

Guidance on Changes to the HL1 Return

This document contains guidance on the changes to the HL1 questions as agreed at the Homelessness Statistics User Group on 15th April 2013.

These changes come into force on the HL1 return from **00:01 on 1st July 2013**. From this date onwards, the responses as contained in this paper should be used. Please note - only questions which have changed are included in this guidance. Information on the full suite of questions contained within the HL1 can be found at: <http://www.scotland.gov.uk/Topics/Statistics/15257/HL1guidance>

These changes are not retrospective. For example, if a case is at stage two (assessment) after 1 July 2013, but the stage 1 (application) was completed before then we are not expecting local authorities to revise the data in stage one. Similarly, if a case is at stage 3 (duty discharge) after 1 July 2013 but other stages were completed before then, we are not expecting local authorities to revise data in stages one and two.

The reasons and underlying background to these changes can be found in the following document. <http://www.scotland.gov.uk/Resource/0041/00418652.pdf>

This guidance is intended to help local authority offices in completing these questions.

When to record the HL1 Application

In addition to this guidance, we would also like to remind local authorities that, without exception, all instances which fall under [section 28\(1\) of the Housing \(Scotland\) Act 1987](#) should be recorded in the HL1.

Section 28 (1) of the Housing (Scotland) Act 1987 states that:

If a person (“an applicant”) applies to a local authority for accommodation, or for assistance in obtaining accommodation, and the authority have reason to believe that he may be homeless or threatened with homelessness, they shall make such inquiries as are necessary to satisfy themselves as to whether he is homeless or threatened with homelessness.

This is consistent with page 3 of our [previously issued guidance](#).

Further Information

If you have any queries please contact:
homelessnessstatisticsinbox@scotland.gsi.gov.uk

For guidance on any other questions in the HL1 Return please read the following documents:
<http://www.scotland.gov.uk/Topics/Statistics/15257/HL1guidance>

Housing Access and Support Statistics
Communities Analytical Services
The Scottish Government
25 June 2013

Revisions Log

| | |
|---------------------------|---------------------------------|
| 25 June 2013 Version 1 | First version of this guidance. |
|---------------------------|---------------------------------|

10. Ethnic Group of main applicant and partner?

10.1 Main applicant

Description

Main applicant's ethnic group as described by themselves.

Format

Numeric, two digits maximum.

Validation

Mandatory.

Responses and Guidance

| Guidance | Label | Code |
|-------------------|--|------|
| White | White Scottish | 1 |
| | Other British | 2 |
| | Irish | 3 |
| | Gypsy / Traveller | 17 |
| | Polish | 18 |
| | Other white ethnic group | 4 |
| Mixed or multiple | Mixed or multiple ethnic group | 13 |
| Pakistani | Pakistani, Pakistani Scottish or Pakistani British | 9 |
| Indian | Indian, Indian Scottish or Indian British | 8 |
| Bangladeshi | Bangladeshi, Bangladeshi Scottish or Bangladeshi British | 10 |
| Asian | Chinese, Chinese Scottish or Chinese British | 11 |
| | Other Asian, Asian Scottish or Asian British | 12 |
| African | African, African Scottish or African British | 5 |
| | Other African | 19 |
| Caribbean | Caribbean, Caribbean Scottish or Caribbean British | 6 |
| Black | Black, Black Scottish or Black British | 20 |
| | Other Caribbean or Black | 7 |
| Arab | Arab, Arab Scottish or Arab British | 21 |
| Other | Other ethnic group | 14 |
| Not Known | Not Known | 15 |
| Refused | Refused | 16 |

These changes have been made to fit with the 2011 Census definitions of ethnicity.

Local authority officers may find it useful to use the *guidance* column first to identify the general ethnic group of the main applicant, and then use the second column for finer grained detail.

10.2 Partner

Description

Partner's ethnic group as described by themselves.

Format

Numeric, two digits maximum.

Validation

Mandatory if the main applicant's partner forms part of the applicant household.

Responses and Guidance

| Guidance | Label | Code |
|-------------------|--|------|
| White | White Scottish | 1 |
| | Other British | 2 |
| | Irish | 3 |
| | Gypsy / Traveller | 17 |
| | Polish | 18 |
| | Other white ethnic group | 4 |
| Mixed or multiple | Mixed or multiple ethnic group | 13 |
| Pakistani | Pakistani, Pakistani Scottish or Pakistani British | 9 |
| Indian | Indian, Indian Scottish or Indian British | 8 |
| Bangladeshi | Bangladeshi, Bangladeshi Scottish or Bangladeshi British | 10 |
| Asian | Chinese, Chinese Scottish or Chinese British | 11 |
| | Other Asian, Asian Scottish or Asian British | 12 |
| African | African, African Scottish or African British | 5 |
| | Other African | 19 |
| Caribbean | Caribbean, Caribbean Scottish or Caribbean British | 6 |
| Black | Black, Black Scottish or Black British | 20 |
| | Other Caribbean or Black | 7 |
| Arab | Arab, Arab Scottish or Arab British | 21 |
| Other | Other ethnic group | 14 |
| Not Known | Not Known | 15 |
| Refused | Refused | 16 |

These changes have been made to fit with the 2011 Census definitions of ethnicity.

Local authority officers may find it useful to use the *guidance* column first to identify the general ethnic group of the partner, and then use the second column for finer grained detail.

14a. From what type of property did the main applicant become homeless / threatened with homelessness?

Description

The type of property from which the person became homeless / threatened with homelessness – not necessarily the most recent address, as applicants may have been temporarily staying with friends / family having already become homeless.

Format

Numeric, two digits

Validation

Mandatory for cases opened on or after 1 April 2007.

| | |
|---|----|
| Own property - LA tenancy | 1 |
| Own property - RSL tenancy | 2 |
| Own property - private rented tenancy | 3 |
| Own property - tenancy secured through employment / tied house | 4 |
| Own property - owning / buying | 5 |
| Parental / family home / relatives | 6 |
| Friends / partners | 7 |
| Armed services accommodation | 8 |
| Prison | 9 |
| Hospital | 10 |
| Children's residential accommodation (looked after by the local authority) | 11 |
| Supported accommodation | 12 |
| Hostel (unsupported) | 13 |
| Bed & Breakfast | 14 |
| Caravan / mobile home | 15 |
| Long-term roofless | 16 |
| Long-term "sofa-surfing" | 17 |
| Other | 18 |
| Not known / refused | 19 |
| Own property - Shared ownership / Shared equity / LCHO | 20 |
| Lodger | 21 |
| Shared Property – Private Rented Sector | 22 |
| Shared Property – Local authority | 23 |
| Shared Property - RSL | 24 |
| <i>("Own property" includes property owned / rented with a partner or friends, irrespective of whether they are part of the household applying, but not when staying in a property at a partner's or friend's invitation)</i> | |

This question has been standardised for comparability with the PREVENT1 return.

Guidance

The definition of a lodger and shared property are as follows:

A person is a lodger in a property if they:

- Rented a room in a property and pay rent.
- Shared the bathroom, kitchen and/or living room with other people
- Are unrelated to the other members of the household
- They are not named on the tenancy agreement for the property, or the owner of the property.

A person is in a shared property if they:

- Rented a room in a property and pay rent.
- Shared the bathroom, kitchen and/or living room with other people
- Are unrelated to the other members of the household
- They are named on the tenancy agreement for the property.

16b. Reason for failing to maintain accommodation

Description

The reasons the main applicant provides for why it was not possible to maintain the accommodation from which he or she became homeless.

10 variables: each records whether the specific reason was relevant.

16b.1. Financial difficulties / debt / unemployment

16b.2. Physical health reasons

16b.3. Mental health reasons

16b.4. Unmet need for support from housing / social work / health services

16b.5. Lack of support from friends / family

16b.6. Difficulties managing on own

16b.7. Drug / alcohol dependency

16b.8. Criminal / anti-social behaviour

16b.9. Not to do with applicant household (e.g. landlord selling property, fire, circumstances of other persons sharing previous property, harassment by others, etc.)

16b.10. Refused

Format

Numeric, one digit each.

Validation

All mandatory for cases opened on or after 1 April 2007.

If 16b.10 is 1 (refused), then all of 16b.1 to 16b.9 must be 0.

Responses for 16b.1

| | |
|--|---|
| No | 0 |
| Financial difficulties / debt / unemployment | 1 |
| Welfare Reform – Under occupancy penalty | 2 |
| Welfare Reform – Benefit Cap | 3 |
| Welfare Reform – Other | 4 |

Responses for 16b.2 to 16b.10

No 0

Yes 1

Guidance

Only question 16b.1 has been amended in this change. The definition of financial difficulties has been widened to include aspects of Welfare Reform.

If more than one reason applies, record the one which the main applicant cites as the most important. The under occupancy penalty may also be known as the spare room subsidy or the “bedroom tax”.

20b. Reasons for support needs

Description

Reason support may need to be provided, as recorded by the homelessness officer.
6 variables: each records whether the specific reason was relevant.

20b.1. Mental health problem

20b.2. Learning disability

20b.3. Physical disability

20b.4. Medical condition

20b.5. Drug or alcohol dependency

20b.6. Basic housing management / independent living skills/ Housing Support

Format

Numeric, one digit each.

Responses

No 0

Yes 1

Validation

All mandatory for cases assessed on or after 1 April 2007.

If 20a.4 is 1 then 20b.1 must be 1.

If 20a.5 is 1 then 20b.2 must be 1.

If 20a.6 is 1 then 20b.3 must be 1.

If 20a.7 is 1 then 20b.4 must be 1.

Guidance

Question 20b.6. has been widened to include housing support.

22. Duty discharge action taken by authority

Description

Action taken by local authority which the LA deems to constitute the discharge of its duty to the applicant, or the closure of the case (at least in terms of the HL1).

Format

Numeric, two digits maximum.

Validation

Mandatory after closure.

Responses

| | |
|--|-------|
| Not applicable (answer to question 21 was NOT "Contact with applicant maintained until discharge of LA duty") | BLANK |
| Applicant offered LA / RSL Scottish Secure Tenancy within LA - Accommodation taken up | 1 |
| Applicant offered LA / RSL Scottish Secure Tenancy within LA - Accommodation not taken up | 2 |
| Applicant offered private sector Assured Tenancy - Accommodation taken up | 3 |
| Applicant offered private sector Assured Tenancy - Accommodation not taken up | 4 |
| Applicant offered temporary accommodation, advice and assistance - Accommodation taken up | 5 |
| Applicant offered temporary accommodation, advice and assistance - Accommodation not taken up | 6 |
| Applicant referred to other LA (under 87 Act) | 7 |
| Applicant offered advice and assistance only (including measures to retain previous accommodation) | 8 |
| None of the other responses | 9 |
| Applicant offered housing support in non-permanent accommodation under regulation 4 of The Homeless Persons (Provision of Non-Permanent Accommodation) (Scotland) Regulations 2010– Accommodation taken up | 10 |
| Applicant offered housing support in non-permanent accommodation under regulation 4 of The Homeless Persons (Provision of Non-Permanent Accommodation) (Scotland) Regulations 2010 - Accommodation not taken up | 11 |
| Applicant offered short Scottish Secure Tenancy (other than below) – Accommodation taken up | 12 |
| Applicant offered short Scottish Secure Tenancy (other than below) – Accommodation not taken up | 13 |
| Applicant offered short Scottish Secure Tenancy under paragraph 5A of schedule 6 of the 2001 Act – Accommodation taken up | 14 |
| Applicant offered short Scottish Secure Tenancy under paragraph 5A of schedule 6 of the 2001 Act – Accommodation not taken up | 15 |
| Applicant offered section 7 tenancy with support – Accommodation taken | 16 |

| | |
|---|----|
| up | |
| Applicant offered section 7 tenancy with support – Accommodation not taken up | 17 |
| Applicant offered Short Assured Tenancy under regulation 5 of The Homeless Persons (Provision of Non-Permanent Accommodation) (Scotland) Regulations 2010– Accommodation taken up | 18 |
| Applicant offered Short Assured Tenancy under regulation 5 of The Homeless Persons (Provision of Non-Permanent Accommodation) (Scotland) Regulations 2010 - Accommodation not taken up | 19 |

Should be answered if, and only if, the answer to question 21 is 2.
 If answer to question 17 is 1, then warning if answer is 5, 6, 8, 9 or 14-17
 If answer to question 17 is 2, then warning if answer is 7-9
 If answer to question 17 is 3, then warning if answer is 7-9 or 14-17
 If answer to question 17 is 4, then warning if answer is 9 or 14-17
 If answer to question 17 is 5, then warning if answer is 7 or 9
 If answer to question 17 is 6, then warning if answer is 7, 9 or 14-17
 If answer is 1, 12 or 14 then answer to question 23 must be 1 or 15.
 If answer is 3 then answer to question 23 must be 5.
 If answer is 18 then answer to question 23 must be 16.
 If the answer 10 then question 23a must be 1, 4 or 6.

The Homeless Persons Interim Accommodation (Scotland) Regulations 2002 were revoked by regulation 6 of the Homeless Persons (Provision of Non-Permanent Accommodation) (Scotland) Regulations 2010, prompting the change in definition for options 10 and 11, plus the addition of options 18 and 19.

Guidance

This question has been amended to record additional last actions which the local authority may take.

The Homeless Persons (Provision of Non-Permanent Accommodation) (Scotland) Regulations 2010 prescribe the circumstances in which local authorities can provide non-permanent accommodation to homeless applicants who otherwise would be entitled to permanent accommodation in terms of section 31 of the Housing (Scotland) Act 1987.

Regulations 4 and 5 set out two sets of prescribed circumstances. Regulation 4 is where a housing support services assessment has identified that an applicant for housing or a person living with the applicant requires housing support services which it is not appropriate to provide within permanent accommodation. Regulation 5 is where a short assured tenancy can be made available to the applicant, and various conditions in respect of the tenancy and the applicant are fulfilled.

Further information

Legislation

[The Homeless Persons \(Provision of Non-Permanent Accommodation\) \(Scotland\) Regulations 2010](#)

Guidance

<http://www.scotland.gov.uk/Topics/Built-Environment/Housing/homeless/access/Section32ARegulations>

23. Accommodation following final discharge of duty or case closure

Description

Accommodation occupied following the final discharge of duty or the closure of the case – this may have been arranged by the LA or by the applicant.

Format

Numeric, two digits maximum.

Validation

Mandatory after closure if contact was maintained until discharge of duty

| | |
|--|----|
| Returned to previous/present accommodation | 10 |
| | |
| <i>Moved to alternative accommodation</i> | |
| LA tenancy | 1 |
| RSL (Housing Association) tenancy | 15 |
| Private rented - assured tenancy | 5 |
| Private rented - short assured tenancy | 16 |
| Hostel - local authority | 6 |
| Hostel - RSL | 7 |
| Hostel - other | 8 |
| Women's refuge | 17 |
| Moved-in with friends/ relatives | 11 |
| Residential care / nursing home | 18 |
| Supported accommodation or Support Housing | 22 |
| Tenancy with voluntary organisation other than above | 12 |
| Sheltered Accommodation | 23 |
| Home Ownership - Low Cost Home Ownership | 19 |
| Home Ownership - Shared Ownership | 20 |
| Home Ownership - Bought own home via other means | 21 |
| Shared Property - LA | 24 |
| Shared Property – RSL (Housing Association) | 25 |
| Shared Property - Private Rented Sector | 26 |
| Lodger | 27 |
| Prison | 28 |
| Hospital | 29 |
| Other (known) | 13 |
| Not known | 14 |

Validations

Must be answered if the answer to question 21 is 2 (can be answered if the answer to question 21 is 1, but not necessarily expected).

Should be 1 or 15 if answer to question 22 is 1, 12 or 14.

Should be 5 if answer to question 22 is 3.

This question has been standardised for comparability with the PREVENT1 return.

The definition of shared property and lodger are the same as in question 14a (see pages 4 and 5).

23a. Assessment under Housing Support Regulations and whether support been provided?

Notes

This covers support provided either during this homelessness application or with the rehousing outcome in question 23, or both. The regulations referred to in the title are the Housing Support Services (Homelessness)(Scotland) Regulations 2012.

Format

Numeric, one digit.

Validation

Mandatory after closure (* [please see the guidance section](#)) .

| Response | Code |
|---|-------------|
| <i>Where a duty is owed under the regulations</i> | |
| [0] No assessment under Housing Support Services (Homelessness)(Scotland) Regulations 2012 - no support provided | 0 |
| [1] No assessment under Housing Support Services (Homelessness)(Scotland) Regulations 2012 - support provided | 1 |
| [2] Assessment carried out under Housing Support Services (Homelessness)(Scotland) Regulations 2012 - no support required | 2 |
| [3] Assessment carried out under Housing Support Services (Homelessness)(Scotland) Regulations 2012 - support required but not provided | 3 |
| [4] Assessment carried out under Housing Support Services (Homelessness)(Scotland) Regulations 2012 - Support provided | 4 |
| <i>Where no duty is owed under the regulations</i> | |
| No duty to assess under the Housing Support Services (Homelessness)(Scotland) Regulations 2012 – no support provided | 5 |
| No duty to assess under the Housing Support Services (Homelessness)(Scotland) Regulations 2012 – support provided | 6 |

Guidance

Guidance on the Housing Support Services (Homelessness)(Scotland) Regulations 2012 is available at:

<http://www.scotland.gov.uk/Publications/2013/06/3279>

When is a duty owed under the regulations?

The duty to assess the need for housing support is relevant to every applicant assessed by the local authority as unintentionally homeless or threatened with homelessness and who the local authority has reason to believe would benefit from housing support services as prescribed in regulations (see paragraph 12, Part 1 of [this Guidance](#)).

The responses to this question depends on whether or not a duty is owed, as shown in the table below.

| Guidance | Response | Code |
|--|---|------|
| <i>Where a duty is owed under the regulations</i> | | |
| <i>The household has been assessed as unintentionally homeless or unintentionally threatened with homelessness</i> <u>AND</u> <i>Reason to believe is in need of support</i> | [0] No assessment under Housing Support Services (Homelessness)(Scotland) Regulations 2012 - no support provided | 0 |
| | [1] No assessment under Housing Support Services (Homelessness)(Scotland) Regulations 2012 - support provided | 1 |
| | [2] Assessment carried out under Housing Support Services (Homelessness)(Scotland) Regulations 2012 - no support required | 2 |
| | [3] Assessment carried out under Housing Support Services (Homelessness)(Scotland) Regulations 2012 - support required but not provided | 3 |
| | [4] Assessment carried out under Housing Support Services (Homelessness)(Scotland) Regulations 2012 - Support provided | 4 |
| <i>Where no duty is owed under the regulations</i> | | |
| <i>In all other cases</i> | [5]No duty to assess under the Housing Support Services (Homelessness)(Scotland) Regulations 2012 – no support provided | 5 |
| | [6]No duty to assess under the Housing Support Services (Homelessness)(Scotland) Regulations 2012 – support provided | 6 |

Therefore, responses 0 to 4 may only be chosen if the assessment decision is unintentionally homeless or threatened with homelessness . i.e. (q17) is 1,2,4 or 5. However, the opposite isn't true. Not everyone assessed as unintentionally homeless

or threatened with homelessness is owed a duty under the support regulations – they have to pass the reason to believe test too.

Please note, the support provided in this question, refers to any type of support and not just the support referred to in the Housing Support Services (Homelessness) (Scotland) Regulations 2012. Question 23b gives more information about the type of support provided.

Examples on how to complete Q23a

1. An applicant is assessed as unintentionally homeless. The local authority has reason to believe they need housing support services, as set out in the regulations. An assessment is carried out and support is provided. **Option 4 is the correct response.**
2. An applicant is assessed as unintentionally homeless. The local authority has reason to believe they need housing support services, as set out in the regulations , but they do not carry out a support assessment - even though they have a legal duty to do so. **Option 0 is the correct response.**
3. An applicant is assessed as unintentionally homeless. The local authority does not have reason to believe they need housing support services, as set out in the regulations . They decide not to conduct an assessment of support under the support regulations – as there is no duty to do so. No support is provided. **Option 5 is the correct response.**
4. An applicant is assessed as unintentionally homeless. The local authority has reason to believe they need housing support services, as set out in the regulations. An assessment is carried out and support is offered. However, the applicant refuses the support. **Option 3 is the correct response.**
5. An applicant is assessed as neither homeless nor potentially homeless. There is no duty to carry out an assessment or offer support under the support regulations. **Option 5 is the correct response.**

Please note

Whilst this question is mandatory, in order to reduce burden on data providers we will auto-correct any information in cases where the applicant has not been assessed as either unintentionally homeless or unintentionally threatened with homelessness. These cases will be set to response 5 – no duty to assess and no support provided.

23b. If support were provided, what were the identified needs?

Description

If support were provided, the identified support needs.

4 variables: each records whether the type of support was relevant.

23b.1. Housing support

23b.2. Social or personal support

23b.3. Education or training

23b.4. Support for finding or maintaining employment

Format

Numeric, one digit each.

Responses for 23b.1(Housing Support) are as follows:

| Response | Code |
|--|------|
| No | 0 |
| Yes – Housing support which is outside the Housing Support Services (Homelessness) (Scotland) Regulations 2012 | 1 |
| Yes – Housing support included within the Housing Support Services (Homelessness) (Scotland) Regulations 2012 only | 2 |
| Yes – Housing support which includes both that covered by the regulations but includes additional forms of housing support too. | 3 |

Responses for 23b.2 to 23b.4 continue as:

No 0
Yes 1

Validation

If the answer to question 23a is 1,4 or 6 (i.e. some kind of support is provided with the re-housing outcome), then at least one of question 23b.1 to q23b.4 must have a non-zero response.

Question 23b.2 to 23b.4 are optional and may be answered if support were provided.

Guidance

Housing support which falls within the regulations are:

- a) advising or assisting a person with personal budgeting, debt counselling or in dealing with welfare benefit claims;
- b) assisting a person to engage with individuals, professionals or other bodies with an interest in that person's welfare;

- c) advising or assisting a person in understanding and managing their tenancy rights and responsibilities, including assisting a person in disputes about those rights and responsibilities; and
- d) advising or assisting a person in settling into a new tenancy.