

Governance Committee

Monday, 14th December,
2020
at 5.00 pm

PLEASE NOTE TIME OF MEETING

Conference Room 3 - Civic Centre

This meeting is open to the public

Members of the Committee

Councillor Keogh (Chair)
Councillor Kataria (Vice-Chair)
Councillor G Galton
Councillor Harwood
Councillor Professor Margetts
Councillor White
Councillor Windle

Contacts

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PUBLIC INFORMATION

Role of the Governance Committee

Information regarding the role of the Committee's is contained in Part 2 (Articles) of the Council's Constitution.

[02 Part 2 - Articles](#)

It includes at least one Councillor from each of the political groups represented on the Council, and at least one independent person, without voting rights, who is not a Councillor or an Officer of the Council.

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

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

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

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

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

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.

Dates of Meetings: Municipal Year 2019/20

| 2020 | 2021 |
|--------------|-------------|
| 15 June | 15 February |
| 27 July | 19 April |
| 28 September | |
| 16 November | |
| 14 December | |

CONDUCT OF MEETING

Terms of Reference

The terms of reference of the Governance Committee are contained in Part 3 of the Council's Constitution.

[03 - Part 3 - Responsibility for Functions](#)

Rules of Procedure

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

Business to be discussed

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

Quorum

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

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**

To receive any apologies.

2 **DISCLOSURE OF PERSONAL AND PECUNIARY INTERESTS**

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

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 **STATEMENT FROM THE CHAIR**

4 **MINUTES OF PREVIOUS MEETING (INCLUDING MATTERS ARISING)** (Pages 1-4)

To approve and sign as a correct record the Minutes of the meeting held on 16 November 2020 and to deal with any matters arising, attached.

5 **HUMAN RESOURCES QUARTERLY REPORT ABSENCE DATA** (Pages 5 - 20)

Report of the Service Director or HR and OD detailing the Human Resources quarterly report of absence data for September, October, and November 2020.

6 **ANNUAL REPORT ON INTERNAL AND LOCAL GOVERNMENT OMBUDSMAN COMPLAINTS 2019/2020** (Pages 21 - 36)

Report of the Head of Legal Partnerships providing the Annual Report on Internal and Local Government Ombudsman Complaints 2019/2020.

7 **INTERNAL AUDIT PROGRESS REPORT 2020/21** (Pages 37 - 58)

Report of the Chief Internal Auditor detailing the Internal Audit Progress report for the period 15 September to 30 November 2020.

8 **TAX EVASION POLICY** (Pages 59 - 70)

Report of the Chief Internal Auditor seeking approval of the Tax Evasion Policy.

9 **ANNUAL REVIEW OF HEALTH AND SOCIAL CARE CONTRACTS MANAGED BY THE ICU** (Pages 71 - 98)

Report of Director of Quality and Integration outlining the current arrangements for the management and governance of contracts within the Integrated Commissioning Unit.

Public Document Pack Agenda Item 4

GOVERNANCE COMMITTEE

MINUTES OF THE MEETING HELD ON 16 NOVEMBER 2020

Present: Councillors Keogh (Chair), Kataria (Vice-Chair), G Galton, Harwood, Professor Margetts and Windle

Apologies: Councillors White

18. **APOLOGIES**

Apologies were received from Councillor White.

19. **MINUTES OF PREVIOUS MEETING (INCLUDING MATTERS ARISING)**

RESOLVED: that the minutes for the Committee meeting on 28 September 2020 be approved and signed as a correct record.

20. **REVIEW OF PRUDENTIAL LIMITS AND TREASURY MANAGEMENT MIDYEAR 2020/21**

The Committee considered the report of the Executive Director Finance and Commercialism providing a review of prudential limits and treasury management mid year 2020/21.

The Committee noted that since the beginning of the pandemic, the Government had given advanced grants to local authorities which had been beneficial in meeting costs and it was noted that Southampton City Council was performing above average in benchmarking scores when compared to other local authorities.

The Committee discussed the way in which financial matters were reported and recommended that an All Member Briefing on treasury management was provided in order to share further information on background issues and risk factors.

RESOLVED:

- (i) That the treasury management activities for 2020/21 and performance against Prudential Indicators be noted;
- (ii) That the continued proactive approach to treasury management which had led to reductions in borrowing costs and safeguarded investment income during the year be noted;
- (iii) That approval be given to the removal of the overall limit for investments in Money Market Funds from 50% of total investment, as detailed in paragraph 16 of the report;
- (iv) That delegated authority continued to be given to the S151 Officer to make any future changes which benefitted the authority and to report back at the next Treasury update; and
- (v) That an all Member Briefing be recommended to share further information on treasury management background issues and factors.

It was noted that Councillor Professor Margetts voted against Resolution (iv).

21. **RISK MANAGEMENT REPORT 2020**

The Committee received and noted the report of the Executive Director Finance and Commercialism detailing the Council's risk management report 2020.

The Committee noted that the introduction of Covid risk management had been a significant issue and this was an evolving piece of work.

22. **ANNUAL GOVERNANCE STATEMENT 2019-20**

The Committee considered the report of the Executive Director Finance and Commercialism seeking approval of the Council's draft Annual Governance Statement 2019-20 and in particular noted the impact of the Covid 19 pandemic on governance.

RESOLVED: that approval be given to the draft Annual Governance Statement 2019-20.

23. **STATEMENT OF ACCOUNTS 2019/20**

The Committee considered the report of the Executive Director Finance and Commercialism seeking approval of the Statement of Accounts 2019/20 and changes made to the draft accounts identified during the audit.

RESOLVED:

- (i) That the changes to the Statement of Accounts 2019/20 as a result of the annual audit as detailed in paragraphs 5 to 7 in the report and appendix 1 be noted;
- (ii) That the audited Statement of Accounts 2019/20 be approved;
- (iii) That the rationale for not correcting the audit difference relating to the net pension liability as set out in paragraph 8 be approved; and
- (iv) That approval be given for the Executive Director Finance and Commercialism (S151 Officer), in consultation with the Chair of Governance Committee, to make further changes to the Statement of Accounts 2019/20 that may arise during completion of the audit and that authority be delegated to the S151 Officer and Chair of Governance Committee to sign the final Statement.

24. **EXTERNAL AUDIT 2019/20 AUDIT RESULTS**

The Committee considered the report of the External Auditor detailing audit results for 2019/20.

The Committee noted that the External Auditor was satisfied with the new arrangements that were now in place regarding any future whistleblowing allegations.

RESOLVED:

- (i) That the external auditor's Audit Results Report as detailed in the appendix of the report be approved; and
- (ii) That the letter of representation be approved.

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|-------------------------------|---|--|--------------------|
| DECISION-MAKER: | GOVERNANCE COMMITTEE | | |
| SUBJECT: | Quarterly HR Statistics | | |
| DATE OF DECISION: | 14 th December 2020 | | |
| REPORT OF: | Service Director, Human Resources and Organisational Development | | |
| <u>CONTACT DETAILS</u> | | | |
| AUTHOR: | Name: | Janet King | Tel: 023 8083 2378 |
| | E-mail: | Janet.king@southampton.gov.uk | |
| Deputy Chief Executive | Name: | Mike Harris | Tel: 023 8083 2882 |
| | E-mail: | Mike.harris@southampton.gov.uk | |

| | |
|---|---|
| STATEMENT OF CONFIDENTIALITY | |
| None. This report contains no personal information relating to specific individuals. | |
| BRIEF SUMMARY | |
| The Governance Committee requested quarterly, council wide information on key employment data covering disciplinaries, dismissals, referrals to the police, suspensions and grievances and information on levels of staff sickness. | |
| The report format is as requested and agree with the Governance Committee. | |
| RECOMMENDATIONS: | |
| (i) | To note the September, October and November 2020 HR statistics. |
| REASONS FOR REPORT RECOMMENDATIONS | |
| 1. | As requested by the Governance Committee to track and review HR data. |
| 2. | |
| ALTERNATIVE OPTIONS CONSIDERED AND REJECTED | |
| | N/A |
| DETAIL (Including consultation carried out) | |
| 3. | <p>In the period September to November 2020 the Council had:</p> <p>A total of 10 dismissals:</p> <ul style="list-style-type: none"> • 3 on disciplinary grounds • 0 for capability • 1 via settlement agreement • 1 as a result of service restructures • 4 for sickness absence • 1 during probationary period <p>In addition, there were:</p> <ul style="list-style-type: none"> • 3 Step 3 grievance resolution cases • 3 suspensions |

| | |
|---|--|
| | <ul style="list-style-type: none"> • 3 appeals 2 where the decision was upheld • 0 police referrals |
| 4. | <p>Overall sickness levels for the council showed an average 9.29 days per employee (2.75%). This continues to show a month on month downward trend, however key areas for focus are still evident in Wellbeing (Health and Adults) and Place where there are high levels of front-line workers. HR are also looking at particular roles in relation to sickness absence to determine any job design issues which may contribute to absence levels and which can be addressed.</p> <p>The sector “average” is 8 days.</p> <p>The total number of absences in the last 12 months, shows that short term absence occasions account for 91% of the overall absence occurrences, whilst long term sickness accounts for 9% of the overall absence occurrences.</p> <p>The total number of days lost to absence in the last 12 months, shows that short term absence accounted for 38% of the overall absence days lost, whilst the number of days lost to long term sickness accounts for 62% of the overall absence days lost.</p> <p>The absence data is regularly discussed with the Chief Executive.</p> |
| 5. | The HR team provide managers with monthly absence data and detail and look to identify and address “hot spots” and underlying issues against which to target interventions including information, support, occupational health appointments, phased return and in some cases, dismissal. |
| RESOURCE IMPLICATIONS | |
| <u>Capital/Revenue</u> | |
| 6. | None |
| <u>Property/Other</u> | |
| 7. | None |
| LEGAL IMPLICATIONS | |
| <u>Statutory power to undertake proposals in the report:</u> | |
| 8. | None |
| <u>Other Legal Implications:</u> | |
| 9. | None |
| RISK MANAGEMENT IMPLICATIONS | |
| 10. | None |
| POLICY FRAMEWORK IMPLICATIONS | |
| 11. | None |

| | |
|--|-----------|
| KEY DECISION? | No |
| WARDS/COMMUNITIES AFFECTED: | |
| <u>SUPPORTING DOCUMENTATION</u> | |
| Page 6 | |

| Appendices | |
|---|---|
| 1. | HR table of data (Summary) |
| 2. | a) October Sickness absence data (Summary) b) Absence reporting month on month |
| 3. | Covid sickness data |
| Documents In Members' Rooms | |
| 1. | |
| 2. | |
| Equality Impact Assessment | |
| Do the implications/subject of the report require an Equality and Safety Impact Assessment (ESIA) to be carried out. | Yes/No |
| Data Protection Impact Assessment | |
| Do the implications/subject of the report require a Data Protection Impact Assessment (DPIA) to be carried out. | Yes/No |
| Other Background Documents | |
| Other Background documents available for inspection at: | |
| Title of Background Paper(s) | Relevant Paragraph of the Access to Information Procedure Rules / Schedule 12A allowing document to be Exempt/Confidential (if applicable) |
| 1. | |
| 2. | |

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Southampton City Council - Quarterly Governance Stats

| Covers Sept/Oct/Nov | | | | | | | | | | | | | | | |
|---|---------------|-----------|--------------------|------------------|------------|--------------|----------|-----------|--------------|----------|-------------|--------------------|-------------------|----------|---------------|
| Exec Director | Disciplinarys | | | Dismissals | | | | | | | Resolutions | Suspensions | Appeals | | |
| | Final WW | Dismissed | Referral to Police | Total Dismissals | Capability | Disciplinary | Health | Probation | Restructures | Other | Commentary | Step 3 Resolutions | Total Suspensions | Number | Number upheld |
| Exec Director - Business Services | 0 | 0 | 0 | 1 | 0 | 0 | 0 | 0 | 0 | 1 | | 0 | 0 | 0 | 0 |
| Exec Director - Children & Learning | 0 | 1 | 0 | 2 | 0 | 1 | 0 | 1 | 0 | 0 | | 0 | 0 | 0 | 0 |
| Exec Director - Communities, Culture & Home | 1 | 1 | 0 | 3 | 0 | 1 | 2 | 0 | 0 | 0 | | 0 | 0 | 0 | 0 |
| Exec Director - Finance | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | | 0 | 0 | 0 | 0 |
| Exec Director - Place | 1 | 0 | 0 | 3 | 0 | 0 | 2 | 0 | 1 | 0 | | 0 | 0 | 0 | 0 |
| Exec Director Wellbeing - Health & Adults | 0 | 1 | 0 | 1 | 0 | 1 | 0 | 0 | 0 | 0 | | 3 | 3 | 3 | 2 |
| Southampton City Council (Total) | 2 | 3 | 0 | 10 | 0 | 3 | 4 | 1 | 1 | 1 | | 3 | 3 | 3 | 2 |

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Agenda Item 5

Appendix 2

| Metric |
|---|
| Sickness Absence Days Per Employee - All Absence |
| Sickness Absence Days Per Employee - STS Absence |
| Sickness Absence Days Per Employee - LTS Absence |
| FTE Days Lost |
| No. of Staff with 5 or more occurrences of sickness absence |
| No. of Staff with 10 or more days sickness absence |
| Total Staff who hit a Trigger Point |
| No. of Potentially Preventable Absences (Long Term Sickness) |
| No. of Unavoidable Absences (Long Term Sickness) |
| No. of Absences with no recorded reason - (Long Term Sickness) |

Definition

This includes all sickness absence and divides the total number of days lost by the total number of FTE to generate the average days lost per FTE employee

This includes all short-term sickness absence (less than 20 days) and divides this by the total number of FTE to generate the average days lost per FTE employee

This includes all long-term sickness absence (more than 20 days) and divides this by the total number of FTE to generate the average days lost per FTE employee

This shows the total number of days lost to sickness absence over the last rolling 12 months

This shows the number of employees that have hit a sickness absence trigger point for 5 or more occasions of absence

This shows the number of employees that have hit a sickness absence trigger point for 10 or more days of absence

This shows the number of employees that have hit a sickness absence trigger point for either 5 occasions of absence or 10 or more days of absence

This shows the number of occasions of Long Term Sickness that are deemed as potentially preventable over the last rolling 12 months

This shows the number of occasions of Long Term Sickness that are deemed 'unavoidable' over the last rolling 12 months

This shows the number of occasions of Long Term Sickness that has been recorded on Business World without an absence reason

Potentially Preventable & Unavoidable Absences

The categorisation of potentially preventable, unavoidable & unrecorded absences is to prompt conversation to say if an area has a high number of potentially preventable absences, why is this?

This list isn't designed to be exhaustive and each case will need to be looked at on an individual basis, but if an area has a high number of potentially preventable LTS cases, this should prompt discussion to see what measures can be put in place to avoid this.

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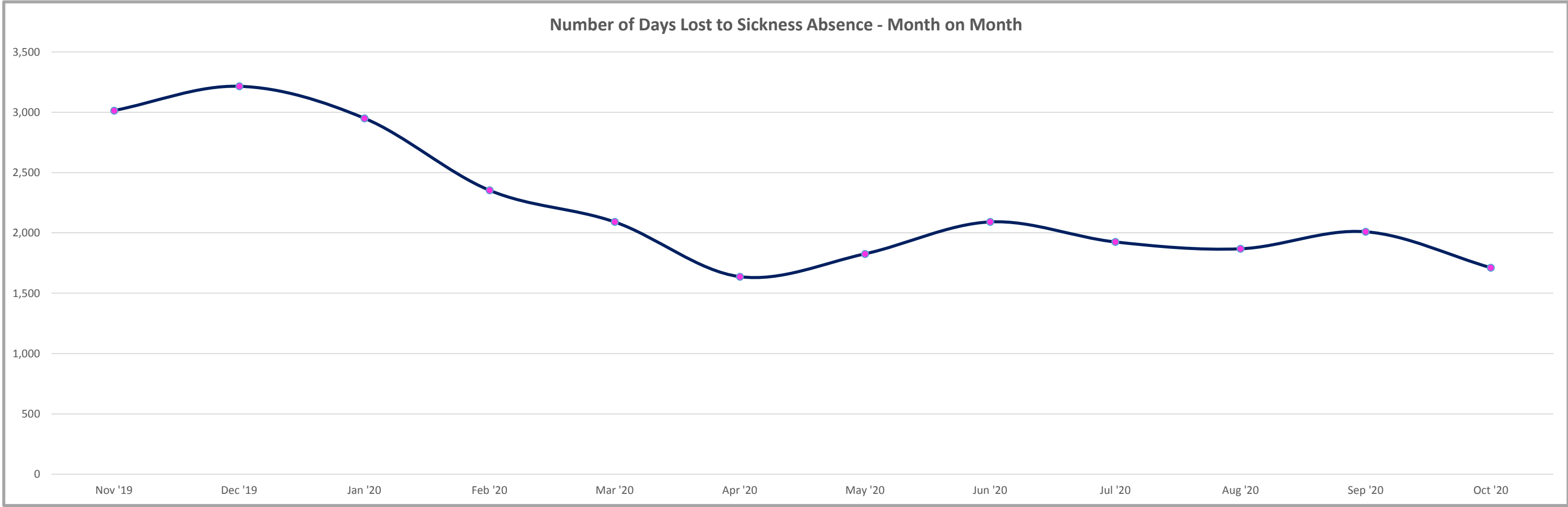
SCC



Please select the relevant team from the drop down to see the sickness figures month on month for the last rolling year

Number of Days Lost to Sickness Absence - Month on Month

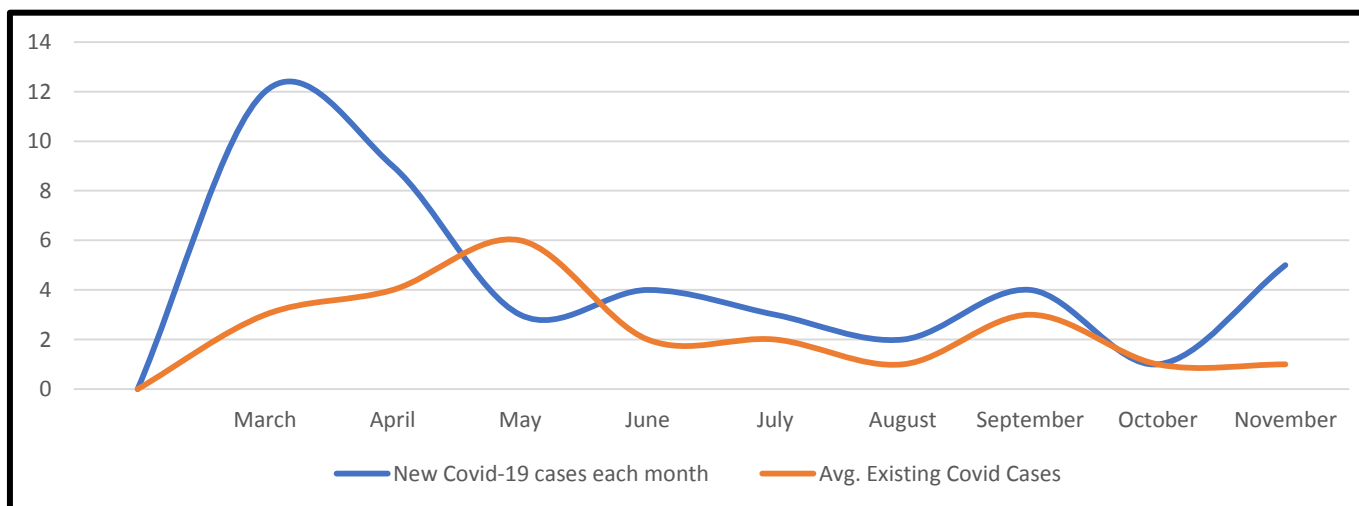
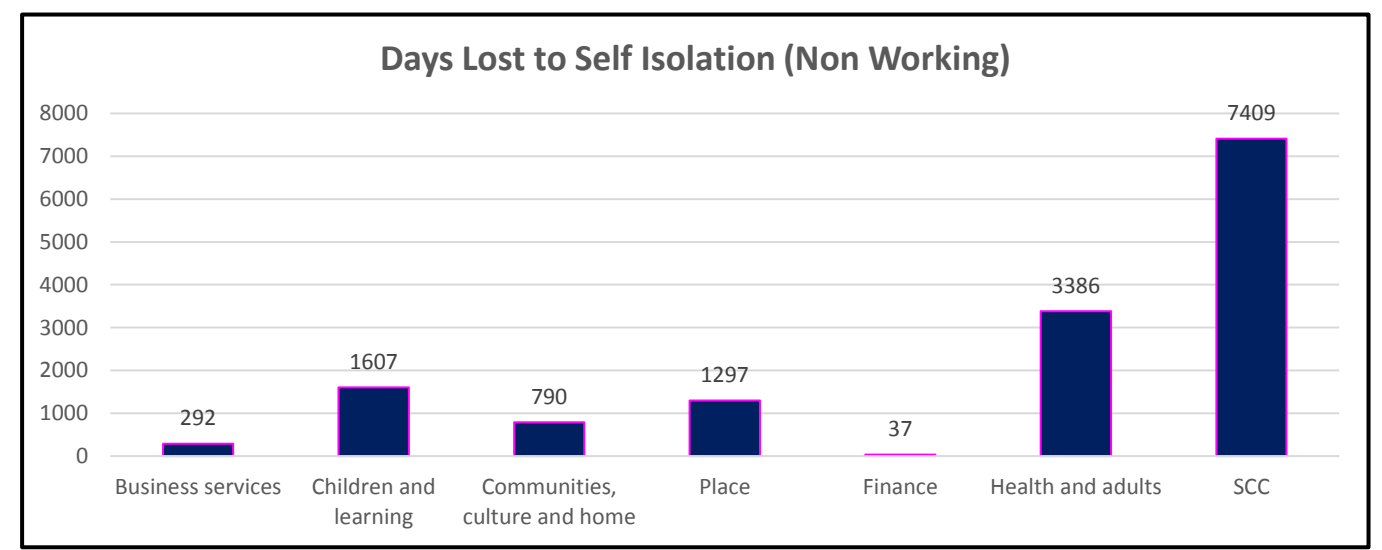
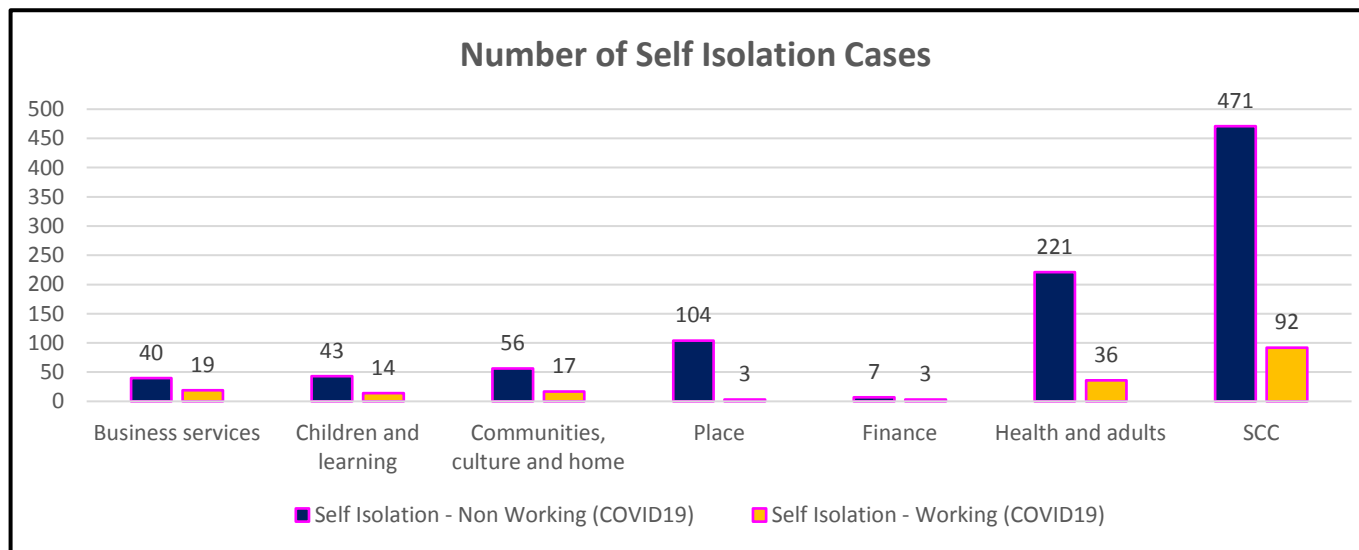
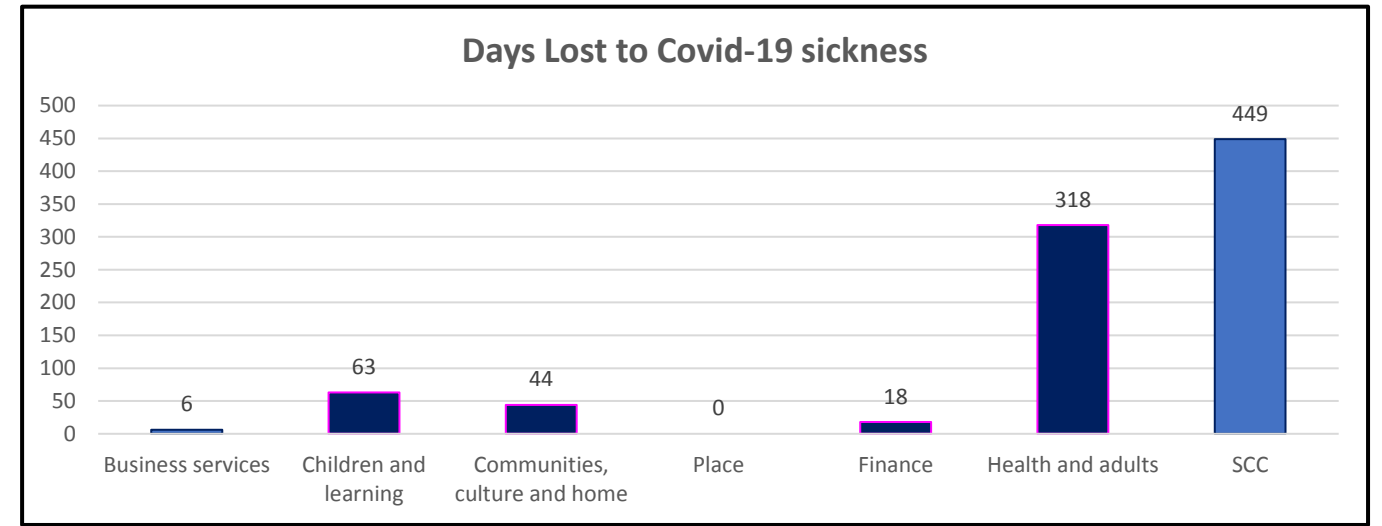
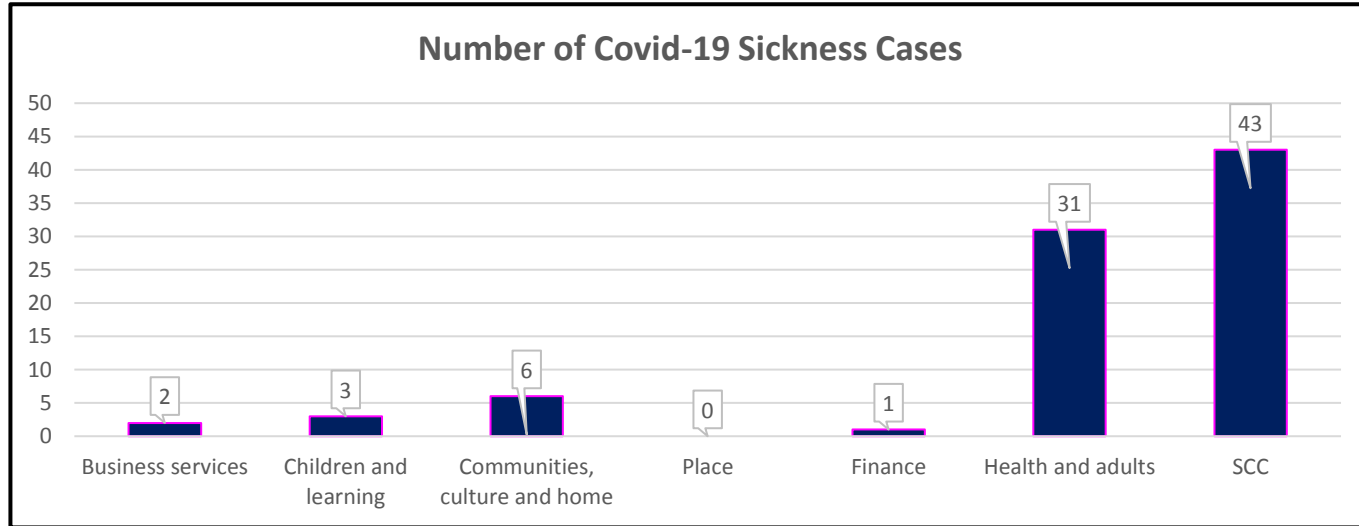
| Team | Nov '19 | Dec '19 | Trend | Jan '20 | Trend | Feb '20 | Trend | Mar '20 | Trend | Apr '20 | Trend | May '20 | Trend | Jun '20 | Trend | Jul '20 | Trend | Aug '20 | Trend | Sep '20 | Trend | Oct '20 | Trend |
|------|---------|---------|-------|---------|-------|---------|-------|---------|-------|---------|-------|---------|-------|---------|-------|---------|-------|---------|-------|---------|-------|---------|-------|
| SCC | 3,014 | 3,215 | Up | 2,950 | Down | 2,353 | Down | 2,091 | Down | 1,637 | Down | 1,826 | Up | 2,091 | Up | 1,925 | Down | 1,868 | Down | 2,010 | Up | 1,712 | Down |



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Coronavirus – Summary Data

- This data is based on the first entered case of self isolation (6th March) through to the end of November
- We have had 43 cases of "Sickness Absence - Covid-19" recorded on Business World, this equates to a loss of 449 working days to date. Since September we have had 10 cases, this equates to 109 working days.
- We have a total of 563 cases of self isolation (92 working & 471 non-working). The non-working cases equate to a loss of 7,409 days to date.



- 20 cases of covid-19 where the individual is above 50 years old
- 1 case of covid-19 where the individual has a recorded disability
- 267 cases of self isolation where the individual is over 50 years old
- 39 cases of self isolation where the individual has a recorded disability

Coronavirus – Summary Data

Agenda Item 6

| | | | |
|-------------------------------|---|--|--------------------|
| DECISION-MAKER: | GOVERNANCE COMMITTEE | | |
| SUBJECT: | SOUTHAMPTON CITY COUNCIL COMPLAINTS ANNUAL REVIEW 2019/20 | | |
| DATE OF DECISION: | 4 th DECEMBER 2020 | | |
| REPORT OF: | SERVICE DIRECTOR: LEGAL & BUSINESS OPERATIONS | | |
| <u>CONTACT DETAILS</u> | | | |
| AUTHOR: | Name: | Sarita Riley Service Lead - Legal Services Partnership, Legal and Governance | Tel: 023 8083 3218 |
| | E-mail: | Sarita.riley@southampton.gov.uk | |
| Director | Name: | Mike Harris Deputy Chief Executive | Tel: 023 8083 2882 |
| | E-mail: | Mike.harris@southampton.gov.uk | |

| | |
|---|--|
| STATEMENT OF CONFIDENTIALITY | |
| N/A | |
| BRIEF SUMMARY | |
| <p>This report summarises the type and number of complaints received from the 1 April 2019 and 31 March 2020 together with the Local Government and Social Care Ombudsman annual review for the same period. Overall complaints registered with the council have remained the same (344 this year/342 last year).</p> | |
| Corporate Complaints | no change – 202 2019/2020, 201 2018/2019 |
| Adult Services Complaints | 50% decrease – 37 2019/2020, 75 2018/2019 |
| Children and Families Complaints | 60% increase - 105 2019/2020, 66 2018/2019 |
| <p>The Complaints Resolution Team (CRT), based in Legal and Business Operations, administers complaints independently from all areas within the Council (stage 2) that the service area has been unable to resolve at initial point of contact (Stage 1), alongside and responsible to the Head of Legal Services Partnership who acts as the Council’s single point of contact for Local Government and Social Care Ombudsman (LGSCO) and Housing Ombudsman (HO) complaints.</p> | |
| RECOMMENDATIONS: | |
| (i) | That the report be noted and to offer any feedback on governance or performance relating to the complaints function to inform future service delivery. |
| REASONS FOR REPORT RECOMMENDATIONS | |
| 1. | To update members of this Committee on performance trends and any learning points arising out of complaints made by the public via the Council’s complaints procedures during 2019/20. Identifying these issues assists the Council in understanding where things have “gone wrong” in the past year in order to improve service delivery. |

2.

This report is presented to Governance Committee for information, learning points and feedback purposes.

| ALTERNATIVE OPTIONS CONSIDERED AND REJECTED | | | | | |
|--|--|----------------|----------------|----------------|----------------|
| 3. | N/A. The LGSCO requires the Council to report and consider complaints trends and outcomes annually with members and senior management. | | | | |
| DETAIL (Including consultation carried out) | | | | | |
| 4. | The effective and responsive management of complaints is a vital part of the Council's overall approach to customer care. In addition, the customer feedback, that valid complaints provide, can be used to improve service delivery, facilitate Council-wide learning and demonstrate continuous improvement. | | | | |
| 5. | At the conclusion of a complaints investigation, the complainant is advised that if they are not satisfied with the outcome, they may pursue their complaint to the LGSCO or the HO. This provides the customer with an entirely independent source of redress if they remain aggrieved. The Council works closely with the LGSCO or HO to resolve outstanding complaints where appropriate. | | | | |
| <u>Corporate Complaints (1 April 2019 and 31 March 2020)</u> | | | | | |
| 6. | Continuing with an "immediate service recovery" ethos adopted four years ago, customer facing areas have been able to decrease the number of complaints recorded year on year, by taking immediate effective action on receipt of an issue from a member of the public. | | | | |
| 7. | Where immediate action is not possible or the issue is identified as a continuing failure within the service area, matters are recorded as complaints and enter the complaints procedure and, therefore, recorded as such. | | | | |
| 8. | By adopting this approach, member of the public are receiving an immediate resolution to the issue, which is generally what is required. | | | | |
| 9. | The number of recorded complaints in all areas of the Council initially saw a sharp decrease since the introduction of the immediate service recovery ethos. | | | | |
| 10. | Last year showed a slowing of this decrease. This year has shown a plateauing in corporate areas, a further decrease in Adult Social care (due to the introduction and subsequent embedding of a dedicated staff member dealing with initial complaint reports) and a significant increase in complaints regarding Children & Families (despite the introduction and subsequent embedding of a dedicated staff member dealing with initial complaint reports). | | | | |
| <u>Corporate Areas</u> | | | | | |
| 11. | From 01/04/2019 to 31/03/20, the council recorded 202 corporate complaints. Stage 1 registered and dealt with by the service area affected: | | | | |
| | Stage 1 | 2019/20 | 2018/19 | 2017/18 | 2016/17 |
| | Total | 202 | 201 | 260 | 312 |
| | Responded in time (20 days) | 132 (65%) | 56% | 79% | 78% |
| | We are currently unable to report on the percentage or number of complaints upheld at stage 1 as the updated CRM (Lagan) searches do not incorporate this function. This is being rectified and figures will be available from the next reporting year (and back dated figures will be available for comparison).** | | | | |

| 12. | <p>Of those stage 1 complaints, the following were examined at Stage 2 by the Complaints Resolution Team, following a request from the complainant:</p> <table border="1" data-bbox="304 282 1417 445"> <thead> <tr> <th data-bbox="304 282 738 333">Stage 2</th> <th data-bbox="738 282 908 333">2019/20</th> <th data-bbox="908 282 1077 333">2018/19</th> <th data-bbox="1077 282 1246 333">2017/18</th> <th data-bbox="1246 282 1417 333">2016/17</th> </tr> </thead> <tbody> <tr> <td data-bbox="304 333 738 385">Total</td> <td data-bbox="738 333 908 385">77</td> <td data-bbox="908 333 1077 385">49</td> <td data-bbox="1077 333 1246 385">45</td> <td data-bbox="1246 333 1417 385">51</td> </tr> <tr> <td data-bbox="304 385 738 445">Responded in time (20 days)</td> <td data-bbox="738 385 908 445">100%</td> <td data-bbox="908 385 1077 445">100%</td> <td data-bbox="1077 385 1246 445">93%</td> <td data-bbox="1246 385 1417 445">98%</td> </tr> </tbody> </table> | Stage 2 | 2019/20 | 2018/19 | 2017/18 | 2016/17 | Total | 77 | 49 | 45 | 51 | Responded in time (20 days) | 100% | 100% | 93% | 98% |
|-----------------------------|---|---------|---------|---------|---------|---------|-------|----|----|----|----|-----------------------------|------|------|-----|-----|
| Stage 2 | 2019/20 | 2018/19 | 2017/18 | 2016/17 | | | | | | | | | | | | |
| Total | 77 | 49 | 45 | 51 | | | | | | | | | | | | |
| Responded in time (20 days) | 100% | 100% | 93% | 98% | | | | | | | | | | | | |
| 13. | <p>Examples of feedback and changes made as a result of stage 2 independent review of corporate service area complaints.</p> <p>The majority of complaints are regarding personal circumstances were the issues raised are specific to the individual or case. The examples given are where the outcome has had an effect of council response that affect general process :</p> <p>Example one;</p> <p>A resident of a communal block of Council owned flats complains that the communal large waste and recycling bins are not regularly cleaned, leaving residents suffering smells and risk of infection from rotting waste and residue in the bins. The resident complains that houses issued with their own single bins have the opportunity to clean or keep clean their own bins, communal residents do not.</p> <p>Complaint Upheld.</p> <p>It was discovered that cleaning of communal bins was an ad-hoc process undertaken by Housing. The process was developed over a number of years but had not kept up with the Council changes and responsibilities. The ad-hoc process was also not compliant with Health and Safety and Environmental Regulations.</p> <p>Outcome:</p> <p>Policy, reporting process and available information to residents has been updated. Housing and Waste Management now have a process in place whereby the communal bins can be taken to Waste Management facilities to be cleaned (rather than done at the communal blocks by Housing staff) and are cleaned/replaced on a rolling programme.</p> <p>Example two:</p> <p>A resident complains that after reporting a repairs issue that the matter was “left to drift” and his attempts to have the repairs issue dealt with were thwarted by a lack of updates from both the Contact Centre and the Housing repairs service.</p> | | | | | | | | | | | | | | | |

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| | <p>Complaint Upheld</p> <p>It was discovered that there was a genuine and reasonable explanation as to why these particular repairs had been delayed (stock supply issue). The difficulty experienced by the resident was the lack of update and timescale for repair. It appears that both the housing repair service and the contact centre had no clear direction as to whose responsibility it was to update the resident as the delay information and subsequent further updates were received by the council. A further issue was discovered in that the contact centre did not have full access to the Repair system therefore were not aware of the updates when the resident called.</p> <p>Outcome;</p> <p>This complaint coincided with the Contact Centre function being transferred back to the Council from Capita. During the handover process the subject of responsibility for repair update and access to all information was dealt with and new process and access is in place. The Contact Centre staff are now able to view more of the records and have an agreement in place with Housing regarding updates and outgoing contacts with members of the public with regard to ongoing issues, rather than relying on members of the public ringing in.</p> <p>(This issue was also addressed in a number of other service areas).</p> |
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Adult Social Care

| 14. | <p>From 01/04/2019 to 31/03/20, the council recorded 37 adult social care complaints. Stage 1 registered and dealt with by the service area affected:</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Stage 1</th> <th style="text-align: center;">2019/20</th> <th style="text-align: center;">2018/19</th> <th style="text-align: center;">2017/18</th> <th style="text-align: center;">2016/17</th> </tr> </thead> <tbody> <tr> <td>Total</td> <td style="text-align: center;">37</td> <td style="text-align: center;">75</td> <td style="text-align: center;">64</td> <td style="text-align: center;">84</td> </tr> <tr> <td>Responded in time (20 days)</td> <td style="text-align: center;">23 (63%)</td> <td style="text-align: center;">47%</td> <td style="text-align: center;">65.3%</td> <td style="text-align: center;">50%</td> </tr> <tr> <td>Upheld</td> <td style="text-align: center;">Not available</td> <td style="text-align: center;">36%</td> <td style="text-align: center;">33%</td> <td style="text-align: center;">35%</td> </tr> </tbody> </table> <p>**Upheld figures were not recorded consistently throughout the year by ASC due to changes in recording circumstances. This will be rectified for the next reporting year**</p> | Stage 1 | 2019/20 | 2018/19 | 2017/18 | 2016/17 | Total | 37 | 75 | 64 | 84 | Responded in time (20 days) | 23 (63%) | 47% | 65.3% | 50% | Upheld | Not available | 36% | 33% | 35% |
|--|--|---------|---------|---------|---------|---------|--------------|----|----|----|----|------------------------------------|----------|------|-------|-----|--|---------------|-----|-----|-------|
| Stage 1 | 2019/20 | 2018/19 | 2017/18 | 2016/17 | | | | | | | | | | | | | | | | | |
| Total | 37 | 75 | 64 | 84 | | | | | | | | | | | | | | | | | |
| Responded in time (20 days) | 23 (63%) | 47% | 65.3% | 50% | | | | | | | | | | | | | | | | | |
| Upheld | Not available | 36% | 33% | 35% | | | | | | | | | | | | | | | | | |
| 15. | <p>Of those stage 1 complaints, the following were examined at stage 2 by the Complaints Resolution Team, following a request from the complainant:</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Stage 2</th> <th style="text-align: center;">2019/20</th> <th style="text-align: center;">2018/19</th> <th style="text-align: center;">2017/18</th> <th style="text-align: center;">2016/17</th> </tr> </thead> <tbody> <tr> <td>Total</td> <td style="text-align: center;">7</td> <td style="text-align: center;">9</td> <td style="text-align: center;">9</td> <td style="text-align: center;">8</td> </tr> <tr> <td>Responded in time (20 days)</td> <td style="text-align: center;">100%</td> <td style="text-align: center;">100%</td> <td style="text-align: center;">80%</td> <td style="text-align: center;">83%</td> </tr> <tr> <td>Upheld (incl. partially upheld this year)</td> <td style="text-align: center;">57%</td> <td style="text-align: center;">11%</td> <td style="text-align: center;">0%</td> <td style="text-align: center;">12.5%</td> </tr> </tbody> </table> | Stage 2 | 2019/20 | 2018/19 | 2017/18 | 2016/17 | Total | 7 | 9 | 9 | 8 | Responded in time (20 days) | 100% | 100% | 80% | 83% | Upheld (incl. partially upheld this year) | 57% | 11% | 0% | 12.5% |
| Stage 2 | 2019/20 | 2018/19 | 2017/18 | 2016/17 | | | | | | | | | | | | | | | | | |
| Total | 7 | 9 | 9 | 8 | | | | | | | | | | | | | | | | | |
| Responded in time (20 days) | 100% | 100% | 80% | 83% | | | | | | | | | | | | | | | | | |
| Upheld (incl. partially upheld this year) | 57% | 11% | 0% | 12.5% | | | | | | | | | | | | | | | | | |

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| | |
| 16. | <p>Examples of feedback and changes made as a result of stage 2 independent review of Adult Social Care service area complaints.</p> <p>The majority of complaints are regarding personal circumstances were the issues raised are specific to the individual or case. The examples given are where the outcome has had an effect of council response that affect general process :</p> <p>Example one;</p> <p>After the transfer of an elderly resident, being supported by ASC at the time, from her own home to council support accommodation, staff from Adult Social Care recovered a number of items from the ladies home for safe keeping, whilst the transfer took place.</p> <p>Upon the death of the resident, and the request for the items from the family, the items could not be found.</p> <p>Complaint Upheld.</p> <p>It was discovered that there was no policy or process in place to correctly record such events nor any secure dedicated storage with appropriate access controls/register in place.</p> <p>The ASC team had correctly taken the items (given the circumstances of the case). They had issued a receipt and recorded events on the Social Care system. The items had been placed in a safe, not under the control of the ASC team.</p> <p>Some months after the events the items were missing from the safe. Extensive enquires did not reveal the whereabouts of the items.</p> <p>Outcome;</p> <p>The family were compensated for the loss of the items.</p> <p>Adult Social Care now have a process in place for such events (which are rare), a dedicated, secure and audit trailed repository for items and a regular review of any stored items so that they are returned or disposed of in the shortest possible time. The default position is that the council will not take “ownership” of any items except in exceptional circumstances were not alternatives exist.</p> <p>Example Two;</p> <p>A relative of an elderly person, supported by ASC, reported that the council had failed to provide clear and unambiguous communication regarding the change of the supported person care package (URS to self-funding). This had caused significant and unnecessary distress.</p> |

Complaint Upheld;

It was found that the process and charges were correct. However the information via general public access (web etc.) was poor and the explanation and documents issues by the Care Manager at the time of change was insufficient.

Outcome;

Information via SCC web pages has been updated and links have been provided to Government web information.

Leaflets for Care Managers to give to clients have been reviewed and improved.

Children & Families (including Education)

17. From 01/04/2019 to 31/03/20, the council recorded 105 children and families complaints. Stage 1 registered and dealt with by the service area affected:

| Stage 1 | 2019/20 | 2018/19 | 2017/18 | 2016/17 |
|--|---------|---------|---------|---------|
| Total | 105 | 66 | 69 | 99 |
| Responded in time (20 days) | 53% | 65% | 46% | 60% |
| Upheld (incl. partially upheld this year) | 63% | 33% | 19% | 27% |

18. Of those stage 1 complaint, the following were examined at stage 2 by the Complaints Resolution Team, following a request from the complainant:

| Stage 2 | 2019/20 | 2018/19 | 2017/18 | 2016/17 |
|---|---------|---------|---------|---------|
| Total | 35 | 20 | 11 | 10 |
| Responded in time (20 days) | 100% | 80% | 76% | 86% |
| Upheld (incl partially upheld this year) | 40% | 20% | 9% | 20% |
| | | | | |

19. Examples of feedback and changes made as a result of stage 2 independent reviews of Children & Families complaints:

Examples of feedback and changes made as a result of stage 2 independent review of Children and Families service area complaints.

The majority of complaints are regarding personal circumstances were the issues raised are specific to the individual or case. The examples given are where the outcome has had an effect of council response that affect general process :

Example one;

An advocate, on behalf of a client's mother, complains that throughout the involvement of Children and Families in the case, the incorrect interpreter service was supplied despite the representations of the mother that she did not fully understand what the process was and why matter were progressing as they were.

Complaint Upheld;

It was discovered that the family were initially referred to Children and Families by the Police. On the referral papers the police had noted the first language of the mother. On initial and subsequent interactions with the mother, Children and Families had through the LA contract with an Interpreter Service supplied an interpreter based on the information given by the police (and subsequently noted on the Social Care File).

Although the language quoted was correct, the language has a number of dialects and they are distinctly different.

The Children and Families staff did not react to the mother's representations that she was having difficulty understanding all that was happening. Neither did any of the supplied interpreters point out this error.

It was discovered through complaint investigation that the particular dialect that was required could not be supplied by the LA's regular contracted supplier.

Outcome;

A new process has been written for interpreter services. No supplied information on referral is relied upon and the onus is on Children and Families to establish through their own enquiries, what language and dialect is required.

The web link to the interpreter service contracted to the LA has been updated and a second interpreter service process is now available should the main contractor be unable to supply a specific language or dialect.(this is available to the LA as a whole).

Example Two:

A family member of a "Looked after child" complained that the records held by Children and Families (in the Social Care system) were inaccurate and that his requests for further contact with his grandchild were not dealt with efficiently.

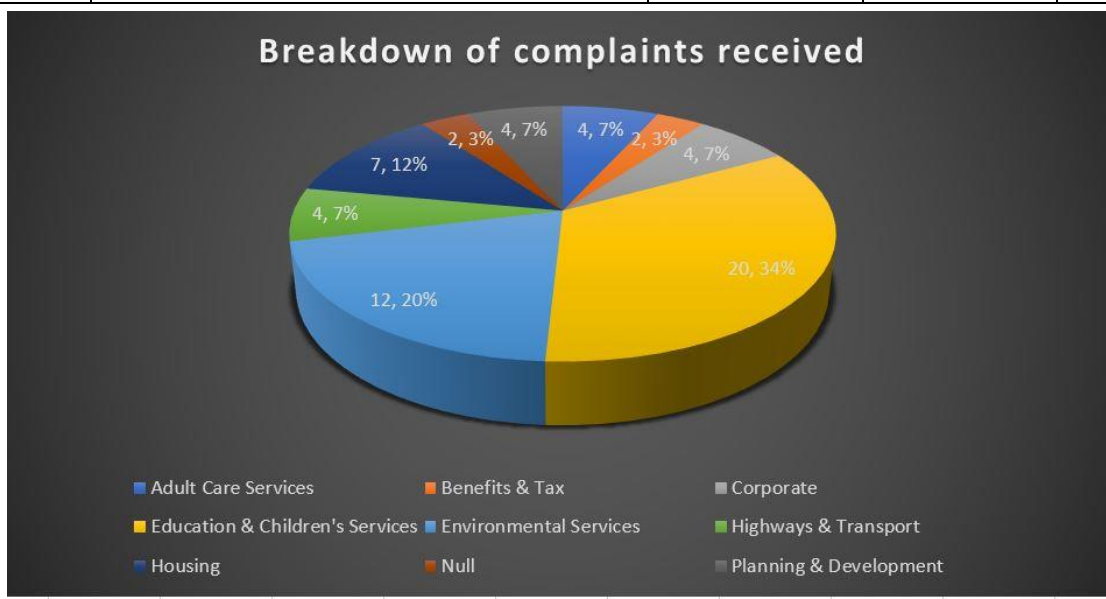
Complaint Not Upheld

This complaint was not upheld. It was discovered that the information held on the Social Care system was supplied to SCC by the Care Home

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| | <p>accommodating the young person. The information given was subsequently found, due to this complaint, to be incorrect. This gave rise to concerns at the time, regarding the family members contact. Therefore a further request for contact was scrutinised for longer than is usual due to the information supplied by the Care Home.</p> <p>Outcome</p> <p>The matter has been rectified by the supply of all records from the Care Home and the updating of the SCC social Care system. The Care Home failed to supply regular contact records and information, despite requests from the SCC case holder. The contact with this care home has been cancelled and the young person moved. The Home is no longer used for placement of SCC Looked after Children.</p> <p>SCC acted correctly in scrutinising the request for further contact, given the information that was on the system at the time of the request.</p> <p>SCC apologised to the family member having explained the situation. The positive outcome being that the Young person is now accommodated closer to Southampton by a considerable distance making contact and visits easier.</p> <p>Contracts between Care Homes and SCC are specific and fit for purpose. The lesson in this case is that insufficient enquiries were made when the regular information required, under contract, was not forthcoming from the Care home. Improved reporting to management is now in place for Social Workers to escalate concerns when regular information is not automatically received from Care Homes regarding young people placed by SCC.</p> <p>It is a contractual requirement for Care Homes to send regular and accurate information, chasing this by Social Workers is not efficient use of their time. Therefore escalation to SCC managers, both Children and Families and the LA's Contract Team should ensure compliance by the contacted Care Home.</p> |
| 20. | <u>Learning from Complaints (overall)</u> |
| 21. | It is clear that there is an increasing instance of complaints not being dealt with effectively at stage 1 of the Children's statutory complaints process. There are lengthy and significant delays in identifying, allocating and responding to complaints, poor record keeping in communications with clients and their families, information and input consistently supplied late or not at all through later stages of the complaints procedures leading in turn to an increase in complaints proceeding to later stages and in turn being upheld for poor administrative process. This has both reputational and cost implications for the Council. |
| 22. | It should be noted that the vast majority of children's complaints that are upheld are not as a result of service failures to the child or family in question, or |

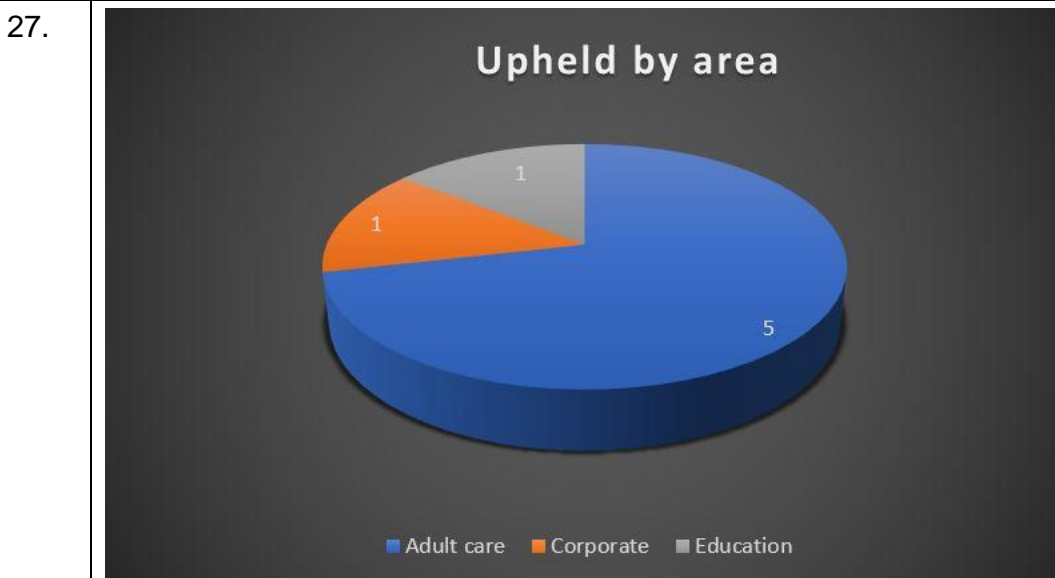
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| | represent mainly low impact outcomes for those families but rather complaints are being upheld and remedies and financial awards being imposed as a result of failures to properly identify, consider and respond effectively to complaints within the service areas. |
| <u>Local Government & Social Care Ombudsman(LGSCO) & Housing Ombudsman Complaints</u> | |
| 23. | LGSCO complaints, the final 'independent' stage for all complaints processes, are dealt with by the Service Lead: Legal Services Partnership on behalf of the Council. The LGSCO (the Commission for Local Administration in England) provides an independent review of all complaints falling within their jurisdiction. The Housing Ombudsman performs a similar function for landlord related complaints. Housing policy and non-landlord related functions fall to the LGSCO to consider. In an effort to simplify outcomes for complainants the LGSCO has in recent years moved from findings of 'Maladministration' and 'Injustice' to a more commonly understood term 'fault'. If 'Fault' is found a complaint is recorded as upheld, even if the fault was relatively minor or the Council has already taken steps to remedy that fault and the LGSCO is satisfied with the remedy offered by the Council. All findings are now reported on the LGSCO website within 3 months of the decision being published. |
| 24. | Statutory reports still remain the highest 'fault' finding the LGSCO can make. These require the Council's Monitoring Officer to prepare a report for consideration at full Council following a period of statutory publication of the findings. None have been prepared in recent years. Council's that fail to co-operate with the LGSCO or any of their findings may be subject to enforcement action and ultimately Judicial Review. |

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| 25. | | 2019/20 | 2018/19 | 2017/18 |
| | Complaints Received | 59 | 66 | 74 |
| | Decisions made | 57 | 74 | 68 |
| | Statutory reports | 0 | 0 | 0 |
| | Upheld | 7 (70%) | 12 (70%) | 7 (50%) |
| | Not upheld | 3 (30%) | 5 (30%) | 7 (50%) |
| | Closed / invalid, etc. | 25 | 11 | 15 |
| | Premature Complaints | 22 | 28 | 39 |



26. Upheld complaints have remained at 70% with a reduction in the overall number of complaints received during 2019/2020.
 There has been an increase in complaints regarding Education and Children's Services (from 11 (17%) to 20 (34%)) overtaking Adult Care Services as the highest percentage

LGSCO Complaints Upheld by area 2019/20



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| 28. | Across the 7 upheld complaints by the LGSCO during 2019/2020, 5 were in Adult Care, 1 in Corporate and 1 in Education |
| 29. | Although a large percentage of complaints were regarding Education and Children's Services, only one in this area was upheld. 71% of the upheld complaints related to Adult Care |

Details of Complaints Upheld

| 30. | <p style="text-align: center;">Upheld by detail</p> <table border="1"> <thead> <tr> <th>Detail</th> <th>Count</th> </tr> </thead> <tbody> <tr> <td>No further action required</td> <td>1</td> </tr> <tr> <td>Apology to client</td> <td>3</td> </tr> <tr> <td>Financial redress</td> <td>3</td> </tr> </tbody> </table> | Detail | Count | No further action required | 1 | Apology to client | 3 | Financial redress | 3 |
|----------------------------|--|--------|-------|----------------------------|---|-------------------|---|-------------------|---|
| Detail | Count | | | | | | | | |
| No further action required | 1 | | | | | | | | |
| Apology to client | 3 | | | | | | | | |
| Financial redress | 3 | | | | | | | | |

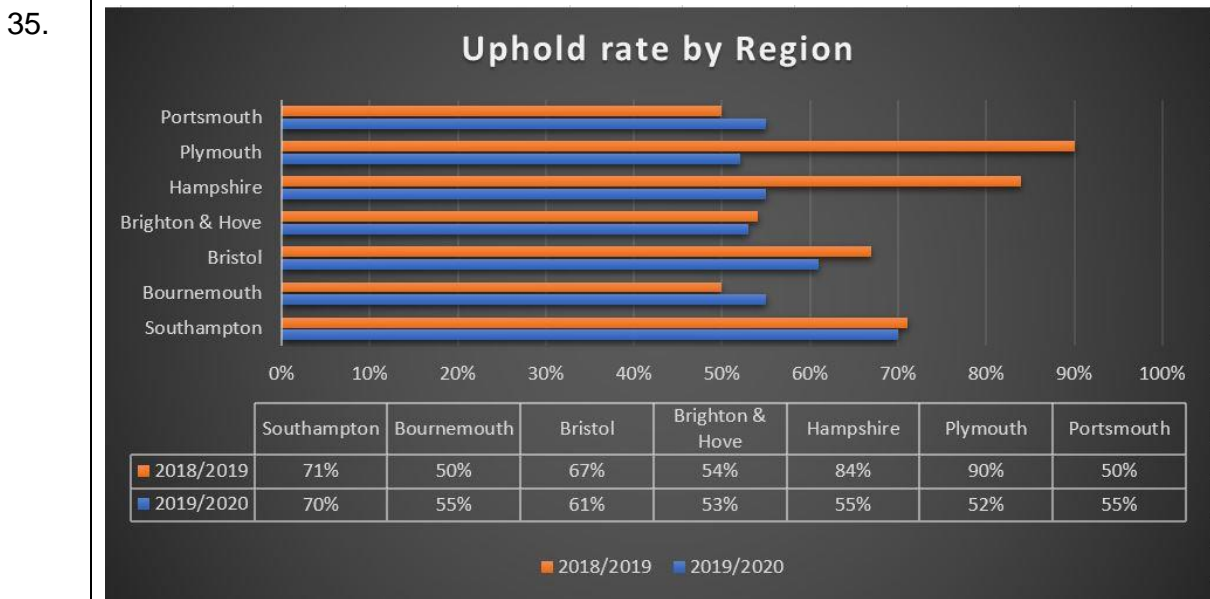
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| 31. | Of the 7 upheld complaints, 1 required no further action, 3 required an apology to the client and 3 required financial redress totalling £32,860 |
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| 32. | <p><u>Adult Care Services matters:</u> Of the upheld complaints regarding Adult Care Services, two required financial redress totalling £29,160. One is an ongoing complaint and the £20,410 payment made was for backdated care home payments as there was a delay in assessing the needs of the client. A result of the findings was an independent assessment, a care and support plan and backdated funding. The second complaint related to Kentish Road of which there were 8 upheld matters last year and subject to a separate report in 2018/2019. The requirements were to carry out further reviews and a mental capacity assessment with a payment of £8750 to reflect the loss of respite care. Two upheld complaints resulted in an explanation and apology to the client with reviews and action plans put in place to avoid further distress. A further matter for Adult Care didn't require any further action from the LGSCO.</p> <p><u>Education and Children's Services matter:</u> A delay in funding for an extension resulted in cramped conditions for a family and an amount of £3700 was paid for the distress and overcrowding over an 18 month period. The Council have since developed a policy regarding its approach to funding extension works, to avoid delays in the future and this was finalised in May and distributed to all relevant staff.</p> <p><u>Corporate matter:</u> This was regarding a misinterpretation of Clause 21.1.2 of the framework agreement between the Council and the client regarding mediation and the Council apologised for this and it was referred to an independent adjudicator with mediation starting as soon as possible.</p> |
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How Does Southampton Compare?

33. The table below shows how Southampton performs against key local and unitary comparators (detailed investigations and overall % upheld). This is an edited snapshot of total number of detailed investigations and the percentage upheld and is not intended to give more than a brief overview of comparative pressures / performance. More detail, and statistics for all other Councils, is included in the LGSCO Annual Report referred to above.

| 34. | | 2019/20 (Uphold rate) | 2018/19 (Uphold rate) |
|-----|-----------------|-----------------------|-----------------------|
| | Bournemouth | Info not available | 42 (50%) |
| | Bristol | 33 (61%) | 18 (67%) |
| | Brighton & Hove | 17 (53%) | 37 (54%) |
| | Hampshire | 38 (55%) | 25 (84%) |
| | Plymouth | 23 (52%) | 20 (90%) |
| | Portsmouth | 11 (55%) | 16 (50%) |
| | Southampton | 10 (70%) | 24 (71%) |



36. Full details of both the Council's annual performance letter and the LGSCO Annual Review can be viewed on www.LGSCO.org.uk

Learning from Complaints

37. Whilst the overall number of complaints received has dropped, there is still a 70% uphold rate which shows more attention needs to be given to these areas. It is difficult to identify any real common themes with very low numbers such as these but the majority of complaints are down to lack of communication. Except for the financial redress (recommended action) the remaining upheld complaints required an apology for not fulfilling original requests from clients.

38. It was predicted last year that due to the implementation of a Restorative Practice approach across all council services, the complaints recorded during this period would hold at present levels (which it has in the uphold rate) or see a

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| | small decrease (shown in the overall complaint numbers). These numbers will continue to decrease whilst the Council follows this new approach. |
| 39. | As of 2018/2019, there is new and updated guidance with regard to process and investigation of complaints, together with advice and guidance from the LGSCO and published on the Southampton City Council intranet to aid managers and others tasked with resolving complaints. There are still areas to address with regard to interpretation, communication and delays in responding which have been highlighted in these upheld matters during 2019/2020. |
| 40. | It should also be noted that LGSCO data looks back an entire year previous to our internal complaints data and it is therefore expected that the rising trend in children's complaints shown in our internal complaints recording will be reflected in next year's LGSCO annual report. |
| RESOURCE IMPLICATIONS | |
| <u>Capital/Revenue</u> | |
| 41. | None. |
| <u>Property/Other</u> | |
| 42. | None. |
| LEGAL IMPLICATIONS | |
| <u>Statutory power to undertake proposals in the report:</u> | |
| 43. | Section 111 Local Government Act 1972 and Section 1 Localism Act 2011. |
| <u>Other Legal Implications:</u> | |
| 44. | Individual complaints touch on a wide variety of Council duties and powers which are taken into account (alongside pervasive legislation such as the Equalities Act 2010) when reviewing and responding to customer complaints and areas of service recovery or improvement. |
| RISK MANAGEMENT IMPLICATIONS | |
| 45. | None in relation to this report. No major issues or areas of concern for the Council as a whole highlighted in this year's review however individual complaints are risk assessed on a case by case basis. |
| POLICY FRAMEWORK IMPLICATIONS | |
| 46. | The complaints function is exercised wholly in accordance with the Council's Policy Framework. |

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| KEY DECISION? | No |
| WARDS/COMMUNITIES AFFECTED: | None |
| <u>SUPPORTING DOCUMENTATION</u> | |
| Appendices | |
| 1. | |
| 2. | |

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| 1. | |
| 2. | |
| Equality Impact Assessment | |
| Do the implications/subject of the report require an Equality and Safety Impact Assessment (ESIA) to be carried out. | No |
| Data Protection Impact Assessment | |
| Do the implications/subject of the report require a Data Protection Impact Assessment (DPIA) to be carried out. | No |
| Other Background Documents | |
| Other Background documents available for inspection at: | |
| Title of Background Paper(s) | Relevant Paragraph of the Access to Information Procedure Rules / Schedule 12A allowing document to be Exempt/Confidential (if applicable) |
| 1. | |
| 2. | |

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Agenda Item 7

| | |
|--------------------------|---|
| DECISION-MAKER: | GOVERNANCE COMMITTEE |
| SUBJECT: | INTERNAL AUDIT PROGRESS REPORT 2020-21 |
| DATE OF DECISION: | 14TH DECEMBER 2020 |
| REPORT OF: | CHIEF INTERNAL AUDITOR |

| <u>CONTACT DETAILS</u> | | | |
|-------------------------------|---------------|--|---------------------------|
| Executive Director | Title | EXECUTIVE DIRECTOR, FINANCE & COMMERCIALISATION | |
| | Name: | John Harrison | Tel: 023 8083 4897 |
| | E-mail | John.Harrison@southampton.gov.uk | |
| Author: | Title | CHIEF INTERNAL AUDITOR | |
| | Name: | Elizabeth.Goodwin | Tel: 023 8083 4616 |
| | E-mail | Elizabeth.Goodwin@southampton.gov.uk | |

STATEMENT OF CONFIDENTIALITY

N/A

BRIEF SUMMARY

The Public Sector Internal Audit Standards 2017 (PSIAS), requires the Chief Internal Auditor (CIA) to provide periodical updates to the Governance Committee on:

- Progress made against the agreed annual audit plan.
- Results of audit activities and
- Management's response to risk that in the CIA's judgement maybe unacceptable to the Authority

All other PSIAS requirements are communicated in either the charter or annual audit opinion, which are reported separately to this committee at various times throughout the year.

There are a total of 78 audit reviews in the revised plan for 2020/21. To date 61 (78%) of the audits have been completed or an in progress as at 30th November 2020. This represents 20 (26%) audits where the report has been finalised, 18 (23%) where the report is in draft and 23 (29%) audits currently in progress.

Internal Audit Progress for the period 15th September 30th November 2020 is covered in the attached Appendix 1.

RECOMMENDATIONS:

| | | |
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| | (i) | That the Governance Committee notes the Internal Audit Progress report for the period 15 th September to 30 th November 2020. |
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REASONS FOR REPORT RECOMMENDATIONS

| | |
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| 1. | In accordance with the Public Sector Internal Audit Standards the Chief Internal Auditor is required to provide an update on progress against the annual audit plan to the Governance Committee for information. |
|----|--|

| | |
|---|--|
| ALTERNATIVE OPTIONS CONSIDERED AND REJECTED | |
| | None |
| DETAIL (Including consultation carried out) | |
| | See Summary as above |
| RESOURCE IMPLICATIONS | |
| <u>Capital/Revenue</u> | |
| | None |
| <u>Property/Other</u> | |
| | None |
| LEGAL IMPLICATIONS | |
| <u>Statutory power to undertake proposals in the report:</u> | |
| | The Accounts and Audit (England) Regulations 2015 state 'a relevant body must undertake an effective internal audit to evaluate the effectiveness of its risk management, control and governance processes, taking into account the Public Sector Internal Auditing Standards. |
| <u>Other Legal Implications:</u> | |
| | None |
| RISK MANAGEMENT IMPLICATIONS | |
| | The report is for note only, there is no decision to be made. |
| POLICY FRAMEWORK IMPLICATIONS | |
| | None |

| | |
|--|---|
| KEY DECISION? | No |
| WARDS/COMMUNITIES AFFECTED: | None |
| <u>SUPPORTING DOCUMENTATION</u> | |
| Appendices | |
| 1. | Internal Audit Progress Report for the period 15 th September to 30 th November 2020. |

Documents In Members' Rooms

| | |
|---|------------|
| 1. | None |
| Equality Impact Assessment | |
| Do the implications/subject of the report require an Equality and Safety Impact Assessment (ESIA) to be carried out. | /No |
| Data Protection Impact Assessment | |
| Do the implications/subject of the report require a Data Protection Impact Assessment (DPIA) to be carried out. | No |
| Other Background Documents | |
| Other Background documents available for inspection at: | |

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SOUTHAMPTON
CITY COUNCIL

Internal Audit Progress Report

14th December 2020

Elizabeth Goodwin, Chief Internal Auditor

1. Introduction

Internal Audit is a statutory function for all local authorities.

The requirement for an Internal Audit function in local government is detailed within the Accounts and Audit (England) Regulations 2015 as to:

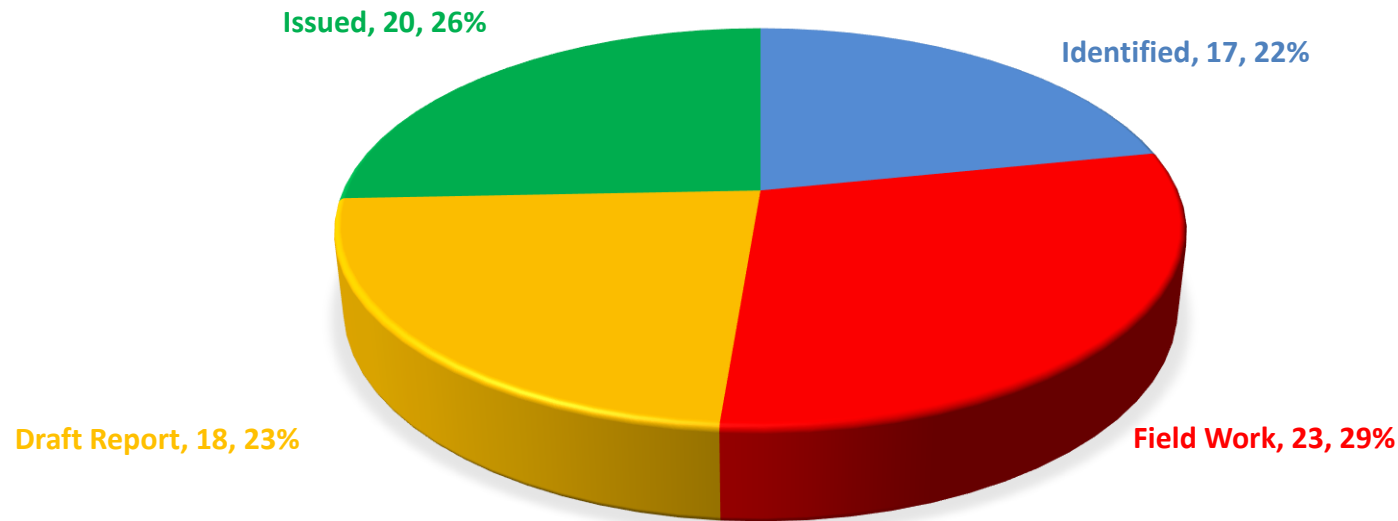
Undertake an effective internal audit to evaluate the effectiveness of its risk management, control and governance processes, taking into account public sector internal auditing standards or guidance

The standards for ‘proper practices’ are laid down in the Public Sector Internal Audit Standards [the Standards – updated 2016].

Internal auditing is an independent, objective assurance and consulting activity designed to add value and improve an organisation’s operations. It helps an organisation accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and governance processes

This report includes the status against the 2020/21 internal audit plan.

2. Audit Plan Progress as of 30th November 2020



There are a total of 78 reviews in the 2020/21 Audit Plan.

To date, 61 (78%) have been completed or are in progress as at 30th November 2020. This represents 20 (26%) audits where the report has been finalised, 18 (23%) where the report is in draft and 23 (29%) audits currently in progress.

| Status | Audits |
|--------------|-----------|
| Identified | 17 |
| Fieldwork | 23 |
| Draft Report | 18 |
| Final Report | 20 |
| Total | 78 |

3. Ongoing Internal Audit Involvement

Internal Audit has undertaken work or provided advice in the following areas. (For reference, advice is only recorded when the time taken to provide the advice exceeds one hour):

- Anti-Money Laundering - This includes receipt of instances of large cash payments received and onward reporting if deemed appropriate.
- National Fraud Initiative (NFI) to facilitate national data matching carried out by the Cabinet Office. There has been two additional NFI exercises in relation to COVID-19, these relate to mortality and business grants.
- COVID-19 Assurance reporting and grant verification.
- Audit Planning and Consultation - This includes periodical consultation with Directors and revision of the plan following subsequent research into individual assignments.
- Routine advice on controls and risk management.
- COVID-19 loss of income analysis and softer approaches to debt recovery data exercise.
- Investigations which are in various stages. A more detailed report of concluded investigations will form part of the annual fraud report which will be presented to the Governance Committee in due course.

4. Audit Plan Status/Changes

The Audit Plan will be more flexible this year to take into account the additional work in relation to the COVID-19 pandemic. Since the last reporting period the following should be noted; **Additions, removals and amendments to the 2020/21 Audit Plan:**

- Addition – Business World – Review of key controls.
- Addition – Pension Return – Request for an independent review.
- Addition – Travel Demand Management Grant
- Removal – COVID 19 Bus Support Restart 31/5020 Window 2 – Certification periods merged into one window.
- Removal – Public Health Outcomes – Removed due to COVID-19 and overall risk assessment.
- Removal – Tower Blocks – Unable to complete site visits due to COVID-19 restrictions.

5. Areas of Concern

There are no 'no assurance' opinion audits being reported on this period, all other findings are noted below.

6. Assurance Levels

Internal Audit reviews culminate in an opinion on the assurance that can be placed on the effectiveness of the framework of risk management, control and governance designed to support the achievement of management objectives for the area under review.

| Assurance Level | Description / Examples |
|-----------------------------|---|
| Assurance | <i>No issues or minor improvements noted within the audit but based on the testing conducted, assurance can be placed that the activity is of low risk to the Authority</i> |
| Reasonable Assurance | <i>Control weaknesses or risks were identified but overall the activities do not pose significant risks to the Authority</i> |
| Limited Assurance | <i>Control weaknesses or risks were identified which pose a more significant risk to the Authority</i> |
| No Assurance | <i>Major individual issues identified or collectively a number of issues raised which could significantly impact the overall objectives of the activity that was subject to the Audit</i> |
| NAT | <i>No areas tested</i> |

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Audits rated No Assurance are specifically highlighted to the Governance Committee along with any Director's comments. The Committee is able to request any director attends a meeting to discuss the issues.

7. Exception Risk Ranking

The following table outline the exceptions raised in audit reports, reported in priority order and are broadly equivalent to those previously used.

| Priority Level | Description |
|-------------------------------|--|
| Low Risk (Improvement) | <i>Very low risk exceptions or recommendations that are classed as improvements that are intended to help the service fine tune its control framework or improve service effectiveness and efficiency. An example of an improvement recommendation would be making changes to a filing system to improve the quality of the management trail.</i> |
| Medium Risk | <i>These are control weaknesses that may expose the system function or process to a key risk but the likelihood of the risk occurring is low.</i> |
| High Risk | <i>Action needs to be taken to address significant control weaknesses but over a reasonable timeframe rather than immediately. These issues are not 'show stopping' but are still important to ensure that controls can be relied upon for the effective performance of the service or function. If not addressed, they can, over time, become critical. An example of an important exception would be the introduction of controls to detect and prevent fraud.</i> |
| Critical Risk | <i>Control weakness that could have a significant impact upon not only the system function or process objectives but also the achievement of the Council's objectives in relation to: The efficient and effective use of resources, The safeguarding of assets, The preparation of reliable financial and operational information, Compliance with laws and regulations and corrective action needs to be taken immediately.</i> |

Any critical exceptions found the will be reported in their entirety to the Governance Committee along with Director's comments

8. 2020/21 Audits completed to 30th November 2020

Public Protection Notices (PPN1)

Exceptions Raised

| Critical | High | Medium | Low |
|----------|------|--------|-----|
| 0 | 3 | 0 | 0 |

Overall Assurance Level

| |
|---------|
| Limited |
|---------|

Assurance Level by Scope Area

| | |
|--|-----------------|
| Achievement of Strategic Objectives | No Areas Tested |
| Compliance with Policies, Laws & Regulations | Limited |
| Safeguarding of Assets | No Areas Tested |
| Effectiveness and Efficiency of Operations | Limited |
| Reliability and Integrity of Data | No Areas Tested |

Based on the testing carried out there are several cases (as highlighted) where Internal Audit would question the rationale behind the decisions made to share or not to share the contents of a PPN1. This combined with the lack of an Authority wide risk assessment for sharing and the absence of a Legal Framework to support the decisions on what to share leaves Southampton City Council open to potential reputational and legislative risks. The first risk reported relates to the Data Protection Impact Assessment covering PPN1 sharing with education settings not being finalised. The second high risk relates to neither a consultation nor engagement taking place in advance to changes made to the sharing of PPN1 documentation and/or content with schools. The final high risk relates to the Information Sharing Protocol in place for sharing data with City Schools and Academies does not specifically refer to PPN1 notices, is not dated and is not clear if there is a signed protocol in place.

Disabled Facilities Grant

Exceptions Raised

| Critical | High | Medium | Low |
|----------|------|--------|-----|
| 0 | 0 | 0 | 0 |

Overall Assurance Level

| |
|-----------|
| Assurance |
|-----------|

Assurance Level by Scope Area

| | |
|--|-----------------|
| Achievement of Strategic Objectives | No Areas Tested |
| Compliance with Policies, Laws & Regulations | Assurance |
| Safeguarding of Assets | Assurance |
| Effectiveness and Efficiency of Operations | No Areas Tested |
| Reliability and Integrity of Data | No Areas Tested |

Based on the testing carried out Internal Audit can give assurance that the administration of the 2019/20 Disabled Facilities Grant is of low risk to the Authority. As a result Internal Audit have provided the necessary statement to the Ministry of Housing, Communities and Local Government as required by the grant determination letter.

COVID-19 Income Loss Claim

Grant Outcome:

Assurance

Internal Audit have not found any issues with the Authority's return. This review included evidencing where the figures had been drawn, how the return has been compiled, confirmed the 2020/21 base budget figures were used and reviewed and challenged income areas being claimed. No testing has been completed to verify the accuracy of the figures being claimed as these are estimated figures. The final return will be subject to a full reconciliation exercise when actual figures are known. Further returns are due in December 2020 and March 2021.

Infection Control Grant

Grant Outcome:

Assurance

Verification against terms and conditions - Testing under phase one has confirmed that payments to adult social care providers have been made in accordance with grant terms and conditions.

Local Capital Transport Grant

Grant Outcome:

Assurance

Based on the testing carried out Internal Audit can give assurance that the administration of the Local Capital Transport Grant is of low risk to the Authority. As a result Internal Audit have provided the necessary return to central government confirming that the terms and conditions have been adhered to.

Additional Dedicated H2S & College Transport Grant

Grant Outcome:

Assurance

Based on the testing carried out Internal Audit can give assurance that the administration of the Additional Dedicated Home to School and College Transport Grant is of low risk to the Authority. As a result Internal Audit have provided the necessary return to central government confirming that the terms and conditions have been adhered to.

9. 2019/20 Follow-up Audits completed to 30th November 2020

Ethics

Original Exceptions Raised

| Critical | High | Medium | Low |
|----------|------|--------|-----|
| 0 | 2 | 1 | 0 |

Latest implementation date scheduled during the original audit was December 2019.

Follow-up Assurance Level

| |
|---------|
| Limited |
|---------|

2nd Follow Up Level

| |
|------------|
| Reasonable |
|------------|

Follow Up Action

| Open | Pending | In Progress | Implemented but Not Effective | Closed: Verified | Closed: Not Verified | Closed: Management Accepts Risks | Closed: No Longer Applicable |
|------|---------|-------------|-------------------------------|------------------|----------------------|----------------------------------|------------------------------|
| 0 | 0 | 1 (Medium) | 0 | 2 (High) | 0 | 0 | 0 |

Follow up testing was able to close down both high risks and move the overall assurance to reasonable. A medium risk which was originally raised due to the HR Pay Team only being able to locate 7/16 register of outside interests declaration, follow up testing found that the process had been updated but the electronic form had not yet gone live.

Mobile Devices

Original Exceptions Raised

| Critical | High | Medium | Low |
|----------|------|--------|-----|
| 0 | 3 | 1 | 0 |

Latest implementation date scheduled during the original audit was June 2019.

Original Assurance Level

| |
|--------------|
| No Assurance |
|--------------|

Follow-up Assurance Level

| |
|---------|
| Limited |
|---------|

Follow Up Action

| Open | Pending | In Progress | Implemented but Not Effective | Closed: Verified | Closed: Not Verified | Closed: Management Accepts Risks | Closed: No Longer Applicable |
|------|---------|-------------|-------------------------------|------------------------|----------------------|----------------------------------|------------------------------|
| 0 | 0 | 1 (High) | 0 | 2 (High) 1 (Medium) | 0 | 0 | 0 |

Follow up testing was able to close two high and one medium risk. One high risk remains in progress in relation to identifying unassigned mobile devices and suspending, then terminating them. Audit testing found that there are 149 fewer connected lines than found during the original audit and the number of devices that could not be matched to an employee dropped from 751 to 180.

Regeneration Projects
Original Exceptions Raised

| Critical | High | Medium | Low |
|----------|------|--------|-----|
| 0 | 1 | 1 | 0 |

Latest implementation date scheduled during the original audit was April 2020.

Follow Up Assurance Level

| |
|------------|
| Reasonable |
|------------|

2nd Follow Up Level

| |
|------------|
| Reasonable |
|------------|

Follow Up Action

| Open | Pending | In Progress | Implemented but Not Effective | Closed: Verified | Closed: Not Verified | Closed: Management Accepts Risks | Closed: No Longer Applicable |
|------|---------|-------------|-------------------------------|------------------|----------------------|----------------------------------|------------------------------|
| 0 | 0 | 1 (Medium) | 0 | 1 (High) | 0 | 0 | 0 |

Follow up testing was able to close the high risk exception. A medium risk remains open as the notes from a specific project did not include relevant budgetary information relating to the budget position.

Voids
Original Exceptions Raised

| Critical | High | Medium | Low |
|----------|------|--------|-----|
| 0 | 3 | 0 | 0 |

Latest implementation date scheduled during the original audit was July 2020.

Follow Up Assurance Level

| |
|---------|
| Limited |
|---------|

Follow-up Assurance Level

| |
|------------|
| Reasonable |
|------------|

Follow Up Action

| Open | Pending | In Progress | Implemented but Not Effective | Closed: Verified | Closed: Not Verified | Closed: Management Accepts Risks | Closed: No Longer Applicable |
|------|---------|-------------|-------------------------------|------------------|----------------------|----------------------------------|------------------------------|
| 0 | 0 | 3 (High) | 0 | 0 | 0 | 0 | 0 |

The first high risk was raised initially in relation to incomplete void property records, follow up testing found that new procedures had been rolled out to ensure a consistent approach to tenancy documentation across all locations but this was still in its infancy stages. The second high risk was raised in relation to the authority not reclaiming damage/clearance costs from former tenants, follow up testing found that a business plan has been drafted to undertake pre-vacation checks and a temporary staff member has been recruited to administer void recharges. The third high risk was raised initially in relation delays in turning around routine and major works voids, follow up testing found that during quarter 2 over 50% exceeded turnaround targets but this was impacted on by COVID-19 restrictions.

10. Follow-up Action Categorisation

The following table outlines the follow up categories used to describe the outcome of follow up testing completed.

| Follow Up Categories | Description |
|--|--|
| Open | <i>No action has been taken on agreed action.</i> |
| Pending | <i>Actions cannot be taken at the current time but steps have been taken to prepare.</i> |
| In Progress | <i>Progress has been made on the agreed action however they have not been completed.</i> |
| Implemented but not Effective | <i>Agreed action implemented but not effective in mitigating the risk.</i> |
| Closed: <i>Verified</i> | <i>Agreed action implemented and risk mitigated, verified by follow up testing.</i> |
| Closed: <i>Not Verified</i> | <i>Client has stated action has been completed but unable to verify via testing.</i> |
| Closed: <i>Management Accepts Risk</i> | <i>Management has accepted the risk highlighted from the exception.</i> |
| Closed: <i>No Longer Applicable</i> | <i>Risk exposure no longer applicable.</i> |

11. Audits in Draft

| Audit | Directorate | Projected Reporting | Revised | Comments |
|---------------------------|---------------------------------------|---------------------|----------|---|
| Agency / Temps | Business Services | February 2021 | | |
| Appointeeship | Wellbeing (Health & Adults) / Finance | November 2020 | Feb 2021 | Delay within audit resource. |
| Asbestos | Communities, Culture & Homes | November 2020 | Feb 2021 | With management for agreed actions. |
| Blue Badge | Wellbeing (Health & Adults) | February 2021 | | |
| CSE & Missing Persons | Wellbeing (Children & Learning) | February 2021 | | |
| Data Management | Business Services | February 2021 | | |
| Education Psychologists | Wellbeing (Children & Learning) | February 2021 | | |
| Fleet Management | Place | February 2021 | | |
| Flood Risk Management | Place | February 2021 | | |
| Grounds Maintenance | Place | February 2021 | | |
| Independent Fostering | Wellbeing (Children & Learning) | February 2021 | | |
| IT Procurement & Disposal | Business Services | November 2020 | Feb 2021 | With management for agreed actions. |
| IT Project (Paris) | Business Services | November 2020 | Feb 2021 | Delay within audit resource. |
| Looked After Children | Wellbeing (Children & Learning) | February 2021 | | |
| Procurement | Finance | November 2020 | Feb 2021 | Delay within audit resource. |
| Purchase Cards | Finance | February 2021 | | |
| Short Breaks | Wellbeing (Children & Learning) | November 2020 | Feb 2021 | Final actions awaiting clarification from client. |
| Water Quality | Place | November 2020 | Feb 2021 | With management for agreed actions. |

12. Audits in Progress

| Audit | Directorate | Comments |
|---|---------------------------------|----------|
| Assurance Reporting | All | |
| Business World | Finance | |
| Capital Programme | Place | |
| Care Act Carer | Wellbeing (Health & Adults) | |
| Children in Need | Wellbeing (Children & Learning) | |
| Contract – Electric Vehicle Charging Points | Place | |
| COVID Bus Services Revenue Grant | Place | |
| COVID Bus Support Restart Grant | Place | |
| EU Perinatal Mental Health | Wellbeing (Health & Adults) | |
| Expenses, Travel & Subsistence | Business Services | |
| Family Matters Grant | Wellbeing (Children & Learning) | |
| HMO Licensing | Community, Culture & Homes | |
| Housing Depot (Responsive Repairs) | Community, Culture & Homes | |
| Parking (Income Collection) | Community, Culture & Homes | |
| Payroll | Finance | |
| Pension Return | Finance | |
| Pest Control | Place | |
| Polygon School | Wellbeing (Children & Learning) | |

| | | |
|--------------------------------|---------------------------------|--|
| Recruitment and Retention | Business Services | |
| Refunds | Finance | |
| Supplier Performance | Finance | |
| Travel Demand Management Grant | Place | |
| Woolston School | Wellbeing (Children & Learning) | |

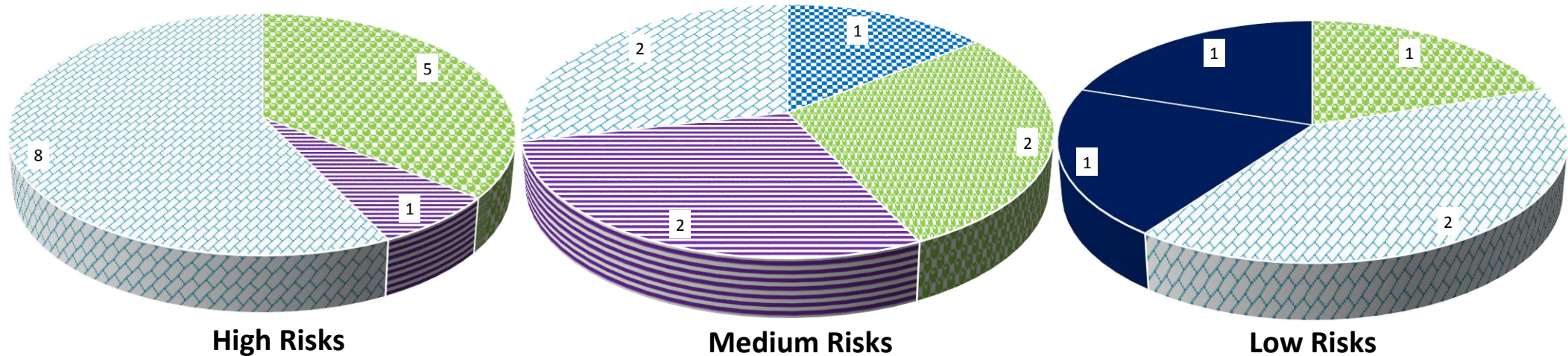
13. Exception Analysis to Date



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| | Achievement of Strategic Objectives | Compliance | Effectiveness of Operations | Reliability & Integrity | Safeguarding of Assets | Total |
|------------------------|-------------------------------------|------------|-----------------------------|-------------------------|------------------------|----------|
| Critical Risk | | | | | | |
| High Risk | | 2 | 2 | | | 4 |
| Medium Risk | | 1 | 2 | 1 | | 4 |
| Low Risk - Improvement | | | | | | |
| Grand Total | 0 | 3 | 4 | 1 | 0 | 8 |

14. Follow Up Analysis



-  Open
-  In Progress
-  Closed – Verified
-  Pending
-  Implemented but not effective
-  Closed – Not Verified/Accepts Risk

| | Open | Pending | In Progress | Implemented but not effective | Closed – Verified | Closed – Not Verified | Closed – Management Accepts Risk | Closed – No Longer Applicable |
|--------------------|----------|---------|-------------|-------------------------------|-------------------|-----------------------|----------------------------------|-------------------------------|
| High Risk | | | 5 | 1 | 8 | | | |
| Medium Risk | 1 | | 2 | 2 | 2 | | | |
| Low Risk | | | 1 | | 2 | 1 | 1 | |
| Grand Total | 1 | | 8 | 3 | 12 | 1 | 1 | |

The Internal Audit Service follows up all audits where at least 1 high risk exception has been raised. These audits are followed up in the next financial year to allow for agreed actions to be sufficiently implemented. Any critical risk exceptions are followed up within 3 months due to the potential severity of the risks identified. The overall position of the exceptions followed up currently through 2019/20 shows that **54%** have been closed by audit, however **46%** remain open and or are in progress.

15. Remaining 2019/20 Audits issued (30th November 2020)

CDM Regulations 2015

Exceptions Raised

| Critical | High | Medium | Low |
|----------|------|--------|-----|
| 0 | 4 | 1 | 0 |

Overall Assurance Level

| |
|---------|
| Limited |
|---------|

Agreed actions were scheduled to be implemented by April 2021

Assurance Level by Scope Area

| | |
|--|------------|
| Correct Application of Roles under CDM | Limited |
| Training and Competency | Reasonable |
| Governance Arrangements | Reasonable |
| Site Visits | Limited |

The first high risk relates to 1/5 projects not assigning a principal designer or designer which according to CDM regulations are responsible for ensuring health and safety both during the project and beyond. The second high risk relates to a project requiring approval for a virement retrospectively at the Capital Project Board. The third high risk relates to inconsistencies in data held. The final high risk was raised in relation to various non-compliance to CDM regulations being identified during a site visit, which include a blank risk assessment held on the site file, the sign in/out register being a week behind, methods statements did not cover the location and doors had been removed assuming they contained asbestos. The medium risk relates to 2/3 officers named in the Construction Phase Plan having not completed the e-learning module covering CDM Regulations 2015 within the last two years.

Housing Rents & Debt Management

Exceptions Raised

| Critical | High | Medium | Low |
|----------|------|--------|-----|
| 0 | 2 | 1 | 0 |

Overall Assurance Level

| |
|---------|
| Limited |
|---------|

Agreed actions were scheduled to be implemented by December 2020

Assurance Level by Scope Area

| | |
|--|-----------------|
| Achievement of Strategic Objectives | No Areas Tested |
| Compliance with Policies, Laws & Regulations | Assurance |
| Safeguarding of Assets | No Areas Tested |
| Effectiveness and Efficiency of Operations | Limited |
| Reliability and Integrity of Data | Assurance |

The first high risk relates to 14/30 credit balances tested had not had any action taken to refund tenants within the last 30 days (credits totalled £22,529). The second high risk relates to 18/20 former tenants debts not having any recovery action within the last 30 days which totalled the authority being owe £9,314.45. The medium risk was raised in relation to the Business World system allowing officers to self-authorise transactions over their own limits.

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Agenda Item 8

| | |
|--------------------------|--------------------------------------|
| DECISION-MAKER: | GOVERNANCE COMMITTEE |
| SUBJECT: | TAX EVASION POLICY |
| DATE OF DECISION: | 14TH DECEMBER 2020 |
| REPORT OF: | CHIEF INTERNAL AUDITOR |

| <u>CONTACT DETAILS</u> | | | |
|-------------------------------|---------------|--|----------------------------------|
| Executive Director | Title | EXECUTIVE DIRECTOR, FINANCE & COMMERCIALISATION | |
| | Name: | John Harrison | Tel: 023 8083 4897 |
| | E-mail | John.Harrison@southampton.gov.uk | |
| Author: | Title | CHIEF INTERNAL AUDITOR | |
| | Name: | Elizabeth Goodwin | Tel: 023 8083 4616 |
| | E-mail | Elizabeth.Goodwin@southampton.gov.uk | |

| |
|---|
| STATEMENT OF CONFIDENTIALITY |
| N/A |
| BRIEF SUMMARY |
| <p>This Policy has been introduced to set out details of the new Corporate Criminal Offences in relation to the failure to prevent Tax Evasion under the Criminal Finance Act 2017.</p> <p>The Government has stated that councils should be criminally liable where they fail to prevent those who act for, or on their behalf from criminally facilitating tax evasion.</p> <p>The new offence does not fundamentally alter what is criminal; it simply focuses on who is to be held accountable for acts contrary to current law. The new offence focuses on the failure to prevent the crimes and those who act for or on behalf of a corporation, rather than trying to attribute acts to the corporation.</p> <p>The new legislation in relation to Corporate Tax Evasions is laid out in the Criminal Finance Act 2017 ("CFA 2017"). This new act came into force on the 30th September 2017. Part 3 of CFA 2017 creates two separate corporate offences:</p> <ul style="list-style-type: none">• Failure to prevent facilitation of UK tax evasion and;• Failure to prevent facilitation of overseas tax evasion. <p>The council may be found guilty of an offence if a person commits a UK tax evasion facilitation offence when acting in the capacity of a person associated with the Council. Government guidance suggests that proportionate prevention measures should be taken based on an assessment that identifies the specific risks of the organisation. The attached policy outlines the Council's risk assessment and resulting action with regards to Tax Evasion.</p> |
| RECOMMENDATIONS: |

| | | |
|---|--|--|
| | (i) | That the Governance Committee approves the Tax Evasion Policy. |
| REASONS FOR REPORT RECOMMENDATIONS | | |
| 1. | To maintain compliance with the relevant legislative requirements of the Criminal Finance Act 2017. | |
| ALTERNATIVE OPTIONS CONSIDERED AND REJECTED | | |
| | None | |
| DETAIL (Including consultation carried out) | | |
| | The policy has been reviewed by the Service Director; Legal & Business Operations to ensure that they are compliant with legislative requirements. | |
| RESOURCE IMPLICATIONS | | |
| <u>Capital/Revenue</u> | | |
| | None | |
| <u>Property/Other</u> | | |
| | None | |
| LEGAL IMPLICATIONS | | |
| <u>Statutory power to undertake proposals in the report:</u> | | |
| | Criminal Finance Act 2017 | |
| <u>Other Legal Implications:</u> | | |
| | None | |
| RISK MANAGEMENT IMPLICATIONS | | |
| | Non-compliance with legislation. | |
| POLICY FRAMEWORK IMPLICATIONS | | |
| | None | |

| | | |
|---|--------------------|-----------|
| KEY DECISION? | No | |
| WARDS/COMMUNITIES AFFECTED: | None | |
| <u>SUPPORTING DOCUMENTATION</u> | | |
| Appendices | | |
| 1. | Tax Evasion Policy | |
| Documents In Members' Rooms | | |
| 1. | None | |
| Equality Impact Assessment | | |
| Do the implications/subject of the report require an Equality and Safety Impact Assessment (ESIA) to be carried out. | | No |
| Data Protection Impact Assessment | | |
| Do the implications/subject of the report require a Data Protection Impact Assessment (DPIA) to be carried out. | | No |

Other Background Documents

Criminal Finance Act 2017 -

<http://www.legislation.gov.uk/ukpga/2017/22/contents/enacted>

Tackling Tax Evasion –

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/672231/Tackling-tax-evasion-corporate-offences.pdf

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Southampton City Council Tax Evasion Policy



Southampton City Council Tax Evasion Policy

Contents

| | |
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| What is Tax Evasion? | |
| What is Tax Avoidance? | |
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| Tax Evasion Policy | | | |
|--------------------------|---|-----------------------|-----------------------------|
| Version | 1.0 | Approved by | Click here to enter text. |
| Date last amended | Click here to enter a date. | Approval date | Click here to enter a date. |
| Lead officer | Elizabeth Goodwin, Chief Internal Auditor | Review date | |
| Contact | elizabeth.goodwin@southampton.gov.uk | Effective date | |

Purpose

1. This policy has been introduced to set out details of the new Corporate Criminal Offences in relation to the failure to prevent Tax Evasion under the Criminal Finance Act 2017.
2. The council is required to take prevention measures to prevent tax evasion.

Legislative Context

3. The Government believes that councils should be criminally liable where they fail to prevent those who act for, or on their behalf from criminally facilitating tax evasion.
4. The new offence does not fundamentally alter what is criminal; it simply focuses on who is to be held accountable for acts contrary to the current law.
5. The new offence focuses on the failure to prevent the crimes and those who act for or on behalf of a corporation, rather than trying to attribute acts to the corporation.
6. The new legislation in relation to Corporate Tax Evasion is laid out in the Criminal Finance Act 2017 ("CFA 2017"). This new act came into force on the 30th September 2017:-.

Part 3 CFA 2017 creates two separate corporate offences:

- Failure to prevent facilitation of UK tax evasion and;
 - Failure to prevent facilitation of overseas tax evasion.
7. The Council would be guilty of an offence if a person commits a UK tax evasion facilitation offence when acting in the capacity of a person associated with the Council.

Under S45 (4) CFA 2017 a UK tax evasion offence is either of the following:

- a) An offence of cheating the public revenue.
- b) An offence under the law of any part of the United Kingdom consisting of being knowingly concerned in or taking steps with a view to, the fraudulent evasion of a tax.

Under S45 (5) CFA 2017 'UK tax evasion facilitation offence' means an offence under the law of any part of the United Kingdom consisting of:-

- a) Being knowingly concerned in, or taking steps with a view to, the fraudulent evasion of a tax of another person,
- b) Aiding, abetting, counselling or procuring the commission of a UK tax evasion offence, or
- c) Being involved in the commission of an offence consisting of being knowingly concerned in, or taking steps with a view to, the fraudulent evasion of tax.

Who can be held accountable for Tax Evasion?

8. The Government guidance refers to both the 'Relevant body', namely (Southampton City Council) and 'persons acting as associates,' (any employee, agent or other person who performs services for, or, on behalf of Southampton City Council). The associate person can be individual or an incorporated body.
9. For Corporate offences to be committed a criminal offence must have been committed at the taxpayer level (stage one)

Stage one: The criminal tax evasion by a taxpayer (either an individual or a legal entity) under existing law.

10. It is criminal offence to deliberately and dishonestly facilitate the commission of revenue fraud or to assist a person to fraudulently evade tax. It is also a crime to aid and abet another person in committing a revenue fraud.

Stage two: The criminal facilitation of the tax evasion by an associate person of a relevant body.

11. Only a relevant body can commit the new offences. If an associate deliberately and dishonestly criminally facilitates a tax evasion offence whilst performing services for or on behalf of Southampton City Council, the Council is accountable, unless they could evidence that reasonable prevention procedures have been put in place to prevent its associated persons from committing tax evasion.

Prevention Procedures

12. Government guidance suggests the proportionate prevention measures should be taken based on an assessment that identifies the specific risks of the organisation.
13. The Government has set the same threshold for Tax Evasion prevention measures as those set for Bribery (under S7 of the Bribery Act 2010). i.e. When an offence has been committed, an organisation must be able to evidence that they have adequate procedures in place designed to prevent persons associated with Southampton City Council from undertaking such conduct.
 - Risk Assessment
 - Proportionality of risk-based prevention procedures
 - Top Level Commitment
 - Due Diligence
 - Communication (including training)
 - Monitoring and Review
14. The Council must ensure that their policies and procedures are up-to-date and that staff are made aware of their responsibility around the recognition and prevention of tax evasion. This will not only provide a safeguard against tax evasion but also enable the Council to evidence that prevention procedures are in place.

Definition

15. **Tax Evasion** is the non-payment or under-payment of taxes, usually resulting from making a false declaration or no declaration at all of taxes due to the relevant tax authorities, resulting in legal penalties (which may be civil or criminal) if the perpetrator of tax evasion is caught.
16. **Tax Avoidance** is seeking to minimise a tax bill without deliberate deception (which would be tax evasion) but contrary to the spirit of the law. It therefore involves the exploitation of loopholes and gaps in the tax and other legislation in ways not anticipated by the law.
17. **Relevant Body** – The government guidance for the corporate offences of failure to prevent criminal facilitation of tax evasion, (1st September 2017) states that only a 'relevant body' can commit the new offences. This means that only incorporated bodies (typically companies but also includes the Council) and partnerships can commit the new offences, not individuals.
18. However, a relevant body can commit the new offences if a person acting in the capacity of a person associated with it criminally facilitates a tax evasion offence.
19. A person is associated with a relevant body if that person is an employee, agent or other person who performs services for or on behalf of the relevant body (such as sub-contractors).

Risk Assessment

20. It is unlikely that any one individual Council Officer would benefit individually from Tax Evasion. There would have to be collusion either with a supplier or another council employee for an individual to benefit. However, the Council's Audit Team will conduct regular compliance checks paying attention to areas of high risk and report back to the Governance Committee as part of its reporting requirements on counter fraud activities.

Areas of Risk

21. The following examples are intended to illustrate situations in which a person (member of staff) or the Council could facilitate tax evasion. These examples noted are not an exhaustive list.
22. **Value Added Tax**

Paid to Non-registered Suppliers – Suppliers adding VAT to their invoices when they are not registered for VAT with the intention of not paying the tax over to HMRC. If the invoice is approved/paid by a Council employee without questioning the incorrect addition of VAT to the invoice, they could be facilitating tax evasion by the supplier. If the council paid the invoice and recovered the VAT from HMRC this would not be identified as a cost in anyone's budget so would be difficult to spot.

Paying Fraudulent VAT Only Invoices – Accepting and paying a VAT only invoice without checking that it is valid and relates to goods and services received by the Council could facilitate tax evasion by a supplier. VAT only invoices would not be identified as a cost against any budget as the money would be recovered from HMRC and could therefore go undetected.

Raising Invoices to a Customer – Having supplied goods or services to Customer A, they then ask the service to raise the invoice to Customer B. The reason for this change could be because Customer A is not VAT registered and cannot recover VAT whereas Customer B is registered and can recover the VAT. This type of request could be an indicator of tax evasion and the

reason for the request should be obtained and the change only made if it is clear that the reason is not in order to evade tax.

Supplies of Goods or Services to Customers – At a customer's request, changing the description of the goods or services supplied from those that would be subject to VAT to something that does not attract VAT. The only reason for doing this would be so that the customer does not have to pay the correct VAT due. The employee would be facilitating tax evasion by complying with this request.

23. Construction Industry Scheme

Invoices received from suppliers could show a false breakdown of labour costs with the intention that a lower amount of tax will be deducted on the labour element, or no tax being deducted at all.

A lack of understanding as to what comes within the scope of the scheme or the implications of not applying the scheme, could mean that the Council is committing a criminal offence as they have assisted a third party in criminal tax evasion.

24. PAYE – Income Tax/National Insurance

Failure to deduct the Tax and NI at the correct rate - A manager agrees to allow a staff member to claim home to work travel through an expense claim, by describing it in such a way to avoid its correct identification. Knowing that this is against the Council's policy and with the intention to help the member of staff member to avoid paying the tax that is properly due.

The manager is allowing the staff member to make a false statement to evade paying tax and is therefore committing an offence of assisting criminal tax evasion.

Inappropriate use of Gift Vouchers - A member of staff is rewarded by way of a gift voucher over the HMRC trivial gift limit (currently £50). This could be seen to be a deliberate form of reward to avoid tax liabilities.

25. Off Payroll Working (IR35)

Failure to identify workers/contractors that should be paid via the payroll - A supplier wishes to be treated as a self-employed contractor so that payments to them are paid gross and they can evade paying the appropriate income tax and national insurance liabilities. A Council officer helps the supplier falsifying information on the Employment Status Questionnaire to obtain a self-employed status results.

By supplying false information in this way, the Council employee is committing a criminal offence as they have assisted a third party in criminal tax evasion.

26. Direct Payments (for Care & Support Services)

The Council makes payments to people who have been assessed as needing help from Social Services and who would like to arrange and pay for their own care and support, instead of receiving the support direct from the Council. The recipient of the direct payment then becomes responsible for deductions for Income Tax and National Insurance from payments made to personal assistants and declaring this to HMRC.

As part of the Council's duty to monitor the use of the direct payments awarded to individuals, staff carrying out monitoring should ensure that deductions for Income Tax and National Insurance are being properly deducted and declared to HMRC. In the event that the payments are not being made the member of staff must raise this with their manager.

Failure to ensure deductions for Income Tax and National Insurance are paid means that the Council or member of staff is committing a criminal offence as they have assisted a third party in criminal tax evasion.

27. **Grants**

Failure to ensure that Grant funding is used for intended purpose.

The Council gives a grant to an organisation for a specific project or service which may include the employment of staff. Staff are paid without the appropriate deduction of Income Tax and National Insurance. No checks are made when the grant is applied for to ensure that the organisation has sufficient funds to meet the tax liabilities and no checks are made to ensure the grant funding is used properly and for the intended purposes.

If the organisation has deliberately evaded tax, the Council is committing a criminal offence as they have assisted a third party in criminal tax evasion.

28. These examples are intended to be illustrative and cannot cover every form of risk. Other risks would include:-

- Encouraging elderly/disabled clients or charities to self-certify to obtain VAT zero-rating for goods they received when they do not qualify for the zero-rating.
- Negotiating with suppliers to make cash payments for goods or services.

Proportionality of Risk-based Prevention Procedures

29. The Council has a zero tolerance for anyone committing tax evasion and recognises its responsibility to prevent the facilitation of tax evasion. This is reflected in the governance process and procedures to address specific risks.

30. In addition the Audit Team incorporates a number of specific audits to identify various tax irregularities.

31. The council has the following practices in place that all contribute to staff awareness and Governance:

- Council Constitution & Financial Procedure Rules
- Officer Code of Conduct
- Code for Dealing with Third Parties
- Partnership Code
- Anti-Fraud, Bribery & Corruption Policy
- Anti-Money Laundering Policy
- Duty to Act (Whistleblowing) Policy

Due Diligence

32. Processes and Procedures are in place in relation to payment of invoices. Regular audits take place and additional caution is exercised when making payments to new suppliers.

Communication & Training

33. All relevant staff should be aware of the CFA 2017 requirements via appropriate means of training. For further details on training please contact Internal Audit 023 8083 4616.

34. The reporting process for anyone who may have concerns that either tax evasion or the facilitation of tax evasion offences may have been committed are as follows:-

| | |
|---|---|
| John Harrison | |
| Executive Director Finance & Commercialisation | Telephone: 023 8083 4897 Email: john.harrison@southampton.gov.uk |
| Richard Ivory | |
| Service Director Legal & Governance | Telephone: 023 8083 2794 Email: richard.ivory@southampton.gov.uk |
| Elizabeth Goodwin | |
| Chief Internal Auditor | Telephone: 023 8083 4616 Email: elizabeth.goodwin@southampton.gov.uk |

35. If for whatever reason, you feel uncomfortable in reporting your concerns direct to the named officers above then there is a facility to submit concerns via email to the following generic inbox: duty.to.act@southampton.gov.uk

Monitoring and Reviews

36. Monitoring and review will form part of the annual audit program of activities and annual reports will be presented back to the Governance Committee.

Top Level Commitment

37. The policy is supported by senior officers and endorsed by the Governance Committee.

[END]

Agenda Item 9

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|-------------------------------|---|--|----------------------------------|
| DECISION-MAKER: | Governance Committee | | |
| SUBJECT: | Annual Review of Health and Social Care Contracts managed by the Integrated Commissioning Unit | | |
| DATE OF DECISION: | Monday, 14 December 2020 | | |
| REPORT OF: | Director of Quality and Integration, Stephanie Ramsey | | |
| <u>CONTACT DETAILS</u> | | | |
| AUTHOR: | Name: | Aleksandra Burlinson | Tel: 023 8083 2795 |
| | E-mail: | aleksandra.burlinson@southampton.gov.uk | |
| Director | Name: | Stephanie Ramsey | Tel: 023 8029 6941 |
| | E-mail: | stephanie.ramsey@southampton.gov.uk | |

STATEMENT OF CONFIDENTIALITY

BRIEF SUMMARY

This paper informs the Governance Committee of the contracts managed by the Integrated Commissioning Unit (ICU) on behalf of Southampton City Council (the Council), and gives a summary of the current arrangements for monitoring these contracts, including mechanisms for assurance of quality, performance, and governance.

In addition, this year's paper also provides a summary of measures the Council has introduced to support local third-party providers of care and support service during the COVID-19 emergency period, and the new service arrangements that have been commissioned to support the local health and care system to effectively manage the local response to COVID-19.

RECOMMENDATIONS:

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| (i) | To note the report's contents and the work of the Integrated Commissioning Unit in ensuring contracts with external agencies are properly managed, provide good quality and best value for money. |
| (ii) | To note the contract and procurement-related actions taken to date by the ICU in response to the Covid-19 emergency. |

REASONS FOR REPORT RECOMMENDATIONS

1. The ICU is managing a number of contracts on behalf of the council, including joint arrangements with Southampton City Clinical Commissioning Group (CCG). These contracts are managed appropriately and according to contractual terms. The ICU is subject to internal and external audit processes which verify the management of contracts is undertaken in an appropriate manner and to a standard that provides assurance and limits risk to the council.

2.

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| | The actions taken in response to the Covid-19 emergency have been necessary to facilitate an effective local response to the pandemic within the Council/ CCG supply chain. The ICU wishes to provide assurance to the Committee that these arrangements have been undertaken appropriately and in accordance with internal governance processes. |
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ALTERNATIVE OPTIONS CONSIDERED AND REJECTED

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| 3. | The alternative to the ICU management of contracts would require specialist knowledge and skills to be dispersed within teams across the council. This would make strategic management and decision making difficult. It would result in inconsistencies in approach and would make it more difficult for the council to achieve its strategic priorities in relation to services. |
| 4. | Had the actions in response to Covid-19 emergency not been taken, this would have reduced the effectiveness of the local response to the pandemic, increased the risk of supply chain failure, harm to vulnerable members of the community, and Covid-19 infections. |

DETAIL (Including consultation carried out)

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| 5. | The ICU undertakes health and social care commissioning functions on behalf of the Council and Southampton City Clinical Commissioning Group. This includes responsibility for the management of associated contractual arrangements for care and support services on behalf of both organisations. The ICU works closely with Children’s, Adult and Health and Public Health colleagues and wider to ensure the effectiveness of the contract outcomes. The recent re-structure of Procurement Services has also brought the social care procurement function into the ICU. This has strengthened the close links between procurement and contract processes for social care, as well as ensuring close alignment with our procurement colleagues in the Supplier Management Team. During the recent Covid-19 emergency, ICU colleagues worked closely with both Southampton City CCG and West Hampshire CCG to ensure adequate supply of emergency accommodation, care staff and supply of personal protective equipment. | | |
| 6. | The ICU currently manages a total of 129 contracts and 6 grants, summarised in the table below. The contracts include block service contracts, framework agreements and partnership agreements with the CCG and other health bodies. These are delivered for services to Adults and Children, including Public Health services. The grants include those to community organisations and the Community Chest programme consisting of a large number of small grants to community groups. The management of grant function will be moving to Stronger Communities Team in December 2020, following the re-allocation of budgets to Stronger Communities Portfolio. | | |
| | Arrangement Type | Number | Value 2020-21 |
| | All contracts (excluding grants) | 129 | £187,366,871 |

| | SCC-commissioned contracts | 103 | £40,841,552 | | | | | | | | | | | | | | | | | | | | | | | | | | |
|---|---|---------------------|---------------------|---------------------|----------------------------|----------------|------------------|---------------------|---------------------|---------------------|----------------------------|--|------|----------|----------|----------|--------------|---|------|----------|----------|----------|--------------|------------------------|------------------|----------|----------|----------|--------------|
| | CCG-commissioned contracts | 4 | £510,900 | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | Partnership agreements with health bodies and funding arrangements | 22 | £146,014,418 | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | Grants | 6 | £441,327 | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 7. | Framework agreements, including Home Care, Children's Residential Care, Independent Foster Care and Post-16 Support, are included in the total contract numbers, but the budget is managed outside the ICU as each individual package of care is commissioned, and therefore excluded from the total figure. | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 8. | Similarly, the ICU manages the terms under which the council accesses residential and nursing homes for adults both within the city and across the country. The number of separate arrangements are not included in the figures above due to their number (over 200 at any one time). In addition, as each individual package of care is commissioned separately, the budget is not included as that is part of operational service budgets. | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 9. | <p>Contract compliance</p> <p>In order to ensure contract compliance and best value, the ICU Contracts Team supports Commissioners with the undertaking of contract-related functions to ensure that:</p> <ul style="list-style-type: none"> • Contracts are appropriately and optimally designed, such that service expectations are clearly defined and the benefits of services delivered can be evidenced. • Suppliers are at all times compliant with contract terms, and that non-compliance with respect to performance, quality, safety, and risk is appropriately managed. • The contracting authority remains at all times compliant with its own obligations with respect to contracts (i.e. payments, communications, expiry). • Services purchased through contract represent value for money. | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 10. | <p>Major SCC Contracts</p> <p>Within the ICU portfolio, there are six contracts which can be considered 'major', in that their annual expenditure exceeds £1m. These are as follows:</p> <table border="1"> <thead> <tr> <th>Contract Title</th> <th>Service Provider</th> <th>Contract Start Date</th> <th>Current Expiry Date</th> <th>Maximum Expiry Date</th> <th>Total Annual value 2020-21</th> </tr> </thead> <tbody> <tr> <td>Nursing home for older people (Northlands)</td> <td>BUPA</td> <td>24/06/05</td> <td>23/06/30</td> <td>23/06/30</td> <td>£2.3 million</td> </tr> <tr> <td>Nursing home for people with dementia (Oak Lodge)</td> <td>BUPA</td> <td>08/02/10</td> <td>07/02/35</td> <td>07/02/35</td> <td>£1.5 million</td> </tr> <tr> <td>Sexual Health services</td> <td>Solent NHS Trust</td> <td>01/04/17</td> <td>31/03/22</td> <td>31/03/24</td> <td>£2.2 million</td> </tr> </tbody> </table> | | | | | Contract Title | Service Provider | Contract Start Date | Current Expiry Date | Maximum Expiry Date | Total Annual value 2020-21 | Nursing home for older people (Northlands) | BUPA | 24/06/05 | 23/06/30 | 23/06/30 | £2.3 million | Nursing home for people with dementia (Oak Lodge) | BUPA | 08/02/10 | 07/02/35 | 07/02/35 | £1.5 million | Sexual Health services | Solent NHS Trust | 01/04/17 | 31/03/22 | 31/03/24 | £2.2 million |
| Contract Title | Service Provider | Contract Start Date | Current Expiry Date | Maximum Expiry Date | Total Annual value 2020-21 | | | | | | | | | | | | | | | | | | | | | | | | |
| Nursing home for older people (Northlands) | BUPA | 24/06/05 | 23/06/30 | 23/06/30 | £2.3 million | | | | | | | | | | | | | | | | | | | | | | | | |
| Nursing home for people with dementia (Oak Lodge) | BUPA | 08/02/10 | 07/02/35 | 07/02/35 | £1.5 million | | | | | | | | | | | | | | | | | | | | | | | | |
| Sexual Health services | Solent NHS Trust | 01/04/17 | 31/03/22 | 31/03/24 | £2.2 million | | | | | | | | | | | | | | | | | | | | | | | | |

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| | Alcohol Drugs and Substance Misuse Service | Change Grow Live | 01/07/19 | 30/06/24 | 30/06/26 | £2.2 million |
| | Health and Care related equipment service | NRS | 01/07/20 | 30/06/25 | 30/06/27 | £1.6 million |
| | Housing Related Support Service for Adults – Flexible Support | Home Group Ltd | 01/07/17 | 30/06/20 | 30/06/22 | £1.5 million |
| 11. | <p>Residential Home for Older People (Northlands House) & Nursing Home for People with Dementia (Oak Lodge) - BUPA</p> <p>These two contracts were commissioned as part of long-term arrangements. With both, the Council provided the land, BUPA built the nursing homes at their cost, and a long-term arrangement for providing care was established. This guarantees access to a specified volume of nursing care beds each week at a set price – 62 bed-spaces at Northlands; 40 bed-spaces at Oak Lodge. Both contracts contain provision for respite care and give the council and Southampton residents first call on vacancies beyond the contracted levels. Officers are in the process of agreeing a temporary variation to both contracts to designate 10 bed-spaces for CCG-funded ‘Discharge-to-assess’ clients. This is designed to enable faster discharge from hospital and free up much needed hospital capacity during the second wave of COVID-19 infections.</p> | | | | | |
| 12. | <p>Sexual Health Services - Solent NHS Trust</p> <p>The council has a mandate to commission confidential, open access reproductive and sexual health services for its residents that provides contraception testing and treatment for a range of sexually transmitted infections, and also gives access to a range of contraceptive options.</p> <p>The service is commissioned through close working between the Public Health team and the ICU, which allows the service to deliver a fully Integrated Sexual Health service that also includes CCG commissioned reproductive health services (vasectomies and terminations of pregnancy). This integrated model helps the city ensure that local residents have timely access to the high quality services to improve and manage their sexual and reproductive health. This service mirrors those commissioned by the neighbouring local authorities, Hampshire and Portsmouth. The three local authorities closely cooperate in the delivery and management of the service across the region.</p> | | | | | |
| 13. | <p>Alcohol Drugs and Substance Misuse Service – Lot 1 (Adult 25 years and over): Change Grow Live</p> <p>This contract provides both medical and psychosocial services for people with substance use disorders. The service also works co-operatively with the Young People’s substance use disorder service (YP SUDS) in order to provide clinical treatment for the 11-24 year age group including pharmacological interventions, health screening and blood borne virus screening and interventions. The contract includes a sub-contracting arrangement with YP SUDS to deliver a Transition worker to facilitate</p> | | | | | |

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| | safe and effective transfer from YP SUDS to Adult SUDS for people reaching their 25 th birthday. |
| 14. | <p>Health and Care Related Joint Equipment Service (for the loan of health-related equipment to adults and children in Southampton and Portsmouth)</p> <p>This service has been re-commissioned through a tender exercise in 2019-20. A new provider has been appointed to run the re-commissioned service from 1 July 2020 for the next 5 years (with an option to extend the contract by an additional 2 years). The contract was procured and is managed jointly with Portsmouth City Council and their respective CCGs in both cities. This has saved all organisations procurement resources, and ensures a consistent service across both areas.</p> <p>Nottingham Rehab Services is the new provider of this service to both Portsmouth and Southampton. The service is estimated to cost £1.2m in the first year. The annual value of the contract is made up of the fixed premises costs and the variable equipment costs (which includes delivery, installation, collection and cleaning). The variable cost element is estimated and is based on last year's consumption, and will vary depending on demand. This element of the contract is controlled internally by managing the demand for equipment from the professionals, as well as externally by ensuring that all equipment is collected from the community when no longer required, and claiming refund from the provider.</p> <p>Through this tender exercise, cost avoidance of £1,889,734 has been achieved over the term of the contract. This cost avoidance will be shared according to the split in funding between SCC and the CCG.</p> |
| 15. | <p>Housing Related Support Service for Adults – Flexible Support</p> <p>In 2017, all housing related support services in the city were reconfigured and let following a tendering process. The largest of these new services offers short-term (up to a maximum of two years), flexible support to individuals in the city who are vulnerable due to homelessness, mental health issues, learning disability issues and other reasons. The ICU secured substantial savings (over £500K per annum) through a tender process after combining a number of different services into this one city-wide contract.</p> |
| 16. | <p>Actions and Relief Measures Affecting SCC Contracts During the Emergency Period</p> <p>At the onset of the emergency period (defined in the Procurement Policy Note 02/20 as lasting between 18 March and 30 June 2020), it became apparent that local third-party providers of care and support services would require a series of relief measures to ensure supply chain stability and sustainability, and to enable each service to effectively prioritise resources and attention on maintaining business continuity where appropriate. The Council followed government guidance (as set out in Procurement Policy Note 02/20: Supplier relief due to coronavirus (COVID-19)) when providing relief to local providers and when implementing new contractual arrangements required to respond to the emergency. These measures are set out below.</p> |
| 17. | <p><u>Changes to payment periods</u></p> <p>In order to support cash-flow for the sector, the Council has changed its payment periods for providers from 1st April 2020. For care homes payment has been made in advance. For home care services, payments have been made on receipt of invoices,</p> |

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| | instead of the usual arrangement of 30 days in arrears. These arrangements reverted to the contracted periods from 1 st November 2020, in line with government guidance (Procurement Policy Note 04/20: Recovery and Transition from COVID-19). |
| 18. | <p><u>Process for assessing and processing financial relief from Covid-19 cost pressures</u></p> <p>On 20th April, the Council wrote to all its care and support service providers setting out a process through which financial relief from Covid-related cost pressures may be sought. These pressures have come in the form of increased staff costs, Personal Protective Equipment (PPE) expenditure, changes to statutory sick pay, and other administrative/ operational costs. Included with the letter was a spreadsheet to enable itemisation of Covid-related costs incurred, reasoning, and comparisons to similar costs incurred from December to February. To date, 10 requests for additional funding have been received and these currently remain under review whilst Commissioners determine to what extent these pressures are being sufficiently absorbed by subsequent financial relief detailed below and other support measures available to providers, including pass-through funds from the government's infection control fund to care homes and home care providers covering the period to the end of September 2020.</p> |
| 19. | <p><u>10% Funding Uplift</u></p> <p>To further promote care and support market sustainability, and in line with LGA/ADASS advice, the Council agreed a 10% uplift to the rate of pay for existing services, placements, and packages of care additional payments would be made to providers. The Council uplift was initially applied from 19th March to 30th June (the period for which additional central government has been received). A further uplift covering the period 1st to 31st July has also been made.</p> |
| 20. | <p>The following care market segments have received the 10% uplift:</p> <ul style="list-style-type: none"> • Residential and Nursing homes • Home care • Housing support services • Domestic Violence • Shared Lives |
| 21. | <p>Payments have been made covering the whole period for residential and nursing homes, based on council clients' occupancy as of February 2020. For home care, the 10% uplift is being applied to monthly payment periods. For commissioned services (block contracts), the 10% uplift is based on 2020-21 annual contract value and applied pro-rata. This is made as a separate payment directly to providers' accounts. The uplift has been applied to 16 contracts across 9 providers.</p> |
| 22. | <p><u>Supplier Relief and Contract Changes</u></p> <p>55 commissioned services have received relief to relax contract monitoring during the initial emergency period (to 30 June 2020). 21 contracts for commissioned services will be extended due to the service reviews being delayed and service needing to continue during and beyond the emergency period, or because the service review and the resulting procurement process will be delayed due to the emergency. These contract</p> |

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| | <p>changes have been approved through internal council governance processes. In addition, the ICU ensured that all procurement regulations were observed in making the changes to the contracts. All changes were also recorded centrally through the Supplier Management Team.</p> |
| 23. | <p><u>Direct award of contracts related to COVID-19</u></p> <p>The Council and the CCG joined efforts in addressing the crisis by pooling the resources and organising a joint response to the demands of the pandemic in the city. Below is a short summary of the work undertaken jointly with Southampton City CCG and South West Hampshire CCG. A number of contracts have been, or are in the process of being directly awarded for the provision of additional services required to manage the local response to the pandemic as detailed in paragraphs 24 to 26 below.</p> |
| 24. | <p><u>Commissioning of Hotel Accommodation and Live in Care Support – CCG-funded</u></p> <p>Further to the government guidance on the COVID-19 Hospital Discharge Service Requirements, Southampton has led on behalf of the South West system on the commissioning and contracting of 203 hotel beds (with potential to ramp up to 400) for patients medically optimised for discharge from hospital; with around 2,550 live in care hours arranged and spread across each hotel. Costs will be shared between Southampton City CCG and West Hampshire CCG recognising the joint work that has been undertaken by the local system. Even though these contracts were fully funded by the CCG, the city council staff were substantially involved in their commissioning and implementation via the local integrated commissioning arrangements.</p> |
| 25. | <p><u>Commissioning of Suitable Accommodation for Rough Sleepers / Homeless – SCC-funded</u></p> <p>The purpose of this arrangement was to ensure that social distancing measures were put in place for the homeless being looked after by SCC. Social distancing measures were not possible in the current hostels and there was also a requirement to accommodate rough sleepers directly into accommodation. An exercise was undertaken to contact hotels, guest houses and apartment private letting agencies to enquire if they would be agreeable to accept this cohort. The response to this request was very limited and the student accommodation available at Southampton University was ultimately the best and most viable option.</p> <p>i. <u>SCC Contract with Southampton University</u> A minimum of 18 rooms up to a maximum of 39 en-suite bedrooms and 5 kitchens for use by SCC clients at Gateley Hall at £15 per night per room. The agreement was in place until 21 August 2020 with 2 weeks' notice optional termination for either Party. The usage of the accommodation was steadily reducing and the clients have now returned to their original accommodation.</p> <p>ii. <u>Client Managers provided by Society of St James</u> A requirement of the University's contract is to have client support on site at Gateley Hall. The team at the Society St James (SSJ) are highly skilled with the care and support required to keep this client group safe and well. The agreement was in place until 21 August 2020 at a cost of £12,920.</p> |

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| 26. | <p><u>Support for people with learning disabilities - SCC-funded</u></p> <p>Day services for the client group remain closed at this time in line with Government advice, and over time this will have an adverse impact on the wellbeing of service attendees and their families. A strategy has been developed to undertake negotiations with each of the current service providers. As this market segment's current offer is inconsistent and insufficiently standardised, direct negotiations with each provider are being undertaken with a view to entering into formal arrangements that maintain appropriate service levels for this client group during the emergency period and beyond. This will result in a series of short-term contractual arrangements set up and managed by ICU.</p> |
| 27. | <p>It is important to note that the emergency has necessitated an unprecedented level of contract management and procurement-related activity in an acutely compressed time period and as the local experience of the pandemic evolves, further supply chain risks and gaps are likely to emerge. As such, further retrospective and proactive contractual/ financial adjustments are likely to be required to mitigate the local impact of the pandemic on the community and the services required to satisfy the local demand for care and support going forward.</p> |
| 28. | <p>Performance Management</p> <p>ICU contracted services require at least quarterly performance monitoring as standard. During the emergency period, some of the contracted services were forced to operate in a different way and some were not able to operate for a period of time. Performance monitoring was relaxed for these services during the emergency period (as described in paragraph 17), but has resumed for the large majority of services from 1 July 2020.</p> |
| 29. | <p>Governance</p> <p>All contracts managed by the ICU feed into the ICU's Performance Dashboard and associated Key Performance Indicators, which are reported to the Joint Commissioning Board on a regular basis. The latest changes to contractual and financial arrangements were reported to the Joint Commissioning Board in June 2020.</p> |
| RESOURCE IMPLICATIONS | |
| <u>Capital/Revenue</u> | |
| 30. | <p>The cost of uplifting current council care packages by 10% for the period of March to June, and then extended to end of July, to cover additional costs of care is approximately £2.18Million. The majority of this has already been paid to care homes and block contracted providers. The remainder is being paid on an arrears basis each month to home care services. This follows receipt of invoices and uses a simplified reconciliation process. A final reconciliation process will take place at the end of the period to ensure correct payment has been made across providers.</p> |
| 31. | <p>To date, the totals to be paid to each sector are:</p> <ul style="list-style-type: none"> • Home Care - £827,597 • Care Homes - £1,013,015 • Shared Lives - £20,843 • Other contracts – support services - £318,553 |
| 32. | <p>These costs are additional costs to the adult social care budget and have been agreed by both Cabinet and full Council. They are expected to be paid from the Covid-19 emergency funds from central government.</p> |

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| | Providers requesting additional funding above the 10% level will be required to evidence additional cost via an account justification process, where it is deemed it is appropriate, and once all other support made available, in kind, is taken into account. |
| | |
| <u>Property/Other</u> | |
| 33. | There are no property issues resulting from this paper. |
| LEGAL IMPLICATIONS | |
| <u>Statutory power to undertake proposals in the report:</u> | |
| 34. | Each contract is provided for and managed by its own reference to legal powers enabling the council to undertake such contracting. |
| 35. | In its response to the emergency, the council acted in accordance with government guidance Procurement Policy Note - Supplier relief due to COVID-19 and advice from ADASS and LGA/ ADASS advice . |
| 36. | Contract changes, extensions and direct awards were made in line with the council's Contract Procedure Rules. |
| 37. | Decisions were made and documented in accordance with the council's Officer Scheme of Delegation. |
| 38. | Internal processes were developed to capture expenditure associated with Covid-19 and enable approvals where the normal governance process was disrupted. |
| | |
| <u>Other Legal Implications:</u> | |
| | |
| RISK MANAGEMENT IMPLICATIONS | |
| 39. | Failure to act on the contractual easement changes during the emergency period would have seen the council acting outside of government expectations. |
| 40. | For the contract/monitoring changes, the council responded to the situation and pressures both the council and providers were under in terms of re-organising work. The risks are that providers fail to deliver against contractual expectations. This is mitigated against by ensuring this is a time limited change and working with providers to ensure essential service delivery. The council has continued to pay for the services as normal, to safeguard the viability of the providers. The relaxation of monitoring requirements is a temporary measure reflecting the fact that some of the services will not be delivered in the normal way during the emergency. |
| 41. | The council is extending contracts in line with Contract Procedure Rules and observing governance processes which have been adapted to cope with the emergency at the time when normal processes are suspended. |
| 42. | Uplifts – A 10% increase recognises the additional costs on providers. There are two key risks which are being mitigated against: <ol style="list-style-type: none"> 1. that both the council and CCG overpay: but all evidence suggests this is not the case, particularly as the reduction in the self-payer market is off-setting any increases, the additional costs associated with infection prevention and control, and the staff need to isolate are significant costs for providers across all care sectors to bear |

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| | 2. that it fails to provide adequate support in recognising the extra costs. This is mitigated against with the additional cost process being in place. This enables providers with those excess costs to request support where the risk would be to service continuity. |
| POLICY FRAMEWORK IMPLICATIONS | |
| 43. | The proposals are in line with the council's policy framework plans and meet the council's financial procedure rules and scheme of officer delegations. |

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| KEY DECISION? | No |
| WARDS/COMMUNITIES AFFECTED: | All |
| <u>SUPPORTING DOCUMENTATION</u> | |
| Appendices | |
| 1. | List of ICU contracts managed on behalf of the Council and the CCG |
| 2. | |

Documents In Members' Rooms

| | |
|----|--|
| 1. | |
| 2. | |

Equality Impact Assessment

| | |
|---|-----------|
| Do the implications/subject of the report require an Equality and Safety Impact Assessment (ESIA) to be carried out. | No |
|---|-----------|

Data Protection Impact Assessment

| | |
|--|-----------|
| Do the implications/subject of the report require a Data Protection Impact Assessment (DPIA) to be carried out. | No |
|--|-----------|

Other Background Documents

Other Background documents available for inspection at:

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

Commissioned services, grants and service level agreements - November 2020

| Contract Title | Contract Reference EC/MW | Supplier Name (Service Provider) | Lead Client Manager (Commissioning Lead) | Contracts Lead | Contract Start Date | Current Contract Expiry Date | Maximum Expiry Date | Notice Period for termination |
|---|--------------------------|-------------------------------------|--|----------------------|---------------------|------------------------------|---------------------|-------------------------------|
| Emergency Hormonal Contraception LCS for Under 25s (LCS) | EC09/01/2423A | Pharmacies | Russell Turner | Ireen Kagwa | 01/04/19 | 31/03/22 | 31/03/22 | 6 months |
| NHS Health Checks (LCS) | EC09/01/2973 | GP Practices | Charlotte Matthews | Ireen Kagwa | 01/04/20 | 31/03/21 | 31/03/21 | 3 months |
| Long Acting Reversible Contraception (LCS) | EC09/01/2423B | SPCL | Russell Turner | Ireen Kagwa | 23/03/17 | 31/03/21 | 31/03/21 | 3 months |
| Autism Support Hampshire | N/A | Autism Hampshire | Matthew Harrison | Ireen Kagwa | 01/11/18 | 31/10/21 | 31/10/21 | 3 months |
| Northlands House - Care Contract - Residential Home for Older People - 61 block beds + 1 respite bed | EC09/01/0989 | BUPA Care Homes (CFC Homes) Limited | Matthew Waters | Ireen Kagwa | 24/06/05 | 23/06/30 | 23/06/30 | N/A |
| Oak Lodge - Care Contract - Residential Home for People with OPMH - 38 block beds +2 respite beds | EC909/01/1101 | BUPA Care Homes (CFC Homes) Limited | Matthew Waters | Ireen Kagwa | 08/02/10 | 07/02/35 | 07/02/35 | N/A |
| Oak Lodge - Lease for Care Home and Day Centre | SC4/15/4889(f) | BUPA Care Homes (CFC Homes) Limited | Matthew Waters | Ireen Kagwa | 08/02/10 | 07/02/60 | 07/02/60 | N/A |
| Mental Capacity Deputyship Service | EC09/01/2595 | Hampshire County Council | Sharon Stewart | Luke O'Shea | 16/10/18 | 31/03/21 | n/a | 6 months |
| Oak Lodge Facilities Management (day centre meals) | SC4/15/4889(f) | BUPA Care Homes (CFC Homes) Limited | Matthew Waters | Ireen Kagwa | 08/02/10 | 07/02/60 | 07/02/60 | N/A |
| School & College Health & Well-being Drop-In services and Sexual Health Support & Interventions Lot 2 | EC09/01/2563 | No Limits (South) | Phil Lovegrove | Ireen Kagwa | 01/09/18 | 31/08/22 | 01/09/24 | 3 months |
| Older Persons Accommodation Based and Floating Support Service | MW277 | Housing Support Services (SCC) | Sandy Jerrim | Sadie Brackstone | 01/03/16 | 31/03/21 | 31/03/23 | 6 months |
| Integrated Mental Health Employment Support Service | MW278 | Employment Support Team (SCC) | Alison Boynton | Sadie Brackstone | 01/04/17 | 31/03/22 | 31/03/22 | 4 months |
| Healthwatch Southampton | EC09/01/2618 | Southampton Voluntary Services | Kirsten Killander | Ireen Kagwa | 01/07/18 | 30/06/23 | 30/06/25 | 3 months |
| Out of Hours Service | 400538446 | Hampshire County Council | Sharon Stewart | Aleksandra Burlinson | 01/04/18 | 31/03/19 | 31/03/19 | 4 months |
| Domestic Violence Service - Prevention & Early Intervention (Lot 1) | EC09/01/2364 | Yellow Door | Sandy Jerrim | Luke O'Shea | 01/11/15 | 31/03/21 | 31/03/21 | 3 months |
| Commissioned grants programme | N/A | Art Asia Trust Ltd | Aleksandra Burlinson | Joanne Hughes | 01/04/19 | 31/03/22 | 31/03/22 | 12 months |

| Contract Title | Contract Reference EC/MW | Supplier Name (Service Provider) | Lead Client Manager (Commissioning Lead) | Contracts Lead | Contract Start Date | Current Contract Expiry Date | Maximum Expiry Date | Notice Period for termination |
|---|--------------------------|----------------------------------|--|--------------------|---------------------|------------------------------|---------------------|-------------------------------|
| Commissioned grants programme | N/A | City Eye | Aleksandra Burlinson | Joanne Hughes | 01/04/19 | 31/03/22 | 31/03/22 | 12 months |
| Commissioned grants programme | N/A | Communicare in Southampton | Adrian Littlemore | Joanne Hughes | 01/04/13 | 31/03/22 | 31/03/22 | 12 months |
| Commissioned grants programme | N/A | Southampton Street Pastors | Steve Hards | Joanne Hughes | 01/04/13 | 31/03/21 | 31/03/21 | 12 months |
| Community Chest Grants | N/A | Various | Aleksandra Burlinson | Joanne Hughes | 01/04/13 | 31/03/22 | 31/03/22 | 12 months |
| Domestic Violence Service - Refuge Service (Lot 2) | EC09/01/2364 | Home Group Ltd | Sandy Jerrim | Luke O'Shea | 01/08/16 | 31/03/21 | 31/03/21 | 3 months |
| Comprehensive Counselling for children & Young People 5-25 Lot 1 | EC09/01/2563 | No Limits (South) | Marie Woodhouse | Ireen Kagwa | 01/09/18 | 31/08/22 | 01/09/24 | 3 months |
| Domestic Abuse Perpetrator and Prevention Services | CS06738 | Hampshire County Council | Sandy Jerrim | Luke O'Shea | 01/09/18 | 31/08/23 | 31/08/25 | 6 Months |
| Level 3 Sexual Health Services | EC09/01/2444 | Solent NHS Trust | Sandy Jerrim | Sadie Brackstone | 01/04/17 | 31/03/22 | 31/03/24 | 12 months |
| Placement of Children and Young People with Independent Fostering Agencies | EC09/01/2422 | Various | Jeanette Keyte | Katerina Ploumakis | 01/04/17 | 31/03/22 | 31/03/22 | 12 months |
| Housing Related Support Services for Adults: Lot 1 – Provision of a Combined Assessment, Intensive and Resettlement Housing Related Support Service in Southampton | EC09/01/2454A | Two Saints | Sandy Jerrim | Sadie Brackstone | 01/07/17 | 30/06/22 | 30/06/22 | 3 months |
| Housing Related Support Services for Adults: Lot 2 - Provision of an Intensive and Resettlement Housing Related Support Service in Southampton | EC09/01/2454B | Society of St James | Sandy Jerrim | Sadie Brackstone | 01/07/17 | 30/06/22 | 30/06/22 | 3 months |
| Housing Related Support Services for Adults: Lot 3 - Provision of an Intensive Lifeskills and Resettlement Housing Related Support Service in Southampton | EC09/01/2454C | Society of St James | Sandy Jerrim | Sadie Brackstone | 01/07/17 | 30/06/22 | 30/06/22 | 3 months |
| Housing Related Support Services for Adults: Lot 4 - Provision of an Intensive Lifeskills and Resettlement Housing Related Support Service in Southampton | EC09/01/2454D | The Salvation Army | Sandy Jerrim | Sadie Brackstone | 01/07/17 | 30/06/22 | 30/06/22 | 3 months |
| Housing Related Support Services for Adults: Lot 5 - Provision of Flexible Housing Related Support Service in Southampton | EC09/01/2454/E | Home Group Ltd | Sandy Jerrim | Sadie Brackstone | 01/07/17 | 30/06/22 | 30/06/22 | 3 months |
| Housing Related Support Services for Adults: Lot 6 - Provision of an Accommodation Based Housing Support Service to People with Alcohol Related Housing and Support Needs | EC09/01/2454F | Society of St James | Sandy Jerrim | Sadie Brackstone | 01/07/17 | 30/06/22 | 30/06/22 | 3 months |

| Contract Title | Contract Reference EC/MW | Supplier Name (Service Provider) | Lead Client Manager (Commissioning Lead) | Contracts Lead | Contract Start Date | Current Contract Expiry Date | Maximum Expiry Date | Notice Period for termination |
|--|--------------------------|--|--|--------------------|---------------------|------------------------------|---------------------|-------------------------------|
| Housing Related Support Services for Children and Young Persons: Lot 1 – Housing and Flexible Floating Support for Young People | EC09/01/2461A | YMCA Fairthorne Group | Sandy Jerrim | Sadie Brackstone | 01/07/17 | 30/06/22 | 30/06/22 | 3 months |
| Housing Related Support Services for Children and Young Persons: Lot 2 – Housing Support for Young People, Young Parents and a Flexible Floating Support Service | EC09/01/2461B | Two Saints | Sandy Jerrim | Sadie Brackstone | 01/07/17 | 30/06/22 | 30/06/22 | 3 months |
| Housing Related Support Services for Children and Young Persons: Lot 3 – Hostel/Foyer Style Support for Young People | EC09/01/2461C | YMCA Fairthorne Group | Sandy Jerrim | Sadie Brackstone | 01/07/17 | 30/06/22 | 30/06/22 | 3 months |
| Housing Related Support Services for Children and Young Persons: Lot 4 – Supported Lodgings Service | EC09/01/2461D | Step By Step Partnership Limited | Sandy Jerrim | Sadie Brackstone | 01/07/17 | 30/06/22 | 30/06/22 | 3 months |
| Reablement and Rehabilitation Service (SLA) | EC09/01/2376b | Southampton City Clinical Commissioning Group | Jamie Schofield | Ireen Kagwa | 01/04/16 | 31/03/21 | 31/03/21 | 4 months |
| Discharge 2 Assess D2A | MW291 | Bondcare | Jamie Schofield | Ireen Kagwa | 04/12/17 | 31/05/21 | 31/05/21 | 3 months |
| Advice, Information and Guidance | EC09/01/2552 | Southampton Citizens Advice Bureau | Adrian Littlemore | Luke O'Shea | 01/02/18 | 31/01/23 | 31/01/25 | 3 months |
| Carer's Support Services | EC09/01/2585 | Southampton Mencap | Adrian Littlemore | Ireen Kagwa | 01/04/18 | 31/03/23 | 31/03/25 | 3 months |
| Safe Families For Children Services | EC09/01/2655 | Safe Families For Children | Phil Lovegrove | Katerina Ploumakis | 01/04/18 | 31/03/23 | 31/03/23 | 3 months |
| Living Well Service | EC09/01/2608 | SCiA Group | Adrian Littlemore | Sadie Brackstone | 14/02/18 | 31/03/23 | 31/03/25 | 12 months |
| Monitoring and Management of the Community Equipment Service | EC09/01/2640 | Promoting Independence in People Ltd | Jamie Schofield | Katerina Ploumakis | 01/04/17 | 30/06/22 | 30/06/22 | 3 months |
| Rehabilitation and Reablement Beds | 60043635 | Northover Group | Jamie Schofield | Ireen Kagwa | 01/04/19 | 31/03/2022 | 31/03/25 | 3 months |
| Well and Working Southampton | MW295 | Economic Development Team (SCC) | Annemarie Hankinson | Sadie Brackstone | 01/04/18 | 31/03/21 | 31/03/21 | 2 months |
| Trusted Professionals | MW296 | University Hospital Southampton NHS Foundation Trust | Sharon Stewart | Sadie Brackstone | 22/05/18 | N/A | N/A | N/A |
| HIV Self Sampling Testing | EC09/01/2413A | SH:24 | Phil Lovegrove | Ireen Kagwa | 29/10/19 | 31/03/22 | 31/03/22 | 3 months |
| Children's Residential Placements – Consortia Commissioning | EC09/01/2457 | Children's Residential Care Framework | Jeanette Keyte | Katerina Ploumakis | 01/10/18 | 31/03/22 | 31/03/22 | 12 months |
| Breastfeeding Support Service | SCC-CR-833 | National Childbirth Trust | Russell Turner | Katerina Ploumakis | 01/04/19 | 31/03/22 | 31/03/22 | 1 month |
| Independent visitor and Advocacy | EC09/01/2716 | National Youth Advocacy Service | Russell Turner | Katerina Ploumakis | 01/04/19 | 31/03/22 | 31/03/24 | 1 month |

| Contract Title | Contract Reference EC/MW | Supplier Name (Service Provider) | Lead Client Manager (Commissioning Lead) | Contracts Lead | Contract Start Date | Current Contract Expiry Date | Maximum Expiry Date | Notice Period for termination |
|---|--------------------------|------------------------------------|--|-----------------------|---------------------|------------------------------|---------------------|-------------------------------|
| Tier 2 Adult Weight Management | MW302 | WW GBR Ltd | Georgina Cunningham | Sadie Brackstone | 01/04/19 | 31/03/21 | 31/03/21 | 3 months |
| Tier 2 Adult Weight Management in Pregnancy | MW304 | Slimming World Limited | Sandy Jerrim | Sadie Brackstone | 01/05/19 | 31/03/21 | 31/03/21 | 3 months |
| Lot 2 Alcohol Drugs and Substance Misuse Services | EC09/01/2722B | No Limits (South) | Jackie Hall | Katerina Ploumakis | 01/07/19 | 30/06/24 | 30/06/26 | 6 months |
| Lot 1 Alcohol Drugs and Substance Misuse Services | EC09/01/2722A | change, grow, live (CGL) | Jackie Hall | Katerina Ploumakis | 01/07/19 | 30/06/24 | 30/06/26 | 6 months |
| Post 16 Accommodation & Support – Consortia Commissioning | EC09/01/2649 | Various | Russell Turner | Katerina Ploumakis | 01/02/19 | 31/03/23 | 31/03/23 | 6 Months |
| Smoking Cessation in Community Pharmacies (LCS) | N/A | Pharmacies | Charlotte Matthews | Sadie Brackstone | 15/04/19 | 31/03/21 | 31/03/21 | 3 months |
| Short Break Services | EC09/01/2709 | Various | Matthew Harrison | Merlyn Ganeshamoorthy | 01/04/19 | 31/03/21 | 31/03/23 | 6 months |
| Rough Sleeper Services (Navigation, Project Co-ordinator, NRPF, Personalisation) | EC09/01/2486C | Two Saints | Sandy Jerrim | Katerina Ploumakis | 01/07/19 | 31/03/21 | 31/03/21 | 3 months |
| Home Care Services | EC09/01/2635 | Various | Chrissie Dawson | Sadie Brackstone | 01/04/19 | 31/03/23 | 31/03/25 | 6 months |
| Supported Lettings and High Intensity Floating Support for People Experiencing Homelessness | EC09/01/2846B | Society of St James | Sandy Jerrim | Katerina Ploumakis | 22/07/19 | 31/03/21 | 31/03/21 | 3 months |
| Somewhere Safe To Stay For People Experiencing Homelessness | EC09/01/2846D | The Salvation Army | Sandy Jerrim | Katerina Ploumakis | 27/08/19 | 31/03/21 | 31/03/21 | 3 months |
| Southampton Safeguarding Children Partnership | EC09/01/2869 | SCC, SCCCG, Hampshire Constabulary | Deborah Key | Merlyn Ganeshamoorthy | 29/09/19 | 28/09/23 | 28/09/25 | 6 months |
| Brain in Hand | N/A | Brain in Hand | Kate Dench | Merlyn Ganeshamoorthy | 18/11/19 | 18/02/21 | 18/02/21 | 30 days |
| Needle Syringe Program (LCS) | N/A | Pharmacies | Charlotte Matthews | Katerina Ploumakis | 01/07/19 | 31/03/21 | 31/03/21 | 3 months |
| Supervised Consumption (LCS) | N/A | Pharmacies | Charlotte Matthews | Katerina Ploumakis | 01/07/19 | 31/03/21 | 31/03/21 | 3 months |
| Shared Care (LCS) | N/A | GP practices | Charlotte Matthews | Katerina Ploumakis | 01/07/19 | 31/03/21 | 31/03/21 | 3 months |
| Residential Recovery and Rehabilitation for People with Enduring MH | EC09/01/2679 | Home Group Ltd | Alison Boynton | Merlyn Ganeshamoorthy | 01/09/19 | 31/08/22 | 31/08/23 | 6 months |
| Noms and Voids - Shirley Road | EC09-01-2684(a) | Hilldale Housing Association | Kate Dench | Luke O'Shea | 28/08/19 | 08/08/36 | 08/08/44 | 12 months |

| Contract Title | Contract Reference EC/MW | Supplier Name (Service Provider) | Lead Client Manager (Commissioning Lead) | Contracts Lead | Contract Start Date | Current Contract Expiry Date | Maximum Expiry Date | Notice Period for termination |
|---|--------------------------|---|--|-----------------------|---------------------|------------------------------|---------------------|-------------------------------|
| Community Solutions | EC09/01/2775 | Southampton Voluntary Services | Adrian Littlemore | Katerina Ploumakis | 01/10/19 | 30/09/22 | 30/09/23 | 6 months |
| Volunteering Support and Development | EC09/01/2884 | Southampton Voluntary Services | Adrian Littlemore | Katerina Ploumakis | 01/10/19 | 30/09/21 | 30/09/22 | 6 months |
| Post-19 Learning and Skills | EC09/01/2650 | Rose Road Association | Donna Chapman | Luke O'Shea | 01/09/18 | 31/07/21 | 31/07/21 | 6 months |
| Children Residential Co-ordination Partnership agreement. | MW298 | Various | Jeanette Keyte | Katerina Ploumakis | 01/09/18 | 30/09/22 | 30/09/22 | 12 months |
| Independent Fostering Partnership Agreement | EC09/01/2422 | Various | Jeanette Keyte | Katerina Ploumakis | 01/04/17 | 30/03/21 | 30/03/22 | 12 months |
| Child Death Overview Panel | N/A | Hampshire County Council | Katherine Elsmore | Ireen Kagwa | 01/10/19 | 30/09/21 | 30/09/21 | N/A |
| Play and Youth Development (Lot1) | EC09/01/2852 | Southampton Children's Play Association | Russell Turner | Katerina Ploumakis | 01/01/20 | 31/12/23 | 31/12/24 | 6 months |
| Play and Youth Development (Lot2) | EC09/01/2852 | Community Playlink | Russell Turner | Katerina Ploumakis | 01/01/20 | 31/12/23 | 31/12/24 | 6 months |
| Play and Youth Development (Lot3) | EC09/01/2852 | The Avenue Centre | Russell Turner | Katerina Ploumakis | 01/01/20 | 31/12/23 | 31/12/24 | 6 months |
| Play and Youth Development (Lot 4 Central) | EC09/01/2852 | City Reach Youth Project | Russell Turner | Katerina Ploumakis | 01/01/20 | 31/12/23 | 31/12/24 | 6 months |
| Play and Youth Development (Lot4 East) | EC09/01/2852 | Weston Church Youth Project | Russell Turner | Katerina Ploumakis | 01/01/20 | 31/12/23 | 31/12/24 | 6 months |
| Play and Youth Development (Lot 4 West) | EC09/01/2852 | Youth Options | Russell Turner | Katerina Ploumakis | 01/01/20 | 31/12/23 | 31/12/24 | 6 months |
| Play and Youth Development (Lot 5 Activity 1) | EC09/01/2852 | Saints Foundation | Russell Turner | Katerina Ploumakis | 01/01/20 | 31/12/23 | 31/12/24 | 6 months |
| Play and Youth Development (Lot 5 Activity 2) | EC09/01/2852 | SOCO music Project | Russell Turner | Katerina Ploumakis | 01/01/20 | 31/12/23 | 31/12/24 | 6 months |
| Weston Adventure Playground | EC09/01/2941 | Weston Adventure Playground Association | Russell Turner | Katerina Ploumakis | 01/01/20 | 31/12/23 | 31/12/24 | 6 months |
| Independent Chair for the Southampton Safeguarding Children Partnership and Portsmouth Safeguarding Children Partnership (SSCP) | MW305 | Derek Benson | Deborah Key | Merlyn Ganeshamoorthy | 25/06/19 | 24/06/22 | 24/06/23 | 2 months |
| Southampton Eating Well Service | EC09/01/2720 | City Catering Southampton | Adrian Littlemore | Ireen Kagwa | 01/11/19 | 30/11/23 | 30/11/23 | 3 months |
| Noms and Voids - Brook Lodge | EC09/01/2608 | Saxon Weald Housing Association | Kate Dench | Luke O'Shea | 07/10/19 | 06/10/44 | 06/10/44 | 3 months |
| Noms and Voids - Future Housing Solutions | GC101 | Future Housing Solutions | Kate Dench | Luke O'Shea | 03/12/12 | 02/12/20 | 02/12/20 | 3 months |

| Contract Title | Contract Reference EC/MW | Supplier Name (Service Provider) | Lead Client Manager (Commissioning Lead) | Contracts Lead | Contract Start Date | Current Contract Expiry Date | Maximum Expiry Date | Notice Period for termination |
|--|--------------------------|--|--|-----------------------|---------------------|------------------------------|---------------------|-------------------------------|
| Independent Chair for the Southampton Safeguarding Adults Board (SSAB) | MW306 | Deborah Stuart-Angus | Deborah Key | Merlyn Ganeshamoorthy | 01/01/20 | 31/12/21 | 31/12/22 | 2 months |
| Way Ahead Leisure Pursuit Overnight Respite for Learning Difficulties | EC09/01/2588 | Weston Court | Matthew Harrison | Merlyn Ganeshamoorthy | 15/01/18 | 31/03/21 | 31/03/21 | 4 months |
| Housing Support for Older People at Rose Brook Court | EC09/01/3000 | Saxon Weald Housing Association | Matthew Waters | Sadie Brackstone | 01/04/20 | 31/03/23 | 31/03/25 | 6 months |
| Integrated Advocacy Services | EC09/01/2912 | VoiceAbility Advocacy | Jackie Hall | Sadie Brackstone | 01/04/20 | 31/03/22 | 31/03/24 | 3 months |
| Peer Support Service | EC09/01/2865 | Solent Mind | Marie Woodhouse | Luke O'Shea | 01/04/20 | 31/03/23 | 31/03/25 | 3 months |
| Noms and Voids - Darwin Road & Chatsworth Road | MW308 | Spectrum Housing Group | Kate Dench | Luke O'Shea | 04/02/16 | n/a | n/a | 3 months |
| Noms and Voids - Spring Crescent | MW309 | Hilldale Housing Association | Kate Dench | Luke O'Shea | 01/04/20 | 31/03/32 | 31/03/45 | 6 months |
| Direct Payment Support Service | EC09/01/2897 | Enham Trust | Moraig Forrest-Charde | Merlyn Ganeshamoorthy | 01/04/20 | 31/03/23 | 31/03/24 | 4 months |
| Personal Assistants (PA) Finder System | N/A | Hampshire County Council | Moraig Forrest-Charde | Merlyn Ganeshamoorthy | 01/04/20 | 31/03/23 | 31/03/24 | 6 months |
| Support Planning and Brokerage (SPB) Pilot | EC09/01/3003 | SPECTRUM Centre for Independent Living | Moraig Forrest-Charde | Merlyn Ganeshamoorthy | 01/04/20 | 31/03/21 | 31/03/22 | 6 months |
| Shopmobility | EC09/01/2988 | Southampton Voluntary Services | Adrian Littlemore | Merlyn Ganeshamoorthy | 01/04/20 | 31/03/22 | 31/03/22 | 6 months |
| Southampton Safeguarding Adults Board (SSAB) | EC09/01/3048 | SCC, SCCC, Hampshire Constabulary | Deborah Key | Merlyn Ganeshamoorthy | 01/04/19 | 31/03/23 | 31/03/24 | 6 months |
| Day Centre Services | EC09/01/2872 | Two Saints | Jackie Hall | Ireen Kagwa | 01/04/20 | 31/03/25 | 31/03/27 | 4 months |
| Family Group Conferences | EC09/01/2922 | Daybreak Family Group Conferences | Russell Turner | Katerina Ploumakis | 01/04/20 | 30/09/21 | 30/09/21 | 6 months |
| Homeless support Services | EC09/01/3001 | City Life Church Southampton | Sandy Jerrim | Katerina Ploumakis | 01/04/20 | 31/03/21 | 31/03/21 | 3 months |
| Health and Social Care related Equipment Store | EC09/01/2862 | Nottingham Rehab Services | Jamie Schofield | Katerina Ploumakis | 01/07/20 | 30/06/25 | 30/06/25 | 1 month |
| Noms and Voids - Mercator Close | MW310 | Bespoke Supportive Tenancies LTD | Kate Dench | Luke O'Shea | 07/09/16 | 06/09/51 | 06/09/51 | N/A |

| Contract Title | Contract Reference EC/MW | Supplier Name (Service Provider) | Lead Client Manager (Commissioning Lead) | Contracts Lead | Contract Start Date | Current Contract Expiry Date | Maximum Expiry Date | Notice Period for termination |
|--|--------------------------|--|--|-----------------------|---------------------|------------------------------|---------------------|-------------------------------|
| Nicotine Replacement Therapy (LCS) | N/A | Pharmacies | Charlotte Matthews | Sadie Brackstone | 01/08/20 | 31/03/21 | 31/03/21 | 3 months |
| Home Care Bridging Service 2020 - 2021 | EC09/01/3037 | Enthuse Care Limited | Chrissie Dawson | Sadie Brackstone | 15/09/20 | 14/09/21 | 14/09/21 | 6 months |
| Espo Consultancy Framework Call-off | 3S18 | Diverse Recruitment Limited (Imperium Resourcing Ltd) - Falil Onkoyi | Donna Chapman | Merlyn Ganeshamoorthy | 19/10/20 | 19/04/21 | 19/10/21 | 30 days |
| DFG Review | n/a | Foundations | Jamie Schofield | Katerina Ploumakis | 01/11/20 | 31/01/21 | 31/03/21 | 30 days |
| Commissioned grants programme | N/A | Mayflower Academy Ltd | Aleksandra Burlinson | Joanne Hughes | 01/10/20 | 31/03/22 | 31/03/22 | 12 months |
| Rent Deposit Scheme | MW315 | City Life Church Southampton | Sandy Jerrim | Katerina Ploumakis | 01/11/20 | 31/03/21 | 31/03/21 | 1 month |
| Smoking Cessation - Lung Health Checks | MW314 | University Hospital Southampton NHS Foundation Trust | Charlotte Matthews | Sadie Brackstone | 01/11/20 | 31/03/21 | 30/04/22 | 1 month |
| Provision of Discharge-to-Assess Beds at Netley Waterside Nursing Home | MW316 | Revitalise | Jamie Schofield | Ireen Kagwa | 16/11/20 | 31/03/20 | 30/04/20 | 3 |
| Provision of Discharge-to-Assess Beds at Oaklands House | MW317 | Oaklands House Nursing Home | Jamie Schofield | Ireen Kagwa | 16/11/20 | 31/03/20 | 30/04/20 | 3 |
| Nomination and void agreement - Osborne Gardens | MW319 | Golden Lane Housing Limited | Kate Dench | Luke O'Shea | 25/09/20 | 24/09/45 | 24/09/45 | 3 |

Commissioned services, grants and service level a

| Contract Title | Contracting Organisation | Linked to Partnership Agreement? (contract no.) | Agreement Type | Total annual contract value 2020/21 | SCC/Contracting Organisation Contribution 2020/21 | Partner Contribution 2020/21 | Finance Portfolio |
|---|--------------------------|---|----------------|-------------------------------------|---|------------------------------|----------------------------------|
| Emergency Hormonal Contraception LCS for Under 25s (LCS) | SCC | N/A | LCS | £0.00 | £0.00 | £0.00 | Public Health |
| NHS Health Checks (LCS) | SCC | N/A | LCS | £0.00 | £0.00 | £0.00 | Public Health |
| Long Acting Reversible Contraception (LCS) | SCC | N/A | LCS | £0.00 | £0.00 | £0.00 | Public Health |
| Autism Support Hampshire | SCCCG | N/A | Block Contract | £75,000.00 | £75,000.00 | £0.00 | Adults' |
| Northlands House - Care Contract - Residential Home for Older People - 61 block beds + 1 respite bed | SCC | EC09/01/098 9a | Block Contract | £2,423,583.75 | £2,423,583.75 | £0.00 | Adults' |
| Oak Lodge - Care Contract - Residential Home for People with OPMH - 38 block beds +2 respite beds | SCC | EC09/01/110 1a | Block Contract | 1,565,412.09 | 1,565,412.09 | £0.00 | Adults' |
| Oak Lodge - Lease for Care Home and Day Centre | SCC | EC09/01/110 1 | Block Contract | £28,297.32 | £28,297.32 | £0.00 | Adults' |
| Mental Capacity Deputyship Service | SCC | N/A | Block Contract | £90,000.00 | £90,000.00 | £0.00 | Adults' |
| Oak Lodge Facilities Management (day centre meals) | SCC | N/A | Block Contract | £20,530.92 | £20,530.92 | £0.00 | Adults' |
| School & College Health & Well-being Drop-In services and Sexual Health Support & Interventions Lot 2 | SCC | N/A | Framework | £66,573.00 | £66,573.00 | £0.00 | Children's |
| Older Persons Accommodation Based and Floating Support Service | SCC | N/A | SLA | £806,000.00 | £806,000.00 | £0.00 | Adults' |
| Integrated Mental Health Employment Support Service | SCC | N/A | SLA | £226,554.00 | £154,000.00 | £72,554.00 | Adults' |
| Healthwatch Southampton | SCC | N/A | Block Contract | £178,890.96 | £178,890.96 | £0.00 | Adults' |
| Out of Hours Service | SCC | N/A | Purchase Order | £101,930.00 | £101,930.00 | £0.00 | Adults' |
| Domestic Violence Service - Prevention & Early Intervention (Lot 1) | SCC | EC09/01/197 0(i) | Block Contract | £397,000.00 | £397,000.00 | £0.00 | Adults' |
| Commissioned grants programme | SCC | N/A | Grant | £33,731.00 | £33,731.00 | £0.00 | Communities, Culture and Leisure |

| Contract Title | Contracting Organisation | Linked to Partnership Agreement? (contract no.) | Agreement Type | Total annual contract value 2020/21 | SCC/Contracting Organisation Contribution 2020/21 | Partner Contribution 2020/21 | Finance Portfolio |
|---|--------------------------|---|----------------|-------------------------------------|---|------------------------------|----------------------------------|
| Commissioned grants programme | SCC | N/A | Grant | £26,527.00 | £26,527.00 | £0.00 | Communities, Culture and Leisure |
| Commissioned grants programme | SCC | N/A | Grant | £16,500.00 | £16,500.00 | £0.00 | Communities, Culture and Leisure |
| Commissioned grants programme | SCC | N/A | Grant | £39,569.00 | £39,569.00 | £0.00 | Communities, Culture and Leisure |
| Community Chest Grants | SCC | N/A | Grant | £104,000.00 | £104,000.00 | £0.00 | Communities, Culture and Leisure |
| Domestic Violence Service - Refuge Service (Lot 2) | SCC | EC09/01/1970(i) | Block Contract | £127,000.00 | £127,000.00 | £0.00 | Adults' |
| Comprehensive Counselling for children & Young People 5-25 Lot 1 | SCC | N/A | Framework | £104,151.00 | £104,151.00 | £0.00 | Children's |
| Domestic Abuse Perpetrator and Prevention Services | SCC | CS 06738 | Block Contract | £53,000.00 | £53,000.00 | £0.00 | Adults' |
| Level 3 Sexual Health Services | SCC | N/A | Block Contract | £2,133,376.48 | £2,133,376.48 | £0.00 | Public Health |
| Placement of Children and Young People with Independent Fostering Agencies | SCC | EC09/01/2422 | Framework | £0.00 | £0.00 | £0.00 | Children's |
| Housing Related Support Services for Adults: Lot 1 – Provision of a Combined Assessment, Intensive and Resettlement Housing Related Support Service in Southampton | SCC | N/A | Block Contract | £522,472.00 | £522,472.00 | £0.00 | Adults' |
| Housing Related Support Services for Adults: Lot 2 - Provision of an Intensive and Resettlement Housing Related Support Service in Southampton | SCC | N/A | Block Contract | £227,156.00 | £227,156.00 | £0.00 | Adults' |
| Housing Related Support Services for Adults: Lot 3 - Provision of an Intensive Lifeskills and Resettlement Housing Related Support Service in Southampton | SCC | N/A | Block Contract | £169,507.00 | £169,507.00 | £0.00 | Adults' |
| Housing Related Support Services for Adults: Lot 4 - Provision of an Intensive Lifeskills and Resettlement Housing Related Support Service in Southampton | SCC | N/A | Block Contract | £288,578.16 | £288,578.16 | £0.00 | Adults' |
| Housing Related Support Services for Adults: Lot 5 - Provision of Flexible Housing Related Support Service in Southampton | SCC | N/A | Block Contract | £1,473,108.00 | £1,473,108.00 | £0.00 | Adults' |
| Housing Related Support Services for Adults: Lot 6 - Provision of an Accommodation Based Housing Support Service to People with Alcohol Related Housing and Support Needs | SCC | N/A | Block Contract | £126,640.80 | £126,640.80 | £0.00 | Adults' |

| Contract Title | Contracting Organisation | Linked to Partnership Agreement? (contract no.) | Agreement Type | Total annual contract value 2020/21 | SCC/Contracting Organisation Contribution 2020/21 | Partner Contribution 2020/21 | Finance Portfolio |
|--|--------------------------|---|-----------------------|-------------------------------------|---|------------------------------|-------------------|
| Housing Related Support Services for Children and Young Persons: Lot 1 – Housing and Flexible Floating Support for Young People | SCC | N/A | Block Contract | £275,301.00 | £275,301.00 | £0.00 | Adults' |
| Housing Related Support Services for Children and Young Persons: Lot 2 – Housing Support for Young People, Young Parents and a Flexible Floating Support Service | SCC | N/A | Block Contract | £337,480.00 | £337,480.00 | £0.00 | Adults' |
| Housing Related Support Services for Children and Young Persons: Lot 3 – Hostel/Foyer Style Support for Young People | SCC | N/A | Block Contract | £240,420.96 | £240,420.96 | £0.00 | Adults' |
| Housing Related Support Services for Children and Young Persons: Lot 4 – Supported Lodgings Service | SCC | N/A | Block Contract | £88,420.80 | £88,420.80 | £0.00 | Adults' |
| Reablement and Rehabilitation Service (SLA) | SCC | EC09/01/237 6a | SLA | £17,270,000.00 | £5,093,000.00 | £12,177,000.00 | Adults' |
| Discharge 2 Assess D2A | SCCCG | N/A | NHS Standard Contract | £179,000.00 | £179,000.00 | £0.00 | Adults' |
| Advice, Information and Guidance | SCC | N/A | Block Contract | £612,664.00 | £612,664.00 | £0.00 | Adults' |
| Carer's Support Services | SCC | N/A | Block Contract | £353,115.00 | £183,115.00 | £170,000.00 | Adults' |
| Safe Families For Children Services | SCC | N/a | Block Contract | £60,000.00 | £60,000.00 | £0.00 | Children's |
| Living Well Service | SCC | N/A | Block Contract | £753,920.00 | £614,560.00 | £139,360.00 | Adults' |
| Monitoring and Management of the Community Equipment Service | SCC | EC09/01/198 7 | Purchase Order | £41,124.00 | £41,124.00 | £0.00 | Adults' |
| Rehabilitation and Reablement Beds | SCC | N/A | Block Contract | £107,921.64 | £107,921.64 | £0.00 | Adults' |
| Well and Working Southampton | SCC | N/A | SLA | £12,000.00 | £12,000.00 | £0.00 | Public Health |
| Trusted Professionals | SCC | EC09/01/226 7 | Block Contract | £0.00 | £0.00 | £0.00 | Adults' |
| HIV Self Sampling Testing | SCC | N/A | Framework | £13,685.00 | £13,685.00 | £0.00 | Public Health |
| Children's Residential Placements – Consortia Commissioning | SCC | mw298 | Framework | £0.00 | £0.00 | £0.00 | Children's |
| Breastfeeding Support Service | SCC | N/A | Block Contract | £49,072.00 | £49,072.00 | £0.00 | Adults' |
| Independent visitor and Advocacy | SCC | N/A | Block Contract | £64,947.00 | £64,947.00 | £0.00 | Children's |

| Contract Title | Contracting Organisation | Linked to Partnership Agreement? (contract no.) | Agreement Type | Total annual contract value 2020/21 | SCC/Contracting Organisation Contribution 2020/21 | Partner Contribution 2020/21 | Finance Portfolio |
|---|--------------------------|---|----------------|-------------------------------------|---|------------------------------|-------------------|
| Tier 2 Adult Weight Management | SCC | N/A | Block Contract | £64,800.00 | £64,800.00 | £0.00 | Public Health |
| Tier 2 Adult Weight Management in Pregnancy | SCC | N/A | Block Contract | £9,000.00 | £9,000.00 | £0.00 | Public Health |
| Lot 2 Alcohol Drugs and Substance Misuse Services | SCC | N/A | Block Contract | £482,497.00 | £482,497.00 | £0.00 | Children's |
| Lot 1 Alcohol Drugs and Substance Misuse Services | SCC | N/A | Block Contract | £2,228,770.00 | £2,228,770.00 | £0.00 | Adults' |
| Post 16 Accommodation & Support – Consortia Commissioning | SCC | N/A | Framework | £0.00 | £0.00 | £0.00 | Children's |
| Smoking Cessation in Community Pharmacies (LCS) | SCC | N/A | LCS | £0.00 | £0.00 | £0.00 | Public Health |
| Short Break Services | SCC | N/A | Framework | £898,594.00 | £708,137.46 | £190,456.54 | Children's |
| Rough Sleeper Services (Navigation, Project Co-ordinator, NRPF, Personalisation) | SCC | N/A | Block Contract | £331,548.00 | £331,548.00 | £0.00 | Adults' |
| Home Care Services | SCC | N/A | Framework | £0.00 | £0.00 | £0.00 | Adults' |
| Supported Lettings and High Intensity Floating Support for People Experiencing Homelessness | SCC | N/A | Block Contract | £242,808.00 | £242,808.00 | £0.00 | Adults' |
| Somewhere Safe To Stay For People Experiencing Homelessness | SCC | N/A | Block Contract | £173,000.00 | £173,000.00 | £0.00 | Adults' |
| Southampton Safeguarding Children Partnership | SCC | N/A | Block Contract | £159,115.00 | £99,516.00 | £59,599.00 | Children's |
| Brain in Hand | SCC | N/A | Purchase Order | £0.00 | £0.00 | £0.00 | Adults' |
| Needle Syringe Program (LCS) | SCC | N/A | LCS | £0.00 | £0.00 | £0.00 | Public Health |
| Supervised Consumption (LCS) | SCC | N/A | LCS | £0.00 | £0.00 | £0.00 | Public Health |
| Shared Care (LCS) | SCC | N/A | LCS | £0.00 | £0.00 | £0.00 | Public Health |
| Residential Recovery and Rehabilitation for People with Enduring MH | SCC | EC09/01/2679A | Block Contract | £422,300.00 | £422,300.00 | £0.00 | Adults' |
| Noms and Voids - Shirley Road | SCC | N/A | Block Contract | £0.00 | £0.00 | £0.00 | Adults' |

| Contract Title | Contracting Organisation | Linked to Partnership Agreement? (contract no.) | Agreement Type | Total annual contract value 2020/21 | SCC/Contracting Organisation Contribution 2020/21 | Partner Contribution 2020/21 | Finance Portfolio |
|---|--------------------------|---|----------------|-------------------------------------|---|------------------------------|----------------------------------|
| Community Solutions | SCC | EC09/01/2775A | Block Contract | £448,950.00 | £164,950.00 | £284,000.00 | Communities, Culture and Leisure |
| Volunteering Support and Development | SCC | N/A | Block Contract | £63,707.04 | £63,707.04 | £0.00 | Communities, Culture and Leisure |
| Post-19 Learning and Skills | SCC | N/A | Block Contract | £14,000.00 | £14,000.00 | £0.00 | Children's |
| Children Residential Co-ordination Partnership agreement. | SCC | EC09/01/245 | Block Contract | £6,000.00 | £6,000.00 | £0.00 | Children's |
| Independent Fostering Partnership Agreement | SCC | EC09/01/2422 | Block Contract | £16,000.00 | £16,000.00 | £0.00 | Children's |
| Child Death Overview Panel | SCC | Yes | Block Contract | £11,475.00 | £11,475.00 | £0.00 | Children's |
| Play and Youth Development (Lot1) | scc | EC09/01/2582 | Block Contract | £65,554.00 | £62,554.00 | £3,000.00 | Children's |
| Play and Youth Development (Lot2) | scc | EC09/01/2582 | Block Contract | £26,000.00 | £24,600.00 | £1,400.00 | Children's |
| Play and Youth Development (Lot3) | scc | EC09/01/2582 | Block Contract | £23,500.00 | £23,000.00 | £500.00 | Children's |
| Play and Youth Development (Lot 4 Central) | SCC | EC09/01/2582 | Block Contract | £25,153.00 | £17,873.00 | £7,280.00 | Children's |
| Play and Youth Development (Lot4 East) | SCC | EC09/01/2582 | Block Contract | £25,153.00 | £17,873.00 | £7,280.00 | Children's |
| Play and Youth Development (Lot 4 West) | SCC | EC09/01/2582 | Block Contract | £24,411.00 | £17,131.00 | £7,280.00 | Children's |
| Play and Youth Development (Lot 5 Activity 1) | SCC | EC09/01/2582 | Block Contract | £9,000.00 | £7,370.00 | £1,630.00 | Children's |
| Play and Youth Development (Lot 5 Activity 2) | SCC | EC09/01/2582 | Block Contract | £9,000.00 | £7,370.00 | £1,630.00 | Children's |
| Weston Adventure Playground | SCC | N/A | Block Contract | £20,000.00 | £20,000.00 | £0.00 | Children's |
| Independent Chair for the Southampton Safeguarding Children Partnership and Portsmouth Safeguarding Children Partnership (SSCP) | SCC | Yes with PCC | Block Contract | £13,200.00 | £13,200.00 | tbc | Children's |
| Southampton Eating Well Service | SCC | N/A | Block Contract | £105,000.00 | £105,000.00 | £0.00 | Adults' |
| Noms and Voids - Brook Lodge | SCC | N/A | Block Contract | £0.00 | £0.00 | £0.00 | Adults' |
| Noms and Voids - Future Housing Solutions | SCC | N/A | Block Contract | £0.00 | £0.00 | £0.00 | Adults' |

| Contract Title | Contracting Organisation | Linked to Partnership Agreement? (contract no.) | Agreement Type | Total annual contract value 2020/21 | SCC/Contracting Organisation Contribution 2020/21 | Partner Contribution 2020/21 | Finance Portfolio |
|--|--------------------------|---|----------------|-------------------------------------|---|------------------------------|-------------------|
| Independent Chair for the Southampton Safeguarding Adults Board (SSAB) | SCC | N/A | Block Contract | £12,000.00 | £12,000.00 | £0.00 | Adults' |
| Way Ahead Leisure Pursuit Overnight Respite for Learning Difficulties | SCC | N/A | Block Contract | £222,000.00 | £222,000.00 | £0.00 | Adults' |
| Housing Support for Older People at Rose Brook Court | SCC | N/A | Block Contract | £6,500.00 | £6,500.00 | £0.00 | Adults' |
| Integrated Advocacy Services | SCC | EC09/01/291 2A | Block Contract | £279,157.00 | £265,174.04 | £13,982.96 | Adults' |
| Peer Support Service | SCC | N/A | Block Contract | £93,944.00 | £93,944.00 | £0.00 | Adults' |
| Noms and Voids - Darwin Road & Chatsworth Road | SCC | N/A | Block Contract | £0.00 | £0.00 | £0.00 | Adults' |
| Noms and Voids - Spring Crescent | SCC | N/A | Block Contract | £0.00 | £0.00 | £0.00 | Adults' |
| Direct Payment Support Service | SCC | N/A | Block Contract | £126,017.00 | £126,017.00 | £0.00 | Adults' |
| Personal Assistants (PA) Finder System | SCC | N/A | Block Contract | £5,400.00 | £5,400.00 | £0.00 | Adults' |
| Support Planning and Brokerage (SPB) Pilot | SCC | N/A | Block Contract | £28,080.00 | £28,080.00 | £0.00 | Adults' |
| Shopmobility | SCC | N/A | Block Contract | £38,268.00 | £38,268.00 | £0.00 | Adults' |
| Southampton Safeguarding Adults Board (SSAB) | SCC | N/A | Block Contract | £92,489.00 | £51,586.00 | £40,903.00 | Adults' |
| Day Centre Services | SCC | N/A | Block Contract | £120,000.00 | £120,000.00 | £0.00 | Adults' |
| Family Group Conferences | SCC | N/A | Block Contract | £257,650.00 | £257,650.00 | £0.00 | Children's |
| Homeless support Services | SCC | N/A | Block Contract | £17,000.00 | £17,000.00 | £0.00 | Adults' |
| Health and Social Care related Equipment Store | scc | TBC | Block Contract | £1,634,724.75 | £822,146.55 | £812,578.20 | Adults' |
| Noms and Voids - Mercator Close | SCC | N/A | Block Contract | £0.00 | £0.00 | £0.00 | Adults' |

| Contract Title | Contracting Organisation | Linked to Partnership Agreement? (contract no.) | Agreement Type | Total annual contract value 2020/21 | SCC/Contracting Organisation Contribution 2020/21 | Partner Contribution 2020/21 | Finance Portfolio |
|--|--------------------------|---|----------------|-------------------------------------|---|------------------------------|----------------------------------|
| Nicotine Replacement Therapy (LCS) | SCC | N/A | LCS | £0.00 | £0.00 | £0.00 | Public Health |
| Home Care Bridging Service 2020 - 2021 | SCC | N/A | Block Contract | £428,064.00 | £428,064.00 | £0.00 | Adults' |
| Espo Consultancy Framework Call-off | SCC | N/A | Framework | £78,000.00 | £78,000.00 | £0.00 | Adults' |
| DFG Review | scc | N/A | Purchase Order | £10,000.00 | £10,000.00 | £0.00 | Adults' |
| Commissioned grants programme | SCC | N/A | Grant | £221,000.00 | £221,000.00 | £0.00 | Communities, Culture and Leisure |
| Rent Deposit Scheme | SCC | N/A | Block Contract | £24,000.00 | £24,000.00 | £0.00 | Adults' |
| Smoking Cessation - Lung Health Checks | SCC | N/A | Block Contract | £39,890.70 | £39,890.70 | £0.00 | Public Health |
| Provision of Discharge-to-Assess Beds at Netley Waterside Nursing Home | SCCCG | N/A | NHS Standard | £142,500.00 | £0.00 | £0.00 | Adults' |
| Provision of Discharge-to-Assess Beds at Oaklands House | SCCCG | N/A | NHS Standard | £114,400.00 | £0.00 | £0.00 | Adults' |
| Nomination and void agreement - Osborne Gardens | SCC | N/A | Block Contract | £0.00 | £0.00 | £0.00 | Adults' |

| |
|----------------|
| £41,793,779.37 |
|----------------|

Commissioned services, grants and service level a

| Contract Title | ICU Programme | Funding |
|---|----------------------------------|---|
| Emergency Hormonal Contraception LCS for Under 25s (LCS) | Prevention & Early Intervention | SCC |
| NHS Health Checks (LCS) | Prevention & Early Intervention | SCC |
| Long Acting Reversible Contraception (LCS) | Prevention & Early Intervention | SCC |
| Autism Support Hampshire | Integration | Fully funded by CCG |
| Northlands House - Care Contract - Residential Home for Older People - 61 block beds + 1 respite bed | Managing & Developing the Market | Part-funded by CCG - reclaim for Funded Nursing Care £423,395 |
| Oak Lodge - Care Contract - Residential Home for People with OPMH - 38 block beds +2 respite beds | Managing & Developing the Market | Part-funded by CCG - reclaim for Funded Nursing Care £383,605 |
| Oak Lodge - Lease for Care Home and Day Centre | Managing & Developing the Market | SCC |
| Mental Capacity Deputyship Service | Business as Usual | SCC |
| Oak Lodge Facilities Management (day centre meals) | Managing & Developing the Market | SCC |
| School & College Health & Well-being Drop-In services and Sexual Health Support & Interventions Lot 2 | Prevention & Early Intervention | SCC |
| Older Persons Accommodation Based and Floating Support Service | Prevention & Early Intervention | SCC In-house service |
| Integrated Mental Health Employment Support Service | Integration | In-house service, part-funded by UHS £21,000 and CCG £59,000 |
| Healthwatch Southampton | Managing & Developing the Market | SCC |
| Out of Hours Service | Business as Usual | SCC |
| Domestic Violence Service - Prevention & Early Intervention (Lot 1) | Prevention & Early Intervention | Part-funded by CCG £58,000 |
| Commissioned grants programme | Prevention & Early Intervention | SCC |

| Contract Title | ICU Programme | Funding |
|---|---------------------------------|----------------------------|
| Commissioned grants programme | Prevention & Early Intervention | SCC |
| Commissioned grants programme | Prevention & Early Intervention | SCC |
| Commissioned grants programme | Prevention & Early Intervention | SCC |
| Community Chest Grants | Prevention & Early Intervention | SCC |
| Domestic Violence Service - Refuge Service (Lot 2) | Prevention & Early Intervention | SCC |
| Comprehensive Counselling for children & Young People 5-25 Lot 1 | Prevention & Early Intervention | Part-funded by CCG £65,000 |
| Domestic Abuse Perpetrator and Prevention Services | Prevention & Early Intervention | SCC |
| Level 3 Sexual Health Services | Prevention & Early Intervention | SCC |
| Placement of Children and Young People with Independent Fostering Agencies | Prevention & Early Intervention | SCC |
| Housing Related Support Services for Adults: Lot 1 – Provision of a Combined Assessment, Intensive and Resettlement Housing Related Support Service in Southampton | Prevention & Early Intervention | SCC |
| Housing Related Support Services for Adults: Lot 2 - Provision of an Intensive and Resettlement Housing Related Support Service in Southampton | Prevention & Early Intervention | SCC |
| Housing Related Support Services for Adults: Lot 3 - Provision of an Intensive Lifeskills and Resettlement Housing Related Support Service in Southampton | Prevention & Early Intervention | SCC |
| Housing Related Support Services for Adults: Lot 4 - Provision of an Intensive Lifeskills and Resettlement Housing Related Support Service in Southampton | Prevention & Early Intervention | SCC |
| Housing Related Support Services for Adults: Lot 5 - Provision of Flexible Housing Related Support Service in Southampton | Prevention & Early Intervention | SCC |
| Housing Related Support Services for Adults: Lot 6 - Provision of an Accommodation Based Housing Support Service to People with Alcohol Related Housing and Support Needs | Prevention & Early Intervention | SCC |

| Contract Title | ICU Programme | Funding |
|---|--|---------------------------|
| Housing Related Support Services for Children and Young Persons: Lot 1 – Housing and Flexible Floating Support for Young People | Prevention & Early Intervention | SCC |
| Housing Related Support Services for Children and Young Persons: Lot 2 – Housing Support for Young People, Young Parents and a Flexible Floating Support Service | Prevention & Early Intervention | SCC |
| Housing Related Support Services for Children and Young Persons: Lot 3 – Hostel/Foyer Style Support for Young People | Prevention & Early Intervention | SCC |
| Housing Related Support Services for Children and Young Persons: Lot 4 – Supported Lodgings Service | Prevention & Early Intervention | SCC |
| Reablement and Rehabilitation Service (SLA) | Business as Usual | SCC in house service |
| Discharge 2 Assess D2A | Prevention & Early Intervention | Fully CCG funded |
| Advice, Information and Guidance | Prevention & Early Intervention | SCC |
| Carer's Support Services | Prevention & Early Intervention | Part-CCG funded £170,000 |
| Safe Families For Children Services | Prevention & Early Intervention | SCC |
| Living Well Service | Commissioning Safe & High Quality Services | SCC |
| Monitoring and Management of the Community Equipment Service | Integration | SCC |
| Rehabilitation and Reablement Beds | Business as Usual | Fully CCG funded |
| Well and Working Southampton | Business as Usual | SCC in-house service |
| Trusted Professionals | Business as Usual | non-financial arrangement |
| HIV Self Sampling Testing | Prevention & Early Intervention | fully CCG funded |
| Children's Residential Placements – Consortia Commissioning | Prevention & Early Intervention | SCC |
| Breastfeeding Support Service | Prevention & Early Intervention | SCC |
| Independent visitor and Advocacy | Prevention & Early Intervention | SCC |

| Contract Title | ICU Programme | Funding |
|---|----------------------------------|--|
| Tier 2 Adult Weight Management | Prevention & Early Intervention | SCC |
| Tier 2 Adult Weight Management in Pregnancy | Prevention & Early Intervention | SCC |
| Lot 2 Alcohol Drugs and Substance Misuse Services | Prevention & Early Intervention | SCC |
| Lot 1 Alcohol Drugs and Substance Misuse Services | Prevention & Early Intervention | SCC |
| Post 16 Accommodation & Support – Consortia Commissioning | Prevention & Early Intervention | SCC |
| Smoking Cessation in Community Pharmacies (LCS) | Prevention & Early Intervention | SCC |
| Short Break Services | Business as Usual | Part CCG funded £190,457 |
| Rough Sleeper Services (Navigation, Project Co-ordinator, NRPF, Personilisation) | Business as Usual | Government short term funding |
| Home Care Services | Business as Usual | SCC |
| Supported Lettings and High Intensity Floating Support for People Experiencing Homelessness | Prevention & Early Intervention | Government short term funding |
| Somewhere Safe To Stay For People Experiencing Homelessness | Prevention & Early Intervention | Government short term funding |
| Southampton Safeguarding Children Partnership | Business as Usual | Part CCG/Hants Constabulary funded £59,599 |
| Brain in Hand | Managing & Developing the Market | SCC |
| Needle Syringe Program (LCS) | Prevention & Early Intervention | SCC |
| Supervised Consumption (LCS) | Prevention & Early Intervention | SCC |
| Shared Care (LCS) | Prevention & Early Intervention | SCC |
| Residential Recovery and Rehabilitation for People with Enduring MH | Integration | Part CCG funded £139,357 |
| Noms and Voids - Shirley Road | Business as Usual | SCC |

| Contract Title | ICU Programme | Funding |
|---|---------------------------------|--------------------------|
| Community Solutions | Business as Usual | Part-CCG funded £284,000 |
| Volunteering Support and Development | Business as Usual | SCC |
| Post-19 Learning and Skills | Prevention & Early Intervention | SCC |
| Children Residential Co-ordination Partnership agreement. | Prevention & Early Intervention | SCC |
| Independent Fostering Partnership Agreement | Prevention & Early Intervention | SCC |
| Child Death Overview Panel | Prevention & Early Intervention | SCC |
| Play and Youth Development (Lot1) | prevention & Early Intervention | Part CCG funded £3,000 |
| Play and Youth Development (Lot2) | prevention & Early Intervention | Part CCG funded £1,400 |
| Play and Youth Development (Lot3) | prevention & Early Intervention | Part CCG funded £1,400 |
| Play and Youth Development (Lot 4 Central) | prevention & Early Intervention | Part CCG funded £7,280 |
| Play and Youth Development (Lot4 East) | prevention & Early Intervention | Part CCG funded £7,280 |
| Play and Youth Development (Lot 4 West) | prevention & Early Intervention | Part CCG funded £7,280 |
| Play and Youth Development (Lot 5 Activity 1) | prevention & Early Intervention | Part CCG funded £1,630 |
| Play and Youth Development (Lot 5 Activity 2) | prevention & Early Intervention | Part CCG funded £1,630 |
| Weston Adventure Playground | prevention & Early Intervention | SCC |
| Independent Chair for the Southampton Safeguarding Children Partnership and Portsmouth Safeguarding Children Partnership (SSCP) | Business as Usual | Part-PCC funded |
| Southampton Eating Well Service | Integration | SCC |
| Noms and Voids - Brook Lodge | Business as Usual | SCC |
| Noms and Voids - Future Housing Solutions | Business as Usual | SCC |

| Contract Title | ICU Programme | Funding |
|--|---------------------------------|---|
| Independent Chair for the Southampton Safeguarding Adults Board (SSAB) | Business as Usual | SCC |
| Way Ahead Leisure Pursuit Overnight Respite for Learning Difficulties | Business as Usual | SCC |
| Housing Support for Older People at Rose Brook Court | Prevention & Early Intervention | SCC |
| Integrated Advocacy Services | Integration | Part-CCG funded £13,983 |
| Peer Support Service | Prevention & Early Intervention | SCC |
| Noms and Voids - Darwin Road & Chatsworth Road | Business as Usual | SCC |
| Noms and Voids - Spring Crescent | Business as Usual | SCC |
| Direct Payment Support Service | Business as Usual | SCC |
| Personal Assistants (PA) Finder System | Business as Usual | SCC |
| Support Planning and Brokerage (SPB) Pilot | Business as Usual | SCC |
| Shopmobility | Business as Usual | SCC |
| Southampton Safeguarding Adults Board (SSAB) | Business as Usual | SCC |
| Day Centre Services | Business as Usual | SCC |
| Family Group Conferences | prevention & Early Intervention | SCC |
| Homeless support Services | Prevention & Early Intervention | SCC |
| Health and Social Care related Equipment Store | Integration | Jointly funded with CCG - 49%-51% split |
| Noms and Voids - Mercator Close | Business as Usual | SCC |

| Contract Title | ICU Programme | Funding |
|--|---------------------------------|------------------|
| Nicotine Replacement Therapy (LCS) | Prevention & Early Intervention | SCC |
| Home Care Bridging Service 2020 - 2021 | Business as Usual | SCC |
| Espo Consultancy Framework Call-off | Business as Usual | SCC |
| DFG Review | Prevention & Early Intervention | SCC |
| Commissioned grants programme | Prevention & Early Intervention | |
| Rent Deposit Scheme | Prevention & Early Intervention | SCC |
| Smoking Cessation - Lung Health Checks | Prevention & Early Intervention | SCC |
| Provision of Discharge-to-Assess Beds at Netley Waterside Nursing Home | Prevention & Early Intervention | fully CCG funded |
| Provision of Discharge-to-Assess Beds at Oaklands House | Prevention & Early Intervention | fully CCG funded |
| Nomination and void agreement - Osborne Gardens | Business as Usual | SCC |

Partnership Arrangements - November 2020

| Contract Title | Contract Reference EC/MW | Supplier Name (Service Provider) | Lead Client Manager (Commissioning Lead) | Contracts Lead | Contract Start Date | Current Contract Expiry Date | Maximum Expiry Date | Notice Period for termination | Contracting Organisation |
|--|--------------------------|---|--|-----------------------|---------------------|------------------------------|---------------------|-------------------------------|--------------------------|
| Long Acting Reversible Contraception- Supporting Intra Uterine System in Women for Dual Gynaecology and Non- Contraception Indicators (S256) | EC09/01/2423B | Southampton City Clinical Commissioning Group | Russell Turner | Ireen Kagwa | 01/04/17 | 31/03/23 | 01/04/24 | 3 months | SCC |
| Looked After Children Service (s76) | EC09/01/1484(f) | Southampton City Clinical Commissioning Group | Katherine Elsmore | Ireen Kagwa | 01/04/08 | 31/03/21 | 31/03/21 | 3 months | SCC |
| Building Resilience and Strength (formerly Behaviour Resource Services) (s76) | EC09/01/1684 | Southampton City Clinical Commissioning Group | Phil Lovegrove | Merlyn Ganeshamoorthy | 01/04/09 | 30/09/21 | 30/09/21 | 6 months | SCC |
| Building Resilience and Strength (formerly Behaviour Resource Services) (s256) | EC09/01/1684a | Southampton City Clinical Commissioning Group | Phil Lovegrove | Merlyn Ganeshamoorthy | 01/04/09 | 30/09/21 | 30/09/21 | 6 months | SCCCG |
| Child and Adolescent Mental Health Services (CAMHS) (s76) | EC09/01/1874 | Southampton City Clinical Commissioning Group | Phil Lovegrove | Merlyn Ganeshamoorthy | 01/04/11 | 31/03/21 | 31/03/21 | 6 months | SCC |
| Public Health Services (s75) | EC09/01/2086 | Southampton City Clinical Commissioning Group | Debbie Chase | Katerina Ploumakis | 01/04/13 | N/A | N/A | 12 months | SCC |
| Mental Health Integration (s75) | EC09/01/2538 | Southern Health NHS Foundation Trust | Amanda Luker | Aleksandra Burlinson | 01/04/19 | 31/03/22 | 31/03/22 | 12 months | SCC |
| Northlands House - Residential Nursing Care (s75) | EC09/01/0989 | Southampton City Clinical Commissioning Group | Matthew Waters | Ireen Kagwa | 24/06/05 | 23/06/30 | 23/06/30 | N/A | SCC |
| Oak Lodge - Residential Nursing Care (s75) | EC09/01/1101 | Southampton City Clinical Commissioning Group | Matthew Waters | Ireen Kagwa | 08/02/10 | 07/02/35 | 07/02/35 | N/A | SCC |
| Domestic Abuse & Sexual Violence (S256) | EC09/01/1970(i) | Southampton City Clinical Commissioning Group | Sandy Jerrim | Luke O'Shea | 01/11/15 | 31/03/21 | 31/03/21 | 3 months | SCC |
| Better Care Fund (BCF) - Functions related to Health and Social Care Services (s75) | EC09/01/2267 | Southampton City Clinical Commissioning Group | Donna Chapman | Sadie Brackstone | 01/04/15 | N/A | N/A | 3 months | SCC |
| Locally Based Hospital Unit Reprovision (LBHU) (s75) | EC09/01/2377 | Southampton City Clinical Commissioning Group | Kate Dench | Merlyn Ganeshamoorthy | 01/04/15 | N/A | N/A | N/A | SCC |
| Integrated Provision of Health and Social Care Services (s75) | EC09/01/2376a | Solent NHS Trust | Jamie Schofield | Ireen Kagwa | 01/04/16 | 31/03/21 | 31/03/21 | 4 months | SCC |
| 0-19 Integrated Provision (S75) | N/A | Solent NHS Trust | Donna Chapman | Sadie Brackstone | 01/04/18 | 31/03/23 | 31/03/25 | 12 months | SCC |
| Comprehensive Counselling for children & Young People 5-25 Years of Age (S256) | EC09/01/2624 | Southampton City Clinical Commissioning Group | Marie Woodhouse | Ireen Kagwa | 01/03/17 | 30/04/23 | 31/03/24 | 3 months | SCCCG |
| Integrated Mental Health Employment Services (S256) | EC09/01/2813 | Southampton City Clinical Commissioning Group | Alison Boynton | Sadie Brackstone | 01/04/19 | 31/03/21 | 31/03/21 | 6 months | SCC |

| Contract Title | Contract Reference EC/MW | Supplier Name (Service Provider) | Lead Client Manager (Commissioning Lead) | Contracts Lead | Contract Start Date | Current Contract Expiry Date | Maximum Expiry Date | Notice Period for termination | Contracting Organisation |
|---|--------------------------|---|--|-----------------------|---------------------|------------------------------|---------------------|-------------------------------|--------------------------|
| Residential Recovery and Rehabilitation for People with Enduring MH (s75) | EC09/01/2679A | Southampton City Clinical Commissioning Group | Alison Boynton | Merlyn Ganeshamoorthy | 01/09/19 | 31/08/22 | 31/08/23 | 12 months | SCC |
| Homeless Healthcare (S76) | EC09/01/2893 | Southampton City Clinical Commissioning Group | Sandy Jerrim | Katerina Ploumakis | 01/09/19 | 31/03/21 | 31/03/21 | 2 months | SCC |
| Community Solutions (S256) | EC09/01/2775(a) | Southampton City Clinical Commissioning Group | Adrian Littlemore | Katerina Ploumakis | 01/10/19 | 30/09/22 | 30/09/23 | 6 months | SCC |
| Mental Health Advocacy Service (s256) | EC09/01/2912A | Southampton City Clinical Commissioning Group | Colin McAllister | Sadie Brackstone | 01/04/20 | 31/03/23 | 31/03/25 | 9 months | SCC |
| Specialist Short Breaks (s256) | EC09/01/1788 | Southampton City Clinical Commissioning Group | Matthew Harrison | Merlyn Ganeshamoorthy | 01/05/10 | 31/03/21 | 31/03/21 | 6 months | SCC |
| Play and Youth (S256) | EC09/01/2582 | Southampton City Clinical Commissioning Group | Russell Turner | Katerina Ploumakis | 01/01/20 | 31/12/23 | 31/12/23 | 6 months | scc |

Partnership Arrangements - November 20

| Contract Title | Linked to Partnership Agreement? (contract no.) | Agreement Type | Total annual contract value 2020/21 | SCC/Contracting Organisation Contribution 2020/21 | Partner Contribution 2020/21 | Finance Portfolio | ICU Programme |
|--|---|----------------|-------------------------------------|---|------------------------------|-------------------|----------------------------------|
| Long Acting Reversible Contraception- Supporting Intra Uterine System in Women for Dual Gynaecology and Non- Contraception Indicators (S256) | N/A | s256 | £13,800.00 | £0.00 | £13,800.00 | Public Health | Prevention & Early Intervention |
| Looked After Children Service (s76) | N/A | s76 | £41,185.00 | £41,185.00 | £0.00 | Children's | Business as Usual |
| Building Resilience and Strength (formerly Behaviour Resource Services) (s76) | EC09/01/1684a | s76 | £490,000.00 | £490,000.00 | £0.00 | Children's | Prevention & Early Intervention |
| Building Resilience and Strength (formerly Behaviour Resource Services) (s256) | EC09/01/1684 | s256 | £490,000.00 | £0.00 | £490,000.00 | Children's | Prevention & Early Intervention |
| Child and Adolescent Mental Health Services (CAMHs) (s76) | N/A | s76 | £165,898.00 | £165,898.00 | £0.00 | Children's | Integration |
| Public Health Services (s75) | N/a | s75 | £775,867.00 | £775,867.00 | £0.00 | Public Health | Prevention & Early Intervention |
| Mental Health Integration (s75) | N/A | s75 | £298,527.61 | £277,027.61 | £21,500.00 | Adults' | Integration |
| Northlands House - Residential Nursing Care (s75) | N/A | s75 | £2,423,584.75 | £2,000,189.75 | £423,395.00 | Adults' | Managing & Developing the Market |
| Oak Lodge - Residential Nursing Care (s75) | N/A | s75 | £1,565,412.09 | £1,181,807.09 | £383,605.00 | Adults' | Managing & Developing the Market |
| Domestic Abuse & Sexual Violence (S256) | EC09/01/2364 | S256 | £58,000.00 | £58,000.00 | £0.00 | Adults' | Prevention & Early Intervention |
| Better Care Fund (BCF) - Functions related to Health and Social Care Services (s75) | N/A | s75 | £126,954,000.00 | £47,360,000.00 | £79,594,000.00 | Adults' | Integration |
| Locally Based Hospital Unit Reprovision (LBHU) (s75) | EC09/01/2267 | s75 | £2,600,000.00 | £1,274,000.00 | £1,326,000.00 | Adults' | Integration |
| Integrated Provision of Health and Social Care Services (s75) | EC09/01/2376b | s75 | £0.00 | £0.00 | £0.00 | Adults' | Business as Usual |
| 0-19 Integrated Provision (S75) | N/A | s75 | £9,010,649.00 | £9,010,649.00 | £0.00 | Public Health | Prevention & Early Intervention |
| Comprehensive Counselling for children & Young People 5-25 Years of Age (S256) | N/A | s256 | £65,000.00 | £65,000.00 | £0.00 | Children's | Prevention & Early Intervention |
| Integrated Mental Health Employment Services (S256) | N/A | s256 | £59,054.00 | £0.00 | £59,054.00 | Adults' | Integration |

| Contract Title | Linked to Partnership Agreement? (contract no.) | Agreement Type | Total annual contract value 2020/21 | SCC/Contracting Organisation Contribution 2020/21 | Partner Contribution 2020/21 | Finance Portfolio | ICU Programme |
|---|---|----------------|-------------------------------------|---|------------------------------|----------------------------------|---------------------------------|
| Residential Recovery and Rehabilitation for People with Enduring MH (s75) | N/A | s75 | £415,000.00 | £275,639.00 | £139,357.00 | Adults' | Integration |
| Homeless Healthcare (S76) | N/A | S76 | £70,000.00 | £70,000.00 | £0.00 | Adults' | Integration |
| Community Solutions (S256) | N/A | s256 | £284,000.00 | £0.00 | £284,000.00 | Communities, Culture and Leisure | Business as Usual |
| Mental Health Advocacy Service (s256) | N/A | s256 | £13,984.00 | £0.00 | £13,984.00 | Adults' | Integration |
| Specialist Short Breaks (s256) | N/A | s256 | £190,456.54 | £0.00 | £190,456.54 | Children's | Integration |
| Play and Youth (S256) | N/A | s256 | £30,000.00 | £0.00 | £30,000.00 | Children's | Prevention & Early Intervention |

£146,014,417.99

Partnership Arrangements - November 20

| Contract Title | ICU Project |
|--|---|
| Long Acting Reversible Contraception- Supporting Intra Uterine System in Women for Dual Gynaecology and Non- Contraception Indicators (S256) | 19: Sexual Health and Teenage Pregnancy |
| Looked After Children Service (s76) | Business as usual |
| Building Resilience and Strength (formerly Behaviour Resource Services) (s76) | 20: Prevention and Early Help for Children and Families |
| Building Resilience and Strength (formerly Behaviour Resource Services) (s256) | 20: Prevention and Early Help for Children and Families |
| Child and Adolescent Mental Health Services (CAMHS) (s76) | 6: CAMHS Transformation |
| Public Health Services (s75) | Business as usual |
| Mental Health Integration (s75) | 5: Adult mental health |
| Northlands House - Residential Nursing Care (s75) | Business as usual |
| Oak Lodge - Residential Nursing Care (s75) | Business as usual |
| Domestic Abuse & Sexual Violence (S256) | Business as usual |
| Better Care Fund (BCF) - Functions related to Health and Social Care Services (s75) | Business as usual |
| Locally Based Hospital Unit Reprovision (LBHU) (s75) | 8: Learning Disabilities (LD Integration) |
| Integrated Provision of Health and Social Care Services (s75) | Business as usual |
| 0-19 Integrated Provision (S75) | 20: Prevention and Early Help for Children and Families |
| Comprehensive Counselling for children & Young People 5-25 Years of Age (S256) | 20: Prevention and Early Help for Children and Families |
| Integrated Mental Health Employment Services (S256) | 5: Adult mental health |

| Contract Title | ICU Project |
|---|------------------------|
| Residential Recovery and Rehabilitation for People with Enduring MH (s75) | 5: Adult mental health |
| Homeless Healthcare (S76) | Business as usual |
| Community Solutions (S256) | Business as usual |
| Mental Health Advocacy Service (s256) | 5: Adult mental health |
| Specialist Short Breaks (s256) | 13: Short Breaks |
| Play and Youth (S256) | Business as usual |

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