and to provide feedback that will be considered by Cabinet before they finalise the budget proposals that will be recommended to Council on 26 February 2020.
5.	In recognition that a number of the budget proposals outlined in Appendix 5 sit within just two portfolios, the Cabinet Member for Adult Care has been invited to attend the meeting, in addition to the Cabinet Member for Resources, to enable the Committee to discuss the Adult Care proposals with the portfolio holder.
<b>RESOURCE IMPLICATIONS</b>	
<b><u>Capital/Revenue</u></b>	
6.	The details are set out in the Executive decision making report attached as Appendix 1.
<b><u>Property/Other</u></b>	
7.	The details are set out in the Executive decision making report attached as Appendix 1.
<b>LEGAL IMPLICATIONS</b>	
<b><u>Statutory power to undertake proposals in the report:</u></b>	
8.	The details are set out in the Executive decision making report attached as Appendix 1.
9.	The duty to undertake overview and scrutiny is set out in Part 1A Section 9 of the Local Government Act 2000.
<b><u>Other Legal Implications:</u></b>	
10.	The details are set out in the Executive decision making report attached as Appendix 1.
<b>RISK MANAGEMENT IMPLICATIONS</b>	
11.	The details are set out in the Executive decision making report attached as Appendix 1.
<b>POLICY FRAMEWORK IMPLICATIONS</b>	
12.	The details are set out in the Executive decision making report attached as Appendix 1.
<b>KEY DECISION</b>	No
<b>WARDS/COMMUNITIES AFFECTED:</b>	None directly as a result of this report
<b><u>SUPPORTING DOCUMENTATION</u></b>	
<b>Appendices</b>	
1.	Cabinet Report – Medium Term Financial Strategy Update 2019/20 to 2022/23 (15 October 2019 agenda)

2.	General fund budget rebasing details	
3.	Adult Social Care budget rebase	
4.	Summary of key funding: Comparison of Spending Round 2019 with current MTFS assumptions	
5.	Savings Proposals	
6.	Investment in Services	
7.	Budget Proposals 2020/21 – Individual Equality and Safety Impact Assessment	
8.	Budget Proposals 2020/21 – Cumulative Equality and Safety Impact Assessment	
<b>Documents In Members' Rooms</b>		
1.	None	
<b>Equality Impact Assessment</b>		
Do the implications/subject of the report require an Equality and Safety Impact Assessments (ESIA) to be carried out?		No
<b>Data Protection Impact Assessment</b>		
Data Protection Impact Assessment Do the implications/subject of the report require a Data Protection Impact Assessment (DPIA) to be carried out?		No
<b>Other Background Documents - Equality Impact Assessment and Other Background documents available for inspection at:</b>		
Title of Background Paper(s)	Relevant Paragraph of the Access to Information Procedure Rules / Schedule 12A allowing document to be Exempt/Confidential (if applicable)	
1.	None	

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# Agenda Item 8

## Appendix 1

<b>DECISION-MAKER:</b>	CABINET			
<b>SUBJECT:</b>	MEDIUM TERM FINANCIAL STRATEGY UPDATE 2019/20 TO 2022/23			
<b>DATE OF DECISION:</b>	15 OCTOBER 2019			
<b>REPORT OF:</b>	CABINET MEMBER FOR RESOURCES			
<b><u>CONTACT DETAILS</u></b>				
<b>AUTHOR:</b>	<b>Name:</b>	Keith Petty Steve Harrison	<b>Tel:</b>	023 8083 3429 023 8083 4351
	<b>E-mail:</b>	<a href="mailto:Keith.Petty@southampton.gov.uk">Keith.Petty@southampton.gov.uk</a> <a href="mailto:Steve.Harrison@southampton.gov.uk">Steve.Harrison@southampton.gov.uk</a>		
<b>Director</b>	<b>Name:</b>	John Harrison	<b>Tel:</b>	023 8083 4897
	<b>E-mail:</b>	<a href="mailto:John.Harrison@southampton.gov.uk">John.Harrison@southampton.gov.uk</a>		

### STATEMENT OF CONFIDENTIALITY

N/A

### BRIEF SUMMARY

This report provides an update on the approved Medium Term Financial Strategy (MTFS) for the period to 2022/23. It provides for significant investment in priority services, does not propose any service reductions and provides support for social care pressures. Overall the strategy reduces the forecast 3 year future financial challenges from nearly £33m to £12m in total. Given the uncertainty of national finances and allocations, the updated strategy only goes up to 2022/23, but the authority continues to plan around a timeline of up to 2025.

The report identifies new pressures and investment needs on the General Fund that have been identified and how it is currently proposed to fund those additional pressures, whilst achieving a balanced budget for 2020/21 and reducing future shortfalls.

The report outlines the next set of the Executive's draft budget proposals for 2020/21 through to 2022/23 to address the budget gap for those years. These will be used as the basis for a conversation and consultation with a range of stakeholders over the coming months.

Analysis on this feedback will be considered by the Cabinet before they finalise their budget proposals that will be recommended to Council on 26th February 2020 when it will set the General Fund and HRA budgets.

The Government has published its Spending Round 2019 and will announce its latest Budget assumptions in the Autumn Statement later in 2019 as well as its provisional finance settlement prior to Christmas. The implications of any announcements made on the Council's position will therefore need to be included in the update to Council in February 2020.

Table 1 identifies the current summary position for the General Fund for the period of the Medium Term Financial Strategy (MTFS), after allowing for the details and proposals included within this report. The table updates the position for recent Government funding announcements and known financial pressures faced by council services.

**Table 1 – General Fund Summary**

	2020/21 £M	2021/22 £M	2022/23 £M
<b>Budget Gap - February 2019</b>	<b>9.5</b>	<b>11.8</b>	<b>11.6</b>
Pressures and Mitigations	6.2	6.2	8.5
Developments/Investment	3.8	4.3	5.9
Savings Proposals	-7.8	-10.3	-11.4
Reduced business rate growth	4.5	4.5	4.5
Spending Round 2019/ Future grant assumptions	-9.9	-7.0	-7.0
Use of reserves	-6.3	-4.8	-4.8
<b>Amended Budget Gap – October 2019</b>	<b>0.0</b>	<b>4.7</b>	<b>7.3</b>

The draft budget is balanced in 2020/21 under these proposals, and there is a reduced budget shortfall in the two subsequent years. Work will continue to reduce the future shortfall of £4.7M and £7.3M identified in the table.

Table 2 below shows the additional capital investment that has been identified.

**Table 2 – Capital Investment Requirements**

	2020/21 £M	2021/22 £M	2022/23 £M	Total £M
<b>Gross Capital Investment</b>	52.5	103.7	87.2	243.4

Total new capital investment of £243.4M (gross) is expected over the three years of these proposals.

Note this total excludes the £200M proposal for a renewed commitment to the commercial property investment fund which is the subject of a separate report to Cabinet and Council.

**RECOMMENDATIONS:**

Cabinet are recommended to:

i)	Note the high level forecast for the General Fund for 2020/21 onwards and subsequent rebasing of budgets, ensuring budgets are on a sound and robust footing.
ii)	Note the pressures which have been included in the forecast which are set out in paragraphs 17 and 18.
iii)	Note the Executive’s initial investment and savings proposals put forward for conversation and consultation in Appendices 3 and 4. Savings amount to a cumulative £29.5M by 2022/23, with a significant contribution from income generating initiatives. New investment under these proposals is estimated at around £14.0M in the revenue budget.
iv)	Note that the Executive’s budget proposals for consultation are based on the assumption that they will recommend a Council Tax increase of 1.99% to Full Council as per paragraph 21.

	v)	To note the implications for the Capital Programme and to approve the additions to the capital programme as detailed in paragraph 26 to 28 and give approval to spend.
	vi)	Note that the Executive's initial savings set out in Appendices 3, with a clear emphasis on ways to generate income as a key part of ensuring a balanced budget.
	vii)	Note the consultation on the Executive's draft budget proposals will commence on 16 <sup>th</sup> October 2019 and note the consultation proposals and methodology set out in paragraph 35.
	viii)	Delegate authority to the Chief Financial Officer (CFO), following consultation with the Cabinet Member for Resources, to do anything necessary to give effect to the proposals contained in this report.

### **REASONS FOR REPORT RECOMMENDATIONS**

1.	This report is submitted for consideration as part of good practice establishing draft budget proposals in advance of the financial year.
2.	The production of a financial forecast and an outline timetable are a requirement of the Council's Budget and Policy Framework Procedure Rules.
3.	In addition, it is good practice for the Council to consult with a range of stakeholders on its proposals for developing the budget. The recommendations in this report have therefore been put forward to allow this process to formally begin.

### **ALTERNATIVE OPTIONS CONSIDERED AND REJECTED**

4.	The proposals presented in this report represent the Executive's draft budget for 2020/21 through to 2022/23, which is being published for consultation. There are a number of variables and alternative options that could be implemented as part of the budget. The budget will be set by Full Council in February 2020.
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### **DETAIL (Including consultation carried out)**

	<b><u>BACKGROUND</u></b>
5.	Council approved a 4 year MTF5 in February 2019, the objective of which is to provide a financial framework within which financial stability can be achieved and sustained in the medium term to deliver the Council's priority outcomes.
6.	<p>There are 6 key aims of the Strategy:</p> <ul style="list-style-type: none"> <li>• To provide financial parameters within which budget and service planning should take place;</li> <li>• To ensure the Council sets a balanced budget;</li> <li>• To focus and re-focus the allocation of resources so that, over time, priority areas receive additional resources. Ensuring services are defined on the basis of a clear alignment between priority and affordability;</li> <li>• To ensure the Council manages and monitors its financial resources effectively so that spending commitments do not exceed resources available in each service area;</li> <li>• To plan the level of fees, charges and taxation in line with levels that the Council regard as being necessary, acceptable and affordable to meet the Council's aims, objectives, policies and priority whilst gradually reducing the Council's reliance on Central Government funding; and</li> </ul>

	<ul style="list-style-type: none"> <li>To ensure that the Council's long term financial health and viability remain sound.</li> </ul>										
7.	Table 3 below shows the MTFs position as reported in February 2019.										
8.	<p><u>Table 3 – Funding Gap 2019/20 to 2022/23</u></p> <table border="1"> <thead> <tr> <th></th> <th>2020/21 £M</th> <th>2021/22 £M</th> <th>2022/23 £M</th> <th>Total £M</th> </tr> </thead> <tbody> <tr> <td>Remaining Savings Requirement</td> <td>9.5</td> <td>11.8</td> <td>11.6</td> <td>32.9</td> </tr> </tbody> </table>		2020/21 £M	2021/22 £M	2022/23 £M	Total £M	Remaining Savings Requirement	9.5	11.8	11.6	32.9
	2020/21 £M	2021/22 £M	2022/23 £M	Total £M							
Remaining Savings Requirement	9.5	11.8	11.6	32.9							
<b><u>2019/20 POSITION</u></b>											
9.	<p>The General Fund Revenue forecast position, at the end of August, is an underspend of some £0.08M. The latest initial and provisional forecast for period 6 is that we are still operating within budget parameters.</p> <p>As part of good financial management, a review of the budgets has been undertaken to reflect activity in services. This rebasing is shown at <b>Appendix 1</b>. Any pressures that are expected to continue into 2020/21 and the future included have been accounted for in these proposals and are set out in paragraphs 17 to 18 below. A full rebasing detail will be presented to Cabinet for 2019/20 when the Period 6 budget forecast is presented to the next Cabinet meeting.</p>										
<b><u>COMPREHENSIVE SPENDING REVIEW AND FAIR FUNDING REVIEW</u></b>											
10.	2019/20 marked the final year of the Comprehensive Spending Review (CSR) and the final year of the 4 year settlement that the council agreed with central government.										
11.	<p>2020/21 was intended to have featured proposals by Government for a fair funding review, a business rates review and a spending review outlining the allocation of funding to local government (at a national level) for a number of years ahead. A social care green paper was also due to be published. This should have provided more information on future funding levels from the Government.</p> <p>However, the Government has delayed its work and consultation on these policy changes. This means that any anticipated impact connected with the changes to the funding system, including the business rate reset (where previous growth from business rates is removed from the settlement figures), is postponed by a year at least. For the purposes of financial planning, we have continued to assume that we are no better or worse off in funding terms from any policy changes resulting from these reviews until more detail is provided.</p>										
12.	Whilst none of the above policies have been delivered, there was an announcement of a single year Spending Round (SR19), covering 2020/21 in early September. Attached at <b>Appendix 2</b> is a summary of its impact compared to the councils existing MTFs assumptions. SR19 clarified some of the assumptions we had already included in the MTFs and introduced some new funding the MTFs had not assumed (in particular around extra social care funding), thereby improving the financial position compared with past assumptions.										

	<p>The appendix shows that extra resources will be available and are expected to total £9.9m in 2020/21. The actual spending round is subject to it being incorporated within the Chancellor's Autumn statement later in the year. At this stage there is no reason to believe that these numbers will change significantly and therefore are appropriate for budget planning purposes.</p> <p>The question remains that given it is only funding for one year, then what will happen from 2021/22 onwards? It is unreasonable to assume that we would face a cliff edge of a drop in funding of £9.9m given that this is being injected to support children's and adult social care, where it is clear on-going demand is increasing. For planning purposes, I am assuming that whilst there may be a drop, there will still be a substantial sum available. For the purpose of our financial plan I have assumed £7m per annum is received beyond 2020/21.</p>
13.	<p>The actual allocations of additional social care funding councils from the SR is subject to a formal consultation which concludes on 31 October 2019.</p> <p>The implications of any announcements subsequently made on the Council's position will therefore need to be included in the update to Council in February 2020 on the budget.</p>
14.	<p><u>Collection Fund</u></p> <p>The collection fund for council tax and business rates currently shows a broadly balanced position for 2019/20. This will be continued to be monitored.</p> <p><u>Business Rates</u></p> <p>A review of business rates estimated receipts for 2020/21 has identified a shortfall compared with assumptions in the MTFS. Much of this arises from an optimistic assumption around the delivery of a major development during 2019/20. In looking at the 2020/21 forecast compared with the MTFS it is estimated to be £4.5M short, analysed as follows:</p> <ul style="list-style-type: none"> <li>• Major development profiled for delivery too soon – full year effect £2.5M</li> <li>• A general development overestimation - £0.9M</li> <li>• Increase in business rates reliefs being experienced - £0.9M</li> <li>• Reduction in S31 business rates compensation grants - £0.2M</li> </ul> <p>Southampton applied to the Government and was successful in becoming one of a limited number of 75% Business Rates Retention pilots for 2019/20, working in partnership alongside Portsmouth City Council and the Isle of Wight Council. This will not continue in 2020/21, as the Government is not running any further pilots. The council's budget strategy assumes a benefit of £2.0m will be realised in 2019/20 from the pilot, via additional business rates. This sum has already been factored into the 2020/21 budget (the 1 year delay allows confirmation of the actual sum realised in year). The benefit, when compared with the normal 50% retention of business rate growth, is regularly monitored during the year.</p> <p>The growth assumed is cautious, with developments around West Quay Phase 3, around Bargate and Toysrus not banked in forecasts at this stage.</p>

15.	Subject to discussions with partners there may be a potential one-off sum of up to £3M available to Southampton City Council from being a part of this business rate pilot arrangement, in addition to the benefit of £2.0M already factored into the budget. However, this will be subject to actual business rate proceeds and agreement with partner authorities regarding allocations and hence is not factored into budget estimates.																
<b>SAVINGS</b>																	
16.	<p>To deliver savings that go beyond that of general reductions and potential salami slicing, a review was undertaken this year to look at more strategic interventions that would either generate income or reduce costs.</p> <p>Following these reviews a series of sessions were held where Portfolio holders and Service directors were challenged around the cost base of services and the opportunities to reduce them.</p> <p>The final schedule of savings proposed and income generation is attached at <b>Appendix 3</b>. The total proposed are set out in table 4 below:</p> <p><b>Table 4 :Savings</b></p> <table border="1" data-bbox="312 943 1193 1122"> <thead> <tr> <th></th> <th>2020/21 £M</th> <th>2021/22 £M</th> <th>2022/23 £M</th> </tr> </thead> <tbody> <tr> <td><b>Reductions in budgets</b></td> <td><b>3.8</b></td> <td><b>6.1</b></td> <td><b>7.2</b></td> </tr> <tr> <td><b>Income generation</b></td> <td><b>4.0</b></td> <td><b>4.2</b></td> <td><b>4.2</b></td> </tr> <tr> <td><b>Total Savings</b></td> <td><b>7.8</b></td> <td><b>10.3</b></td> <td><b>11.4</b></td> </tr> </tbody> </table>		2020/21 £M	2021/22 £M	2022/23 £M	<b>Reductions in budgets</b>	<b>3.8</b>	<b>6.1</b>	<b>7.2</b>	<b>Income generation</b>	<b>4.0</b>	<b>4.2</b>	<b>4.2</b>	<b>Total Savings</b>	<b>7.8</b>	<b>10.3</b>	<b>11.4</b>
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<b>REBASING OF BUDGETS</b>																	
17.	<p>Budget monitoring has identified, for a variety of reasons that budgets have not been set at an appropriate level for the pressure faced, for example social care demand. The end result of this is that every budget monitoring report seeks to repeat some of the same variations and explanations.</p> <p>The overall impact on the rebasing in 2019/20 is cost neutral. The schedule of changes is attached at <b>Appendix 1 and Appendix 1A</b> for Adults Social Care. This shows at period 5 (end of August) that the council is living within its resources.</p>																
18.	<p>The effect of the rebasing of budgets in 2020/21 shows that there is extra cost pressures to be taken into account as follows:</p> <ul style="list-style-type: none"> <li>• Increased demand for Children’s social care</li> <li>• Increased Demand for Adults social care</li> <li>• Increased demand in other areas such as home to school transport</li> <li>• Unachieved savings targets</li> <li>• The above is offset by additional income</li> </ul> <p>This totals £4.2M net additional cost pressure. Additionally, provision has been made for rising costs and numbers of care packages identified through budget monitoring work which amounts to approximately £2M from 2020/21 onwards.</p>																
<b>INVESTMENT IN SERVICES</b>																	

19.

The council needs a clear direction of travel for the delivery of key projects to meet priority areas of focus. These projects have been split over the outcomes for the council, as shown in the following table. More details are shown in **appendix 4.**

**Table 5: Investment Proposals**

Description	2020/21	2021/22	2022/23	Total
	Revenue	Revenue	Revenue	Revenue
	£000s	£000s	£000s	£000s
A city of culture by 2025	319	27	192	539
Delivery of Bitterne Community Hub Project	300	0	50	350
Global partnership Programme	20	20	20	60
Green City Charter	207	226	226	659
People and place planning through the Local plan	327	112	0	439
Connected Southampton 2040 (Local Transport Plan 4)	212	714	714	1,640
Connected City	0	100	0	100
Future of Work (inquiry response)	140	125	55	320
Itchen bridge payment (contactless)	248	286	286	820
Itchen flood defences	46	50	50	146
implementation of better client handling (new case management system)	104	0	0	104
Improving surplus generated by our services to reinvest in council services	185	191	191	567
Digital Customer Experience Improvement	98	0	0	98
Smart Ways Of Working	135	91	91	317
Organisational Development	200	200	200	600
Reducing overheads and streamlining our processes to improve outcomes and services	273	45	45	363
Safer Communities	314	216	162	692
Children/Young People get a good start in life	500	500	500	1,500
<b>Sub total</b>	<b>3,626</b>	<b>2,903</b>	<b>2,782</b>	<b>9,311</b>
Capital Financing Budget	140	1350	3162	4,652
<b>Investment Total</b>	<b>3,766</b>	<b>4,253</b>	<b>5,944</b>	<b>13,963</b>

\*Note figures have rounded in this table, which may produce small difference to the totals

The table indicates additional investment across a range of proposals in the next three years, totalling £3.8M in 2020/21 and totalling around £14.0M over the three years.

	<b>CLOSING THE GAP</b>																																							
20.	<p>The council has significant unallocated reserves that have been held for a variety of reasons – such as taxation, MTFS reserve. As part of streamlining budget processes and resources as forecast at the end of 2019/20, the position as rationalised is estimated to be as follows:</p> <ul style="list-style-type: none"> <li>• Minimum Working balance - £10M</li> <li>• Insurance Fund - £3.0M</li> <li>• Organisational Design (OD) Reserve - £7.1M</li> <li>• Uncommitted funds to support MTFS delivery are estimated at approximately £32M.</li> </ul>																																							
21.	<p><u>Council Tax Increase</u></p> <p>The existing assumption is for a 2% increase in tax. Government is consulting on a further 2% Adults Social Care precept in addition to this general increase. The proposals in this report assume a total of 2% overall only.</p>																																							
	<b>SUMMARY GENERAL FUND POSITION</b>																																							
22.	Table 6 summaries the details set out in the above paragraphs.																																							
23.	<p><u>Table 6 –</u> <u>MTFS</u> <u>Summary</u> <u>Position</u></p> <table border="1"> <thead> <tr> <th></th> <th>2020/21 £M</th> <th>2021/22 £M</th> <th>2022/23 £M</th> </tr> </thead> <tbody> <tr> <td><b>Budget Gap - February 2019</b></td> <td>9.5</td> <td>11.8</td> <td>11.6</td> </tr> <tr> <td>Pressures and Mitigations</td> <td>6.2</td> <td>6.2</td> <td>8.5</td> </tr> <tr> <td>Developments/Investment</td> <td>3.8</td> <td>4.3</td> <td>5.9</td> </tr> <tr> <td>Savings Proposals</td> <td>-7.8</td> <td>-10.3</td> <td>-11.4</td> </tr> <tr> <td>Funding Reduction</td> <td>4.5</td> <td>4.5</td> <td>4.5</td> </tr> <tr> <td>Spending Round 2019 and grant assumptions</td> <td>-9.9</td> <td>-7.0</td> <td>-7.0</td> </tr> <tr> <td>Use of reserves</td> <td>-6.3</td> <td>-4.8</td> <td>-4.8</td> </tr> <tr> <td><b>Amended Budget Gap – October 2019</b></td> <td><b>0.0</b></td> <td><b>4.7</b></td> <td><b>7.3</b></td> </tr> </tbody> </table>		2020/21 £M	2021/22 £M	2022/23 £M	<b>Budget Gap - February 2019</b>	9.5	11.8	11.6	Pressures and Mitigations	6.2	6.2	8.5	Developments/Investment	3.8	4.3	5.9	Savings Proposals	-7.8	-10.3	-11.4	Funding Reduction	4.5	4.5	4.5	Spending Round 2019 and grant assumptions	-9.9	-7.0	-7.0	Use of reserves	-6.3	-4.8	-4.8	<b>Amended Budget Gap – October 2019</b>	<b>0.0</b>	<b>4.7</b>	<b>7.3</b>			
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24.	<p><u>2021/22 Onwards Budget Gap</u></p> <p>Table 6 shows there is a budget gap in 2021/22 of £4.7M and £7.3M the following year.</p> <p>This can be viewed to be a sustainable plan. The current budget identified a shortfall over the three years of about £33m. The proposals in this budget paper reduce this to £12.0M in total – close to a third of the initial financial challenge.</p>																																							
	<b>PUBLIC HEALTH</b>																																							
25.	We await confirmation of the grant for public health in 2020/21. This grant is expected to continue to be ring-fenced, and therefore only allocated to public health activities.																																							
	<b>CAPITAL INVESTMENT</b>																																							

26.	New capital investment will play a significant role in enhancing local facilities and providing better connectivity for residents and businesses.																																																																						
27.	Table 7 below details the new additions to the capital programme that have been identified and the anticipated sources of financing are in Table 8. It should be noted that elements of the funding from outside the authority are in some cases yet to be confirmed, the most significant of which will be funds for Transforming Cities Fund and which would support the Connected Southampton initiative.																																																																						
28.	<p><b>Table 7 – New Capital Investments</b></p> <table border="1"> <thead> <tr> <th></th> <th>2020/21 £M</th> <th>2021/22 £M</th> <th>2022/23 £M</th> <th>Total £M</th> </tr> </thead> <tbody> <tr> <td>City of culture</td> <td>0.2</td> <td>0.3</td> <td></td> <td>0.5</td> </tr> <tr> <td>Bitterne Hub</td> <td></td> <td>27.3</td> <td></td> <td>27.3</td> </tr> <tr> <td>Green City Charter</td> <td>1.0</td> <td></td> <td>20.0</td> <td>21.0</td> </tr> <tr> <td>ToysRus site</td> <td></td> <td>26.7</td> <td></td> <td>26.7</td> </tr> <tr> <td>Connected Southampton</td> <td>42.0</td> <td>37.0</td> <td>50.0</td> <td>129.0</td> </tr> <tr> <td>Itchen Bridge*</td> <td>0.1</td> <td></td> <td></td> <td>0.1</td> </tr> <tr> <td>Children Res Centre</td> <td>0.8</td> <td></td> <td></td> <td>0.8</td> </tr> <tr> <td>Highways capital prog</td> <td>6.0</td> <td>7.0</td> <td>8.0</td> <td>21.0</td> </tr> <tr> <td>Digital customer experience</td> <td>0.4</td> <td></td> <td></td> <td>0.4</td> </tr> <tr> <td>Smarter ways of working</td> <td>1.6</td> <td>1.0</td> <td>1.0</td> <td>3.6</td> </tr> <tr> <td>Outdoor Leisure</td> <td>0.2</td> <td>4.4</td> <td>8.2</td> <td>12.8</td> </tr> <tr> <td>Streamlining Processes</td> <td>0.2</td> <td></td> <td></td> <td>0.2</td> </tr> <tr> <td><b>Total New Capital Investment</b></td> <td><b>52.5</b></td> <td><b>103.7</b></td> <td><b>87.2</b></td> <td><b>243.4</b></td> </tr> </tbody> </table> <p><i>*Note: in programme for 2019/20 (contactless payment)</i></p>		2020/21 £M	2021/22 £M	2022/23 £M	Total £M	City of culture	0.2	0.3		0.5	Bitterne Hub		27.3		27.3	Green City Charter	1.0		20.0	21.0	ToysRus site		26.7		26.7	Connected Southampton	42.0	37.0	50.0	129.0	Itchen Bridge*	0.1			0.1	Children Res Centre	0.8			0.8	Highways capital prog	6.0	7.0	8.0	21.0	Digital customer experience	0.4			0.4	Smarter ways of working	1.6	1.0	1.0	3.6	Outdoor Leisure	0.2	4.4	8.2	12.8	Streamlining Processes	0.2			0.2	<b>Total New Capital Investment</b>	<b>52.5</b>	<b>103.7</b>	<b>87.2</b>	<b>243.4</b>
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30.	To ensure proposals are considered in a full financial picture, it is important to set out the expected position on earmarked reserves and the General Fund balance.																																																																						

31.	<p>The S151 officer has a responsibility to advise on the adequacy of reserves and balances. As part of streamlining budget processes and resources, as forecast at the end of 2019/20, the position as rationalised is estimated to be as follows:</p> <ul style="list-style-type: none"> <li>• Minimum Working balance - £10M</li> <li>• Insurance Fund - £3.0M</li> <li>• Organisational Design (OD) Reserve - £7.1M</li> </ul> <p>Uncommitted funds to support MTFS delivery are estimated at approximately £32M. It is currently estimated that available corporate reserves will stand at around £14.5M to £15M of uncommitted funds by the end of the three years.</p>
32.	<p>The financial risks facing the Council in the medium term are assessed within the MTFS, which is part of the budget report considered in February. This includes assessing the risk of continuing reductions in Central Government Funding. The subsequent budget shortfalls that the Council then faces and overall local and national economic factors can affect the financial stability of the council. The risk also will need to cope with any demand pressures, reductions in income, non-delivery of savings targets etc.</p>
	<p><u>General Fund Balance</u></p>
33.	<p>The General Fund Balance is forecast to be £10M at the end of 2019/20 providing the current year financial forecast remains as expected. The required level of balance is determined by assessing the level of risk the Council faces and this balance is regarded as adequate. This sum will still remain untouched as a result of this budget strategy.</p>
34.	<p>Obviously when the Council is facing significant financial challenges, with increasing demand levels the level of risk is heightened. The assessed minimum balance will be reviewed again for the MTFS update in February 2020, taking into consideration both risk and affordability.</p>
	<p><b>CONSULTATION</b></p>
35.	<p>Where new proposals have been put forward these have been subject to consultation with the Council Management Team (CMT) and relevant Cabinet Members.</p> <p>The Executive will undertake an extensive consultation process on their initial draft budget proposals following the production of this report. The Leader and the Cabinet are keen to listen to any new ideas on how to reduce costs, to receive feedback on the proposals and on the potential impact of the proposals to help to finalise the Executive's budget to be recommended to Full Council in February 2020.</p> <p>Southampton City Council is facing a challenging financial position, at a time when demand for certain services such as adult and children's social care continues to increase.</p> <p>Therefore the aim of this consultation is to:</p> <ol style="list-style-type: none"> <li>a. Communicate clearly and make residents aware of the financial pressures the council is facing.</li> <li>b. Ensure residents understand what is being proposed in the draft 2020/21 budget and onwards to 2022/23 via this paper and are aware of what this will mean for them.</li> </ol>

- c. Enable any resident, business or stakeholder who wishes to comment on the proposals the opportunity to do so, allowing them to raise any impacts the proposals may have.
- d. Ensure that the results are analysed in a meaningful, timely fashion, so that feedback is taken into account when final decisions are made.
- e. Provide feedback on the results to the consultation and how these results have influenced the final decision.

For the public consultation on the draft 2020/21 budget a consultation process will run from 16<sup>th</sup> October 2019 to 8<sup>th</sup> January 2020 where responses can be made. The overarching consultation will be based around an online questionnaire and paper copies will also be made available. As a part of the main budget consultation affected service user consultation will take place on a service by service basis led by respective service managers and will be conducted in a way that is proportionate and appropriate to the budget proposal and service.

#### Equality and Safety Impact Assessments

The Public Sector Equality Duty is a duty on public bodies which came into force on 5 April 2011 and requires the Council to show that it has 'had regard' to the impact of its decisions on its equality duties and the need to advance equality of opportunity between people who have protected characteristics and those who do not.

While the Public Sector Equality Duty does not impose a legal requirement to conduct an Equality Impact Assessment, it does require public bodies to show how they considered the Equality Duty and that they have been consciously thinking about the aims of the Equality Duty as part of the process of decision-making. To comply with these requirements as well as the Community Safety legislation, the Council has used its existing Impact Assessment framework so that it can ensure the use of a consistent, Council wide mechanism to evidence how decision making took into account equality and safety considerations. In addition, the assessments take into account the impact on poverty and health and wellbeing.

Draft individual Equality and Safety Impact Assessments (ESIAs) have been completed by the Council's Management Team for those proposals contained in **Appendix 3** and as detailed in the report that they identified require such an assessment, as they could have an impact on a particular group or individuals. The draft individual ESIAs are available in Members' Rooms and will be published alongside the Budget consultation.

The individual ESIAs have been analysed to consider the cumulative impacts the draft budget proposals may have on particular groups and the mitigating actions that could be considered. In order to give the right perspective to the draft budget proposals, the Cumulative Impact Assessment has to be considered in light of the available information on the City's profile, service user and non-user information and staffing profiles as well as the proportion of the Council's budget that is currently spent on targeted groups or communities. The Cumulative Impact Assessment is available in Members' Rooms and will be published alongside the Budget consultation.

<b>RESOURCE IMPLICATIONS</b>	
<b>Capital/Revenue Implications</b>	
36.	The capital and revenue implications are fully detailed within the report.
37.	The proposals would lead to an overall investment in human resources within the council.
<b>Property/Other</b>	
38.	None, other than those detailed in the report.
<b>LEGAL IMPLICATIONS</b>	
<b>Statutory power to undertake proposals in the report</b>	
39.	It is important that Members are fully aware of the full legal implications of the entire budget and Council Tax making process, when they consider any aspect of setting the Council's Budget. Formal and full advice to all Members of the Council protects Members, both in their official and personal capacity, as well as the Council. If Members have received the appropriate professional legal and financial advice and act reasonably, generally the courts will not interfere in their decisions.
40.	The first and overriding legal duty on Members is their fiduciary duty to weigh the needs of service users against the interests of local taxpayers. In planning the budget, Members are under a fiduciary duty to act prudently, responsibly, in a business-like manner and in their view of what constitutes the best interests of the general body of local taxpayers. In deciding upon expenditure, the Council must fairly hold a balance between recipients of the benefits of services provided by the Council and its local taxpayers. Members should note that their fiduciary duty includes consideration of future local taxpayers as well as present local taxpayers.
41.	It is appropriate for Members to consider their own position as some Members may have expressed support publicly for policies that are not policies of the Council. Political documents do not represent a legal commitment on behalf of the Council. To treat any political document as a legal commitment by the Council would be illegal. Where there is a valid choice before Members, then, at that stage and only at that stage, Members may take political documents into account.
42.	The legal significance of the Annual Budget derives from the Council's duty under the Local Government Finance Act 1992 (the 1992 Act) to set a balanced budget. Failure to make a lawful Council Tax on or before 11 March 2020 could have serious financial results for the Council and make the Council vulnerable to an Order from the Courts requiring it to make a Council Tax. Information must be published and included in the Council Tax demand notice. The Secretary of State has made regulations, which require charging authorities to issue demand notices in a form and with contents prescribed by these regulations.
43.	There is also a duty under Section 65 of the 1992 Act to consult persons or bodies appearing to be representative of persons subject to non-domestic rates in each area about proposals for expenditure (including capital expenditure) for each financial year.
44.	Under Section 114 (2) and 114 (3) of the Local Government Finance Act 1988, the Chief Financial Officer is required to make a report, if it appears to him/her that a decision or course of action the Council or an officer has agreed or is

	about to make is unlawful, or that expenditure is likely to exceed resources available.
45.	Section 25 of the Local Government Act 2003 imposes a specific duty on the CFO (Section 151 officer) to formally report to Council at the time the budget is considered and the Council Tax is set on the robustness of the budget estimates and the adequacy of financial reserves. This report will be brought forward alongside the Budget and Council Tax Setting Report to Full Council in February.
46.	Of particular importance to the Council Tax setting process and Budget Meeting of the Full Council is the Council's Budget and Policy Framework Procedure Rules set out in Part 4 of the City Council's Constitution. These provide a legal framework for the decision making process whereby the Budget of the City Council is determined, and the Council Tax is set. In addition, Members need to be aware that these Rules provide a route whereby the Leader may require the Full Council to reconsider their position if they do not accept the Executive's recommended budget without amendment.
<b>Other Legal Implications:</b>	
47.	The financial forecasts contained in this report have been prepared and are submitted as part of the budget process set out in the Council's Constitution. As part of the review process by the Council's Management Team, the proposals contained in this report have been checked from a legal viewpoint.
<b>RISK MANAGEMENT IMPLICATIONS</b>	
<b>Local Implications</b>	
48.	<u>The United Kingdom's Exit from the European Union</u> There remains a significant risk from the economic climate due to Brexit and any potential impact on funding or on demand for council services. These are covered both by the MTFS reserve and by the contingencies. Government has allocated funds (of approx. £0.7M to Southampton) to promote councils being prepared for the UK's exit from the EU. Additionally, any further risks arising from Brexit will need to be considered, with the implications reflected in the update of the MTFS to Council in February 2020.
49.	Any further impact from risk will be reviewed as part of the update of the MTFS to be reported to be approved by Council in February 2020.
<b>POLICY FRAMEWORK IMPLICATIONS</b>	
50.	The Medium Term Financial Strategy and the Budget are key parts of the Policy Framework of the Council and a Budget and Council Tax for 2020/21 must be proposed by the Cabinet for consideration by the Full Council under the Constitution.

<b>KEY DECISION?</b>	<b>Yes</b>
<b>WARDS/COMMUNITIES AFFECTED:</b>	All
<u>SUPPORTING DOCUMENTATION</u>	
<b>Appendices</b>	

1.	Budget Rebasing (including Adults Social care at 1a
2.	Spending Round 2019
3.	Savings Proposals
4.	Investment

**Documents In Members' Rooms**

1.	Individual ESIA's
2.	

**Equality Impact Assessment**

<b>Do the implications/subject of the report require an Equality and Safety Impact Assessment (ESIA) to be carried out.</b>	<b>Yes</b>
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**Data Protection Impact Assessment**

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

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

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

# General fund budget rebasing details

Service	£000's	Notes
Children's	137	Capital Asset Management - historic staff recharge income Appendix 2
Children's	610	Home to school transport- Demand pressures on service has built up from increasing SEND needs over the last few years and the service has also widened its age group from new legislation but the budget has remained static.
Children's	160	Educational Psychologists - Income target from OLA's cannot be achieved as statutory work being undertaken for the service is not releasing sufficient time to perform fee related work
Children's	170	Education devolved capital - Sugar Tax saving cannot be achieved as the grant is ring-fenced for schools.
Children's	540	Jigsaw service - demand from significant increases in SEND pupils year on year is far in excess of available budget.
Children's	4,727	Children's Services cost pressures balance
OD Strategy	53	HR - Trade union staff centralisation of funds, budget to reflect existing cost of service.
Finance	600	Revs and Bens - saving target, reduction in cost of collecting council tax and business rates and review of bad debt provisions. Previously removed in 18/19 but not future years.
TUSS	300	Crematorium & Cemetery & registration service - Business Rates pressure
TUSS		Crematorium ongoing loss of income
TUSS		Registration Services - Nationality checking and preliminary notices of marriage income shortfall
TUSS	200	Element of HMO Income budget not achievable
TUSS	240	TUSS dry mixed recyclables and commercial waste disposal contract
Transformation	1,480	Digital transformation saving not achieved
Adults	2,043	Adult Social Care cost pressures
	758	Housing benefit payments
	-2,117	One off savings within 2019/20
	-9,981	Capital Asset Management saving
<b>Month 5 position</b>	<b>-80</b>	
Adults Rebasing	-2,000	See Adult Social Care rebase
	2,117	One off saving 2019/20
	-80	Month 5 underspend
Balance requiring rebasing	<b>38</b>	
Growth	34	Cultural Service - rental budget reduced before saving project has been implemented and unlikely to start this year
Growth	150	Museum Collection into Sea City - Savings in the budget before project has been implemented and will not start this year and next.
Growth	500	Investment property - Income target was increased last year by £740k to reflect early achievement of the original £500k which was deferred until 20/21. The total increased target of £1,240k is not achievable next year.
Growth	-800	Recharge budget for Highways capital financing costs not required as will be met centrally
Growth	-645	Recharge budget for Investment Property MRP not required as will be met centrally
Growth	-225	Carbon Reduction (CRC budget) scheme now ceased
Growth	-250	Repairs and Maintenance budget reduced to reflect actual requirement
Growth	-200	Concessionary fares budget adjusted to match expenditure
Children's	1,000	Compass School - saving was allocated to the General fund but it is really DSG related.
Legal	50	Legal - Unfunded Solicitor post, previously funded from section 106 money.
Legal	58	Rebase of members costs to reflect that no savings arose following the allowances review
Children's	416	Early Help extended locality model to stop children coming into care, saving not going to be achieved
Finance	38	Treasury Management income not going to be received
Finance	52	Credit Card charges for the cash office.
Finance	50	Corporate Finance - Income target for external VAT work unachievable due to in-house work pressure.
Finance	80	Finance Business Partners - unachievable saving target for work for other Local Authorities

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**Adult Social Care budget rebase** Appendix 3

	<b>2020/21</b>	<b>2021/22</b>	<b>2022/23</b>	<b>Total</b>
	£000s	£000s	£000s	£000s
<b>A. RESOURCE REQUIRED</b>				
In year overspend at month 5	2,000	2,000	2,000	6,000
Add back - 19/20 one off overspend mitigations	1,550	1,550	1,550	4,650
Client numbers pressure	482	1,169	1,859	3,510
Living Wage Inflation	1,929	3,938	5,938	11,805
Other contract non NMW Inflation	192	391	601	1,184
Additional staffing resource	1,036	622	552	2,210
<b>sub total (resource required)</b>	<b>7,189</b>	<b>9,670</b>	<b>12,500</b>	<b>29,359</b>
<b>B. LESS FUNDING IDENTIFIED</b>				
implementation of service efficiencies	-859	-859	-859	-2,577
Central funds to offset LW & Client numbers pressure	-2,415	-4,915	-5,415	-12,745
<b>sub total (funding identified)</b>	<b>-3,274</b>	<b>-5,774</b>	<b>-6,274</b>	<b>-15,322</b>
<b>C. NET TOTAL rebasing</b>	<b>3,915</b>	<b>3,896</b>	<b>6,226</b>	<b>14,037</b>

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**Summary of key funding: Comparison of Spending Round 2019 with current MTFS assumptions**

Funding element	YEAR1: Existing 2020/21 MTFS Feb 2019  £m	Estimated benefit of Spending Round 2019  £m	2020/21 Difference compared to existing MTFS  £m	YEAR 2: Existing 2021/22 MTFS Feb 2019  £m	Reduction in February MTFS assumption v SR2019 for YEAR 1
Social Care – additional funding*	0.0	4.8	4.8	0.0	-4.8
Improved Better Care Fund	7.7	9.3	1.6	7.7	-1.6
Winter Pressures Grant	0.0	1.1	1.1	0.0	-1.1
Social Care Support Grant	0.0	1.9	1.9	0.0	-1.9
Better Care Fund - NHS contribution to adult social care <sup>#</sup>	5.6	5.8	0.2	5.6	-0.2
Revenue Support Grant and Top-Up Grant <sup>~</sup>	15.3	15.6	0.3	15.3	-0.3
<b>Totals</b>	<b>28.6</b>	<b>38.5</b>	<b>9.9</b>	<b>28.6</b>	<b>-9.9</b>

<b>NOTE:</b> Being Consulted by Governemnt: Proposed: Council Tax – Additional 2% on Social Care Precept	0.0	2.0	2.0	0.0	
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\* if allocated based on existing social care relative needs formula

<sup>#</sup> 2019/20 contribution is still to be confirmed. Assumes real terms growth applied in 2020/21 won't be removed in 2021/22

<sup>~</sup> Assumes inflation applied in 2020/21 won't be removed in 2021/22

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## Savings Proposals

### Budget reduction

<b>Row Labels</b>	<b>Sum of 2020/21 Savings £000</b>	<b>Sum of 2021/22 Savings £000</b>	<b>Sum of 2022/23 Savings £000</b>
Children and young people get a good start in life	139	139	139
Modern, sustainable council	1,922	2,874	2,899
People in Southampton live safe, healthy, independent lives	1,709	3,114	4,159
<b>Grand Total</b>	<b>3,770</b>	<b>6,127</b>	<b>7,197</b>

### Income generation

<b>Row Labels</b>	<b>Sum of 2020/21 Savings £000</b>	<b>Sum of 2021/22 Savings £000</b>	<b>Sum of 2022/23 Savings £000</b>
Modern, sustainable council	313	435	435
Southampton is an attractive, modern city where people are proud to live and work	950	955	955
Strong, sustainable economic growth	2,791	2,791	2,791
<b>Grand Total</b>	<b>4,054</b>	<b>4,181</b>	<b>4,181</b>

### Total savings

	<b>Sum of 2020/21 Savings £000</b>	<b>Sum of 2021/22 Savings £000</b>	<b>Sum of 2022/23 Savings £000</b>
Children and young people get a good start in life	139	139	139
Modern, sustainable council	2,235	3,309	3,334
People in Southampton live safe, healthy, independent lives	1,709	3,114	4,159
Southampton is an attractive, modern city where people are proud to live and work	950	955	955
Strong, sustainable economic growth	2,791	2,791	2,791
	<b>7,824</b>	<b>10,308</b>	<b>11,378</b>

Expenditure Reductions Proposals	2020/21 Savings £000	2021/22 Savings £000	2022/23 Savings £000	Additional Information
<b>Adults Portfolio Savings</b>				
Increasing availability of support and carrying out assessments more quickly to help people to return home after a short stay in residential care on discharge from hospital	34	34	34	Making sure that timely assessments are carried out and suitable care arrangements are put in place as quickly as possible to support someone to return home in line with their and their family's wishes.
Making best use of the full range of services that are currently available to support people to live independently in a community setting	370	740	1,110	More people will be better supported to live independently through improved access to support provided by the voluntary sector (for example through the recently launched SO:Linked initiative which includes a community navigation service to link people with support available in the city and their communities); the use of telecare (for example, through the provision of a medication dispenser and an alarm unit); through the delivery of hot meals (for example, from City Catering) or by identifying additional community support by using a new online community resource directory.
Expanding the successful reablement service so more people benefit from short term, intensive support	655	1,310	1,986	The current focus is on providing reablement care to people being discharged from hospital, but this proposal will widen this to ensure that it can be offered to people living at home, who approach the council for support for the first time or when their needs change. People who are identified as being most likely to benefit from reablement care will be prioritised for the expanded service. Reablement care is proven in Southampton to support people to lead the life they want to lead without the need for ongoing care. Ongoing care will still be available to those who need it.
Occupational Therapy (OT) reviews to identify where equipment can be used to enable care to be provided in the home by one carer	80	80	80	Occupational Therapy review of all care packages needing two carers for moving and, where appropriate, reduce this through training and/or the introduction of new equipment. Clients will continue to receive the care and support needed to meet their needs in full. In the future, this may be through one carer using equipment and the latest techniques.
Increased availability of housing with care options ('extra care') across the city	100	480	480	Investing in new extra care housing schemes such as Potter's Court, which will give people more options to live in their own home, as part of a caring community, where their support needs can be met.
Ensuring direct payments are being used in accordance with care and support plans to meet care needs	320	320	320	Timely reviews of direct payments to make sure they are being used in the best way.
The provision of better and earlier advice and information on adult social care and community support to meet Care Act 2014 duties, to promote wellbeing and support independence.	150	150	150	Work with Hampshire County Council to implement the web-based advice and information portal 'Connect to Support Hampshire' as an alternative to the current Southampton Information Directory for adult social care. Make full use of the SO:Linked initiative, the new Community Support framework that has been commissioned in Southampton (and is provided by Southampton Voluntary Services, the Alzheimers Society, Solent Mind and other organisations) to signpost people to support and develop the support people need to thrive in their communities.
<b>ADULTS TOTAL</b>	<b>1,709</b>	<b>3,114</b>	<b>4,159</b>	
<b>Aspiration, Children &amp; Life long Learning Savings</b>				
Developing a 'Level 4' Specialist Foster Care scheme in Southampton	131	131	131	Developing Tier 4 Foster Service.
Learning & Development Systems	8	8	8	Children's and Families combining Learning & Development systems.
<b>Total Aspiration, Children &amp; Life long Learning</b>	<b>139</b>	<b>139</b>	<b>139</b>	

Expenditure Reductions Proposals	2020/21 Savings £000	2021/22 Savings £000	2022/23 Savings £000	Additional Information
<b>Resource Portfolio Savings</b>				
Single Person Discount	260	87	87	Commission external company to review entitlements to Council Tax Single Person Discount on a three year rolling programme of a full year review followed by two partial year reviews.
Up front payments of Council contributions to LGPS Pension Fund	100	100	100	Once year contribution rather than monthly, with a discount received for early payment. Subject to 2019 Fund Valuation by actuary.
IDEA including Duplicate Payments	100	75	50	Use IDEA software to identify and reclaim duplicate payments.
Transfer of land for Council Homes.	150	150	150	When the Housing Revenue Account appropriates land from the general fund for housing, a debt transfer takes place equivalent to the value of the land. This will generate a saving on the servicing of that debt in the general fund.
Progressive removal of on-premise data centre	0	50	50	IT strategy to be implemented, part of digital Plan
IT asset rationalisation (printers, phones etc)	50	50	50	Reviewing of devices and contract with Vodaphone
Procurement of large scale printing	50	50	50	Panacea system via other Local Authority which would release savings against current contract
Improved collection of council tax	157	321	321	Increased debt recovery of council tax due to use of new software system with increased email and text reminders.
Back office integration / further centralisation of Business Support	40	81	81	Additional efficiencies to be investigated further
Improving Absence management with 2 year investment in targeted additional resource	125	200	250	Absence management
Temporary Employment Agency	20	20	20	Creation of SCC Temporary Employment Agency
Council resource review	500	500	500	Review to be implemented in January 2020
Capital Financing	120	940	940	Savings made through borrowing from Public Works Loan Board at a competitive rate for £90m at an interest rate lower than previously assumed in budget figures
<b>Total resources</b>	<b>1,672</b>	<b>2,624</b>	<b>2,649</b>	
<b>Cross cutting</b>				
Procurement contract savings	250	250	250	Target to be allocated across portfolios
Cross cutters (to be allocated)	<b>250</b>	<b>250</b>	<b>250</b>	
<b>OVERALL TOTAL</b>	<b>3,770</b>	<b>6,127</b>	<b>7,197</b>	

	Income Generation Proposal	2020/21 Savings £000	2021/22 Savings £000	2022/23 Savings £000	Additional Information
	<b>Leaders Portfolio</b>				
9	Hire out of parks for events	50	50	50	Additional income from charging for use of assets.
12	Events income	100	100	100	to set budget to actual achievement year on year
	<b>Total leaders</b>	<b>150</b>	<b>150</b>	<b>150</b>	
	<b>Place &amp; Transport Portfolio</b>				
14	Cost Recovery and Charging policy	60	60	60	To identify the true cost of services, including a general review of fees and charges.
15	Increasing commercialisation of the courier service	14	14	14	Potential for extra income to be generated from the recently created new driver position charging externally for deliveries.
16	Offer alternative parking location for contractual car users.	20	20	20	
17	Increase civil enforcement capacity to allow more frequent patrols in some areas to improve compliance with parking regulations.	7	7	7	Would increase compliance on parking.
	<b>Total Place &amp; Transport</b>	<b>101</b>	<b>101</b>	<b>101</b>	
	<b>Resources Portfolio</b>				
19	Property Investment Fund	2,750	2,750	2,750	Potential excess of rental income over financing costs for £200M
20	Highways gain-share to revenue	800	800	800	Current gain share agreement with partner will be paid to revenue rather than capital. The service are currently reviewing the contractual arrangements in order to maximise potential rebates from 2020/21 onwards
21	Improved recovery of income reducing the level of bad debt provision required.	128	250	250	Improved recovery rate resulting in improved bad debt provision
23	Trading with Schools - growing capacity.	30	30	30	To be considered as wider project looking across range of services e.g. legal, data etc.
24	Learning and Development service	20	20	20	Review of in house and traded services
25	Reduction of paper letters sent	30	30	30	Saving on postage and envelopes
26	Increased income from Schools for data charges	15	15	15	Ongoing school data savings
27	Advertising on litter bins.	0	5	5	Net income potential is relatively low across existing recycling bins but could be increased on the new compactor bins
30	Services to the market	30	30	30	legal services
	<b>Total Resources</b>	<b>3,803</b>	<b>3,930</b>	<b>3,930</b>	
	<b>OVERALL TOTAL</b>	<b>4,054</b>	<b>4,181</b>	<b>4,181</b>	

## Investment in Services

Description	2020/21		2021/22		2022/23		Total	
	Revenue	Capital	Revenue	Capital	Revenue	Capital	Revenue	Capital
	£000s	£000s	£000s	£000s	£000s	£000s	£000s	£000s
A city of culture by 2025	319	10	27	0	192	0	539	10
Delivery of Bitterne Community Hub Project	300	0	0	17,600	50	0	350	17,600
Global partnership programme	20	0	20	0	20	0	60	0
Green City Charter	207	1,000	226	0	226	10,000	659	11,000
People and place planning through the Local plan	327	0	112	0	0	0	439	0
<b>Mayflower Quarter phase 1</b>	0	0	0	26,700	0	0	0	26,700
Connected Southampton 2040 (Local Transport Plan 4)	212	960	714	780	714	130	1,640	1,870
Connected City	0	0	100	0	0	0	100	0
Future of work inquiry response	140	0	125	0	55	0	320	0
Itchen bridge payment (Contactless)	248	0	286	0	286	0	820	0
Itchen flood defences	46	0	50	0	50	0	146	0
Implementation of better client handling (new case management system)	104	0	0	0	0	0	104	0
HIGHWAYS CAPITAL programme		4,630		5,630		6,630	0	16,890
Improving surplus generated by our services to reinvest in council services	185	0	191	0	191	0	567	0
Digital Customer Experience Improvement	98	400	0	0	0	0	98	400
Smart Ways Of Working	135	1,657	91	1,000	91	1,000	317	3,657
Organisational Development	200	0	200	0	200	0	600	0
Reducing overheads and streamlining our processes to improve outcomes and services	273	100	45	0	45	0	363	100
Safer Communities	314	0	216	0	162	0	692	0
Community Assets - Outdoor Sports Centre	0	150	0	1,300	0	5,400	0	6,850
Children to get a good start in life	500	0	500	0	500	0	1,500	0
<b>NET TOTAL</b>	<b>3,626</b>	<b>8,907</b>	<b>2,903</b>	<b>53,010</b>	<b>2,782</b>	<b>23,160</b>	<b>9,311</b>	<b>85,077</b>

**NB** the £85.077M capital over three years represents the estimated SCC element of additional funding, after allowing for estimated funding from other sources (some of which is to be confirmed).

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### Equality and Safety Impact Assessment

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

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

<b>Name or Brief Description of Proposal</b>	<b>1:</b> Increasing availability of support and carrying out assessments more quickly to help people to return home after a short stay in residential care on discharge from hospital
<b>Brief Service Profile (including number of customers)</b>	
<p>Southampton City Council is proposing to increase the level of support to help more people to return home after a short stay in residential care following discharge from hospital.</p> <p>Some people need to spend a period of time in residential care after being discharged from hospital and before they can return home. This proposal will use existing policies and processes to ensure that the right support is available to help more people regain their independence and move home from these short term placements more quickly. This will involve an assessment being carried out more quickly by a social work practitioner after the individual has been discharged from hospital into residential or nursing care. This will help to make sure that suitable care arrangements are put in place as quickly as possible to support someone to return home in line with their and their family’s wishes, before there is any deterioration in the individual’s ability to return home. This might involve the provision of home care, reablement care and therapy, adaptations, the use of telecare and other community support.</p> <p>We will increase the proportion of people who return home after a short-term period in a residential care bed following discharge from hospital, in line with national best practice benchmarks.</p> <p>Individuals will only be return home where it is safe and reasonable to do so, and with appropriately assessed care and carers packages in place in line with statutory requirements and guidance. If residential or nursing care was subsequently required, this would be arranged from home in a planned way and in the person’s best interests. Any assessments would be undertaken in consultation with those affected.</p>	

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

The primary impact of this proposal will be that individuals needing a short time in residential care between hospital discharge and returning home, spend less time in that residential setting overall.

Last year, 14 people were discharged in to a residential care home from hospital. 5 returned home after a short stay and 9 became permanent residents. If this proposal is adopted and there were 14 people discharged in similar circumstances, this proposal would mean that 12 would be supported to return home after a short stay and 2 would become permanent residents. These figures are based on the outcome of an independent review of the council's approach to Adult Social Care carried out by the Local Government Association. This found that the council was an outlier in terms of the number of people being supported in residential care and that this was not leading to the best outcomes for people. Research published by the Institute of Public Care, Oxford Brookes University, recommends that at least 75% of people should be supported to return home after a short-term period (no more than six weeks) in a residential care bed, following discharge from hospital. This proposal is based on that recommendation. As well as supporting people to return home in accordance with their and their family's wishes, this leads to a financial saving as the cost of care and other services provided in a person's own home is typically less than the cost of residential care. The average cost to the council of supporting someone in their own home is £10,322 and the average cost to the council of supporting someone in a residential care home is £28,448.

Southampton City Council's driving principle in our approach to supporting people to return home is that individuals are offered the right care, in the right place, at the right time. Best practice guidance states that no one should be admitted directly to long-term care from hospital unless in very exceptional circumstances e.g. for end-of-life care where this is not possible at home. The default pathway should be discharge home, with the right support; reablement (tailored support to maximise a person's capabilities and confidence) should always be considered. This proposal will positively support this approach.

Some people or their families might prefer them to become permanent residents rather than being supported to return home and to make the decision from there. These preferences will be considered in line with the Care Act 2014.

### **Potential Positive Impacts**

This proposal will support more people to return to living within their own homes more quickly, with the right care and support in place to enable them to do so.

This proposal will also help ensure that Southampton City Council meets best practice guidelines around supporting independence and decision making regarding an individual's care and support arrangements.

<b>Responsible Service Manager</b>	Abi Hamilton Service Manager: Complex Care and Hospital Discharge Service, Adults, Housing & Communities
<b>Date</b>	01 October 2019
<b>Approved by Senior Manager</b>	Paul Juan Service Director: Adults, Housing and Communities
<b>Date</b>	01 October 2019

## Potential Impact

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
<b>Age</b>	<p>Older people are more likely to be impacted by this proposal, as it is typically older people (aged over 65) who are discharged from hospital into short stay residential care who then go on to become a permanent resident.</p> <p>Just over 13% of the population in Southampton are aged over 65 (33,508 people) which is lower than the national average of 18.2%</p>	<p>Robust application of Care Act Principles: assessments and reviews will be needs-driven, and the requirements of statutory guidance in respect of choice, access to advocacy where needed and the involvement of carers.</p> <p>The Mental Capacity Act will be used where appropriate to protect the needs and rights of the individuals.</p>
<b>Disability</b>	<p>People living with a disability are more likely to be impacted by this proposal, as it is typically people with disabilities or impairments who are discharged from hospital into short stay residential care who then go on to become a permanent resident.</p> <p>This proposal would improve the situation for people living with a disability as a timely review and the right support would enable them to return home, rather than become permanent residential care residents.</p>	<p>Assessments will be carried out swiftly on discharge from hospital to enable the right support to be put in place to facilitate a safe return home for the individual.</p> <p>‘Discharge to assess’ models will be kept under review to make sure they are working as intended so that (i) short-term admissions to care homes do not end up becoming long-term placements. For example, persuading someone to enter short-term care that is really long-term care because there are no therapies or reablement is wrong in human, consumer and financial terms and ties up budgets; (ii) premature or inappropriate discharge arrangements do not result in readmission to hospital.</p> <p>Care planning and communication with</p>

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
		<p>individuals and families will involve providing clear information about care options, including cost (now and in the future) implications for individual charges of any changes or transfers in care settings.</p>
<b>Gender Reassignment</b>	No identified impact	
<b>Marriage and Civil Partnership</b>	<p>Potential positive impact, as more people would be supported to live at home, rather than away from their spouse or partner.</p> <p>Potential impact of additional caring responsibilities for some spouses/partners.</p>	<p>Any individual who is returning home from a short term stay in residential care will be subject to an assessment, in line with the Care Act, to ensure their needs are met. Where these needs are to be met fully or partially by a carer (including a spouse or partner) rather than a care worker, a carers' assessment will also be undertaken in line with the Care Act.</p> <p>Individuals will only move home where it safe and in the best interests of that individual to do so.</p>
<b>Pregnancy and Maternity</b>	No identified impact	
<b>Race</b>	No identified impact	
<b>Religion or Belief</b>	No identified impact	
<b>Sex</b>	No identified impact	
<b>Sexual Orientation</b>	No identified impact	
<b>Community Safety</b>	No identified impact	
<b>Poverty</b>	Potential positive impact, as the value of an individual's home (where it is owned) is disregarded from the adult social care financial assessment) when someone lives at home (as opposed to being taken into account when they are living permanently in a residential	N/A

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
	care home [subject to certain conditions])	
<b>Health &amp; Wellbeing</b>	Overall positive impact on health and wellbeing.	Any adverse impacts would in any case be mitigated through the robust application of Care Act Principles.
<b>Other Significant Impacts</b>	No other identified impact	

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## Equality and Safety Impact Assessment

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

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

<b>Name or Brief Description of Proposal</b>	2. Making best use of the full range of services that are currently available to support people to live independently in a community setting.
<b>Brief Service Profile (including number of customers)</b>	
<p>Southampton City Council provides support to customers through telecare and other home based community support such as meals on wheels. This allows customers to receive support quickly and efficiently when they need it within their own homes, and making sure that it is the most appropriate help for their needs, whilst promoting their independence. In order to provide the most cost effective service that is able to support customers in the best way possible, it has been proposed to meet lower level needs through increased use of telecare and community support.</p> <p>The proposal is to bring the Southampton City Council’s activity in line with recommendations on the provision of small home care packages made by the Institute of Public Care, Oxford Brookes University.</p>	
<b>Summary of Impact and Issues</b>	
<p>The needs of approximately 400 clients with lower level needs are currently met through home care packages provided by a care agency. Over 5 years, this is expected to reduce to about 100 clients, with more clients being better supported to live independently through improved access to support provided by the voluntary sector (for example through the recently launched SO:Linked project which includes a community navigation service to link people with support available in the city and their communities); the use of telecare (for example, through the provision of a medication dispenser and an alarm unit); through the delivery of hot meals (for example, from City Catering) or by identifying additional community support by using an online community resource directory.</p> <p>As well as supporting greater levels of independence, this proposal is expected to deliver savings to the home care budget, as it is more cost effective to provide support by developing and supporting community networks, telecare and hot meal delivery than paying agencies to provide home care. This is expected to have the</p>	

added benefit of preventing needs arising and delaying needs becoming more complex, and the home care capacity freed up can be used to support people for whom community support would not be suitable or sufficient.

This proposal is about applying a 'strengths-based' approach as the council carries out social care assessments for new clients, which mirrors the approach proposed for existing clients as their packages of care are reviewed. New clients will be offered alternatives to meet their needs, in accordance with the council's existing policy.

The provision of telecare, hot meal delivery, support from friends, neighbours and community groups and other 'strengths-based' approaches would be considered as part of a Care Act individual needs assessment, before a home care package was approved.

Some individuals or their families might prefer to have a home care package than the alternative offered or agreed to meet their needs. These preferences would be considered under the Care Act 2014.

**Potential Positive Impacts**

This proposal will provide more options for lower level care needs to be met within the home and community, supporting increased independence in an efficient and cost effective way.

The proposal will support the council to meet best practice guidelines around supporting independence and decision making regarding an individual's care and support arrangements.

<b>Responsible Service Manager</b>	Sharon Stewart Service Lead: Adult Social Care Service Lead
<b>Date</b>	01 October 2019
<b>Approved by Senior Manager</b>	Paul Juan Service Director: Adults, Housing and Communities
<b>Date</b>	01 October 2019

**Potential Impact**

<b>Impact Assessment</b>	<b>Details of Impact</b>	<b>Possible Solutions &amp; Mitigating Actions</b>
<b>Age</b>	Older people are more likely to be impacted by this proposal, as it is typically older people (aged over 65) who have home care packages to meet lower level needs.  Just over 13% of the population in Southampton are aged over 65	Robust application of Care Act Principles: assessments and reviews will be needs-driven, and the requirements of statutory guidance in respect of choice, access to advocacy where needed

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
	(33,508 people) which is lower than the national average of 18.2%	and the involvement of carers.
<b>Disability</b>	People living with a disability will be impacted by this proposal, as it is disabled people who have home care packages to meet lower level needs.	<p>The Mental Capacity Act will be used where appropriate to protect the needs and rights of the individuals.</p> <p>Assessments will be carried out swiftly on discharge from hospital to enable the right support to be put in place to facilitate a safe return home for the individual.</p> <p>Care planning and communication with individuals and families will involve providing clear information about care options, including cost (now and in the future) implications for individual charges of any changes or transfers in care settings.</p>
<b>Gender Reassignment</b>	No identified impact	
<b>Marriage and Civil Partnership</b>	No identified impact	
<b>Pregnancy and Maternity</b>	No identified impact	
<b>Race</b>	No identified impact	
<b>Religion or Belief</b>	No identified impact	
<b>Sex</b>	No identified impact	
<b>Sexual Orientation</b>	No identified impact	
<b>Community Safety</b>	No identified impact	
<b>Poverty</b>	Some alternative support arrangements such as telecare, hot meal delivery or community groups etc may have associated costs which may be passed on to the client.	Any adverse impacts would be kept under review on an individual basis. Special arrangements would be made in the unusual situation of a client being unable to afford telecare or

<b>Impact Assessment</b>	<b>Details of Impact</b>	<b>Possible Solutions &amp; Mitigating Actions</b>
	These costs are likely to be lower than the client contribution to any home care support package that might be required should these types of alternative support not be put in place.	hot meal delivery, for example.
<b>Health &amp; Wellbeing</b>	Overall positive impact on health and wellbeing.	Any adverse impacts would in any case be mitigated through the robust application of Care Act Principles.
<b>Other Significant Impacts</b>	No other identified impact.	

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

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

<b>Name or Brief Description of Proposal</b>	<b>3. Expanding the successful reablement service so more people benefit from short term, intensive support.</b>
<b>Brief Service Profile (including number of customers)</b>	
<p>Southampton has a well-established approach to reablement care, providing short term, tailored and intensive support to maximise independence, which in turn can prevent, defer or reduce the need for a long-term care package.</p> <p>The council’s activity is currently not in line with the highest performing authorities for the provision of reablement care, as defined by the Institute of Public Care, Oxford Brookes University and as identified through an independent review of adult social care carried out by the Local Government Association in May 2019. This proposal will use existing policies and processes to increase the number of people who are offered reablement services, and therefore reduce overall need for longer term care packages.</p> <p>The current focus is on providing reablement care to people being discharged from hospital, but this proposal will widen this to ensure that it can be offered to people living at home, who approach the council for support for the first time or when their needs change. People who are identified as being most likely to benefit from reablement care will be prioritised for the expanded service.</p>	
<b>Summary of Impact and Issues</b>	
<p>Currently, approximately 26% of people who could benefit from reablement receive this service (approximately 189 people a year). Over 5 years, this is expected to increase to 70% of people who could benefit (approximately 511 people a year in total, if the overall number of people remains the same).</p> <p>Following reablement, approximately 50% of people do not require a long-term package of care, as the reablement has given them the skills, confidence and ability to live independently without this.</p>	

<p>This would meet the targets defined by Oxford Brookes University's Institute of Public Care (an academic body that sets standards for the quality of adult social care provision).</p> <p>Proposals will be in line with the Care Act 2014 and client's needs and wishes (preferences) would continue to be considered as well as kept under review on an ongoing basis.</p> <p>The proposal will widen the scope of offers to be made to include reablement care to people being discharged from hospital and people living in their homes. Under the Care Act people are entitled to request a full assessment at any time.</p>	
<p><b>Potential Positive Impacts</b></p> <p>This proposal will support the council to meet best practice guidelines around supporting independence.</p> <p>The proposal will increase the proportion of people being offered reablement (short term, tailored and intensive support to maximise independence), preventing, deferring or reducing the need for a long-term care package.</p> <p>The proposal will widen the scope of people being offered reablement.</p>	
<p><b>Responsible Service Manager</b></p>	<p>Sharon Stewart Service Lead: Adult Social Care</p>
<p><b>Date</b></p>	<p>01 October 2019</p>
<p><b>Approved by Senior Manager</b></p>	<p>Paul Juan Service Director: Adults, Housing and Communities</p>
<p><b>Date</b></p>	<p>01 October 2019</p>

**Potential Impact**

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
<p><b>Age</b></p>	<p>Older people are more likely to be impacted by this proposal, as it is typically older people (aged over 65) who have home care packages, but this would be a positive impact, as more people would be receiving a service that leads to improved outcomes.</p> <p>Just over 13% of the population in Southampton are aged over 65 (33,508 people) which is lower than the national average of 18.2%.</p>	<p>Robust application of Care Act Principles: assessments and reviews will be needs-driven, and the requirements of statutory guidance in respect of choice, access to advocacy where needed and the involvement of carers.</p> <p>The Mental Capacity Act will be used where appropriate to protect the needs and rights of the individuals.</p>
<p><b>Disability</b></p>	<p>People living with a disability are more likely to be impacted by this proposal, as it is typically people</p>	

<b>Impact Assessment</b>	<b>Details of Impact</b>	<b>Possible Solutions &amp; Mitigating Actions</b>
	<p>living with a disability who have home care packages but this would be a positive impact, as more people would be receiving a service that leads to improved outcomes.</p>	<p>Assessments will be carried out swiftly on discharge from hospital to enable the right support to be put in place to facilitate a safe return home for the individual.</p> <p>Care planning and communication with individuals and families will involve providing clear information about care options, including cost (now and in the future) implications for individual charges of any changes or transfers in care settings.</p>
<b>Gender Reassignment</b>	No identified impact.	
<b>Marriage and Civil Partnership</b>	No identified impact.	
<b>Pregnancy and Maternity</b>	No identified impact.	
<b>Race</b>	No known impacts	
<b>Religion or Belief</b>	No identified impact.	
<b>Sex</b>	No identified impact.	
<b>Sexual Orientation</b>	No identified impact.	
<b>Community Safety</b>	No identified impact.	
<b>Poverty</b>	<p>Of the 326 Local Authorities in England, Southampton is ranked 54th (previously 72nd) most deprived.</p> <p>Reablement is provided free to the individual and there could be a positive impact in 50% of cases as no ongoing care would be needed (meaning the individual does not have to contribute to the cost of this care).</p>	

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
<b>Health &amp; Wellbeing</b>	The health and wellbeing of an individual will be taken into account when deciding on the most appropriate care and support package during and after the implementation of this proposal.	Any adverse impacts would in any case be mitigated through the robust application of Care Act Principles.
<b>Other Significant Impacts</b>	No other identified impact.	

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## Equality and Safety Impact Assessment

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

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

<b>Name or Brief Description of Proposal</b>	<b>4. Occupational Therapy (OT) reviews to identify where equipment can be used to enable care to be provided in the home by one carer.</b>
<b>Brief Service Profile (including number of customers)</b>	
<p>Southampton has a well-established Occupational Therapy (OT) service which currently provides clients with double handed care (the use of two carers) with clients who require manual handling.</p> <p>As part of normal review processes, the council will review whether current care packages are right for clients, and in cases of double handed care, whether that client still requires two carers at once. This may change because of changing need, or the introduction of new equipment and technologies.</p> <p>The proposal is to have Occupational Therapy review all double handed care packages that are being supplied by the council and, where appropriate, reduce this through training and/or the introduction of new equipment, having undertaken appropriate customer, staff and contractor risk assessments.</p> <p>Clients will continue to receive the care and support needed to meet their needs in full. In the future, this may be through one carer using equipment and the latest techniques.</p>	
<b>Summary of Impact and Issues</b>	
<p>Some clients who currently receive double handed care and are visited by two carers at a time will see a change in their support package, reducing to one carer. This will only be implemented after a review of individual care packages in line with statutory guidance and having undertaken appropriate H&amp;S risk assessments for staff and contractors to ensure that this reduction can be made safely, and the needs of the client will continue to be met.</p>	

Currently, approximately 200 people are receiving care packages requiring two carers in attendance at once.

Clients may have new equipment installed in their homes, and this will be done in agreement with the client and/or their representatives, and training and support will be provided. The hoist and sling (MoLift) will be similar in size to the hoist that is currently used for two handed care. The storage and use of the sling will be similar also. The care agency and the family members will need specific training in single handed care and the functions of the hoist. This training will be the responsibility of the prescribing staff member. The care agency will disseminate the training to ensure all carers in attendance are able to use the hoist.

**Potential Positive Impacts**

This proposal will support the council to meet best practice guidelines around supporting independence.

Home care resources will be freed up to support more people in the city (for example, speeding up discharges from hospital, people not having to wait as long for a home care package to start). Clients will be provided with a more tailor-made, personalised level of support in order to provide maximised independence to our clients.

<b>Responsible Service Manager</b>	Sharon Stewart Service Lead: Adult Social Care
<b>Date</b>	01 October 2019
<b>Approved by Senior Manager</b>	Paul Juan Service Director: Adults, Housing and Communities
<b>Date</b>	01 October 2019

**Potential Impact**

<b>Impact Assessment</b>	<b>Details of Impact</b>	<b>Possible Solutions &amp; Mitigating Actions</b>
<b>Age</b>	Older people are more likely to be impacted by this proposal, as it is typically older people (aged over 65) who receive double handed care packages.	Clients will continue to have their needs met in full through a safe way of working and this would be kept under regular review.
<b>Disability</b>	People living with a disability people are more likely to be impacted by this proposal, as it is	

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
	typically disabled people who receive double up care packages.	
<b>Gender Reassignment</b>	No identified impact.	
<b>Marriage and Civil Partnership</b>	No identified impact.	
<b>Pregnancy and Maternity</b>	No identified impact.	
<b>Race</b>	No identified impact.	
<b>Religion or Belief</b>	No identified impact.	
<b>Sex</b>	No identified impact.	
<b>Sexual Orientation</b>	No identified impact.	
<b>Community Safety</b>	No identified impact.	
<b>Poverty</b>	No identified impact.	
<b>Health &amp; Wellbeing</b>	The health and wellbeing of an individual will be taken into account when deciding on the most appropriate care and support package during and after the implementation of this proposal.	<p>Any adverse impacts would be mitigated on a case by case basis through the robust application of Care Act Principles.</p> <p>Assessments and reviews will be needs-driven, and the requirements of statutory guidance in respect of choice, access to advocacy where needed and the involvement of carers.</p> <p>The Mental Capacity Act will be used where appropriate to protect the needs and rights of the individuals. Timely assessments and reviews would be carried out.</p>
<b>Other Significant Impacts</b>	Potential impacts on SCC staff and contractors have been considered. No significant impacts on staff working within the care sector is anticipated.	

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
	<p>SCC staff do not currently deliver home care visits. There is no anticipated reduction in availability of work anticipated for contracted suppliers of these services, as there is currently a shortfall in carers within the city resulting in greater demand than availability of carers. Some care workers may change their visit patterns if some clients move from double to single person requirements, but this is part of normal business and will be part of staff contracts.</p>	

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

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

<b>Name or Brief Description of Proposal</b>	<b>5. Increased availability of housing with care options (‘extra care’) across the city.</b>
<b>Brief Service Profile (including number of customers)</b>	
<p>Southampton City Council has made a commitment to increase its supply of housing with care (also referred to as ‘extra care’ housing) in line with local and national agendas. Housing with care refers to specialist housing designed to effectively accommodate people with additional needs, mostly related to old age and disability (e.g. frailty, mobility and cognitive issues), who would normally struggle to live independently in ordinary housing.</p> <p>Some of the key features of housing with care that enable it to support a wide range of individuals with needs include; purpose built environment (preventing falls and increasing accessibility), 24/7 care, communal restaurant and wellbeing facilities, as well as emergency cover. Housing with care enables individuals to sustain their independence for longer, and either avoid or delay the need for institutional care (such as residential and nursing care settings).</p> <p>The proposal is to expand citywide provision of housing with care to support more people in community based settings and to reduce the city’s reliance on residential care. This approach links to other key agendas for the city, such as the Southampton City Five Year Health &amp; Care Strategy, The Better Care Plan, and housing and adult social care services around personalised support offer.</p> <p>There are currently five housing with care schemes in the city, jointly providing capacity of around 160 units of adapted accommodation for people with needs. Four of these schemes are owned and managed by SCC, and one scheme by Saxon Weald. To maximise the use of this type of housing to support people with care needs most effectively, the city is developing a further 450 – 500 units of extra care housing over the next eight years. This includes Potter’s Court, which will be</p>	

one of the schemes developed as a part of the wider delivery programme and will produce 84 units of extra care accommodation, due to go live in October 2020.

The Potter's Court scheme will accommodate people with identified care and housing need, and will support individuals over the age of 18. While we believe it is more likely the majority of clients will be older people, the lack of age restrictions will enable the council to offer this type of accommodation to younger people who have an assessed care need and would like to be supported in extra care housing.

A number of individuals accessing Potter's Court will have significant care needs. The referrals will come from community settings as well as from residential care. This strategy will result in significant savings to SCC (care delivery is more cost effective in housing with care), but most importantly, housing with care will provide a better environment for people requiring care.

Only people who have been assessed as being suitable for extra care housing will be offered this as an option, based on meeting need and taking account of any preferences expressed by individuals and their families, in accordance with the council's Care and Support Planning Policy and relevant legislation.

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

Overall, the council's strategy to deliver more housing with care accommodation is expected to have a positive impact on people with support needs. This proposal will offer the city's residents suitable accommodation in an independent living setting, while traditionally an alternative for this type of housing would be residential care, which is associated with a loss of independence and an institutional setting.

In addition, housing with care plays a preventative function, whereby people who are likely to develop needs are identified early and encouraged to move to extra care to help manage their conditions. Housing with care can act as a direct alternative to institutional (residential and nursing) care, and contribute to the number of options available to people with support needs.

### **Potential Positive Impacts**

SCC have not identified any negative impacts on individuals in relation to increasing the supply of housing with care. There have been, however, a number of positive impacts identified in relation to individuals' health and wellbeing ' These include:

- slower deterioration of functional ability in comparison to a comparator group in the community – due to the availability of support and adapted environment
- improved social wellbeing, mental health and reduced feeling of isolation – due to the activities and the support offer available
- improved assessment of care needs – due to 24/7 staff availability and regular contact with client
- improved impact on health – evidenced by a reduced use of health facilities (GPs, nursing, shorter hospital stays).

Taken from 'Identifying the Health Care System Benefits of Housing with Care' (2019). Housing Learning Improvement Network and Southampton City Council.

In addition, people that choose to access 'extra care' over residential care can sustain their independent living status due to the sustainment of housing and occupancy rights to their accommodation, which isn't the case for people moving onto residential care.

The development of extra care schemes also benefits the community as the facilities are available to the nearby community that can access the support and facilities available on site, enabling and deepening community interactions. It also produces similar regeneration benefits to other housing developments.

<b>Responsible Service Manager</b>	Paul Juan Service Director: Adults, Housing and Communities
<b>Date</b>	01 October 2019
<b>Approved by Senior Manager</b>	Paul Juan Service Director: Adults, Housing and Communities
<b>Date</b>	01 October 2019

### Potential Impact

<b>Impact Assessment</b>	<b>Details of Impact</b>	<b>Possible Solutions &amp; Mitigating Actions</b>
<b>Age</b>	<p>Potter's Court will be available to individuals over the age of 18 who have an assessed care and housing need.</p> <p>Other extra care housing schemes in the city are currently available to older adults (the age depends on the scheme, but is generally aimed at people who are aged 55 and over). Age criteria for new schemes being planned for the city will be determined following an evaluation of the Potter's Court scheme (and the adjacent new supported housing scheme at Kiln Court).</p>	<p>This is a positive impact – it increases choice of care options for people with needs.</p>
<b>Disability</b>	<p>Potter's Court will be purpose-built to meet the needs of disabled people. This can include people with Mental Health, Learning Disabilities and physical disabilities. It will have appropriate</p>	<p>The provision will expand the number of housing units available to people with needs and disabilities. Care provision will be tailored to meet the needs of individuals. Staff will</p>

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
	<p>support and care on site to cater to needs effectively.</p> <p>Other extra care housing schemes in the city are also purpose-built or adapted to meet the needs of disabled people and have appropriate care and support on site. The design of future schemes will take into account an evaluation of the scheme at Potter's Court when it opens in 2020.</p>	<p>have completed relevant training (see Home Care Framework requirements).</p>
<b>Gender Reassignment</b>	<p>No impacts identified.</p>	
<b>Marriage and Civil Partnership</b>	<p>A proportion of two-bedroom apartments will allow for couples to move in together.</p> <p>Planning of future extra care housing schemes will take in to account demographic forecasts.</p>	
<b>Pregnancy and Maternity</b>	<p>No impacts identified.</p>	
<b>Race</b>	<p>No impacts identified.</p>	
<b>Religion or Belief</b>	<p>No impacts identified.</p>	
<b>Sex</b>	<p>No impacts identified.</p>	
<b>Sexual Orientation</b>	<p>No impacts identified.</p>	
<b>Community Safety</b>	<p>Accommodation access will be by key fobs and staff will support with the day to day management of the scheme and promote safety among residents.</p> <p>Interaction between residents and the wider community is encouraged in existing schemes and this will continue with Potter's Court and new schemes, for example by opening up the restaurant and other facilities (hairdresser, wellbeing, community room etc.).</p>	
<b>Poverty</b>	<p>Individual financial circumstances will be taken into account when assessing care need.</p>	

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
<b>Health &amp; Wellbeing</b>	Positive impact identified as extra care delivers support to enable people to sustain their independence in a community setting.	
<b>Other Significant Impacts</b>	No other impacts identified.	

DRAFT

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

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

<b>Name or Brief Description of Proposal</b>	<b>6. Ensuring direct payments are being used in accordance with care and support plans to meet care needs</b>
<b>Brief Service Profile (including number of customers)</b>	
<p>Southampton City Council currently pays Direct Payments to 326 Adult Social Care clients. These payments are paid into 2 types of accounts. A traditional bank account that is managed by the client in its entirety or into an Allpay account that is set up by the council. Currently 258 Clients use a traditional bank account and 68 have Allpay accounts. The council pays a total of £4m in Direct Payments per year.</p> <p>The council is responsible for auditing payments and accounts to ensure that funds are spending in line with agreed care plans.</p> <p>Where payments are made into a traditional bank account, the client is required to retain evidence to be produced when a financial audit request is received. Where payments are made into an Allpay account, the account is visible on-line to authorised officers of the council, meaning that there is less need for the client to keep documentary evidence (with exceptions such as receipts for cash expenditure).</p> <p>The proposal is to review and audit direct payments to ensure the funds are being used in accordance with the care and support plan in line with council policies.</p> <p>Audit activity in 2019/20 identified that 16% of funds paid into the accounts audited was potentially misspent. Therefore, the proposal is to ensure more rigorous audit activity is undertaken to identify any funds that have been potentially misspent, or remain unused (overpayments). Where appropriate, the council will seek to recover these funds.</p>	

<b>Summary of Impact and Issues</b>	
<p>Clients will continue to receive the care and support needed to meet their needs in full.</p> <p>The use of direct payments will be subject to more regular checks (in accordance with the council's current policy) to make sure that additional support is not needed and that the payment is being used to meet identified care needs. This means that some clients may be required to provide evidence relating to their spend in line with policies and Direct Payment agreements, when this may not previously have been routinely requested.</p> <p>Where overpayments or misused funds are identified, the council may seek to recover these funds.</p>	
<b>Potential Positive Impacts</b>	
<p>This proposal will support the council to meet best practice guidelines around direct payments.</p> <p>More frequent audits will ensure that clients do not accrue large balances, and overpayments are identified quickly.</p> <p>The direct payment process will be more streamlined, encouraging more people to take these up, to have greater control of their personalised care.</p>	
<b>Responsible Service Manager</b>	Louise Ryan Service Manager: Social Wellbeing Service
<b>Date</b>	01 October 2019
<b>Approved by Senior Manager</b>	Paul Juan Service Director: Adults, Housing and Communities
<b>Date</b>	01 October 2019

### Potential Impact

<b>Impact Assessment</b>	<b>Details of Impact</b>	<b>Possible Solutions &amp; Mitigating Actions</b>
<b>Age</b>	No identified impact. This process will be applied in the same way to all Direct Payment recipients, regardless of age.	
<b>Disability</b>	People living with a disability are more likely to be affected by the proposal as this group tend to receive direct payments and therefore are more likely to be impacted by this proposal, as it is	Clients will continue to have their needs met in full; timely reviews would be offered along with support and advice.

<b>Impact Assessment</b>	<b>Details of Impact</b>	<b>Possible Solutions &amp; Mitigating Actions</b>
	typically disabled people who receive direct payments.	
<b>Gender Reassignment</b>	No identified impact.	
<b>Marriage and Civil Partnership</b>	No identified impact.	
<b>Pregnancy and Maternity</b>	No identified impact.	
<b>Race</b>	No identified impact.	
<b>Religion or Belief</b>	No identified impact.	
<b>Sex</b>	No identified impact.	
<b>Sexual Orientation</b>	No identified impact.	
<b>Community Safety</b>	No identified impact.	
<b>Poverty</b>	<p>Of the 326 Local Authorities in England, Southampton is ranked 54th (previously 72nd) most deprived.</p> <p>This proposal will make it more difficult for a direct payment to be used for any other purpose than meeting an individual's assessed unmet care and support needs. This may impact negatively on their finances overall.</p>	<p>People will be signposted to benefit and debt advice as part of the financial assessment for social care (as appropriate).</p> <p>A repayment plan for any payments that have to be repaid will be agreed, having regard to individual circumstances.</p>
<b>Health &amp; Wellbeing</b>	No identified impact.	
<b>Other Significant Impacts</b>	No identified impact.	

## Equality and Safety Impact Assessment

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

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

<b>Name or Brief Description of Proposal</b>	7. The provision of better and earlier advice and information on adult social care and community support etc. to meet Care Act duties on promoting wellbeing and supporting independence
<b>Brief Service Profile (including number of customers)</b>	
<p>Information is currently provided to the public on support services available in the city via the Southampton Information Directory (SID).</p> <p>The proposal is to explore alternative web-based advice system and/or improvements to the current SID system for adult social care.</p> <p>This will be kept more regularly updated with advice and information about support available in people’s communities that can help to prevent needs arising and help to keep people independent and well.</p> <p>We will also maximise the use of SO:Linked, the new Community Support framework that has been commissioned in Southampton (and is provided by Southampton Voluntary Services) to signpost people to support.</p> <p>Overall this is expected to reduce demand on council delivered support services, through signposting and self-service, and to help prevent problems from escalating.</p>	
<b>Summary of Impact and Issues</b>	
<p>Some clients who currently use the Southampton Information Directory may need to visit an alternative website. This would be supported through clear communications and messaging to alert users to any change. This proposal is anticipated to have a positive impact, as any new or improved web experience will provide improved information on a wider scale than previously. That information</p>	

will be more comprehensive and up to date, and will provide intelligent search functions to direct users quickly to relevant information.

Some users currently access information on support services through intermediaries. For example, they will visit face to face advice centres, ask for advice from care and support workers, or phone the council or other advice lines. These users will experience no direct impact, as these channels will remain. However, workers within these channels may move to using any new system and indirectly provide a positive impact to the service users, through having access to a more comprehensive support tool.

The Community Support framework will boost access to and availability of community and voluntary sector organisations and services that can provide practical help and support.

**Potential Positive Impacts**

This proposal is anticipated to have an overall positive impact. The Community Network framework will enable more people to access more help and support in the community, with the improved web-based advice service helping more people to find out what support is available.

<b>Responsible Service Manager</b>	Anita Hill Team Manager: Adult Social Care Connect Team
<b>Date</b>	01 October 2019
<b>Approved by Senior Manager</b>	Paul Juan Service Director: Adults, Housing and Communities
<b>Date</b>	01 October 2019

**Potential Impact**

<b>Impact Assessment</b>	<b>Details of Impact</b>	<b>Possible Solutions &amp; Mitigating Actions</b>
<b>Age</b>	Older people are more likely to be impacted by this proposal, as it is typically older people (aged over 65) who have adult social care needs that can be prevented or deferred through the provision of advice and information.	Communications will be accessible and tailored.  The existing council provided Connect Service will remain available to provide telephone and email advice and support and triage clients with the most complex needs for appropriate follow up.
<b>Disability</b>	People living with a disability are more likely to be impacted by this proposal, as it is typically disabled people who have adult social care needs that can be prevented or	The use of systems will be monitored in order to identify any safeguarding

<b>Impact Assessment</b>	<b>Details of Impact</b>	<b>Possible Solutions &amp; Mitigating Actions</b>
	deferred through the provision of advice and information.	concerns, which will then be addressed.  The service will complement existing services in order to meet Care Act requirements to provide early advice and support in order to prevent needs arising.
<b>Gender Reassignment</b>	No identified impact	
<b>Marriage and Civil Partnership</b>	No identified impact	
<b>Pregnancy and Maternity</b>	No identified impact	
<b>Race</b>	No identified impact	
<b>Religion or Belief</b>	No identified impact	
<b>Sex</b>	No identified impact	
<b>Sexual Orientation</b>	No identified impact	
<b>Community Safety</b>	No identified impact	
<b>Poverty</b>	In some cases, accessing support via the internet can have associated costs (access to a computer or data costs).	The council will continue to ensure that residents can access online services for free in libraries and other community and partner venues, to ensure that they do not need own personal devices or data to access online services.  Access to alternative channels for information will not be impacted by this proposal.
<b>Health &amp; Wellbeing</b>	No identified impact	
<b>Other Significant Impacts</b>	No other identified impacts.	

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

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

<b>Name or Brief Description of Proposal</b>	8. Developing a ‘Level 4’ Specialist Foster Care scheme in Southampton
<b>Brief Service Profile (including number of customers)</b>	
<p>The proposal is to develop a Specialist Foster Care scheme in Southampton, by introducing an additional level (level 4) to the fee structure, for those carers able to care for children and young people with complex behavioural needs who are currently placed in out of city Residential Settings or Independent Fostering Agency placements.</p> <p>The specialist scheme will offer placements to those with the highest level of need, particularly older children exhibiting challenging and/or risky behaviour who would currently be more likely to be placed externally.</p> <p>This enhanced ‘Level 4’ service will enable Looked After Children (LAC), for whom Southampton City Council hold a corporate parenting responsibly, to be brought back into the city to access specialist in-house foster care services and therefore improve overall outcomes, increasing their chances to be successful. This proposal also allows the service to reduce the dependency on specialist services being purchased outside of the city, where positive outcomes are impacted due to children being geographically dispersed.</p> <p>Weekly payments to foster carers have two elements – a fee and an allowance. The allowance is the amount paid to the carer for the upkeep of the child – this includes food and clothing as well as a contribution towards household costs, transport etc. The fee is paid to the carer as a reward for the skills and experience they bring to the role of fostering. This is not a salary - all foster carers are self-employed, not employees of the agencies they foster for. This proposal will</p>	

introduce a new 'level 4' fee for those foster carers that are able to care for children with complex behavioural needs.

A team of workers will be created to provide the fostering service and specialist carers with a high level of wrap-around support so that placements remain stable. This support will consist of:

- 1.0FTE Supervising Social Worker
- 0.5FTE Psychologist
- 1.0FTE Mental Health Social Worker
- 3.0FTE Family Engagement Workers
- 1.0FTE Administrator

The scheme will be piloted with six fostering households, recruited both externally and from the in-house foster carer population. Assuming some households would be approved for more than one child, the initial capacity of the service would be around 10 children.

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

This proposal will affect around 10 children and young people who are currently placed outside the city in Residential Care settings, and new children who are being placed in a care setting who might previously have been placed outside the city in a Residential Care setting or with an Independent Fostering Agency (IFA) placement. For those children and young people this proposal is anticipated to have an overall positive impact, in providing a supportive wrap-around service within the city, keeping children and young people within their communities where suitable, and minimising disruption when they are moved into care placements.

Where a child or young person is already in a placement outside the city and consideration is given to a move into a new placement within the 'Level 4' service in Southampton, a full assessment will be undertaken to ensure that the move is positive and will not have negative impacts on the child or young person.

This proposal will also affect foster carers within the city who opt to take part in the 'Level 4' service. These carers will be given support and training before a child or young person with more complex behavioural needs is placed with them, and throughout the placement. Placements will only be made where it is deemed safe and suitable for both the child/young person and the carer. The 'Level 4' enhanced fee is reflective of the additional skills and experience required to support these placements.

### **Potential Positive Impacts**

This proposal is anticipated to have an overall positive impact for children and young people who are currently or would be placed outside the city, by ensuring that the council can deliver a 'wrap-around' and holistic services including therapeutic work and education within the city.

Outcomes for those children and young people are expected to improve, as remaining within their communities and familiar settings will be less disruptive when placed in a care setting. Remaining within the city will also support children's social care practitioners to be continually revisiting opportunities for children to return home to their families at the earliest point.

Staff time will be reduced in terms of travelling to visit children if they are within the city boundaries, meaning that workers will be more productive and can achieve better outcomes for our children and young people. Dependency on longer term services can again be minimised by ensuring that children are able to access good quality local education, health support and mental health support in their local area.

Improving our 'in house' foster care service will also reduce costs of individual placements (recognising that out of city Residential or IFA placements are generally higher cost), meaning that funds can be used effectively to meet need across the service.

<b>Responsible Service Manager</b>	Sharon Hawkes Service Lead: Children's Social Care
<b>Date</b>	01 October 2019
<b>Approved by Senior Manager</b>	Hilary Brooks Service Director: Children, Families and Education
<b>Date</b>	01 October 2019

### Potential Impact

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
<b>Age</b>	<p>This proposal will mostly impact children and young people – predominantly the 'older' age group (generally 10-18).</p> <p>The initial capacity of the service would mean that this service will impact around 10 children.</p> <p>The overall impact is anticipated to be positive for these children, by ensuring that the council can deliver a 'wrap-around' and holistic services including therapeutic work and education within the city.</p> <p>Remaining within their communities and familiar settings will be minimise disruption to children when placed in a care setting.</p>	<p>Full assessments will be undertaken to ensure that the placement is safe and suitable for the individual child and meets their needs.</p> <p>If a child is being moved from an out of city residential placement, a full assessment will be undertaken to ensure that the move is positive and will not have negative impacts on the child or young person.</p>

<b>Impact Assessment</b>	<b>Details of Impact</b>	<b>Possible Solutions &amp; Mitigating Actions</b>
<b>Disability</b>	<p>The specialist scheme will offer placements to those with the highest level of need, particularly older children exhibiting challenging and/or risky behaviour.</p> <p>Children and young people with complex behavioural needs may also be living with a disability, including learning disabilities and mental health needs.</p>	<p>Any child or young person being placed in a foster care setting will have their needs assessed, and the placement will only be agreed where it is safe and suitable and meets the needs of the individual child.</p> <p>Where the child or young person is living with a disability they will be supported under the council's SEND service and provided with support in line with the Education Health and Care Plan (EHCP).</p>
<b>Gender Reassignment</b>	No identified impact.	
<b>Marriage and Civil Partnership</b>	No identified impact.	
<b>Pregnancy and Maternity</b>	<p>This proposal will support older children and young people (generally 10-18) who have complex behavioural needs. Therefore this proposal is not anticipated to have any impact on children entering care at birth and their mothers.</p>	
<b>Race</b>	No identified impact.	
<b>Religion or Belief</b>	No identified impact.	
<b>Sex</b>	<p>In general, the children likely to be in scope of this proposal include more males. However, the support delivered through the Level 4 Fostering approach will not be differentiated between sexes, and will be offered based on need rather than sex.</p>	
<b>Sexual Orientation</b>	No identified impact.	
<b>Community Safety</b>	The specialist scheme will offer placements to those with the highest level of need, particularly older children exhibiting	This proposal will relate to a small cohort of children and young people (around 10). Each placement will be

<b>Impact Assessment</b>	<b>Details of Impact</b>	<b>Possible Solutions &amp; Mitigating Actions</b>
	<p>challenging and/or risky behaviour within Southampton.</p> <p>Whilst the overall impact of remaining in the city is considered to be positive, there is a risk of negative impact on community safety. If antisocial behaviour persists within the placement this could have an impact on residents in the area. Furthermore, remaining within a locality could encourage a child or young person to persist in anti-social behaviours where this is linked to a social group or other local influences.</p>	<p>subject to assessment, which, on a case by case basis, will consider the impacts of the location of placement in order to take into account any individual circumstances and minimise risk for the young person, carers, and community. Ongoing assessment will be in place alongside wraparound support to address any behavioural needs.</p>
<b>Poverty</b>	No identified impact.	
<b>Health &amp; Wellbeing</b>	No identified impact.	
<b>Other Significant Impacts</b>	No other identified impact.	

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## **Budget Proposals 2020/21 Equality and Safety Cumulative Impact Assessment**

October 2019

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# Equality and Safety Cumulative Impact Assessment

## Introduction

1. Southampton City Council, in line with its statutory responsibilities, undertakes Equality and Safety Impact Assessments (ESIAs). ESIAs provide a systematic way of assessing the impact of policies, strategies, programmes, projects, services or functions on different equality groups - and on poverty and community safety. During the council's annual budget cycle, ESIAs are completed for all proposals identified as requiring them to inform decision making.
2. This document draws into one place a summary of all the ESIAs for the 2020/21 budget proposals. This assessment focuses on service based proposals identified as having a direct impact on customers/residents. In addition, there are a range of budget proposals which are efficiencies and do not have a disproportionate impact for people within the equalities legislation, and therefore are not represented by ESIAs.
3. It is important to fully understand the impact of the budget proposals on equality groups (identified in paragraph 10) and on community safety, poverty and health and wellbeing. The council, working with others, will need to take action to mitigate the collective impact of any such proposals. Mitigating actions could include re-shaping services to target more efficiently and to reduce the potential of disproportionate impacts on equalities groups, community safety, poverty and health and wellbeing.
4. Consultation will be undertaken with residents and stakeholders on the draft budget proposals between 16 October 2019 and 8 January 2020. Analysis on consultation feedback will be considered by the Cabinet before they finalise their budget proposals that will be recommended to Full Council in February 2020 when it will set the budget. Feedback will be incorporated into the relevant individual Equality and Safety Impact Assessments and reflected in an updated version of this Cumulative Impact Assessment.

## Context

5. Local government has had to change significantly in response to ongoing changes in the city's profile, trends in customer behaviour, national and local policies and the austerity challenges. This is accompanied by ongoing challenges in the shape of rising demand in adults and children's social care.
6. On 4 September 2019 the Government published the Spending Round 2019, which announced additional funding for Local Government, in particular in relation to adult social care. Southampton City Council has not yet received a financial settlement for 2020/21, and this is expected at the end of 2019. This CIA will be updated following further announcements from the government regarding funding allocations 2020/21.
7. This Cumulative Impact Assessment covers the budget proposals for the financial year 2020/21 which are being considered by Cabinet from October 2019, and will be proposed to Full Council in February 2020. These proposals should be considered in addition to proposals set out in the [Cumulative Impact Assessment published in February 2019](#), which included proposals for 2019/20 and 2020/21. The overall impact of both the decisions made in February 2019 and this set of proposals is demonstrated in **Appendix 1**.

## Legal Framework – Equalities

8. The Equality Duty, section 149 of the Equality Act, came into effect on 5<sup>th</sup> April 2011 and places a duty on all public bodies and others carrying out public functions.
9. The Public Sector Equality Duty (the Equality Duty) replaced three previous public sector equality duties – for race, disability and gender, and broadened the breadth of protected characteristics to include:
  - Age
  - Disability
  - Gender reassignment
  - Marriage and civil partnership, but only in respect of the requirements to have due regard to the need to eliminate discrimination.
  - Pregnancy and maternity
  - Race – ethnic or national origins, colour or nationality
  - Religion or Belief – including lack of belief
  - Sex
  - Sexual orientation.
10. The Act was designed to ensure public bodies consider the needs of all individuals in their day to day work, including: shaping policy, delivering services and employment of employees. It requires public bodies, such as local councils not to discriminate against any person on the basis of a protected characteristic such as disability. The legislation strengthened existing provisions about discrimination to also include associative and perceptive discrimination as well as direct and indirect discrimination.
11. Direct discrimination occurs when a rule, policy or practice offers less favourable treatment to a group and indirect discrimination occurs by introducing a rule, policy or practice that applies to everyone but particularly disadvantages people who have a protected characteristic. Direct discrimination will always be unlawful. Indirect discrimination will not be unlawful if it can be justified, for instance it can be shown that the rule, policy or practice was intended to meet a legitimate objective in a fair, balanced and reasonable way.
12. In considering whether or not any indirect discrimination is justified, the council must consider whether or not there is any other way to meet their objective that is not discriminatory or is less likely to disadvantage those with protected characteristics. This may well mean setting out clearly whether or not consideration has been given to other ways of achieving these objectives.
13. The Equality Duty does not impose a legal requirement to conduct an Equality and Safety Impact Assessment, rather it requires public bodies to demonstrate their consideration of the Equality Duty and the conscious thought of the Equality Duty as part of the process of decision-making. This entails an understanding of the potential effect the organisation's activities could have on different people and a record of how decisions were reached. Producing an Equality Impact Assessment post decision making is non-compliant with the Public Sector Equality Duty. For this reason the council requires adherence to the existing impact assessment framework.

## Legal Framework - Community Safety

14. Community Safety is a broad term. It refers to the protection of local communities from the threat and consequence of criminal and anti-social behaviour by achieving reductions in relation to both crime and the fear of crime.
15. Section 17 of the Crime and Disorder Act 1998, as amended by the Police and Justice Act 2006, requires responsible authorities to consider crime and disorder, including antisocial behaviour and other behaviour adversely affecting the local environment; and the misuse of drugs, alcohol and other substances in the exercise of all their duties, activities and decision-making. This means consideration must be given to the likely impact on crime and disorder in the development of any policies, strategies and service delivery. This responsibility affects all employees of the council.
16. This responsibility is summed up by guidance issued by the Home Office. This guidance describes the legal responsibility as: *'a general duty on each local authority to take account of the community safety dimension in all of its work. All policies, strategies, plans and budgets will need to be considered from the standpoint of their potential contribution to the reduction of crime and disorder'*.

## Other considerations

17. In line with the [Southampton Joint Health and Wellbeing 2017-2025](#), the council has committed to ensuring that health inequalities are taken into account in policy development, commissioning and service delivery. This means that consideration will be given to impacts on health and wellbeing in the ESIA's.
18. The council's approach on assessing the impact of its policies, proposals and decisions, is designed to demonstrate that it has acted over and above its statutory duties. This is reflected in including poverty in the ESIA, as the council is committed to addressing the impact on poverty for people in work and unemployed and for other low income households.
19. The ESIA's also consider any other significant impacts that in relation to the proposal and decision.

## Scope and our approach

20. This assessment identifies areas where there is a risk that changes resulting from individual budget proposals for 2020/21, may have, when considered together, negative impacts on particular groups.
21. It is important to note this is an ongoing process. As individual budget proposals are developed and implemented, they will be subject to further assessment. This assessment also describes mitigating actions that will need to be considered.
22. In order to inform decision-making on the budget proposals, the council has taken the following steps:
  - Managers identified proposals which in their view require an Equality and Safety Impact Assessment (ESIA).
  - All budget proposals have been screened independently by a group of officers to consider whether or not an ESIA was required. This was based on an assessment

of whether or not they were likely to have a disproportionate equalities impact on particular groups of residents, or have implications for community safety, health and wellbeing or increasing poverty.

- This resulted in a list of proposals for which an ESIA was clearly required and those for which further detail was needed to be gathered before making a decision.
- As a result of the screening, ESIA's have been produced for every proposal assessed as requiring one. These primarily focus on the impact of proposals on residents and service users.

23. This Cumulative Impact Assessment will be updated and developed based on the final proposals and detail of individual ESIA's. It will also be informed by the feedback from residents and stakeholders as part of the public budget consultation.

## City Profile

24. The most recent data available for the population of Southampton is from the Office of National Statistics mid-year estimate 2018. This puts the total figure at 252,796. There were 129,167 (51.1%) males and 123,629 (48.9%) females. Southampton's population is predicted to increase to 273,020 people by 2025, a rise of 6.5% (16,561 people) from 2018.

25. However, the 2011 Census provides a more detailed population profile for the city. According to this, in 2011 the city's population profile comprised 236,900 residents and:

- There were 122,368 females and 127,168 males, a 49% to 51% split.
- 77.7% of residents were white British (compared to 88.7% in 2001).
- The 'Other white' population, which includes migrants from Europe, increased by over 200% (from 5,519 to 17,461) compared to Census 2001.
- The largest percentage increase is in our 'other Asian' population, which increased from 833 to 5,281 people compared to Census 2001.
- It is estimated that there are 26,929 residents whose main language is not English; of these 717 cannot speak English at all and a further 4,587 do not speak it well. In 2019 there were 149 different languages spoken in schools across Southampton.
- 4,672 residents in Southampton are aged 85 or over, of whom 834 are in bad or very bad health and have a long-term illness or disability.

26. The Index of Multiple Deprivation (IMD) provides another range of data about the city. It focuses on the geographical profile of poverty but there is also a link between equality strands and risk factors for poverty. The most recent IMD was published in 2019, and covers the period between 2015/16. It indicates that, during this period, Southampton became relatively less deprived compared to other places in the country. Of the 317 local authorities in England, Southampton is now ranked 55<sup>th</sup> most deprived, compared to 54<sup>th</sup> in IMD 2015.

**Table1:  
Budget Proposals: Negative Impact By Protected Characteristics, Community Safety, Health and Wellbeing and Poverty.**

Code	Description of Proposal	Age	Disability	Gender Reassignment	Marriage & Civil Partnership	Pregnancy & Maternity	Race	Religion & Belief	Sex	Sexual Orientation	Community Safety	Poverty	Health & Wellbeing	Other
<b>People in Southampton live safe, healthy, independent lives</b>														
1	Increasing availability of support and carrying out assessments more quickly to help people to return home after a short stay in residential care on discharge from hospital	*	*		*									
2	Making best use of the full range of services that are currently available to support people to live independently in a community setting	*	*									*		
3	Expanding the successful reablement service so more people benefit from short term, intensive support	*	*											
4	Occupational Therapy (OT) reviews to identify where equipment can be used to enable care to be provided in the home by one carer	*	*											*
5	Increased availability of housing with care options ('extra care') across the city	*	*											
6	Ensuring direct payments are being used in accordance with care and support plans to meet care needs		*									*		
7	The provision of better and earlier advice and information on adult social care and community support etc. to meet Care Act duties on promoting wellbeing and supporting independence	*	*									*		
<b>Children and young people get a good start in life</b>														
8	Developing a 'Level 4' Specialist Foster Care scheme in Southampton	*	*								*			

## Age – Older people

27. People in later life may be more likely to use some council services and so may be more vulnerable than the general population to reductions or changes in those services. This vulnerability will be worsened for those living on low incomes. Some older people may feel the impact of several proposals. Some of the most significant are those relating to social care, and accessing services and information.
28. The proposals for adult social care are designed to improve the quality of adult social care services and to ensure that the way that the council works gives people aged over 65 the best opportunity to live independently.
29. The proposals being considered in the Budget are designed to deliver support more older people to live independently. For example, the proposals will provide older people with improved access to advice and information, which may prevent any social care needs arising in the first place or worsening.
30. If and when older people do need support, these proposals offer more people “reablement care”. This is currently offered to people being discharged from hospital but it would be extended so that others could benefit. Reablement care is offered at no cost to the individual on a short term basis, in a way that is tailored to their needs. People who receive reablement care are more likely to reach their individual goals and to not need ongoing support, but ongoing support would still be available to those who need it. Older people identified as having lower level needs at any stage (this might be people who are receiving advice and information and those receiving reablement) will be offered options for how these needs could be met. It is anticipated that more people could benefit from telecare, hot meal delivery, befriending groups etc. to provide support and reassurance as a result of these proposals.
31. These proposals also mean that people being discharged from hospital into a care home would receive an earlier social care assessment with a view to supporting all those that can to return to their own homes. People in this situation generally already benefit from reablement care. They would also routinely be offered telecare and any other community based service that could support them to remain living independently at home. They would also have improved access to advice and information and support to plan ahead should their circumstances change. Older people who currently receive care at home from two carers would receive a review to see whether any equipment could mean that care could safely be given by one carer.
32. These Budget proposals may impact on individuals affected by Budget proposals agreed by Council in February 2019. The Budget decision taken in February 2019 to increase the amount some people have to pay towards their non-residential care (home care) means that some may face financial hardship if they are required to make a further contribution towards the cost of telecare, hot meal delivery or any other chargeable service provided in addition to home care. There is a mechanism in place to mitigate any negative impact of this by taking into account essential expenditure incurred because of a person’s disability as part of their financial assessment. For example, the cost of telecare and other services would not be taken into account as income as it is a disability related expense. This means that the person would not be worse off overall because of having to pay for these services. In exceptional circumstances, the council will consider options to defer, suspend or waive any charges.

33. Adult social care decisions are undertaken in the best interest of the individual taking personal circumstances into account, and cumulative impacts will be considered on a case by case basis where appropriate.
34. **1: Increasing availability of support and carrying out assessments more quickly to help people to return home after a short stay in residential care on discharge from hospital.** Southampton City Council is proposing to increase the level of support to help more people to return home after a short stay in residential care following discharge from hospital.
35. Some people need to spend a period of time in residential care after being discharged from hospital and before they can return home. This proposal will use existing policies and processes to ensure that the right support is available to help more people regain their independence and move home from these short term placements more quickly. This will involve an assessment being carried out more quickly by a social work practitioner after the individual has been discharged from hospital into residential or nursing care. This will help to make sure that suitable care arrangements are put in place as quickly as possible to support someone to return home in line with their and their family's wishes, before there is any deterioration in the individual's ability to return home. This might involve the provision of home care, reablement care and therapy, adaptations, the use of telecare and other community support.
36. We will increase the proportion of people who return home after a short-term period in a residential care bed following discharge from hospital, in line with national best practice benchmarks.
37. Individuals will only be return home where it is safe and reasonable to do so, and with appropriately assessed care and carers packages in place in line with statutory requirements and guidance. If residential or nursing care was subsequently required, this would be arranged from home in a planned way and in the person's best interests. Any assessments would be undertaken in consultation with those affected.
38. We have identified the following impacts:
- Older people are more likely to be impacted by this proposal, as it is typically older people (aged over 65) who are discharged from hospital into short stay residential care who then go on to become a permanent resident.
  - Just over 13% of the population in Southampton are aged over 65 (33,508 people) which is lower than the national average of 18.2%.
  - The primary impact of this proposal will be that individuals needing a short time in residential care between hospital discharge and returning home, spend less time in that residential setting overall.
  - Last year, 14 people were discharged in to a residential care home from hospital. 5 returned home after a short stay and 9 became permanent residents. If this proposal is adopted and there were 14 people discharged in similar circumstances, this proposal would mean that 12 would be supported to return home after a short stay and 2 would become permanent residents.
  - Some people or their families might prefer them to become permanent residents rather than being supported to return home and to make the decision from there. These preferences will be considered in line with the Care Act 2014.
39. We have identified the following mitigations:

- Robust application of Care Act Principles: assessments and reviews will be needs-driven, and the requirements of statutory guidance in respect of choice, access to advocacy where needed and the involvement of carers.
- The Mental Capacity Act will be used where appropriate to protect the needs and rights of the individuals.
- Assessments will be carried out swiftly on discharge from hospital to enable the right support to be put in place to facilitate a safe return home for the individual.
- 'Discharge to assess' models will be kept under review to make sure they are working as intended so that (i) short-term admissions to care homes do not end up becoming long-term placements. For example, persuading someone to enter short-term care that is really long-term care because there are no therapies or reablement is wrong in human, consumer and financial terms and ties up budgets; (ii) premature or inappropriate discharge arrangements do not result in readmission to hospital.
- Care planning and communication with individuals and families will involve providing clear information about care options, including cost (now and in the future) implications for individual charges of any changes or transfers in care settings.

40. Southampton City Council's driving principle in our approach to supporting people to return home is that individuals are offered the right care, in the right place, at the right time. Best practice guidance states that no one should be admitted directly to long-term care from hospital unless in very exceptional circumstances e.g. for end-of-life care where this is not possible at home. The default pathway should be discharge home, with the right support; reablement (tailored support to maximise a person's capabilities and confidence) should always be considered. This proposal will positively support this approach.

41. For all groups, this proposal will support more people to return to living within their own homes more quickly, with the right care and support in place to enable them to do so.

42. This proposal will also help ensure that Southampton City Council meets best practice guidelines around supporting independence and decision making regarding an individual's care and support arrangements.

**43.2: Making best use of the full range of services that are currently available to support people to live independently in a community setting.** Southampton City Council provides support to customers through telecare and other home based community support such as meals on wheels. This allows customers to receive support quickly and efficiently when they need it within their own homes, and making sure that it is the most appropriate help for their needs, whilst promoting their independence. In order to provide the most cost effective service that is able to support customers in the best way possible, it has been proposed to meet lower level needs through increased use of telecare and community support.

44. The proposal is to bring the Southampton City Council's activity in line with recommendations on the provision of small home care packages made by the Institute of Public Care, Oxford Brookes University.

45. The needs of approximately 400 clients with lower level needs are currently met through home care packages provided by a care agency. Over 5 years, this is expected to reduce to about 100 clients, with more clients being better supported to live independently through improved access to support provided by the voluntary

sector (for example through the recently launched SO:Linked project which includes a community navigation service to link people with support available in the city and their communities); the use of telecare (for example, through the provision of a medication dispenser and an alarm unit); through the delivery of hot meals (for example, from City Catering) or by identifying additional community support by using an online community resource directory.

46. This proposal is about applying a 'strengths-based' approach as the council carries out social care assessments for new clients, which mirrors the approach proposed for existing clients as their packages of care are reviewed. New clients will be offered alternatives to meet their needs, in accordance with the council's existing policy.

47. The provision of telecare, hot meal delivery, support from friends, neighbours and community groups and other 'strengths-based' approaches would be considered as part of a Care Act individual needs assessment, before a homecare package was approved.

48. We have identified the following impacts:

- Older people are more likely to be impacted by this proposal, as it is typically older people (aged over 65) who have home care packages to meet lower level needs.
- Just over 13% of the population in Southampton are aged over 65 (33,508 people) which is lower than the national average of 18.2%.
- Some individuals or their families might prefer to have a homecare package than the alternative offered or agreed to meet their needs. These preferences would be considered under the Care Act 2014.

49. We have identified the following mitigations:

- Robust application of Care Act Principles: assessments and reviews will be needs-driven, and the requirements of statutory guidance in respect of choice, access to advocacy where needed and the involvement of carers.
- The Mental Capacity Act will be used where appropriate to protect the needs and rights of the individuals.
- Assessments will be carried out swiftly on discharge from hospital to enable the right support to be put in place to facilitate a safe return home for the individual.
- Care planning and communication with individuals and families will involve providing clear information about care options, including cost (now and in the future) implications for individual charges of any changes or transfers in care settings.

50. As well as supporting greater levels of independence, this proposal is expected to deliver savings to the home care budget, as it is more cost effective to provide support by developing and supporting community networks, telecare and hot meal delivery than paying agencies to provide home care. This is expected to have the added benefit of preventing needs arising and delaying needs becoming more complex, and the home care capacity freed up can be used to support people for whom community support would not be suitable or sufficient.

51. Across all groups, this proposal will provide more options for lower level care needs to be met within the home and community, supporting increased independence in an efficient and cost effective way.

52. This proposal will also support the council to meet best practice guidelines around supporting independence and decision making regarding an individual's care and support arrangements.
53. **3: Expanding the successful reablement service so more people benefit from short term, intensive support.** Southampton has a well-established approach to reablement care, providing short term, tailored and intensive support to maximise independence, which in turn can prevent, defer or reduce the need for a long-term care package.
54. The council's activity is currently not in line with the highest performing authorities for the provision of reablement care, as defined by the Institute of Public Care, Oxford Brookes University and as identified through an independent review of adult social care carried out by the Local Government Association in May 2019. This proposal will use existing policies and processes to increase the number of people who are offered reablement services, and therefore reduce overall need for longer term care packages.
55. The current focus is on providing reablement care to people being discharged from hospital, but this proposal will widen this to ensure that it can be offered to people living at home, who approach the council for support for the first time or when their needs change. People who are identified as being most likely to benefit from reablement care will be prioritised for the expanded service.
56. Currently, approximately 26% of people who could benefit from reablement receive this service (approximately 189 people a year). Over 5 years, this is expected to increase to 70% of people who could benefit (approximately 511 people a year in total, if the overall number of people remains the same).
57. Following reablement, approximately 50% of people do not require a long-term package of care, as the reablement has given them the skills, confidence and ability to live independently without this.
58. This would meet the targets defined by Oxford Brookes University's Institute of Public Care (an academic body that sets standards for the quality of adult social care provision).
59. We have identified the following impacts:
- Older people are more likely to be impacted by this proposal, as it is typically older people (aged over 65) who have home care packages, but this would be a positive impact, as more people would be receiving a service that leads to improved outcomes.
  - Just over 13% of the population in Southampton are aged over 65 (33,508 people) which is lower than the national average of 18.2%.
  - The proposal will widen the scope of offers to be made to include reablement care to people being discharged from hospital and people living in their homes. Under the Care Act people are entitled to request a full assessment at any time.
60. We have identified the following mitigations:
- Robust application of Care Act Principles: assessments and reviews will be needs-driven, and the requirements of statutory guidance in respect of choice, access to advocacy where needed and the involvement of carers.
  - The Mental Capacity Act will be used where appropriate to protect the needs and rights of the individuals.

- Assessments will be carried out swiftly on discharge from hospital to enable the right support to be put in place to facilitate a safe return home for the individual.
- Care planning and communication with individuals and families will involve providing clear information about care options, including cost (now and in the future) implications for individual charges of any changes or transfers in care settings.
- This proposal will provide more options for lower level care needs to be met within the home and community, supporting increased independence in an efficient and cost effective way.

61. Proposals will be in line with the Care Act 2014 and client's needs and wishes (preferences) would continue to be considered as well as kept under review on an ongoing basis.

62. This proposal will support the council to meet best practice guidelines around supporting independence.

63. The proposal will increase the proportion of people being offered reablement (short term, tailored and intensive support to maximise independence), preventing, deferring or reducing the need for a long-term care package. The proposal will also widen the scope of people being offered reablement.

**64. 4: Occupational Therapy (OT) reviews to identify where equipment can be used to enable care to be provided in the home by one carer.** Southampton has a well-established Occupational Therapy (OT) service which currently provides clients with double handed care (the use of two carers) with clients who require manual handling.

65. As part of normal review processes, the council will review whether current care packages are right for clients, and in cases of double handed care, whether that client still requires two carers at once. This may change because of changing need, or the introduction of new equipment and technologies.

66. The proposal is to have Occupational Therapy review all double handed care packages that are being supplied by the council and, where appropriate, reduce this through training and/or the introduction of new equipment, having undertaken appropriate customer, staff and contractor risk assessments.

67. Clients will continue to receive the care and support needed to meet their needs in full. In the future, this may be through one carer using equipment and the latest techniques.

68. We have identified the following impacts:

- Older people are more likely to be impacted by this proposal, as it is typically older people (aged over 65) who receive double handed care packages.
- Some clients who currently receive double handed care and are visited by two carers at a time will see a change in their support package, reducing to one carer. This will only be implemented after a review of individual care packages in line with statutory guidance and having undertaken appropriate H&S risk assessments for staff and contractors to ensure that this reduction can be made safely, and the needs of the client will continue to be met.
- Currently, approximately 200 people are receiving care packages requiring two carers in attendance at once.

- Clients may have new equipment installed in their homes, and this will be done in agreement with the client and/or their representatives, and training and support will be provided.

69. We have identified the following mitigation:

- Clients will continue to have their needs met in full through a safe way of working and this would be kept under regular review.

70. The hoist and sling (MoLift) will be similar in size to the hoist that is currently used for two handed care. The storage and use of the sling will be similar also. The care agency and the family members will need specific training in single handed care and the functions of the hoist. This training will be the responsibility of the prescribing staff member. The care agency will disseminate the training to ensure all carers in attendance are able to use the hoist.

71. This proposal will support the council to meet best practice guidelines around supporting independence.

72. Home care resources will be freed up to support more people in the city (for example, speeding up discharges from hospital, people not having to wait as long for a home care package to start). Clients will be provided with a more tailor-made, personalised level of support in order to provide maximised independence to our clients.

**73. 5. Increased availability of housing with care options ('extra care') across the city.** Southampton City Council has made a commitment to increase its supply of housing with care (also referred to as 'extra care' housing) in line with local and national agendas. Housing with care refers to specialist housing designed to effectively accommodate people with additional needs, mostly related to old age and disability (e.g. frailty, mobility and cognitive issues), who would normally struggle to live independently in ordinary housing.

74. The proposal is to expand citywide provision of housing with care to support more people in community based settings and to reduce the city's reliance on residential care. This approach links to other key agendas for the city, such as the Southampton City Five Year Health & Care Strategy, The Better Care Plan, and housing and adult social care services around personalised support offer.

75. There are currently five housing with care schemes in the city, jointly providing capacity of around 160 units of adapted accommodation for people with needs. Four of these schemes are owned and managed by SCC, and one scheme by Saxon Weald. To maximise the use of this type of housing to support people with care needs most effectively, the city is developing a further 450 – 500 units of extra care housing over the next eight years. This includes Potter's Court, which will be one of the schemes developed as a part of the wider delivery programme and will produce 84 units of extra care accommodation, due to go live in October 2020.

76. Potter's Court will be available to individuals over the age of 18 who have an assessed care and housing need. However, this is a positive impact – it increases choice of care options for people with needs. Other extra care housing schemes in the city are currently available to older adults (the age depends on the scheme, but is generally aimed at people who are aged 55 and over). Age criteria for new schemes being planned for the city will be determined following an evaluation of the Potter's Court scheme (and the adjacent new supported housing scheme at Kiln Court).

77. A number of individuals accessing Potter's Court will have significant care needs. The referrals will come from community settings as well as from residential care. This strategy will result in significant savings to SCC (care delivery is more cost effective in housing with care), but most importantly, housing with care will provide a better environment for people requiring care.
78. Only people who have been assessed as being suitable for extra care housing will be offered this as an option, based on meeting need and taking account of any preferences expressed by individuals and their families, in accordance with the council's Care and Support Planning Policy and relevant legislation.
79. Overall, the council's strategy to deliver more housing with care accommodation is expected to have a positive impact on people with support needs. This proposal will offer the city's residents suitable accommodation in an independent living setting, while traditionally an alternative for this type of housing would be residential care, which is associated with a loss of independence and an institutional setting.
80. In addition, housing with care plays a preventative function, whereby people who are likely to develop needs are identified early and encouraged to move to extra care to help manage their conditions. Housing with care can act as a direct alternative to institutional (residential and nursing) care, and contribute to the number of options available to people with support needs.
81. **7. The provision of better and earlier advice and information on adult social care and community support etc. to meet Care Act duties on promoting wellbeing and supporting independence.** Information is currently provided to the public on support services available in the city via the Southampton Information Directory (SID).
82. The proposal is to explore alternative web-based advice system and/or improvements to the current SID system for adult social care.
83. This will be kept more regularly updated with advice and information about support available in people's communities that can help to prevent needs arising and help to keep people independent and well.
84. We will also maximise the use of SO:Linked, the new Community Support framework that has been commissioned in Southampton (and is provided by Southampton Voluntary Services) to signpost people to support.
85. Overall this is expected to reduce demand on council delivered support services, through signposting and self-service, and to help prevent problems from escalating.
86. We have identified the following impacts:
- Older people are more likely to be impacted by this proposal, as it is typically older people (aged over 65) who have adult social care needs that can be prevented or deferred through the provision of advice and information.
  - Some clients who currently use the Southampton Information Directory may need to visit an alternative website. This would be supported through clear communications and messaging to alert users to any change.
  - Some users currently access information on support services through intermediaries. For example, they will visit face to face advice centres, ask for

advice from care and support workers, or phone the council or other advice lines. These users will experience no direct impact, as these channels will remain.

87. We have identified the following mitigations:

- Communications will be accessible and tailored.
- The existing council provided Connect Service will remain available to provide telephone and email advice and support and triage clients with the most complex needs for appropriate follow up.
- The use of systems will be monitored in order to identify any safeguarding concerns, which will then be addressed.
- The service will complement existing services in order to meet Care Act requirements to provide early advice and support in order to prevent needs arising.

88. This proposal is anticipated to have an overall positive impact. The Community Network framework will enable more people to access more help and support in the community, with the improved web-based advice service helping more people to find out what support is available.

## **Age - Children and young people**

89. Nearly a quarter of children live in poverty in the city and this figure rises to almost 40% in one of our most deprived wards. Continued economic and social pressures on families, including the impact of welfare reforms, are likely to put increase pressure on support services.

90. The proposal being considered relating to children and young people introduces a Specialist Foster Care scheme in Southampton, children and young people with complex behavioural needs who are currently placed in out of city Residential Settings or Independent Fostering Agency placements.

91. This scheme will only impact a small cohort of around 10 children and young people. These will be children and young people requiring specialist support relating to complex behavioural needs. The proposal does not impact any universal services (services available to the general public) or other cohorts of individuals receiving support such as children with Special Educational Needs or Disabilities (SEND). Any child or young person will be assessed on a case by case basis before a placement is made under this proposal, and any cumulative impacts of local and national policies will be assessed on a case by cases basis. The placement will only be made in the best interest of the child or young person.

**92. 8: Fostering: Developing a 'Level 4' Specialist Foster Care scheme in Southampton.** The proposal is to develop a Specialist Foster Care scheme in Southampton, by introducing an additional level (level 4) to the fee structure, for those carers able to care for children and young people with complex behavioural needs who are currently placed in out of city Residential Settings or Independent Fostering Agency placements.

93. The specialist scheme will offer placements to those with the highest level of need, particularly older children exhibiting challenging and/or risky behaviour who would currently be more likely to be placed externally.

94. This enhanced 'Level 4' service will enable Looked After Children (LAC), for whom Southampton City Council hold a corporate parenting responsibility, to be brought back into the city to access specialist in-house foster care services and therefore improve overall outcomes, increasing their chances to be successful. This proposal also allows the service to reduce the dependency on specialist services being purchased outside of the city, where positive outcomes are impacted due to children being geographically dispersed.
95. We have identified the following impacts:
- This proposal will mostly impact children and young people – predominantly the 'older' age group (generally 10-18).
  - The initial capacity of the service would mean that this service will impact around 10 children.
  - The overall impact is anticipated to be positive for these children, by ensuring that the council can deliver a 'wrap-around' and holistic services including therapeutic work and education within the city.
  - Remaining within their communities and familiar settings will be minimise disruption to children when placed in a care setting.
96. We have identified the following mitigations:
- Full assessments will be undertaken to ensure that the placement is safe and suitable for the individual child and meets their needs.
  - If a child is being moved from an out of city residential placement, a full assessment will be undertaken to ensure that the move is positive and will not have negative impacts on the child or young person.
97. This proposal is anticipated to have an overall positive impact for children and young people who are currently or would be placed outside the city, by ensuring that the council can deliver a 'wrap-around' and holistic services including therapeutic work and education within the city.
98. Outcomes for those children and young people are expected to improve, as remaining within their communities and familiar settings will be less disruptive when placed in a care setting. Remaining within the city will also support children's social care practitioners to be continually revisiting opportunities for children to return home to their families at the earliest point.
99. Staff time will be reduced in terms of travelling to visit children if they are within the city boundaries, meaning that workers will be more productive and can achieve better outcomes for our children and young people. Dependency on longer term services can again be minimised by ensuring that children are able to access good quality local education, health support and mental health support in their local area.
100. Improving our 'in house' foster care service will also reduce costs of individual placements (recognising that out of city Residential or IFA placements are generally higher cost), meaning that funds can be used effectively to meet need across the service.

## **Disability**

101. According to the Equality Act 2010, a person has a disability if he or she has a physical or mental impairment which has a long term adverse effect on that person's ability to carry out day to day activities. People living with a disability may feel the impact of

several proposals. Some of the most significant are those relating to accessing services, information and social care. Below is a summary of the main proposals that may impact on people with a physical or mental impairment.

102. The proposals for adult social care are designed to improve the quality of adult social care services and to ensure that the way that the council works gives people living with a disability the best opportunity to live independently.
103. The proposals for the Budget are designed to deliver support more people to live independently. For example, people living with a disability will have improved access to advice and information, which may prevent any social care needs arising in the first place or worsening.
104. If and when an individual does need support, these proposals offer more people "reablement care". This is currently offered to people being discharged from hospital but it would be extended so that others could benefit. Reablement care is offered at no cost to the individual on a short term basis, in a way that is tailored to their needs. People who receive reablement care are more likely to reach their individual goals and to not need ongoing support, but ongoing support would still be available to those who need it. People living with a disability, identified as having lower level needs at any stage (this might be people who are receiving advice and information and those receiving reablement) will be offered options for how these could be met. It is anticipated that more people could benefit from telecare to provide support and reassurance.
105. People living with a disability who currently receive care at home from two carers would receive a review to see whether any equipment could mean that care could safely be given by one carer. People in this situation may have previously been given advice and information or have received reablement care, but these proposals are not expected to result in any negative impacts on people living with a disability.
106. These proposals may impact on some individuals living with a learning disability and their carers who were subject to the previous proposal to close the Kentish Road residential respite unit. This scheme has now reopened and the current proposals are not considered to impact on their continuing use of the scheme or alternative respite care provision. All respite placements are carefully considered following a full assessment of an individual's needs and taking into account individual preferences. These safeguards will continue to form a crucial part of the council's approach to mitigating any negative impacts on individuals that may have been unforeseen.
107. The Budget decision taken in February 2019 to increase the amount some people have to pay towards their non-residential care (home care) means that some people may face financial hardship if they are required to make a further contribution towards the cost of telecare, hot meal delivery or any other chargeable service provided in addition to home care. There is a mechanism in place to mitigate any negative impact of these by taking into account essential expenditure incurred because of a person's disability as part of their financial assessment (for example, the cost of telecare and other services would not be taken into account as income, which means that the person would not be worse off because of having to pay for this).
108. Adult social care decisions are undertaken in the best interest of the individual taking personal circumstances into account, and cumulative impacts will be considered on a case by case basis where appropriate.

109. **1: Increasing availability of support and carrying out assessments more quickly to help people to return home after a short stay in residential care on discharge from hospital.** Southampton City Council is proposing to increase the level of support to help more people to return home after a short stay in residential care following discharge from hospital.
110. Some people need to spend a period of time in residential care after being discharged from hospital and before they can return home. This proposal will use existing policies and processes to ensure that the right support is available to help more people regain their independence and move home from these short term placements more quickly. This will involve an assessment being carried out more quickly by a social work practitioner after the individual has been discharged from hospital into residential or nursing care. This will help to make sure that suitable care arrangements are put in place as quickly as possible to support someone to return home in line with their and their family's wishes, before there is any deterioration in the individual's ability to return home. This might involve the provision of home care, reablement care and therapy, adaptations, the use of telecare and other community support.
111. We will increase the proportion of people who return home after a short-term period in a residential care bed following discharge from hospital, in line with national best practice benchmarks.
112. Individuals will only be return home where it is safe and reasonable to do so, and with appropriately assessed care and carers packages in place in line with statutory requirements and guidance. If residential or nursing care was subsequently required, this would be arranged from home in a planned way and in the person's best interests. Any assessments would be undertaken in consultation with those affected.
113. We have identified the following impacts:
- People living with a disability are more likely to be impacted by this proposal, as it is typically people with disabilities or impairments who are discharged from hospital into short stay residential care who then go on to become a permanent resident.
  - The primary impact of this proposal will be that individuals needing a short time in residential care between hospital discharge and returning home, spend less time in that residential setting overall.
  - Last year, 14 people were discharged in to a residential care home from hospital. 5 returned home after a short stay and 9 became permanent residents. If this proposal is adopted and there were 14 people discharged in similar circumstances, this proposal would mean that 12 would be supported to return home after a short stay and 2 would become permanent residents.
  - Some people or their families might prefer them to become permanent residents rather than being supported to return home and to make the decision from there. These preferences will be considered in line with the Care Act 2014.
114. We have identified the following mitigations:
- Robust application of Care Act Principles: assessments and reviews will be needs-driven, and the requirements of statutory guidance in respect of choice, access to advocacy where needed and the involvement of carers.
  - The Mental Capacity Act will be used where appropriate to protect the needs and rights of the individuals.

- Assessments will be carried out swiftly on discharge from hospital to enable the right support to be put in place to facilitate a safe return home for the individual.
- 'Discharge to assess' models will be kept under review to make sure they are working as intended so that (i) short-term admissions to care homes do not end up becoming long-term placements. For example, persuading someone to enter short-term care that is really long-term care because there are no therapies or reablement is wrong in human, consumer and financial terms and ties up budgets; (ii) premature or inappropriate discharge arrangements do not result in readmission to hospital.
- Care planning and communication with individuals and families will involve providing clear information about care options, including cost (now and in the future) implications for individual charges of any changes or transfers in care settings.

115. Southampton City Council's driving principle in our approach to supporting people to return home is that individuals are offered the right care, in the right place, at the right time. Best practice guidance states that no one should be admitted directly to long-term care from hospital unless in very exceptional circumstances e.g. for end-of-life care where this is not possible at home. The default pathway should be discharge home, with the right support; reablement (tailored support to maximise a person's capabilities and confidence) should always be considered. This proposal will positively support this approach.

116. This proposal would improve the situation for people living with a disability as a timely review and the right support would enable them to return home, rather than become permanent residential care residents.

117. For all groups, this proposal will support more people to return to living within their own homes more quickly, with the right care and support in place to enable them to do so.

118. This proposal will also help ensure that Southampton City Council meets best practice guidelines around supporting independence and decision making regarding an individual's care and support arrangements.

119. **2: Making best use of the full range of services that are currently available to support people to live independently in a community setting.** Southampton City Council provides support to customers through telecare and other home based community support such as meals on wheels. This allows customers to receive support quickly and efficiently when they need it within their own homes, and making sure that it is the most appropriate help for their needs, whilst promoting their independence. In order to provide the most cost effective service that is able to support customers in the best way possible, it has been proposed to meet lower level needs through increased use of telecare and community support.

120. The proposal is to bring the Southampton City Council's activity in line with recommendations on the provision of small home care packages made by the Institute of Public Care, Oxford Brookes University.

121. The needs of approximately 400 clients with lower level needs are currently met through home care packages provided by a care agency. Over 5 years, this is expected to reduce to about 100 clients, with more clients being better supported to live independently through improved access to support provided by the voluntary sector (for example through the recently launched SO:Linked project which includes a

community navigation service to link people with support available in the city and their communities); the use of telecare (for example, through the provision of a medication dispenser and an alarm unit); through the delivery of hot meals (for example, from City Catering) or by identifying additional community support by using an online community resource directory.

122. This proposal is about applying a 'strengths-based' approach as the council carries out social care assessments for new clients, which mirrors the approach proposed for existing clients as their packages of care are reviewed. New clients will be offered alternatives to meet their needs, in accordance with the council's existing policy.

123. The provision of telecare, hot meal delivery, support from friends, neighbours and community groups and other 'strengths-based' approaches would be considered as part of a Care Act individual needs assessment, before a homecare package was approved.

124. We have identified the following impacts:

- People living with a disability will be impacted by this proposal, as it is disabled people who have home care packages to meet lower level needs.
- Some individuals or their families might prefer to have a homecare package than the alternative offered or agreed to meet their needs. These preferences would be considered under the Care Act 2014.

125. We have identified the following mitigations:

- Robust application of Care Act Principles: assessments and reviews will be needs-driven, and the requirements of statutory guidance in respect of choice, access to advocacy where needed and the involvement of carers.
- The Mental Capacity Act will be used where appropriate to protect the needs and rights of the individuals.
- Assessments will be carried out swiftly on discharge from hospital to enable the right support to be put in place to facilitate a safe return home for the individual.
- Care planning and communication with individuals and families will involve providing clear information about care options, including cost (now and in the future) implications for individual charges of any changes or transfers in care settings.

126. As well as supporting greater levels of independence, this proposal is expected to deliver savings to the home care budget, as it is more cost effective to provide support by developing and supporting community networks, telecare and hot meal delivery than paying agencies to provide home care. This is expected to have the added benefit of preventing needs arising and delaying needs becoming more complex, and the home care capacity freed up can be used to support people for whom community support would not be suitable or sufficient.

127. Across all groups, this proposal will provide more options for lower level care needs to be met within the home and community, supporting increased independence in an efficient and cost effective way.

128. This proposal will also support the council to meet best practice guidelines around supporting independence and decision making regarding an individual's care and support arrangements.

129. **3: Expanding the successful reablement service so more people benefit from short term, intensive support.** Southampton has a well-established approach to reablement care, providing short term, tailored and intensive support to maximise independence, which in turn can prevent, defer or reduce the need for a long-term care package.
130. The council's activity is currently not in line with the highest performing authorities for the provision of reablement care, as defined by the Institute of Public Care, Oxford Brookes University and as identified through an independent review of adult social care carried out by the Local Government Association in May 2019. This proposal will use existing policies and processes to increase the number of people who are offered reablement services, and therefore reduce overall need for longer term care packages.
131. The current focus is on providing reablement care to people being discharged from hospital, but this proposal will widen this to ensure that it can be offered to people living at home, who approach the council for support for the first time or when their needs change. People who are identified as being most likely to benefit from reablement care will be prioritised for the expanded service.
132. Currently, approximately 26% of people who could benefit from reablement receive this service (approximately 189 people a year). Over 5 years, this is expected to increase to 70% of people who could benefit (approximately 511 people a year in total, if the overall number of people remains the same).
133. Following reablement, approximately 50% of people do not require a long-term package of care, as the reablement has given them the skills, confidence and ability to live independently without this.
134. This would meet the targets defined by Oxford Brookes University's Institute of Public Care (an academic body that sets standards for the quality of adult social care provision).
135. We have identified the following impacts:
- People living with a disability are more likely to be impacted by this proposal, as it is typically people living with a disability who have home care packages but this would be a positive impact, as more people would be receiving a service that leads to improved outcomes.
  - The proposal will widen the scope of offers to be made to include reablement care to people being discharged from hospital and people living in their homes. Under the Care Act people are entitled to request a full assessment at any time.
136. We have identified the following mitigations:
- Robust application of Care Act Principles: assessments and reviews will be needs-driven, and the requirements of statutory guidance in respect of choice, access to advocacy where needed and the involvement of carers.
  - The Mental Capacity Act will be used where appropriate to protect the needs and rights of the individuals.
  - Assessments will be carried out swiftly on discharge from hospital to enable the right support to be put in place to facilitate a safe return home for the individual.
  - Care planning and communication with individuals and families will involve providing clear information about care options, including cost (now and in the future) implications for individual charges of any changes or transfers in care settings.

- This proposal will provide more options for lower level care needs to be met within the home and community, supporting increased independence in an efficient and cost effective way.

137. Proposals will be in line with the Care Act 2014 and client's needs and wishes (preferences) would continue to be considered as well as kept under review on an ongoing basis.

138. This proposal will support the council to meet best practice guidelines around supporting independence.

139. The proposal will increase the proportion of people being offered reablement (short term, tailored and intensive support to maximise independence), preventing, deferring or reducing the need for a long-term care package. The proposal will also widen the scope of people being offered reablement.

140. **4: Occupational Therapy (OT) reviews to identify where equipment can be used to enable care to be provided in the home by one carer.** Southampton has a well-established Occupational Therapy (OT) service which currently provides clients with double handed care (the use of two carers) with clients who require manual handling.

141. As part of normal review processes, the council will review whether current care packages are right for clients, and in cases of double handed care, whether that client still requires two carers at once. This may change because of changing need, or the introduction of new equipment and technologies.

142. The proposal is to have Occupational Therapy review all double handed care packages that are being supplied by the council and, where appropriate, reduce this through training and/or the introduction of new equipment, having undertaken appropriate customer, staff and contractor risk assessments.

143. Clients will continue to receive the care and support needed to meet their needs in full. In the future, this may be through one carer using equipment and the latest techniques.

144. We have identified the following impacts:

- People living with a disability people are more likely to be impacted by this proposal, as it is typically disabled people who receive double up care packages.
- Some clients who currently receive double handed care and are visited by two carers at a time will see a change in their support package, reducing to one carer. This will only be implemented after a review of individual care packages in line with statutory guidance and having undertaken appropriate H&S risk assessments for staff and contractors to ensure that this reduction can be made safely, and the needs of the client will continue to be met.
- Currently, approximately 200 people are receiving care packages requiring two carers in attendance at once.
- Clients may have new equipment installed in their homes, and this will be done in agreement with the client and/or their representatives, and training and support will be provided.

145. We have identified the following mitigation:

- Clients will continue to have their needs met in full through a safe way of working and this would be kept under regular review.

146. The hoist and sling (MoLift) will be similar in size to the hoist that is currently used for two handed care. The storage and use of the sling will be similar also. The care agency and the family members will need specific training in single handed care and the functions of the hoist. This training will be the responsibility of the prescribing staff member. The care agency will disseminate the training to ensure all carers in attendance are able to use the hoist.
147. This proposal will support the council to meet best practice guidelines around supporting independence.
148. Home care resources will be freed up to support more people in the city (for example, speeding up discharges from hospital, people not having to wait as long for a home care package to start). Clients will be provided with a more tailor-made, personalised level of support in order to provide maximised independence to our clients.
149. **5. Increased availability of housing with care options ('extra care') across the city.** Southampton City Council has made a commitment to increase its supply of housing with care (also referred to as 'extra care' housing) in line with local and national agendas. Housing with care refers to specialist housing designed to effectively accommodate people with additional needs, mostly related to old age and disability (e.g. frailty, mobility and cognitive issues), who would normally struggle to live independently in ordinary housing.
150. The proposal is to expand citywide provision of housing with care to support more people in community based settings and to reduce the city's reliance on residential care. This approach links to other key agendas for the city, such as the Southampton City Five Year Health & Care Strategy, The Better Care Plan, and housing and adult social care services around personalised support offer.
151. There are currently five housing with care schemes in the city, jointly providing capacity of around 160 units of adapted accommodation for people with needs. Four of these schemes are owned and managed by SCC, and one scheme by Saxon Weald. To maximise the use of this type of housing to support people with care needs most effectively, the city is developing a further 450 – 500 units of extra care housing over the next eight years. This includes Potter's Court, which will be one of the schemes developed as a part of the wider delivery programme and will produce 84 units of extra care accommodation, due to go live in October 2020.
152. Potter's Court will be purpose-built to meet the needs of disabled people. This can include people with Mental Health, Learning Disabilities and physical disabilities. It will have appropriate support and care on site to cater to needs effectively.
153. Other extra care housing schemes in the city are also purpose-built or adapted to meet the needs of disabled people and have appropriate care and support on site. The design of future schemes will take into account an evaluation of the scheme at Potter's Court when it opens in 2020.
154. A number of individuals accessing Potter's Court will have significant care needs. The referrals will come from community settings as well as from residential care. This strategy will result in significant savings to SCC (care delivery is more cost effective in housing with care), but most importantly, housing with care will provide a better environment for people requiring care.

155. Only people who have been assessed as being suitable for extra care housing will be offered this as an option, based on meeting need and taking account of any preferences expressed by individuals and their families, in accordance with the council's Care and Support Planning Policy and relevant legislation.
156. Overall, the council's strategy to deliver more housing with care accommodation is expected to have a positive impact on people with support needs. This proposal will offer the city's residents suitable accommodation in an independent living setting, while traditionally an alternative for this type of housing would be residential care, which is associated with a loss of independence and an institutional setting.
157. In addition, housing with care plays a preventative function, whereby people who are likely to develop needs are identified early and encouraged to move to extra care to help manage their conditions. Housing with care can act as a direct alternative to institutional (residential and nursing) care, and contribute to the number of options available to people with support needs.
158. **6. Ensuring direct payments are being used in accordance with care and support plans to meet care needs.** Southampton City Council currently pays Direct Payments to 326 Adult Social Care clients. The council is responsible for auditing payments and accounts to ensure that funds are spending in line with agreed care plans.
159. The proposal is to review and audit direct payments to ensure the funds are being used in accordance with the care and support plan in line with council policies.
160. Audit activity in 2019/20 identified that 16% of funds paid into the accounts audited was potentially misspent. Therefore, the proposal is to ensure more rigorous audit activity is undertaken to identify any funds that have been potentially misspent, or remain unused (overpayments). Where appropriate, the council will seek to recover these funds.
161. We have identified the following impacts:
- People living with a disability are more likely to be affected by the proposal as this group tend to receive direct payments and therefore are more likely to be impacted by this proposal, as it is typically disabled people who receive direct payments.
  - Clients will continue to have their needs met in full through a safe way of working and this would be kept under regular review.
  - Clients will continue to receive the care and support needed to meet their needs in full.
  - The use of direct payments will be subject to more regular checks (in accordance with the council's current policy) to make sure that additional support is not needed and that the payment is being used to meet identified care needs. This means that some clients may be required to provide evidence relating to their spend in line with policies and Direct Payment agreements, when this may not previously have been routinely requested.
  - Where overpayments or misused funds are identified, the council may seek to recover these funds.
162. We have identified the following mitigation:
- Clients will continue to have their needs met in full; timely reviews would be offered along with support and advice.

163. This proposal will support the council to meet best practice guidelines around direct payments. More frequent audits will ensure that clients do not accrue large balances, and overpayments are identified quickly. The direct payment process will be more streamlined, encouraging more people to take these up, to have greater control of their personalised care.
164. **7. The provision of better and earlier advice and information on adult social care and community support etc. to meet Care Act duties on promoting wellbeing and supporting independence.** Information is currently provided to the public on support services available in the city via the Southampton Information Directory (SID).
165. The proposal is to explore alternative web-based advice system and/or improvements to the current SID system for adult social care.
166. This will be kept more regularly updated with advice and information about support available in people's communities that can help to prevent needs arising and help to keep people independent and well.
167. We will also maximise the use of SO:Linked, the new Community Support framework that has been commissioned in Southampton (and is provided by Southampton Voluntary Services) to signpost people to support.
168. Overall this is expected to reduce demand on council delivered support services, through signposting and self-service, and to help prevent problems from escalating.
169. We have identified the following impacts:
- People living with a disability are more likely to be impacted by this proposal, as it is typically disabled people who have adult social care needs that can be prevented or deferred through the provision of advice and information.
  - Some clients who currently use the Southampton Information Directory may need to visit an alternative website. This would be supported through clear communications and messaging to alert users to any change.
  - Some users currently access information on support services through intermediaries. For example, they will visit face to face advice centres, ask for advice from care and support workers, or phone the council or other advice lines. These users will experience no direct impact, as these channels will remain.
170. We have identified the following mitigations:
- Communications will be accessible and tailored.
  - The existing council provided Connect Service will remain available to provide telephone and email advice and support and triage clients with the most complex needs for appropriate follow up.
  - The use of systems will be monitored in order to identify any safeguarding concerns, which will then be addressed.
  - The service will complement existing services in order to meet Care Act requirements to provide early advice and support in order to prevent needs arising.
171. This proposal is anticipated to have an overall positive impact. The Community Network framework will enable more people to access more help and support in the community, with the improved web-based advice service helping more people to find out what support is available.

- 172. 8: Fostering: Developing a ‘Level 4’ Specialist Foster Care scheme in Southampton.** The proposal is to develop a Specialist Foster Care scheme in Southampton, by introducing an additional level (level 4) to the fee structure, for those carers able to care for children and young people with complex behavioural needs who are currently placed in out of city Residential Settings or Independent Fostering Agency placements.
173. The specialist scheme will offer placements to those with the highest level of need, particularly older children exhibiting challenging and/or risky behaviour who would currently be more likely to be placed externally.
174. This enhanced ‘Level 4’ service will enable Looked After Children (LAC), for whom Southampton City Council hold a corporate parenting responsibility, to be brought back into the city to access specialist in-house foster care services and therefore improve overall outcomes, increasing their chances to be successful. This proposal also allows the service to reduce the dependency on specialist services being purchased outside of the city, where positive outcomes are impacted due to children being geographically dispersed.
175. We have identified the following impacts:
- The specialist scheme will offer placements to those with the highest level of need, particularly older children exhibiting challenging and/or risky behaviour.
  - Children and young people with complex behavioural needs may also be living with a disability, including learning disabilities and mental health needs.
176. We have identified the following mitigations:
- Any child or young person being placed in a foster care setting will have their needs assessed, and the placement will only be agreed where it is safe and suitable and meets the needs of the individual child.
  - Where the child or young person is living with a disability they will be supported under the council’s SEND service and provided with support in line with the Education Health and Care Plan (EHCP).
  - This proposal will affect around 10 children and young people who are currently placed outside the city in Residential Care settings, and new children who are being placed in a care setting who might previously have been placed outside the city in a Residential Care setting or with an Independent Fostering Agency (IFA) placement.
  - Where a child or young person is already in a placement outside the city and consideration is given to a move into a new placement within the ‘Level 4’ service in Southampton, a full assessment will be undertaken to ensure that the move is positive and will not have negative impacts on the child or young person.
  - This proposal will also affect foster carers within the city who opt to take part in the ‘Level 4’ service. These carers will be given support and training before a child or young person with more complex behavioural needs is placed with them, and throughout the placement. Placements will only be made where it is deemed safe and suitable for both the child/young person and the carer. The ‘Level 4’ enhanced fee is reflective of the additional skills and experience required to support these placements.
177. This proposal is anticipated to have an overall positive impact for children and young people who are currently or would be placed outside the city, by ensuring that the council can deliver a ‘wrap-around’ and holistic services including therapeutic work and education within the city.

178. Outcomes for those children and young people are expected to improve, as remaining within their communities and familiar settings will be less disruptive when placed in a care setting. Remaining within the city will also support children's social care practitioners to be continually revisiting opportunities for children to return home to their families at the earliest point.
179. Staff time will be reduced in terms of travelling to visit children if they are within the city boundaries, meaning that workers will be more productive and can achieve better outcomes for our children and young people. Dependency on longer term services can again be minimised by ensuring that children are able to access good quality local education, health support and mental health support in their local area.
180. Improving our 'in house' foster care service will also reduce costs of individual placements (recognising that out of city Residential or IFA placements are generally higher cost), meaning that funds can be used effectively to meet need across the service.

## **Marriage and Civil Partnership**

- 181. 1: Increasing availability of support and carrying out assessments more quickly to help people to return home after a short stay in residential care on discharge from hospital.** Southampton City Council is proposing to increase the level of support to help more people to return home after a short stay in residential care following discharge from hospital.
182. Some people need to spend a period of time in residential care after being discharged from hospital and before they can return home. This proposal will use existing policies and processes to ensure that the right support is available to help more people regain their independence and move home from these short term placements more quickly. This will involve an assessment being carried out more quickly by a social work practitioner after the individual has been discharged from hospital into residential or nursing care. This will help to make sure that suitable care arrangements are put in place as quickly as possible to support someone to return home in line with their and their family's wishes, before there is any deterioration in the individual's ability to return home. This might involve the provision of home care, reablement care and therapy, adaptations, the use of telecare and other community support.
183. We will increase the proportion of people who return home after a short-term period in a residential care bed following discharge from hospital, in line with national best practice benchmarks.
184. Individuals will only be return home where it is safe and reasonable to do so, and with appropriately assessed care and carers packages in place in line with statutory requirements and guidance. If residential or nursing care was subsequently required, this would be arranged from home in a planned way and in the person's best interests. Any assessments would be undertaken in consultation with those affected.
185. We have identified the following impact:
- Potential impact of additional caring responsibilities for some spouses/partners.
186. We have identified the following mitigations:

- Any individual who is returning home from a short term stay in residential care will be subject to an assessment, in line with the Care Act, to ensure their needs are met. Where these needs are to be met fully or partially by a carer (including a spouse or partner) rather than a care worker, a carers' assessment will also be undertaken in line with the Care Act.
- Individuals will only move home where it safe and in the best interests of that individual to do so.

187. There is also a potential positive impact on marriage/civil partnership, as more people would be supported to live at home, rather than away from their spouse or partner.

## Community Safety

188. **5. Increased availability of housing with care options ('extra care') across the city.** Southampton City Council has made a commitment to increase its supply of housing with care (also referred to as 'extra care' housing) in line with local and national agendas. Housing with care refers to specialist housing designed to effectively accommodate people with additional needs, mostly related to old age and disability (e.g. frailty, mobility and cognitive issues), who would normally struggle to live independently in ordinary housing.

189. The proposal is to expand citywide provision of housing with care to support more people in community based settings and to reduce the city's reliance on residential care. This approach links to other key agendas for the city, such as the Southampton City Five Year Health & Care Strategy, The Better Care Plan, and housing and adult social care services around personalised support offer.

190. Some of the key features of housing with care that enable it to support a wide range of individuals with needs include; purpose built environment (preventing falls and increasing accessibility), 24/7 care, communal restaurant and wellbeing facilities, as well as emergency cover. The development of extra care schemes benefits the community as the facilities are available to the nearby community that can access the support and facilities available on site, enabling and deepening community interactions. It also produces similar regeneration benefits to other housing developments.

191. Interaction between residents and the wider community is encouraged in existing schemes and this will continue with Potter's Court and new schemes, for example by opening up the restaurant and other facilities (hairdresser, wellbeing, community room etc.).

192. Accommodation access will be by key fobs and staff will support with the day to day management of the scheme and promote safety among residents.

193. **8: Fostering: Developing a 'Level 4' Specialist Foster Care scheme in Southampton.** The proposal is to develop a Specialist Foster Care scheme in Southampton, by introducing an additional level (level 4) to the fee structure, for those carers able to care for children and young people with complex behavioural needs who are currently placed in out of city Residential Settings or Independent Fostering Agency placements.

194. The specialist scheme will offer placements to those with the highest level of need, particularly older children exhibiting challenging and/or risky behaviour who would currently be more likely to be placed externally.
195. This enhanced 'Level 4' service will enable Looked After Children (LAC), for whom Southampton City Council hold a corporate parenting responsibility, to be brought back into the city to access specialist in-house foster care services and therefore improve overall outcomes, increasing their chances to be successful. This proposal also allows the service to reduce the dependency on specialist services being purchased outside of the city, where positive outcomes are impacted due to children being geographically dispersed.
196. The specialist scheme will offer placements to those with the highest level of need, particularly older children exhibiting challenging and/or risky behaviour within Southampton. Whilst the overall impact of remaining in the city is considered to be positive, there is a risk of negative impact on community safety. If antisocial behaviour persists within the placement this could have an impact on residents in the area. Furthermore, remaining within a locality could encourage a child or young person to persist in anti-social behaviours where this is linked to a social group or other local influences.
197. This proposal will relate to a small cohort of children and young people (around 10). Each placement will be subject to assessment, which, on a case by case basis, will consider the impacts of the location of placement in order to take into account any individual circumstances and minimise risk for the young person, carers, and community. Ongoing assessment will be in place alongside wraparound support to address any behavioural needs.

## Poverty

198. **2. Making best use of the full range of services that are currently available to support people to live independently in a community setting.** Southampton City Council provides support to customers through telecare and other home based community support such as meals on wheels. This allows customers to receive support quickly and efficiently when they need it within their own homes, and making sure that it is the most appropriate help for their needs, whilst promoting their independence. In order to provide the most cost effective service that is able to support customers in the best way possible, it has been proposed to meet lower level needs through increased use of telecare and community support.
199. The proposal is to bring the Southampton City Council's activity in line with recommendations on the provision of small home care packages made by the Institute of Public Care, Oxford Brookes University.
200. We have identified the following impact:
- Some alternative support arrangements such as telecare, hot meal delivery or community groups etc may have associated costs which may be passed on to the client. These costs are likely to be lower than the client contribution to any home care support package that might be required should these types of alternative support not be put in place.
201. We have identified the following mitigations:

- Any adverse impacts would be kept under review on an individual basis. Special arrangements would be made in the unusual situation of a client being unable to afford telecare or hot meal delivery, for example.

202. This proposal will provide more options for lower level care needs to be met within the home and community, supporting increased independence in an efficient and cost effective way.

203. The proposal will support the council to meet best practice guidelines around supporting independence and decision making regarding an individual's care and support arrangements.

204. **5. Increased availability of housing with care options ('extra care') across the city.** Southampton City Council has made a commitment to increase its supply of housing with care (also referred to as 'extra care' housing) in line with local and national agendas. Housing with care refers to specialist housing designed to effectively accommodate people with additional needs, mostly related to old age and disability (e.g. frailty, mobility and cognitive issues), who would normally struggle to live independently in ordinary housing.

205. The proposal is to expand citywide provision of housing with care to support more people in community based settings and to reduce the city's reliance on residential care. This approach links to other key agendas for the city, such as the Southampton City Five Year Health & Care Strategy, The Better Care Plan, and housing and adult social care services around personalised support offer.

206. Individual financial circumstances will be taken into account when assessing care need.

207. **6. Ensuring direct payments are being used in accordance with care and support plans to meet care needs.** Southampton City Council currently pays Direct Payments to 326 Adult Social Care clients. The proposal is to review and audit direct payments to ensure the funds are being used in accordance with the care and support plan in line with council policies.

208. Audit activity in 2019/20 identified that 16% of funds paid into the accounts audited was potentially misspent. Therefore, the proposal is to ensure more rigorous audit activity is undertaken to identify any funds that have been potentially misspent, or remain unused (overpayments). Where appropriate, the council will seek to recover these funds.

209. We have identified the following impacts:

- Of the 326 Local Authorities in England, Southampton is ranked 54th (previously 72nd) most deprived.
- This proposal will make it more difficult for a direct payment to be used for any other purpose than meeting an individual's assessed unmet care and support needs. This may impact negatively on their finances overall.
- Clients will continue to receive the care and support needed to meet their needs in full.
- The use of direct payments will be subject to more regular checks (in accordance with the council's current policy) to make sure that additional support is not needed and that the payment is being used to meet identified care needs. This means that some clients may be required to provide evidence relating to their

spend in line with policies and Direct Payment agreements, when this may not previously have been routinely requested.

- Where overpayments or misused funds are identified, the council may seek to recover these funds.

210. We have identified the following mitigations:

- People will be signposted to benefit and debt advice as part of the financial assessment for social care (as appropriate).
- A repayment plan for any payments that have to be repaid will be agreed, having regard to individual circumstances.

211. This proposal will support the council to meet best practice guidelines around direct payments. More frequent audits will ensure that clients do not accrue large balances, and overpayments are identified quickly. The direct payment process will be more streamlined, encouraging more people to take these up, to have greater control of their personalised care.

212. **7. The provision of better and earlier advice and information on adult social care and community support etc. to meet Care Act duties on promoting wellbeing and supporting independence.** Information is currently provided to the public on support services available in the city via the Southampton Information Directory (SID).

213. The proposal is to explore alternative web-based advice system and/or improvements to the current SID system for adult social care.

214. This will be kept more regularly updated with advice and information about support available in people's communities that can help to prevent needs arising and help to keep people independent and well.

215. We will also maximise the use of SO:Linked, the new Community Support framework that has been commissioned in Southampton (and is provided by Southampton Voluntary Services) to signpost people to support.

216. Overall this is expected to reduce demand on council delivered support services, through signposting and self-service, and to help prevent problems from escalating.

217. We have identified the following impact:

- In some cases, accessing support via the internet can have associated costs (access to a computer or data costs).

218. We have identified the following mitigations:

- The council will continue to ensure that residents can access online services for free in libraries and other community and partner venues, to ensure that they do not need own personal devices or data to access online services.
- Access to alternative channels for information will not be impacted by this proposal.

219. This proposal is anticipated to have an overall positive impact. The Community Network framework will enable more people to access more help and support in the community, with the 'Connect to Support Hampshire' helping more people to find out what support is available.

## Health and Wellbeing:

220. The following proposals in the Adult Social Care portfolio directly impact the health and wellbeing of clients/service users:

- 1. Increasing availability of support and carrying out assessments more quickly to help people to return home after a short stay in residential care on discharge from hospital.
- 2. Making best use of the full range of services that are currently available to support people to live independently in a community setting.
- 3. Expanding the successful reablement service so more people benefit from short term, intensive support.
- 4. Occupational Therapy (OT) reviews to identify where equipment can be used to enable care to be provided in the home by one carer
- 5. Increased availability of housing with care options ('extra care') across the city.

221. Overall these proposals are anticipated to have a positive impact on the health and wellbeing of clients. The proposals all focus on promoting greater independence so that people can remain in or return to their own homes, and ensuring that they have the right support in place to do so.

**222. 1: Increasing availability of support and carrying out assessments more quickly to help people to return home after a short stay in residential care on discharge from hospital.** Southampton City Council is proposing to increase the level of support to help more people to return home after a short stay in residential care following discharge from hospital.

223. Some people need to spend a period of time in residential care after being discharged from hospital and before they can return home. This proposal will use existing policies and processes to ensure that the right support is available to help more people regain their independence and move home from these short term placements more quickly. This will involve an assessment being carried out more quickly by a social work practitioner after the individual has been discharged from hospital into residential or nursing care. This will help to make sure that suitable care arrangements are put in place as quickly as possible to support someone to return home in line with their and their family's wishes, before there is any deterioration in the individual's ability to return home. This might involve the provision of home care, reablement care and therapy, adaptations, the use of telecare and other community support.

224. We will increase the proportion of people who return home after a short-term period in a residential care bed following discharge from hospital, in line with national best practice benchmarks.

225. Individuals will only be return home where it is safe and reasonable to do so, and with appropriately assessed care and carers packages in place in line with statutory requirements and guidance. If residential or nursing care was subsequently required, this would be arranged from home in a planned way and in the person's best interests. Any assessments would be undertaken in consultation with those affected.

226. No negative impacts have been identified in relation to health and wellbeing, but on a case by case basis, any adverse impacts would in any case be mitigated through the robust application of Care Act Principles.

**227. 2: Making best use of the full range of services that are currently available to support people to live independently in a community setting.** Southampton City

Council provides support to customers through telecare and other home based community support such as meals on wheels. This allows customers to receive support quickly and efficiently when they need it within their own homes, and making sure that it is the most appropriate help for their needs, whilst promoting their independence. In order to provide the most cost effective service that is able to support customers in the best way possible, it has been proposed to meet lower level needs through increased use of telecare and community support.

228. The proposal is to bring the Southampton City Council's activity in line with recommendations on the provision of small home care packages made by the Institute of Public Care, Oxford Brookes University.
229. No negative impacts have been identified in relation to health and wellbeing, but on a case by case basis, any adverse impacts would in any case be mitigated through the robust application of Care Act Principles.
230. **3: Expanding the successful reablement service so more people benefit from short term, intensive support.** Southampton has a well-established approach to reablement care, providing short term, tailored and intensive support to maximise independence, which in turn can prevent, defer or reduce the need for a long-term care package.
231. The council's activity is currently not in line with the highest performing authorities for the provision of reablement care, as defined by the Institute of Public Care, Oxford Brookes University and as identified through an independent review of adult social care carried out by the Local Government Association in May 2019. This proposal will use existing policies and processes to increase the number of people who are offered reablement services, and therefore reduce overall need for longer term care packages.
232. The current focus is on providing reablement care to people being discharged from hospital, but this proposal will widen this to ensure that it can be offered to people living at home, who approach the council for support for the first time or when their needs change. People who are identified as being most likely to benefit from reablement care will be prioritised for the expanded service.
233. The health and wellbeing of an individual will be taken into account when deciding on the most appropriate care and support package during and after the implementation of this proposal and any adverse impacts would in any case be mitigated through the robust application of Care Act Principles.
234. **4: Occupational Therapy (OT) reviews to identify where equipment can be used to enable care to be provided in the home by one carer.** Southampton has a well-established Occupational Therapy (OT) service which currently provides clients with double handed care (the use of two carers) with clients who require manual handling.
235. As part of normal review processes, the council will review whether current care packages are right for clients, and in cases of double handed care, whether that client still requires two carers at once. This may change because of changing need, or the introduction of new equipment and technologies.
236. The proposal is to have Occupational Therapy review all double handed care packages that are being supplied by the council and, where appropriate, reduce this through training and/or the introduction of new equipment.

237. The health and wellbeing of an individual will be taken into account when deciding on the most appropriate care and support package during and after the implementation of this proposal and any adverse impacts would be mitigated on a case by case basis through the robust application of Care Act Principles.
238. Assessments and reviews will be needs-driven, and the requirements of statutory guidance in respect of choice, access to advocacy where needed and the involvement of carers.
239. The Mental Capacity Act will be used where appropriate to protect the needs and rights of the individuals. Timely assessments and reviews would be carried out.
240. **5. Increased availability of housing with care options ('extra care') across the city.** Southampton City Council has made a commitment to increase its supply of housing with care (also referred to as 'extra care' housing) in line with local and national agendas. Housing with care refers to specialist housing designed to effectively accommodate people with additional needs, mostly related to old age and disability (e.g. frailty, mobility and cognitive issues), who would normally struggle to live independently in ordinary housing.
241. The proposal is to expand citywide provision of housing with care to support more people in community based settings and to reduce the city's reliance on residential care. This approach links to other key agendas for the city, such as the Southampton City Five Year Health & Care Strategy, The Better Care Plan, and housing and adult social care services around personalised support offer.
242. No negative impacts have been identified in relation to health and wellbeing. Positive impacts are anticipated as extra care delivers support to enable people to sustain their independence in a community setting.

## Other Significant Impacts

243. **4: Occupational Therapy (OT) reviews to identify where equipment can be used to enable care to be provided in the home by one carer.** Southampton has a well-established Occupational Therapy (OT) service which currently provides clients with double handed care (the use of two carers) with clients who require manual handling.
244. Potential impacts on SCC staff and contractors have been considered. No significant impacts on staff working within the care sector is anticipated.
245. SCC staff do not currently deliver home care visits. There is no anticipated reduction in availability of work anticipated for contracted suppliers of these services, as there is currently a shortfall in carers within the city resulting in greater demand than availability of carers. Some care workers may change their visit patterns if some clients move from double to single person requirements, but this is part of normal business and will be part of staff contracts.

## Other Protected Characteristics

246. We have identified no direct impacts for the following:
- Gender reassignment

- Pregnancy and maternity
- Race – ethnic or national origins, colour or nationality
- Religion or Belief – including lack of belief
- Sex
- Sexual orientation.

## Public Consultation

247. A programme of consultation will be undertaken between the between 15 October 2019 and 8 January 2020. Public consultation will be undertaken with any people or organisations affected by the proposals to ensure all options have been considered, as well as with residents at a wider level. Southampton City Council is in a challenging financial position with significant reductions in its funding from central government, at a time when demand for certain services such as adult and children’s social care continues to increase. Therefore the aim of this consultation is to:

- Communicate clearly and make residents aware of the financial pressures the council is facing
- Ensure residents understand what is being proposed in the draft 2020/21 budget and are aware of what this will mean for them
- Enable any resident, business or stakeholder who wishes to comment on the proposals the opportunity to do so, allowing them to raise any impacts the proposals may have
- Ensure that the results are analysed in a meaningful, timely fashion, so that feedback is taken into account when final decisions are made
- Provide feedback on the results to the consultation and how these results have influenced the final decision.

248. Every effort will be made to ensure consultation is:

- Inclusive: so that everyone in the city has the opportunity to express their views.
- Informative: so that people have adequate information about the proposals, what different options mean, and a balanced and fair explanation of the potential impacts, particularly the equality and safety impacts.
- Understandable: by ensuring that the language we use to communicate is simple and clear and that efforts are made to reach all stakeholders, for example people who are non-English speakers or disabled people.
- Appropriate: by targeting people who are more likely to be affected and using a more tailored approach to get their feedback, complemented by a general approach to all residents, staff, businesses and partners.
- Meaningful: by ensuring decision makers have the full consultation feedback information so they can make informed decisions.
- Reported: by letting consultees know what we have done with their feedback.

249. The consultation will be based around an online questionnaire and paper copies will also be made available.

250. This Cumulative Impact Assessment will be updated and developed based on the final proposals and detail of individual ESIAs. It will also be informed by the feedback from residents and stakeholders as part of the public budget consultation.

## APPENDIX 1

**Table 2: Cumulative Impacts of Budget agreed February 2019 (including years 2019/20 and 2020/2021) and Budget Proposals October 2019 (year 2020/21)**

	Code	Description of Proposal	Age	Disability	Gender Reassignment	Marriage & Civil Partnership	Pregnancy & Maternity	Race	Religion & Belief	Sex	Sexual Orientation	Community Safety	Poverty	Health & Wellbeing	Other	
<b>Children and young people get a good start in life</b>																
Page 128 Feb 2019 Budget (2019/20 & 2020/21)	CYP1	Review and redesign early help and outreach preventative services, to deliver a new focussed locality based model which prevents children becoming looked after by the council	*	*									*	*		
	CYP2	Review the council run play offer and seek community and voluntary sector partners to take over the direct running of this service	*	*			*						*	*		
	CYP3	Review the Contact Service which facilitates contact for Looked After Children with their birth families, with a view to this being delivered by a partner organisation	*	*												
	CYP4	Reduce the funding provided to Compass School Pupil Referral Unit from 160 to 100, in line with actual demand	*	*												
	CYP6	Reduce Early Intervention Fund which supports early years and childcare providers to expand or set up new provision	*	*				*						*	*	

	Code	Description of Proposal	Age	Disability	Gender Reassignment	Marriage & Civil Partnership	Pregnancy & Maternity	Race	Religion & Belief	Sex	Sexual Orientation	Community Safety	Poverty	Health & Wellbeing	Other
Oct 2019 (2020/21)	8	Developing a 'Level 4' Specialist Foster Care scheme in Southampton	*	*								*			
<b>People in Southampton live safe, healthy, independent lives</b>															
Page 129 Feb 2019 Budget (2019/20 & 2020/21)	SHIL 1	Revise the Adult Social Care Charging Policy.	*	*						*			*	*	
	SHIL 2	Future of two council owned residential care homes for older people, enabling the council to focus on the development of housing with care and community-based services, with the local home care market providing residential care where this is needed	*	*		*		*	*	*			*	*	*
	SHIL 3	Reclassify some council properties currently only available to those aged 60 and over, making them available to people over 50	*												*
	SHIL 4	Review service charges to tenants in council owned properties, increasing the existing charges and introducing four new ones												*	*
Oct 2019 (2020/21)	1	Increasing availability of support and carrying out assessments more quickly to help people to return home after a short stay in residential care on discharge from hospital	*	*		*								*	
	2	Making best use of the full range of services that are currently available to support people to live independently in a community setting	*	*									*		

	Code	Description of Proposal	Age	Disability	Gender Reassignment	Marriage & Civil Partnership	Pregnancy & Maternity	Race	Religion & Belief	Sex	Sexual Orientation	Community Safety	Poverty	Health & Wellbeing	Other	
Page 130	3	Expanding the successful reablement service so more people benefit from short term, intensive support	*	*										*		
	4	Occupational Therapy (OT) reviews to identify where equipment can be used to enable care to be provided in the home by one carer	*	*										*	*	
	5	Increased availability of housing with care options ('extra care') across the city	*	*												
	6	Ensuring direct payments are being used in accordance with care and support plans to meet care needs		*										*		
	7	The provision of better and earlier advice and information on adult social care and community support etc. to meet Care Act duties on promoting wellbeing and supporting independence	*	*										*		
<b>Southampton is a city with strong sustainable economic growth</b>																
Feb 2019 Budget (2019/20)	SSEG1	Introduce charges for Blue Badge holders in council owned off-street car parks	*	*								*	*			
	SSEG2	Increase Itchen Bridge fees for non-residents	*										*			

# Agenda Item 9

<b>DECISION-MAKER:</b>	OVERVIEW AND SCRUTINY MANAGEMENT COMMITTEE		
<b>SUBJECT:</b>	MONITORING SCRUTINY RECOMMENDATIONS TO THE EXECUTIVE		
<b>DATE OF DECISION:</b>	14 NOVEMBER 2019		
<b>REPORT OF:</b>	DIRECTOR - LEGAL AND GOVERNANCE		
<b><u>CONTACT DETAILS</u></b>			
<b>AUTHOR:</b>	<b>Name:</b>	<b>Mark Pirnie</b>	<b>Tel:</b> 023 8083 3886
	<b>E-mail:</b>	<b>Mark.pirnie@southampton.gov.uk</b>	
<b>Director</b>	<b>Name:</b>	<b>Richard Ivory</b>	<b>Tel:</b> 023 8083 2794
	<b>E-mail:</b>	<b>Richard.ivory@southampton.gov.uk</b>	
<b>STATEMENT OF CONFIDENTIALITY</b>			
None			
<b>BRIEF SUMMARY</b>			
This item enables the Overview and Scrutiny Management Committee to monitor and track progress on recommendations made to the Executive at previous meetings.			
<b>RECOMMENDATIONS:</b>			
	(i)	That the Committee considers the responses from Cabinet Members to recommendations from previous meetings and provides feedback.	
<b>REASONS FOR REPORT RECOMMENDATIONS</b>			
1.	To assist the Committee in assessing the impact and consequence of recommendations made at previous meetings.		
<b>ALTERNATIVE OPTIONS CONSIDERED AND REJECTED</b>			
2.	None.		
<b>DETAIL (Including consultation carried out)</b>			
3.	Appendix 1 of the report sets out the recommendations made to Cabinet Members at previous meetings of the Overview and Scrutiny Management Committee. It also contains summaries of any action taken by Cabinet Members in response to the recommendations.		
4.	The progress status for each recommendation is indicated and if the Overview and Scrutiny Management Committee confirms acceptance of the items marked as completed they will be removed from the list. In cases where action on the recommendation is outstanding or the Committee does not accept the matter has been adequately completed, it will be kept on the list and reported back to the next meeting. It will remain on the list until such time as the Committee accepts the recommendation as completed. Rejected recommendations will only be removed from the list after being reported to the Overview and Scrutiny Management Committee.		
<b>RESOURCE IMPLICATIONS</b>			

<b><u>Capital/Revenue</u></b>	
5.	None.
<b><u>Property/Other</u></b>	
6.	None.
<b>LEGAL IMPLICATIONS</b>	
<b><u>Statutory power to undertake proposals in the report:</u></b>	
7.	The duty to undertake overview and scrutiny is set out in Part 1A Section 9 of the Local Government Act 2000.
<b><u>Other Legal Implications:</u></b>	
8.	None
<b>RISK MANAGEMENT IMPLICATIONS</b>	
9.	None.
<b>POLICY FRAMEWORK IMPLICATIONS</b>	
10.	None
<b>KEY DECISION</b>	No
<b>WARDS/COMMUNITIES AFFECTED:</b>	None directly as a result of this report
<b><u>SUPPORTING DOCUMENTATION</u></b>	
<b>Appendices</b>	
1.	Monitoring Scrutiny Recommendations – 14 November 2019
<b>Documents In Members' Rooms</b>	
1.	None
<b>Equality Impact Assessment</b>	
Do the implications/subject of the report require an Equality and Safety Impact Assessments (ESIA) to be carried out?	No
<b>Data Protection Impact Assessment</b>	
Do the implications/subject of the report require a Data Protection Impact Assessment (DPIA) to be carried out?	No
<b>Other Background Documents</b>	
<b>Equality Impact Assessment and Other Background documents available for inspection at:</b>	
Title of Background Paper(s)	Relevant Paragraph of the Access to Information Procedure Rules / Schedule 12A allowing document to be Exempt/Confidential (if applicable)
1.	None



Date	Portfolio	Title	Action proposed	Action Taken	Progress Status
Page 134				<p>reasoning for the new planning policies which will be used, once adopted, to consider planning applications against.</p> <p>Air Quality Planning guidance is already in development and a second draft has been circulated recently internally for comment. The document is due to be published as local, informal guidance in the new year. This will provide an opportunity to test and develop the principles which will later be adopted as a Supplementary Planning Document. We are planning for this document to form part of the evidence base for the new Southampton City Vision Local Plan and for it to be published in line with relevant timescales. The timetable for the Local Plan's development will be published in the Council's updated Local Development Scheme once Cabinet approval has been received. In the interim, even as informal guidance the document will be able to start influencing how we manage air quality issues within our local planning processes.</p>	
			4) That the Cabinet Member clarifies the position with regards to whether the 2030 carbon neutral target applies to the Council or the City and what is meant by carbon neutral.	The aspiration contained within the Green City Charter is that the City will be carbon neutral by 2030. The council is developing a plan to achieve this which will involve the mapping of the	

Date	Portfolio	Title	Action proposed	Action Taken	Progress Status
Page 135				carbon footprints for the council and city. The council has started by focusing on its property portfolio.	
	5) That the Committee are provided with an explanation of the proposed Social Value Procurement Policy and Framework and how this differs from the existing ethical and sustainable procurement policies.	The current Ethical and Sustainable Procurement policies are not consistent with the Council's aspirations to be a leader in the delivery of a range of social and sustainable outcomes for the City including through its third party expenditure. It is proposed that the Council instead adopts a single Social Value and Sustainability Procurement Policy and an associated framework to help drive improved social and local economic value through its buying and procurement activities. A new approach to sustainability will more directly align with the Green City Charter. The proposed content is still under development prior to recommendations being submitted to Cabinet for consideration.			
10/10/19	Homes & Culture	Estate Regeneration	1) That a briefing note is circulated to the Committee outlining the actions being developed by the Council in response to the difficulties being experienced by Townhill Park Infant School due to the estate regeneration programme.	Meetings with the school, relevant Cabinet members and officers have been scheduled. An update will be circulated to the Committee following these meetings.	

Date	Portfolio	Title	Action proposed	Action Taken	Progress Status
			2) That, to ensure elected members are kept appraised of developments, estate regeneration proposals are circulated to ward councillors when they are presented to residents forums.		

<b>DECISION-MAKER:</b>	OVERVIEW AND SCRUTINY MANAGEMENT COMMITTEE		
<b>SUBJECT:</b>	FORWARD PLAN		
<b>DATE OF DECISION:</b>	14 NOVEMBER 2019		
<b>REPORT OF:</b>	DIRECTOR - LEGAL AND GOVERNANCE		
<b><u>CONTACT DETAILS</u></b>			
<b>AUTHOR:</b>	<b>Name:</b>	Mark Pirnie	<b>Tel:</b> 023 8083 3886
	<b>E-mail:</b>	Mark.pirnie@southampton.gov.uk	
<b>Director</b>	<b>Name:</b>	Richard Ivory	<b>Tel:</b> 023 8083 2794
	<b>E-mail:</b>	Richard.ivory@southampton.gov.uk	
<b>STATEMENT OF CONFIDENTIALITY</b>			
<p>There is a confidential appendix attached to this report, the confidentiality of which is based on Category 3 of paragraph 10.4 of the Council's Access to Information Procedure Rules - Information relating to the financial or business affairs of any particular person (including the Authority holding that information).</p> <p>If the content of this report were to be treated as a public document it would reveal information that is both commercially sensitive and detrimental to the business affairs of the Council.</p>			
<b>BRIEF SUMMARY</b>			
<p>This item enables the Overview and Scrutiny Management Committee (OSMC) to examine the content of the Forward Plan and to discuss issues of interest or concern with the Executive to ensure that forthcoming decisions made by the Executive benefit local residents.</p>			
<b>RECOMMENDATIONS:</b>			
	(i)	That the Committee discuss the items listed in paragraph 3 of the report to highlight any matters which Members feel should be taken into account by the Executive when reaching a decision.	
<b>REASONS FOR REPORT RECOMMENDATIONS</b>			
1.	To enable Members to identify any matters which they feel Cabinet should take into account when reaching a decision.		
<b>ALTERNATIVE OPTIONS CONSIDERED AND REJECTED</b>			
2.	None.		
<b>DETAIL (Including consultation carried out)</b>			
3.	The Council's Forward Plan for Executive Decisions from 19 November 2019 has been published. The following issues were identified for discussion with the Decision Maker:		
	<b>Portfolio</b>	<b>Decision</b>	<b>Requested By</b>
	Resources	Budget Matters – Studio 144	Cllr Galton / Cllr Fuller

4.	Briefing papers responding to the items identified by members of the Committee are appended to this report. Members are invited to use the papers to explore the issues with the decision maker.	
<b>RESOURCE IMPLICATIONS</b>		
<b><u>Capital/Revenue</u></b>		
5.	The details for the items identified in paragraph 3 are set out in the Executive decision making report issued prior to the decision being taken.	
<b><u>Property/Other</u></b>		
6.	The details for the items identified in paragraph 3 are set out in the Executive decision making report issued prior to the decision being taken.	
<b>LEGAL IMPLICATIONS</b>		
<b><u>Statutory power to undertake proposals in the report:</u></b>		
7.	The details for the items identified in paragraph 3 are set out in the Executive decision making report issued prior to the decision being taken.	
8.	The duty to undertake overview and scrutiny is set out in Part 1A Section 9 of the Local Government Act 2000.	
<b><u>Other Legal Implications:</u></b>		
9.	None	
<b>RISK MANAGEMENT IMPLICATIONS</b>		
10.	The details for the items identified in paragraph 3 are set out in the Executive decision making report issued prior to the decision being taken.	
<b>POLICY FRAMEWORK IMPLICATIONS</b>		
11.	The details for the items identified in paragraph 3 are set out in the Executive decision making report issued prior to the decision being taken.	
<b>KEY DECISION</b>		No
<b>WARDS/COMMUNITIES AFFECTED:</b>		None directly as a result of this report
<b><u>SUPPORTING DOCUMENTATION</u></b>		
<b>Appendices</b>		
1.	Confidential Briefing Paper – Budget Matters Studio 144	
<b>Documents In Members’ Rooms</b>		
1.	None	
<b>Equality Impact Assessment</b>		
Do the implications/subject of the report require an Equality and Safety Impact Assessments (ESIA) to be carried out?		Identified in Executive report
<b>Data Protection Impact Assessment</b>		

Data Protection Impact Assessment Do the implications/subject of the report require a Data Protection Impact Assessment (DPIA) to be carried out?		Identified in Executive report
<b>Other Background Documents - Equality Impact Assessment and Other Background documents available for inspection at:</b>		
Title of Background Paper(s)	Relevant Paragraph of the Access to Information Procedure Rules / Schedule 12A allowing document to be Exempt/Confidential (if applicable)	
1.	None	

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