

BIRMINGHAM CITY COUNCIL

CABINET

Tuesday, 22 March 2016

Item 20 – Other Urgent Business

**20A BCC ACTING AS THE ACCOUNTABLE BODY FOR THE WEST
MIDLANDS COMBINED AUTHORITY INVESTMENT AND
DEVELOPMENT FUNDS**

Report of the Strategic Director of Major Projects and Programmes.

20B SERVER RELOCATION – FULL BUSINESS CASE

Report of the Strategic Director – Change and Support Services.

**20C BCC ACTING AS THE ACCOUNTABLE BODY FOR THE LOCAL
GROWTH FUND AND GROWTH HUB IN 2016/17**

Report of the Strategic Director for Economy.

**20D BIG DATA CORRIDOR: A NEW BUSINESS ECONOMY – SUBMISSION
OF ESIF BID**

Report of the Strategic Director for Economy.

**20E MARKETING BIRMINGHAM PROVISION OF RELOCATION AND
SUPPORT SERVICES TO THE ENTERPRISE ZONE**

Report of the Strategic Director for Economy.

**20F SUSTAINABLE TRAVEL TRANSITION YEAR FUND 2016/17
CONSORTIUM BID SUBMISSION AS LEAD AUTHORITY AND
ACCOUNTABLE BODY**

Report of the Strategic Director for Economy.

**20G ESTABLISHING THE WAY FORWARD FOR ADVICE AND
INFORMATION SERVICES**

Report of the Acting Strategic Director of Place.

**20H REPLACEMENT SOCIAL CARE IT SYSTEM (CHILDREN'S AND
ADULTS') PROJECT DEFINITION DOCUMENT (PDD)**

Report of the Strategic Director for People.

- 20I** **RECONFIGURATION AND REFURBISHMENT OF CIVIC HOUSE, ERDINGTON FOR BIRMINGHAM ADULT EDUCATION SERVICE: FULL BUSINESS CASE ANF CONTRACT AWARD**
- Joint report of the Acting Strategic Director of Place and the Director of Property.
- 20J** **CONTRACT EXTENSIONS FOR PUBLIC HEALTH: EARLY YEARS REVIEW AND LIFESTYLES REVIEW**
- Report of the Director for Public Health.
- 20K** **URBAN INNOVATIVE ACTIONS BID**
- Joint report of the Acting Strategic Director of Place and the Head of European and International Affairs.
- 20L** **EQUAL PAY AND TUPE - SCHOOLS**
- Report of the Strategic Director for Finance and Legal Services.

Item 27 – Other Urgent Business (Exempt Information)

- 27A** **BCC ACTING AS THE ACCOUNTABLE BODY FOR THE WEST MIDLANDS COMBINED AUTHORITY INVESTMENT AND DEVELOPMENT FUNDS**
- Report of the Strategic Director of Major Projects and Programmes.
- (Exempt Paragraph 3)
- 27B** **SERVER RELOCATION – FULL BUSINESS CASE**
- Report of the Strategic Director – Change and Support Services.
- (Exempt Paragraph 3)
- 27C** **REPLACEMENT SOCIAL CARE IT SYSTEM (CHILDREN’S AND ADULTS’) PROJECT DEFINITION DOCUMENT (PDD)**
- Report of the Strategic Director for People.
- (Exempt Paragraph 3)
- 27D** **CONTRACT EXTENSIONS FOR PUBLIC HEALTH: EARLY YEARS REVIEW AND LIFESTYLES REVIEW**
- Report of the Director for Public Health.
- 27E** **EQUAL PAY AND TUPE - SCHOOLS**
- Report of the Strategic Director for Finance and Legal Services.
- (Exempt Paragraphs 3 and 4)

PUBLIC OR PRIVATE REPORT
(not for publication)

| | | |
|---|---|--|
| Report to | Cabinet | <i>Exempt information paragraph number – if private report:3</i> |
| Report of: Date of Decision: | 22 March 2016 | |
| SUBJECT: | BCC ACTING AS THE ACCOUNTABLE BODY FOR THE WEST MIDLANDS COMBINED AUTHORITY INVESTMENT AND DEVELOPMENT FUNDS | |
| Key Decision: Yes / No | Relevant Forward Plan Ref: not on forward plan | |
| If not in the Forward Plan: (please "X" box) | Chief Executive approved | <input checked="" type="checkbox"/> |
| | O&S Chairman approved | <input checked="" type="checkbox"/> |
| Relevant Cabinet Member(s): | Leader | |
| Relevant O&S Chairman: | Councillor Waseem Zaffar, Corporate Resources | |
| Wards affected: | All | |

LATE REPORT

*** To be completed for all late reports, ie. which cannot be despatched with the agenda papers ie. 5 clear working days notice before meeting.**

Reasons for Lateness

The requirement for early activity on this fund once the Combined Authority is created was identified by the 7 Constituent Local Authorities together with the possibility of BCC acting as accountable body role. These conclusions and approved recommendations from the CA Shadow Board were reached after the deadline for the March forward plan. External specialist legal advice was required on a number of factors within the report and this was received/discussed after the report deadline for publication.

Reasons for Urgency

The key decision must be taken because it is impracticable to defer the decisions for the following reason – the combined authorities wish to make early investments from their funds, the accountable body arrangement must be in place from April in order to meet the desired timescale. BCC will also put in place underwriting of the council's borrowing by the constituent authorities of the Combined Authority and will also identify the accounting treatment and capital policies required by the 7 Local Authorities. Each LA will then need to take their own approvals through their governance processes.

BIRMINGHAM CITY COUNCIL

PUBLIC REPORT

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| Report to: | CABINET | |
| Report of: | Strategic Director of Major Projects and Programmes | |
| Date of Decision: | 22nd March 2016 | |
| SUBJECT: | BCC ACTING AS THE ACCOUNTABLE BODY FOR THE WEST MIDLANDS COMBINED AUTHORITY INVESTMENT AND DEVELOPMENT FUNDS | |
| Key Decision: Yes | Relevant Forward Plan Ref: Not on forward plan | |
| If not in the Forward Plan: (please "X" box) | Chief Executive approved | <input checked="" type="checkbox"/> |
| | O&S Chairman approved | <input checked="" type="checkbox"/> |
| Relevant Cabinet Member(s) or Relevant Executive Member for Local Services: | Councillor John Clancy, Leader | |
| Relevant O&S Chairman: | Councillor Waseem Zaffar, Corporate Resources | |
| Wards affected: | All | |

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| 1. Purpose of report: |
| <p>1.1 To seek Cabinet authority to the City Council acting as Accountable Body, on behalf of the West Midlands metropolitan districts and subsequently the Combined Authority (WMCA), for the purposes of borrowing funds and operating a Collective Investment Fund (CIF) and a Land Remediation Fund (LRF) until the WMCA is able to borrow for these purposes in its own right.</p> <p>1.2 To notify Cabinet of the proposals for the WMCA to operate a CIF using £70m borrowed funds and to seek Cabinet approval to invest £10m in the CIF.</p> <p>1.3 To seek Cabinet approval to prudentially borrow up to £70m on behalf of the WMCA acknowledging that Birmingham City Council (BCC) will meet losses relating to one seventh of this (£10m) as part of BCC's membership of the WMCA and that the remaining 6 metropolitan authority members of the WMCA will underwrite losses relating to the remaining £60m.</p> <p>1.4 To notify Cabinet that WMCA Shadow Board is expected to approve BCC using its wholly owned company Finance Birmingham (FB) as fund managers for the CIF and the LRF, and for Cabinet to ratify this intention to operate a service level agreement between BCC and FB for this purpose.</p> <p>This report should be read in conjunction with the report on the private agenda, information within this document is not repeated in the private report.</p> |

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| 2. Decision(s) recommended: |
| That Cabinet:- |

- 2.1 Authorises the City Council to act as the Accountable Body, initially on behalf of the 7 Metropolitan Districts, and subsequently on behalf of the WMCA, for the purposes of borrowing funds for investment and development purposes until such time as the WMCA is able to borrow funds for non-transportation purposes in its own right.
- 2.2 Authorises the prudential borrowing of up to £70m on behalf of the WMCA.
- 2.3 Authorises BCC to agree to accept the risk of revenue account losses relating to one seventh of the total CIF investment.
- 2.4 Notes that each of the seven metropolitan authorities that will comprise the WMCA will underwrite one seventh of the City Council's revenue account losses arising from its role as accountable body for the CIF, and that BCC is one of these authorities.
- 2.5 Approves the appointment of Finance Birmingham as fund managers to the CIF and LRF, in accordance with the decision made by the Combined Authority Shadow Board on 11 March 2016 until the date at which the WMCA is legally constituted at which point the WMCA will contract directly for these services.
- 2.6 Approves a City Council contribution of £0.05m in 2016/17 towards the management costs of the CIF, funded from the Council's revenue budget for support to the Combined Authority
- 2.7 Delegates to the Strategic Director for Finance and Legal responsibility for the defrayal of funds in accordance with the recommendations of the WMCA CIF Investment Committee.
- 2.8 Authorises the City Solicitor to negotiate and enter into agreements necessary to give effect to the above recommendations.
- 2.9 Notes that the CIF financial instruments, including any associated costs, will transfer to the WMCA once sufficient borrowing powers and permissions exist.
- 2.10 Notes that a future report will be presented to Cabinet detailing any additional borrowing decisions required for the creation and operation of the LRF.

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| Lead Contact Officer(s): | Alison Jarrett Assistant Director Finance – Economy, Corporate Resources, Major Projects |
| Telephone No: E-mail address: | 0121 675 5431 alison.jarrett@birmingham.gov.uk |

3. Consultation

Consultation should include those that have an interest in the decisions recommended

3.1 Internal

- 3.1.1 The Leader and the Scrutiny Chair for Corporate Resources have been consulted on the report and are supportive of the proposal.

- 3.1.2 City Finance and Legal & Democratic Services have advised on the development of the fund and fund management arrangements.
- 3.1.3 Cabinet Members were informed of the contents of the Combined Authority bid and devolution deal, which contained the proposal for the creation of the CIF and LRF.
- 3.1.4 Full Council gave consent on 1st March 2016 to the presentation to Parliament of the statutory order that will create the WMCA.

3.2 External

- 3.2.1 The remaining WMCA constituent metropolitan authorities (Coventry, Dudley, Sandwell, Solihull, Walsall and Wolverhampton) have been consulted as part of the WMCA programme boards, leaders, chief executives and finance directors. All support BCC becoming the accountable body for the CIF and LRF subject to formal executive decisions.

4. **Compliance Issues:**

4.1 Are the recommended decisions consistent with the Council's policies, plans and strategies?

This proposal supports the Council Business Plan 2015+, including the key outcome 'A prosperous city' and key themes 'Infrastructure, development and Smart City' and 'Regional capital and reputation.'

4.2 Financial Implications (Will decisions be carried out within existing finance and Resources?)

- 4.2.1 A fund of £70m is proposed for investment in land and property opportunities across the West Midlands. This will be drawn down as required following each approved investment. The cost of borrowing over 5 years is currently 3% for 2016/17, rising to 3.5% and 3.75% in the following 2 years. This cost will be the first call on interest received from the investments. Any shortfall will be met equally by all CAs of the WMCA. The investments are expected to be capital in nature and may be loan or equity.
- 4.2.2 The MRP for loans will be set to zero and the loan repayments will provide for the prudent write-down of the debts. Where an equity investment is made this will be held as an asset on the balance sheet and valued annually. Provision for capital repayment will be based on the life of the loan. . In the case of equity investments, revenue MRP will be required over an appropriate period up to 20 years. Annual payments against these profiles will be taken from the interest received across the full portfolio, including where applicable, dividends from investments and interest on loan notes attached to capital investments. Any City Council revenue account losses arising from the CIF will be met equally by each of the CAs.

- 4.2.3 In the unlikely event that the CIF is not established, Finance Birmingham will be reimbursed for any costs that they have incurred on CIF related activity, this will be provided for within the legal agreement between the constituent members. FB will need to recruit additional resource to source, negotiate, transact and monitor CIF projects. The City Council's share of this is £50,000 to be funded from the budget for support to the Combined Authority.
- 4.2.4 Until the WMCA is legally constituted there will be an interim fund management agreement between BCC and its wholly owned company, FB. The value of this agreement is expected to be less than £0.1m. Once the WMCA is constituted a new company will be created as part of the FB group of companies to be wholly owned by the WMCA. In this way, the WMCA will be able to directly contract with its own fund managers for the provision of financial services.
- 4.2.8 Interest on investments would be set at a commercial rate which takes into account the nature and associated risks of the individual investments, this will be above the cost of borrowing to the CA, with the surplus being used to fund the cost of operating the CIF (the management fee) as well as creating a reserve that will be available to fund any bad debts or losses.
- 4.3 Legal Implications
- Legal agreements will be put in place between BCC and the other 6 WMCA Constituent Authorities (CA) to mitigate exposure to loss. Each CA will underwrite one seventh of any City Council revenue account losses as accountable body. The arrangements set out in this report are in compliance with the powers of general competence as set out in Section 1 of the Localism Act 2011.
- 4.4 Public Sector Equality Duty (see separate guidance note)
- The CIF and LRF will be used to invest in land and property development and/or remediation which supports equality of access to housing, jobs, services and skills development, as well as supporting economic growth. 4.4.2 An initial Equality Assessment has been completed (Appendix 3) and a full equality assessment is not required.

5. Relevant background/chronology of key events:

- 5.1 The seven metropolitan councils of the West Midlands conducted a Review of Strategic Governance in 2015 to assess whether the arrangements for economic development, regeneration and transport would benefit from improvements. The Review concluded that the establishment of a Combined Authority for the West Midlands would provide better support to business to further growth and to create jobs; and secure an improvement in the region's economic conditions. The Combined Authority would draw together strategic work across transport, economic development, employment and skills, improving outcomes and providing greater opportunity for the region. On 1st March Council consented to the Statutory Order for the creation of a Combined Authority to be placed before Parliament. Subject to the successful passage through Parliament, the Combined Authority's inaugural meeting will be held on 1 June.

- 5.2 In order to secure some quick wins for the WMCA and to get some of the planned funds working to its advantage as soon as possible, the WMCA Programme Board approved the immediate establishment of a Collective Investment Fund (CIF) and a Land Remediation Fund (LRF). Work undertaken to date indicates that there is a strong demand for the CIF in particular. Meeting this demand by providing the required investment early on, presents the WMCA with a great opportunity to clearly demonstrate the benefit of the region working together collectively in this way.
- 5.3 The CIF has been an identified priority and aspiration for the WMCA since the beginning of the process to establish the WMCA. The aim of the fund is to provide investment for commercial land and property developments, including housing where this is part of a mixed scheme, where those developments are viable but are unable to secure all of the required investment to get the development over the line.
- 5.4 The CIF is to be focussed on securing economic return across the West Midlands region, whilst ultimately operating at nil net cost to the WMCA at worst. In addition the CIF will operate as a revolving fund, for at least a 10 year period, with the initial capital being repaid in full at the time the CIF is wound up. The CIF will be marketed as the WMCA CIF.
- 5.5 In order to be able to set up and operate a CIF it is necessary to appoint a Fund Manager, and it is the intention of the WMCA Shadow Board to appoint FB. FB recently appointed commercial property expertise and progress has been made on a pipeline of projects for the CIF. Legal advisers have been appointed to ensure that the CIF and the appointment of FB are compliant with all relevant legislation, in particular procurement and state aid related.
- 5.6 It should be noted that ownership of the funds will be with the CA or accountable body as applicable and that funds will only be released when loans have been fully approved by Investment Committee and accountable body/WMCA and all necessary legal documentation and administration has been completed.
- 5.7 BCC will enter into a service level agreement or memorandum of understanding (as appropriate) with FB ahead of a formal contract being put in place between the WMCA and FB following the establishment of the WMCA. At this point the group company structure of FB, will be enhanced to provide a teckal compliant solution for the WMCA.
- 5.8 It has also been an identified priority and aspiration for the WMCA to establish a LRF to support bringing brownfield sites back into use for employment and housing provision. Work to develop this fund is currently underway and further reports will be presented to the WMCA Programme Board and subsequently to Cabinet should this fund creation require accountable body borrowing powers to be exercised.

- 5.9 It is intended that FB will be appointed as Fund Manager to the LRF. This will provide greater flexibility for the WMCA to maximise the impact of the utilisation of its funds, by giving FB the option of blending those funds to deliver a creative investment solution. The WMCA will fund the net cost of operating the LRF.

6. Evaluation of alternative option(s):

- 6.1 The WMCA waits until it is granted borrowing powers and sets up the funds at that time. This option is not recommended as these powers are not expected to invest in the WMCA until such time as a mayor is appointed, possibly May 2017. Many opportunities would be lost to the WMCA by delaying the introduction of these investment funds to that date.
- 6.2 Another local authority within the WMCA could be the Accountable Body. However, no other authority has BCC's experience of operating investment funds of this size using its own group company fund managers.

7. Reasons for Decision(s):

- 7.1 To enable the WMCA to launch its CIF and LRF at an early opportunity and to achieve significant economic growth benefits within the West Midlands.

Signatures

Date

Cabinet Member

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Chief Officer

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List of Background Documents used to compile this Report:

List of Appendices accompanying this Report (if any):

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|-----------------------|------------|--------------|------------------------|
| Report Version | 0.3 | Dated | 17th March 2016 |
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|---|---|---|
| Report to | Strategic Director Change and Support Services | <i>Exempt information paragraph number – if private report:</i> |
| Report of: Date of Decision: | 22nd March 2016 | |
| SUBJECT: | SERVER RELOCATION – FULL BUSINESS CASE | |
| Key Decision: Yes | Relevant Forward Plan Ref: 001338/2016 | |
| If not in the Forward Plan: (please "X" box) | Chief Executive approved <input type="checkbox"/> | O&S Chairman approved <input type="checkbox"/> |
| Relevant Cabinet Member(s): | Councillor Ian Ward, Deputy Leader | |
| Relevant O&S Chairman: | Councillor Waseem Zaffar, Corporate Resources | |
| Wards affected: | ALL | |

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| LATE REPORT |
| * To be completed for all late reports, ie. which cannot be despatched with the agenda papers ie. 5 clear working days notice before meeting. |
| <p>Reasons for Lateness This report was part signed before the deadline but unfortunately was not delivered to the Deputy Leader for final signature in time.</p> <p>Reasons for Urgency The next Cabinet meeting is not for another 4 weeks, which would delay the procurement process.</p> |

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| Report to: | CABINET |
| Report of: | Strategic Director, Change and Support Services |
| Date of Decision: | 22nd March 2016 |
| SUBJECT: | SERVER RELOCATION – FULL BUSINESS CASE |
| Key Decision: Yes | Relevant Forward Plan Ref: 001338/2016 |
| If not in the Forward Plan: (please "tick" box) | Chief Executive approved <input type="checkbox"/> O&S Chairman approved <input type="checkbox"/> |
| Relevant Cabinet Member: | Councillor Ian Ward, Deputy Leader |
| Relevant O&S Chairman: | Councillor Waseem Zaffar, Corporate Resources |
| Wards affected: | ALL |

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| 1. Purpose of report: |
| <p>1.1 To consider the proposal to invest in the relocation of part of the Council's server estate, from the Capita data centre in Laindon, to the new Capita data centre in Farnborough.</p> <p>1.2 To note that further commercial details are included in the accompanying Private report.</p> |

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| 2. Decisions Recommended: |
| <p>That the Cabinet:</p> <p>2.1 Notes the proposed investment in the relocation of part of the Council's server estate from the Capita data centre in Laindon to the Capita data centre in Farnborough.</p> |

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| Lead Contact Officer(s): | Nigel Kletz – Assistant Director of Procurement Services. |
| Telephone No: | 0121 303 6610 |
| E-mail address: | Nigel.kletz@ birmingham.gov.uk |

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| 3. Consultation |
| <p>3.1 Internal:</p> <p>Officers from City Finance, Legal and ICF have been involved in the preparation of this report.</p> <p>Consultation has taken place with the ICT Programme Board, chaired by the Deputy Leader. Following which a detailed review took place to understand the Technical and Financial benefits, which endorsed the proposal.</p> <p>3.2 External:</p> <p>External consultation has taken place with Service Birmingham who developed the business case.</p> |

4. Compliance Issues:

4.1 Are the recommended decisions consistent with the Council's policies, plans and strategies?

4.1.1 The Council's objectives and priorities as detailed in the Council Business Plan 2016+ will be supported by the changes to the Service Birmingham Ltd contract being designed to achieve better value for the Council.

4.1.2 Birmingham Business Charter for Social Responsibility (BBC4SR).

Service Birmingham Ltd is an accredited signatory to the Birmingham Business Charter for Social Responsibility and will be required to provide additional commitment proportionate to the value of the contract.

4.2 Financial Implications.

(Will decisions be carried out within existing Finances and Resources?)

The project will generate net savings of £0.513m over 5 years and will contribute to the saving outlined in the Service Birmingham Contract Negotiation report, approved by Cabinet on 30th June 2014. Further details are provided in the private report.

4.3 Legal Implications

4.3.1 The Council's IT facilitates the discharge of a raft of statutory functions.

4.3.2 Work will be carried out in accordance to the Joint Venture arrangements with Service Birmingham, therefore any procurement will be undertaken by Service Birmingham.

4.4 Public Sector Equality Duty

An equality assessment has been completed using the Council's Equality Risk Toolkit. There is no identified impact on groups with relevant protected characteristics.

5. Relevant background/chronology of key events:

5.1 As part of the fixed price contract, Service Birmingham procures managed hosting services for the Council's server estate using the Capita data centres in West Malling (Kent) and Laindon (Essex). These are comprised of 40 server racks, split evenly across both sites, providing a mixture of Production and Disaster Recovery services for the Council's applications.

5.2 Capita has invested in a new state of the art data centre in Farnborough and is planning to close Laindon and migrate all services to Farnborough in 2016, for which detailed planning has already been undertaken.

5.3 The new data centre at Farnborough will enable Capita to provide the same level of service at a much reduced rate, including consolidation of the 20 racks at Laindon, into 15 dedicated racks in the new data centre. As a result of this and other efficiency and cost savings through the new data centre, Service Birmingham has negotiated a potential revised hosting charge, with Capita, which delivers guaranteed net savings over 5 years of £0.513m after recovering the full cost of change. The reduced hosting

charge would commence following the migration.

- 5.4 The revised hosting contract will be for a period of 5 years commencing from the 1st November 2016 and will be novated to the Council on termination of the Service Birmingham contract. At this point, the Council may have the option to extend the contract at the charge given today for two further periods of 24 months.
- 5.5 The new hosting contract also offers financial flexibility for the Council. If the Council's ICT requirement reduces, then this new arrangement introduces variability of cost, predicated on the ability to decommission individual server racks.
- 5.6 This project will be implemented by Service Birmingham and jointly managed between the Council and Service Birmingham.
- 5.7 This proposal is based on a phased migration. Service Birmingham assessed the option of a big bang approach, however the level of risk and amount of downtime to BCC services was considered unacceptable.
- 5.8 A Service Birmingham project manager will be assigned to manage the activities of all delivery partners over a 7 month period.
- 5.9 The programme of work will be set up under the sponsorship of the Assistant Director of Procurement, with day to day Birmingham City Council management being provided from within the Intelligent Client Function, working with a Project Team provided by Service Birmingham, under the leadership of the Head of Infrastructure.
- 5.10 A Joint Steering Group will be formed and meet on a calendar monthly basis.
- 5.11 A post implementation review will be carried out by the Intelligent Client Function, Corporate Procurement Services, immediately after the implementation has been completed and presented to the Quality Assurance and Governance Team.

6. Evaluation of alternative option(s):

6.1 Option 1 - Do Nothing (non-migration)

There will be no impact to the current services; however by not migrating, BCC lose the ability to leverage the latest technology and the ability to achieve the cost savings offered.

6.2 Option 2 - Relocate to a Government Hosting Provision.

Migrate to an alternative, shared, central or local government hosting provision. I.e. The Crown Hosting Service (MoJ) or the government hosting provision.

The Council is currently mid-way through an exercise to redesign its ICT and Digital Services, Operating Model. On completion, this exercise will deliver an ICT&D strategy that will describe the future services and the associated delivery vehicle. This could impact requirements for the future hosting provision and potentially take a protracted period of time (2- 5 years) to transition to a new Operating Model. The costs to move and integrate the technology to a Government Hosting Provision, external to Capita, would currently be prohibitive due to additional connectivity and integration costs.

6.3 Option 3 - Relocate to an alternative Commercial Hosting Provision

Migrate to an alternative commercial hosting provision, with a preference given to one located in a close geographical location.

As previously described the council is currently mid-way through an exercise to redesign the ICT and Digital Services, Operating Model. On completion this exercise will deliver an ICT&D strategy that will describe the future services and the associated delivery vehicle, this will impact requirements for the future hosting provision.

A high level comparison exercise was completed to compare the 'Total Cost of Ownership' with the incumbent and other alternative commercial hosting provisions. It has been ascertained by Andy Fullard, BCC Interim Director of ICT, that for hosting on a like for like basis, the costs are comparable, however to move to an alternate commercial hosting provision there would be additional integration and development costs. This would make the move a more expensive and a higher risk option.

7. Reasons for Decision(s):

7.1 The proposal will achieve a saving to the City Council.

Signatures

Date

Councillor Ian Ward.
Deputy Leader

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Angela Probert.
Strategic Director, Change and
Support Services

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List of Background Documents used to compile this Report:

None

List of Appendices accompanying this Report (if any):

None

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| Report to | CABINET | |
| Report of: | Strategic Director of Economy | |
| Date of Decision: | 22 nd March 2016 | |
| SUBJECT: | BCC ACTING AS THE ACCOUNTABLE BODY FOR THE LOCAL GROWTH FUND AND GROWTH HUB IN 2016/17 | |
| Key Decision: Yes | Relevant Forward Plan Ref: 001345/2016 | |
| If not in the Forward Plan: X (please "X" box) | Chief Executive approved <input type="checkbox"/> | |
| | O&S Chairman approved <input type="checkbox"/> | |
| Relevant Cabinet Member(s): | Councillor Ian Ward, Deputy Leader | |
| Relevant O&S Chairman: | Councillor Waseem Zaffar, Corporate Resources | |
| Wards affected: | All | |

LATE REPORT

*** To be completed for all late reports, ie. which cannot be despatched with the agenda papers ie. 5 clear working days notice before meeting.**

Reasons for Lateness

Whilst every effort was made to circulate the report ahead of schedule, GBSLEP did not take receipt of Appendix 1 – Local Growth Fund (LGF) Grant Offer Letter until 4 March 2016. The Offer Letter is crucial to the substance of the report as it sets out the terms and conditions upon which the funding is offered.

As is the case with most LEPs, the offer letter noted that GBSLEP had been identified as having a number of small gaps in our assurance framework, and was asked to address them by 31 March 2016. The GBSLEP Executive has proposed a number of small amendments to address these gaps and will seek to codify them in its Growth Deal Accountability Framework through the meeting of the Growth Team on 18 March 2016.

As a number of amendments to the report were required, it was therefore not possible to secure all the necessary approvals ahead of the deadline for submission.

Reasons for Urgency

The next Cabinet meeting is on 19 April 2016. As noted in the LGF Grant Offer Letter, Government will defray the funds to GBSLEP no later than 15 April 2016. If agreement is not reached at Cabinet on 22 March, the necessary approvals will not be in place to accept the funding. In turn, this will cause reputational damage and may have a negative impact on programme delivery.

BIRMINGHAM CITY COUNCIL

PUBLIC REPORT

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| Report to: | CABINET | |
| Report of: | Strategic Director of Economy | |
| Date of Decision: | 22nd March 2016 | |
| SUBJECT: | BCC ACTING AS THE ACCOUNTABLE BODY FOR THE LOCAL GROWTH FUND AND GROWTH HUB IN 2016/17 | |
| Key Decision: Yes | Relevant Forward Plan Ref: 001345/2016 | |
| If not in the Forward Plan: (please "X" box) | Chief Executive approved <input type="checkbox"/> | |
| | O&S Chairman approved <input type="checkbox"/> | |
| Relevant Cabinet Member(s) or Relevant Executive Member for Local Services: | Councillor Ian Ward, Deputy Leader | |
| Relevant O&S Chairman: | Councillor Waseem Zaffar, Corporate Resources | |
| Wards affected: | All | |

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| 1. Purpose of report: |
| <p>1.1 To seek Cabinet approval to the City Council continuing in its role as Accountable Body, on behalf of the Greater Birmingham and Solihull Local Enterprise Partnership (GBSLEP), for the Local Growth Fund.</p> <p>1.2 To seek Cabinet approval to accept the Local Growth Fund capital allocation of £49,175,485 for 2016/17 as part of the 'Growth Deal' and 'Growth Deal Expansion' which runs from 2016/17 to 2020/21, as negotiated by the GBSLEP with Government.</p> <p>1.3 To seek Cabinet approval to accept the revenue allocation of £512,500 funding in 2016/17 to support the development and delivery of the GBSLEP Growth Hub, to be drawn down quarterly in advance.</p> <p>1.4 To seek Cabinet approval to delegate responsibility for the defrayal of funds to support the delivery of the GBSLEP's Strategic Economic Plan to the Strategic Director of Major Projects in accordance with the GBS LEP Accountability framework</p> |

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| 2. Decision(s) recommended: |
| <p>That Cabinet:-</p> <p>2.1 Approves the City Council continuing to act as the Accountable Body on behalf of the GBSLEP for funding received as part of the Growth Deal and Growth Deal Expansion, which will include receiving and administering capital funding in 2016/17 of £49.175m for the delivery of projects between 2016/17 and 2020/21;</p> <p>2.2 Approves the City Council acting as the Accountable Body on behalf of the GBSLEP for funding to continue to develop and deliver the Growth Hub, which will include receiving and administering revenue funding in 2016/17 of £512,500</p> <p>2.3 Notes the Grant Funding Agreements (Appendix 1) and authorises the Strategic Director of Major Projects, in conjunction with the Strategic Director of Finance & Legal Services and the City Solicitor, to review, negotiate and accept the funding subject to the terms and conditions being acceptable.</p> |

- 2.4 Authorises the City Solicitor to negotiate and enter into agreements necessary to give effect to the above recommendations.
- 2.5 Delegates to the Strategic Director of Major Projects responsibility for the defrayal of funds in accordance with the GBS LEP Accountability Framework.

| | |
|--|---|
| Lead Contact Officer(s): | Katie Trout LEP Director |
| Telephone No: E-mail address: | 0121 303 9867 Katie.trout@birmingham.gov.uk |

3. Consultation

Consultation should include those that have an interest in the decisions recommended

3.1 Internal

3.1.1 The Deputy Leader, the Cabinet Member for Commissioning, Contracting and Improvement and the Scrutiny Chair for Corporate Resources have been consulted on the report and are supportive of the proposal.

3.1.2 City Finance and Legal & Democratic Services have advised on the development of the management arrangements for the fund. The proposals contained in this report seek to continue with the arrangements which have previously been approved by Cabinet.

3.1.3 Cabinet Members were informed of the contents of the Strategic Economic Plan (SEP), which was used as the basis for negotiating the Growth Deal, and officers from across the City Council were involved in its detailed development.

3.1.4 Cabinet agreed for the City Council to act as the Accountable Body for the Growth Deal funding on 8th December 2014 and delegated authority for the defrayal of Local Growth Funding was awarded to the Strategic Director of Corporate

3.2 External

3.2.1 The Strategic Economic Plan (SEP) is based on the GBSLEP's Strategy for Growth which was developed following an extensive consultation exercise with partners across the LEP. This included engagement events for key stakeholders in March 2014 to share the LEP's thinking, and to test out whether the proposals reflected the area's ambitions and whether the right interventions to deliver the LEP's priorities have been captured.

3.2.2 Consultation with neighbouring LEPs was also undertaken to develop joint projects. GBSLEP has also signed a joint protocol with both Worcestershire and Stoke and Staffordshire LEPs, confirming a commitment to work together for increased economic growth and to minimise any complexities for business in the overlapping areas.

The GBSLEP Board agreed the final SEP at its meeting on 21st March 2014 with the document being endorsed by the GBS Supervisory Board on 28th March 2014.

3.2.3 Both the LEP and Supervisory Boards were involved extensively in the consultation around the Growth Deal. .

4. Compliance Issues:

4.1 Are the recommended decisions consistent with the Council's policies, plans and strategies?

This proposal supports the Council Business Plan 2015+, including the key outcome 'A prosperous city' and key themes 'Infrastructure, development and Smart City' and 'Regional capital and reputation.'

4.2 Financial Implications (Will decisions be carried out within existing finance and Resources?)

- 4.2.1 The Grant Offer Letter for the GBSLEP Growth Deal is attached as Appendix 1. It sets out that capital funding for 2016/17 (confirmed as being £49.175m) will be paid as a single instalment no later than 15th April 2016 via a Section 31 Grant, with further indicative funding instalments as per 5.3 paid annually in advance thereafter. It stipulates that the funding must be used to secure the outcomes specified in delivering the Growth Deal and subsequent Growth Deal Expansion as agreed between GBSLEP and Government on 7th July 2014 and 29th January 2015 respectively. It also states that the funding will be deployed solely in accordance with the decisions made through the locally agreed assurance framework agreed between GBSLEP and BCC in its Accountable Body role.
- 4.2.2 The letter also states that the grant paid may be used only for capital purposes in accordance with section 11 of the Local Government Act 2003.
- 4.2.3 As a Section 31 grant, there is no potential for clawback, however Government has made it clear that any future allocation of Local Growth Fund will be dependent on the delivery of this Growth Deal. Failure to adhere to the spending guidelines is likely to limit future funding.
- 4.2.4 As Accountable Body, BCC will be responsible for holding the funding received through the Growth Deal process and for ensuring that funding is discharged in accordance with Government requirements, financial regulations and the decisions of the GBSLEP. The funds will be accounted for separately to the funds of BCC. The Accountability Framework sets out in detail the role of the Accountable Body.
- 4.2.5 Responsibility for managing project delivery within Growth Deal conditions (e.g. completion within approved timescales, cost management and meeting specified outputs) will rest with those authorities who receive funding. Each project will provide detailed project resource plans at the individual business case approval stage and each host authority or developer will be liable for spend incurred in excess of GBSLEP approved Growth Fund grants. Grant award conditions to promoting authorities will specify their responsibilities. In addition, funds will be paid out retrospectively on the basis of certified invoices confirming that expenditure has been incurred.

- 4.2.6 The LGF was allocated to the LEP without any revenue funding to support the delivery of the Programme or to provide independent technical evaluation and wider project evaluation. The LEP has however, developed a good working relationship with the HCA (Homes and Communities Agency) and SFA (Skills Funding Agency) who are providing an independent technical evaluation for all the LGF projects on a pro-bono basis. Following discussions with BCC in its role as the Accountable Body, agreement is in place to capitalise a sum of up to £1.9m over a 5 year period to cover staffing costs for those directly employed to deliver the LGF capital programme, where that work results in the realisation of a capital asset.
- 4.2.7 In addition to the LGF grant detailed above, the Growth Hub will receive a revenue allocation of £512,500 in 2016/17 to be paid quarterly in advance under Section 11 of the Industrial Development Act. It stipulates that the funding must be used to secure the outcomes specified in delivering the Growth Hub as agreed between GBSLEP and Government. It also states that the funding will be deployed solely in accordance with the decisions made by the GBSLEP in its management arrangements for the Growth Hub.
- 4.2.8 The Department for Business, Innovation and Skills (BIS) has also confirmed in writing that a further £512,500 will be available in 2017/18
- 4.2.9 A recent audit by the National Audit Office and the Government Internal Audit Agency identified a number of gaps in the Accountability Framework which will need to be addressed by 31 March 2016, the GBSLEP [will review and address as appropriate](#).
- 4.3 Legal Implications
- 4.3.1 Legal agreements will be put in place between BCC and funding recipients to mitigate BCC's liability by setting out the terms and conditions for the use and application of LGF monies. This will include a requirement to repay monies if conditions are not met. The Growth Deal Accountability Framework has been developed to ensure that there are robust and transparent local systems in place to make sure that resources are spent with regularity, propriety and value for money. It also sets out the governance and approval arrangements, which includes a transparent process for allocating these resources. The Framework will also safeguard the position of the City Council in its Accountable Body role by requiring stringent risk management requirements, transparency of decision making and independent evaluation of the allocation of resources. The arrangements set out in this report are in compliance with the powers of general competence as set out in Section 1 of the Localism Act 2011.
- 4.4 Public Sector Equality Duty (see separate guidance note)
- 4.4.1 The funding received will be used to invest in infrastructure which supports equality of access to jobs, services and skills development, as well as supporting economic growth. Individual projects funded through the Growth Deal resources will be subject to separate equality impact evaluation.
- 4.4.2 Beneficiaries must comply with the Equality Act 2010 which will be passed down in any beneficiary funding agreements that are drawn up.
- 4.4.3 An initial Equality Assessment has been completed (Appendix 3) and a full equality assessment is not required.

5. Relevant background/chronology of key events:

- 5.1 On 31st March 2014, the GBSLEP, along with the other 38 LEPs, submitted its SEP to Government for approval. The SEP, which sets out the area's vision and priorities along with associated delivery plans for achievement, is based on the LEP's Strategy for Growth. This document defines the LEP's mission as being "to create jobs and grow the economy – and in doing so raise the quality of life for all of the LEP's population".
- 5.2 The SEP outlined 52 projects across the LEP area which sought Local Growth Fund (LGF) resources, and was used as a tool to negotiate a Growth Deal between GBSLEP and Government. The resulting Growth Deal, announced on 7th July 2014, was approved at £357m including capital funding of £335m to support 34 that had achieved programme entry level projects across Greater Birmingham and Solihull. Cabinet agreed to act as the Accountable Body on behalf of GBSLEP for these resources on 8th December 2014, when the Strategic Director of Corporate Resources and Director of Finance were authorised to put in place appropriate governance and financial management arrangements.. On 29th January 2015, GBSLEP agreed its Growth Deal Expansion with Government, which confirmed an additional £21.4m would be allocated to GBSLEP between 2016/17 and 2020/21 for a further 5 projects and 2 programmes. These funds include previously committed Regional Growth Fund, transport allocations and an increased borrowing allowance made available to BCC against its Housing Revenue Account. It should be noted that the programme includes five major transport schemes over which the Department for Transport retains ministerial control but which, BCC would be the accountable body following approval of the Full Business Case.
- 5.3 On 22nd January 2016, Government confirmed with the GBSLEP in writing (Appendix 4) the profile of spend over the period to 2020/21. The profile of spend, excluding the five major transport schemes detailed above, is as follows:

| Year | 2015-16 (£m) | 2016-17 (£m) | 2017-18 (£m) | 2018-19 (£m) | 2019-20 (£m) | 2020-21 (£m) | TOTAL (£m) |
|-------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|-----------------|---------------|
| Growth Deal + Expansion | 47.314 | 49.175 | 13.073 | 9.073 | 7.483 | 5.737 | 131.855 |

As the letter notes, funding profiles for the five major transport schemes will be agreed with the Department for Transport as part of the approvals process. Further reports to Cabinet will be required for the acceptance and defrayal of this funding, once the schemes have been fully approved.

- 5.4 Following full approval by GBSLEP, funding will be defrayed to scheme promoters where it is expected that all local governance and procurement arrangements are complied with.
- 5.4 As part of the announcement of the Growth Deal, GBSLEP was allocated £0.625m revenue grant in July 2014 to establish the Growth Hub – a model for joining up national, local, public and private business support and access to finance.
- 5.5 BIS confirmed on 2nd February 2016 that a further £1.025m will be allocated to GBSLEP to continue to develop and deliver the service offer. The funding will be available from 1st April 2016, and will be drawn down by GBSLEP quarterly in advance. Up to £0.513m will be available in 2016/17, with the balance of £0.513m being made available in 2017/18.

- 5.6 The funding will be used in accordance with a spend profile agreed with BIS, and includes allocations for salaries; the customer relationship management system; legal, procurement and HR costs; accommodation and IT; web portal and analytics; ESIF match funding; and development of the Hub.

6. Evaluation of alternative option(s):

- 6.1 It is not possible for the GBSLEP to be the Accountable Body as it does not have the necessary financial management history or legal status.
- 6.2 Another local authority within the LEP could be the Accountable Body, but given BCC's existing role as Accountable Body for GBSLEP funds, the LEP Board on 21st March 2014, endorsed by the Supervisory Board on 30th July 2014, has invited BCC to take on this responsibility. BCC Cabinet originally agreed to take on this role on 8th December 2014.

7. Reasons for Decision(s):

- 7.1 To enable BCC to make the necessary arrangements to become the Accountable Body for the GBS Growth Deal Expansion and to accept the funding for the GBSLEP Growth Hub, and to ensure the funding is defrayed and administered in accordance with the funding conditions and output requirements stipulated by Government.

Signatures

Date

Cabinet Member

.....

Chief Officer

.....

List of Background Documents used to compile this Report:

Birmingham City Council acting as the Accountable Body for funding received by the GBSLEP through the Growth Deal – 8th December 2014

List of Appendices accompanying this Report (if any):

1. Local Growth Fund Grant Offer Letter 2016/17
2. Growth Hub Grant Offer Letter 2016/17
3. Equalities Impact Assessment
4. Local Growth Fund profile to 2020/21

PROTOCOL PUBLIC SECTOR EQUALITY DUTY

- 1 The public sector equality duty drives the need for equality assessments (Initial and Full). An initial assessment should, be prepared from the outset based upon available knowledge and information.
- 2 If there is no adverse impact then that fact should be stated within the Report at section 4.4 and the initial assessment document appended to the Report duly signed and dated. A summary of the statutory duty is annexed to this Protocol and should be referred to in the standard section (4.4) of executive reports for decision and then attached in an appendix; the term 'adverse impact' refers to any decision-making by the Council which can be judged as likely to be contrary in whole or in part to the equality duty.
- 3 A full assessment should be prepared where necessary and consultation should then take place.
- 4 Consultation should address any possible adverse impact upon service users, providers and those within the scope of the report; questions need to assist to identify adverse impact which might be contrary to the equality duty and engage all such persons in a dialogue which might identify ways in which any adverse impact might be avoided or, if avoidance is not possible, reduced.
- 5 Responses to the consultation should be analysed in order to identify:
 - (a) whether there is adverse impact upon persons within the protected categories
 - (b) what is the nature of this adverse impact
 - (c) whether the adverse impact can be avoided and at what cost – and if not –
 - (d) what mitigating actions can be taken and at what cost
- 6 The impact assessment carried out at the outset will need to be amended to have due regard to the matters in (4) above.
- 7 Where there is adverse impact the final Report should contain:
 - a summary of the adverse impact and any possible mitigating actions (in section 4.4 or an appendix if necessary)
 - the full equality impact assessment (as an appendix)
 - the equality duty – see page 9 (as an appendix).

Equality Act 2010

The Executive must have due regard to the public sector equality duty when considering Council reports for decision.

The public sector equality duty is as follows:

| | |
|---|---|
| 1 | <p>The Council must, in the exercise of its functions, have due regard to the need to:</p> <ul style="list-style-type: none"> (a) eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by the Equality Act; (b) advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it; (c) foster good relations between persons who share a relevant protected characteristic and persons who do not share it. |
| 2 | <p>Having due regard to the need to advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it involves having due regard, in particular, to the need to:</p> <ul style="list-style-type: none"> (a) remove or minimise disadvantages suffered by persons who share a relevant protected characteristic that are connected to that characteristic; (b) take steps to meet the needs of persons who share a relevant protected characteristic that are different from the needs of persons who do not share it; (c) encourage persons who share a relevant protected characteristic to participate in public life or in any other activity in which participation by such persons is disproportionately low. |
| 3 | <p>The steps involved in meeting the needs of disabled persons that are different from the needs of persons who are not disabled include, in particular, steps to take account of disabled persons' disabilities.</p> |
| 4 | <p>Having due regard to the need to foster good relations between persons who share a relevant protected characteristic and persons who do not share it involves having due regard, in particular, to the need to:</p> <ul style="list-style-type: none"> (a) tackle prejudice, and (b) promote understanding. |
| 5 | <p>The relevant protected characteristics are:</p> <ul style="list-style-type: none"> (a) age (b) disability (c) gender reassignment (d) pregnancy and maternity (e) race (f) religion or belief (g) sex (h) sexual orientation |



Cities & Local Growth Unit

Cities and Local Growth Unit
1st Floor, Fry Building,
2 Marsham Street,
London,
SW1P 4DP

4 March 2016

Katie Trout
Greater Birmingham & Solihull LEP
Baskerville House
Centenary Square
Birmingham
B1 2ND

By email: katie.trout@birmingham.gov.uk

Dear Katie,

Local Growth Fund 2016/17 payment

I am writing to confirm the arrangements for Local Growth Fund (LGF) grant payments to be made in 2016/17 by the Department for Communities and Local Government ('DCLG') to Birmingham City Council ('the Council') as the accountable body for Greater Birmingham & Solihull LEP.

The Council will receive a LGF capital grant payment of **£49,175,485 no later than 15 April 2016**. This letter confirms that, following the successful conclusion of the annual conversation process, the LEP will receive its previously indicative allocation for 2016/17 in full. Payments will be made under section 31 of the Local Government Act 2003.

Indicative funding profiles for 2017/18 and beyond remain as set out in my letter dated 24 March 2015.

The Annual Conversation

Thank you for your participation in the annual conversation which took place in December last year. This is an important process for assuring all concerned that Growth Deal delivery is progressing well and that the LGF is securing value for money. I hope you found it useful and constructive. It was designed to be a two way conversation, and we certainly gathered useful feedback through each of the meetings.

This Spring we will be reviewing how these first annual conversations have gone so that we can make improvements ahead of the next round. Please send any feedback you would like to be considered to your Relationship Manager, or alternatively to Douglas Leckie on douglas.leckie@bis.gsi.gov.uk.

We have been satisfied as a result of your annual conversation that you are making good progress with delivering your Growth Deal. At the same time I must remind you that future allocations will remain subject to the outcome of future annual conversations, which will focus on progress with Growth Deal delivery over the duration of the programme.

Local Growth Funding paid by the Department for Transport

Please note that this grant does not cover the funding for any Tail or Portfolio transport schemes. Grant arrangements for those schemes are dealt with directly by the Department for Transport.

Funding Requirements

We expect that all funding paid pursuant to the Growth Deal, irrespective of whether paid by DCLG or DfT, will fulfil the following requirements:

1. It will be used to support the Growth Deal agreed between the Government and the LEP and will be used to secure the outcomes set out in the Growth Deal.
2. It will be deployed solely in accordance with decisions made through the local assurance framework agreed between the LEP and the accountable body. This must be compliant with the standards outlined in the national LEP assurance framework. Your LEP was identified in the recent audits by the National Audit Office and the Government Internal Audit Agency as having a number of gaps in your assurance framework which we ask you to address by 31 March ahead of further funding being paid. See Annex 1 for further details.
3. That you will track progress against agreed core metrics and outcomes, in line with the national monitoring and evaluation framework.

Councils and Combined Authorities are reminded that, as accountable bodies for their LEPs, they are responsible for ensuring that expenditure is spent in accordance with all applicable legal requirements. This includes, for example, state aid and public procurement law. Councils and Combined Authorities are reminded that any development decisions for specific proposals must go through the normal planning process and be guided by local plans, taking into account all material considerations. Councils and Combined Authorities will be subject to their normal internal and external audit controls.

The LEP and accountable body are also reminded of their responsibilities under the Public Sector Equality Duty as set out in Section 149 of the Equality Act 2010 and should have regard to these requirements when apportioning LGF funding.

Finally, as set out in your Growth Deal, we expect that the LEP and accountable body will comply with the publicity requirements (including branding guidelines) for Growth Deals. The LEP should also continue to discuss publicity opportunities for Growth Deal projects with their relationship manager and through the LEP Communications Leads Group.

Growth Hubs Funding

In addition to the LGF grant detailed above, your LEP will also receive an allocation for your Growth Hub of £1,025,000 payable over the next two years (£512,500 in 2016-17 and £512,500 in 2017-18). As now, it will be managed via local authority accountable bodies (in line with Growth Deal process) under Section 11 of the Industrial Development Act, payable quarterly in advance. Funding will be subject to the terms and conditions of the grant determination. This will be issued by the Department for Business, Innovation and Skills, with the first quarterly payment issuing in April 2016.

Areas with devolution deals

In the coming days Simon Ridley (Director General, Decentralisation and Growth) will write to places that have agreed Single Pots as part of devolution deals with further details about these arrangements.

I am copying this letter to the Section 151 officer for your accountable body and to your Relationship Manager.

Yours,

A handwritten signature in blue ink, appearing to read 'Tom Walker', with a stylized flourish at the end.

Tom Walker
Director, Cities and Local Growth Unit

AUDIT FINDINGS – COMPLIANCE WITH NATIONAL ASSURANCE FRAMEWORK

Greater Birmingham and Solihull

Following the recent audits of LEPs led by the National Audit Office (NAO) and Government Internal Audit Agency (GIAA), and some work conducted by DfT, the following gaps in your LEP's assurance framework were highlighted to us. We ask that you address these as soon as possible (or highlight where you disagree), and certainly before further funding is paid in April. Your Relationship Manager will be in touch to discuss this in more detail.

In due course I will send you a further letter summarising the principal findings of the NAO's and the GIAA's reviews, as well as the DfT work, which contain important wider lessons for both central government and LEPs on which we will need to continue to work together. In that letter, I will remind all LEPs of the need to review assurance frameworks annually, in line with our national guidelines. I will also ask that the Section 151 officer of your accountable body write to me to confirm that the gaps highlighted below have been addressed (or where you disagree with the auditors' assessment and why), and to confirm that your assurance framework has been reviewed to ensure that it is up to date.

| | Requirement | Compliant? |
|----|---|------------|
| | Governance and Decision Making | |
| 1. | • Description of the LEP Board Membership | ✓ |
| 2. | • Clear description of roles and responsibilities | ✓ |
| 3. | • Clear description of the relationship between the LEP board and underpinning LA arrangement | ✗ |
| | Transparency | |
| 4. | • LEPs should have a conflicts of interest policy | ✓ |
| | Accountable Decision Making | |
| 5. | • Set out the circumstances in which the accountable LA would not comply with a LEP decision and the process for resolving that | ✗ |
| 6. | • Confirm accountable body arrangements for the LGF & other funding sources received from Govt | ✓ |
| 7. | • Confirm that use of resources are subject to the usual LA checks and balances | ✓ |
| 8. | • To ensure transparency that annual accounts are published. To ensure that there are arrangements for local audit of funding allocated by LEPs at least equivalent to those in place for local authority spend | ✓ |

| | Requirement | Compliant? |
|-----|--|------------|
| 9. | <ul style="list-style-type: none"> Confirm the responsibilities of the accountable local authority: <ul style="list-style-type: none"> ensuring decisions and activities of the LEP conform with legal requirements with regard to equalities, social value, environment, State Aid, procurement, etc ensuring that the funds are used appropriately ensuring that the local LEP assurance framework is adhered to maintaining the official record of LEP proceedings and holding copies of all relevant LEP documents relating to LGF funding responsibility for the decisions of the LEP in approving projects | ✓ |
| 10. | <ul style="list-style-type: none"> Confirm the LEP and accountable LA have agreed timescales and operating practices to support effective implementation of decisions | ✓ |
| | Value for Money | |
| 11. | <ul style="list-style-type: none"> Evidential basis on which the need for the intervention is based & how the LEP will ensure rigour Methodology used to assess the overall vfm of the LEPs programme | Partial* |

* Your assurance framework does not explicitly meet all DfT's requirements for the appraisal and value for money scrutiny of transport schemes.

APPENDIX 1

Big Data Corridor – A New Business Economy
Funding Call - ERDF Priority Axis 1 promoting Research and Innovation

| | |
|------------------------------------|---|
| Name of Project | Big Data Corridor – A New Business Economy |
| Funding | ERDF Priority Axis 1 – Promoting Research and Innovation |
| Gross Value | £2.568m (Capital £0.475m, Revenue £2.093m) |
| ESIF Grant | £1.284m (Capital £0.237m, Revenue £1.047m) |
| Total Match funding required | £1.284m |
| BCC Contribution | £0.222m Revenue & £0.225m Capital |
| External match required and source | £0.837m (A range of public & private partners) |
| Timescales | July 2016 – June 2019 |
| Outputs | <ul style="list-style-type: none">• 135 enterprises receiving support• 135 enterprises receiving non-financial support• 20 new enterprises supported• 62 employment increase in supported enterprises• 35 enterprises co-operating with research institutions• 35 enterprises supported to introduce new to the market products• 35 enterprises supported to introduce new to the firm products |
| Delivery team | Birmingham City Council - Digital Birmingham |
| Other partners | Delivery partners: Aston University; Innovation Birmingham Ltd; Telensa; Birmingham City University, Centro, Npower, Growth Hub (Chamber of Commerce) |
| Comments | Specialist technical, infrastructure and business support not currently available. Match funding and capital investment will enable exploitation of data economy to mobilise and catalyse business transformation |



Department
for Business
Innovation & Skills

2 St Paul's Place,
125b Norfolk Street,
Sheffield S1 2FJ

T +44 (0) 20 7215 1419
E www.bis.gov.uk/contact
www.bis.gov.uk

To:

Jon Warlow, Section 151 Officer

Director of Finance
Birmingham City Council
10 Woodcock Street
Birmingham
B7 4BG

29 February 2016

Dear Jon Warlow

GROWTH HUB FUNDING TO LOCAL ENTERPRISE PARTNERSHIPS IN 2016-17

Greater Birmingham & Solihull LEP

1. I am pleased to inform you that, subject to the terms and conditions of this Grant Offer Letter, the Secretary of State for Business, Innovation and Skills ("BIS") is prepared to pay Birmingham City Council (the "Accountable Body") £512,500 (five hundred and twelve thousand and five hundred pounds) in accordance with the proposal contained at Schedule 3 for the period from 1 April 2016 to 31 March 2017 under Section 11 of the Industrial Development Act 1982.
2. The Grant is specifically for the giving of advice to business by Greater Birmingham & Solihull LEP ("the LEP") by supporting the further development of growth hubs, aligned to Government's objective to simplify access to support for businesses ("the Project"). The Project approach and deliverables are set out in accordance with the detailed proposal submitted to the Department for Business, Innovation and Skills ("the Department") contained in Schedule 3.

Conditions of the Offer

3. This offer is conditional on BIS receiving by 11.59 pm on 14 March 2016 the Grant offer acceptance (attached at annex A) duly signed by the Accountable Bodies authorised signatory, and where legally required, state aid clearance from the European Commission. If this condition is not met, the grant offer will lapse automatically.

Financial

4. The Grant will be for up to 100% of the net eligible costs up to £512,500 (as defined and detailed in Schedule 1) incurred and defrayed on or after 1 April 2016 and will be payable quarterly in advance on submission by the Accountable Body of a statement of monies to be expended (as defined in Schedule 1) by the Accountable Body on the Project in the next quarter. Any overpayment of the Grant, whether disclosed by a report or otherwise, must be refunded forthwith to BIS on its first demand or upon the Accountable Body becoming aware that Grant has been overpaid, whichever first occurs.
5. Unless BIS otherwise agrees, claims for payment of the Grant must be submitted on a quarterly basis commencing from the Project start date and returned to BIS by no later than 25 March 2016 (Quarter 1); 24 June 2016 (Quarter 2); 30 September 2016 (Quarter 3) and 6 January 2017

(Quarter 4) to allow advance payments to be released promptly. Claims in Quarter 3 must also be supported by copies of four sample invoices for expenditure incurred in the previous six months as validation of spend on the project as set out in Schedule 3 (from Quarter 3). BIS reserves the right to request further supporting documentation and exercise this request as deemed appropriate, with evidence of spend for review being identified by BIS.

6. In addition the following documentation must be provided to BIS by 14 October 2016 and 14 April 2017 which reflects the move from quarterly to bi-annual progress monitoring:
 - (i) A report on the Project covering:
 - (a) Progress made against the project deliverables as set out in the Schedule 3, including evidence of net expenditure for the purpose of delivering this project using the template provided by BIS.
 - (b) If applicable, any change in the nature or scale of the Project including an assessment of any change in the prospects of technical success.
 - (c) If applicable, any change in the ownership of or beneficial interest in any asset provided for the Project.
7. In addition, confirmation is required that in the course of the Project, the Accountable Body has expended the sums in respect of which claims are made. For this purpose a report from an independent accountant must follow the final claim for the Grant. The accountant's report, unless in exceptional circumstances, must be submitted in Schedule 2 format and must be made by an independent accountant who is qualified under the terms of Section 1211 of the Companies Acts 2006 for appointment as auditor of the Accountable Body. Alternatively, an accountant from a Local Authority within the LEP area is also permissible, as long as assurance is provided to BIS that the accountant is professionally qualified and that they provide a written statement declaring their independence. For this purpose the report must be submitted to BIS by no later than the 26th May 2017.
8. BIS may also require a report relating to the Grant, from an independent accountant to be submitted in exceptional circumstances including:-
 - (i) Termination of the Project;
 - (ii) A claim disclosing expenditure substantially greater than was anticipated for the period in question;
 - (iii) A claim being made which covers an unusually long period or relates mainly to monies expended in a previous financial year;
 - (iv) A change in the accounting reference date or accounting practice of the Accountable Body.
9. BIS shall be under no obligation to make any payment on claims for the Grant received after 31 January 2017 and there will be a general presumption against paying claims for the Grant received after this date, unless BIS has previously agreed in writing to an extension.
10. Once a fully documented claim has been received, the relevant part of the Grant will normally be posted, or the claim rejected, within 30 days, unless it is necessary for BIS to seek further information to support the claim.

Changes affecting the Project

11. BIS may vary or withhold any or all of the payments and/ or require repayment of Grant already paid to the Accountable Body together with interest from the date of payment, if BIS is required to so as a result of a decision by the European Commission or as a result of any obligation arising under EU law and if in its absolute discretion there may be occasions where BIS considers that the payment of the Grant should cease or that any part of the Grant already paid should be reclaimed. BIS shall be under no obligation to pay the Grant, already paid may become repayable, in whole or in part, if in the absolute discretion of BIS:

- (i) it considers that the future of the Project is in jeopardy;
 - (ii) it considers that progress towards completion of the Project is unsatisfactory or if the part of the Project funded by the Grant is not completed by 31 March 2017 or, BIS considers there is no longer any reasonable prospect of the part of the Project funded by the Grant being completed by that date;
 - (iii) there is a change in the nature or scale of the Project which BIS considers is substantial;
 - (iv) an asset, the cost of which has been included in the net eligible costs, is not used for the purpose of the Project or otherwise not in accordance with the detailed proposal submitted to the Department contained in Schedule 3;
 - (v) the Accountable Body does not comply with or observe any condition of this Grant Offer Letter;
 - (vi) within the period commencing on the date specified in paragraph 3 and ending 5 years after the date on which the final payment of grant is made, the LEP becomes the subject of a proposal for a voluntary arrangement or has a petition for Administration Order or a petition for a winding-up Order brought against it or passes a resolution for a winding-up or makes any composition, arrangement, conveyance or assignment for the benefit of its creditors, or purports to do so, or if a receiver or any other person is appointed in respect of its undertaking or of all or any of its property or if the LEP does or suffers anything substantially equivalent to any of the foregoing.
12. The Accountable Body shall inform BIS promptly in writing of any cessation of work on the Project and of any event or circumstance likely to affect significantly the satisfactory completion of the Project.
13. The Accountable Body shall also inform BIS promptly in writing if any of the events referred to in paragraph 10 takes place.

General

14. In relation to the Grant, BIS and its representatives and advisers shall have the right to inspect the Project at any time and from time to time and to require such further information to be supplied as it or they see fit. Such further information may include but is not limited to information concerning the financial position of the Accountable Body. In addition BIS and its representatives and advisers shall have the right to call meetings with the Accountable Body if necessary.
15. BIS shall be entitled to withhold payment and/or claim repayment of the Grant under this letter to the extent of the amount of any grant or other payment which has been received, or is, in the opinion of BIS, likely to be received, from any public authority and which BIS considers is payable towards the Project. For the purposes of this paragraph "public authority" includes any of the European Communities or their Institutions, any government department, research council, local authority, or body wholly or partly supported by public funds or charitable contributions. The terms of this paragraph do not apply to grant or other payment whose availability has been disclosed by the Accountable Body to BIS before the date of this letter and which has been taken into account in making this offer.
16. Notwithstanding the provision of paragraph 14, BIS may:
- (i) withhold payment of the Grant and/or reclaim any part of the Grant paid to the extent necessary to ensure that any assistance given under this offer letter taken together with

any other assistance which, in the opinion of BIS, has been or is likely to be received towards the Project is within the aid limits laid down by the European Communities;

- (ii) withhold or reclaim part of the Grant if required to do so by a decision of the Commission of the European Communities;

- 17. No amendment to the terms of this Grant Offer Letter will be effective unless and until agreed in writing by BIS.
- 18. Nothing in this Grant Offer Letter and the Schedules to it shall prevent BIS from disclosing any information whether or not relating to the Project which BIS in our absolute discretion consider that we are required to disclose in order to comply with the Freedom of Information Act 2000 or any other statutory requirements.
- 19. BIS normally publishes the amount of grant offered with the name of the Accountable Body concerned and a brief description of the project. By accepting this offer, you are indicating your agreement to BIS publishing the offer of the Grant.
- 20. We may be obliged to give the European Commission information on this offer. You may be required to co-operate with BIS in the provision of such information.
- 21. The use of grant funding by the Accountable Body for beneficiaries must comply with Articles 107 and 108 of the Treaty on the Functioning of the European Union. The Accountable Body must ensure that if an exemption is relied upon, the relevant requirements of the exemption are met, and that the use of the exemption is properly recorded and documented.

Acceptance of Offer

- 22. Acceptance of this offer constitutes agreement in full to the terms and conditions set out in this Grant Offer Letter. This Grant Offer Letter and the schedules to it constitute the entire agreement and the understanding between BIS and the Accountable Body with respect to all matters which are referred to and shall supersede any previous arrangement(s) between the Accountable Body and BIS in relation to the matters referred to in this Grant Offer Letter.
- 23. The offer should be accepted by the Section 151 Officer of the local authority or their authorised representative signing the grant offer acceptance at annex A on behalf of the LEP and returning it to the BIS official named in paragraph 25 below.
- 24. This offer letter shall be governed by and construed in accordance with the law of England and Wales, and the parties irrevocably submit to the jurisdiction of English and Welsh courts, and your address for the service of any notice is Birmingham City Council, 10 Woodcock Street, Birmingham, B7 4BG.
- 25. If this offer is accepted, the Project will be monitored on behalf of BIS by the following official or other nominated individual.

Karen Leigh
Assistant Director, Growth Hub Policy and Implementation
Enterprise Directorate
Department for Business, Innovation and Skills
2 St Paul's Place, 125b Norfolk Street,
Sheffield S1 2FJ

Email: Karen.Leigh@bis.gsi.gov.uk Tel: 020 7215 1414 Mobile: 07768 270 815

Yours sincerely

A handwritten signature in black ink, appearing to be 'Mark Sayers', written in a cursive style.

Mark Sayers
Deputy Director, Enterprise
on behalf of the Department for Business Innovation and Skills

GROWTH HUB FUNDING 2016-17 GRANT OFFER ACCEPTANCE

Birmingham City Council, as the accountable body on behalf of the Greater Birmingham & Solihull LEP, accepts the terms as set out in the Grant Offer Letter and Schedules dated 29 February 2016.

Signed:

Name:

Position:

Date:

Schedule 1

1. The provisions of this Schedule are subject to the terms and conditions of the offer letter and apply to the Grant.
2. The Grant will be for up to 100% of the net eligible costs in respect of which monies have been expended (as defined in paragraph 4 below) by the Accountable Body on the Project between 1 April 2016 and 31 March 2017, the estimated costs of which are set out below:-

| Period | Deliverable | Estimated Amounts |
|---|--|--|
| Quarter 1 April – June 2016 | 1. Salaries 2. CRM 3. Web Portal & Analytics 4. Marketing, Events, rooms, PR 5. Legal, Procurement, HR 6. Accommodation & IT 7. Expenses, Printing, Training 8. Research & Evaluation 9. Hub Development Fund 10. ESIF Match Funding (core GH services via open call) | 1. £30,100 2. £0 3. £0 4. £0 5. £1,500 6. £2,200 7. £1,500 8. £0 9. £48,700 10. £0 |
| TOTAL ESTIMATED AMOUNT FOR QUARTER 1 | | £84,000 |
| Quarter 2 July – September 2016 | 1. Salaries 2. CRM 3. Web Portal & Analytics 4. Marketing, Events, Rooms, PR 5. Legal, Procurement, HR 6. Accommodation & IT 7. Expenses, Printing, Training 8. Research & Evaluation 9. Hub Development Fund 10. ESIF Match Funding (core GH services via open call) | 1. £30,100 2. £5,000 3. £0 4. £0 5. £1,500 6. £2,200 7. £1,500 8. £0 9. £50,000 10. £0 |
| TOTAL ESTIMATED AMOUNT FOR QUARTER 2 | | £90,300 |
| Quarter 3 October – December 2016 | 1. Salaries 2. CRM 3. Web Portal & Analytics 4. Marketing, Events, Rooms, PR 5. Legal, Procurement, HR 6. Accommodation & IT 7. Expenses, Printing, Training 8. Research & Evaluation 9. Hub Development Fund 10. ESIF Match Funding (core GH services via open call) | 1. £30,100 2. £0 3. £12,800 4. £15,000 5. £1,500 6. £2,200 7. £1,500 8. £0 9. £50,000 10. £51,000 |
| TOTAL AMOUNT FOR QUARTER 3 | | £164,100 |
| Quarter 4 January – March 2017 | 1. Salaries 2. CRM 3. Web Portal & Analytics 4. Marketing, Events, Rooms, PR 5. Legal, Procurement, HR 6. Accommodation & IT 7. Expenses, Printing, Training 8. Research & Evaluation 9. Hub Development Fund 10. ESIF Match Funding (core GH services via open call) | 1. £30,100 2. £5,000 3. £12,800 4. £15,000 5. £1,500 6. £2,200 7. £1,500 8. £5,000 9. £50,000 10. £51,000 |
| TOTAL AMOUNT FOR QUARTER 4 | | £174,100 |
| TOTAL AMOUNT FOR 2016-17 PROGRAMME | | £512,500 |

3. The grant to be paid will be reduced by the amount of any receivable goods or buildings the costs of which are properly included in the net eligible costs.
4. The net eligible costs shall be the costs which are properly attributable exclusively to the Project excluding and deducting (as may be appropriate) from the amount of such costs:-
 - (a) Output Value Added Tax
 - (b) Any other grant from any public authority (as defined in paragraph 13 of this Grant Offer Letter) received or receivable in respect of the Project;
 - (c) Interest, service charges and interest arising from hire purchase, leasing and credit arrangements;
 - (d) Any addition for profit by the Accountable Body and profit earned by any company in the Accountable Bodies group as a result of work relevant to the Project undertaken or sub-contracted to such company by the Accountable Body. For the purposes of this sub-paragraph "group" means any holding company of the Accountable Body and any subsidiary of such holding company or of the Accountable Body, and "holding company" and "subsidiary" have the respective meanings assigned to them in Section 1162 of the Companies Act 2006.

Schedule 2

[To be completed on headed paper of the independent accountant at the end of the Project]

[Insert Date]

1. I/We have examined the enclosed claim submitted by [insert name of Accountable Body] (the Accountable Body) on behalf of [insert name of LEP] (the LEP). I/We have examined the records of the Accountable Body as necessary and obtained such explanations and carried out such tests as I/we consider necessary.
2. I/We report that in my/our opinion, subject to any reservations set out in my/our accompanying letter dated [insert date]
 - (i) The claim and previously submitted claims for payment are in accordance with the BIS offer letter dated [insert date of issue] including the schedules thereto;
 - (ii) The Accountable Body has expended (as defined in Schedule 1 to the Grant Offer Letter) monies to cover those eligible costs incurred and defrayed during the period from to related to the project described in the offer letter amounting to:-

| | |
|-------------------|---|
| | £ |
| Labour | |
| Overheads | |
| Materials | |
| Capital Equipment | |
| Sub-contracts | |
| TOTAL | |

*Please differentiate between capital equipment purchased specifically for the Project and capital items that the Accountable Body has already acquired or constructed.

- (iii) None of the costs were incurred before 1 April 2016
- (iv) Overheads included in the expenditure are:-
 - (a) in respect of the Accountable Bodies own labour;
 - (b) not calculated to include any profit;
 - (c) appropriate to the Project;
 - (d) not in excess of overhead rates applicable to similar work carried out by the Accountable Body;
- (v) The totals at (ii) above exclude Output Value Added Tax and interest and service charges arising from hire purchase, leasing and credit arrangements;
- (vi) The totals at (ii) above exclude any addition for profit by the Accountable Body and profit earned by any company in the Accountable Bodies group (as defined in Schedule 1) as a

result of work relevant to the Project undertaken by the Accountable body or sub-contracted to such company by the Accountable Body.

- (vii) The Accountable Body has maintained adequate records to enable me/us to report on this claim for payment of grant.

I/We certify that except for the grants mentioned above or specified in my/our accompanying letter dated no grants from any public authority as defined in paragraph 13 of the Grant Offer Letter have been received or are receivable by the Accountable Body in respect of the Project.

[Signature]

[Name]

[Position]

[Insert any additional contact details not on headed paper]

Schedule 3

STRATEGIC CONTEXT

Government has identified a central role for growth hubs, established by Local Enterprise Partnerships (LEPs), to simplify and coordinate access to business support in local areas, and ensure that all national and local offers of support are effectively joined up for businesses.

Growth hubs will continue to provide in each LEP area a single access point for support, bringing together national and local schemes into a single offer so businesses get everything they need in one place. This will include both public and private sector support, for example that offered by local authorities, universities, chambers of commerce, enterprise agencies and the wider private sector.

The Secretary of State for Business, Innovation and Skills (BIS) will make grant funding available to Greater Birmingham & Solihull LEP to deliver the following schedule of work in 2016-17, which reflects the Government's belief that the people who know best how to assist businesses are business people themselves.

The principles of funding set out in this schedule provide a framework which will enable LEPs to build capability and capacity in their growth hubs to achieve best value, whilst giving LEPs the flexibility they need to become self-sustaining by March 2018 when Government funding comes to an end.

The LEP will be monitored by BIS for delivery against the schedule of work on a bi-annual basis.

SCHEDULE OF WORK

As part of the wider offer for Growth Deals, Government is providing funding to LEPs in 2016-17. This schedule of work will enable LEPs to meet the Government principles attached to funding for their growth hubs, which are as follows:

Local Partnerships

Principle 1 - Providing strategic co-ordination and building inclusive partnerships with local stakeholders, the private sector and government.

LEPs should sustain their Growth Hub through strong working links between all of the institutions involved in providing support to help businesses start and grow in their area, whether they operate nationally or locally or in the public or private sector. This will include ensuring that all key local bodies involved in business support (which will typically include the LEP, local authorities, business bodies such as local Chambers of Commerce and the Federation of Small Business (FSB), universities, university business schools, enterprise agencies, private sector and government) are engaged in discussions and involved as partners in the design and/or delivery of the growth hub. LEPs should also continue to simplify the local business support landscape over time by building on previous work.

| |
|---|
| 1. What approach will the LEP take locally to continue to develop strong, inclusive partnerships and which local and national partners are involved in the ongoing design and delivery of the growth hub? |
| GBSLEP has acted as the locus for bringing together business support organisations and services since its inception. It has used the Growth Hub project as the glue to bind partners together to plan and deliver support and also to achieve economies of scale and more effective cross-working. The LEP has also threaded the national offer, particularly the Business Support Helpline (NBSH) through all the work done and the services available locally. Data sharing agreements have been designed with partners and underpin the partnership, including the NBSH, and the use of the shared CRM and web portal. |
| The Hub is overseen operationally by the Growth Hub Management Board, which brings together local and national providers to ensure effective working of the service and partnership. Strategic |

oversight from GBSLEP is provided by the Growing Business Board. This sits within the LEP governance structures as shown at Appendix 1. In addition there is a CRM user group which develops the partnership and protocols around the data management system.

The delivery of the Growth Hub service is overseen by the LEP but done through a Chamber and universities consortium, appointed by competitive tender initially. Now that partnership is developing an enhanced Hub service as well as ensuring medium term sustainability by applying for ESIF funding, with LEP investment (through BIS funding). This is expected to start sometime in 2016.

Growth Hub Management Board, Growing Business Board and CRM User Group bring together all major partners, including but not limited to: UKTI, universities, Chamber of Commerce, Finance Birmingham, Marketing Birmingham, all nine Local Authorities and private sector representatives. All are continuously involved in the ongoing design and delivery of the Hub.

2. How does the LEP through the growth hub plan to continue to simplify the local business support landscape over time, building on previous work undertaken?

GBSLEP, through the Hub, has already commissioned its Simplification Report, with an initial draft having reported and a final one due at the end of March 2016. This built on the mapping and documenting of support that took place to establish the Hub and ensure the offer was up to date and accurate. It also takes into account national policy reviews and offers insights and emerging recommendations into how to take forward the simplification agenda, particularly with a view to sector specialist support which is a key component of the GBSLEP Strategic Economic Plan (SEP).

This report will form the basis of commissioned activity for the next cycle, feeding into the SEP which is currently being revised as well as informing all calls for projects and programmes around ESIF activity. The Simplification Report includes a full list of national and local business support services available and this is both useful for the Hub to ensure we are aware of all relevant programmes, and can make appropriate referrals, but also an excellent reference to avoid competing or duplicating programmes, both now and in the future.

It is a core principle of all the Hub's partnerships and joint working that we are aiming to maximise scarce resources for the benefit of the LEP's businesses. The groups and activities that the Hub brings together allows greater visibility of this and the ability to work more closely with providers to ensure a seamless, straightforward offer. The Hub brand, mission and resources enable this to happen much more effectively than would otherwise be the case.

Governance

Principle 2 - Maintaining robust governance arrangements to oversee growth hub activity and ensure ongoing alignment with the LEP Strategic Economic Plan.

The growth hub must continue to have clear and inclusive governance arrangements in place under the oversight of the LEP with appropriate representation from across the public and private sector, and ensure ongoing alignment with the LEP Strategic Economic Plan.

3. What approach will the LEP take to governance, to ensure that the growth hub remains under the strategic oversight of the LEP?

As mentioned above, the Growth Hub is the integral part of business support delivery for the LEP. It was a "game-changer" in the current SEP and the enhanced Hub, part funded by ESIF, will again be a game-changer, as it builds on the initial pilot to incorporate a more tailored, targeted service and ramp up the volume and quality of business enquiries. The SEP will provide the overall economic framework and the Growth Hub sits firmly within the LEP governance structures, falling within Pillar 1 (of 3) Business & Innovation. LEP governance is attached at Appendix 1.

Growth Hub Management Board (GHMB) meets monthly to review and develop the operational side of the Hub, taking in all relevant KPIs and bringing together all delivery partners. Growing Business Board meets bi-monthly and takes strategic oversight of the Hub as well as linking it with other related groups (e.g. Access to Finance) to ensure that its operations sit within the wider economic development picture.

4. Which local and national partners are involved in the governance of the growth hub (attach a diagram if available)?

Diagram at Appendix 1 –



Appendix 1 GBSLEP
Governance Structure.

Partners/Organisations on Growing Business Board

- Private sector (including Chair)
- Universities of Birmingham, Aston and BCU
- Big Society Capital
- Chamber of Commerce
- UKTI
- BIS
- Marketing Birmingham
- Local Authorities
- GBSLEP

Partners/Organisations on GHMB (partners additional to the above only)

- Alcium (CRM providers)
- Ice Blue (web portal designers/providers)

Deliverability

Principle 3 - Offer a triage, diagnostic and signposting service that joins up national and local business support, simplifying the support offer for businesses.

The Growth Hub must actively promote all forms of business support available in their area and provide a triage, diagnostic and signposting service for all businesses which covers all available support to start and grow. This will help businesses to understand what support would help them most and connect them to that support quickly and seamlessly.

This service is likely to be provided through a range of different channels, for example a website, telephone helpline, face-to-face advice, account management and events – but must provide a consistent level of information to business. This function should wherever possible make use of existing national assets/resources, such as content and tools from GOV.UK and the national Business Support Helpline (available upon request).

5. What type of growth hub delivery model will be used by the LEP to deliver triage and diagnostic services and engage with as many businesses as possible whilst supporting business growth and productivity?

GBSLEP Growth Hub is the home for advice, support and funding across the LEP area. However, it does not deliver in-depth support directly but rather it provides an information, diagnostic and brokerage service which enables business to get the guidance they need initially and then

appropriate support from specialist providers and programmes. This model maximises the positioning of the Hub at the centre of the business support ecosystem, giving partners added value while matching companies and entrepreneurs quickly and efficiently to relevant finance, programmes or contacts. This unique positioning then also enables the Hub and LEP to have clear oversight of provision and therefore seek to work with partners and funders to fill gaps where they are demonstrably identified.

Given the level of resources of the Hub and its triage and brokerage model, there will have to be a tailored approach to each enquiry, maximising the usage of the web portal as the initial entry point for businesses. There is support for ALL businesses and entrepreneurs but those who are not seeking to grow or who are not in LEP priority sectors will receive only initial information or a light touch diagnostic and referral. Those companies with growth potential or ambition or who are within LEP priority sectors will be able to have a more in-depth face-to-face diagnostic with a specialist adviser who can then act as an account manager to ensure that the company benefits from seamless referrals and an escalator of relevant support and finance.

A significant level of budget is allocated within the 2016-19 Hub ESIF bid to marketing, communications, events, PR and stakeholder engagement. This will be the engine for attracting reactive enquiries, while the Hub team and partners will focus on some proactive work to ensure that business growth and productivity is not left to chance.

6. What opportunities will be explored by the LEP to support cross boundary working with other growth hubs and ensure value for money (e.g. cluster working; joint projects and sharing resources)?

GBSLEP and its Growth Hub are already a key part of the wider economic landscape. We work closely with our overlapping LEPs to ensure consistent protocols and seamless joint-working. GBSLEP is also a non-constituent member of the emerging West Midlands Combined Authority (WMCA) and this is providing a framework for closer integration of public services across a range of disciplines, including business support.

GBSLEP has also co-ordinated regular meetings of the six regional LEPs on key issues which affect all areas, including on post-BGS/MAS provision, better co-ordination of European funding calls and six-LEP wide projects (such as a high growth programme in the space Growth Accelerator used to operate). An overarching WMCA SEP will bring this thinking together.

The three Growth Hubs covering the WMCA are already working together on both specific issues, e.g. linking businesses with the opportunities around HS2, shared manufacturing support with the demise of MAS, as well as general joint working protocols and referrals. This will potentially involve the pooling of some of the BIS allocation to joint projects, where there is a common interest.

Sustainability

Principle 4 - Ensuring plans for Growth Hubs are deliverable and sustainable beyond March 2018 when Government funding ends, and core services remain free to business at first point of contact.

The LEP must develop robust plans that will ensure that the Growth Hub builds capability, capacity and moves towards self-sustaining models by March 2018 when Government funding comes to an end. The LEP will also ensure that the Growth Hub core services remain free to business (at first point of contact) whilst not restricting innovation and revenue generation (adding value but not duplicating existing local or national services or crowding out the private sector).

7. What are the LEPs plans for ensuring the Growth Hub is sustainable after March 2018 when Government funding ends?

This has been a priority since the inception of the Hub and as part of the Local Growth Deals GBSLEP secured a financial contribution from the local Business Rate Pool towards Hub sustainability. This model may be further developed over the course of the BIS funding allocation.

The Hub service will be sustained in the medium term (i.e. until mid-2019) by a bid for ERDF funding through the current ESIF round, led by the Chamber of Commerce but bringing together a strong consortium of key partners, including the LEP, local universities and other organisations. BIS and partner contributions will mean that a Hub enhanced service for a three year period. This bid will leverage around £1m of other public match funding into the LEP/Hub.

Beyond that period the Hub will trial a range of different options for sustainable, revenue generating (or at least cost-neutral) services. This will be done in part through the “Hub Development Fund” identified in the budget submission (Schedule 1). The fund will enable the LEP to issue a call to partners, public and private, to bring forward proposals which fit with the Hub’s principles and the gaps identified in the Simplification report (commissioned November 2015 as part of our initial BIS funded deliverables) which will both plug gaps, enhance the service and open up new revenue streams.

All the above will take place in the context of working with all our LA partners, the emerging West Midlands Combined Authority and neighbouring LEPs and Growth Hubs to offer a tailored but also common, where appropriate, business support offer.

8. How will the LEP ensure that the growth hubs core service remains free to business (at first point of contact) whilst not restricting innovation and revenue generation (adding value but not duplicating existing local or national services or crowding out the private sector)?

GBSLEP Growth Hub’s allocation from BIS is a guarantor of a free, impartial service to businesses until 2018. However, beyond that it is a concrete principle of the ERDF bid for an enhanced Hub service (2016-9) that there is no charging for any business. Indeed, introducing charges into ERDF funded activity would constitute a major change to the project and could invalidate the public funding element.

As noted above, GBSLEP Growth Hub has already set out a “development fund” approach which will act as a focus and stimulus for service innovation, including from the private and third sectors. This will be set in the context of the Simplification Report, of which a first draft has already been presented to Growth Hub Management Board and Growing Business Board. A final version is due before the end of March. This maps in detail public (and added value private) business support (including national) of which there have been 237 (public) services identified in total across GBSLEP. No Hub activity, partner service or new innovation will be delivered or commissioned unless it is clearly identified as a gap in provision.

Performance and Impact

Principle 5 - Applying a common performance and evaluation framework to identify what works and measure impact.

The Growth Hub must commit to using common metrics and evaluation approaches as set out in the framework to measure performance, customer satisfaction and impact. This will include publication of an Annual Review of Growth Hub performance.

9. What systems are in place to apply the common performance and evaluation framework to continue to identify what works and measure growth hub impact?

All business enquiries and interactions through the Hub and its partners are logged and tracked through a shared CRM, Evolutive. This CRM is widely used across the sector and is compliant for

most reporting purposes, including ERDF. The contract GBSLEP has with providers, Alcium, means that the system can be adapted and amended to capture, monitor and report on almost any data that is required. This is still evolving for our purposes and it will be a straightforward matter to integrate the requirements of the BIS metrics and evaluation framework into it. Data is reported up into LEP structures (Appendix 1)

There is Hub budget set aside for an annual evaluation and report this year and for each of the forthcoming years of the budget in Schedule 1. This is a critically important piece of work for the ongoing management of the performance of the Hub and we will build the BIS metrics and performance framework into the brief and thus the eventual report.

10. Does the LEP have robust data capture and data sharing systems in place to allow the growth hub to share data at individual business level with BIS for research and evaluation purposes? Please confirm the arrangements that are/will be put in place.

In addition to what is written at Q9, our CRM system (Evolutive) is underpinned by Data-sharing agreements developed and co-designed with partner organisations. This means that the practical data capture and sharing is covered by the appropriate legal framework. Data goes down to a very high level of detail, capturing all relevant information on a company and its interactions with the Hub.

Equality Analysis

Birmingham City Council Analysis Report

| | |
|--------------------------------|---|
| EA Name | WINNING RESOURCES FOR BIRMINGHAM CITY COUNCIL - BCC ACTING AS THE ACCOUNTABLE BODY FOR THE LOCAL GROWTH FUND AND GROWTH HUB FUNDS IN 2016/17 |
| Directorate | Economy |
| Service Area | STP Employment |
| Type | Reviewed Function |
| EA Summary | <p>On the 7th July 2014 Government announced Growth Deals for each of the 39 Local Enterprise Partnerships in England. The Greater Birmingham & Solihull Local Enterprise Partnership (GB SLEP) was awarded funding of 357.4 million in total, of which 63.4 million is allocated for 2015/16 and 294 million allocated for 2016/17 - 2020/21. This included 43.3m for the Local Growth Fund in 2015/16 and 49.1m in 2016/17.</p> <p>Approval is sought for Birmingham City Council to act as Accountable Body on behalf of the Greater Birmingham and Solihull Local Enterprise Partnership for funding allocated as part of the "Growth Deal" negotiated with Government.</p> <p>There are no implications for the Equalities Protected Characteristics as part of this decision as each of the projects for implementation (as agreed through the GBS LEP Strategic Economic Plan) will be required to undertake their own Equalities Impact Assessment ahead of project delivery.</p> |
| Reference Number | EA001199 |
| Task Group Manager | Hilary.Mills@birmingham.gov.uk |
| Task Group Member | |
| Date Approved | 2016-03-01 00:00:00 +0000 |
| Senior Officer | Shilpi.Akbar@birmingham.gov.uk |
| Quality Control Officer | Lesley.Edwards@birmingham.gov.uk |

Introduction

The report records the information that has been submitted for this equality analysis in the following format.

Overall Purpose

This section identifies the purpose of the Policy and which types of individual it affects. It also identifies which equality strands are affected by either a positive or negative differential impact.

Relevant Protected Characteristics

For each of the identified relevant protected characteristics there are three sections which will have been completed.

- Impact
- Consultation
- Additional Work

If the assessment has raised any issues to be addressed there will also be an action planning section.

The following pages record the answers to the assessment questions with optional comments included by the assessor to clarify or explain any of the answers given or relevant issues.

1 Activity Type

The activity has been identified as a Reviewed Function.

2 Overall Purpose

2.1 What the Activity is for

| | |
|---|---|
| What is the purpose of this Function and expected outcomes? | <p>To seek approval for the Birmingham City Council (BCC) to act as Accountable Body on behalf of the Greater Birmingham and Solihull Local Enterprise Partnership (GBS LEP) for funding allocated as part of the "Growth Deal" negotiated with Government.</p> <p>It is recommended that Cabinet:</p> <p>i) Approves that BCC will act as the Accountable Body on behalf of the GBSLEP for funding received as part of the Growth Deal which will include receiving and administering capital funding of 334.75m for the delivery of period 2015 2021 and revenue funding of 2.5m in 2014/15, 0.625 in 2015/16 plus 512,500 in both 2016/17 and 2017/18.</p> <p>ii) Notes the funding letter and authorises the Strategic Director of Economy, in conjunction with the Strategic Director of City Finance and the Director of Legal & Democratic Services, to review the final grant offer letter and to accept it if terms and conditions are acceptable.</p> <p>ii) Authorise the City Solicitor to negotiate and enter into agreements necessary to give effect to the above recommendations.</p> |
|---|---|

For each strategy, please decide whether it is going to be significantly aided by the Function.

| | |
|---------------------------|-----|
| Public Service Excellence | Yes |
| A Fair City | Yes |
| A Prosperous City | Yes |
| A Democratic City | No |

2.2 Individuals affected by the policy

| | |
|---|----|
| Will the policy have an impact on service users/stakeholders? | No |
| Will the policy have an impact on employees? | No |
| Will the policy have an impact on wider community? | No |

2.3 Analysis on Initial Assessment

There are no aspects of seeking approval for BCC to act as Accountable Body for the GBS LEP Strategic Economic Plan Growth Deal funding allocation which will contribute to inequality. If approval is received then individual projects which are developed through the allocation will undertake their own Equality Analysis. Assurance that this approach will be complied with by project leads is contained in the GBS Growth Deal Accountability Framework .

3 Concluding Statement on Full Assessment

There are no aspects of seeking approval for BCC to act as Accountable Body for the GBS LEP Strategic Economic Plan Growth Deal funding allocation which will contribute to inequality. If approval is recieved then project lead officers responsible for projects developed through the allocations process will undertake their own Equality Analysis as set out in the GBS Accountability Framework.

There are no relevant issues, so no action plans are currently required.

4 Review Date

01/03/17

5 Action Plan

There are no relevant issues, so no action plans are currently required.



Department for Communities and Local Government

Jon Warlow
jon.warlow@birmingham.gov.uk

Cities and Local Growth Unit
**Department for Communities and Local
Government**
1st Floor, Fry Building, 2 Marsham Street,
London SW1P 4DP

22 December 2015

Dear Jon

Local Growth Fund Profiles

Following the recent Spending Review, I am writing to confirm your indicative Growth Deals funding profile between 2016-17 and 2020-21. You will want to consider this in the wider context of the ongoing discussion of the implementation of the West Midlands Combined Authority Devolution Deal. This profile will, as agreed, be subject to the annual review conversation the Cities and Local Growth Unit has put in place to oversee the payments of Growth Deal funding. Funds will then be transferred in April.

For the sake of clarity, please find below the unchanged indicative profile of annual grant payments from 2016-17 onwards for the Greater Birmingham and Solihull LEP Growth Deal as presented in your previous letter:

| 2016-17 | 2017-18 | 2018-19 | 2019-20 | 2020-21 |
|----------------|----------------|----------------|----------------|----------------|
| £49,175,485 | £13,073,231 | £9,073,440 | £7,482,676 | £5,736,676 |

Please note that these figures do not include funding related to Department for Transport 'portfolio schemes' or 'tail majors'. Funding profiles for these schemes are agreed with the Department for Transport as schemes are approved.

In addition, these figures do not include funding allocated to each LEP area under the separate arrangements for Housing Revenue Account, Local Infrastructure Funding, or the European Structural Investment Fund.

I can also confirm that we will continue to pay £250,000 of core funding to each LEP in 2016-17. We are confirming this now in response to LEPs' calls for certainty over future funding. It will be allocated and distributed as in previous years, with £250,000 going to each LEP at the start of the financial year via section 31 payment to accountable

bodies. As previously, we will require LEPs to match this funding locally. Further details on the separate capacity funding in 2016-17, and both core and capacity funding in subsequent years, will follow in the New Year.

I hope that this confirmation will equip you and the Local Enterprise Partnership to plan with greater confidence, including initiating work on projects due to start from 2016-17 onwards. If you would like to discuss this or any other aspect of this Spending Review further, please contact your LEP Relationship Manager or Alex Greaves on 0303 444 2938 or alex.greaves@communities.gsi.gov.uk.

Yours sincerely

A handwritten signature in dark ink, appearing to read 'Tom Walker', written in a cursive style.

Tom Walker
Director, Cities and Local Growth Unit

| | |
|---|---|
| Report to: | CABINET |
| Report of: | STRATEGIC DIRECTOR FOR MAJOR PROJECTS |
| Date of Decision: | 22nd March 2016 |
| SUBJECT: | BIG DATA CORRIDOR: A NEW BUSINESS ECONOMY – SUBMISSION OF ESIF BID |
| Key Decision: Yes | Relevant Forward Plan Ref: 001372/2016 |
| If not in the Forward Plan: (please "X" box) | Chief Executive approved <input type="checkbox"/> O&S Chairman approved <input type="checkbox"/> |
| Relevant Cabinet Member: | Councillor Tahir Ali |
| Relevant O&S Chairman: | Councillor Victoria Quinn – Economy, Skills, and Sustainability |
| Wards affected: | ALL |

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| LATE REPORT |
| <p>* To be completed for all late reports, ie. which cannot be despatched with the agenda papers ie. 5 clear working days notice before meeting.</p> |
| <p>Reasons for Lateness</p> <p>It has been difficult to obtain final, confirmed match-funding figures from partner organisations.</p> <p>Reasons for Urgency</p> <p>The deadline for submission to Department of Communities and Local Government of the Full Application is 31st March 2016.</p> |

BIRMINGHAM CITY COUNCIL**PUBLIC REPORT**

| | |
|---|---|
| Report to: | CABINET |
| Report of: | Strategic Director for Major Projects |
| Date of Decision: | 22nd March 2016 |
| SUBJECT: | BIG DATA CORRIDOR: A NEW BUSINESS ECONOMY – SUBMISSION OF ESIF BID |
| Key Decision: Yes | Relevant Forward Plan Ref: 001372/2016 |
| If not in the Forward Plan: (please "X" box) | Chief Executive approved <input type="checkbox"/> O&S Chairman approved <input type="checkbox"/> |
| Relevant Cabinet Member | Councillor Tahir Ali – Cabinet Member for Development, Transport and the Economy |
| Relevant O&S Chairman: | Councillor Victoria Quinn (Economy, Skills and Sustainability) |
| Wards affected: | ALL |

| |
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| 1. Purpose of report: |
| 1.1 To approve the submission of a full application to the Department of Communities and Local Government (DCLG) for £1.284m of revenue and capital grant, under the current bidding rounds of the European Structural and Investment Funds (ESIF) 2014-2020 Programme. |
| 1.2 The proposed Big Data Corridor (BDC) project at a total cost of £2.568m will support Small/Medium Enterprises (SME's) to understand the benefits of using data to design new services and products that will respond to specific challenges in East Birmingham, as a demonstrator. |

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| 2. Decision(s) recommended: |
| That Cabinet: |
| 2.1 Approves the submission of a full application to the Department of Communities and Local Government for grant funding of £1.284m to support the Big Data Corridor project at a total cost of £2.568m. |
| 2.2 Notes that in the event of a successful proposal, a Full Business Case Report will be submitted for Cabinet approval, which will identify governance, key responsibilities, the delivery plan and the benefits to the city before there is an acceptance of any grant and its conditions. |

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| Lead Contact Officer(s): | Raj S Mack, Head of Digital Birmingham |
| Telephone No: E-mail address: | 0121 464 5792 Raj.s.mack@birmingham.gov.uk |

| |
|--|
| 3. Consultation |
| <p data-bbox="113 192 331 226">3.1 <u>Internal</u></p> <p data-bbox="113 266 1513 483">3.1.1 In developing this bid consultation and discussions have been held with the Cabinet Member for Skills, Learning and Culture, the Assistant Director's for Transportation and Connectivity, and Employment as well as officers within the Business Development and Innovation team in order to inform them of the BDC proposal and the opportunities this presents for their own services and customers. They were all supportive and recognised the benefits to the city and in supporting enterprise and economic growth.</p> <p data-bbox="113 524 344 557">3.2 <u>External</u></p> <p data-bbox="113 598 1513 891">3.2.1 The Smart City Commission chaired by the Cabinet Member for Sustainability, which includes the Universities, Health, West Midlands (WM) Police and local SMEs plus national representatives (e.g. Digital Catapult, BIS, private sector organisations such as City Council partners Amey and Centro) have been informed and consulted on the BDC proposal (January 2016) and were supportive of the proposal in helping to enhance digital capabilities of businesses in use of technologies and data and stimulate SME innovation in the design of new services It was agreed that it was in alignment with Birmingham's Smart City principles</p> <p data-bbox="113 931 1513 1106">3.2.2 BDC was presented to the WM Digital Working Group (December 2015) and at the Smart City Alliance (January 2016). Additional focus group activities have been undertaken at Innovation Birmingham Ltd (March 2016) with a wider survey sent out to GBSLEP SME's for further feedback, which has been used to shape development of the proposal.</p> |
| 4. Compliance Issues: |
| <p data-bbox="113 1189 1374 1256">4.1 <u>Are the recommended decisions consistent with the Council's policies, plans and strategies?</u></p> <p data-bbox="113 1296 1513 1626">4.1.1 The BDC proposal supports the Council Business Plan and Budget 2016+, specifically Outcome One "an enterprising and innovative green city." Whilst the funding is directly targeted at supporting SME's to develop their capabilities in the use of data and technologies and create new services and products, the demonstrator activities will be focused on specific challenges in the sector areas of health, mobility and sustainability to deliver to beneficiaries (citizens and communities) in East Birmingham. The intention is that any of the solutions and resultant products and services can be scaled and replicated elsewhere e.g. increase mobility; reduce congestion and air pollution; optimising energy use; support independence.</p> |

4.2 Financial Implications

- 4.2.1 The total value of this project proposal over 3 years is £2.568m comprising £0.475m capital and £2.093m revenue expenditure. 50% of this expenditure will be funded from ESIF grant (a condition of the funding), with the other 50% being funded by the City Council and its partners, which is set out in the table below:

| | Match Funding £000 | ESIF Grant £000 | Total Expenditure £000 |
|---|-----------------------|--------------------|------------------------------|
| Revenue Expenditure: | | | |
| City Council staff | 222.15 | 222.15 | 444.30 |
| Aston University Photonics | 325.76 | 325.76 | 651.52 |
| | | | |
| Bham City University | 225 | 225 | 450 |
| Centro staff | 56.29 | 56.29 | 112.58 |
| Innovation Birmingham | 60 | 60 | 120 |
| | | | |
| Npower | 75 | 75 | 150 |
| Telensa Business Support | 82.5 | 82.5 | 165 |
| | | | |
| | | | |
| Total Revenue Expenditure | 1,046.7 | 1,046.7 | 2,093.5 |
| Capital Expenditure: | | | |
| City Council :Platform Hardware / software | 225 | 225 | 450 |
| Telensa Equipment | 12.5 | 12.5 | 25 |
| Total Capital Expenditure | 237.5 | 237.5 | 475 |
| Total Big Data Corridor | 1,284.2 | 1,284.2 | 2,568.4 |

- 4.2.2 The City Council's revenue match funding of £0.222m is from existing staff over the 3 years, whilst the capital match funding of £0.225m is from existing Digital Birmingham capital reserves. Written confirmation of individual partner match-funding has been received.
- 4.2.3 It is proposed that the City Council will administer the project and act as Accountable Body and ensure funds are spent to deliver the outputs agreed with DCLG as outlined in Appendix 1. The City Council will be required to ensure compliance with ESIF grant conditions and will seek to mitigate these through funding consortium agreements with delivery partners in line with City Council and European funding guidelines.
- 4.2.4 All delivery arrangements will be subject to monitoring and performance checks and project compliance visits. There are no further on-going revenue implications as a consequence of accepting this grant funding because the data platform has a life span of the duration of the project (3 years) after which either further grant funding will be sought or it is turned off. This is a proof of concept project which will enable the GBSLEP to assess the viability of this service.
- 4.2.5 The project will be delivered by Digital Birmingham team and a formal project board will be set up to provide governance and monitoring of outputs.

4.3 Legal Implications

- 4.3.1 The City Council has the power to enter into this activity in accordance with the general power of competence conferred by Section 1 of the Localism Act 2011 (LA 2011). The proposed activity is within the boundaries and limits on the general power set out in Section 2 and 4 of LA 2011 respectively. The recommendations in this report will promote and improve the economic well-being of Birmingham's residents and businesses by helping to create new job opportunities and safeguard existing jobs in local businesses.
- 4.3.2 The data platform supplied by Birmingham City University, will act as an address book for data exchange across various providers and as such the appropriate safeguards and data sharing agreements will have to be implemented which includes password protection and consent to conditions of use. This will ensure compliance with the Data Protection Act. IP issues associated with the project will be documented in consortium agreement. As part of the ERDF requirements no delivery partner can be seen to be a beneficiary
- 4.3.3 Digital Birmingham will be required to check the eligibility of SME's taking part in the programme to ensure compliance with ERDF funding rules particularly the state aid de minimis threshold in relation to providing training and support.

4.4 Public Sector Equality Duty

- 4.4.1 An initial Equality Assessment (EA001110) screening has been completed on 18th January 2016. There is no adverse impact as the project is specifically aimed at all SME's within the GBSLEP area who meet the specific criteria to gain business support as identified within the ERDF Funding requirements.
- 4.4.2 This BDC demonstrator project aims to impact on economic recovery, well-being, mobility, health and sustainability with a focus on East Birmingham. The aim is to maximise opportunities for investment in areas of deprivation and broker these opportunities across a range of stakeholders as part of work already undertaken by the Smart City Commission to establish the Eastern Corridor Smart Demonstrator. The Equality Assessment will be further developed as part of the FBC should the Full Application be successful.

5. Relevant background/chronology of key events:

- 5.1 In 2015, the Birmingham Smart City Commission endorsed a Smart City spatial demonstrator in East Birmingham. The aim of this is to increase the opportunities and potential of people to connect to education, training, jobs and social activities to create a better and more sustainable way of life. It supports the Commissions overarching priorities of Healthy Ageing and Economic Activity being centred on quality of place, health and mobility and provides a focus that is replicable and scalable to other areas.
- 5.2 The proposed BDC for the Eastern Corridor Demonstrator offers a user and demand led demonstrator to test and trial new applications and services using data and technologies in an integrated way and with a strong citizen engagement with the aim to make a positive difference to people's lives. It supports the GBSLEP ESIF Strategy, which highlights the use of demonstrators as the 'preferred vehicle to drive innovation with collaboration from the private sector, Higher Education Institutions and the public sector.

- 5.3 In response to the ESIF Priority 1 Research & Innovation call, BDC directly takes forward the strategy and objectives of the GBSLEP and an outline application to bid report was produced and approved on 25/09/2015 by the Assistant Director for Transportation and Connectivity. A letter dated 1st December 2015 (attached at Appendix 2) was received from Department of Local Communities confirming that the outline application met the initial assessment criteria for the fund, with an invitation to progress to full application stage with a deadline of 29th March 2016.
- 5.4 The BDC will utilise a data platform provided by Birmingham City University, which will act like an address book to access a range of public and commercial service data sets, which will enable Small/Medium Enterprises with support through this project, to create new products and services to help address challenges faced by the Greater Birmingham and Solihull Local Enterprise Partnership.
- 5.5 BDC aims to accelerate the digital capabilities of businesses to capitalise on the exponential growth of the Internet Of Things and Data Economy by developing solutions with citizens to address city in the areas of health, mobility and sustainability. This will be enabled through 3 key strands. All support for SMEs will be provided free of charge based on meeting eligibility criteria. It will;
- (i) create an innovative connected and fully supported data management platform that will give SMEs access to data to conceive of, build and test sector specific ideas in an agile and low cost way.
 - (ii) host technology and data rich demonstrator activities to enable GBSLEP SMEs to develop new services and products enabled by the new data streams and tested in East Birmingham in response to specific challenges identified through work with stakeholders and communities. Note that this project will not compile data sets, but accesses those available openly or if will purchase them if necessary through this project.
 - (iii) provide technical and business support utilising the Serendip Incubator (a space for businesses to collaborate) at Birmingham Science Park - Aston to engage SMEs, manage their involvement, support rapid prototyping and commercialisation of products and services.
- 5.6 The project provides the opportunity to create applications and products to support citizen focussed challenges using data in an innovative and interoperable way. Although it is not possible to pre-empt the types of solutions that could be created an indication of the types of applications to address specific challenges such as creating a healthy happy city, could be to use the platform to combine and access a variety of catalogued data e.g. real time air quality data, open street map data, crime data, and local chemist opening hours in order to develop a service to enable citizens to find the healthiest and safest walking routes to local chemist.
- 5.7 A second example to address congestion could be for SMEs to access Telensa's smart lighting application network, Centro transport data, personal data such as schemes that are already operating to enable individuals to share data voluntarily, as well as social media data to develop new products to incentivise behaviour change of citizens from cars to public transport to reduce congestion.

5.8 This project will require the submission by the council to DCLG of regular performance, monitoring and financial information. The project will be subject to EU commission procedural guidelines and audit. The indicative outputs for this bid submission are set out in Appendix 1, which includes supporting up to 135 SME's to access and utilise this data to build new products and services and creating 62 jobs in the GBSLEP area. Data collection templates have been developed for partner organisations to use. Performance will be closely monitored by officers within Digital Birmingham to ensure outputs are complied with.

5.9 In preparing this bid, Digital Birmingham have assembled a consortium of partners based on their knowledge and expertise in relation to new and emerging technologies that will enable this project to be successful and ensure SMEs have the best possible business and technical support. Each partner's role in delivering this project is set out in the table below:

| Partner | Role |
|----------------------------|---|
| Centro | Data provider; innovation activities and challenges focused on intelligent mobility, delivery of training modules |
| Innovation Birmingham | Leading business engagement, events and innovation activities; provision of incubator think space Serendip |
| Birmingham City University | Provide and manage a data innovation platform (software) and staffing to tailor it to the project and SME needs and technical advice to SME's |
| Telensa | Technology infrastructure and software and technical support services, delivery of training modules |
| Aston University | Unique demonstrator technologies and knowledge transfer services |
| Birmingham City Council | Project management, procurement of data sets and interfaces where applicable, marketing and communications |
| Npower | Delivery of business support activities through workshops and 1:1 support covering new business models, Intellectual Property, early prototyping and investment opportunities |

5.10 If successful at Full Application stage a FBC will be submitted for Cabinet approval prior to acceptance of the grant. Subject to approval, a start date of July 2016 is anticipated.

6. Evaluation of alternative option(s):

6.1. Do not submit a Full Application and do not take advantage of the opportunity of £1.284m grant to up-skill SME's with latest innovative technologies and practices to support SMEs competitiveness, economic growth for the GBSLEP and creation of jobs.

| | | | | | | | | | | | |
|---|---|-------------------|--------------------|--|--|--|-------|--|--|--|-------|
| 7. Reasons for Decision(s): | | | | | | | | | | | |
| 7.1 | To submit a full ESIF grant application for £1.284m in order to undertake the BDC project to support up to 135 SME's to upskill into the data economy and create 62 jobs within the GBSLEP area. | | | | | | | | | | |
| 7.2 | BDC will contribute to the strategic outcomes of the Council Business Plan to drive economic growth and create jobs as well as delivering social and environmental value | | | | | | | | | | |
| 7.3 | The delivery of services by the public sector is declining; more and more demand for services will be met through the investment of the private and third sector in developing new services and products and in citizens procuring services and taking management of how services are delivered. The collaboration in BDC between public, private and people partnership will provide the stimulus and evidence base for use of data and technologies to drive innovation in the delivery of new services to address city challenges such as poor air quality; health inequalities; congestion; obesity | | | | | | | | | | |
| 7.4 | BDC supports wider business and service transformation; it will provide the Future Council with a data platform framework upon which to evaluate future opportunities to exploit city data assets to drive economic and social benefit, create efficient business and citizen friendly services and magnify the benefits of new service delivery models e.g. shared revenue; freemium services etc. This is akin to imaging services such as Uber and Air BnB | | | | | | | | | | |
| <table border="0" style="width: 100%;"> <tr> <td style="width: 60%;">Signatures</td> <td style="width: 40%; text-align: right;"><u>Date</u></td> </tr> <tr> <td colspan="2"> </td> </tr> <tr> <td> Cllr Tahir Ali Cabinet Member for Development, Transport and the Economy </td> <td style="text-align: right;"> </td> </tr> <tr> <td colspan="2"> </td> </tr> <tr> <td> Paul Dransfield Strategic Director for Major Projects </td> <td style="text-align: right;"> </td> </tr> </table> | | Signatures | <u>Date</u> | | | Cllr Tahir Ali Cabinet Member for Development, Transport and the Economy | | | | Paul Dransfield Strategic Director for Major Projects | |
| Signatures | <u>Date</u> | | | | | | | | | | |
| | | | | | | | | | | | |
| Cllr Tahir Ali Cabinet Member for Development, Transport and the Economy | | | | | | | | | | | |
| | | | | | | | | | | | |
| Paul Dransfield Strategic Director for Major Projects | | | | | | | | | | | |
| List of Background Documents used to compile this Report: | | | | | | | | | | | |
| Outline Bid Approval Delegation Report – Strategic Director of Economy dated 25th September 2015 DCLG Letter giving approval to go to full application. Full Application (still being finalised with partners) – Outline Bid Attached | | | | | | | | | | | |
| List of Appendices accompanying this Report (if any): | | | | | | | | | | | |
| 1. Appendix 1 - Overview of BDC Bid Proposal and outputs. 2. Appendix 2 - Letter of Outline Approval from DCLG | | | | | | | | | | | |

PROTOCOL PUBLIC SECTOR EQUALITY DUTY

- 1 The public sector equality duty drives the need for equality assessments (Initial and Full). An initial assessment should, be prepared from the outset based upon available knowledge and information.
- 2 If there is no adverse impact then that fact should be stated within the Report at section 4.4 and the initial assessment document appended to the Report duly signed and dated. A summary of the statutory duty is annexed to this Protocol and should be referred to in the standard section (4.4) of executive reports for decision and then attached in an appendix; the term 'adverse impact' refers to any decision-making by the Council which can be judged as likely to be contrary in whole or in part to the equality duty.
- 3 A full assessment should be prepared where necessary and consultation should then take place.
- 4 Consultation should address any possible adverse impact upon service users, providers and those within the scope of the report; questions need to assist to identify adverse impact which might be contrary to the equality duty and engage all such persons in a dialogue which might identify ways in which any adverse impact might be avoided or, if avoidance is not possible, reduced.
- 5 Responses to the consultation should be analysed in order to identify:
 - (a) whether there is adverse impact upon persons within the protected categories
 - (b) what is the nature of this adverse impact
 - (c) whether the adverse impact can be avoided and at what cost – and if not –
 - (d) what mitigating actions can be taken and at what cost
- 6 The impact assessment carried out at the outset will need to be amended to have due regard to the matters in (4) above.
- 7 Where there is adverse impact the final Report should contain:
 - a summary of the adverse impact and any possible mitigating actions (in section 4.4 or an appendix if necessary)
 - the full equality impact assessment (as an appendix)
 - the equality duty – see page 9 (as an appendix).

Equality Act 2010

The Executive must have due regard to the public sector equality duty when considering Council reports for decision.

The public sector equality duty is as follows:

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|---|---|
| 1 | <p>The Council must, in the exercise of its functions, have due regard to the need to:</p> <ul style="list-style-type: none">(a) eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by the Equality Act;(b) advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it;(c) foster good relations between persons who share a relevant protected characteristic and persons who do not share it. |
| 2 | <p>Having due regard to the need to advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it involves having due regard, in particular, to the need to:</p> <ul style="list-style-type: none">(a) remove or minimise disadvantages suffered by persons who share a relevant protected characteristic that are connected to that characteristic;(b) take steps to meet the needs of persons who share a relevant protected characteristic that are different from the needs of persons who do not share it;(c) encourage persons who share a relevant protected characteristic to participate in public life or in any other activity in which participation by such persons is disproportionately low. |
| 3 | <p>The steps involved in meeting the needs of disabled persons that are different from the needs of persons who are not disabled include, in particular, steps to take account of disabled persons' disabilities.</p> |
| 4 | <p>Having due regard to the need to foster good relations between persons who share a relevant protected characteristic and persons who do not share it involves having due regard, in particular, to the need to:</p> <ul style="list-style-type: none">(a) tackle prejudice, and(b) promote understanding. |
| 5 | <p>The relevant protected characteristics are:</p> <ul style="list-style-type: none">(a) age(b) disability(c) gender reassignment(d) pregnancy and maternity(e) race(f) religion or belief(g) sex(h) sexual orientation |



Department for
Communities and
Local Government



European Union
European Regional
Development Fund

Raj Mack, Head of Digital Birmingham

Birmingham City Council

Council House

Victoria Square

Birmingham

B1 1BB

01 December 2015

Dear Mr Mack

Outcome of ERDF Outline Application assessment

**Open Call: Research and Innovation: call in Greater Birmingham and Solihull
(OC12R15P 0169)**

Project: Big Data Corridor: A New Business Economy

Thank you for submitting an Outline Application in response to the above Call for applications.

Your application has been subject to an assessment against the project selection criteria by the Managing Authority for the European Regional Development Fund Programme in England, informed by advice on strategic fit from the Local European Structural and Investment Funds Sub-Committee(s).

This letter confirms that your application has been accepted at outline stage and may progress to the submission of a Full Application subject to the conditions set out at Annex A being met in full.

The Full Application will be subject to a full and detailed appraisal to assess the project further. The deadline for submission of your Full Application is 29 March 2016, however we would encourage you to submit the application as soon as you are able, provided it is fully complete and with all relevant information included.

The Full Application should be completed in in Word format and submitted to WM.ERDFENQUIRIES@communities.gsi.gov.uk. Please note that the Managing

DCLG Midlands Growth Delivery Team

5 St Phillips Place

Colmore Row

Birmingham

B3 2PW

www.gov.uk/european-growth-funding

Authority may de-select any project where the application deadline is not met or where the information provided is incomplete.

In developing your full application you must refer to the relevant ERDF guidance (see **Useful Links** below) and ensure that you are able to enter in to the appropriate Funding Agreement.

An appraiser will be appointed and will contact you to set up a meeting to explain the Full Application conditions and any other relevant information regarding the submission of your Full Application. Please note that DCLG as Managing Authority cannot assist you in the development of your project and/or Full Application, however detailed guidance is available at Gov.UK (see Useful Links below).

It is important to note that acceptance of the Outline Application does not in any way imply or constitute approval of the Full Application.

A project may capture eligible and compliant project expenditure from the date of this letter, however this expenditure is incurred entirely at your own risk, and ERDF will not be paid out until a Funding Agreement has been executed by both parties and where this includes the related expenditure.

We look forward to receiving your Full application by **29 March 2016**.

Yours sincerely



Mark Foley

Head of Local Growth Delivery

☒ mark.foley@communities.gsi.gov.uk
☎ 0303 444 6586

Useful Links:

ERDF Guidance:

<https://www.gov.uk/government/publications/european-structural-and-investment-funds-programme-guidance>

Full Application Form:

<https://www.gov.uk/government/publications/european-structural-and-investment-funds-full-application>

Procurement Guidance:

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/445584/ESIF_Procurement_Law_Compliance_Guidance_Note_V1_150715.pdf

DCLG Midlands Growth Delivery Team

5 St Phillips Place

Colmore Row

Birmingham

B3 2PW

www.gov.uk/european-growth-funding

Annex A: Conditions/issues to be addressed in the Full Application

| | |
|------------------|--|
| Project | Big Data Corridor: A New Business Economy |
| Applicant | Birmingham City Council |

The Full Application should explicitly and fully address each of the issues and conditions set out below in order for the technical appraisal to be conducted. The conditions are intended to provide clarity on any outstanding issues and ensure that there is sufficient detail to enable a full appraisal to be conducted.

| Condition / Issue | |
|---|--|
| <p>1. Attention is drawn to compliance with Procurement Law and in particular the Public Contracts Regulations 2015 (http://www.legislation.gov.uk/uk/si/2015/102/contents/made)</p> <p>a. Applicants must refer to the Procurement Law Compliance Note in the development of the Full Application and in considering/applying its procurement processes (Useful Links, covering letter refers).</p> <p>b. The Managing Authority reserves the right not to take the Full Application forward if any aspects of procurement are identified as non - compliant at the Full Application stage.</p> <p>c. Procurement will be tested in detail in the lifetime of a project and by independent bodies. In the event of non - compliance/irregularity financial penalty will be imposed in line with EU guidance. This can be up to 100% of the procurement expenditure. The Managing Authority therefore recommends that applicants seek appropriate legal and/or technical advice to ensure compliance.</p> | |
| <p>2. Clarify if the project is applying under investment priority 1a and 1b and which outputs relate to each priority as it is unclear whether the project will contribute to any outputs under 1a.</p> | |
| <p>3. Provide a clear rationale behind the outputs, including how numbers were calculated and the reason for relatively low outputs.</p> | |
| <p>4. Further evidence is needed around how the project will take forward the 'big data' element of the UK Great Eight technologies and how the project relates to the Smart Specialisation for England strategy.</p> | |
| <p>5. Further information is required around how the proposed activity will integrate with Growth Hub activity. Within the full application, the applicant should confirm that</p> | |

DCLG Midlands Growth Delivery Team

5 St Phillips Place

Colmore Row

Birmingham

B3 2PW

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| protocols are in place to work with the relevant Growth Hub, including arrangements for the exchange of information. |
| 6. A detailed breakdown of costs and rationale for the budget is required to justify higher than average unit costs. Applicant to ensure all figures match as the figures in the cost profile annex do not match the figures in sections two and five of the application. Confirmation of the number of staff employed by the lead and delivery partners is required. |
| 7. Confirm how much match Future Cities Catapult will provide as two different figures are quoted (£412,500 and £350,000). Confirmation is needed that all match funding is eligible. In terms of revenue match, confirmation is needed that this is not in-kind funding and that evidence of defrayal can be provided for the match. For capital match, clarification is needed around what this is and whether this is in the form of in-kind match for the cost of part of the building. |
| 8. Evidence is needed that the delivery partners have relevant experience of working together. |
| 9. Draft copy of back to back agreement between lead applicant and delivery partner to be provided. |
| 10. The application makes reference to procuring an external evaluator, however, this in not listed in the procurement annex. Clarification is needed on whether this will be procured and details around this procurement. |
| 11. The applicant is to provide supplementary information confirming whether State Aid regimes other than the proposed De Minimis have been considered and, if so, to provide details of the alternative scheme(s) considered and why De Minimis is preferred. |
| 12. As the project involves multiple delivery partners and business support, the applicant should provide further supporting information which provides a breakdown per delivery partner/initiative: <ul style="list-style-type: none"> • SME gateway criteria • Brief overview of the activity to be delivered • Indicators to be achieved • Breakdown of expenditure |
| 13. Provide an equal opportunity policy and implementation plan for the policy. |
| 14. Expenditure is proposed in the GBSLEP area only. SMEs supported should be located in this LEP area only, not in other LEP areas. |
| 15. The applicant will need to develop and implement a data sharing agreement with the Growth Hub and explain this further in the full application |

| | | |
|---|---|---|
| Report to | CABINET | <i>Exempt information paragraph number – if private report:</i> |
| Report of: Date of Decision: | STRATEGIC DIRECTOR FOR ECONOMY 22nd March 2016 | |
| SUBJECT: | MARKETING BIRMINGHAM PROVISION OF RELOCATION AND SUPPORT SERVICES TO THE ENTERPRISE ZONE | |
| Key Decision: Yes | Relevant Forward Plan Ref: 001548/2016 | |
| If not in the Forward Plan: (please "X" box) | Chief Executive approved <input type="checkbox"/> O&S Chairman approved <input type="checkbox"/> | |
| Relevant Cabinet Member(s): | Councillor Tahir Ali – Cabinet Member for Development, Transport and the Economy | |
| Relevant O&S Chairman: | Councillor Victoria Quinn – Economy, Skills, and Sustainability | |
| Wards affected: | Ladywood and Nechells | |

| |
|--|
| LATE REPORT |
| <p>* To be completed for all late reports, ie. which cannot be despatched with the agenda papers ie. 5 clear working days notice before meeting.</p> |
| <p>Reasons for Lateness</p> <p>The report is late because of the need to consider whether the GBSLEP were undertaking a grant or a procurement. On the basis that the City Council's own SLA for 2016/17 was approved by Cabinet on 16th February 2016, it was agreed that this was the most appropriate route.</p> <p>Reasons for Urgency</p> <p>Marketing Birmingham have been delivering the relocation service on behalf of the GBSLEP during 2015/16 and there is a need to seek formal approval through the City Council governance process to pay this money as soon as possible.</p> |

BIRMINGHAM CITY COUNCIL

PUBLIC REPORT

| | |
|---|---|
| Report to: | CABINET |
| Report of: | STRATEGIC DIRECTOR FOR ECONOMY |
| Date of Decision: | 22nd March 2016 |
| SUBJECT: | MARKETING BIRMINGHAM PROVISION OF RELOCATION AND SUPPORT SERVICES TO THE ENTERPRISE ZONE |
| Key Decision: Yes | Relevant Forward Plan Ref: 001548/2016 |
| If not in the Forward Plan: (please "X" box) | Chief Executive approved <input type="checkbox"/> O&S Chairman approved <input type="checkbox"/> |
| Relevant Cabinet Member | Councillor Tahir Ali – Cabinet Member for Development, Transport and the Economy |
| Relevant O&S Chairman: | Councillor Victoria Quinn – Economy, Skills, and Sustainability |
| Wards affected: | Ladywood and Nechells |

| | |
|------------------------------|--|
| 1. Purpose of report: | |
| 1.1 | To commission Marketing Birmingham on behalf of the Greater Birmingham and Solihull Local Enterprise Partnership (GBSLEP) to undertake three projects to stimulate business relocation to the GBLEP area at a cost of £1.022m. These are; a Relocations Service Pilot, an Occupiers Proposition Development and Activation Programme and the establishment of a Sector Sales Team. |
| 1.2 | The projects will create 1,965 direct and indirect jobs, lead to 3.72 ha of land being developed in the EZ area, the creation of 14 new enterprises and private sector capital investment of £0.360m. |

| | |
|------------------------------------|---|
| 2. Decision(s) recommended: | |
| | That Cabinet: |
| 2.1 | Acting as Accountable Body for the GBSLEP, approves Enterprise Zone revenue funding of up to £1.023m to commission Marketing Birmingham Ltd to provide the following services; a Relocation Services Pilot (£0.500m), an Occupier Proposition Development and Activation Programme (£0.098m) and a Sector Sales Team (£0.425m). |
| 2.2 | Notes that the Relocation Services Pilot is in two stages; stage 1 is supporting the HSBC relocation (up to £0.320m) including project management and stage 2 will extend this service to other organisations in 2017/18, subject to approval by the Strategic Director of Economy. |
| 2.3 | Authorises the City Solicitor to negotiate, execute, seal and complete all necessary agreements and documentation to give effect to the above recommendations. |

| | |
|---------------------------------|--|
| Lead Contact Officer(s): | Lisa Chaney- Enterprise Zone Programme Manager |
| Telephone No: | 0121 6759540 |
| E-mail address: | Lisa.chaney@birmingham.gov.uk |

| | |
|------------------------------|--|
| 3. Consultation | |
| 3.1 | <u>Internal</u> |
| 3.1.1 | The City Council's representatives on the Board of Marketing Birmingham; Cllr Sir Albert Bore and Cllr Timothy Huxtable have been consulted on this proposal and are supportive of the recommendations proceeding to an executive decision. |
| 3.2 | Officers from Legal Services have been involved in the preparation of this report. |
| | <u>External</u> |
| 3.2.1 | The EZIP Directors Board and Executive Board have been consulted on the project and approved the commission as part of the EZ project governance process on 25 th January 2016. |
| 4. Compliance Issues: | |
| 4.1 | <u>Are the recommended decisions consistent with the Council's policies, plans and strategies?</u> |
| 4.1.1 | This proposal supports the Council Business Plan and Budget 2016+ Outcome One "an enterprising, innovative green city delivering sustainable growth", the LEP Strategy for Growth and the Enterprise Zone Investment Plan (2014). |
| 4.1.2 | It will contribute towards the Investment Plan's communities and partnership as the project will offer an open door for dialogue with prospective occupiers interested in relocating their business to Birmingham. |
| 4.2 | <u>Financial Implications (Will decisions be carried out within existing finance and Resources?)</u> |
| 4.2.1 | The decision to appoint Marketing Birmingham to undertake this work was made by the EZ Executive Board on 25 th January 2016 and is being funded from the EZ Business Development Support revenue budget of £3.200m. There are three projects being undertaken by Marketing Birmingham; a Relocation Services Pilot (£0.500m), an Occupier Proposition Development and Activation Programme (£0.098m) and a Sector Sales Team (£0.425m). |
| 4.2.2 | The Relocations Services Pilot financial commitment of £0.500m will be phased. The Council requested supporting work and services as part of its negotiation on the relocation of HSBC which is progressing and the additional funding required for the enabling works to approach potential occupiers in 2016/17. There are two phases to this project; firstly £0.170m in 2015/16 for supporting the HSBC relocation and £0.150m in 2016/17 for project management and marketing and communications. The detailed financial breakdown is attached in Appendix 1. A review will be undertaken in January 2017 and based upon this the Strategic Director of Economy will release further project management and marketing and communications funding up to £0.180m for phase two in 2017/18. When Marketing Birmingham have a potential occupier interested in a major relocation they would then return to the EZ Executive board to provide information on this and request that additional funding is released |
| 4.2.3 | The Enterprise Zone Occupier proposition development and activation programme The funding for this project is £0.097m of EZ finance which is profiled to be spent in 2016/17 (see para 5.14) |

4.2.4 The Enterprise Zone Sector Sales Team will provide for £0.425m of support:

| Revenue Expenditure | Total (£) |
|--|----------------|
| Current Business Birmingham Senior Business Development Manager – Management of project & Tech & Digital Media – 30% of workload | 52,459 |
| 2 fte x New BDM position – Business Professional and Financial Services)FS – 100% of workload | 273,600 |
| Activation (travel; trade shows; expenses etc.) | 50,000 |
| <i>Overheads inc admin (15%)</i> | 48,900 |
| Total | 424,959 |

4.3 Legal Implications

4.3.1 Under the general power of competence per Section 1 of the Localism Act 2011, the Council has the power to enter into the arrangements set out in this report which also are within the boundaries and limits of the general power of competence Section 2 and 4 of the Localism Act 2011.

4.3.2 Cabinet agreed a service level agreement for 2016/17 between the City Council and Marketing Birmingham on 16th February 2016. In awarding this work to Marketing Birmingham on behalf of the GBSLEP, the Council is using Regulation 72 of the Public Procurement Regulation 2015 on the basis that this work is not extending the scope of work that Marketing Birmingham are being commissioned to do for the City Council.

4.3.3 The City Council has responsibility through the Local Enterprise Partnership to manage the EZIP funding as an Accountable Body. The EZIP included £3.2m of investment for Business Development and Support [agreed by the Enterprise Zone in July 2014] and approved By Cabinet in July 2014.

4.4 Public Sector Equality Duty (see separate guidance note)

4.4.1 An Equalities Assessment has been completed and is attached as Appendix 2. The project will have a positive impact on equality considerations by helping to attract new inward investment to the city thereby generating a range of employment opportunities, directly and indirectly over the medium to longer-term. No potential to disproportionately affect any protected group has been identified through the consultation or project planning phases.

5. Relevant background/chronology of key events:

Further information on the projects is set out below:

5.1. **Relocations Services Pilot (£0.500m)**

5.1.1 In early 2015, Marketing Birmingham was commissioned by Birmingham City Council to provide relocation support to organisations moving to the Birmingham area as part of a three year pilot project.

5.1.2 The pilot has established HSBC as a ‘testing partner’ and will focus on the relocation of its UK Head Quarters to Birmingham. The new financial function aims to be fully operational by 2018. The business will be located within Arena Central which is within the Birmingham City Centre Enterprise Zone and is currently under development. It will employ approximately 1,300 people.

| | |
|-------|--|
| 5.1.3 | <p>The pilot project will also explore extending the Relocation Service Pilot function to further support Birmingham's inward investment proposition. The aim is to expand the Relocation Service across relevant projects across all sectors as well as to maximise all associated commercial opportunities to ascertain future provision and resources. This will be entirely focused upon the Enterprise Zone</p> |
| 5.1.4 | <p>As part of the negotiations for securing HSBC UK HQ, Marketing Birmingham and Birmingham City Council considered a variety of incentives and packages to differentiate Birmingham from the competition. Relocation services and support were considered to provide significant advantages and following this a tri-party agreement between HSBC, Birmingham City Council and Marketing Birmingham will be agreed for a three year period. The first phase of the project (2015/16) focusses on the attraction of existing staff to the West Midlands area. HSBC are keen to secure good relocation conversion rate of approximately 200 staff from London to Birmingham. The HSBC employee talent pool will service from the Canary Wharf operations alongside their wider UK and overseas operations. It is not relocating existing employment in the city. During this phase the service and tools will be established and tested using HSBC as a pilot.</p> |
| 5.1.5 | <p>The second phase in 2016/17 and 2017/18 will see the service being expanded to other organisations and used during the lead generation process to attract and convert pipeline enquiries. During this time the plot will also test the impact of the service on business development and performance.</p> |
| 5.1.6 | <p>This package is not being delivered within the UK and is therefore unique to Birmingham. It will provide a differentiation for Birmingham and its Enterprise Zone. More specifically the project will:</p> <ul style="list-style-type: none"> • Facilitate the relocation process for inward investment clients across all sectors by providing support tools and information resources that will assist businesses with employee attraction and relocation • Address location specific barriers to landing projects, such as outdated perceptions of the area, by communicating the area's multi layered propositions around business and lifestyle <p>The project provides additionality to the work currently provided by Marketing Birmingham to Birmingham City Council.</p> |
| 5.1.7 | <p>In order to achieve the outputs below, Marketing Birmingham will be providing:</p> <ul style="list-style-type: none"> • A dedicated team: two full time (Project Manager and Project Executive), which will manage the relationship with HSBC and develop the relocation services function. • Relocation enquires services: a telephone and web-based service, operational 0900hrs – 1700hrs during week days, which aims to help with enquiries relating to property, education, lifestyle and career. • Relocation web portal: a digital resource that will (a) support with the wider destination sell - showcasing the areas business offer and lifestyle assets and (b) to support specific relocation needs via the creation of bespoke digital tool that will provide users with information that will support with the decision-making process. • Relocation collateral: (a) lifestyle magazine – 28-page publication that focuses on the areas lifestyle proposition featuring local bloggers and writers to communicate the regions quality of life and (b) orientation tools – maps and area guides that help to support the decision making process. • Birmingham familiarisation sessions – group sessions within Birmingham that explores topics related to property selection, education options and lifestyle orientation. |

5.1.8

The outputs agreed for phase 1 (HSBC) to be delivered by mid-2019 are:

| | |
|--|------------|
| Number of direct new employment positions filled within the EZ: | 1,300 |
| Amount of land developed or redeveloped in the EZ (ha): | 3.72 |
| New/refurbished floorspace created in the EZ (gross internal area in sqm.) | 1,000,000+ |

The outputs for the remainder of the programme will be agreed once the HSBC work has been completed as per the information contained in section 4.2

5.1.9

The progress of the project will be monitored by the submission of a monthly highlight report to the EZ Programme Manager and a performance management framework has been established to monitor against timescales, spend and project objectives.

5.2

Occupier proposition development and activation programme (£0.098m)

5.2.1

The project will provide intelligence, insights and tools; to effectively market the EZ to higher value added front and middle office activities within Business, Professional and Financial Services (BPFS) Marketing Birmingham will commission external consultants to undertake specific pieces of work.

5.2.2

Specifically the project will develop:

- (i) desk research to understand the key location criteria for investors and match these against the EZ's assets and potential competitive advantages in the market.
- (ii) analysis identifying key strengths, opportunities and USPs and recommendations relating to positioning of the EZ relative to alternative locations, key target markets and how to improve awareness of the EZ's competitive advantage
- (iii) a more detailed value proposition for the EZ which can be used in pro-active marketing activity
- (iv) a database of potential investors to be approached directly with the Value Proposition.

5.2.3

The research and insights generated by the project will provide a comprehensive understanding of:

- (i) the key location criteria for investors in higher value added front and middle office activities within BPFS investors matched against the EZ's assets and potential competitive advantages in the market
- (ii) the EZ's positioning relative to alternative locations
- (iii) potential target markets for front and middle office investment projects.

5.2.4

This will help attract substantial new inward investment in higher value added front and middle office activities within BPFS into the EZ. These activities are highly knowledge-based and are characterised by high levels of creativity and innovation and the adoption of cutting edge technologies. Attracting and growing these industries has become a key priority within economic development – as their role in as a driver of productivity and economic growth and in attracting a world class pool of knowledge workers, has been increasingly recognised.

5.2.5

This project will play a vital role in helping articulate the strengths of the EZ vis-à-vis other locations and generate a significant competitive advantage over other regional cities, building on the recent successful attraction of Deutsche Bank, Hogan Lovells and HSBC to the area.

5.3 Sector Sales Team (£0.425m)

- 5.3.1 This EZ Sector Sales Support Programme will focus on actively securing occupiers into the EZ in the Business, Professional and Financial Services, tech, digital media and creative sectors (the target sectors for the EZ). It will include lead generation, company data intelligence and may include a number of targeted seminars and events and attracting occupiers to the EZ. In addition it will also focus on the second core priority for the overall programme – attracting investment and development towards the EZ.
- 5.3.2 There will be two new staff employed by Marketing Birmingham and managed by an existing member of the team (30% of whose time will be spent directly on this programme).
- 5.3.3 These new members of staff will be entirely EZ focused and whilst employed and managed by the Marketing Birmingham Team they will have links with the EZ programme management team.
- 5.3.4 Whilst landowners and developers will be able to promote their own site/project, the role of Marketing Birmingham is to provide a 'whole' sell and to ensure that the best fit to the client's needs is presented to ensure the prospect is landed on one of the EZ sites.
- 5.3.5 The team will be directly engaged with and accountable to the landowners and occupiers of the EZ via a Landowners and Occupier Board, Marketing Birmingham will establish. The progress of the project will be monitored by the submission of a monthly highlight report to the EZ Programme Manager and a performance management framework has been established to monitor against timescales, spend and project objectives
- 5.3.6 This application will enable the EZ to have a dedicated team for 3 years to focus on attracting business/investment to the EZ sites. The work will also develop the pipeline as it can take considerable time to land a prospect (HSBC were looking/planning for 3 years prior to settling on Birmingham)
- 5.3.7 The outputs will be:
- | | |
|---|----------|
| Number of new employment positions filled within the EZ: | 375 |
| Number of indirect new employment positions filled within the EZ: | 290 |
| Number of new enterprises in the EZ: | 14 |
| Private Sector capital investment into the EZ (gross) | £360,000 |

6. Evaluation of alternative option(s):

- 6.1 Do nothing – Do not release EZ funding for Marketing Birmingham to implement this scheme. This will mean the project cannot go ahead and the EZ may lose out on inwards investment as a result

7. Reasons for Decision(s):

- 7.1 To approve the commission of Marketing Birmingham on behalf of the GBSLEP to undertake a package of relocation services to encourage businesses to relocate to the EZ area.

| Signatures | <u>Date</u> |
|--|------------------------|
| Cllr Tahir Ali – Cabinet Member for Development, Transport and the Economy | |
| Mark Rogers Chief Executive | 15 March 2016 |

| List of Background Documents used to compile this Report: | |
|---|--|
| 1 | Enterprise Zone Project Proposal Forms |
| 2 | City Centre Enterprise Zone – Revised Investment Pan – Cabinet report dated 28 th July 2014 |

| List of Appendices accompanying this Report (if any): | |
|---|---------------------------------------|
| 1. | Relocations Services Budget Breakdown |
| 2. | Equalities Assessment |

PROTOCOL PUBLIC SECTOR EQUALITY DUTY

- 1 The public sector equality duty drives the need for equality assessments (Initial and Full). An initial assessment should, be prepared from the outset based upon available knowledge and information.
- 2 If there is no adverse impact then that fact should be stated within the Report at section 4.4 and the initial assessment document appended to the Report duly signed and dated. A summary of the statutory duty is annexed to this Protocol and should be referred to in the standard section (4.4) of executive reports for decision and then attached in an appendix; the term 'adverse impact' refers to any decision-making by the Council which can be judged as likely to be contrary in whole or in part to the equality duty.
- 3 A full assessment should be prepared where necessary and consultation should then take place.
- 4 Consultation should address any possible adverse impact upon service users, providers and those within the scope of the report; questions need to assist to identify adverse impact which might be contrary to the equality duty and engage all such persons in a dialogue which might identify ways in which any adverse impact might be avoided or, if avoidance is not possible, reduced.
- 5 Responses to the consultation should be analysed in order to identify:
 - (a) whether there is adverse impact upon persons within the protected categories
 - (b) what is the nature of this adverse impact
 - (c) whether the adverse impact can be avoided and at what cost – and if not –
 - (d) what mitigating actions can be taken and at what cost
- 6 The impact assessment carried out at the outset will need to be amended to have due regard to the matters in (4) above.
- 7 Where there is adverse impact the final Report should contain:
 - a summary of the adverse impact and any possible mitigating actions (in section 4.4 or an appendix if necessary)
 - the full equality impact assessment (as an appendix)
 - the equality duty – see page 9 (as an appendix).

Equality Act 2010

The Executive must have due regard to the public sector equality duty when considering Council reports for decision.

The public sector equality duty is as follows:

| | |
|---|---|
| 1 | <p>The Council must, in the exercise of its functions, have due regard to the need to:</p> <ul style="list-style-type: none"> (a) eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by the Equality Act; (b) advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it; (c) foster good relations between persons who share a relevant protected characteristic and persons who do not share it. |
| 2 | <p>Having due regard to the need to advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it involves having due regard, in particular, to the need to:</p> <ul style="list-style-type: none"> (a) remove or minimise disadvantages suffered by persons who share a relevant protected characteristic that are connected to that characteristic; (b) take steps to meet the needs of persons who share a relevant protected characteristic that are different from the needs of persons who do not share it; (c) encourage persons who share a relevant protected characteristic to participate in public life or in any other activity in which participation by such persons is disproportionately low. |
| 3 | <p>The steps involved in meeting the needs of disabled persons that are different from the needs of persons who are not disabled include, in particular, steps to take account of disabled persons' disabilities.</p> |
| 4 | <p>Having due regard to the need to foster good relations between persons who share a relevant protected characteristic and persons who do not share it involves having due regard, in particular, to the need to:</p> <ul style="list-style-type: none"> (a) tackle prejudice, and (b) promote understanding. |
| 5 | <p>The relevant protected characteristics are:</p> <ul style="list-style-type: none"> (a) age (b) disability (c) gender reassignment (d) pregnancy and maternity (e) race (f) religion or belief (g) sex (h) sexual orientation |

| RELOCATION SERVICES BUDGET SUMMARY | | | | | | |
|------------------------------------|---|------------------------|--------------------------------|---------------------|----------------------------|--------------------------------|
| Job Code: RELOC1516 | | | | | | |
| | Funding Stream | 15-16 Actual Spend YTD | Allocated Spend to 31st Mar 16 | Overall 15-16 Spend | Spend proportioned to HSBC | Overall Remaining Budget 15-16 |
| | | | | | | |
| 2015/16 | Project management | | | | | £170,000.00 |
| | Resources | £12,072.69 | £22,500.00 | £34,572.69 | £6,914.54 | |
| | Travel & Subsistence | £672.95 | £269.18 | £942.13 | £672.95 | |
| | Overheads | £3,363.50 | £840.88 | £4,204.38 | £3,363.50 | |
| | Total PM expenditure | £16,109.14 | £23,610.06 | £39,719.20 | £10,950.99 | £39,719.20 |
| | | | | | | £130,280.81 |
| | Marketing comms | | | | | |
| | Digital | £77,085.00 | £3,854.25 | £80,939.25 | £24,281.78 | |
| | Publication | £20,161.00 | £1,008.05 | £21,169.05 | £4,875.00 | |
| | Maintainance | £8,460.00 | £0.00 | £8,460.00 | £2,538.00 | |
| | Other | £23.01 | £36.19 | £59.20 | £0.00 | |
| | Total MC expenditure | £105,729.01 | £4,898.49 | £110,627.50 | £31,694.78 | £110,627.50 |
| | | | | | | £19,653.31 |
| | Familiarisation Programme | | | | | |
| | Autumn 2015 (3 x Fam Days - 3rd September 2015, 17th November, 18th November) | £15,117.93 | £4,535.38 | £19,653.31 | £19,653.31 | |
| | Total FP expenditure | £15,117.93 | £4,535.38 | £19,653.31 | £19,653.31 | £19,653.31 |
| | TOTALS | £136,956.08 | £33,043.92 | £170,000.00 | £62,299.07 | £170,000.00 |
| | | | | | | £0.00 |
| | Funding Stream | 16-17 Actual Spend YTD | Allocated Spend to 31st Mar 17 | Overall 16-17 Spend | Spend proportioned to HSBC | Overall Remaining Budget 16-17 |
| | | | | | | |
| 2016/17 | Project management | | | | | £180,000.00 |
| | Resources | £0.00 | £75,000.00 | £75,000.00 | £15,000.00 | |
| | Travel & Subsistence | £0.00 | £1,000.00 | £1,000.00 | £0.00 | |
| | Overheads | £0.00 | £4,000.00 | £4,000.00 | £0.00 | |
| | Total PM expenditure | £0.00 | £80,000.00 | £80,000.00 | £15,000.00 | £80,000.00 |
| | | | | | | £100,000.00 |
| | Marketing comms | | | | | |
| | Digital | £0.00 | £30,000.00 | £30,000.00 | £0.00 | |
| | Publication | £0.00 | £30,000.00 | £30,000.00 | £0.00 | |
| | Maintainance | £0.00 | £4,000.00 | £4,000.00 | £0.00 | |
| | Other | £0.00 | £6,000.00 | £6,000.00 | £0.00 | |
| | Total MC expenditure | £0.00 | £70,000.00 | £70,000.00 | £0.00 | £70,000.00 |
| | Familiarisation Programme | | | | | |
| | Spring/Summer weekends | £0.00 | £30,000.00 | £30,000.00 | £21,000.00 | |
| | Total FP expenditure | £0.00 | £30,000.00 | £30,000.00 | £21,000.00 | £30,000.00 |
| | TOTALS | £0.00 | £180,000.00 | £180,000.00 | £36,000.00 | £180,000.00 |
| | | | | | | £0.00 |
| | Funding Stream | 17-18 Actual Spend YTD | Allocated Spend to 31st Mar 18 | Overall 17-18 Spend | Spend proportioned to HSBC | Overall Remaining Budget 17-18 |
| | | | | | | |
| 2017/18 | Project management | | | | | £150,000.00 |
| | Resources | £0.00 | £75,000.00 | £75,000.00 | £15,000.00 | |
| | Travel & Subsistence | £0.00 | £2,000.00 | £2,000.00 | £0.00 | |
| | Overheads | £0.00 | £5,000.00 | £5,000.00 | £0.00 | |
| | Total PM expenditure | £0.00 | £82,000.00 | £82,000.00 | £15,000.00 | £82,000.00 |
| | | | | | | £68,000.00 |
| | Marketing comms | | | | | |
| | Digital | £0.00 | £15,000.00 | £15,000.00 | £0.00 | |
| | Publication | £0.00 | £10,000.00 | £10,000.00 | £0.00 | |
| | Maintainance | £0.00 | £5,000.00 | £5,000.00 | £0.00 | |
| | Other | £0.00 | £8,000.00 | £8,000.00 | £0.00 | |
| | Total MC expenditure | £0.00 | £38,000.00 | £38,000.00 | £0.00 | £38,000.00 |
| | Familiarisation Programme | | | | | |
| | Spring/Summer weekends | £0.00 | £30,000.00 | £30,000.00 | £15,000.00 | |
| | Total FP expenditure | £0.00 | £30,000.00 | £30,000.00 | £15,000.00 | £30,000.00 |
| | TOTALS | £0.00 | £150,000.00 | £150,000.00 | £30,000.00 | £150,000.00 |
| | | | | | | £0.00 |

Equality Analysis

Birmingham City Council Analysis Report

| | |
|--------------------------------|--|
| EA Name | Enterprise Zone Funding Request For Support From Marketing Birmingham |
| Directorate | Economy |
| Service Area | P&R Planning And Development |
| Type | New/Proposed Function |
| EA Summary | <p>This EA is in relation to the request for Enterprise Zone funding for the delivery of an Enterprise Zone Relocations Service Pilot, an Enterprise Zone Occupier Proposition Development and Activation Programme and an Enterprise Zone Sector Sales Team.</p> <p>The project will have a positive impact on equality considerations by helping to attract new inward investment to the city thereby generating a range of employment opportunities, albeit indirectly and over the longer-term. No potential to disproportionately affect any protected group has been identified through the consultation or project planning phases.</p> |
| Reference Number | EA001196 |
| Task Group Manager | Noreen.Khadim@birmingham.gov.uk |
| Task Group Member | |
| Date Approved | 2016-03-01 00:00:00 +0000 |
| Senior Officer | Simon.Garrad@birmingham.gov.uk |
| Quality Control Officer | Richard.Woodland@birmingham.gov.uk |

Introduction

The report records the information that has been submitted for this equality analysis in the following format.

Overall Purpose

This section identifies the purpose of the Policy and which types of individual it affects. It also identifies which equality strands are affected by either a positive or negative differential impact.

Relevant Protected Characteristics

For each of the identified relevant protected characteristics there are three sections which will have been completed.

- Impact
- Consultation
- Additional Work

If the assessment has raised any issues to be addressed there will also be an action planning section.

The following pages record the answers to the assessment questions with optional comments included by the assessor to clarify or explain any of the answers given or relevant issues.

1 Activity Type

The activity has been identified as a New/Proposed Function.

2 Overall Purpose

2.1 What the Activity is for

| | |
|---|--|
| What is the purpose of this Function and expected outcomes? | Creation of employment opportunities. Increase in Inward Investment |
|---|--|

For each strategy, please decide whether it is going to be significantly aided by the Function.

| | |
|---------------------------|-----|
| Public Service Excellence | No |
| A Fair City | Yes |
| A Prosperous City | Yes |
| A Democratic City | No |

2.2 Individuals affected by the policy

| | |
|---|-----|
| Will the policy have an impact on service users/stakeholders? | No |
| Will the policy have an impact on employees? | No |
| Will the policy have an impact on wider community? | Yes |

2.3 Analysis on Initial Assessment

The work to be undertaken by Marketing Birmingham on behalf of the Enterprise Zone and will impact on the Birmingham and GBSLEP community in a positive manner creating the conditions for economic growth and thereby indirectly providing new employment opportunities for the city. The work will create positive inward investment to Birmingham. This work has been discussed and approved for the Enterprise Zone by senior BCC colleagues in finance and members of the LEP. The Council has worked alongside Marketing Birmingham for six months to put these proposals in place which are robust and offers value for money. The analysis at this stage is that the project will lead to equality of opportunity for all by supporting economic growth and inward investment. A full analysis is not required as there is no potential to disadvantage one protected group over another. In addition the project will be subject to regular review and will be monitored by Marketing Birmingham and BCC in respect of jobs created and any economic outcomes.

3 Concluding Statement on Full Assessment

As per conclusion in initial assessment.

4 Review Date

07/03/16

5 Action Plan

There are no relevant issues, so no action plans are currently required.

| | | |
|---|---|---|
| Report to | CABINET | <i>Exempt information paragraph number – if private report:</i> |
| Report of: Date of Decision: | STRATEGIC DIRECTOR FOR ECONOMY 22 ND MARCH 2016 | |
| SUBJECT: | SUSTAINABLE TRAVEL TRANSITION YEAR FUND 2016/17 CONSORTIUM BID SUBMISSION AS LEAD AUTHORITY AND ACCOUNTABLE BODY | |
| Key Decision: Yes | Relevant Forward Plan Ref: 001727/2016 | |
| If not in the Forward Plan: (please "X" box) | Chief Executive approved | <input checked="" type="checkbox"/> |
| | O&S Chairman approved | <input checked="" type="checkbox"/> |
| Relevant Cabinet Member(s): | Councillor Tahir Ali – Cabinet Member for Development, Transport and the Economy | |
| Relevant O&S Chairman: | Councillor Victoria Quinn – Economy, Skills, and Sustainability | |
| Wards affected: | ALL | |

LATE REPORT

Reasons for Lateness

Further to the issue of guidance on the 5th February 2016 for the Department for Transport's Sustainable Travel Transition Year Fund 2016/17, the Council has been approached at short notice to lead a consortium bid submission comprising local authority and third sector partners. As the Council will act as Lead Authority and Accountable Body for the bid (up to £2.5m revenue), this constitutes a key decision as per the Council's Constitution and Gateway and Related Financial Approval Framework.

Reasons for Urgency

Bids to the Department for Transport's Sustainable Travel Transition Year Fund 2016/17 are required to be submitted by 29th March 2016. The recommendations contained within this report require executive decision prior to this date.

BIRMINGHAM CITY COUNCIL

PUBLIC REPORT

| | |
|--|---|
| Report to: | CABINET |
| Report of: | STRATEGIC DIRECTOR FOR ECONOMY |
| Date of Decision: | 22nd MARCH 2016 |
| SUBJECT: | SUSTAINABLE TRAVEL TRANSITION YEAR FUND 2016/17 CONSORTIUM BID SUBMISSION AS LEAD AUTHORITY AND ACCOUNTABLE BODY |
| Key Decision: Yes | Relevant Forward Plan Ref: 001727/2016 |
| If not in the Forward Plan: (please "X" box) | Chief Executive approved <input checked="" type="checkbox"/> O&S Chairman approved <input checked="" type="checkbox"/> |
| Relevant Cabinet Member(s) or Relevant Executive Member(s): | Councillor Tahir Ali – Cabinet Member for Development, Transport and the Economy |
| Relevant O&S Chairman: | Councillor Victoria Quinn – Economy, Skills, and Sustainability |
| Wards affected: | All |

| | |
|-----------|--|
| 1. | Purpose of report: |
| 1.1 | This report seeks approval for the Council to act as ‘Lead Authority’ and ‘Accountable Body’ for a consortium bid up to £2.5m (revenue) to the Department for Transport’s Sustainable Travel Transition Year Fund 2016/17. The bid, which is required to be submitted by the 29 March 2016, will be developed and managed by Living Streets (the national walking charity) on behalf of the consortium including the Council in its Lead Authority role and circa 15 local authority partners. |
| 1.2 | The bid fully aligns with the Council’s Birmingham Connected transport strategy and will, if successful, act as a further catalyst to encouraging active travel, with associated benefits of reducing road congestion, improving the environment and improving health and well-being. These objectives are embedded within the Council Business Plan and Budget 2016+ and support a range of cross Directorate projects identified within the Future Council Programme. |
| 1.3 | The bid also supports the principles of partnership working as set out in Birmingham 2020 and the Council Business Plan and Budget 2016+. Furthermore it shows the Council tangibly acting in an ‘enabling’ capacity with other local authority partners and the third sector. |
| 1.4 | This matter was not included in the forward plan due to the Council being approached by partners at short notice to act as ‘Lead Authority’ and ‘Accountable Body’ for this bid. |

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| 2. | Decision(s) recommended: |
| | That Cabinet: |
| 2.1 | Approves a consortium bid submission in partnership with Living Streets and other local authority partners to the Department for Transport’s Sustainable Travel Transition Year Fund 2016/17 for a maximum sum of £2.5m (revenue). |
| 2.2 | Approves that the Council will act as ‘Lead Authority’ and ‘Accountable Body’ for the bid, which if successful, will include receiving and administering up to £2.5m of Department for Transport revenue funding during the 2016/17 financial year. |
| 2.3 | Delegates grant acceptance to the Council’s Section 151 Officer so as to enable the expedient mobilisation and delivery of the project in accordance with bid guidelines. |
| 2.4 | Approves entry into a back-to-back grant funding agreement with Living Streets to undertake the delivery and overall management of the consortium work programme and associated deliverables as defined in the bid submission. |
| 2.5 | Authorises the Assistant Director Transportation and Connectivity to make grant payments to Living Streets in accordance with the above back-to-back grant funding agreement. |

| | |
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| 2.6 | Authorises the City Solicitor to negotiate, execute and complete any necessary legal documentation to give effect to the above recommendations. |
| 2.7 | Notes that project deliverables within the Council's administrative boundary will be agreed by the Assistant Director Transportation and Connectivity in consultation with the relevant portfolio holder. |

| | |
|---------------------------------|--|
| Lead Contact Officer(s): | Phil Edwards – Head of Growth and Transportation |
| Telephone No: | 0121 303 7409 |
| E-mail address: | Philip.edwards@birmingham.gov.uk |
| 3. Consultation | |
| 3.1 | <u>Internal</u> Due to the short timescales associated with this bid, consultation has been undertaken with the Deputy Leader, Strategic Director Finance and Legal, Director of Highways and Resilience, Assistant Director Transportation and Connectivity and Assistant Director of Employment who support the proposals contained within this report. |
| 3.2 | Officers from City Finance and Legal and Democratic Services have been involved in the preparation of this report. |
| 3.3 | The Chief Executive and Overview and Scrutiny Chairman for Economy, Skills and Sustainability have approved this report to be submitted to March Cabinet. |
| 3.4 | <u>External</u> External consultation has taken place with bid partners namely Living Streets and other local authorities within the consortium and the Department for Transport as part of a scoping workshop to define the objectives of the Sustainable Travel Transition Year Fund 2016/17. |

| | |
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| 4. Compliance Issues: | |
| 4.1 | <u>Are the recommended decisions consistent with the Council's policies, plans and strategies?</u> |
| 4.1.1 | The bid fully aligns with the Council's Birmingham Connected transport strategy and will, if successful act as a further catalyst to encouraging active travel, with associated benefits of reducing road congestion, improving the environment and improving health and well-being. These objectives are embedded within the Council Business Plan and Budget 2016+ and support a number of cross Directorate projects identified within the Future Council Programme. |
| 4.2 | <u>Financial Implications (Will decisions be carried out within existing finance and Resources?)</u> |
| 4.2.1 | The maximum allowable bid to the Department for Transport is £2.5m, with a 10% revenue and 30% capital local 'in kind' contribution expected from the consortium. In the Council's case a pro-rata contribution of circa £17,000 revenue and £50,000 capital (a one fifteenth share) can be accommodated from existing projects and programmes, specifically existing staff resources supporting related initiatives and the approved Walking Improvements capital scheme. All grant funding should be expended by 31 March 2017 in accordance with bid guidelines. |
| 4.2.2 | In the case of a successful bid, grant will be awarded to the Council under Section 31 of the Local Government Act 2003 for use during the 2016/17 financial year in respect of the objectives and deliverables defined. As a Section 31 grant there is no potential for clawback, however, performance may have an impact on future funding rounds. |
| 4.2.3 | It is proposed as part of this bid that Living Streets deliver and manage the work programme on behalf of the consortium. Outputs and outcomes will be as defined in the bid submission to the Department for Transport. In this context and that of the Council's 'Accountable Body' status, a back-to-back grant funding agreement will be put in place with Living Streets to ensure that the terms and conditions of the grant are fully fulfilled. This will allow performance risks to be formally managed and mitigated by the Council as 'Accountable Body'. |

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| 4.2.4 | Costs associated with the funding agreement and undertaking the 'Accountable Body' role will be recovered from programme management resources included within the bid. The Council may also be required to 'host' up to two Living Streets coordinators in Central Administrative Buildings as part of its contribution to the project. Such provision would see the continuation of existing arrangements put in place for the 2015/16 financial year. Such arrangements are funded from the Growth and Transportation service overhead budget. |
| 4.2.5 | There are no ongoing revenue costs associated with this report. |
| 4.3 | <u>Legal Implications</u> |
| 4.3.1 | The arrangements set out in this report are in compliance with the powers of general competence as set out in Section 1 of the Localism Act 2011. |
| 4.4 | <u>Public Sector Equality Duty (see separate guidance note)</u> |
| 4.4.1 | An initial screening for an Equality Assessment (EA) has been undertaken and has concluded that a full EA is not required, with no adverse impacts on protected groups. The initial screening EA001231 is provided as Appendix A to this report. |

| 5. Relevant background/chronology of key events: | |
|---|--|
| 5.1 | In the 2015 Autumn Statement Government announced £580m (£500m capital and £80m revenue) of resources for sustainable travel to be known as the Access Fund. The Access Fund is essentially the successor to the Local Sustainable Transport Fund (LSTF) put in place by the coalition Government and will formally launch during summer 2016 to commence in 2017/18. To manage the transition period, the Department for Transport (DfT) is committing £20m of revenue funding during 2016/17 to resource a Sustainable Travel Transition Year Fund (STTYF). Transport authorities including consortium of third sector and/or private sector organisations have been invited to bid for these resources on a competitive basis following the issue of formal guidance in early February. It should be noted that consortium bids must be led by a local/transport authority. |
| 5.2 | The primary objectives of STTYF remain consistent with LSTF, being to support the local economy and facilitate economic development; and reduce carbon emissions. Additional objectives have also been added to help deliver wider social and economic benefits (e.g. access to employment, education and skills); and actively promote increased levels of physical activity through walking and cycling. |
| 5.3 | Over the last three financial years the Council has worked successfully with Living Streets to deliver a range of sustainable transport programmes to encourage active travel, with the associated benefits of reducing road congestion, improving the environment and improving health and well-being. Programmes in 2013/14 and 2014/15 were funded jointly by the Department of Health and the DfT, while resources in 2015/16 were secured through a competitive bid to LSTF. This latter bid was led by Durham County Council as Lead Authority and Accountable Body, with the Council a consortium partner. |
| 5.4 | In the above context and further to an approach from Living Streets, it is proposed that the Council assumes the role previously undertaken by Durham County Council (DCC) as Lead Authority and Accountable Body for a consortium bid to STTYF. DCC is unable to fulfil this role in 2016/17 due to a reduction of resources in the area of sustainable travel. As such, the Council would lead a consortium of Living Streets and circa 15 local authority partners as required by DfT bidding guidance. |
| 5.5 | In consideration of the tight timescales associated with STTYF, a detailed application to the DfT is being prepared by Living Streets in conjunction with partner authorities in parallel to this report. Proposed work packages are likely to comprise: Getting primary school children and their families walking; Getting young people walking; Walking to work; Tackling barriers to increase walking as a mode of travel; and Project Management. These work packages have been prioritised on the basis of the bid objectives, successes over the past three years and LSTF best practise. |

| | |
|--|--|
| 5.6 | Delivery of the work packages is proposed to be undertaken by Living Streets project coordinators based in local authority areas. Coordinators would work in partnership with local authority officers to engage directly with schools, businesses and local communities. Deliverables within the Council's administrative boundary (of an approximate financial value of £0.16m representing one fifteenth of the overall funding package) will be agreed by the Assistant Director Transportation and Connectivity in consultation with the relevant portfolio holder. Coordinators would also provide added value in terms of supporting local authorities to develop sustainable travel strategies and drive forward the sustainable travel agenda. This added value is particularly relevant to the Council as it looks to take forward a new Cycling and Walking strategy in 2016/17. |
| 5.7 | As Lead Authority and Accountable Body the Council would be required to receive and administer up to £2.5m of DfT Section 31 revenue funding during the 2016/17 financial year. As project mobilisation is critical to the success of work programme, it is proposed that grant acceptance is delegated to the Council's Section 151 Officer. It is further proposed that a back-to-back grant funding agreement be put in place between the Council and Living Streets to deliver and manage the project (including risks), with the Assistant Director Transportation and Connectivity authorised to make all necessary grant payments. Such payments will be made in accordance with the grant funding agreement, which will set out payment dates linked to project performance. It should be noted that the Council has no responsibility for activities outside of its administrative boundary and will not enter into agreements with any other member of the consortium. |
| 5.8 | It should be noted that all recruitment, line management and ongoing HR support will be provided by Living Streets, with Living Streets to prepare all project reporting and financial claims on behalf of the Council. There will be no ongoing HR liabilities or revenue implications arising from this project. It is envisaged that 75% of the STTYF grant would be paid in advance to the Council, with the remaining 25% to be claimed at the end of the project. Adverse cash flow implications to the Council are considered unlikely. |
| 5.9 | To ensure robust project governance and risk management, it is proposed that a national project steering group be created, with the Council's Senior Responsible Officer (Assistant Director Transportation and Connectivity) to chair. This group will be attended by Living Streets project managers and partner authority representatives. Project reports and associated briefings will be provided to the relevant portfolio holder on a bi-monthly basis to provide oversight by the executive. |
| 5.10 | Given the partnership nature of this proposal and the Council's role as Lead Authority and Accountable Body there are no procurement implications associated with this report. |
| 5.11 | Appropriate monitoring and evaluation will be undertaken to assess the success of the project and help support the development of any subsequent bids to the DfT's Access Fund to be launched in summer 2016. |
| 5.12 | Key milestones in terms of next steps are as follows: bid submission to the DfT – 29 March 2016; assessment of bids and funding announcements from DfT – late April 2016; sealing of back-to-back grant funding agreement and project commencement – mid May 2016. |
| 5.13 | It should be noted that the Council is also part of a metropolitan area consortium bid being led by the West Midlands Integrated Transport Authority. The Council's participation is subject to a separate Cabinet Member/Chief Officer report in accordance with the Gateway and Related Financial Approval Framework. |
| 6. Evaluation of alternative option(s): | |
| 6.1 | Option 1 – another local authority acts as Lead Authority and Accountable Body for the bid consortium. Given the short timescales associated with this bid it would be highly difficult to find another local authority to fulfil this role at this current stage of bid development. |
| 6.2 | Option 2 – do not take part in this consortium proposal. This would be in conflict with the objectives of the Council's Birmingham Connected transport strategy and those contained within the Council Business Plan and Budget 2016+ relating to transport, health, air quality, well-being and partnership working. |

| 7. Reasons for Decision(s): | |
|------------------------------------|---|
| 7.1 | To approve a consortium bid submission in partnership with Living Streets and other local authority partners to the Department for Transport's Sustainable Travel Transition Year Fund 2016/17 for a maximum sum of £2.5m (revenue). |
| 7.2 | To approve that the Council will act as 'Lead' authority and 'Accountable Body' for the bid, which if successful, will include receiving and administering up to £2.5m of Department for Transport revenue funding during the 2016/17 financial year. |
| 7.3 | To enable expedient project mobilisation and delivery through the approval of delegations and relevant grant funding agreements. |

| Signatures | <u>Date</u> |
|--|--------------------|
| Cllr Tahir Ali – Cabinet Member for Development, Transport and the Economy | |
| Waheed Nazir Strategic Director for Economy | |

| List of Background Documents used to compile this Report: | |
|--|--|
| 1 | Council Business Plan and Budget 2016+ |
| 2 | Birmingham Connected Transport Strategy |
| 3 | Sustainable Travel Transition Year 2016/17 Guidance on Bidding – DfT – February 2016 |
| 4 | Birmingham 2020 |

| List of Appendices accompanying this Report (if any): | |
|--|--|
| 1. | Equalities Assessment Initial Screening – Appendix A |

PROTOCOL PUBLIC SECTOR EQUALITY DUTY

- 1 The public sector equality duty drives the need for equality assessments (Initial and Full). An initial assessment should, be prepared from the outset based upon available knowledge and information.
- 2 If there is no adverse impact then that fact should be stated within the Report at section 4.4 and the initial assessment document appended to the Report duly signed and dated. A summary of the statutory duty is annexed to this Protocol and should be referred to in the standard section (4.4) of executive reports for decision and then attached in an appendix; the term 'adverse impact' refers to any decision-making by the Council which can be judged as likely to be contrary in whole or in part to the equality duty.
- 3 A full assessment should be prepared where necessary and consultation should then take place.
- 4 Consultation should address any possible adverse impact upon service users, providers and those within the scope of the report; questions need to assist to identify adverse impact which might be contrary to the equality duty and engage all such persons in a dialogue which might identify ways in which any adverse impact might be avoided or, if avoidance is not possible, reduced.
- 5 Responses to the consultation should be analysed in order to identify:
 - (a) whether there is adverse impact upon persons within the protected categories
 - (b) what is the nature of this adverse impact
 - (c) whether the adverse impact can be avoided and at what cost – and if not –
 - (d) what mitigating actions can be taken and at what cost
- 6 The impact assessment carried out at the outset will need to be amended to have due regard to the matters in (4) above.
- 7 Where there is adverse impact the final Report should contain:
 - a summary of the adverse impact and any possible mitigating actions (in section 4.4 or an appendix if necessary)
 - the full equality impact assessment (as an appendix)
 - the equality duty – see page 9 (as an appendix).

Equality Act 2010

The Executive must have due regard to the public sector equality duty when considering Council reports for decision.

The public sector equality duty is as follows:

| | |
|---|---|
| 1 | <p>The Council must, in the exercise of its functions, have due regard to the need to:</p> <ul style="list-style-type: none">(a) eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by the Equality Act;(b) advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it;(c) foster good relations between persons who share a relevant protected characteristic and persons who do not share it. |
| 2 | <p>Having due regard to the need to advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it involves having due regard, in particular, to the need to:</p> <ul style="list-style-type: none">(a) remove or minimise disadvantages suffered by persons who share a relevant protected characteristic that are connected to that characteristic;(b) take steps to meet the needs of persons who share a relevant protected characteristic that are different from the needs of persons who do not share it;(c) encourage persons who share a relevant protected characteristic to participate in public life or in any other activity in which participation by such persons is disproportionately low. |
| 3 | <p>The steps involved in meeting the needs of disabled persons that are different from the needs of persons who are not disabled include, in particular, steps to take account of disabled persons' disabilities.</p> |
| 4 | <p>Having due regard to the need to foster good relations between persons who share a relevant protected characteristic and persons who do not share it involves having due regard, in particular, to the need to:</p> <ul style="list-style-type: none">(a) tackle prejudice, and(b) promote understanding. |
| 5 | <p>The relevant protected characteristics are:</p> <ul style="list-style-type: none">(a) Age(b) Disability(c) gender reassignment(d) pregnancy and maternity(e) Race(f) religion or belief(g) Sex(h) sexual orientation |

Equality Analysis

Birmingham City Council Analysis Report

| | |
|--------------------------------|---|
| EA Name | Sustainable Travel Transition Year Fund 2016/17 - Consortium Bid Submission As Lead Authority And Accountable Body |
| Directorate | Economy |
| Service Area | Transportation Services Growth And Transportation |
| Type | New/Proposed Policy |
| EA Summary | This EA assesses the impact of Birmingham City Council (BCC) acting as 'Lead Authority' and 'Accountable Body' for a consortium bid up to 2.5m (revenue) to the Department for Transport's Sustainable Travel Transition Year (STTY) Fund 2016/17. The bid, which is required to be submitted by the March 29th 2016, will be developed and managed by Living Streets (the national walking charity) on behalf of the consortium including the Council in its Lead Authority role, and around fifteen local authority partners. |
| Reference Number | EA001231 |
| Task Group Manager | Peter.A.Bethell@birmingham.gov.uk |
| Task Group Members | Mel.Jones@birmingham.gov.uk, philip.edwards@birmingham.gov.uk, david.i.harris@birmingham.gov.uk, Helen.Jenkins@birmingham.gov.uk, Andrea.Johnson@birmingham.gov.uk, Jennifer.Coombs@birmingham.gov.uk |
| Date Approved | 2016-03-18 00:00:00 +0000 |
| Senior Officer | philip.edwards@birmingham.gov.uk |
| Quality Control Officer | Lesley.Edwards@birmingham.gov.uk |

Introduction

The report records the information that has been submitted for this equality analysis in the following format.

Overall Purpose

This section identifies the purpose of the Policy and which types of individual it affects. It also identifies which equality strands are affected by either a positive or negative differential impact.

Relevant Protected Characteristics

For each of the identified relevant protected characteristics there are three sections which will have been completed.

- Impact
- Consultation
- Additional Work

If the assessment has raised any issues to be addressed there will also be an action planning section.

The following pages record the answers to the assessment questions with optional comments included by the assessor to clarify or explain any of the answers given or relevant issues.

1 Activity Type

The activity has been identified as a New/Proposed Policy.

2 Overall Purpose

2.1 What the Activity is for

| | |
|---|--|
| What is the purpose of this Policy and expected outcomes? | <p>In the 2015 Autumn Statement, the Government announced 580m (80m revenue and 500m capital) for sustainable travel. The Access Fund, which essentially replaces the Local Sustainable Transport Fund (LSTF), will formally launch later in 2016, to start in 2017/18. To support the transition between now and then, the DfT is committing 20m of the 80m revenue to sustainable travel projects in 2016/17. Local Authorities have been invited to bid for a share of this 20m pot for 2016/17 under the banner of Sustainable Travel Transition Year (STTY). The remaining 60m will be launched later in the year as the Access Fund.</p> <p>Birmingham City Council (BCC) is supporting a joint bid to be made by the West Midlands Integrated Transport Authority (WMITA) on behalf of the seven West Midlands District Councils and Centro for the maximum allowable total for a single consortium bid of 2.5m. This will include an allocation for (BCC) in the region of 400k. BCC would be the Lead Authority and Accountable Body for the consortium bid up to 2.5m (revenue).</p> <p>The project will support the delivery of the Birmingham Connected Transport Strategy and enhance the value of capital investment in cycle infrastructure through the Birmingham Cycle Revolution (BCR).</p> <p>In consideration of the tight timescales associated with STTYF, a detailed application to the DfT is being prepared by Living Streets in conjunction with partner authorities in parallel to this report. Proposed programme work packages are likely to comprise: Getting primary school children and their families walking; Getting young people walking; Walking to work; Tackling barriers to increase walking as a mode of travel; and Project Management. These work packages have been prioritised on the basis of the bid objectives, successes over the past three years and LSTF best practise.</p> <p>The primary objectives of STTY remain consistent with LSTF, being to support the local economy and facilitate economic development; and reduce carbon emissions. Additional objectives have also been added to help deliver wider social and economic benefits (e.g. access to employment, education and skills); and actively promote increased levels of physical activity through walking and cycling.</p> |
|---|--|

For each strategy, please decide whether it is going to be significantly aided by the Function.

| | |
|---------------------------|-----|
| Public Service Excellence | Yes |
| A Fair City | Yes |
| A Prosperous City | Yes |
| A Democratic City | Yes |

2.2 Individuals affected by the policy

| | |
|---|-----|
| Will the policy have an impact on service users/stakeholders? | Yes |
| Will the policy have an impact on employees? | Yes |

| | |
|--|-----|
| Will the policy have an impact on wider community? | Yes |
|--|-----|

2.3 Analysis on Initial Assessment

This EA is concerned with Birmingham City Council being appointed the Lead Authority and Accountable Body for the consortium bid up to 2.5m (revenue). It is considered that this does not discriminate against protected groups in terms of age, race, gender reassignment, sexual orientation, sex, pregnancy or maternity or disability.

All schemes proposed within the Sustainable Travel Transition Year (STTY) are provided as a public good and are available for all members of the community and visitors alike to use.

Transport proposals are supported by promotional and educational training provided by the Transport Behavioural Change Team within Transportation Services, particularly in relation to road safety and active travel.

Individual schemes will be subject to further screening for equalities analysis. It is considered that there are no aspects of the STTY that could contribute to inequality.

The facilities and measures proposed are for all users and none are excluded. No measures are considered to discriminate against protected groups in terms of age, race, gender reassignment, sexual orientation, sex, pregnancy or maternity or disability.

Individual scheme proposals will be further screened for equalities analysis as part of standard Council governance and approval processes. The initial screening for the STTY has indicated no adverse impacts or discrimination; it is concluded that a full EA is not necessary at this time.

This position will be reviewed for individual scheme Product Definition Documents / Full Business Cases as they progress through standard Council governance and approval processes.

The short timescales for preparation of this bid have not allowed for formal public or stakeholder consultation on the proposals. However, the funding that will be applied for under STTY will form key parts of other initiatives, which themselves have been subject to significant consultation and engagement programmes (Birmingham Connected including Green Travel Districts, Birmingham Cycle Revolution, 20mph speed limits and the Living Streets Walk To project).

Bid preparations included input and support from key delivery partners including Centro, Sustrans and Living Streets.

The content of the bid has been developed based on best practice, lessons learnt and successes from a range of other initiatives including Bike North Birmingham, the Smarter Network Smarter Choices (SNSC), the Local Sustainable Transport Fund (LSTF) 15-16 and Walk To.

In many cases the bid elements include continued delivery of ongoing initiatives.

Any new projects that would be funded under STTY would be subject to individual EAs.

3 Concluding Statement on Full Assessment

This EA is concerned with Birmingham City Council being appointed the Lead Authority and Accountable Body for the consortium bid up to 2.5m (revenue). It is considered that this does not discriminate against protected groups in terms of age, race, gender reassignment, sexual orientation, sex, pregnancy or maternity or disability.

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This position will be reviewed for individual scheme Product Definition Documents / Full Business Cases as they progress through standard Council governance and approval processes.

The short timescales for preparation of this bid have not allowed for formal public or stakeholder consultation on the proposals. However, the funding that will be applied for under STTY will form key parts of other initiatives, which themselves have been subject to significant consultation and engagement programmes (Birmingham Connected including Green Travel Districts, Birmingham Cycle Revolution, 20mph speed limits and the Living Streets Walk To project).

Bid preparations included input and support from key delivery partners including Centro, Sustrans and Living Streets.

The content of the bid has been developed based on best practice, lessons learnt and successes from a range of other initiatives including Bike North Birmingham, the Smarter Network Smarter Choices (SNSC), the Local Sustainable Transport Fund (LSTF) 15-16 and Walk To.

In many cases the bid elements include continued delivery of ongoing initiatives.

Any new projects that would be funded under STTY would be subject to individual EAs.

4 Review Date

13/03/17

5 Action Plan

There are no relevant issues, so no action plans are currently required.

| | | |
|---|--|--------------------------|
| Report to: | CABINET | |
| Report of: | Acting Strategic Director of Place | |
| Date of Decision: | 22 March 2016 | |
| SUBJECT: | ESTABLISHING THE WAY FORWARD FOR ADVICE AND INFORMATION SERVICES | |
| Key Decision: Yes | Relevant Forward Plan Ref: 000729/2015 | |
| If not in the Forward Plan: (please "X" box) | Chief Executive approved | <input type="checkbox"/> |
| | O&S Chairman approved | <input type="checkbox"/> |
| Relevant Cabinet Member(s): | Councillor Shafique Shah, Cabinet Member for Inclusion and Community Safety | |
| Relevant O&S Chairman: | Councillor Zafar Iqbal, Chair of Neighbourhood and Community Services | |
| Wards affected: | All | |

| |
|--|
| LATE REPORT |
| * To be completed for all late reports, ie. which cannot be despatched with the agenda papers ie. 5 clear working days notice before meeting. |
| <p>Reasons for Lateness [insert reasons]</p> <p>Reasons for Urgency [insert reasons]</p> |

BIRMINGHAM CITY COUNCIL

PUBLIC REPORT

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|--|--|--------------------------|
| Report to: | CABINET | |
| Report of: | Acting Strategic Director of Place | |
| Date of Decision: | 22 March 2016 | |
| SUBJECT: | Establishing the Way Forward for Advice & Information Services | |
| Key Decision: Yes | Relevant Forward Plan Ref: 000729/2015 | |
| If not in the Forward Plan: (please "X" box) | Chief Executive approved | <input type="checkbox"/> |
| | O&S Chairman approved | <input type="checkbox"/> |
| Relevant Cabinet Member(s) or Relevant Executive Member | Councillor Shafique Shah, Cabinet Member for Inclusion & Community Safety | |
| Relevant O&S Chairman: | Councillor Zafar Iqbal, Chair of Neighbourhood and Community Services | |
| Wards affected: | All | |

| |
|---|
| 1. Purpose of report: |
| <p>1.1 To set out the direction of travel for Advice and Information Services in Birmingham and to agree key aspects of this approach including the partnership approach to advice delivery via the Integrated Advice Strategy and the operating model for directly delivered welfare advice (through Neighbourhood Advice and Information Services).</p> |
| 2. Decision(s) recommended: |
| <p>That Cabinet:-</p> <p>2.1 Approve the adoption of an Integrated Advice Strategy, developed by our partners, as set out in paragraph 5.6 and Appendix 4.</p> <p>2.2 Approve the operating model for advice delivery as set out in paragraphs 5.8 and 5.9.</p> <p>2.3 Agree that following staff and trade union consultation the Acting Strategic Director for Place consider the representations received from staff and trade unions and finalise the detail and implement the detail of the operating model.</p> |

| | |
|---------------------------------|--------------------------------|
| Lead Contact Officer(s): | Chris Jordan |
| Telephone No: | 0121-303-6674 |
| E-mail address: | chris.jordan@birmingham.gov.uk |

3. Consultation

Consultation on the outline operating model has taken place with both internal and external stakeholders.

3.1 Internal

All Cabinet Members were consulted on the Integrated Advice Strategy and the high level approach to commissioned and directly delivered advice on 15th September 2015. Following this informal consultation commenced with trade unions and staff on the outline operating model with meetings taking place on a regular basis with trade unions since October 2015. There have been meetings with staff in October and November 2015. The key issues raised to date are attached in Appendix 1.

Following Cabinet decision, the formal 45 day minimum consultation will commence in accordance with Section 188 Trade Union and Labour Relations (Consolidation) Act 1992. The Acting Strategic Director for Place will consider the representations received from staff and trade unions and finalise and implement the detail of the operating model. Implementation will need to align with the timescales regarding homelessness which is subject to a separate report.

Additionally, Executive Members have engaged on the emerging model throughout 2014/15 including a workshop held on the 'Big 3 District Services' in January 2015, and briefings at the Executive Members' Forums on 26th March, 30th July and 10th September. This has included discussions on the phase 1 and phase 2 changes.

3.2 External

The development of the Integrated Advice Strategy has been led by a partnership of advice providers, Gateway to Birmingham Advice Services, (GBAS) and has been consulted on through a range of stakeholder meetings and has wide acceptance amongst advice agencies in the city.

The linking of third sector and City Council directly delivered advice has also been consulted on with stakeholders through the commissioning process for Legal Entitlement and Advice Services.

The outline operating model, as detailed in paragraphs 5.8 and 5.9, has also been consulted on through Be Heard (an on line questionnaire) and through a paper questionnaire available in the Neighbourhood Offices/Homeless Service. This consultation ran from 7th December 2015 to 21st January 2016, and had 1231 responses. A summary of the key issues raised that relate directly to the new model for Neighbourhood Advice are set out below, with full details attached in Appendix 2

3.2.1 There remains a preference from users to have access to a face to face service rather than a telephone service. There were between 32-35% in support of a shift to phones and 56-61% against.

Although less people support phone based advice there is clearly still a significant proportion of people who would welcome it. The model has sought to balance this by still providing face to face services for those who need it after a phone call has been made.

3.2.2 The proposal to prioritise face to face interviews for those who have more complex queries and for the most vulnerable of users had split feedback. There was no consensus between those agreeing and those not agreeing.

3.2.3 With regard to the initially proposed model of 5 general places for appointments 54% of respondents disagreed 34% agreed with the proposals while 12% neither agreed or disagreed. As a result the number of general access locations has been increased to seven.

The budget is only sufficient to fund 38 advice staff. The initial model identified 5 general access locations, however a further two locations have now been added to make 7. It is also the case that Council house Tenants will be able to access advice through letting suites bringing their total access points to 9 across the city. A sampling exercise showed that 60% of Neighbourhood Office Customers are Council tenants and 79% are either Council tenants or submitting an application for a Council tenancy.

3.2.4 There was a consensus for services (BCC and third sector provision) to be co-located in buildings. This is in line with the Integrated Advice Strategy and is being actively pursued.

3.2.5 There was a slight majority to who agreed with allowing advice providers to make direct referrals to the best organisation who can meet the customer's needs.

3.2.6 As a result of the public consultation and the staff and trade union informal consultation the model has been amended to

- i) Provide a further partnership access point in Aston to better reflect demand.
- ii) Increase the capacity/staffing in Sparkbrook to better reflect demand
- iii) Provide a further part time access point in Druids Heath

4. Compliance Issues:

4.1 Are the recommended decisions consistent with the Council's policies, plans and strategies?

The provision of welfare advice services supports the priorities of both a fair and prosperous city. The Integrated Advice Strategy is setting out an approach that is partnership driven and also targets prevention as a way of managing demand.

4.2 Financial Implications

- 4.2.1 The table below sets out the current and future cash limits for the Neighbourhood Advice and Information Service. The provisional cash limits are estimated at £1.319m for Neighbourhood Advice (after taking into account approved savings and accelerated step up savings) by 2016/17.

| | 2015/16 £'000 | 2016/17 £'000 | 2017/18 £'000 |
|-------------------------------------|------------------|------------------|------------------|
| Employees | 3,283 | 3,283 | 3,283 |
| Operational Costs | 563 | 563 | 563 |
| Capital Financing | 95 | 95 | 95 |
| Income * | (1,308) | (1,308) | (1,308) |
| Employee Related | 0 | 133 | 133 |
| Central Charges & Capital Financing | 0 | (169) | (169) |
| Net Budget Before Savings | 2,633 | 2,597 | 2,597 |
| Savings | (1,062) | (1,278) | (1,278) |
| Net Cash Limit | 1,571 | 1,319 | 1,319 |

*of the income, £1,248m relates to charges to the Housing Revenue Account

- 4.2.2 The proposals in the report will ensure that the services can be delivered within these cash limits and the operational models are established in line with the timescales set out in the report.
- 4.2.3 The approved step-up savings for the Neighbourhood Advice Service will be delivered primarily from employee related savings and the structure would reduce from the current 61.62 fte (plus 9 GR1 verification posts current filled with agency staff) to 41.62 fte (3.62 fte GR5 managers and 38 fte GR4 advisors).

4.3 Legal Implications

The Council provides neighbourhood advice and information services under its powers in Section 142 Local Government Act 1972 and Section 1 Localism Act 2011.

There are no proposals at this stage to share, process or jointly manage data. The Integrated Advice Strategy has an action within it to review the potential for data sharing subject to compliance with the Data Protection Act 1998 and Human Rights Act 1998.

4.4 Public Sector Equality Duty

An Equalities Analysis has been undertaken for the operating model, this is attached in Appendix 3. The main impact identified was one of travel, although there is no differential impact on protected characteristics. The original proposal has been modified to include two additional part time locations.

5. Relevant background/chronology of key events:

- 5.1 The City Council's Advice and Information Services have historically been delivered through the Neighbourhood Office Service. Since 2010 the service has undergone significant change both in budgetary terms and with a greater emphasis on pre-booked appointments and encouraging residents to use alternative channels to access advice such as the phone and web. Neighbourhood offices at which the service has been provided have reduced from around 40 to the current 7 (listed in section 5.8). The service has dealt with almost 300,000 face to face enquiries every year, covering 230+ topics. Listed below are the top 10 topics/activities for the Neighbourhood Office Service. The time taken to deal with enquiry types varies, i.e. a homelessness enquiry would on average take 3-4 times longer than a simple accommodation advice enquiry such as help with Home Choice.

| TOP 10 ACTIVITIES | Enquiries 2014/15 |
|---|-------------------|
| Verification (of proof to support housing benefit/council tax application) | 92,010 |
| Benefit Services | 54,730 |
| Birmingham Home Choice | 40,775 |
| Homeless Advice | 21,701 |
| Welfare Rights | 19,341 |
| Council Tax | 17,912 |
| Local Welfare Provision | 13,986 |
| Accommodation Advice (general housing enquiries, private rented sector queries) | 15,067 |
| Housing Other -Tenancy Estate Management | 5,760 |
| Other | 16,245 |
| Total | 297,527 |

- 5.2 The budget setting process for 2015/16 requires a saving of £1.062m to be achieved in this financial year and establishes the Neighbourhood Advice and Information Service's new budget at £1.571m. The budget reduces further still in 2016/17 as there is a requirement to deliver an accelerated step up saving. This level of financial reduction places a significant challenge on the service.
- 5.3 In formulating a way forward discussions have been held with managers in the relevant services as well as a number of meetings with the relevant cabinet members. This has set the direction for the outline operating model.

5.4 The way in which Homelessness Services are provided, as well as the role of third sector advice providers, have been crucial in the development of the model.

How we work with those providing advice in the third sector is crucial and this is detailed in future sections of this report. The 'advice offer' needs to be as effective as we can make it with diminishing resources and as a result partners have come together to develop an advice strategy based on co-location and integration. This has been truly led by advice partners and our approach to commissioning advice and direct delivery of advice has been adapted accordingly.

Access to Homelessness Services is currently provided through the four main Neighbourhood Offices (Housing Advice Centres). Each case takes a considerable amount of time to deal with. This, coupled with the Homeless and Verification services being offered as a 'drop in service' with no need for an appointment, places considerable demand on the four main Neighbourhood Offices and stifles their ability to provide other advice services (welfare benefit, council tax, debt advice etc) to other clients. The separate proposal to operate homeless services from Newtown, removes significant pressure from the wider Neighbourhood Advice Service and would enable it to focus on its core advice services.

5.5 This report sets out how the following areas can work together to deliver a model of provision through

- Third sector advice commissioning referred to in paragraph 5.7
- The Neighbourhood Office Service referred to in paragraph 5.8
- Homelessness referred to in paragraph 5.8
- Letting Suites referred in paragraph 5.9

5.6 The Integrated Advice Strategy

Agencies providing advice in the city have recognised the need to formulate an approach to delivering advice in a more joined up way. This is driven by a fundamental desire to work together to provide the best route possible for those seeking advice – to get them to the most appropriate agency to provide the advice in a timely fashion. The City Council has an important part to play in advice delivery in the city but delivery capacity across the city is made up from a multitude of providers. The strategy has also emerged in recognition of the fact that advice providers (internal and external) will need to find ways to reduce costs and maximise opportunities to bid for external funding. Working together and showing that the City has a coherent approach to advice delivery through a strategy is one way to support this.

The city council has played its part but has not been the lead agency in developing the strategy, this has been done by the Gateway to Birmingham Advice Services (GBAS). GBAS is a partnership of 15 organisations providing advice in the city and includes Birmingham Citizens Advice Bureau, Freshwinds, Birmingham Settlement, Shelter, Age UK etc. The strategy (Appendix 4) has focussed around the following areas

- Integration of advice provision
- Shifting from crisis to prevention advice
- Moving from high cost interventions (face to face) to lower cost interventions (phone/webchat)
- A high level framework to enable principles of the new approach to be adopted by all parties.

The document has gained informal support from all organisations that have been party to its development to date and Cabinet are now being asked to adopt the strategy.

The City Council's own legal team is also looking at whether it can further enhance the partnership approach to advice delivery in the most deprived wards in the city by seeking volunteers from within the legal team to offer free legal advice sessions.

5.7 Third Sector Advice Commissioning

The budget consultation process for 2015/16 resulted in some detailed engagement with third sector advice providers. The original proposals (in the budget consultation document published by the Council in December 2014) had been to cease funding for commissioning welfare benefit, debt advice, tribunal and immigration services (the budget in 2014/15 was £0.966m). The Council's consideration of the outcome of the consultation process and the revisions of its proposal both reduced and delayed the savings requirement of £0.7m, on the basis that advice providers worked with the City Council to identify the best solution possible for implementation in 2016.

This approach resulted in not only the development of the advice strategy detailed in paragraph 5.6 above but also a more detailed stakeholder engagement process to shape re-commissioned advice services within the new Gross budget envelope of £0.487m (2016/17).

The starting point for shaping the commissioned advice services has been the emerging advice strategy. Work was undertaken with stakeholders to review the strategy, look at the current provision of advice in the city and then identify the best way to utilise the available budget to move from the 'as is' provision to where advice services needed to be under the advice strategy. As a result the following services are being commissioned to start in April 2016.

- Co-ordination of advice agencies to work more effectively together, to refer between agencies, to develop branding and to submit external funding bids to advance the advice strategy
- Greater capacity for phone/web chat
- Direct advice provision including
 - A physical integrated advice hub (in line with target operating model in the advice strategy) in the City Centre, Saltley and Quinton
 - Employment advice to be given as integral part of advice offer
 - Seeking to offer free co-location for third sector advisors in BCC advice locations.

5.8 The Operational Delivery Model for Neighbourhood Advice and Information Services (Neighbourhood Offices)

The neighbourhood office service has 70.62 fte delivering the service (3.62 managers, 58 advisors and 9 staff doing benefit verification work). The current direct service provision is set out below, however this is further enhanced by the locations from which third sector advice is commissioned.

| | Neighbourhood Advice | Homeless | Verification Service |
|--------------|----------------------|----------|----------------------|
| Newtown | Yes | Yes | Yes |
| Sparkbrook | Yes | Yes | Yes |
| Erdington | Yes | Yes | No |
| Northfield | Yes | Yes | Yes |
| Saltley | Yes | No | Yes |
| Perry Common | Yes – part time | No | Yes |
| Druids Heath | Yes – part time | No | Yes |

The costs associated with the current level of staffing (3.62 managers, 58 advisors, and 9 verification agency staff) is in the order of £2.8m compared to the 2015/16 direct employee budget of £2.2m. In order to meet future budget requirements the level of advice staffing going forward is proposed to reduce to 38 fte.

In order to deliver the scale of change required the proposed operating model, sets out some key principles:

- Housing Benefit and Council Tax Support would be dealt with over the phone by second response at the contact centre, as was always envisaged under the original Customer First programme (published in 2009). Only in the most vulnerable or complex cases will individuals be dealt with through face to face appointments. This second response process would divert over one third of all work currently done by the Advice Staff (as opposed to Verification Staff) in Neighbourhood Offices. Channelling this demand away from Neighbourhood Office, protects the remaining face to face appointments for the most vulnerable clients and starts to make delivery with lower numbers of advice staff more feasible. For customers with mobility issues or who are housebound home visits will remain available.
- The contact centre will no longer be able to book appointments at first response. In future the contact centre will be expected to deal with the enquiry over the phone, however if first and second response cannot discharge an enquiry then the citizen will be contacted by a Neighbourhood Office advisor. The Neighbourhood Office advisor will initially aim to deal with the matter over the phone but may ultimately book an appointment for the customer at the Neighbourhood Office.
- Although it is proposed in a separate report that Newtown will be the main location for Homeless Services (the city also provides a service to single young people under 25 from Digbeth) other advice locations in the city will still provide initial contact/phone access to the specialist homeless team and where necessary arrange appropriate transport to the central point.
- Providing seven general access advice hubs in the city, as identified on the map in Appendix 5, in line with the target operating model for 'physical hubs' set out in the advice strategy. Two of these would be led by the Neighbourhood Office Service (Erdington and Northfield) but would also involve the third sector. These would be full time. Four would be led by the third sector (City Centre, Saltley, Quinton and outreach in Aston) but would also involve the Neighbourhood Office Service. These would be part time, as would Druids Heath which is based within the library.
- The Neighbourhood Office Service would also provide welfare advice to customers accessing other services i.e. customers using the homeless central provision and the Housing Letting Suites. This approach gives further access to advice for specific customer cohorts i.e. people experiencing homelessness and council tenants.
- The verification service is currently only offered from six locations and as a result generates a high footfall per location. The verification service is predominantly a scanning and indexing of documentation/proofs and it is proposed that this becomes a function delivered through the community library service. Community libraries would increase the number of locations the verification service is provided from, making it more accessible to residents and spreading out the volume of customers over a greater number of sites thereby reducing the footfall per site. The community library service would be paid £150,000 to deliver this service going forward. Provision of this service from libraries may also support the shift to accessing other advice related services (universal credit etc) through the internet via the public PCs available in libraries.

A map showing the proposed future City Council advice provision and other wider advice providers in the city is included in Appendix 6.

- The comparison of service provision now compared to that being proposed is set out below.

| TOP 10 ACTIVITIES | Current delivered in Neighbourhood Offices | Proposed |
|---|--|---|
| Verification (of proof to support housing benefit/council tax application) | ✓ | Delivered through community libraries |
| Benefit Services | ✓ | Majority done over the phone. If unable to resolve over the phone then delivered via a face to face appointment |
| Birmingham Home Choice | ✓ | As now |
| Homeless Advice | ✓ | Delivered via the Homelessness Service |
| Welfare Rights | ✓ | As now – but greater working with partners |
| Council Tax | ✓ | Majority done over the phone. If unable to resolve over the phone then delivered via a face to face appointment |
| Local Welfare Provision | ✓ | tbc |
| Accommodation Advice (general housing enquiries, private rented sector queries) | ✓ | As now |
| Housing Other -Tenancy Estate Management | ✓ | As now |
| Other | ✓ | As now |

5.9 Outline Advice Face to Face Model

The model is therefore seeking to develop physical hubs in line with the integrated advice strategy, combining current City Council direct delivery resource with the resource available for commissioning advice, as well as offering opportunities for third sector agencies to locate in our premises and us in theirs. In addition to the six physical hubs offering general access, and in line with the approach to demand management, there are additional services to specific customer cohorts i.e. homelessness and council tenants through letting suites.

The table below sets out the future delivery locations for advice in the city where Neighbourhood Advice staff would be based, and an indication of how many city council advice staff would be in each location. It also shows which other services would be provided from these locations. The numbers of staff will ultimately depend upon staffing structures, the TU and staff consultation process and the outcome of discussions regarding the future model for letting suites. The table seeks to indicate, by shading the appropriate box, which service area is providing the predominant service offer i.e. is it a main neighbourhood office with partners in it, or is it predominantly a homeless or letting suite service where you can also get advice. In some areas such as Erdington and Northfield both letting suites and neighbourhood advice would be providing a significant level of service and who leads and how this is integrated still needs to be determined.

| Location | Neighbourhood Advice Service *staff shared across sites | Homelessness ** proposed in separate report | Lettings Suite / Council Tenants | LEAS commissioned Third Sector Advice | Open |
|--------------|--|--|----------------------------------|---------------------------------------|------------------------|
| Newtown | ✓ 6 staff | ✓ Main homeless** | | | 5 days |
| Sparkbrook | ✓ 4 staff | | ✓ | | 5 days |
| Ladywood | ✓ 2 staff | | ✓ | | 5 days |
| Erdington | ✓ 8 staff | | ✓ | ✓ | 5 days |
| Northfield | ✓ 8 staff | | ✓ | ✓ | 5 days |
| Saltley | ✓ 3 staff | | | ✓ | 4 full days 1 half day |
| City Centre | ✓ 2 staff | | | ✓ | 5 half days |
| Aston | ✓ 2 staff | | | ✓ | 4 half days |
| Quinton | ✓ 3* staff | | | ✓ | 2 half days |
| Druids Heath | ✓ 3* staff | | | | 1 day |

6. Evaluation of alternative option(s):

- 6.1 A model of four Housing Advice Centres (combining Neighbourhood Advice and Homeless) was considered, however the number of welfare advice appointments available in this model would be limited due to the high demand for drop in homeless services. It would also not have delivered the improvements in service required by homelessness teams.
- 6.2 A two or three advice centre model was also considered however this did not provide the geographical spread and accessibility of the current model, and unless partners were willing to come into these locations it also did not provide the alignment with the Integrated Advice Strategy that is being sought.

| Signatures | | Date |
|-----------------|---|--------------|
| Cabinet Members | <p>.....</p> <p>Cllr Shafique Shah, Cabinet Member for Inclusion & Community Safety</p> | <p>.....</p> |
| Chief Officer | <p>.....</p> <p>Jacqui Kennedy, Acting Strategic Director of Place</p> | <p>.....</p> |

| List of Background Documents used to compile this Report: |
|---|
| |

| List of Appendices accompanying this Report (if any): |
|--|
| 1. Staff and TU consultation 2. NAIS Consultation Feedback Report 3. Equalities Analysis – Operating Model 4. Advice Strategy Framework 5. Map of Proposed Delivery Points for Advice 6. Map of Future BCC Advice Provision and Other Service Providers |

| Report Version | | Dated | |
|----------------|--|-------|--|
| | | | |

KEY ISSUES RAISED IN STAFF AND TRADE UNION CONSULTATION TO DATE

Trade Union meetings have been held since October 2015. There have also been two sets of staff meetings during this time to discuss the model. Although these have focussed in the Neighbourhood Office Service there have also been linkages to the revised homelessness provision.

The list of items below are those that have been initially raised through this process.

- Why not have less access points. Staffing levels of 2 in co-located provision will enable cover for leave/sickness.
- Seeking clarification of the specific role of the neighbourhood offices staff within the homeless service at Newtown
- The future locations of verification services if this service is no longer to be provided from Neighbourhood Offices
- HR processes for movement of staffing, selection of staffing and voluntary redundancy
- Equality impacts of customers travelling from the South of the city to Newtown for homeless services
- Whether a four site model, offering homeless, should be considered
- Matching the demand for advice with the staffing levels/locations
- The balance between commissioned and directly delivered services
- Operationally how first response/initial advice will operate
- Management of staff based in other locations i.e. in homelessness or based within third sector locations



Neighbourhood Advice and Information Service

- Consultation Feedback Report

Feb 2016

Lloyd Crooks
Birmingham City Council

Lloyd.Crooks@birmingham.gov.uk

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1. Executive Summary:

1.1 The public consultation was to seek users views in relation to the Neighbourhood Advice Service, it is proposed to provide specialist advice over the phone so that more issues can be resolved in this way whilst protecting face to face appointments for the most complex of situations or people who are most vulnerable.

1.2 It is also proposed to deal with a greater proportion of housing benefit and council tax enquiries over the phone. For other advice queries it is proposed to call people within 2 hours of contacting them to offer specialist advice over the phone and then, only if the situation deems it appropriate, offer a face to face appointment.

1.3 The proposed future service would offer general face to face appointments at 5 locations in the city (Quinton, City Centre, Saltley, Erdington & Northfield) and a further two locations at Letting Suites for council tenants (Ladywood & Sparkbrook). The service is also seeking to deliver advice in partnership with a range of other advice organisations in the third sectors.

1.4 The proposal for delivering these services in partnership with the third sector remains in development and as such members of the public were invited for their views on the proposed new ways of working.

1.5 The Neighbourhood Office City wide survey had 1231 respondents but not all respondents answered all the questions on the survey.

1.5.1 Respondents were asked what service did they come in about. The results were as follows:

| Answer | % | Numbers answering question |
|-----------------------|-------|----------------------------|
| Use phone or Computer | 4.5% | 55 |
| Benefits advice | 22.6% | 274 |
| Council Tax advice | 12.2% | 148 |
| Bring in paperwork | 46.5% | 565 |
| | 31.8% | 386 |

APPENDIX 2

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| Other | | |
|-------|--|--|

1.5.2 The majority of people using the NAIS visited to hand in proofs which tallies with statistics that about 40% of our users require a verification service.

1.5.3 Respondents were asked the mode of transport they used to access a face to face service.

| Answer | % | Numbers answering question |
|-------------------|-------|----------------------------|
| On foot | 29.7% | 352 |
| By Car/Motorcycle | 36.8% | 437 |
| By Bus/Train | 31.2% | 370 |
| By bike | 0.6% | 7 |
| Other | 2.3% | 27 |

1.5.4. The survey identified that nearly 30% of users where able to access the service by foot where 68% of users travelled by public transport or motorised vehicle. This figure is based on the current number of locations.

1.5.5 Question 3 respondents were asked how long they took to travel

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| Answer | % | Numbers answering question |
|-------------------|-------|----------------------------|
| less than 15 mins | 40.9% | 475 |
| 15-30mins | 39.7% | 460 |
| 31-45mins | 14.4% | 167 |
| over 45mins | 5.2% | 60 |

1.5.6 The statistics show that 80% of users took 30 mins or less to reach their local office

1.5.7 Respondents were asked whether they tried to find the information they required before visiting the office the means that they used.

| Answer | % | Number of respondents |
|---|-------|-----------------------|
| By calling the Birmingham City Council contact centre? | 68.7% | 535 |
| By looking at the Birmingham City Council website? | 28.6% | 223 |
| By contacting another agency first i.e. job centre, advice agency | 15.1% | 118 |

1.5.8 Respondents were asked to think about what they came in for and could we have dealt with this in any other way listed below:

| Answer | % | Number of respondents |
|---|-------|-----------------------|
| By an improved website with clearer on line help and advice | 24.2% | 141 |
| By an arranged call back or interview by phone | 41.6% | 242 |

APPENDIX 2

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| | | |
| By allowing documents to be emailed in to us | 49.8% | 290 |

1.5.9 While 41.6% supported the service review of dealing with interviews by the phone work will have to be done to arrange for council documents to be emailed to service users.

1.5.10 Users were asked about the proposed changes to the NAIS service.

| Answers | Agree overall | Disagree overall | Agree overall % | Disagree overall % |
|---|---------------|------------------|--------------------|-----------------------|
| Dealing with most housing benefit & council tax enquiries over the phone | 380 | 714 | 33% | 61% |
| Seeing if all other requests for advice can be dealt with over the phone prior to offering an office appointment. | 396 | 648 | 35% | 57% |
| Prioritising office based appointments for complex cases & for those people who are most vulnerable | 508 | 531 | 44% | 46% |
| There being 5 general places for appointments in the city. Council tenants will also be able to access advice at our letting suites | 381 | 612 | 34% | 54% |
| Dealing with homeless enquiries at one specialist location in Newtown | 328 | 696 | 29% | 61% |

1.5.11 The figures show an overall desire for face to face interviews while the margins are narrower when asked if face to face appointments were prioritised for more complex queries and those users who were more vulnerable.

1.5.12 Users where asked to think more widely about how we can best deliver advice services to the citizens of Birmingham. To what extent do you agree/disagree that the following improve services: The results are as follows.

| Answers | Agree | Disagree | Agree % | Disagree % |
|---|-------|----------|---------|------------|
| Being located in the same building | 873 | 210 | 75% | 18% |
| Being accessible through a single phone number | 443 | 543 | 39% | 48% |
| Allowing advice providers to make direct referrals to the best organisation who can meet the customer's needs. | 545 | 481 | 48% | 42% |

1.5.13 There seems to be an overwhelming consensus for services to be located in the same building.

2. Introduction:

On 30th November 2015 the Neighbourhood Advice and Information Service NAIS received permission to consult on the reorganisation of the NAIS ¹.

- 2.1. Public Consultation of the proposed reorganisation of Neighbourhood Advice and Information Centres commenced 07th December 2015 and ran until 21st January 2016 (7 weeks).

2.21 During this time customers, citizens and professionals were offered the opportunity to provide feedback on the councils preferred option for service redesign this being:

2.22 To provide specialist advice over the phone so that more issues can be resolved in this way whilst protecting face to face appointments for the most complex of situations or people who are most vulnerable.

2.23 To deal with an increasing number of housing benefit and council tax enquiries over the phone. For other advice queries it is proposing to call people within 2 hours of contacting them to offer specialist advice over the phone and then, only if the situation deems it appropriate, offer a face to face appointment.

2.24 The offer general face to face appointments at 5 locations in the city (Quinton, City Centre, Saltley, Erdington & Northfield) and a further two locations at Letting Suites for council tenants (Ladywood & Sparkbrook). The service is also seeking to deliver advice in partnership with a range of other advice organisations in the third sector.

- 2.2. The aim of this consultation was to establish the views of the public on the proposed revisions to the Neighbourhood Advice and Information service in order to establish the viability of the proposal, any barriers to its implementation and any additional mitigation required to ensure the service remains accessible to all (in the event that the proposal was approved to move forward).

- 2.3. Consultation was undertaken via two primary exercises which are detailed below:

A) A paper based 'Snapshot' Survey provided to all NAIS customers accessing all of the 7 current centres.

B) An online survey utilising the 'Birmingham Be Heard' consultation tool, available to all customers, concerned citizens and professionals.

- 2.4. This report contains analysis of the findings from this consultation.

3. Methodology

- 3.1. It was recognised that any proposal to reduce the number of Neighbourhood Advice and Information Centres was unlikely to be contentious however for this reason it was also decided that consultation must be as comprehensive and inclusive as reasonably practicable. It was for this reason that the 2 means of consultation outlined in 2.5 (A-B) were adopted.
- 3.2. Consultation A (The Snapshot Survey) was undertaken via a paper based questionnaire that was provided to all persons accessing Neighbourhood Advice and Information Services at a Neighbourhood Advice and Information Centre for a period of 2 weeks. This particular consultative channel was chosen for its ability to reach a large number of direct Neighbourhood Advice and Information customers who may be affected by the proposed changes. This piece of work was limited to 2 weeks due to the resource intensive nature of the work including explaining the purpose (if required) and answering any questions asked within an extremely busy office environment.
- 3.3. The additional pressures on staff to collate and process these questionnaires were an additional consideration limiting the exercise to two weeks.
- 3.4. During this time all Neighbourhood Advice and Information customers visiting a Customer Service Centre/Neighbourhood office (identified through reception triage process to distinguish from Neighbourhood Advice Service customers) would be issued with 2 documents. The first of these documents was a consultation brief detailing the proposed changes to the service as well as the alternate options which were no longer under consideration. The second document was a short 2 page questionnaire asking for comment on these proposals as well as information about how they used the service currently and how they could be better assisted in future.
- 3.5. In consultation A, although some free text responses were encouraged (rather than limiting responses to multiple choice) the questionnaire was limited in the scope of data it gathered due to its short length (Unlike Consultation B [3.8] it did not specifically ask for comment on alternate options and did not gather demographic data on users completing questionnaires).
- 3.6. The questionnaire was limited to two sides in order to encourage completion. A longer questionnaire, it was felt, would result in lower response rates. Although this is a somewhat simplistic view, research exists to support this². This view was

² Bogen K, THE EFFECT OF QUESTIONNAIRE LENGTH ON RESPONSE RATES - A REVIEW OF THE LITERATURE, U.S. Bureau of the Census

compounded by the perceived burden it was felt that customers would feel in completing the survey following an already detailed and lengthy advice appointment (particularly with regard to Homelessness). This was mitigated by information in the consultation brief which directed customers to the Birmingham Be Heard site (Consultation B) should customers wish to provide more comprehensive commentary on the proposed changes.

- 3.7. A copy of the Consultation Brief and Questionnaire can be found at Appendix A of this report.
- 3.8. Customers were asked to complete this questionnaire and return it to a member of staff. Following which a member of Neighbourhood Advice and Information Staff would enter the written information (verbatim) into the Survey Monkey online tool for storage and analysis.
- 3.9. Consultation B (the Birmingham Be Heard Survey) was a comprehensive online consultation that ran from 04th December 2015 to 21st January 2016 (7 weeks). A specific and searchable consultation was opened using the Birmingham Be Heard consultation website (www.birminghambeheard.org.uk). Having read these details viewers were then invited to complete an online questionnaire detailing their views on the proposals.
- 3.10. The online questionnaire was designed to be more comprehensive and gather data in greater detail than that that could be provided in Consultation A. The SurveyMonkey tool supporting the online questionnaire uses question logic to tailor the type of questionnaire to the respondent ensuring that customers, concerned citizens and professionals are asked appropriate questions to their experience.
- 3.11. Birmingham Be Heard is Birmingham City Council's primary consultative tool. However it is also recognised that one consultation among many is unlikely to gain significant reach unless its presence is known and publicised. To that end the existence of the Neighbourhood Advice and Information online consultation was communicated via numerous means reaching a large audience. This included (amongst others) the following:
 - A) Birmingham City Council Facebook page (5,696 followers at 22/12/15) – Post 18/12/2015
 - B) Birmingham City Council Twitter account (49,900 followers at 22/12/2015) – Post 17/12/2015
 - C) Birmingham Voluntary Service Council (BVSC) E-Bulletin (3,000 subscribers)

- D) Letters to MP's, Members, Partner Agencies
- E) Article in 'Your Weekly News' bulletin 17/12/15 (9,000+ BCC staff)
- F) Directorate for People Special Leadership Team Briefing article 16/12/2015
- G) Link in Consultation A 'Consultation Brief' (Distributed to all HAC customers for 2 weeks).

4. Assumptions & Constraints

- 4.1. It must be pointed out that the first questionnaire omitted 'disagree' on questions 8 and 9 Appendix B and as a consequence a revised questionnaire Appendix C this affected only 2 days of the survey (Monday and Tuesday) which amounted to 231 responses.
- 4.2. In order to include the results from the original survey 7th -8th December 2015 we had to amalgamate responses into 3 categories which were Agree , Neither agree nor disagree and Disagree

5. Key Findings

- 5.1. **Dealing with Housing benefits and Council tax benefits over the phone and the results were:** 32% of those surveyed agreed while 61% disagreed with 7% neither agreeing nor disagreeing.
- 5.2. **Seeing if all other requests for advice can be dealt with over the phone prior to offering an office appointment. The results were:** 35% of those surveyed agreed while 56% disagreed with 9% neither agreeing nor disagreeing
- 5.3. **Prioritising office based appointments for complex cases & for those people who are most vulnerable. The results were:** 44% of those surveyed agreed while 46% disagreed with 10% neither agreeing nor disagreeing
- 5.4. **There being 5 general places for appointments in the City with Council tenants will also be able to access advice at our lettings suites the results were:** 33% of those surveyed agreed while 54% disagreed with 13% neither agreeing nor disagreeing
- 5.5. **Dealing with homeless enquiries at one specialist location in Newtown. The results were:** 29% of those surveyed agreed while 61% disagreed with 10% neither agreeing nor disagreeing
- 5.6. **Being located in the same building. The results were:** 75% of those surveyed agreed while 18% disagreed with 7% neither agreeing nor disagreeing

5.7. Being accessible through a single phone number. The results were: 40% of those surveyed agreed while 48% disagreed with 12% neither agreeing nor disagreeing

5.8. Allowing advice providers to make direct referrals to the best organisation who can meet the customer's needs. The results were: 48% of those surveyed agreed while 42% disagreed with 9% neither agreeing nor disagreeing

6. Full Analysis

6.1. See Appendix D

7. Equalities Information

7.1. The characteristics below are protected. This means that there is protection for people who identify with them against discrimination based on that characteristic. Members of the public were asked what they believed would impact on them if proposed changes were made to the service.

| Answer | Respondents | Percentage |
|-------------------------|-------------|------------|
| Your age | 259 | 32.5% |
| Your marital status | 72 | 9% |
| Your religion or belief | 91 | 11% |
| Your disability | 203 | 25.5% |
| If you are pregnant | 49 | 6.2% |
| Your gender | 51 | 6.4% |

| | | |
|-------------------------|-----|-------|
| Your race | 134 | 16.8% |
| Your Sexual Orientation | 30 | 3.8% |
| Not declared | 340 | 42.7% |

7.1 Those groups most affected by the review were those with disabilities and age even though the survey did not specify where specific age bands.

8. Conclusions

- 8.1. With regards to those questions which relate directly to the new model for NAIS there seems to be consensus from users to have access to a face to face service rather than a telephone service.
- 8.2. When it came to prioritising face to face interviews for those who had more complex queries and the most vulnerable of users there was no consensus between those agreeing and those not agreeing.
- 8.3. With regard to the proposed model of 5 general places for appointments the margins were much closer and while 54% of respondents disagreed 34% agreed with the proposals while 12% did not have a agreement either way.
- 8.4. There was a consensus against the one homeless centre
- 8.5. There was a consensus for services to be under one building
- 8.6. There was a slight majority to who agreed with allowing advice providers to make direct referrals to the best organisation who can meet the customer's needs.

9. Appendix A- Consultation Brief

Neighbourhood & Housing Advice: Consultation on future proposals



Overview:

The City Council needs to reduce its expenditure on delivering advice through Neighbourhood Offices and Customer Service Centres in order to deliver savings that were identified in the 2015/16 Birmingham City Council budget. Presently the Neighbourhood Advice Service operates from Neighbourhood Offices and Customer Service Centres. In addition, the Housing Advice Service also operates out of 4 customer service centres. The two services we are consulting on are the Neighbourhood Advice Service and the Housing Advice Service.

The Neighbourhood Advice Service includes Housing Benefit enquiries, Council Tax enquiries, assistance with benefit claims, debt advice and income maximisation.

The Housing Advice Service provides assistance with joining the Council Housing list, discussing housing options, seeking temporary accommodation and assistance with Homelessness or Homelessness Prevention.

Why We Are Consulting:

Due to decreasing resources and finances the council needs to make changes to services. We are hopeful that the proposed changes to the service will bring about improvements in some areas such as allowing the service to meet present un-met demand for appointments (where citizens are repeatedly calling the contact centre for appointments that are not available) as well as maintaining the best level of service with fewer resources in other areas. However, we also acknowledge that such changes can bring with them concerns from citizens and may not identify all of the potential impacts on our customers. We also recognise that customers may be well placed to suggest other improvements that we may not have thought of.

Therefore we are undertaking public consultation to get as much feedback on our proposals as we can to inform our decision making as we move forward.

The proposals on which we are seeking your views:

The Neighbourhood Advice Service

In relation to the Neighbourhood Advice Service, it is proposed to provide specialist advice over the phone so that more issues can be resolved in this way whilst protecting face to face appointments for the most complex of situations or people who are most vulnerable.

It is also proposed to deal with an increasing number of housing benefit and council tax enquiries over the phone. For other advice queries it is proposing to call people within 2 hours of contacting them to offer specialist advice over the phone and then, only if the situation deems it appropriate, offer a face to face appointment.

The proposed future service would offer general face to face appointments at 5 locations in the city (Quinton, City Centre, Saltley, Erdington & Northfield) and a further two locations at Letting Suites for council tenants (Ladywood & Sparkbrook). The service is also seeking to deliver advice in partnership with a range of other advice organisations in the third sectors such as St Basils and Age UK.

The proposal for delivering these services in partnership with the third sector remains in development and as such we would welcome your feedback at this early stage.

The Housing Advice Service

The Housing Advice service is presently based in 4 Customer Service Centres at Sparkbrook, Newtown, Erdington & Northfield. It is proposed to reorganise the service to be delivered, from a single location at Newtown Customer Service Centre, Birmingham. This new single Housing Advice Centre will have more advisors on duty and additional available interviews. There is no planned reduction in accessibility to specialist Housing & Homelessness advisors via the telephone and long term we anticipate improved access to housing advice available via phone and web.

The Newtown location is proposed for its central location and because it sits in an area of the highest demand for Housing Advice Services. It is the most evenly accessible of the four present locations for people across the city to get to and meets the space requirements to accommodate the service.

This proposal follows exploration of alternate options; these have been considered however none have been found to be viable. Alternate options which we considered included:

1. *Do nothing and stay as we are:*

After consideration it was concluded that the Housing Advice service could not be sustained with reduced Neighbourhood Advice staff available, that it would provide an inconsistent service across the City and not provide efficiencies which would allow for more appointments to be offered. This option was therefore not found to be viable.

2. *Move Housing Advice Delivery to a two centre model:*

Upon further exploration it was concluded that this would still require more Neighbourhood Advice Service staff in support than those actually available and would only partially create more appointments. This option was not considered viable in view of this.

3. *Relocate the Housing Advice Service to a single site in Birmingham City Centre:*

This was explored however the Council has no suitable building currently available to use and renting a private building would incur significant yearly costs and also one off set up costs which is unlikely to be sustainable and thus this option was not considered viable.

As part of these proposals we are consulting with and seeking the views of citizens of Birmingham and users of our services along with professionals delivering advice in these areas of work. The short survey you have been given today asks for your comments and feedback in relation to the service you have accessed today. Once you have completed the survey please return it to a member of staff.


If you would like to provide more detailed feedback, feedback on another service within affected by this consultation or see more information please visit our [consultation webpage](#) at:

www.birminghambeheard.org.uk/people-1/advice-service-future-proposals



10. Appendix B 1st Questionnaire

Birmingham Neighbourhood Advice - Future proposals consultation


Birmingham City Council

The city council is needing to reduce its expenditure on delivering advice through Neighbourhood Offices and Customer Service Centres. Its ambition is to provide specialist advice over the phone so that more issues can be resolved in this way whilst protecting face to face appointments for the most complex of situation or people who are most vulnerable. It is proposing to deal with an increasing number of housing benefits and council tax enquiries over the phone. For other advice queries it is proposing to call people within 2 hours of contacting them to offer specialist advice over the phone and then only if the situation deems it appropriate offer a face to face appointment. It would offer general face to face appointments at 5 locations in the city (Quinton, City Centre, Salfrey, Erdington & Northfield) and a further two locations at Letting Suites for council tenants (Ladywood & Sparkbrook). It is seeking to deliver advice in partnership with a range of other advice organisations. If you have any questions regarding this please email Karen.a.james@birmingham.gov.uk

1. What service did you come in for today (please select all that apply)?

☐ Use phone or Computer
 ☐ Council Tax advice
 ☐ Other

☐ Benefits advice
 ☐ Bring in paperwork

2. How did you get here today?

☐ On foot
 ☐ By Car/Motorcycle
 ☐ By Bus/Train
 ☐ By bike
 ☐ Other

3. How long was your journey?

☐ less than 15 mins
 ☐ 15-30mins
 ☐ 31-45mins
 ☐ over 45mins

4. What is your postcode so we can learn how far you have travelled (Optional):

5. Before you came here today did you try to find information...(select all that apply)

☐ By calling the Birmingham City Council contact centre?
 ☐ By looking at the Birmingham City Council website?
 ☐ By contacting another agency first i.e. job centre, advice agency

6. Thinking about what you came in for today could we have dealt with this in any other way listed below (select all that apply)?

☐ By an improved website with clearer on line help and advice
 ☐ By an arranged call back or interview by phone
 ☐ By allowing documents to be emailed in to us


7. Including today how many times have you been into the centre in the past year?

☐ 1
 ☐ 2
 ☐ 3
 ☐ 4
 ☐ 5
 ☐ 6-10
 ☐ 10+

| Proposed Changes | | | | |
|---|--|--|----------------------------|--------------------------|
| 8. We are proposing some changes in order to make the most of services at a time of reduced resources. Please tell us how strongly you agree/disagree with the proposals: | | | | |
| | Strongly agree | Agree | Neither agree nor disagree | Strongly disagree |
| Dealing with most housing benefit & council tax enquiries over the phone | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Seeing if all other requests for advice can be dealt with over the phone prior to offering an office appointment | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Prioritising office based appointments for complex cases & for those people who are most vulnerable | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| There being 5 general places for appointments in the city. Council tenants will also be able to access advice at our letting suites | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Dealing with homeless enquiries at one specialist location in Newtown | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 9. Thinking more widely about how we can best deliver advice services to the citizens of Birmingham. To what extent do you agree/disagree that the following improve services: | | | | |
| | Strongly Agree | Agree | Neither agree nor disagree | Strongly disagree |
| Being located in the same building | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Being accessible through a single phone number | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Allowing advice providers to make direct referrals to the best organisation who can meet the customer's needs. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 10. If we wanted to offer more choice and better ways of finding information and allow you to do more on line how could we do this? | | | | |
| <input type="text"/> | | | | |
| 11. The characteristics below are protected. This means that there is protection for people who identify with them against discrimination based on that characteristic. Please tick appropriate boxes (if any apply) which you believe might impact upon you if the proposed changes are made to the service? | | | | |
| <input type="checkbox"/> Your age | <input type="checkbox"/> Your disability | <input type="checkbox"/> Your race | | |
| <input type="checkbox"/> Your marital status | <input type="checkbox"/> If you are pregnant | <input type="checkbox"/> Your Sexual Orientation | | |
| <input type="checkbox"/> Your religion or belief | <input type="checkbox"/> Your gender | <input type="checkbox"/> None of these apply to me | | |

11. Appendix C – Revised Questionnaire

Birmingham Neighbourhood Advice - Future proposals consultation


Birmingham City Council

The city council is needing to reduce its expenditure on delivering advice through Neighbourhood Offices and Customer Service Centres. Its ambition is to provide specialist advice over the phone so that more issues can be resolved in this way whilst protecting face to face appointments for the most complex of situation or people who are most vulnerable. It is proposing to deal with an increasing number of housing benefit and council tax enquiries over the phone. For other advice queries it is proposing to call people within 2 hours of contacting them to offer specialist advice over the phone and then only if the situation deems it appropriate offer a face to face appointment. It would offer general face to face appointments at 5 main locations in the city (Quinton, City Centre, Salfrey, Erdington & Northfield as well as Druids Heath one day a week) and a further two locations at Letting Suites for council tenants (Ladywood & Sparkbrook). It is seeking to deliver advice in partnership with a range of other advice organisations. If you have any questions regarding this please email AdviceServiceConsultation@birmingham.gov.uk

1. What service did you come in for today (please select all that apply)?

☐ Use phone or Computer

☐ Council Tax advice

☐ Other

☐ Benefits advice

☐ Bring in paperwork
2. How did you get here today?

☐ On foot

☐ By Car/Motorcycle

☐ By Bus/Train

☐ By bike

☐ Other
3. How long was your journey?

☐ less than 15 mins

☐ 15-30mins

☐ 31-45mins

☐ over 45mins
4. What is your postcode so we can learn how far you have travelled (Optional):
5. Before you came here today did you try to find information...(select all that apply)

☐ By calling the Birmingham City Council contact centre?
☐ By looking at the Birmingham City Council website?
☐ By contacting another agency first i.e. job centre, advice agency
6. Thinking about what you came in for today could we have dealt with this in any other way listed below (select all that apply)?

☐ By an improved website with clearer on line help and advice
☐ By an arranged call back or interview by phone
☐ By allowing documents to be emailed in to us
7. Including today how many times have you been into the centre in the past year?

☐ 1

☐ 2

☐ 3

☐ 4

☐ 5

☐ 6-10

☐ 10+

Proposed Changes

8. We are proposing some changes in order to make the most of services at a time of reduced resources. Please tell us how strongly you agree/disagree with the proposals:

| | Strongly agree | Agree | Neither agree nor disagree | Disagree | Strongly disagree |
|---|--------------------------|--------------------------|----------------------------|--------------------------|--------------------------|
| Dealing with most housing benefit & council tax enquiries over the phone | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Seeing if all other requests for advice can be dealt with over the phone prior to offering an office appointment. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Prioritising office based appointments for complex cases & for those people who are most vulnerable | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| There being 5 general places for appointments in the city. Council tenants will also be able to access advice at our letting suites | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Dealing with homeless enquiries at one specialist location in Newtown | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

9. Thinking more widely about how we can best deliver advice services to the citizens of Birmingham. To what extent do you agree/disagree that the following improve services:

| | Strongly Agree | Agree | Neither agree nor disagree | Disagree | Strongly disagree |
|--|--------------------------|--------------------------|----------------------------|--------------------------|--------------------------|
| Being located in the same building | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Being accessible through a single phone number | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Allowing advice providers to make direct referrals to the best organisation who can meet the customer's needs. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

10. If we wanted to offer more choice and better ways of finding information and allow you to do more on line how could we do this?

11. The characteristics below are protected. This means that there is protection for people who identify with them against discrimination based on that characteristic. Please tick appropriate boxes (if any apply) which you believe might impact upon you if the proposed changes are made to the service?

| | | |
|--|--|--|
| <input type="checkbox"/> Your age | <input type="checkbox"/> Your disability | <input type="checkbox"/> Your race |
| <input type="checkbox"/> Your marital status | <input type="checkbox"/> If you are pregnant | <input type="checkbox"/> Your Sexual Orientation |
| <input type="checkbox"/> Your religion or belief | <input type="checkbox"/> Your gender | <input type="checkbox"/> None of these apply to me |

12. Appendix D – Excel document of data

Please see [Copy of Merged Surveys Data.xlsandy with percentage.xls](#)

Equality Analysis

Birmingham City Council Analysis Report

| | |
|-------------------------|---|
| EA Name | Neighbourhood Advice Service Remodelling |
| Directorate | Place |
| Service Area | Districts |
| Type New/ | Proposed Function |
| EA Summary | Changes to the way that the service can be accessed |
| Reference Number | EA001228 |
| Task Group Manager | Shona.Adams@birmingham.gov.uk |
| Task Group Member | |
| Senior Officer | Chris.Jordan@birmingham.gov.uk |
| Quality Control Officer | PlaceEAQualityControl@birmingham.gov.uk |

Introduction

The report records the information that has been submitted for this equality analysis in the following format.

Overall Purpose

This section identifies the purpose of the Policy and which types of individual it affects. It also identifies which equality strands are affected by either a positive or negative differential impact.

Relevant Protected Characteristics

For each of the identified relevant protected characteristics there are three sections which will have been completed.

- Impact
- Consultation
- Additional Work
-

If the assessment has raised any issues to be addressed there will also be an action planning section.

The following pages record the answers to the assessment questions with optional comments included by the assessor to clarify or explain any of the answers given or relevant issues.

1 Activity Type

The activity has been identified as a New/Proposed Function.

2 Overall Purpose

2.1 What the Activity is for

| | |
|---|---|
| What is the purpose of this Function and expected outcomes? | The Neighbourhood Advice and Information Service (NAIS) will amend the advice services (Location, channel, etc.) that it offers to residents. It is essential, given the ongoing reduction of resource, that the service is dedicated to meeting the needs of our more vulnerable customers. Those that can access through alternative cheaper channels should do so. |
|---|---|

For each strategy, please decide whether it is going to be significantly aided by the Function.

| | |
|--|-----|
| Public Service Excellence | No |
| A Fair City | Yes |
| Comment The Neighbourhood Office Service has historically supported the more vulnerable citizens in Birmingham in accessing welfare advice and money advice. The Service supports colleagues in Housing and Homeless in the delivery of their front office services. As a result of ongoing budget pressures, the service has reduced its resources and as a result its locations. Further budget savings in 2015/16 and 2016/17 will see the advisor numbers shrink further. This assessment will provide the detail of how the service will deliver its service and how it will meet the needs of its customers. | |
| A Prosperous City | No |
| A Democratic City | Yes |
| Comment NAIS will be establishing more robust links with our commissioned services. Working to provide a holistic locally based advice service for citizens. This is a step change for the service, in creating local advice services for the benefit of the customer. A 2012 citizen consultation regarding advice services in Birmingham found that citizens want a mix of local authority and third sector advice. The corporate Advice Strategy team has considered these findings in the establishment of the Strategy. The service conducted 2115 appointments in the period 1st April to end of August 2015. This is a consequence of homeless activity being undertaken at 3 main locations. These sites are unable to release appointments to be booked as they have a higher drop-in footfall than the rest of the service. It is anticipated that once homeless activity moves to one location, supported by 6 NAIS advisers, more appointments will be available throughout the rest of the service. This will ensure that the service better meets the needs of its customers. | |

2.2 Individuals affected by the policy

| Will the policy have an impact on service users/stakeholders? | Yes |
|---|-----|
| <p>Comment</p> <p>There are 234 enquiry types that are dealt with via NAIS/Call Centre that can currently result in face to face appointments. A number of these enquiries can be resolved online, particularly those seeking information. By encouraging customers to use these other channels this will allow the service to provide advice and information on welfare benefits and other services that are more complex and require a face to face service. It also allows the service to focus on the vulnerable customers and customers who require a Home Visit.</p> <p>The NAIS supports citizens with face to face advice and support on over 230 different council and public services.</p> <p>The service also administers Local Welfare Provision payments and verification for Housing Benefit and Council Tax Support claims on behalf of the Benefit Service. The service is also an access point for people who are homeless or threatened with Homelessness and work closely with the Homeless Service in People Directorate. The service provides free access to the call centre and to the city council web site.</p> <p>Data showing the top 10 topics/activities enquiries dealt with from 1st April 2014 to 31st March 2015 in the Neighbourhood Advice Service can be found at Appendix 1 (1.1) to this EA.</p> <p>The service currently undertakes on average 44 pre booked appointments per week, and 80 on the day appointments per week (drop in). Nearly more than double of the interviews are conducted in an unplanned unmanaged way. With a further reduction in resource this cannot continue. A review of current service delivery was undertaken between June-Sept 2015. The results from this can be found at Appendix 1(1.2) to this EA.</p> <p>In the future, the NAIS service will reduce the service it offers to residents, more will be done over the phone. It is essential, given the ongoing reduction of resource, that the service is dedicated to meeting the needs of our more vulnerable customers. Those that can access through alternative cheaper channels will do so.</p> <p>At present service delivery varies dependent on where you live. Citizens may live near a Housing Advice Centre, a Customer Service Centre or a verification location. Housing Advice Centres and Customer Service Centres (CSCs) provide a walk in service. These are supported with Neighbourhood Offices which are part time, closed door providing pre booked appointments or drop-in for verification. The Phase 1 (current Model) can be found at Appendix 1 (1.3) to this EA.</p> <p>The 'phase 1' model above will be delivered by 58 advisers and 4 managers, however this level of staffing is not sustainable as the new budget allocation requires a smaller complement of staff. To deliver a saving of 1.278m will require 'phase 2' to be implemented. The detail of roles to deliver a new model will need establishing and evaluating but the scale of the change is significant. At GR4 the model would need to be based on 38 advisers.</p> <p>The reduction required to meet the full savings is broadly equivalent to reducing the current number of advisers in the service by one third. As a result any new model needs to either significantly reduce the number of appointments on offer or significantly increase the productivity of the service. To manage the demand in this way becomes even more challenging when the figures for unmet demand are factored in as many people still phone the contact centre seeking an appointment but are unable to be offered one due to demand out stripping supply.</p> <p>The proposed Phase 2 staffing model (consisting of ten proposed locations) is set out at Appendix 1 (1.4) to this EA.</p> <p>In order to deliver the scale of change required the proposed model, in phase 2, contains some key principles which are also outlined in Appendix 1 (1.4)</p> | |

| | |
|---|-----|
| Will the policy have an impact on employees? | Yes |
| <p><u>Comment</u></p> <p>Staffing data is awaited. The EA will be updated as we undertake the staff consultation.</p> <p>Line management of the service is under consideration as part of the re-modelling process.</p> | |

| | |
|--|-----|
| Will the policy have an impact on wider community? | Yes |
| <p><u>Comment</u></p> <p>The change in service delivery will be communicated to the wider community as current users are not necessarily future users. Service delivery will be different depending on where the citizens visit. The service remains Part M Compliant in relation to the Equalities Act; however possible locations for verification will need to be fully assessed to ensure compliance.</p> <p>The service currently provides the only access points for verification in the City.</p> | |

2.3 Analysis on Initial Assessment

At present there is a service provided at 7 NAIS sites. As part of phase 2 proposals this number will increase to 10, however correspondingly there will be a decrease in the number of available advisers at each site. This will provide a more accessible service for the most vulnerable while those able to utilise alternate forms of assistance such as telephone advice or self-help (i.e. via the internet) will be directed through this process.

As part of Phase 2 proposals, Housing Benefit (HB) and Council Tax Support would be dealt with over the phone by second response at the call centre. Only in vulnerable and complex cases will individuals be dealt with through face to face appointments. This second response process at the call centre would account for over one third of all work currently done by NAIS Staff (as opposed to verification Staff) in Neighbourhood Offices and channelling this demand away from NAIS face to face appointments starts to make delivery with the remaining 38 advisers more feasible.

The call centre will no longer be able to book appointments at first response. This will reduce the estimated 70% of call backs being made to the contact centre by customers who do not get an appointment first time they telephone. In future, the call centre will be expected to deal with the enquiry over the phone, however if first and second response cannot discharge an enquiry then the citizen will be referred to a specialist adviser (someone from the Neighbourhood Office service), who will aim to deal with the matter over the phone but may ultimately book an appointment for the customer at the Neighbourhood Office.

It is initially planned that the call will be made from an advisor with experience in NAIS.

With the introduction of a more intelligent online form for claiming housing benefit or council tax support, channel shift will be encouraged throughout the service. Encouraging customers online where possible, this will be supported by a 'risk based' approach to verification within the Benefits Service which will reduce the burden of providing numerous proofs for a large number of customers. This will be further supported by Benefit Service systems to allow self scanning and uploading of documents for the purposes of HB reducing this burden even further.

It is anticipated that this will impact positively on the anticipated footfall at sites as document verification (along with HB form completion) are the biggest drivers of footfall in Neighbourhood Offices and any steps to reduce this will allow for the provision of services to those most in need. In addition, a roll-out of the Verification Service to libraries is planned.

Aligned to the re-modelling of the service, and designed to ensure that the service can meet the needs of its customers; the homeless service is also re-modelling its service delivery model. A separate assessment has been created by the Homeless and Pre-Tenancy Service (H&PT), so homeless is not covered within this assessment other than where it directly impacts the NAIS service.

The H&PT service is refocussing its resources to deliver one Homeless Advice Centre (HAC). The NAIS service will, where appropriate, refer customers to the HAC and will continue to offer housing advice from remaining locations in the city. Bus tickets and taxis will be available to move homeless

customers to the single contact point or to St Basil's Youth Hub and other Housing and Homeless support services provided by the city.

NAIS will provide six access advice centres providing an appointment service (some part-time). Two centres would be led by the Neighbourhood Advice service but would be supported by third sector advice agencies. Four would be led by third sector advice agencies and would be supported by the Neighbourhood Advice Service.

The Neighbourhood Advice Service would also provide resource to support customers accessing the homeless central provision and the Housing Letting Suites, giving further access to advice for specific customer cohorts (homeless and council tenants).

NAIS are seeking to develop advice hubs in line with the draft advice strategy, combining current BCC direct delivery resource with the resource available for commissioning advice, as well as offering opportunities for third sector agencies to locate in our premises and us in theirs. In addition to the six advice hubs, there are additional services to specific customer cohorts i.e. homelessness and council tenants through letting suites that NAIS are facilitating.

There will also need to be provision of a verification service and the location(s) for this are still to be developed. The expectation is that this would be delivered through the community library service. This would make the service more accessible and also support the community library service in becoming more sustainable.

Current demand for Verification services is set out at Appendix 1 (1.5) of this EA.

Data found at Appendix 1 (1.6) also shows the office currently used by customers and the distance they travel to access it. A reduction in sites was initially planned however as a result of consultation and the identification of additional sites for service delivery this is no longer the case.

3.1 Age

3.1.1 Age - Differential Impact

| | |
|-----|----------|
| Age | Relevant |
|-----|----------|

3.1.2 Age – Impact

| | |
|---|--|
| Describe how the Function meets the needs of Individuals of different ages? | The NAIS function sees clients across a wide variety of ages for a wide variety of issues. The service is non age specific and will remain accessible to all at a larger number of locations in Phase 2. The only planned reduction is in the availability of personal face to face appointments which will be allocated based on urgency, need, complexity and vulnerability (which may include age as a factor). |
| <p><u>Comment</u></p> <p>Age was initially identified as a potentially impacted group for customers when a reduction in the number of sites the service was to be delivered from was planned. However following consultation this proposal was amended and the service will now be delivered from an increased number of sites with a smaller adviser compliment.</p> <p>The removal of the Homeless Service from 4 sites within the NAIS portfolio is the only identified impact in relation to Age for customers. In the future model, young homeless customers will, as is the current method, be referred to the St Basils centre to obtain age related accommodation advice. St Basils are able to provide support services helping citizens into work, training to create sustainability.</p> | |

Other persons seeking assistance with Homelessness and Housing Advice will be referred to the proposed single Housing Advice centre based at Newtown. A separate EA has been completed for this proposal including identified impacts and mitigations (EA000673 refers).

The NAIS service continues to provide a face to face service to those deemed vulnerable or who are unable to access services online or on the telephone.

Carers, the infirm and housebound citizens are able to access our home visiting service. These are conducted within 10 days of the request. 20% of customers who receive a home visit are aged 35-39 years. 40% are aged 60-69% and 40% between 75-89 years.

Based on current data it is noted that offices offering homeless advice (HAC) tend to have a younger customer base

63.16% of Erdington customers are aged 18-39 years

62.04% of Northfield CSC customers are 18-39 whilst 18.19% are 40-49 years

87.64 of Sparkbrook CSC customers are 18 54 years.

Although no longer a HAC Newtown continues to see a younger age group. 75.23% of their customers are aged between 18-49 years.

31% of Bartley Green customers are 35-44 years.

53.67% of Quinton's customers are 30-59

62.63% of Salfley CSC customers are 30-54 years and 21.45% are 55-84 years.

In view of the reduced impact of reduced sites it is now considered that age is no longer an impacted characteristic in relation to customers/service users. There will be impact due to the services future focus on telephone advice and self-help. However personal appointments will still be available for those most in need and/or vulnerable for which Age may be a qualifying characteristic The continued provision of personal visits is considered sufficient mitigation and therefore Age is no longer considered an impacted characteristic for customers/service users.

Service users, stakeholders, customers, citizens and staff have been consulted regarding this proposed change to service delivery. This was by way of a questionnaire for customers using the service. A postal survey was sent to repeat users of the service, particularly focused on those customers of offices due to close. This EA will be uploaded to BeHeard for members, staff and customers to comment further.

Staff have been consulted by way of staff meetings held on half day closing on Wednesday afternoon and Thursday afternoon to ensure that staff could attend.

| | |
|---|--|
| Do you have evidence to support the assessment? | Yes |
| Please record the type of evidence and where it is from? | Data is available showing the percentage of age category utilising each office. The data has been retrieved from CRM using one calendar years' worth of data. This data can be found at Appendix 1 (1.7) to this EA. |
| Have you received any other feedback about the Function in meeting the needs of Individuals of different ages? | No |
| You may have evidence from more than one source. If so, does it present a consistent view? | Not applicable |
| Is there anything about the Function and the way it affects Individuals of different ages which needs highlighting? | No |

3.1.3 Age - Consultation

| | |
|--|--|
| Have you obtained the views of Individuals of different ages on the impact of the Function? | Yes |
| If so, how did you obtain these views? | <p>As part of Public consultation a customer survey was undertaken at NAIS locations with NAIS customers. Over 1200 responses were received however it was deemed that the length of survey was to be kept short to maximise responses and therefore the respondents age was not requested.</p> <p>However respondents in this survey were direct customers of Neighbourhood Offices and therefore can be considered to be broadly representative of the customer base identified in Appendix 1 (1.7).</p> <p>A full consultation report has been prepared and can be found as an appendix to the cabinet report for which this EA also serves as an appendix.</p> |
| Have you obtained the views of relevant stakeholders on the impact of the Function on Individuals of different ages? | Yes |
| If so, how did you obtain these views? | <p>Stakeholders such as local Councillors were informed and a formal briefing was presented to the relevant cabinet member. Opportunities were also given to professionals to provide feedback as part of the Be Heard Online consultation, the details of which can be found in the consultation as an appendix to the same cabinet report for which this EA also services as an appendix.</p> <p>Other stakeholders such as debt team, benefit service, letting suites and Homeless Service, are aware of the changes proposed and any comments will be considered to ensure that the redesigned service takes account of their concerns in so far as is reasonably practicable.</p> <p>The removal of the Homeless Service from 4 sites within the NAIS portfolio is the only identified impact in relation to Age for customers.</p> |
| Is there anything about the Function and the way it affects Individuals of different ages which needs highlighting? | No |

3.1.4 Age - Additional Work

| | |
|--|---|
| Do you need any more information to complete the assessment? Please explain how individuals may be impacted | No The Neighbourhood Advice and Information Service serve a vital role in protecting the welfare rights of persons who may be vulnerable due to age. |
| Is there any more work you feel is necessary to complete the assessment? | No |
| Do you think that the Function has a role in preventing Individuals of different ages being treated differently, in an unfair or inappropriate way, just because of their age? | Yes |
| Do you think that the Function could help foster good relations between persons who share the relevant protected characteristic and persons who do not share it? | No |

3.2 Disability

3.2.1 Disability - Differential Impact

| | |
|------------|----------|
| Disability | Relevant |
|------------|----------|

3.2.2 Disability – Impact

| | |
|--|---|
| Describe how the Function meets the needs of Individuals with a disability? | <p>The NAIS function sees clients with and without disabilities for a wide variety of issues. The service is non disability specific and will remain accessible to all at a larger number of locations in Phase 2, potentially benefiting those who may be less able to travel due to a disability.</p> <p>The only planned reduction is in the availability of personal face to face appointments which will be allocated based on urgency, need, complexity and vulnerability (which may include disability as a factor).</p> |
| <p><u>Comment</u></p> <p>There were concerns regarding the ability of disabled persons to travel to the reduced number of locations. Evidence showed that disabled citizens with any form of disability accounted for 75 of all customers for the 2014 period.</p> <p>It was however, also considered that those with a disability should not be automatically assumed to lack capability to travel.</p> <p>An analysis of available data shows that 56% of customers who declared a disability attend either Northfield or Perry Common offices.</p> <p>All current locations are DDA compliant meaning they are fully accessible for disabled customers. A review will need to be completed of new locations should the verification service be moved.</p> | |

Customers with mobility issues or who are housebound will continue to be able to access our home visiting service. Home visits are completed within 10 days of the initial request.

Data shows that home visits are conducted across the age rate, but more towards the over 60s. 35-39 20%, 60-64 20%, 65 - 79 40% and 85-89 20%.

In view of the decision to increase the number of sites which a NAIS service is provided from it is no longer considered that disability is subject to any disproportionate impact. The proposed focus on telephone advice and self-help may potentially impact on some disabled persons however it is not felt to do so more than a non-disabled person. Where a person is disabled and they are unable to access advice in the proposed future operating system they may still qualify for a personal appointment due to their disability and therefore this is considered sufficient mitigation to protect against any disproportionate impact.

The removal of the Homeless Service from 4 sites within the NAIS portfolio is the only identified impact in relation to Age for customers. In the future model, young homeless customers will, as is the current method, be referred to the St Basils centre to obtain age related accommodation advice. St Basils are able to provide support services helping citizens into work, training to create sustainability. Other persons seeking assistance with Homelessness and Housing Advice will be referred to the proposed single Housing Advice centre based at Newtown. A separate EA has been completed for this proposal including identified impacts and mitigation's (EA000673 refers).

Impact to staff is not yet fully known. There is potential impact upon staff due to potential requirements to work from an alternate location; this may impact staff who may struggle to reach an alternate location due to a disability. Therefore this will be considered through staff consultation and mitigated through the adjustments that can be undertaken in line with implementing the staff mobility clause.

Service users, stakeholders, customers, citizens and staff were be consulted regarding this proposed change to service delivery. This was by way of a questionnaire for customers using the service. A postal survey was sent to repeat users of the service, particularly focused on those customers of offices due to close. This EA will be uploaded to BeHeard for members, staff and customers to comment further.

Staff was consulted by way of staff meetings held on half day closing on Wednesday afternoon and Thursday afternoon to ensure that all staff were able to attend.

| Do you have evidence to support the assessment? | | Yes |
|---|--|---|
| Please record the type of evidence and where it is from? | | Data shows that home visits are conducted across the age range, but more towards the over 60s. 35-39 20% 60-64 20% 65-79 40% 85-89 20%. |
| Have you received any other feedback about the Function in meeting the needs of Individuals with a disability? | | No |
| You may have evidence from more than one source. If so, does it present a consistent view? | | Not applicable |
| Is there anything about the Function and the way it affects Individuals with a disability which needs highlighting? | | No |

3.2.3 Disability – Consultation

| | |
|--|--|
| Have you obtained the views of Individuals with a disability on the impact of the Function? | Yes |
| If so, how did you obtain these views? | <p>As part of Public consultation a customer survey was undertaken at NAIS locations with NAIS customers. Over 1200 responses were received however it was deemed that the length of survey was to be kept short to maximise responses and therefore no date was gathered regarding disabilities. However respondents in this survey were direct customers of Neighbourhood Offices and therefore can be considered to be broadly representative of the customer, including proportionately those with disabilities.</p> <p>A full consultation report has been prepared and can be found as an appendix to the cabinet report for which this EA also serves as an appendix.</p> |
| Have you obtained the views of relevant stakeholders on the impact of the Function on Individuals with a disability? | Yes |
| If so, how did you obtain these views? | <p>Stakeholders such as local Councillors were informed and a formal briefing was presented to the relevant cabinet member. Opportunities were also given to professionals to provide feedback as part of the Be Heard Online consultation, the details of which can be found in the consultation as an appendix to the same cabinet report for which this EA also services as an appendix.</p> <p>Other stakeholders such as debt team, benefit service, letting suites and Homeless Service, adults and children's service will be notified and comments will be invited to ensure that the redesigned service takes account of their concerns in so far as is reasonably practicable.</p> |
| Is there anything about the Function and the way it affects Individuals with a disability which needs highlighting? | No |

3.2.4 Disability - Additional Work

| | |
|---|---|
| Do you need any more information to complete the assessment? | No |
| Please explain how individuals may be impacted | The Neighbourhood Advice and Information Service serves a vital role in protecting the welfare rights of persons who may be vulnerable due to a disability. The service also assists in the completion of claims for and appeals against decisions in relation to disability benefits to promote fairness and equality. |
| Is there any more work you feel is necessary to complete the assessment? | No |
| Do you think that the Function has a rôle in preventing Individuals with a disability being | Yes |

| | |
|---|-----|
| treated differently, in an unfair or inappropriate way, just because of their disability? | |
| Do you think that the Function could help foster good relations between persons who share the relevant protected characteristic and persons who do not share it? | No |
| Do you think that the Function will take account of disabilities even if it means treating Individuals with a disability more favourably? | Yes |
| Comment There are services within the neighbourhood offices that actively assist people with disabilities only, such as assistance with applications for disability benefits. | |
| Do you think that the Function could assist Individuals with a disability to participate more? | No |
| Do you think that the Function could assist in promoting positive attitudes to Individuals with a disability? | No |

3.3 Pregnancy and Maternity

3.3.1 Pregnancy and Maternity - Differential Impact

| | |
|-----------------------|----------|
| Pregnancy & Maternity | Relevant |
|-----------------------|----------|

3.3.2 Pregnancy And Maternity – Impact

| | |
|--|---|
| Describe how the Function meets the needs of Pregnant women or those who are on maternity leave? | The NAIS function sees clients, including pregnant women or those who are on maternity leave for a wide variety of issues. The service will remain accessible to all at a larger number of locations in Phase 2. The only planned reduction is in the availability of personal face to face appointments which will be allocated based on urgency, need, complexity and vulnerability (which may include pregnancy or maternity as a factor). |
|--|---|

Comment

It was initially considered that the proposed closure of some of our smaller offices could potentially impact upon the characteristic of Pregnancy and Maternity. Although the same level of service was to be offered at our main locations, there may have been additional demands upon pregnant women in terms of travel. It was considered that this may be particularly evident in cases where a woman may reside in the west of the city and would have to travel to Northfield in the south to access the service. However with the proposed reduction in centres now no longer under consideration, it is no longer felt that there is potential for disproportionate impact on women based on the pregnancy & maternity characteristic. It is also the case that more issues will be dealt with comprehensively over the phone - resulting in there being no need to travel in these cases.

Data regarding pregnancy and maternity is not held within CRM and therefore information cannot be provided regarding the number of users by pregnancy/maternity.

Impact to staff is not yet fully known. There is potential impact upon staff due to potential requirements to work from an alternate location; this may be particularly impact staff who may struggle to reach an alternate location due to pregnancy. Therefore this will be considered through staff consultation and mitigated through the adjustments for staff who may be pregnant that can be undertaken in line with implementing the staff mobility clause.

| | |
|--|----------------|
| <p>Service users, stakeholders, customers, citizens and staff were consulted regarding this proposed change to service delivery. This will be by way of a questionnaire for customers using the service. A postal survey was sent to repeat users of the service, particularly focused on those customers of offices due to close. This EA will be uploaded to BeHeard for members, staff and customers to comment further.</p> <p>Staff was consulted by way of staff meetings held on half day closing on Wednesday afternoon and Thursday afternoon to ensure that all staff were able to attend.</p> | |
| Do you have evidence to support the assessment? | No |
| <p>Comment No data is available regarding the pregnancy status of customers as this is not recorded within CRM.</p> | |
| Do you plan to collect any evidence? | No |
| Have you received any other feedback about the Function in meeting the needs of Pregnant women or those who are on maternity leave? | |
| You may have evidence from more than one source. If so, does it present a consistent view? | Not applicable |
| Is there anything about the Function and the way it affects Pregnant women or those who are on maternity leave which needs highlighting? | No |

3.3.3 Pregnancy and Maternity – Consultation

| | |
|---|--|
| Have you obtained the views of Pregnant women or those who are on maternity leave on the impact of the Function? | Yes |
| If so, how did you obtain these views? | As part of Public consultation a customer survey was undertaken at NAIS locations with NAIS customers. Over 1200 responses were received however it was deemed that the length of survey was to be kept short to maximise responses and therefore it was not asked if the respondent was pregnant or on maternity leave. However respondents in this survey were direct customers of Neighbourhood Offices and therefore can be considered to be broadly representative of the customer base, including those who are pregnant or on maternity leave. A full consultation report has been prepared and can be found as an appendix to the cabinet report for which this EA also serves as an appendix. |
| Have you obtained the views of relevant stakeholders on the impact of the Function on Pregnant women or those who are on maternity leave? | yes |
| If so, how did you obtain these views? | Stakeholders such as local Councillors were informed and a formal briefing was presented to the relevant cabinet member. Opportunities were also given to professionals to provide feedback as part of the Be Heard Online consultation, the details of which can be found in the consultation as an appendix to the same |

| | |
|--|--|
| | <p>cabinet report for which this EA also services as an appendix.</p> <p>Other stakeholders such as Debt team, benefit service, letting suites and Homeless Service, are aware of the changes proposed and comments will be considered to ensure that the redesigned service takes account of their concerns in so far as is reasonably practicable.</p> |
|--|--|

3.3.4 Pregnancy and Maternity - Additional Work

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|---|---|
| Do you need any more information to complete the assessment? | No |
| Please explain how individuals may be impacted | The Neighbourhood Advice and Information Service serves a vital role in protecting the welfare rights of persons including claims and support to claim maternity benefits |
| Is there any more work you feel is necessary to complete the assessment? | No |
| Do you think that the Function has a role in preventing Pregnant women or those who are on maternity leave being treated differently, in an unfair or inappropriate way, just because of their pregnancy and maternity? | Yes |
| Do you think that the Function could help foster good relations between persons who share the relevant protected characteristic and persons who do not share it? | No |

3.4 Race

3.4.1 Race - Differential Impact

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|------|----------|
| Race | Relevant |
|------|----------|

3.4.2 Race - Impact

| | |
|---|---|
| Describe how the Function meets the needs of Individuals from different ethnic backgrounds? | <p>The NAIS function sees clients across a wide variety of races/ethnicity for a wide variety of issues. The service is fully inclusive and based within communities. It will remain accessible to all at a larger number of locations in Phase 2.</p> <p>The only planned reduction is in the availability of personal face to face appointments which will be allocated based on urgency, need, complexity and vulnerability and will not disproportionately impact anyone based on their race/ethnicity.</p> |
|---|---|

Comment

Although there will be an impact on all customers, upon assessment it is not foreseen that the proposed change in location and service delivery will unduly or negatively impact any person based on race. The services provided are non-race specific and persons accessing the service will be able to do so the same way regardless of their race/ethnicity.

A review of emerging community languages, as per 2011 census information include; Somalian and Ethiopian in the Sparkbrook area. Kurdish in Handsworth; Polish in Erdington and Arabic across the central area of the City.

Other incoming and establishing languages include Lingala (a Bantu language spoken throughout the north-western part of the Democratic Republic of the Congo and a large part of the Republic of the Congo, as well as to some degree in Angola and the Central African Republic; Eastern European Languages, and French (for clients of African descent whose 1st language is difficult to source. The last few years have seen much more human movement worldwide. Birmingham's population changes by the month and so, correspondingly, do the languages spoken in the surrounding area. From the late 90's until 2001/2002 Albanian was in huge demand. Today there is very little demand for Albanian. There was a surge in demand for Polish language in the late 2000s which has now greatly reduced. New groups of foreign language speakers arrive often with few language skills, and the interpreting/translation needs occur at their initial point of contact as they settle. Communities integrate, absorb the language, become more self-sufficient and often they move on.

Statistics show that the same emerging languages are not currently available within the Neighbourhood Office network. Therefore, any requirement for emerging languages would have to be sourced from alternative access points such as, Language Line or Brasshouse if and when required. (As is the case for British Sign language at present). It is proposed that all language requirements are met by partner organisations.

Should any issues relating to race be identified following implementation of the redesigned service, this EA can be reviewed to ensure they are adequately addressed.

It is noted that the two main sites for NAIS will be located in the North and South of the City. These areas are not within the main banks of deprivation in Birmingham. However, the service will also be delivered with NAIS staff in Newtown, Salfley, Aston and City Centre which are in the central deprived area of Birmingham and from Druids Heath which is also in a highly deprived area.

CRM Data with regard to ethnicity is sporadic.

From the data we do have it shows that:

Quinton, Hawkesley, Perry Common and Yardley Wood offices show the highest recorded British and Mixed British customers followed by Black Caribbean and Black African. Hawkesley office has

recorded the highest Pakistani community, significantly higher than Saltley CSC. This data from CRM cannot be relied upon to provide accurate ethnicity data.

There is little evidence for this assessment. This has been identified as a risk.

| | |
|---|---|
| Do you have evidence to support the assessment? | Yes |
| Please record the type of evidence and where it is from? | Data is available showing the race profile of NAIS service users across Neighbourhood Offices. This data can be found at Appendix 1 (1.8) to this EA. |
| Have you received any other feedback about the Function in meeting the needs of Individuals from different ethnic backgrounds? | No |
| You may have evidence from more than one source. If so, does it present a consistent view? | Not applicable |
| Is there anything about the Function and the way it affects Individuals from different ethnic backgrounds which needs highlighting? | No |

3.4.3 Race – Consultation

| | |
|--|--|
| Have you obtained the views of Individuals from different ethnic backgrounds on the impact of the Function? | Yes |
| If so, how did you obtain these views? | <p>As part of Public consultation a customer survey was undertaken at NAIS locations with NAIS customers. Over 1200 responses were received however it was deemed that the length of survey was to be kept short to maximise responses and therefore the respondents race was not requested. However respondents in this survey were direct customers of Neighbourhood Offices and therefore can be considered to be broadly representative of the customer base identified in Appendix 1 (1.8).</p> <p>A full consultation report has been prepared and can be found as an appendix to the cabinet report for which this EA also serves as an appendix.</p> |
| Have you obtained the views of relevant stakeholders on the impact of the Function on Individuals from different ethnic backgrounds? | Yes |
| If so, how did you obtain these views? | <p>Stakeholders such as local Councillors were informed and a formal briefing was presented to the relevant cabinet member. Opportunities were also given to professionals to provide feedback as part of the Be Heard Online consultation, the details of which can be found in the consultation as an appendix to the same cabinet report for which this EA also services as an appendix.</p> <p>Other stakeholders such as debt team, benefit</p> |

| | |
|---|---|
| | service, letting suites and Homeless Service, are aware of the proposals and comments will be invited to ensure that the redesigned service takes account of their concerns in so far as is reasonably practicable. |
| Is there anything about the Function and the way it affects Individuals from different ethnic backgrounds which needs highlighting? | No |

3.4.4 Race - Additional Work

| | |
|--|----|
| Do you need any more information to complete the assessment? | No |
| Is there any more work you feel is necessary to complete the assessment? | No |
| Do you think that the Function has a role in preventing Individuals from different ethnic backgrounds being treated differently, in an unfair or inappropriate way, just because of their ethnicity? | No |
| Do you think that the Function could help foster good relations between persons who share the relevant protected characteristic and persons who do not share it? | No |

3.5 Concluding Statement on Full Assessment

The removal of the Homeless Service from 4 sites within the NAIS portfolio is the only identified impact in relation to protected characteristics for customers.

The protected characteristics explored in the full analysis are the ones deemed to be most likely to experience any additional impact from the proposed change in function. The majority of these impacts relate to the distance they may be expected to travel to access the proposed Homeless facility at Newtown.

It is considered that the mitigation and counter measures outlined in this EA will be sufficient to account for the small number of customers who will experience any additional detrimental impact exceeding that of a normal member of the public.

All protected characteristics explored in the full analysis are the ones deemed to be most likely to experience any additional impact from the proposed change in service delivery and location. For those with severe mobility limitations home visits remain available. In considering the limited numbers of older adults approaching the existing service a reasonable level of mobility is assumed and the ability to use public transport should provide sufficient for most, many of whom will have access to a free bus pass.

Staff subject to the transfer to other locations will also be impacted. The requirement to work from alternate locations within the city forms part of the Birmingham Contract and thus there is an expectation that the majority of staff will be able to do so. However it is also accepted that a small number of staff falling within the same protected groups identified for customers may also experience difficulties with the distance to a new location. These staff will be identified and adjustments will be considered on a case by case basis.

In the event of any equality issue developing that has not been accounted for within this assessment then a review can be conducted in order to identify appropriate steps to resolve it.

A full review will take place approximately one year from implementation to ensure that the relevant issues have been captured and addressed within this EA.

4 Review Date

01/04/17

5 Action Plan

There are no relevant issues, so no action plans are currently required.

1. Equality Analysis - Neighbourhood Advice Service Remodelling : Data

1.1 Below are the top 10 topic/activity enquiries dealt with from 1st April 2014 to 31st March 2015 by NAIS:

| <u>TOP 10 ACTIVITIES</u> | <u>Enquiries 2014/15</u> |
|---|--------------------------|
| Verification | 92,010 |
| Benefit Services | 54,730 |
| Birmingham Home Choice | 40,775 |
| Homeless Advice | 21,701 |
| Welfare Rights | 19,341 |
| Council Tax | 17,912 |
| Local Welfare Provision | 13,986 |
| Accommodation Advice (general housing enquiries, private rented sector queries) | 15,067 |
| Housing Other -Tenancy Estate Management | 5,760 |
| Other | 16,245 |
| Total enquiries for service | 297,527 |

1.2 A review of current service delivery was undertaken between June-Sept 2015. The results clearly show the offices with the higher demand, these are:-

| | Jun-15 | Jul-15 | Aug-15 | Sep-15 | Total |
|-----------------------------------|--------|--------|--------|--------|--------|
| Newtown Neighbourhood Office | 3,828 | 3,789 | 2,202 | 1,696 | 11,515 |
| Erdington Neighbourhood Office | 1,701 | 1,760 | 1,450 | 1,938 | 6,849 |
| Northfield Neighbourhood Office | 1,602 | 1,019 | 1,699 | 1,263 | 5,583 |
| Sparkbrook Neighbourhood Office | 1,165 | 762 | 694 | 1,123 | 3,744 |
| Saltley Neighbourhood Office | 544 | 523 | 534 | 451 | 2,052 |
| Druids Heath Neighbourhood Office | 141 | 485 | 112 | 193 | 931 |
| Perry Common Neighbourhood Office | 30 | 176 | 220 | 137 | 563 |
| Quinton Neighbourhood Office | 102 | 94 | 95 | 80 | 371 |

1.3 Phase 1 Delivery Model

| | Neighbourhood Advice | Homelessness | Verification Service | Self service |
|-----------------------------|--|---------------------|-----------------------------|---------------------|
| Newtown CSC | ✓ | ✓ | ✓ | |
| Sparkbrook CSC | ✓ | ✓ | ✓ | |
| Erdington CSC | ✓ | ✓ | ✓ | |
| Northfield CSC | ✓ | ✓ | ✓ | |
| Saltley CSC | ✓ | ✓ | ✓ | |
| Perry Common CSC | ✓ Part time | No | ✓ | |
| Druids Heath Library | ✓ Part time with additional third sector advice on welfare benefits and Debt Advice | No | ✓ | |
| New Service Quinton Library | Not through BCC however third sector provision secured | No | ✓ | |

1.4. Phase 2 Proposed Face to face Model for January 2016

Below sets out the ten potential future delivery locations for advice in city where Neighbourhood Advice staff would be based, and how many city council advice staff would be in each location. It also shows which other services could be provided from these locations.

In some areas such as Erdington and Northfield both letting suites and neighbourhood advice would be providing a significant level of service and who leads and how this is integrated still needs to be progressed. (This is under review as part of consultation).

| | Neighbourhood Advice Service | Homelessness | Lettings Suite/ Council Tenants | LEAS commissioned Third Sector Advice | Additional Information |
|--------------|------------------------------|-----------------------|---------------------------------|---------------------------------------|--|
| Newtown | ✓ 6 staff | ✓ Main homeless | | | Neighbourhood Advice provided to homeless customers |
| Digbeth | | ✓ Under 25 singles | | | Staff from Newtown could also provide a service here if required. |
| Sparkbrook | ✓ 4 staff | | ✓ | | Neighbourhood Advice provided to council tenants |
| Ladywood | ✓ 3 staff | | ✓ | | Neighbourhood Advice provided to council tenants |
| Erdington | ✓ 8 staff | | ✓ | ✓ | Neighbourhood Advice provided to general customers and council tenants |
| Northfield | ✓ 8 staff | | ✓ | ✓ | Neighbourhood Advice provided to general customers and council tenants |
| Saltley | ✓ 2 staff | | | ✓ | Neighbourhood Advice provided to general customers |
| City Centre | ✓ 3 staff | | | ✓ | Neighbourhood Advice provided to general customers |
| Quinton | ✓ 2 staff | | | ✓ | Neighbourhood Advice provided to general customers |
| Druids Heath | ✓ Part time | | | | Neighbourhood Advice provided to general customers and council tenants |
| aston | ✓ Part time | | | ✓ | Neighbourhood Advice provided to general customers and council tenants |

- Neighbourhood Advice Service would in Erdington, Northfield with 8 staff in each location.
- Homelessness Services would be delivered at Newtown Digbeth. 6 NAIS staff would be included in the staffing structure.
- Lettings Suites would lead at Sparkbrook and Ladywood but would also be based at Erdington and Northfield with 3 NAIS staff in each.
- LEAS commissioned would lead at Saltley, Quinton with 2 NAIS staff at each location, and City centre location with 3 NAIS staff.

1.5 Current demand for Verification services is as follows:

| Verification | June.2015 | July.2015 | Aug.2015 | Sept. 2015 | TOTAL |
|---------------------------------|-----------|-----------|----------|------------|-------|
| Newtown Neighbourhood Office | 2,531 | 2,510 | 2,107 | 2,539 | 9,687 |
| Sparkbrook Neighbourhood Office | 203 | 1,341 | 1,169 | 1,450 | 5,163 |
| Northfield Neighbourhood Office | 1,080 | 983 | 1,113 | 871 | 4,047 |
| Saltley Neighbourhood Office | 1,125 | 1,183 | 435 | 1,086 | 3,829 |
| Perry Common Neighbourhood | 455 | 598 | 290 | 403 | 1,746 |
| Quinton Neighbourhood | 124 | 125 | 81 | 213 | 543 |

1.6 Travel

The table below illustrates the current offices, how many citizens use them and the average distance they currently travel to use them. This information has been retrieved from CRM using the customer postcode and choice of office to calculate the average distance.

| CURRENT | | | |
|---------------------------|------------------|---------------------|----------|
| Destination | Sum of Customers | Average of Distance | Result M |
| Bartley Green | 1591 | | 0.77 |
| Druids Heath | 1235 | | 0.67 |
| Erdington | 2616 | | 1.13 |
| Hawkesely | 1311 | | 0.77 |
| Newtown | 5226 | | 1.38 |
| Northfield | 2523 | | 1.25 |
| Perry Common | 1821 | | 1.30 |
| Quinton | 2044 | | 1.19 |
| Saltley | 3395 | | 0.94 |
| Selly Oak District Office | 1357 | | 1.09 |
| Sparkbrook | 3855 | | 1.18 |
| Yardley Wood | 1159 | | 1.18 |
| Grand Total | 30329 | | 1.16 |

| PHASE 2 | | | | |
|--------------------|-----------------------|------------------|---------------------------|------|
| Destination | Destination if closed | Sum of Customers | Average of Added distance | |
| Newtown | Erdington | 1883 | | 1.83 |
| Newtown | Sparkbrook | 3072 | | 1.64 |
| Newtown | Northfield | 271 | | 2.04 |
| Newtown Total | | 5226 | | 1.73 |
| Perry Common | Erdington | 1821 | | 1.13 |
| Perry Common Total | | 1821 | | 1.13 |
| Saltley | Erdington | 1061 | | 1.21 |
| Saltley | Sparkbrook | 2334 | | 1.06 |
| Saltley Total | | 3395 | | 1.11 |
| Grand Total | | 10442 | | 1.43 |

1.7 Age (Customer Data)

| Org: Business Unit | 0-17 | 18-25 | 26-29 | 30-34 | 35-39 | 40-44 | 45-49 | 50-54 | 55-59 | 60-64 | 65-69 | 70-74 | 75-79 | 80-84 | 85-89 | 90-94 | 95+ | Grand Total |
|---|--------|--------|---------|---------|--------|--------|---------|--------|--------|--------|--------|-------|--------|-------|--------|-------|-------|-------------|
| Acocks Green Neighbourhood Office | 0.00% | 0.00% | 100.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 100.00% |
| Bartley Green Neighbourhood Office | 0.57% | 7.06% | 7.63% | 11.26% | 15.46% | 15.27% | 7.25% | 8.49% | 5.92% | 7.63% | 6.11% | 2.48% | 1.72% | 2.48% | 2.67% | 0.00% | 0.00% | 100.00% |
| Bromford Neighbourhood Office | 0.00% | 2.55% | 7.64% | 5.10% | 21.02% | 12.10% | 12.74% | 10.19% | 3.82% | 5.10% | 4.46% | 5.10% | 5.73% | 3.18% | 1.27% | 0.00% | 0.00% | 100.00% |
| CSC 1 1st Response Team | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 100.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 100.00% |
| Druids Heath Neighbourhood Office | 0.07% | 10.44% | 7.64% | 7.24% | 10.29% | 8.40% | 12.36% | 12.80% | 9.96% | 6.11% | 5.05% | 2.80% | 2.78% | 2.40% | 1.27% | 0.25% | 0.15% | 100.00% |
| Erdington Neighbourhood Office | 0.57% | 19.13% | 14.84% | 15.22% | 13.97% | 10.15% | 8.53% | 6.18% | 4.90% | 2.44% | 1.36% | 0.94% | 0.76% | 0.65% | 0.33% | 0.04% | 0.01% | 100.00% |
| Handsworth Neighbourhood Office | 0.00% | 0.00% | 0.00% | 25.00% | 41.67% | 16.67% | 0.00% | 0.00% | 8.33% | 0.00% | 0.00% | 0.00% | 8.33% | 0.00% | 0.00% | 0.00% | 0.00% | 100.00% |
| Hawkesley Neighbourhood Office | 0.00% | 3.14% | 3.73% | 5.04% | 5.84% | 9.84% | 13.73% | 8.33% | 10.52% | 15.92% | 5.77% | 7.38% | 4.46% | 4.67% | 1.61% | 0.22% | 0.00% | 100.00% |
| Home Visit Request | 0.00% | 0.00% | 0.00% | 0.00% | 20.00% | 0.00% | 0.00% | 0.00% | 0.00% | 20.00% | 20.00% | 0.00% | 20.00% | 0.00% | 20.00% | 0.00% | 0.00% | 100.00% |
| Kingstanding Neighbourhood Office | 11.11% | 11.11% | 44.44% | 0.00% | 0.00% | 11.11% | 22.22% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 100.00% |
| Newtown Neighbourhood Office | 0.36% | 13.68% | 10.27% | 16.99% | 13.45% | 10.26% | 10.58% | 6.62% | 4.93% | 3.88% | 3.25% | 1.51% | 1.85% | 1.59% | 0.55% | 0.03% | 0.00% | 100.00% |
| Northfield Neighbourhood Office | 1.03% | 21.15% | 13.55% | 16.48% | 10.86% | 9.27% | 8.92% | 7.07% | 4.17% | 2.82% | 1.75% | 0.85% | 0.94% | 0.66% | 0.41% | 0.02% | 0.04% | 100.00% |
| Perry Common Neighbourhood Office | 0.91% | 8.58% | 10.04% | 11.13% | 9.49% | 12.04% | 9.49% | 9.49% | 8.39% | 8.03% | 2.19% | 4.01% | 2.55% | 2.19% | 1.28% | 0.00% | 0.18% | 100.00% |
| Quinton Neighbourhood Office | 0.74% | 8.33% | 7.46% | 10.58% | 10.93% | 11.40% | 10.74% | 11.16% | 8.86% | 7.01% | 4.79% | 3.23% | 1.88% | 1.85% | 0.71% | 0.11% | 0.21% | 100.00% |
| Saltley Neighbourhood Office | 0.92% | 6.25% | 7.74% | 13.42% | 13.79% | 14.41% | 11.84% | 9.17% | 7.24% | 5.95% | 2.85% | 2.08% | 1.73% | 1.66% | 0.78% | 0.04% | 0.11% | 100.00% |
| Selly Oak District Neighbourhood Office | 0.94% | 5.62% | 3.12% | 7.80% | 11.86% | 12.32% | 11.86% | 10.61% | 11.54% | 8.42% | 5.15% | 4.99% | 4.06% | 0.94% | 0.78% | 0.00% | 0.00% | 100.00% |
| Shard End Neighbourhood Office | 0.00% | 0.00% | 0.00% | 0.00% | 10.00% | 30.00% | 10.00% | 40.00% | 0.00% | 10.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 100.00% |
| Sparkbrook Neighbourhood Office | 0.96% | 13.84% | 14.39% | 18.00% | 15.07% | 10.52% | 9.40% | 6.44% | 4.63% | 2.65% | 1.32% | 1.14% | 1.10% | 0.33% | 0.19% | 0.02% | 0.00% | 100.00% |
| Sparkhill Neighbourhood Office | 0.00% | 0.00% | 0.00% | 100.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 100.00% |
| Stechford Neighbourhood Office | 1.26% | 10.69% | 8.49% | 9.43% | 9.75% | 12.58% | 11.95% | 10.69% | 10.06% | 5.03% | 2.52% | 3.77% | 1.89% | 0.63% | 0.94% | 0.31% | 0.00% | 100.00% |
| Sutton Coldfield Neighbourhood Office | 0.00% | 0.00% | 0.00% | 33.33% | 0.00% | 66.67% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 100.00% |
| Welfare & Home | 1.41% | 12.68% | 23.94% | 12.38% | 21.41% | 5.63% | 8.17% | 5.35% | 3.94% | 0.56% | 2.82% | 1.13% | 0.56% | 0.00% | 0.00% | 0.00% | 0.00% | 100.00% |
| Yardley Wood Library Advice Surgery | 1.62% | 7.39% | 6.93% | 11.32% | 13.16% | 13.86% | 12.24% | 11.32% | 8.31% | 3.00% | 2.08% | 2.31% | 2.08% | 4.39% | 0.00% | 0.00% | 0.00% | 100.00% |
| Grand Total | 0.77% | 15.30% | 12.11% | 14.94% | 12.74% | 10.51% | 9.77% | 7.53% | 5.57% | 3.88% | 2.31% | 1.55% | 1.35% | 1.07% | 0.51% | 0.05% | 0.04% | 100.00% |

1.8 Race: Customer Data

Although there will be an impact on all customers, upon assessment it is not foreseen that the proposed change in location and service delivery will unduly or negatively impact any person based on race. The serviced provided are non-race specific and persons accessing the service will be able to do so the same way regardless of their race/ethnicity.

A review of emerging community languages, as per 2011 census information include; Somalian and Ethiopian in the Sparkbrook area. Kurdish in Handsworth; Polish in Erdington and Arabic across the central area of the City.

Other incoming and establishing languages include Lingala (a Bantu language spoken throughout the north-western part of the Democratic Republic of the Congo and a large part of the Republic of the Congo, as well as to some degree in Angola and the Central African Republic); Eastern European Languages, and French (for clients of African descent whose 1st language is difficult to source).

The last few years have seen much more human movement worldwide. Birmingham's population changes by the month and so, correspondingly, do the languages spoken in the surrounding area. From the late 90's until 2001/2002 Albanian was in huge demand. Today there is very little demand for Albanian. There was a surge in demand for Polish language in the late 2000s which has now greatly reduced. New groups of foreign language speakers arrive often with few language skills, and the interpreting/translation needs occur at their initial point of contact as they settle. Next they integrate, absorb the language, become more self-sufficient and often they move on.

Statistics show that the same emerging languages are not currently available within the Neighbourhood Office network. Therefore, any requirement for emerging languages would have to be sourced from alternative access points such as Language Line or Brasshouse Language Service, if and when required. (As is the case for British Sign language at present). In providing translation services in some languages and not others, the City is providing a service that excludes sections of the community. In order to rectify this, it is proposed that all language requirements are met by partner organisations.

Should any issues relating to race be identified following implementation of the redesigned service, this EA can be reviewed to ensure they are adequately addressed.

It is noted that the two main sites for NAIS will be located in the North and South of the City. These areas are not within the main banks of deprivation in Birmingham. However, the service will also be delivered with NAIS staff in Newtown and Saltley which is in the central deprived area of Birmingham and from Druids Heath which is also in a highly deprived area.

Data entry with regard to ethnicity is sporadic. Whether this is as a result of staff not asking the question or customers declining to answer are unknown.

From the data we do have it shows that:

Quinton, Hawkesley, Perry Common and Yardley Wood offices show the highest recorded British and Mixed British customers followed by Black Caribbean and Black African. Hawkesley office has recorded the highest Pakistani community, significantly higher than Saltley CSC. This data from CRM cannot be relied upon to provide accurate ethnicity data.

There is little evidence for this assessment. This has been identified as a risk.



TRANSFORMING LIVES THROUGH ADVICE

A strategic approach

AIM

Empower and support citizens to lead independent and fulfilling lives by providing high quality information, advice, support and advocacy.

STRATEGIC FIT

Advice helps address injustice so is key to delivery of strategic plans and policies:

- Increasing employment
- Improving health and wellbeing
- Reducing homelessness
- Reducing child poverty
- Reducing fuel poverty
- Reducing transport inequalities

Version: Final

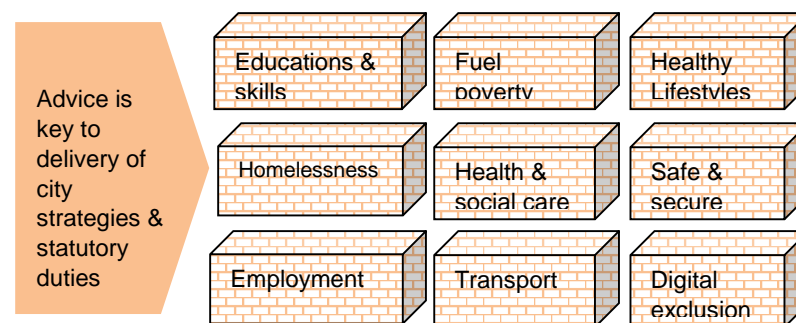
Advice strategy aims and principles Transforming lives through advice

- Accessible, high quality services designed to meet the needs of people from all of Birmingham's diverse communities
- Information, advice and advocacy services planned in a coordinated manner
- Service delivery is characterised by collaborative partnership working
- Services are available in different ways, using well publicised easy to access channels

Advice is important for a fair and just society

Advice supports and empowers people to know their rights and responsibilities and to tackle injustice. Birmingham needs an advice strategy now to ensure that there is fair and equitable access to advice services for all residents. We need to be ready for the roll out of Universal Credit as well as changes to national and local government services driven by austerity measures. High quality advice:

- Builds capable and confident residents to lead independent and fulfilling lives
- Supports people to build skills, capabilities and overcome barriers to work
- Has a positive effect on health and wellbeing, especially mental health
- Reduces poverty, helping people to maximise income, budget effectively and maintain tenancies
- Promotes social inclusion
- Supports digital inclusion



Where do we want to be?

1. Birmingham will have a thriving advice provider market which delivers high quality, cost effective services through a variety of channels, locations and times, giving value for money and real choice to residents. The market will be agile and responsive to emerging economic and operating environment changes as well as to people and community needs
2. Residents will have easy access to accurate information, advice and support in a timely and appropriate channel to meet their individual needs
3. Advice providers will have a clear understanding of how they contribute to the advice strategy and will collaborate to deliver holistic targeted interventions which meet clients' needs
4. Funders will understand how they can invest in the city to deliver optimum returns and impact
5. GBAS clients will take the shortest route to the right advice from the most appropriate provider

Where are we now?

1. Birmingham has diverse advice provision through statutory, voluntary and commercial agencies. Services delivered are variable in terms of volume, quality, complexity, location, channels and opening hours. Collaboration between providers is at different levels of maturity; providers have to balance the tension between joint working and competing for funds. Innovation is often inhibited by contract delivery and funding constraints.
2. Residents' choices are limited by their understanding and knowledge of providers as well as their ability to fit into each providers' service offer. There is an element of choice for some advice topics, however there is no single source of information on advice providers and some advice topics have very limited provision. Costs can be incurred from commercial providers, although some do provide an initial free consultation.
3. Third sector advice providers secure funds to meet the needs of their clients and to adhere to their charitable aims and objects. There is often a lack of awareness of what other providers deliver which can lead to duplication or gaps developing. Funding terms can prevent innovation and collaboration, meaning that they cannot respond to strategic changes by statutory bodies. There is little security of income meaning decisions are short term and often reactive.

4. Funders are keen to invest in the city; however the scale of the challenges in Birmingham can make it difficult to identify how to achieve the right combination of delivery and transformation. In order to ensure a sustainable return on investment, funders require services which combine prevention and intervention to best effect.
5. GBAS partners are working collaboratively together and are engaging with other agencies. The Service Directory & Referral System (SDRS) is live; this provides information on services as well as direct referrals between partners. The ESF "My Work Journey" project partners also have access to the SDRS. Partner agencies which cannot take referrals, as well as national information sites are also listed as resources.

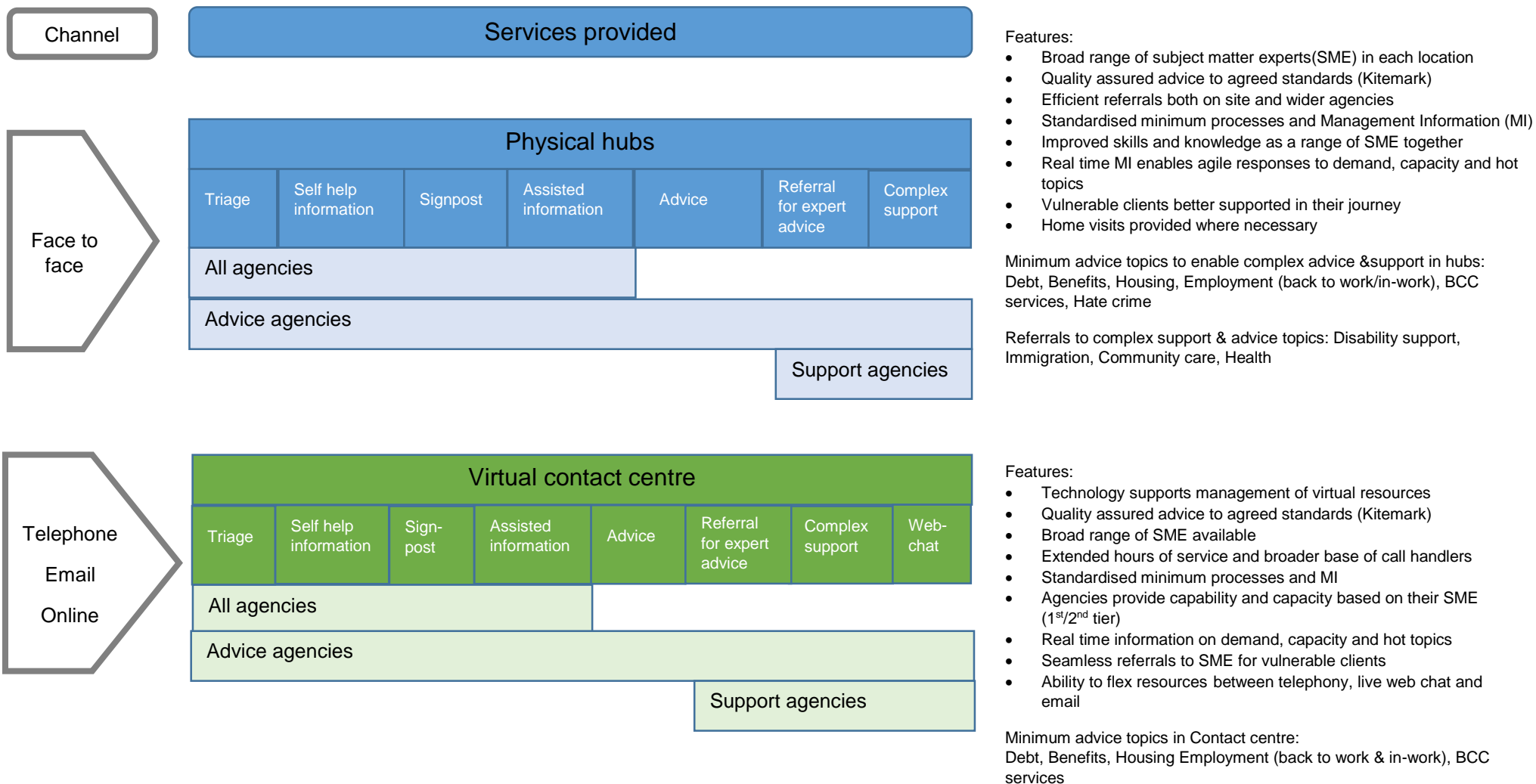
Challenges to overcome

| Challenge | Current position | Proposals | How |
|---|--|---|-----------------|
| Unemployment levels in Birmingham are higher than the UK average. Advice and support is crucial to enable people to seek, secure and retain employment. We need to better integrate our advice and employment support services | As at October 2015 seasonally adjusted figures for unemployment are <ul style="list-style-type: none"> Birmingham 5.8% West Midlands 2.9% UK 2.5% Constituencies vary from 1% to 13% ¹ | Gather intelligence on existing outcomes delivered by advice and support agencies. Develop integrated advice and support services which deliver on required outcomes. | Action plan 2.3 |
| We are not meeting demand for face to face or telephone advice services. We need to deliver services in the most cost effective way, so must encourage and support residents to move to telephony and online channels. | Demand significantly exceeds capacity. Telephony and online channels need to be developed and honed to manage demand and build capacity. | Seek funding for a telephone call centre to deliver inbound and outbound advice. Develop plans to deliver the channel shift required | Action plan 2.3 |
| We do not have a comprehensive up to date accessible service directory | GBAS has a service directory and referral system (SDRS) which can be broadened to include other agencies | Broaden membership of GBAS. Enhance functionality in the SDRS. Extend content. | Action plan 2.1 |
| We are not meeting clients requirements in terms of hours of service | There are mixed hours of service with little provision out of normal business hours | Develop proposal for hours of service to meet clients' needs | Action plan 2.3 |
| We do not provide interactive web services (esp for younger people) | Web services which do exist are fledgling or in pilot stage. | Explore use of web chat services to effect warm handover between agencies | Action plan 3.3 |
| We do not know the quality of services received by clients | Different quality standards exist across the city | Develop a quality matrix and kitemark for all Birmingham advice providers using externally evaluated quality standards e.g. AQS, SQM, CQC | Action plan 3.1 |
| There is no single location where residents can have all their advice needs met | Residents have to move to the providers, rather than access a range of services in one place | Develop proposal for multi-agency hubs. | Action plan 3.1 |
| There is no broad advice strategy so we react rather than plan services | The strategic approach to advice services has been adopted in principle | The strategic approach to advice proposal to be progressed | Action plan 1.1 |
| There is insufficient funding to meet advice needs | No funding plan in place | Develop funding plan and secure funds | Action plan 3.4 |
| Advice services are fragmented across the city | There is disjointed provision within Birmingham City Council and between advice agencies. | Ensure all services contribute to the strategic framework. | Action plan 3.2 |

¹ Source Birmingham City Council Unemployment briefing October 2015

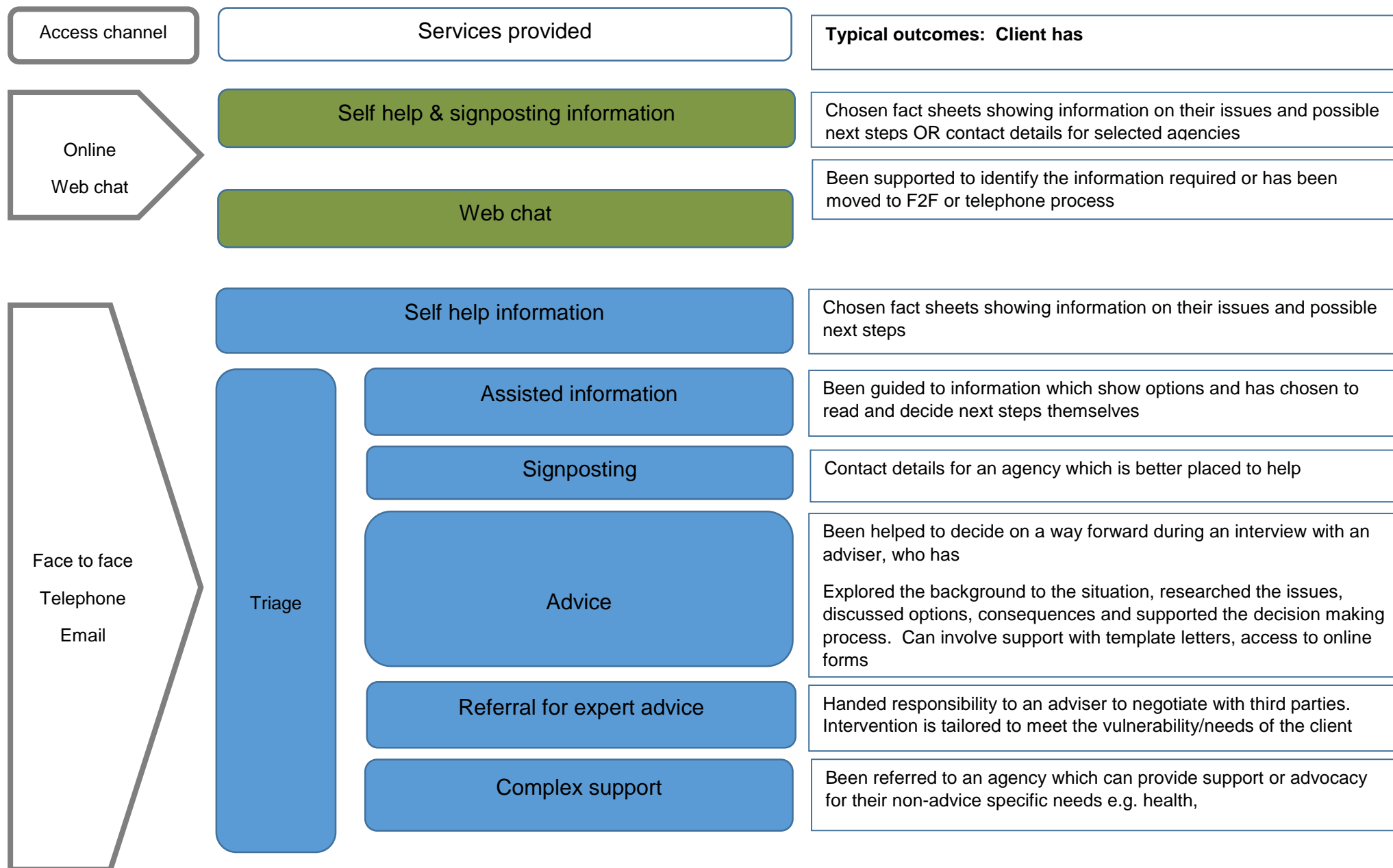
Advice Framework Target Operating Model

This model will provide a consistent customer experience through all access channels. Customers can switch between channels at any point in their journey. The hubs will be interconnected to manage demand and share appropriate information to enable the client to be referred. Hours of service to be determined

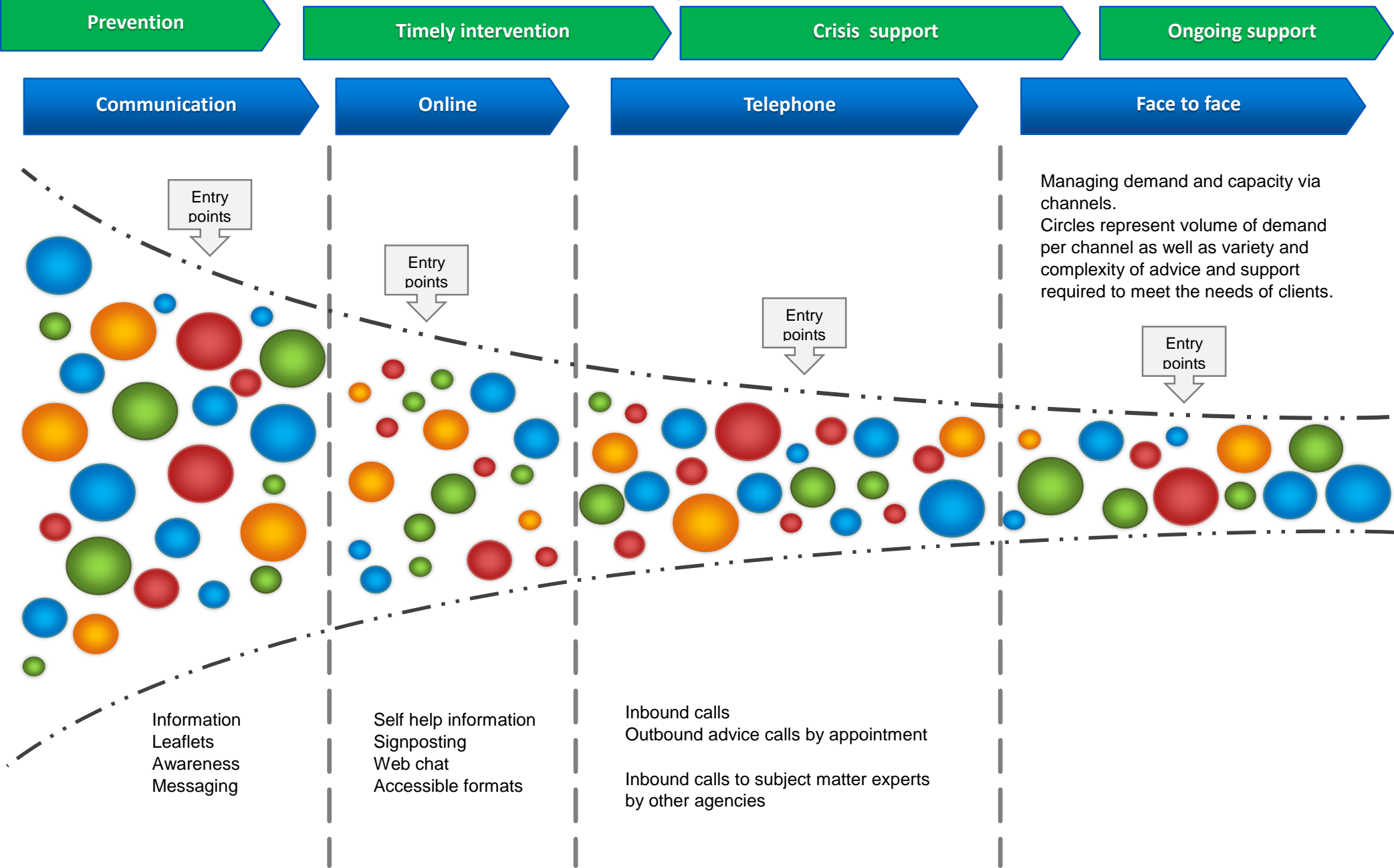


Advice services by client journey

This process shows the main client journeys by channel; clients can move between channels dependent on advice needs.



Diversifying channels to better meet clients' needs and manage demand



Drop in
Advice
Expert advice/casework
Complex support
Lifestyle and health interventions

How do we get there?

| Initial steps | | What needs to happen | By when | By who |
|-------------------------|-----|---|-------------------------|-----------------|
| Strategy and governance | 1.1 | Define and agree an advice strategy framework covering information, advice and advocacy services | This document | GBAS+SOG |
| | 1.2 | Broaden membership of the GBAS Strategic Oversight Group (SOG) to oversee the implementation of the strategy | Completed | GBAS+BCC |
| | 1.3 | Ensure links with other city-wide strategies and plans. Specifically BCC, LEP, PH, CCG | Through SOG | GBAS+SOG |
| | 1.4 | Develop an advice service provider strategy to deliver the advice strategy framework | Sept 2016 | BCC |
| | 1.5 | Establish a timeline with key milestones | Apr 2016 | GBAS & BCC |
| | 1.6 | Determine how organisations can align to this strategy | Ongoing | SOG |
| | 1.7 | Develop an advice quality matrix and kite mark using externally evaluated quality standards | July 2016 | GBAS & BCC |
| | 1.8 | Establish a review process to ensure the strategy remains live, relevant and considered in all service changes. | Jan 2016 then quarterly | SOG |
| Planning | 2.1 | Define advice, information, advocacy and support to determine scope of advice strategy and what is out of scope | June 2016 | GBAS & BCC |
| | 2.2 | Define actions required to meet timescales and key milestones & allocate action owners | June 2016 | GBAS & BCC |
| | 2.3 | Determine actions required to deliver on channel migration | July 2016 | GBAS & BCC |
| | 2.4 | Conduct EIA to ensure advice services meet the needs of all residents | June 2016 | BCC & GBAS |
| Funding and resources | 3.1 | Develop an advice target model which articulates the end goal so it is clear how investment can support migration to this model | This document | GBAS & SOG |
| | 3.2 | Determine how resources can be shared to improve access for residents, increase efficiency and reduce costs | Dec 2016 | BCC & GBAS |
| | 3.3 | Determine what the building blocks are and develop a funding prioritisation plan to support bids. Telephony & online to be first step | Sept 2016 | GBAS, SOG & BCC |
| | 3.4 | Seek funding | Ongoing | All agencies |








| Glossary | Explanation |
|--------------------------------|--|
| Advice | Provision of information and options, including an explanation of the consequences of each option. Discussion on the different actions which the client may take. Some basic assistance to seek further information, complete forms, provides template letters. |
| Advice topics | Debt, benefits, housing and employment (in work and back to work), immigration, discrimination, relationships, health & social care, |
| Advocacy | Provision of support which enables clients to speak for themselves and have a direct say in the issues which affect their lives. |
| Assisted info | Client is provided with information or factsheets and some guidance provided based on personal circumstances |
| Complex support | This level of support is more intense and ongoing to deliver an outcome for the client, such as back to work support, training, skills based placements and may be tailored to meet a client specific health and disability needs. |
| Expert advice | Expert advice is casework. The adviser takes ownership of the situation to progress a case on behalf of a client. This will involve contacting third parties, writing letters and negotiating on behalf of and/or with the client and the third party. It can include help with application forms & template letters |
| Other information and guidance | Other areas of advice and information which are not covered by this first draft of an advice strategy framework Employment services / Adult care and health services/ Children and families/ General local facilities/ Safety information/ Medical advice /Financial advice/ Other legal advice – e.g. criminal or commercial law |
| Referral | Warm handover to subject matter experts who will take ownership of the case. This can be an internal referral or to another agency. |
| Self help Info | Factual details that are provided with no personal context. This can be verbal, leaflets, website or factsheets. Client can be signposted or referred for personalised advice. |
| Signpost | Provision of contact information for other agencies who are better placed to assist the client |

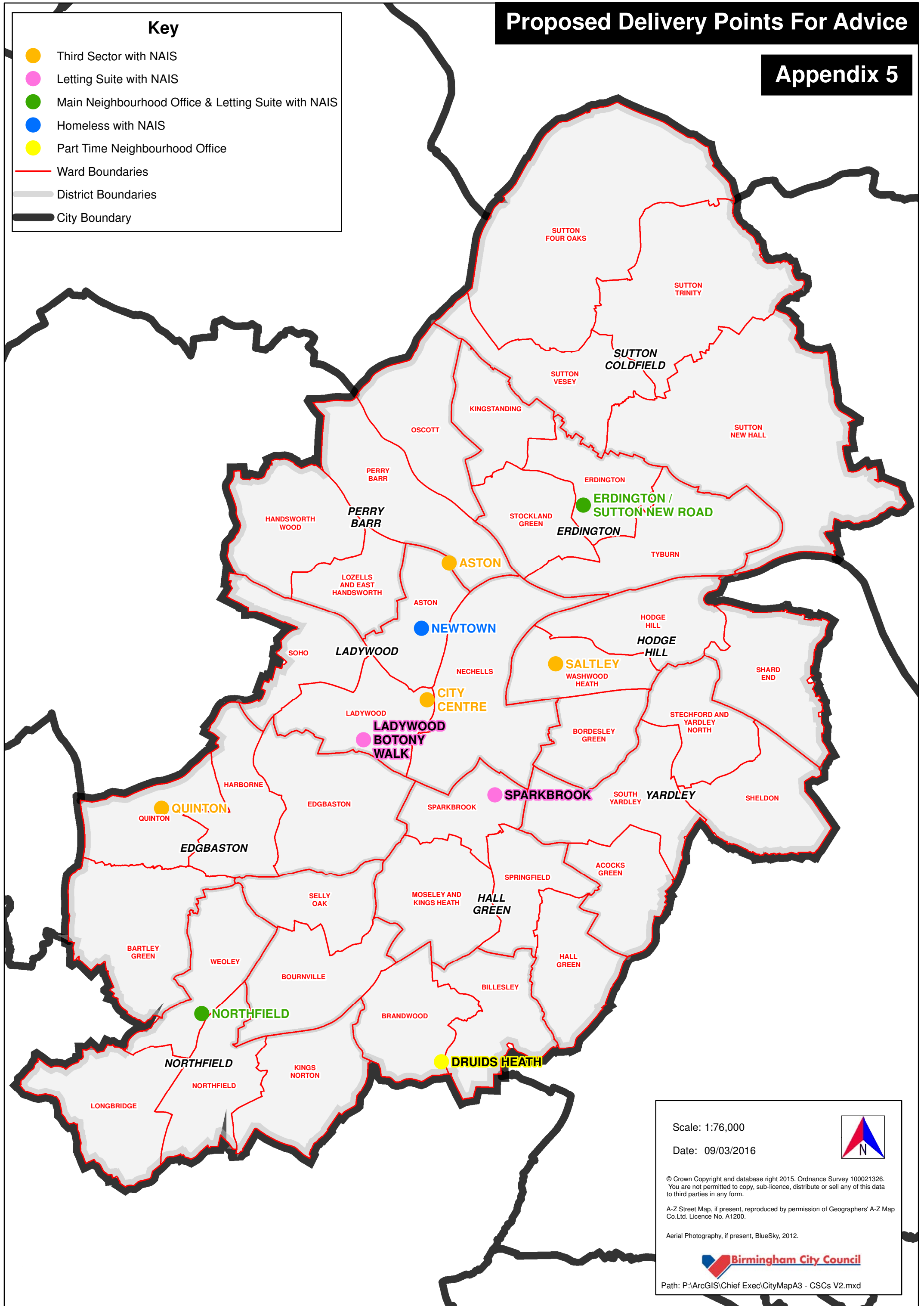
| | |
|--------|---|
| Triage | An assessment of client's need, including an understanding of their personal circumstances and their capacity and capability to resolve the issue which results in an agreement of next steps |
|--------|---|

Proposed Delivery Points For Advice

Appendix 5

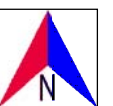
Key

-  Third Sector with NAIS
-  Letting Suite with NAIS
-  Main Neighbourhood Office & Letting Suite with NAIS
-  Homeless with NAIS
-  Part Time Neighbourhood Office
-  Ward Boundaries
-  District Boundaries
-  City Boundary



Scale: 1:76,000

Date: 09/03/2016



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



Aerial Photography, if present, BlueSky, 2012.

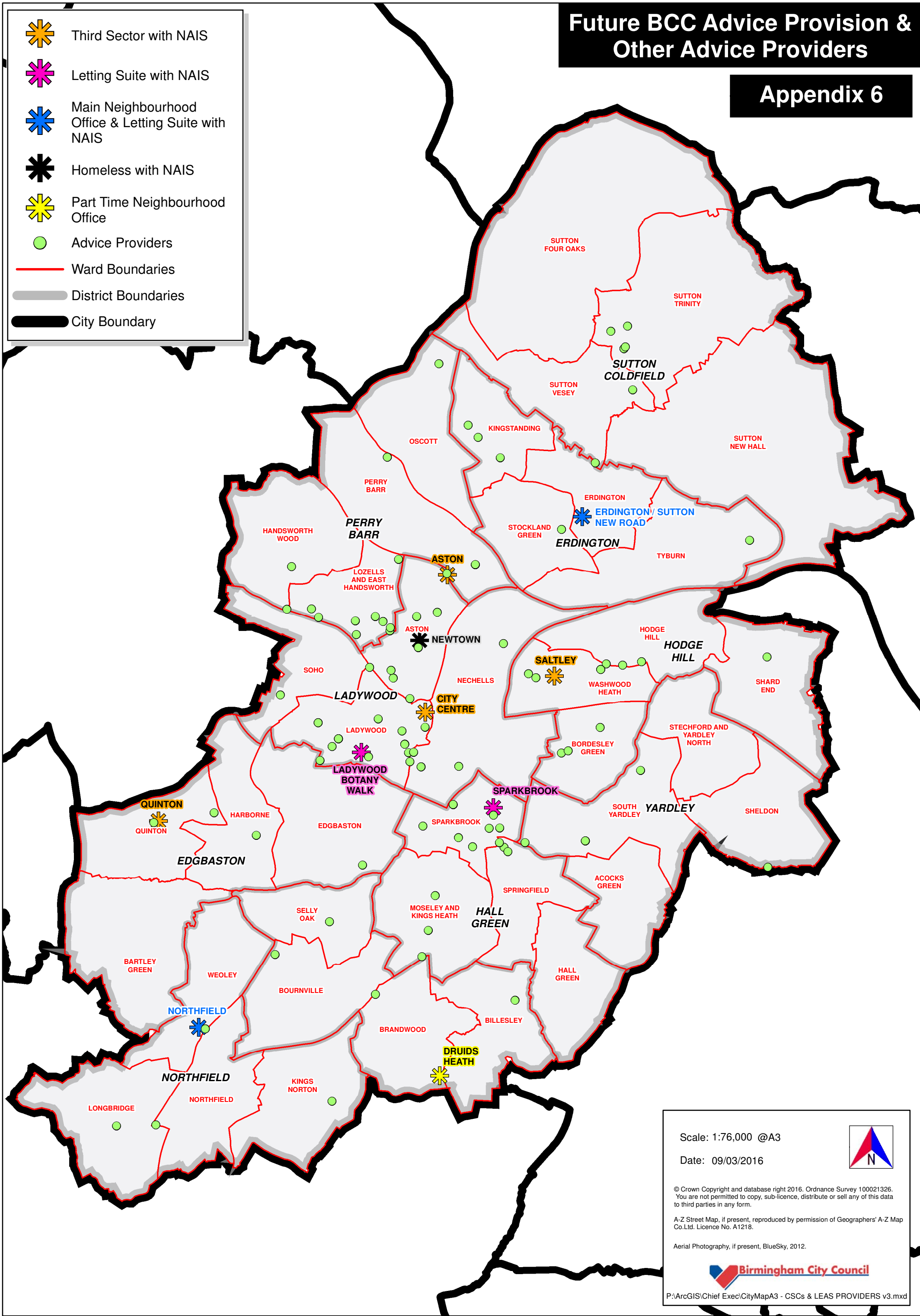


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Future BCC Advice Provision & Other Advice Providers

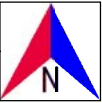
Appendix 6

-  Third Sector with NAIS
-  Letting Suite with NAIS
-  Main Neighbourhood Office & Letting Suite with NAIS
-  Homeless with NAIS
-  Part Time Neighbourhood Office
-  Advice Providers
-  Ward Boundaries
-  District Boundaries
-  City Boundary



Scale: 1:76,000 @A3

Date: 09/03/2016



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| | |
|---|---|
| Report to | CABINET |
| Report of: Date of Decision: | Strategic Director for People 22nd March 2016 |
| SUBJECT: | REPLACEMENT SOCIAL CARE IT SYSTEM (CHILDREN'S AND ADULTS') PROJECT DEFINITION DOCUMENT (PDD) |
| Key Decision: Yes | Relevant Forward Plan Ref: 001102 |
| If not in the Forward Plan: (please "X" box) | Chief Executive approved <input type="checkbox"/> O&S Chairman approved <input type="checkbox"/> |
| Relevant Cabinet Member(s): | Councillor Ian Ward – Deputy Leader Councillor Brigid Jones – Children's Services Councillor Stewart Stacey – Commissioning, Contracting and Improvement Councillor Paulette Hamilton – Health and Social Care |
| Relevant O&S Chairman: | Councillor Majid Mahmood - Health and Social Care Councillor Susan Barnett - Education and Vulnerable Children Councillor Waseem Zaffar - Corporate Resources |
| Wards affected: | All Wards |

| |
|---|
| LATE REPORT |
| * To be completed for all late reports, i.e. which cannot be despatched with the agenda papers i.e. 5 clear working days' notice before meeting. |
| <p>Reasons for Lateness</p> <p>This is a particularly complex project definition to develop. It is a key operational system replacement which sits at the centre of numerous other related ICT systems that also needed to be considered.</p> <p>Reasons for Urgency</p> <p>Children's Social Care improvement is a key Birmingham City Council outcome. It has been demonstrated that improvements in this area are dependent in part on the replacement of CareFirst. Further delay in the approval of this project will continue to impede improvements in Social Care practice.</p> |

BIRMINGHAM CITY COUNCIL

PUBLIC

| | |
|---|--|
| Report to: | CABINET |
| Report of: | Strategic Director for People |
| Date of Decision: | 22nd March 2016 |
| SUBJECT: | REPLACEMENT SOCIAL CARE IT SYSTEM (CHILDREN'S AND ADULTS') PROJECT DEFINITION DOCUMENT (PDD) |
| Key Decision: Yes | Relevant Forward Plan Ref: 001102 |
| If not in the Forward Plan: (please "X" box) | Chief Executive approved <input type="checkbox"/> O&S Chairman approved <input type="checkbox"/> |
| Relevant Cabinet Member(s) or Relevant Executive Member: | Councillor Ian Ward – Deputy Leader Councillor Brigid Jones – Children's Services Councillor Stewart Stacey – Commissioning, Contracting and Improvement Councillor Paulette Hamilton – Health and Social Care |
| Relevant O&S Chairman: | Councillor Majid Mahmood - Health and Social Care Councillor Susan Barnett - Education and Vulnerable Children Councillor Waseem Zaffar - Corporate Resources |
| Wards affected: | All Wards |

| |
|--|
| 1. Purpose of report: |
| <p>1.1 To advise on the need to replace the Council's Social Care IT system. This proposed investment will provide key required improvements to Children's Social Care and ensure the continuity of both the Children's and Adults' Social Care Services.</p> <p>1.2 To note the indicative timetable associated with this proposal.</p> |

| |
|---|
| 2. Decision(s) recommended: |
| <p>That Cabinet:</p> <p>2.1 Notes the content of the report and the process being followed.</p> |

| | |
|---|--|
| Lead Contact Officer(s): | Alastair Gibbons - Executive Director for Children's Services Alan Lotinga - Service Director Health and Wellbeing |
| Telephone No: Email Address: | Email: alastair.gibbons@birmingham.gov.uk Tel: 0121 675 7743 Email: alan.lotinga@birmingham.gov.uk Tel: 0121 464 4327 |

3. Consultation

3.1 Internal

3.1.1 Officers from Legal and Democratic Services, City Finance, Procurement, ICF, BCC Interim Information and Technology Director and Social Care Operational Colleagues have been involved in the preparation of this report.

3.2. External

3.2.1 Officers from Nottingham City Council, Essex County Council and Leeds City Council all of whom are involved in similar projects have been consulted to support preparation of this report.

4. Compliance Issues:

4.1 Are the recommended decisions consistent with the Council's policies, plans and strategies?

4.1.1 This proposal supports the Council Business Plan 2016+ priority of the following inter-connected improvement agendas:

- Safety and Opportunity for all Children
- A Healthy and happy population
- Thriving local communities

This will be by ensuring the continuity and continued improvement in Social Care delivery through the following;

- Efficient modern ICT systems enabling social workers to spend more time with people and families
- User friendly system removing the administrative burden of the present system.
- Process automation and simplification
- Improved management information to enable more effective management of the Social Care Process
- Removal of duplication
- Retention of social workers

The replacement of the existing Social Care IT System is included in the Directorate for People draft ICT Strategy (2015). This strategy will need to be aligned with Future Council outcomes, Operational Model and City Wide ICT and Digital and Information Management Strategies (2016) when published later this year.

4.1.2 Compliance with the Birmingham Business Charter for Social Responsibility (BBC4SR) Including Living Wage Requirements

The provider of the new social care ICT system and any external firm providing consultancy support will be required to be a signatory to the Birmingham Business Charter for Social Responsibility and to provide an action plan that is commensurate to the value and nature of the contract.

4.2 Financial Implications

Information gathered from the market and other local authorities has been used to make an initial estimate of the upfront and ongoing costs of the replacement system.

Most of the costs associated with the development and implementation of ICT systems can be treated as capital expenditure. The People Directorate has capital resources which are sufficient to fund the estimated costs of these elements. Any increase in costs above this initial estimate will need to be funded from prudential borrowing and the costs of this, along with funding sources, will be confirmed at Full Business Case (FBC) Stage.

Some elements of cost, particularly things such as training, are not able to be funded from capital resources. There may also be some continuing costs of the existing Care First system during the transition phase. Any transitional revenue costs of the implementation will be funded from within the approved Directorate for People revenue budget.

At this stage it is assumed that the revenue costs of operational support and maintenance will be the same or less than those of the existing systems and will be funded from the existing sources. The project will also consider other associated systems which may be included in the overall replacement leading to some further reduction in costs. This will be confirmed at the FBC stage.

Specific financial benefits are not the primary driver of this project which is to ensure the continuity of the Social Care Service and enable improvement of these services. The delivery of the project should however help enable long term savings in the operational teams through increased efficiency which cannot be quantified at this time.

4.3 Legal Implications

4.3.1 Legal Compliance

The new system will facilitate the Council to discharge a range of statutory functions and will be required to be compliant or support compliance with the wide range of legislation applicable to Social Care and Information Management including the following:

| | |
|---|---|
| Children Act 1989 | Carers and Disabled Children Act 2000 and Carers (Equal Opportunities) Act 2004 |
| Education Act 2002 | Data Protection Act 1998 |
| Sexual Offences Act 2003 | Equality Act 2010, Parts 2, 3 and 11 |
| Adoption and Children Act 2002 | |
| Homelessness Act 2002 | Human Rights Act 1998 |
| Children Act 2004 | Mental Capacity Act 2005 |
| Criminal Justice and Immigration Act 2008 | Welfare Reform Act 2009 – Part 2 |
| Borders, Citizenship and Immigration Act 2009 | Care Act 2014 |
| Children and Families Act 2014 | Mental Health Act 1983 |
| Computer Misuse Act 1990 | Mental Health Act 2007 |

This list is not intended to be exhaustive and simply identifies the key legislation we are responsible for implementing.

4.3.2 Pre-Procurement Duty under the Public Service (Social Value) Act 2012

Consideration of how this project will contribute to achieving the Council's priorities and improve the economic, social and environmental well-being of the relevant area will be discussed by the relevant officers and will be reflected in the business requirements, which will be relevant and proportionate to the overall procurement. Additional stakeholder consultation on social value will be considered prior to the commencement of the procurement process to establish what is appropriate. The Council's Social Value, Living Wage and Charter Policies will be fully considered during the definition, commissioning, procurement and implementation stages. Service Birmingham will mandate BBC4SR through its supply chain as part of its obligation to the Charter.

4.3.3 TUPE is unlikely to apply.

4.4 Public Sector Equality Duty

4.4.1 Implementing a new system should not adversely impact on any citizen of Birmingham. Public Sector Equality Duty will be part of the business requirement specifications for the procurement.

An initial equality impact assessment has been completed to determine any impact of this proposed procurement on those within the protected categories. A further equality impact assessment will be completed as part of the full Business Case stage. The initial assessment is attached at appendix A.

The new system may have the potential to allow Citizens access to their information and to self-serve online (i.e. digital by preference). However this will depend on the systems that are available that can deliver this and all the other aspects of the specification. As not all citizens will have the capability to use online services for themselves, assistance will continue to be provided in these cases.

5. **Relevant background/chronology of key events:**

5.1 The Need For Change

Continued and sustained improvement in Children's and Adults' Social Care is dependent on a replacement ICT solution. Our professional workforce needs an ICT system that is accessible, workable and secure. It is critical that the opportunity is taken to reduce the burden on practitioners by ensuring that the ICT system is fit for purpose.

This proposal is a key part in supporting the Social Care Improvement agenda for Children's Services resulting from external scrutiny over the last 6 years rating the service as inadequate. There has been continued government attention over this period of time.

Lord Warner who was appointed by the Department for Education as the Independent Commissioner for Children's Services concluded "inadequacy of administrative support, especially the IT system, for good quality social work practice and the consequential wasting of social skills and time on clerical work". (Lord Warner 2015).

There is also the opportunity to consolidate a number of existing systems (for example e-records) into the one new system improving the user experience.

The current primary Social Care ICT system is called CareFirst and is provided by OLM. CareFirst is hosted and supported by Service Birmingham and has been used in

Birmingham since circa 1999, uses outdated technology, is difficult to report from and inhibits good social work practice. It provides the following for Children's and Adults' Social Care:

- Assessments
- Case recording
- Care plans and associated finance
- Reporting (management and business information)
- Associated services such as Adoption and Fostering
- Payments, income collection and service agreements
- Auditing

The system is used by about 4,000 staff and holds information about more than 25,000 people where the Directorate for People are currently involved. It also contains historic information relating to 684,000 people who have been connected to the use of care services over the years. In addition it manages in excess of 20 million payment and 5 million income financial transactions per annum.

OLM are now focussing the majority of their development effort into a replacement system which is due to be released for use after March 2016. For Birmingham this means the current system will only adapt to support statutory requirements and other minor developments effectively ensuring its demise. There is an opportunity to procure an effective and responsive child and family welfare ICT system. The new system will be more aligned with the practice needs of our social workers and will enable technology and innovation to better support practice, not drive the business.

An end of support date has not been provided by OLM however this situation presents a growing risk to ongoing support through time. Migrating to any replacement product from the same provider may well be as challenging as migrating to other alternative products. In these circumstances alternative options need to be considered and then the market should be tested for the best replacement product.

Key issues with the current system include:

- Too many time consuming processes.
- Records held across multiple systems.
- Too many workarounds in use and needed to meet new requirements
- Unable to meet changing new requirements resulting in further workarounds.
- Difficult to report from.
- Limited search and printing facilities.
- Difficult to identify who recorded what.
- Message functions difficult to use.
- Limitations to linking events.
- Inaccuracies pass through to other systems.
- Poor integration with other systems
- Customisation

There are also a number of additional ICT systems in the department which require management and support, resulting in a significant resource overhead, increased error rates and inefficiency. This impacts the department's capability to deliver the outcomes required by both Adults' and Children's services.

Demonstration of working systems by two leading market providers and experience drawn from Essex County Council show alternative ICT offerings are more advanced,

more flexible and easier to use. They also include the functionality of a number of these additional Birmingham systems in the main application.

5.2 Options and Recommended Approach

The Options Appraisal for this project considered the following possible routes for replacement;

- Do nothing and continue with the existing CareFirst System
- Implement OLM's replacement product – Eclipse
- Develop a new ground up bespoke solution
- Partner with another local authority and use their Social Care System
- Configure and develop a SAP based solution
- Go to market to select an off the shelf solution

Details of the Options Appraisal are given in section 6 below.

Going to market to select a solution is the recommended approach as this will yield the optimum functionality and value for money that can be provided by market leading vendor solutions. This market selection should also include the OLM eclipse solution along with possibilities of using SAP for completeness.

A new system will enable direct improvement in Social Care delivery, reduce the administrative burden on Social Workers and allow more time to be spent doing social work with people and families. A précis of the improvement includes;

- Improved and simplified workflow processes and forms
- Removal of duplication of effort.
- Consolidation of multiple systems, processes and workarounds.
- Provide additional facilities such as recording the voice of the child – a key requirement that the present system cannot do.

The new system is envisaged to provide the platform for the future of social care in Birmingham providing or enabling the future provision of the following key capabilities :

- Online access for citizens to complete their own assessments.
- Partnership working with other agencies such as health, police and third sector
- More ways for Social Care Staff to access the system when mobile.
- Reduced management and support overheads

This system is also expected to encompass a number of other existing systems due to the range of available functionality on offer in more advanced systems and provide the potential to include functionality of further systems in future. Future inclusion of systems will be the subject of separate projects and are outside the scope of this project.

5.3 Outcomes Sought

The following is a précis of the outcomes sought from the project. What the market can offer will be identified as part of the procurement (selection of a solution) process. There will be a degree of iteration in this process as requirements, outcomes and market offerings are evaluated. The tracking of resultant benefits will be defined as part of the development of the full business case.

- i. Better delivery of service to the citizens of Birmingham to improve lives
- ii. Move from Child focussed to family / network based focussed recording & Case analysis
 - a. Families and relationships – Improved safety planning
 - b. Better decisions, more quickly and more responsive interventions
 - c. More children safely left at home.
 - d. Identification of geographical clustering – e.g. alleged offenders or collective needs within Children's homes.
 - e. Better handling of out of hours incidents due to improved information.
 - f. Consistent plans and reviews with a single record of a child and family
 - g. Social workers (Children's) spending less time on computers and more time with families.
- iii. Improved efficiency in Children's and Adults' Services
- iii. Increased staff satisfaction and improved staff retention.
- iv. Continuity and future proofing of the critical underpinning ICT service
- vi. Integrated document management in the new solution
- vii. A system to retain historical data will still be required.
- viii. Improved data quality, communication and sharing of financial and customer data.
- ix. Avoidance of reputational damage and penalties due to a failure to properly discharge statutory duties.
- x. Compliance with legislative requirements and changes *

* Whilst BCC will necessarily require that a replacement system complies with relevant legislation (i.e. what is enacted in a Bill or even proposed in a consultation paper) BCC would expect that it is by the operation of a change clause that any other changes following service commencement are ordered by BCC and the cost of the change is valued.

5.4 Project Scope

A replacement for CareFirst and any necessary archive system needs to be specified, procured and implemented and will be a large and complex ICT activity. The three main areas are;

- Children's Social Care
- Adults' Social Care
- Finance

It will involve the handling and transferring of records associated with 684,000 people and the training and upskilling of circa 4000 officers as users of the system.

CareFirst is integrated into a range of other systems including SAP Voyager Finance, Matrix Micro-procurement, e-records, Adults' Needs and Finance assessment Web portals. The new solution will need to either incorporate and take over these capabilities or integrate with the existing systems.

A high level view of the overall scope of work is;

Full Business Case Stage

- i. Functional and non-functional requirements specification (define what the system needs to do)

- ii. Options appraisal of the potential solutions available from the market (evaluate vendor systems to select the optimum match to the requirements specifications and other key parameters).
- iii. High level Technical Design (design how all the aspects will work together)
- iv. Procurement of Primary and Archive Systems
- v. Full Business Case (for cabinet approval)

Implementation Stage

- vi. Detailed technical architecture and design (including business, application, data and security). (Design how all aspects will work together in detail)
- vii. Reports to meet statutory and organisational requirements (develop necessary regular reports required to enable effective ongoing management of the service and provide statutory returns)
- viii. Implementation of the preferred supplier's solutions and integrations, Children's first followed by Adults' (technical implementation of the system)
- ix. Migrate data from CareFirst and e-records to the new solutions (an iterative process to transfer the data successfully)
- x. Design and implement changed business processes
- xi. Training
- xii. Migrate Users to the new system and bring it into operational use
- xiii. Decommission CareFirst and other systems no longer required

5.5 Procurement Approach

An agreed procurement approach for this replacement system is important to avoid possible later issues or concerns being raised when the project is in a more advanced state. This will prevent potential delays in progress or having to repeat work already completed. In choosing the procurement approach due consideration has been given to the risks of each option and has been documented. Such risks will form the basis of the on-going risk management of this project

The high level procurement route options at each key stage of this proposed project are as follows:

| Stage | Options | Comment |
|---|--|--|
| Specialist Project Support for: <ul style="list-style-type: none"> • Project Management • Scoping • Specification / requirements development • Business process changes • Training | Use of Joint Venture Agreement (JVA) with Service Birmingham | Not exclusive to the JVA |
| | BCC Competitive Procurement Process | Will be likely to pay competitive industry rates (similar or slightly lower than SB rates) |
| | Use in house BCC resources | Existing resources have insufficient capacity and skill gaps. |
| | Direct recruitment on | Recommended as the low |

| | | |
|---|---|---|
| | short term contracts (with Technical BA support from SB on requirements). A mixed approach will minimise the need for later due diligence effort by SB on requirements | cost & risk option. |
| Procurement and Implementation Social Care System | Use of JVA with Service Birmingham | This is the only option as the work is exclusive to the JVA. |
| Procurement and Implementation Archive System | Use of JVA | This is the only option as the work is exclusive to the JVA. |
| Associated works with rollout within BCC and Training | Use of JVA BCC Competitive Procurement Process Use in house BCC resources Direct recruitment on short term contracts to do the work or backfill existing BCC Resources | Not exclusive to the JVA Will be likely to pay competitive industry rates (similar or slightly lower than SB rates) Existing resources have insufficient capacity. Recommended as the best fit best cost option. |
| Ongoing Contract Management including KPIs and reporting. <ul style="list-style-type: none"> Social Care System Archive System | The ongoing service delivery and contract with the system providers will be managed by Service Birmingham | This is the only option as the work is exclusive to the JVA. |

The recommended procurement route is:

| Stage | Recommendation |
|---|--|
| Specialist Project Support | Direct recruitment on short term contracts (with Technical BA support from SB on requirements to avoid later due diligence costs). |
| Procurement and implementation <ul style="list-style-type: none"> Social Care System Archive System | Use of JVA with Service Birmingham |
| Associated works with rollout within BCC and training | Direct recruitment on short term contracts |
| Ongoing Contract Management | Use of JVA with Service Birmingham |

The work will develop the Full Business Case which will include development of the requirements specification, a market selection and evaluation of the functional match of suitable solutions to the requirements, costs, implementation plan and high level

technical design. The evaluation will also consider the quality / price balance which will be developed as part of the requirements specification and procurement stages. This will involve BCC and Service Birmingham resources working in collaboration and will result in recommendations for suitable products to be procured and implemented along with a full costing for Cabinet Approval.

It should be noted that the requirements definition and solution selection criteria may well be an iterative process to arrive at the optimum fit of market offerings to requirements.

The present contract with Service Birmingham will end in 2021. Work is underway to develop a council wide ICT&D Strategy which will need to include an approach to new ICT&D vendor arrangements and an ICT&D operating model. The CareFirst replacement project will work closely with the development of the ICT&D strategy to take account of and work to align with emerging working assumptions.

5.6 Timescales

Development of requirements for Adults' and Children's are expected to be completed in parallel leading to the purchase of a single system.

Given the complexity of the implementation work, it is envisaged that the solution will be implemented for Children's services first (as this is where there is the greater immediate need) followed by Adults'.

The delivery of the whole implementation including any necessary archive solution is anticipated to take circa 3 years. The following are indicative timescales. Implementation timescales will become clearer as the full business case is developed.

Over this duration change to the ICT estate is possible, the project will be part of a wider Directorate ICT strategy delivery that will be managed through common governance to ensure any dependencies or potential conflicts are taken into account.

| Stage | Early view of Completion Timescales |
|---|-------------------------------------|
| Cabinet Approval of the PDD | Mar 2016 |
| Requirements / Specification | Summer 2016 |
| Procurement process | Winter 2016/17 |
| Full Business Case Approval and appointment of Service Provider * | Winter 2016/17 |
| Overall and integration Design | Winter 2016/17 |
| Implementation, training, migration and transition (Children's) | Winter 2017/18 |
| Implementation, training, migration and transition (Adults') | Winter 2018/19 |

Preliminary definition of requirements and specification has already commenced using existing BCC resources building on learning from other authorities. The extent of the necessary engagement across the Directorate and resources / skills required to achieve this will have a key bearing on the above timescales.

* Full business case approval and appointment of a service provider will be requested in a single submission to Cabinet. Whilst indications of costs have been provided based on experience at other authorities, Birmingham is the largest authority and firm costs

cannot be determined until the market selection exercise for a suitable product and the way it will be provided (e.g. cloud based, or locally hosted) has been completed. These costs are required to successfully complete the Full Business Case.

6. Evaluation of alternative option(s):

- 6.1 Do Nothing and maintain the existing system – this option is not viable as it will no longer be developed significantly beyond essential statutory requirements and will therefore not improve. Whilst no end date for support has been indicated by OLM, the system is already considered to be at the end of life by BCC and it is only a matter of time before all Local Authorities have to move from this system. Continuing to use it will mean that social care improvement will be constrained and necessary improvements, particularly in Children’s Social Care, will not be met. Over time a risk will develop on the continuing support for this service. The cost impact would be high.
- 6.2 Implement Eclipse – This is the product being developed by OLM to replace their existing CareFirst product. An assessment of Eclipse as a pilot was completed in Birmingham more than a year ago and an update provided in March 2016 together with an initial view of the development roadmap for future functionality. The product is planned for general release from the end of March 2016. Whilst the system has clearly developed further since the pilot a full assessment of whether the functional requirements of Birmingham would be met is needed. This cannot occur in advance of the requirements specification being developed in the next stage of the project and therefore this system will be included in the chosen “go to market” option shown below as a possible commercial off the shelf product.
- 6.3 Develop a new bespoke solution - The risks and costs associated with a bespoke ‘ground up’ development are known in the ICT industry to be high. Emerging ICT&D strategic assumptions indicate ICT is likely to be governed by a principle of “Configuration not Customisation” with which this option would not align. Birmingham Social Care would be isolated in the use of such a solution unless significant time and money was spent working to sell it to other authorities in future. Such a venture is not core business for Birmingham. Timescales would also be considerably extended and not meet the requirements of Children’s Social Care Improvement. There would also be additional need for development team resources, Partners and Suppliers.

- 6.4 Partner with another local authority and use their existing solution. This would require the two authorities to have identical operating models and workflow. Integrating a social care solution into two or more authority's different finance and procurement systems for example would be technically complex and unlikely to be supported by vendors as a viable way forward. Aligning two authorities Social Care Operating Models and maintaining alignment through time would be very challenging. Costs for this option have not been attempted as this would incur substantial work and engagement with other potential authorities and vendors and is considered unlikely to be successful as an approach. The only identified comparator would be Leeds but the circumstances in Leeds are not comparable with Birmingham. To implement the same solution in Birmingham is likely to be more costly than an off the shelf (COTS) product.
- 6.5 Configure / Develop a SAP based solution. This has some of the characteristics of a bespoke solution. If other authorities are identified that are making use of a SAP based solution that are as advanced as leading market offerings there may be a possibility to adopt and port the other LA's solution to the BCC SAP platform and develop it from there. Staffordshire are known to use SAP for social care. This option is unlikely to meet required delivery timescales. For completeness this should be included in the market selection exercise.

7. Reasons for Decision(s):

- 7.1 To inform members of the process that has been followed to prepare the Project Definition Document.

Signatures

Date

Councillor Ian Ward
(Deputy Leader)

.....

Councillor Brigid Jones
(Children's Services)

.....

Councillor Stewart Stacey
(Commissioning, Contracting
and Improvement)

.....

Councillor Paulette Hamilton
(Health and Social Care)

.....

Peter Hay
Strategic Director for People

.....

List of Background Documents used to compile this Report:

Social Care Case Management System Start Up Document
New Social care IT System Information Briefing

List of Appendices accompanying this Report (if any):

Appendix A – Initial Equality Impact Assessment

Report Version v21

Dated 14-Mar-2016

Equality Analysis

Birmingham City Council Analysis Report

| | |
|--------------------------------|--|
| EA Name | Care First Replacement |
| Directorate | People |
| Service Area | Adults - Business Change |
| Type | New/Proposed Function |
| EA Summary | This analysis evaluates the potential impact of proposals to replace the current 'CareFirst' I.T system used by both Children's and Adult's services within the Directorate for People. The proposed change in I.T follows recent criticism of the current system by Ofsted and a lack of flexibility within this system to support changing business processes. CareFirst is over 15 years old and further internal modification is not considered practical or sufficient. It is proposed that CareFirst is replaced with a new I.T solution that will enable direct improvement in Social Care delivery, reduce the administrative burden on Social Workers and allow more time to be spent doing social work with people and families. |
| Reference Number | EA001217 |
| Task Group Manager | Andrew.J.Clarke@birmingham.gov.uk |
| Task Group Member | |
| Senior Officer | alan.lotinga@birmingham.gov.uk |
| Quality Control Officer | PeopleEAQualityControl@birmingham.gov.uk |

Introduction

The report records the information that has been submitted for this equality analysis in the following format.

Overall Purpose

This section identifies the purpose of the Policy and which types of individual it affects. It also identifies which equality strands are affected by either a positive or negative differential impact.

Relevant Protected Characteristics

For each of the identified relevant protected characteristics there are three sections which will have been completed.

- Impact
- Consultation
- Additional Work

If the assessment has raised any issues to be addressed there will also be an action planning section.

The following pages record the answers to the assessment questions with optional comments included by the assessor to clarify or explain any of the answers given or relevant issues.

1 Activity Type

The activity has been identified as a New/Proposed Function.

2 Overall Purpose

2.1 What the Activity is for

| | |
|---|--|
| What is the purpose of this Function and expected outcomes? | The purpose of the proposed replacement of CareFirst is to deliver a modern I.T solution that will improve delivery of services to the citizens of Birmingham, assist in the identification of Safeguarding issues, assist in making better decisions more quickly, provide for better handling of out of hours incidents as well as being flexible enough to respond to the changing needs of the service. It is also an objective of the project for the replacement solution to incorporate several older systems and processes that presently result in a significant resource overhead. |
|---|--|

For each strategy, please decide whether it is going to be significantly aided by the Function.

| | |
|--|-----|
| Public Service Excellence | Yes |
| <u>Comment</u> The proposed CareFirst solution will contribute to Public Service Excellence by providing a more flexible I.T system that better meets the needs of the staff utilising it. This solution will reduce the administrative burden on Social Workers and other staff allowing more time with citizens. It will also better assist in the management of casework thereby helping keep people safe; and will reduce wastage through un-necessary admin that can directly impact directly upon the customer by delaying decisions and the provision of services. | |
| A Fair City | Yes |
| <u>Comment</u> As reductions on public services finance and resources continue to increase the provision of local authority services will need to ensure that those in the highest need are provided for first. The proposed I.T solution will assist in contributing to this objective by increasing the quality and types of information available to professionals when determining the needs of citizens and ensuring the correct provision is in place. | |
| A Prosperous City | No |
| A Democratic City | No |

2.2 Individuals affected by the policy

| | |
|---|-----|
| Will the policy have an impact on service users/stakeholders? | Yes |
|---|-----|

Comment

Although there are anticipated improvements for service users within the proposed replacement solution, the end use system itself is only used by staff and some key partners. Therefore there will be no noticeable change, day to day, for service users beyond the improvements identified beyond possible alterations to public facing portals.

The current system does provide some portals which are accessed by citizens and some other partners such as Police, Health and others. Should an alternate supplier be selected to provide the solution these public facing portals will be subject to replacement by a version provided by the chosen supplier. However the business requirements for any replacement will specify that such a solution minimally match or even supersede the accessibility requirements of the present system (I.e. DDA compatibility). Having considered this it is concluded that there is no identified detrimental impact on service users foreseen at this time.

There may be impact upon stakeholders such as OLM, the current I.T provider for CareFirst. The replacement solution will be subject to stringent business requirements that the replacement system must meet. The chosen system will be selected through this process and in line with procurement rules, potentially

Will the policy have an impact on employees?

Yes

Comment

There will be impact on staff as CareFirst is a very widely used system and any replacement will require extensive staff retraining as well as commitment from the numerous teams that use the system to assist in UAT for the modules that they will use in future. There will also be a requirement for staff resources to develop and agree the business requirements specific to the various areas of work the replacement will work within.

Additional staff will be impacted as the proposed replacement solution may incorporate tasks presently undertaken by other systems. The staff in these areas will also require training on the use and application of the proposed replacement solution.

Will the policy have an impact on wider community?

No

Comment

There is no potential or actual effect on the wider community noted or foreseen at this time.

2.3 Analysis on Initial Assessment

The proposed replacement of CareFirst with a new I.T solution is presently in its initial stages. Due to the early stage at which this EA is completed there is insufficient data to finalise this assessment. Therefore this EA will be reviewed as the proposal develops to ensure that due regard is paid to any new information that could impact upon those identifying with a protected characteristic.

Ongoing EA review is aimed to protect against any disproportionate impact on any individual identifying with protected characteristics and to ensure that should new information come to light, then it is evaluated and necessary actions are taken to remove or mitigate any disproportionately detrimental impact.

At this time and based on available information, the only potential impacted characteristic is that of disability. It is noted that there is potential for impact upon disabled staff who will be required to use the replacement system and currently access CareFirst with the aid of adjustments such as large print or specialised keyboards/access devices.

Due to this EA being undertaken at an early stage there is no data presently available regarding the number of disabled staff who access CareFirst via some form of disability adjustment or equipment however it is theorised that this number is relatively small.

However, these members of staff could potentially be impacted if the replacement solution is incompatible with such equipment or is built without the ability provide facilities such as large text (as well as other DDA compliant adaptations such as screen resolution for colour blindness and compatibility).

On analysis, it is not foreseen that this potential for impact will be realised as the replacement solution will be subject to specific business requirements. These requirements will necessitate that any replacement solution match or surpass the existing disability access adjustments within CareFirst. It is also noted that a replacement solution for CareFirst will also be required to match or surpass the adaptations and DDA compliance of other systems within the scope of the project that this solution may eventually replace.

It is therefore concluded, on the available information, that there will be no disproportionately detrimental impact upon disabled members of staff who will use the replacement system.

It is noted that the replacement system may result in amendments to the way in which some service users access portals and online systems. However it is anticipated that such amendments will be aesthetic only and will not result in any impact on service users.

The remaining protected characteristics detailed within the Equality Act (2010) have been considered and evaluated for potential impacts with none being noted. However it should again be noted that this EA will be reviewed and updated as the project progresses to ensure that new information is considered.

Should any impact relating to a protected characteristic be identified then this EA can be reviewed or amended prior to any planned review following assessment of the severity and proportionality of the identified impact. We will continually seek to appropriately remove, minimise or mitigate any EA issue as and when this information is known.

3 Concluding Statement on Full Assessment

The protected characteristics within the Equality Act (2010) have all been assessed against the information known at this early stage. It is not foreseen that there will be any potential or actual disproportionate impact on any person due to Age, Gender, Gender Reassignment, Marriage & Civil Partnership, Pregnancy & Maternity, Race, Religion or Belief or Sexual Orientation.

There is potential for disproportionate impact on disabled persons for reasons set out in the analysis on initial assessment. However this potential is anticipated to be removed through specific business requirements that will ensure the system is fully matching the DDA standards of the existing system(s) and where possible surpassing them.

4 Review Date

04/05/16

5 Action Plan

There are no relevant issues, so no action plans are currently required.

| | | |
|---|---|--------------------------|
| Report to: | CABINET | |
| Report of: | Acting Strategic Director Place and Director of Property | |
| Date of Decision: | 22 March 2016 | |
| SUBJECT: | RECONFIGURATION AND REFURBISHMENT OF CIVIC HOUSE, ERDINGTON FOR BIRMINGHAM ADULT EDUCATION SERVICE: FULL BUSINESS CASE AND CONTRACT AWARD | |
| Key Decision: Yes | Relevant Forward Plan Ref: 001520/2016 | |
| If not in the Forward Plan: (please "X" box) | Chief Executive approved | <input type="checkbox"/> |
| | O&S Chairman approved | <input type="checkbox"/> |
| Relevant Cabinet Member(s): | Councillor Ian Ward, Deputy Leader Councillor Stewart Stacey, Cabinet Member Commissioning, Contract and Improvement Councillor Tahir Ali, Cabinet Member for Development, Transport and the Economy | |
| Relevant O&S Chairman: | Councillor Waseem Zaffar, Corporate Resources and Councillor Victoria Quinn, Economy, Skills and Sustainability | |
| Wards affected: | Sutton Vesey and Erdington | |

| |
|---|
| LATE REPORT |
| * To be completed for all late reports, ie. which cannot be despatched with the agenda papers ie. 5 clear working days notice before meeting. |
| <p>Reasons for Lateness A late query was raised over individual's approval responsibilities and whether they are in line with the current constitution.</p> <p>Reasons for Urgency This report needs to be considered at the March Cabinet meeting in order to deliver and complete the contracted works for August 2016 to enable the building to be operational for the start of the academic year on the 5th September 2016. Non-compliance with the programme will have a negative impact on both service delivery and income generation for Birmingham Adult Education Services.</p> |

BIRMINGHAM CITY COUNCIL

PUBLIC REPORT

| | |
|---|--|
| Report to: | CABINET |
| Report of: Date of Decision: | Acting Strategic Director Place and Director of Property 22 March 2016 |
| SUBJECT: | RECONFIGURATION & REFURBISHMENT OF CIVIC HOUSE, ERDINGTON FOR BIRMINGHAM ADULT EDUCATION SERVICE: FULL BUSINESS CASE AND CONTRACT AWARD |
| Key Decision: Yes | Relevant Forward Plan Ref: 001520/2016 |
| If not in the Forward Plan: (please "X" box) | Chief Executive approved <input type="checkbox"/> O&S Chairman approved <input type="checkbox"/> |
| Relevant Cabinet Member(s): | Councillor Ian Ward, Deputy Leader Councillor Stewart Stacey, Cabinet Member Commissioning, Contracting and Improvement Councillor Tahir Ali, Cabinet Member for Development, Transport and the Economy |
| Relevant O&S Chairman: | Councillor Waseem Zaffar, Corporate Resources, and Councillor Victoria Quinn, Economy, Skills and Sustainability |
| Wards affected: | Sutton Vesey and Erdington |

1. Purpose of report:

- 1.1 To seek approval to the Full Business Case (appendix 1) to refurbish and reconfigure the layout of Civic House in Erdington to allow Birmingham Adult Education Service (BAES) to operate from the building. The estimated capital cost of this project is £1,572,560.
- 1.2 To seek approval to declare Boldmere Adult Education Centre surplus (Appendix 2).
- 1.3 This proposed investment will allow BAES to consolidate their service into a Hub facility in the north of the city with excellent links to public transport. A BAES hub offers an opportunity to consider and incorporate 'Open for Learning' principles' as part of the future service delivery offer. It supports the rationalisation of property that is no longer fit for purpose by releasing two buildings in a poor condition which in turn provides an opportunity for the Osborne Centre to revert back to primary educational use to deliver additional school places.

2. Decision(s) recommended:

That Cabinet:

- 2.1 Approves the Full Business Case (Appendix 1) for the refurbishment of Civic House, Erdington, at an estimated capital cost of £1,572,560.
- 2.2 Approves prudential borrowing of £1,427,656 (over a 20 year period) to fund the project.
- 2.3 Notes that in accordance with existing surplus property procedures no internal re-use of Boldmere Adult Education Centre has been identified
- 2.4 Authorises the Director of Property to sell the surplus property asset; Boldmere Adult Education Centre on the open market to achieve a capital receipt.
- 2.5 Authorises the appropriation of Civic House from the Economy Directorate (Central Administration Buildings) formerly used for office accommodation under the Local Government Act 1972 to Place Directorate (BAES) at nil cost for adult education purposes under the Education Act 1996.
- 2.6 Authorises the Acting Strategic Director Place to place orders for works, equipment and fees and to release contingencies up to a total of £1,527,756 for the reconfiguration and refurbishment of Civic House, Erdington
- 2.7 Authorises the City Solicitor to negotiate, execute, seal and complete all necessary documents to give effect to the above recommendations.

| | |
|------------------------------|---|
| Lead Contact Officer: | Lesley Steele: Birmingham Property Services |
| Telephone No: | 0121 303 8857 |
| Email address: | lesley.steele@birmingham.gov.uk |

3. Consultation

3.1 Internal

The Acting Strategic Director of Economy and the Acting Strategic Director of Place have been consulted and consent to the appropriation recommended in 2.5 above. The Cabinet Member Skills, Learning and Culture is also supportive of the proposal. The consultation process with staff and the union has been finalised. The findings have been considered and are reflected in the final layout and proposed fit out of the building.

The Erdington and Sutton Vesey Ward Councillors, Principal of BAES and District Head Erdington have been consulted and support this proposal going forward.

The proposal has been presented to the LoCAL Board who supports it going forward. Finance and Legal Services have been involved in the preparation of this report.

3.2 External

The 'Be Heard' public consultation closed on the 24th January 2016 which showed the majority of responses supported the proposal. The public and users will be kept informed of progress throughout the life of the project via social media and the BAES website.

The initial consultation with the nursery commenced on the 7th January 2016. They have been made aware of the proposal including the timeline to deliver the proposal. A dialogue is to be maintained.

4. Compliance Issues:

4.1 Are the recommended decisions consistent with the Council's policies, plans and strategies?

BAES is the largest Community Learning and Skills provider nationally and makes strong contributions to the Council's objectives set out in the Council Plan and Budget 2016+ specifically 'A Prosperous City' – focusing on 'Learning, skills and local employment' and 'A Democratic City' – offering modern services that serve our citizens.

The Constructing West Midlands (CWM) Framework Lot 7 Contractor Morgan Sindall Construction and Infrastructure Limited are signed up to the Birmingham Business Charter for Social Responsibility (BBC4SR) and have submitted a draft project specific action plan as part of the Full Business Case.

4.2 Financial Implications

4.2.1 The estimated total cost of the refurbishment is £1,572,560. This includes fees, a contingency, furniture, ICT equipment and infrastructure and a capital contribution of £100,100 towards the relocation of the neighbourhood office out of Civic House and into Sutton New Road. This will be funded from BAES reserves of £144,904 and prudential borrowing (over a 20 year period) of £1,427,656. It is expected that the revenue costs of the borrowing to BAES can be met from the 7.5% revenue benefit from the capital receipt arising from the sale of the Boldmere Centre, in accordance with the Council's capital receipts policy. It is expected that the prudential borrowing costs will be incurred for one year until the capital receipt is generated. If this is not the case then the revenue costs of the borrowing will be contained within BAES approved budget and reserves.

4.2.2 It is estimated that this rationalisation proposal will generate net revenue savings of approximately £36k in the first year of Civic House being operational. It is estimated that these savings will increase to £167k by 2018/19. These savings will contribute towards the revenue pressures currently faced by BAES. Further detail is provided in Appendix 1 (FBC).

4.3 Legal Implications

Pursuant to section 15B of the Education Act 1996 the Council may secure the provision of full-time or part-time education suitable to the requirements of persons who have attained the age of 19.

The Council may do anything which appears to be necessary or expedient for the purposes of or in connection with the exercise of its functions under section 15B of the 1996 Act.

The Council is also discharging a duty in section 15ZA of the Education Act 1996 to secure that enough suitable education and training is provided to meet the reasonable needs of persons who are aged 19 or over and for whom an Education, Health and Care Plan is maintained.

The power to acquire, appropriate, dispose and manage assets in land and property is contained in Sections 120 -123 of the Local Government Act 1972.

4.4 Public Sector Equality Duty

A copy of the Equality Act 2010 –Public Sector Duty Statement and a Stage 1 Equality Assessment is included (ref EA000869) as Appendix 3.

5. Relevant background/chronology of key events:

- 5.1 An opportunity has arisen to consolidate BAES in the north of Birmingham into a single site from the relocation of Erdington Neighbourhood Office from Civic House in Erdington to the ground floor of the adjacent 67 Sutton New Road building which was completed in February 2016. BAES currently occupy two buildings in the North of the City, Boldmere Centre in Sutton Coldfield which they own and Osborne Centre in Erdington which they rent from the People Directorate. Both buildings are in a poor condition and would need considerable financial investment if they were to be retained by BAES; however Education and Skills Infrastructure have expressed an interest in using the Osborne Centre which is part of the Osborne J&I School campus in order to address the requirement to provide additional school places. The Osborne Centre will be handed back to People Directorate in September 2016. BAES currently leases out part of the Boldmere Education Centre site to a nursery who have been informed of the proposal for BAES to vacate and sell the site. Notice will be served on the Nursery and BAES will be liable to pay compensation which has already been agreed with the Nursery.
- 5.2 It is proposed that BAES appropriate the Civic House building (Appendix 2) from the Corporate Landlord and consolidate the functions of the two centres into this one building. The site housing the Boldmere Centre would then be sold in its entirety and the revenue benefit from the capital receipt would be used to fund the works via prudential borrowing; BAES will also have to absorb the refurbishment and relocation costs of the neighbourhood office relocating to Sutton New Road as part of this proposal at a cost of £101k.
- 5.3 It is proposed that Civic House will offer a similar programme of courses to that offered currently; to include British Sign Language, Art and Crafts, Information Technology, Counselling Skills, languages and courses for people with learning difficulties plus English, Maths, and Textiles. There is a strong need to continue to provide service provision in both Boldmere and Erdington. This is illustrated by recent census data which shows 17.7% of the population of Sutton Vesey do not have Level 2 qualifications, compared with 28.7% of the population of Erdington. August 2015 unemployment data shows by constituency that unemployed claimants represent 0.8% of the population of Sutton Coldfield and 4.9% of the population of Erdington.
- 5.4 Adult Education includes within its provision both English and Maths courses to bring these skills up to a level 2 along with a range of other vocational courses and Pathways and Employment Programmes.

- 5.5 It is anticipated that many of the learners from the Osborne Centre will be able to relocate to Civic House as the new location is a 3 minute walk away. The new location at Civic House will offer the opportunity to work more closely with the adjacent Job Centre Plus supporting unemployed people getting back into work.
- 5.6 This project forms part of the Council's LoCAL programme focusing on improving and rationalising the customer facing building portfolio and this specific proposal has been endorsed by the LoCAL Board. As part of BAES Future Operating Model a hub and spoke model will be created to provide some cost effective outreach learning opportunities in the Boldmere area, particularly in the evenings. BAES have been working with the 'Open for Learning' task group to ensure the principles of the concept are considered as part of the service delivery offer.
- 5.7 This proposal supports the BAES requirement to make ongoing overall savings of £1m from the academic year 2015/16 onwards due to a reduction in the Skills Funding Agency grant. This represents a reduction of approximately 10% on the Full Year 2014/15 grant allocation. A series of measures are being implemented across the service to achieve these reductions including a rationalisation of the BAES building portfolio to which this proposal contributes. The proposed amalgamation of the service provision currently offered at the Boldmere and Osborne Centres will allow BAES to identify future savings associated with operating two buildings. This will include reviewing staffing costs, utilities and repairs and maintenance costs. It is anticipated that there will be an income reduction from community learning due to the practicalities of not being able to offer pottery at Civic House.
- 5.8 A Project Definition Document was approved by Cabinet on the 17th November 2015 to develop the proposal to Full Business Case. Morgan Sindall Construction and Infrastructure, a Lot 7 contractor has now been allocated via the CWM Framework. To date they have carried out feasibility, design works and initiated surveys to establish a cost for the reconfiguration and refurbishment.
- 5.9 Civic House is a three storey office building built in the late 1960's – early 1970's and is currently part of the Central Administration Building portfolio. It is sited on Sutton New Road within the vicinity of the main shopping centre of Erdington and is easily accessible by public transport and also has excellent road links. A mini bus drop off area has been included in the overall costs and locations outside the building are being investigated as part of the proposal to ensure safe access for adults with learning difficulties.
- 5.10 Currently the first and second floors of Civic House are open plan with some cellular offices sited along the windows to the frontage of the building. The proposal is to redesign the main entrance, create a main reception and a workshop for woodwork and upholstery on the ground floor with the first and second floors reconfigured and refurbished to provide 9 classrooms including an extended and fully fitted out cookery classroom and ancillary facilities for learners. The building is currently served by a lift which will be utilised for disabled users. All 3 floors will be stripped out and new fixtures and fittings installed including a mix of solid and glazed partitions to create new classrooms, new ceiling grids, lighting, flooring and decorations, toilets and kitchenettes and new thermostatically controlled radiators and air conditioning. The lift car will also be refurbished and new furniture and ICT equipment will be procured through approved suppliers.
- 5.11 Following approval of this report work will commence on site in April 2016 and be completed by mid-August 2016. This will be followed by the furniture and ICT fit out and commissioning to enable the new facility to be operational for the start of the new term on the 5th September 2016. There will be no break in service provision with BAES vacating the Osborne and Boldmere Centres at the end of August 2016.

| | | | |
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| 6. Evaluation of alternative option(s): | | | |
| 6.1 | Do nothing – Continue to operate the service from the two separate locations in Erdington and Sutton Coldfield. The Erdington site is to transfer back to Education in September 2016 this would impact on the service delivery that BAES offer and also on income generated. The Sutton Coldfield site could continue with BAES funding repairs until it becomes uneconomical to do so. At this point alternative premises will need to be sought. | | |
| 7. Reasons for Decision(s): | | | |
| 7.1 | To approve the FBC and enable orders to be placed to progress the proposal. | | |
| 7.2 | To approve the sale of a surplus asset. | | |
| 7.3 | To support the Council's strategic outcomes – 'A Prosperous City' and 'A Democratic City'. | | |
| 7.4 | To continue to offer local communities access to Adult Education services. | | |
| Signatures | | <u>Date</u> | |
| Cabinet Member | | | |
| | Cllr Ian Ward, Deputy Leader | | |
| | | | |
| | Cllr Stewart Stacey, Commissioning, Contracting And Improvement | | |
| | | | |
| | Cllr Tahir Ali Development , Transport and the Economy | | |
| Chief Officer | | | |
| | Jacqui Kennedy, Acting Strategic Director of Place | | |
| | | | |
| | Peter Jones, Director of Property | | |
| List of Background Documents used to compile this Report: | | | |
| Relevant officer files save for confidential information Cabinet report ; Reconfiguration & Refurbishment of Civic House, Erdington for Birmingham Adult Education Service and Project Definition Document 17 th November 2015 | | | |
| List of Appendices accompanying this Report (if any): | | | |
| 1. Full Business Case 2. Plans: Boldmere Centre and Civic House 3. Equality Assessment | | | |
| Report Version | | Dated | 08.03.16 |

Equality Analysis

Birmingham City Council Analysis Report

| | |
|--------------------------------|--|
| EA Name | AE Consolidation Of Accommodation |
| Directorate | Place |
| Service Area | BAES |
| Type | New/Proposed Function |
| EA Summary | In the current academic year the AE service has to make significant savings to operating costs in response to significantly reduced funding. The financial viability of learning centres across the city have been reviewed and the potential to rationalise delivery venues considered. This EA relates to the proposal to withdraw BAES provision from two learning centres, Boldmere Centre in Sutton and Osborne Centre in Erdington, and to consolidate provision in a new centre, Civic House in Erdington |
| Reference Number | EA000869 |
| Task Group Manager | Anne.Devany@birmingham.gov.uk |
| Task Group Member | |
| Date Approved | 2016-03-14 00:00:00 +0000 |
| Senior Officer | liz.stearn@birmingham.gov.uk |
| Quality Control Officer | PlaceEAQualityControl@birmingham.gov.uk |

Introduction

The report records the information that has been submitted for this equality analysis in the following format.

Overall Purpose

This section identifies the purpose of the Policy and which types of individual it affects. It also identifies which equality strands are affected by either a positive or negative differential impact.

Relevant Protected Characteristics

For each of the identified relevant protected characteristics there are three sections which will have been completed.

- Impact
- Consultation
- Additional Work

If the assessment has raised any issues to be addressed there will also be an action planning section.

The following pages record the answers to the assessment questions with optional comments included by the assessor to clarify or explain any of the answers given or relevant issues.

1 Activity Type

The activity has been identified as a New/Proposed Function.

2 Overall Purpose

2.1 What the Activity is for

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|---|--|
| What is the purpose of this Function and expected outcomes? | The target outcomes are to relocate provision from two centres to one new centre to: 1. Reduce BAES operating costs in line with funding reductions 2. Reduce the number of learners attending courses in centres with poor accommodation 3. Improve learner access to high quality accommodation |
|---|--|

For each strategy, please decide whether it is going to be significantly aided by the Function.

| | |
|---------------------------|-----|
| Public Service Excellence | Yes |
| A Fair City | No |
| A Prosperous City | No |
| A Democratic City | No |

2.2 Individuals affected by the policy

| | |
|---|-----|
| Will the policy have an impact on service users/stakeholders? | Yes |
| Will the policy have an impact on employees? | Yes |
| Will the policy have an impact on wider community? | Yes |

2.3 Analysis on Initial Assessment

As the proposed new facility is close to Osborne Centre the transfer of provision to Civic House will have very little impact on learners from the Erdington area. The new centre is also better served by public transport and will therefore be more accessible for some learners. The impact will be greatest for those learners who currently study in the Sutton area and wish to continue to study locally. To mitigate against this discussions are taking place with other venues in the Sutton area to maintain a course offer albeit reduced.

The proposed changes will also impact on centre staff whose numbers for the new centre will be fewer than for the two current sites. A number of staff will be relocated but there will not be sufficient posts in the new centre for all existing staff. To mitigate against this BAES have been holding vacancies in several areas of activity pending staffing reductions. A competitive process will be used where necessary and a standard VR and CR package will be available.

Although the changes to accommodation will have some impact on staff and service users, the equality assessment process has found that no group of learners or staff with a protected characteristic will be disproportionately affected by these changes.

3 Concluding Statement on Full Assessment

We have analysed the impact of these proposed changes to accommodation and considered whether there will be a disproportionate impact on people with protected characteristics. As we have found the changes do not disproportionately impact on any such group, we do not feel that a full equality assessment is required.

4 Review Date

14/12/15

5 Action Plan

There are no relevant issues, so no action plans are currently required.

| Full Business Case (FBC) | | | |
|----------------------------|--|---------------------|---------------|
| 1. General Information | | | |
| Directorate | Place | Portfolio/Committee | Deputy Leader |
| Project Title | <i>Reconfiguration & Refurbishment of Civic House, Erdington for Birmingham Adult Education Service</i> | Project Code | CA- 02811-03 |
| Project Description | <p><i>An opportunity to create a learning centre for the Birmingham Adult Education Service in Civic House, Erdington has arisen which would allow them to vacate two dilapidated building in Sutton Coldfield; Boldmere Centre and Erdington: Osborne House. The Osborne Centre will be handed back to Education in September 2016 who will utilise it for additional school places and the Boldmere Centre will be marketed and sold on the open market. The nursery who currently occupy part of the Boldmere site have a ten year lease running from the 24/06/2012, with a break option in the fifth year of term (24/06/2017). This is exercisable 12 months prior to expiry, so notice will be served on the 24/6/16. BAES be liable to pay the nursery compensation based on twice the current rateable value.</i></p> <p><i>The capital receipt from the sale of the Boldmere Centre will contribute towards paying off the prudential borrowing used to fund the delivery of this proposal in accordance with the Council's capital receipts policy.</i></p> <p><i>Civic House is currently part of the Central Administration Buildings (CAB) portfolio. It was identified as being surplus to requirements as part of their property review. The neighbourhood office who were located there have been relocated to Sutton New Road. The building was earmarked to be sold on the open market prior to BAES expressing an interest.</i></p> <p><i>There is a strong need to continue to provide service provision in both Boldmere and Erdington. This is illustrated by recent census data which shows 17.7% of the population of Sutton Vesey do not have Level 2 qualifications, compared with 28.7% of the population of Erdington. August unemployment data shows by constituency that unemployed claimants represent 0.8% of the population of Sutton Coldfield and 4.9% of the population of Erdington.</i></p> <p><i>BAES is working toward a new future operating model in order to identify budgetary savings; Birmingham Adult Education Service (BAES) as a service is required to make savings of £1million from the academic year 2015/16 onwards. due to a reduction in the Skills Funding Agency grant. This represents reduction of approximately 10% on the 14/15 grant allocation. A series of measures will be implemented in order for the service to achieve these reductions including a rationalisation of the BAES building portfolio. This proposal supports the</i></p> | | |

rationalisation of BAES property that is no longer deemed fit for purpose, relocating the service into a hub facility that can offer a more streamlined efficient service in a central location in the north of the city.

As part of the CAB transformation it was anticipated that Civic House would transfer back to the Place Directorate to be utilised as an Adult Education hub for the north of the city. This project forms part of the Council's LoCAL programme focusing on improving and rationalising the customer facing building portfolio and this specific proposal has been endorsed by the LoCAL Board. The CAB business case identifies the savings from releasing the building as being revenue. Adult Education will become responsible for the revenue running costs for the building as of April 2016. Part of the proposal includes financing the refurbishment of the ground floor of Sutton New Road which has facilitated the relocation of Erdington Neighbourhood Office out of Civic House.

A project definition document to develop the proposal was approved by Cabinet on the 17th November 2016. Since then a number of surveys have been carried out including a measured building survey, acoustics survey and electrical and mechanical condition surveys. A number of design layout options have also been produced for discussion with the users, staff and the client which have been used to formalise the final design.

Consultation took place with existing learners via Be Heard and a local paper based survey at Boldmere and Osborne centres. Concerns were raised about parking generally and more specifically for spaces for disabled people. Therefore a higher proportion of available spaces will be designated for disabled parking. There will be a safe drop off and collection point for carers of adults with learning disabilities who use the centre. The drop off points will also aid people bringing materials to class prior to parking. Staff and learners without disabilities will however need to use public car parks or local on street parking. For those who use public transport, the buses stop directly outside the centre.

Procurement - Morgan Sindall Construction and Infrastructure Limited, a Lot 7 contractor has been appointed from the Constructing West Midlands Framework to develop and deliver the project. They were appointed based on an 80% price and a 20% quality model with Acivico being responsible for contract administration. The pricing model is based on the percentages which were accepted as part of the CWM Framework (Lot 7). The quality has been assessed using the key performance indicators agreed to monitor performance under the framework.

BAES operate to the school term dates. It is therefore critical to deliver the project and have the building operational for the 5th September 2016. This allows for a very short window to carry out the construction works and co-ordination of the programme will be critical for successful delivery. Works will commence in April and complete mid-August allowing for the client to complete the furniture and equipment fit out and commission the building ready for it to open to learners on the 5th

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|--|--|---|--------------------------------|
| | September 2016. | | |
| Links to Corporate and Service Outcomes | <p>As set out in the Council Business Plan and Budget 2016+ and the Leader's Policy Statement 2015 the proposal supports the key priorities being:</p> <p>'A Democratic City'</p> <ul style="list-style-type: none"> Modern services that serve our citizens - the Osborne and Boldmere Centres will provide joined up services from a 21st century building supported by new technologies. <p>'A Prosperous City'</p> <ul style="list-style-type: none"> Learning, skills and local employment – the combined resources of the Osborne and Boldmere Centres will offer a comprehensive service of education, learning and knowledge to support the citizens of Birmingham. Enterprise City – BAES have a direct impact on Birmingham's local economy by providing learning and training to the workforce and wider community together with information services to businesses and individuals. <p>The proposal supports the priorities of the Future Council programme to develop future service delivery models; specifically the 'Open for Learning' working towards a cradle to grave approach to learning.</p> | | |
| Project Definition Document Approved by | Cabinet | Date of Approval | 17 th November 2015 |
| Benefits Quantification- Impact on Outcomes | Measure | Impact | |
| | The Osborne and Boldmere Centres currently operate out of buildings that are in a poor state of repair and are no longer fit for purpose. Both are costly to run and maintain. The cost of investment necessary to continue operations will be avoided | The space at Civic House will be reconfigured and refurbished with custom built classrooms that will be designed to be sustainable with a reduced carbon footprint. | |
| | The project will extend the life of the centre for 20 years plus if it is maintained appropriately | Repairs and maintenance will be minimal for the internal areas of the building as this will all be renewed as part of the proposal | |
| | The proposal will identify budget savings by amalgamating the service provision into one centre rather than operating out of two. | Revenue savings will be realised from 2016/17 onwards | |
| | Consolidate the class timetable for the 2 x existing centres | Eliminate duplication of lessons and reduce down time with better programming of lessons evenly spread over the whole day rather than a | |

| | | |
|---|--|--|
| | | <i>concentration in the mornings and evenings.</i> |
| | <i>Improve user experiences/attract greater interest in BAES</i> | <i>Fit for purpose learning environment could encourage more people to participate in adult/further education courses.</i> |
| | <i>Civic House is served by numerous bus routes, is near a railway station and has both on and off street parking for motorists.</i> | <i>The ease of access of the location will encourage more users to visit the centre.</i> |
| | <i>The proposal will support the new hub and spoke model that BAES are moving towards for service delivery</i> | <i>Allows flexibility by having a main centre to offer the core programme of activities and then hiring rooms on a term by term basis to match need.</i> |
| | <i>Ensure the BAES learning centres, are fit for purpose in terms of suitability, sustainability, condition, cost, environmental impact and affordability.</i> | <i>The buildings will comply with all current legislative and health and safety standards and this project will go towards meeting the Council's target in this area</i> |
| Project Deliverables | <i>A refurbished and reconfigured building from which all of the classes can be taught in a fit for purpose learning environment. A building which will require less frequent repairs and extend its life by 20 years + with the appropriate maintenance. Potential reduction in revenue costs for BAES as the service will be operating out of one building rather than two.</i> | |
| Scope | <i>The work includes:</i> <i>Thermostatically controlled radiators and pipework.</i> <i>Flooring and decorations throughout</i> <i>Sanitary fixtures and fittings</i> <i>Kitchenettes</i> <i>Partitions.</i> <i>Ceiling grids</i> <i>Lighting</i> <i>Air conditioning units</i> <i>ICT infrastructure</i> <i>Reception.</i> <i>Refurbished lift car.</i> <i>furniture</i> <i>ICT equipment and infrastructure</i> <i>Internal/external signage</i> | |
| Scope exclusions | <i>The external fabric of the building e.g. windows and roof.</i> <i>Lift motor and plant (the car is to be refurbished)</i> <i>Boilers</i> <i>All of the above are deemed to be in good/working condition</i> | |
| Dependencies on other projects or activities | <i>Serving notice on the nursery in a timely manner</i> <i>Placing orders with contractors.</i> <i>Building Regulations approval</i> <i>Marketing of Boldmere Centre to ensure receipt is received within the proposed time frame</i> | |

| | | | |
|------------------------------------|--|------------------------------|--------------------------------------|
| Achievability | <i>Birmingham Property Services and Acivico have experience of delivering projects of this type most recently at Saltley Learning Centre on time and to budget.</i> | | |
| Project Manager | <i>Lesley Steele, Lesley.steele@birmingham.gov.uk, 0121 303 8857</i> | | |
| Budget Holder | <i>Joanne Keatley, Joanne.Keatley@birmingham.gov.uk, 0121 3037627</i> | | |
| Sponsor | <i>Jacqui Kenneddy, Jacqui.Kennedy@birmingham.gov.uk, 0121 303 6110</i> | | |
| Project Accountant | <i>Lisa Pendlebury. Lisa.pendlebury@birmingham.gov.uk 0121 675 1846</i> | | |
| Project Board Members | <i>Lesley Steele (as above) Joanne Keatley (as above) Lisa Pendlebury (as above). SaraSmith, Project Manager, Acivico, Sara.Smith@acivico.co.uk, 0121 303 6704</i> | | |
| Head of City Finance (HoCF) | <i>Parmjeet Jassall</i> | Date of HoCF Approval | <i>29th February 2016</i> |

| 2. Budget Summary (Detailed workings in Private Report) | | | | | | |
|---|---------------------|--------------------------|--------------------------|--------------------------|--------------------|-------------------|
| | Voyager Code | Financial 2015/16 | Financial 2016/17 | Financial 2017/18 | Later Years | Totals |
| Capital Costs & Funding Expenditure | | £ | £ | £ | £ | £ |
| Development costs(BAES reserve) | | 44,804 | 0 | 0 | 0 | 44,804 |
| Construction costs inclusive of fees, contingency , F,F&E | | 0 | 1,427,656 | 0 | 0 | 1,427,656 |
| Contribution to Sutton New Rd | | 100,100 | 0 | 0 | 0 | 100,100 |
| Totals | | £144,904 | £1,427,656 | 0 | 0 | £1,572,560 |
| Funding | | | | | | |
| Construction costs funded by: prudential borrowing/capital receipts | | 0 | 1,427,656 | 0 | 0 | 1,427,656 |
| BAES reserve | | 144,904 | 0 | 0 | 0 | 144,904 |
| Totals | | £144,904 | £1,427,656 | 0 | 0 | £1,572,560 |
| Revenue Consequences | | | | | | |
| Non – employee expenditure – Civic House | | 0 | 48,417 | 83,000 | 83,000 | |

| | | | | | | |
|---------------------------------------|--|---|----------|-----------|-----------|--|
| Prudential borrowing | | 0 | 0 | 116,792 | 0 | |
| Loss of BAES income | | 0 | 43,510 | 74,588 | 74,588 | |
| Other Building related costs | | 0 | 0 | 60,000 | 10,000 | |
| Totals | | | 91,927 | 334,380 | 167,588 | |
| Funded By | | | | | | |
| Non- Employee budget Osborne Centre | | 0 | 44,274 | 106,257 | 106,257 | |
| Non – Employee budget Boldmere Centre | | 0 | 32,906 | 106,974 | 126,974 | |
| Revenue release from disposal | | 0 | 0 | 127,500 | 0 | |
| Staff savings | | 0 | 51,000 | 102,000 | 102,000 | |
| Totals | | 0 | 128,180 | 442,731 | 335,231 | |
| (Savings)/pressure | | | (36,253) | (108,351) | (167,643) | |

| | | | | |
|---|-------------------|--|---|--------------------|
| Planned Start date for delivery of the project | <i>April 2016</i> | | Planned Date of Technical completion | <i>August 2016</i> |
|---|-------------------|--|---|--------------------|

| 3. Checklist of Documents Supporting the FBC | | |
|---|-----------------------------|------------------------|
| Item | Mandatory attachment | Number attached |
| Financial Case and Plan | | |
| Statement of required resource (people, equipment, accommodation) | Mandatory | 1A |
| Milestone Dates/ Project Critical Path | Mandatory | 1B |
| Risk Register | Mandatory | 1C |
| Stakeholder Analysis | Mandatory | 1D |
| | | |

Appendix 1A

Statement of Resources to Deliver Project:

Internal

Birmingham Property Services Client Project Manager
BAES Head of Business and Learner Services
Business Analyst Local Services: Revenue
Business Analyst Local Services: Capital

External

Acivico Project Manager
Acivico Electrical Engineer
Acivico Mechanical Engineer
Acivico Quantity Surveyor
Acivico Structural Engineer
Acivico Health and Safety Officer (CDM)
Morgan Sindall Construction and Infrastructure
Service Birmingham
Other Suppliers

Appendix 1B

Milestones

| Activity | Date |
|--|--------------------------------|
| Cabinet approval of Full Business Case | 22 nd March 2016 |
| Order Placed with Contractor | 30 th March 2016 |
| Start on site | 3 rd May 2016 |
| Place orders for furniture and fittings | 6 th June 2016 |
| Completion of building works | 12 th August 2016 |
| Furniture and ICT fit out commences | 15 th August 2016 |
| BAES vacate Osborne Centre and Boldmere Centre | 2 nd September 2016 |
| Opens to the public | 5 th September 2016 |
| Post Implementation Review | 5 th September 2017 |

Appendix 1C

Risk Register

| <u>Description of risk</u> | <u>Impact</u> | <u>Probability</u> | <u>Existing controls</u> | <u>Action Required</u> | <u>Lead responsibility</u> |
|---|---------------|--------------------|--|---|----------------------------|
| Programme of work is delayed | Medium | Low | A draft programme will be compiled in line with the schedule of activities | Work activity schedules will be revisited and amended as is appropriate. | Acivico and Contractor |
| Unforeseen additional works are identified that are outside the programme | Low | Medium | Surveys and consultation have been carried out as part of the feasibility study to identify all unknowns where possible. Unknowns are costed as risks and included as part of the contingency sum set aside for the project. | The project has been designed to ensure value for money is achieved and kept within the available budget. Appropriate contingencies have been included to mitigate unknowns where appropriate. If necessary value re-engineering exercises will be undertaken to ensure costs remain within the budget available. | Acivico.& Contractor |
| Public /user expectations are insufficiently managed. | Low | Low | Public /user consultation has commenced so expectations will be kept realistic. | Regular progress updates will be posted on social media and the BAES website | BAES, |
| Departure of key staff members | Low | Low | Much work is done on a team basis so cover is in place | Recruit and replace | BPS |
| Revenue savings targets are not met | Low | Low | The existing revenue budget is for 2 x sites this will be transferred to one site; Civic House. Current estimated figures have identified a saving by consolidating the service into one building | Building usage will be reviewed on a regular basis as will the timetable for classes to ensure it is operating to full capacity and maximising income. | BAES |
| New reconfigured floor layout does not get Building Regulations approval | High | Low | Acivico have commenced consultation with Building Control and have had positive feedback | An ongoing dialogue will be maintained with Building Control throughout the delivery of the project and issues addressed as they arise. | Acivico |
| Demand for classes cannot be accommodated | Low | Low | A review will be carried out based on the classes offered at the existing centres and a new programme has been drafted for Civic House. | Need for classes will be reviewed and programmed accordingly; however it is anticipated the new programme will meet user demand. | BAES |

Appendix 1D

Stakeholder Analysis

Users and Local Links

Public
Contractor/Suppliers
Friends Groups
Job Centre Plus
Acivico
Learners
Unions

Birmingham City Council

Acting Strategic Director Place
Head BAES
BAES Staff/Tutors
Local Elected Members
Cabinet Member Skills, Learning & Culture

Degree of Influence

| | High influence | ← | Low influence |
|-----------------|---|---|---------------------------------|
| High Importance | Cabinet Member Skills, Learning & Culture Local Elected Members Acting Strategic Director Place Learners Head BAES BAES staff/Tutors Public | | Acivico Contractor/Suppliers |
| ↑ | | | |
| Low Importance | Unions | | Job Centre Plus |

| Stakeholder | Stake in project | Potential impact on project | What does the project expect from the stakeholder | Perceived attitudes and/or risks | Stakeholder management strategy |
|---------------------------------|---|------------------------------------|---|---|--|
| Acting Strategic Director Place | Overall responsibility | High | To agree and support the project at high level | Centre is not sustainable | Regular progress updates detailing progress and any issues. |
| Job Centre Plus | Supporting learners at the end of their academic journey back into employment | Low | Support learners to secure employment | Insufficient staff to support learners | Maintain a dialogue between BAES and Job Centre Plus to identify training and job opportunities |
| Head of BAES | Owner of facility | High | Sponsor the project | Concerns about long term use and flexibility of spaces/ programme | Regular consultation with key staff |
| Learners/ public | End user | High | To support and use facility upon completion | Facility is not used. Income targets are not met | Ongoing consultation and involvement. |
| BAES staff/tutors | Deliver the service | High | Contribute to brief and outcomes. To keep learners and elected members briefed on progress | Concerns about long term use and flexibility of spaces | Regular consultation with key staff |
| Contractor/ Acivico | Construction works | High | Works to be completed to meet the client brief, delivered on time and within budget. All works to be completed to a high standard and to meet relevant legislation and guidelines | Unforeseen costs and/or delays. Works below required standard | Surveys undertaken as part of feasibility to determine risks. Contract will be monitored throughout to identify any areas for concern. |
| Elected Members | Link with users | Medium | Consultation with community and support for project | Complaints from users over changes in service delivery/new location | Provide regular updates |



AREA EDGED RED

7162

SQ. METRES APPROX.

8565

SQ. YARDS APPROX.



Boldmere Adult Education Centre
St Michaels Road / Cofield Road
Sutton Vesey



Peter Jones BSc, FRICS
Director of Property
Birmingham Property Services
PO Box 16255
Birmingham, B2 2WT

SCALE

DRAWN

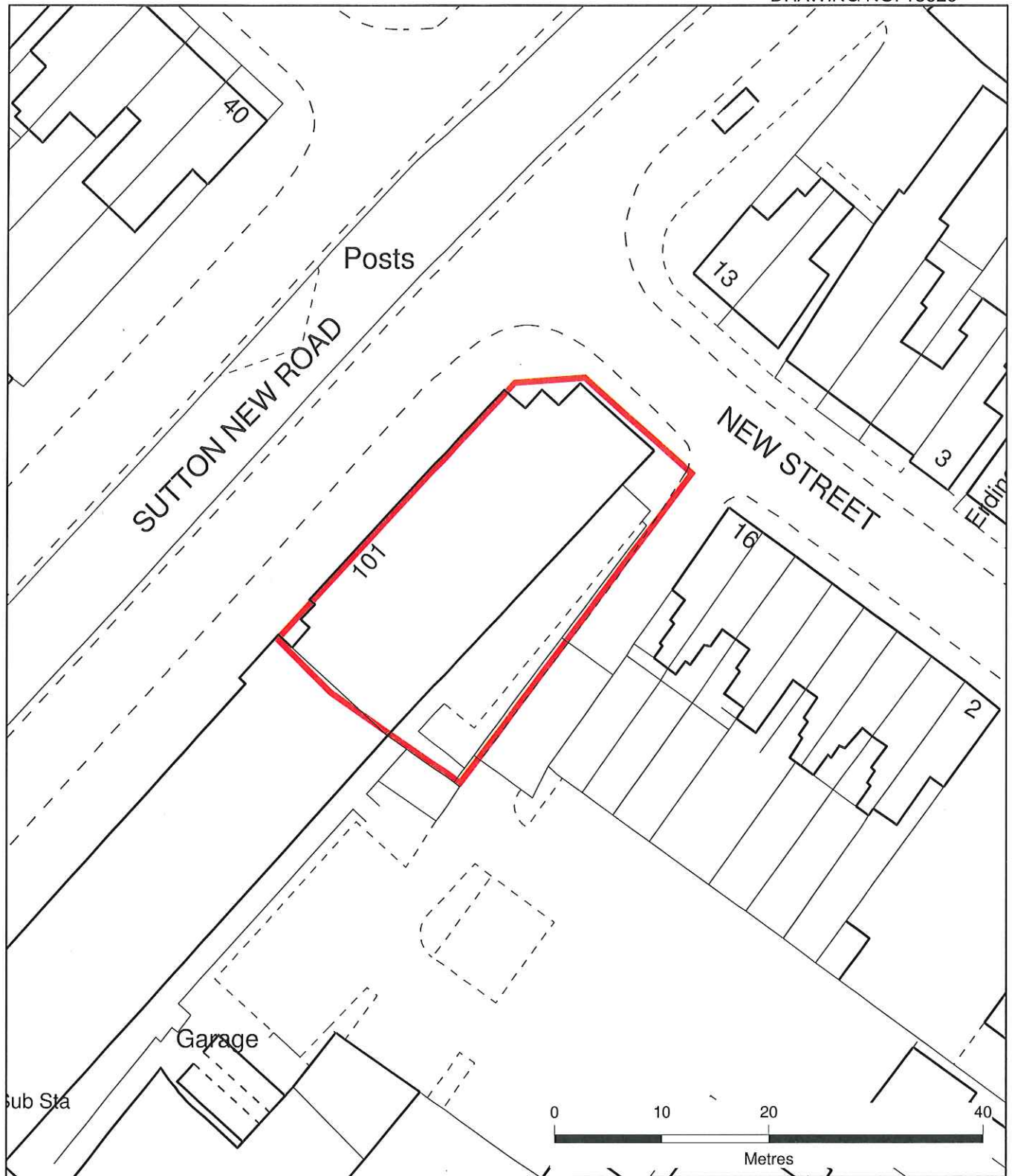
DATE

1:1,250

Bharat Patel

23/02/2016

O.S.Ref. SP1094SE

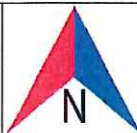


AREA EDGED RED 751 SQ. METRES APPROX. 898 SQ. YARDS APPROX.



Peter Jones BSc, FRICS
Director of Property
Birmingham Property Services
PO Box 16255
Birmingham, B2 2WT

Civic House
Sutton New Road
Erdington



SCALE

1:500

DRAWN

Bharat Patel

DATE

26/02/2016

O.S.Ref. SP1191NW

PUBLIC REPORT
(not for publication)

| | | |
|---|---|---|
| Report to | Cabinet | <i>Exempt information paragraph number – if private report:</i> |
| Report of: Date of Decision: | Director for Public Health | |
| SUBJECT: | CONTRACT EXTENSIONS FOR PUBLIC HEALTH: EARLY YEARS REVIEW AND LIFESTYLES REVIEW | |
| Key Decision: Yes | Relevant Forward Plan Ref: 001428 | |
| If not in the Forward Plan: (please "X" box) | Chief Executive approved <input type="checkbox"/> O&S Chairman approved <input type="checkbox"/> | |
| Relevant Cabinet Member(s): | Cllr Stewart Stacey – Commissioning, Contracting and Improvement Cllr Paulette Hamilton – Health and Social Care Cllr Brigid Jones – Children's Services | |
| Relevant O&S Chairman: | Cllr Waseem Zaffar – Corporate Resources Cllr Majid Mahmood – Health and Social Care | |
| Wards affected: | All | |

LATE REPORT

*** To be completed for all late reports, ie. which cannot be despatched with the agenda papers ie. 5 clear working days notice before meeting.**

Reasons for Lateness

This report relates to spend of Public Health Grant (PHG) and associated budgets. Confirmation of the PHG was delayed from December 2015 to February 2016. This report could not be progressed until confirmation of the PHG was received.

Reasons for Urgency

This report relates to the extension of a number of key contracts via which key services for children, families and citizens of Birmingham are provided. The contracts detailed in this report are due to end on the 31st March 2016. Decisions are therefore urgent to enable services to be maintained and statutory duties to be discharged.

| | |
|---|--|
| Report to: | CABINET |
| Report of: | Director of Public Health |
| Date of Decision: | 22nd March 2016 |
| SUBJECT: | CONTRACT EXTENSIONS FOR PUBLIC HEALTH: EARLY YEARS REVIEW AND LIFESTYLES REVIEW |
| Key Decision: Yes | Relevant Forward Plan Ref: 001428 |
| If not in the Forward Plan: (please "X" box) | Chief Executive approved <input type="checkbox"/> O&S Chairman approved <input type="checkbox"/> |
| Relevant Cabinet Member(s): | Cllr Stewart Stacey - Commissioning, Contracting & Improvement Cllr Paulette Hamilton - Health and Social Care Cllr Brigid Jones – Children's Services |
| Relevant O&S Chairman: | Cllr Waseem Zaffar - Corporate Resources Cllr Majid Mahmood - Health and Social Care |
| Wards affected: | All |

| |
|--|
| 1. Purpose of report: |
| 1.1 To note the requirement and reasons for contract extensions as outlined in Section 5 and Appendix A in relation to the Early Years Review and Public Health Lifestyle Services Review. These extensions are required in order to properly accommodate both service reviews, budget processes and the subsequent re-commissioning, redesign and/or decommissioning of services. |

| |
|--|
| 2. Decision(s) recommended: |
| That Cabinet: |
| 2.1 Notes the contents of this report. |

| | |
|---------------------------------|--|
| Lead Contact Officer(s): | Adrian Phillips - Director of Public Health |
| Telephone No: | 0121 303 4909 |
| E-mail address: | Adrian.x.phillips@birmingham.gov.uk |
| Lead Contact Officer(s): | John Denley – Assistant Director, Commissioning Centre of Excellence |
| Telephone No: | 0121 303 6136 |
| E-mail address: | John.Denley@birmingham.gov.uk |

3. Consultation

3.1 Internal

The two redesign workstreams called the Early Years Review and the Lifestyles Review referred to within this report have each been the subject of considerable internal consultation.

Early Years Review: A Project Board chaired by the Directorate for People's Service Director for Commissioning has been established to oversee the Review. This Board has representation from health, education and social care as well as finance, legal and procurement. The Board has been consulted upon the current contract positions and supports the extension of all current contracts for the period of the Early Years Review.

Lifestyle Services Review: A Lifestyles Strategic Board chaired by the Director of Public Health oversees the Review. The Board has representation from health, social care and the third sector as well as finance and procurement. The review forms part of the Tranche 2 Integrated Commissioning Programme.

The Strategic Director for People along with the Cabinet Member for Childrens Services and the Cabinet Member for Health and Social Care receive regular updates on the Early Years Review, and the Lifestyles Service Review. Both support the extension to the contracts.

The recommendations contained within this report have been consulted upon and approved by Finance, Legal Services and Procurement (TBC).

3.2 External

The two redesign workstreams have also been the subject of considerable external consultation.

Early Years Review: Consultation on the new Early Years Model is underway. An initial phase of consultation on the principles of the model has just concluded with 3,400 responses being logged. Broad support for the remodelling proposals has been secured through this however further work will be required to define the detail of the new model and implement the changes required. Providing stability to services through this key period is essential to enable the future operating model to be shaped by the outcomes of consultation. Any significant changes to services at this point could leave BCC at risk of legal challenge.

Existing providers of Early Years services have been consulted as part the review and support the proposals in this report. The broader market of Early Years providers similarly recognise a need to stabilise the current system whilst a new model is developed and commissioned.

Lifestyle Services Review: Consultation on the redesign of Lifestyle services was completed in July 2015 which received 4,746 responses. The views supported a new integrated, targeted, Lifestyles model focussed on improving health and wellbeing outcomes within a reduced financial envelope. Whilst the proposal received

overwhelming support, following the 2015 Autumn Statement (which included proposals to reduce the Public Health Grant) the project was deferred to manage the possible financial risk to BCC.

4. Compliance Issues:

4.1 Are the recommended decisions consistent with the Council's policies, plans and strategies?

The recommendation is consistent with:

4.1.1. Council Plan and Budget 2016+

The services referred to within this report are key to the delivery of the Council Plan and Budget 2016+

- A Fair City – citizens who are supported to achieve positive outcomes are less likely to face discrimination and social exclusion. Early help to address support needs from an early age is more likely to lead to life-long inclusion.
- A Prosperous City, built on an inclusive economy – when citizens are able to access early help, support and intervention they are more likely to engage in work or study.
- A Democratic City – citizens who have positive relationships, good physical and emotional well-being are more likely to be active.

The proposals are in line with the priorities for the Directorate for People supporting:

- A good childhood, for the best start in life
- A great education to give the best chances for life
- Promoting people's recovery and inclusion in the most independent life.
- Where needed, planning ahead across the life course.
- The best care and health outcomes for life.

4.1.2. Future Council

The recommendations made in this report support delivery of the Council's Future Council programme.

The requests being made to extend contracts are to enable transformational reviews of services to be completed and concluded. These reviews have outcomes for citizens at their core alongside a key principle to develop an integrated system.

Both the Early Years Review and Lifestyles Services Review aim to provide early support to citizens to enable them to become resilient and reduce demand for more intensive council and NHS services.

4.1.3. Birmingham Business Charter for Social Responsibility

Sign up to the Business Charter for Social Responsibility was not a condition for providers under NHS contracts. Being a signatory to the Business Charter for Social

Responsibility will be a condition of contract extension.

4.2. Financial Implications

The recommendations contained within this report are in line with the Council's Business and Budget Plan 2016+. The extensions to contracting arrangements can be accommodated within the approved funding levels and allocations. Further financial details are included in the Private Report.

4.3 Legal Implications

The Council has a number of statutory duties in relation to the provision of services to children and families during their Early Years. A number of the contracts covered within this report enable us to meet or discharge these duties.

Specifically the Council has a statutory duty under Section 5A of the Childcare Act 2006 (as amended by the Apprenticeships, Skills, Children and Learning Act 2009) to provide, so far as reasonably practicable, a sufficient Children's Centre Offer to meet local need and to make arrangements to secure that early childhood services in their area are provided in an integrated manner which is calculated to facilitate access to those services, and maximise the benefit of those services to parents, prospective parents and young children (Section 3(2)).

Similarly, with the transfer of the Health Visiting contract in October 2015 the Council became responsible for ensuring that the 5 mandated health visitor contacts continued to be delivered.

Lifestyle services may be provided pursuant to Section 12 of the Health and Social Care Act 2012 which places a duty on local authorities to take such steps as they consider appropriate to improve the health of people in their area, including providing services or facilities designed to promote healthy living (whether by helping individuals to address behaviour that is detrimental to health or in any other way).

4.4 Public Sector Equality Duty

Stage 1 EA (see Appendix B) has been completed and confirms the need to extend these contracts to ensure continue services are provided to citizens with protected characteristics.

5. Relevant background / chronology of key events:

5.1. Public Health responsibilities made the formal transfer to Local Authorities from the NHS in April 2013. The transfer included ring fenced funding in the form of the Public Health Grant (PHG). As with all Local Authorities, Birmingham's allocation was mostly committed to existing service contracts that also transferred at that time.

5.2. The Chancellor's 2015 Autumn Statement outlined that Local Authority's PHG would be reduced by an average of 3.9% in real terms per annum until 2020. This combined with proposed changes to the formula for allocating the PHG threatened to significantly reduce

the level of grant in future years.

- 5.3. In addition, Local Authorities were anticipating confirmation of these changes by mid-December 2015, but the decisions were delayed until Mid-February 2016. Therefore, until recently it has been difficult to analyse what the proposed formula and percentage reductions would mean in relation to the actual PHG amount that Birmingham would receive in future and how this may impact on current services and contracts.
- 5.4. With the PHG now confirmed the savings required can be defined. The proposals for future use of the PHG have been based on ensuring statutory public health functions are maintained during service transformation, decommissioning, redesign or recommissioning (e.g. Health Visiting and Early Years) whilst non-statutory services have been reviewed and decommissioning savings decisions have been made (e.g. Stop Smoking Services and Weight management services). The contracts for all of these services are due to expire on the 31st March 2016.
- 5.5. The Early Years review commenced in 2014 (Forward Plan reference: 546853/2015) and is ongoing. As a result the new integrated system will be put in place from the 1st September 2017. Extensions to current contracts will be required until 31st August 2017 to ensure services continue to be provided until the integrated system is in place.
- 5.6. The Lifestyles Review was previously part of the former Adults & Communities Directorate Integrated Commissioning Programme which aimed to integrate Supporting People, Public Health and some components of the Older Adults Commissioning budget. The programme was divided into two tranches:
- Tranche 1: - Carers commissioning, Sexual health, Social Inclusion, Substance misuse
Tranche 2: - Disabilities, Lifestyles, Older Adults, School Nursing
- 5.7. The details of the approach to Tranches 1&2 were outlined in a report presented to Cabinet in December 2013 (Forward Plan reference: 498438) extensions to associated contracts were also agreed (Forward Plan reference: 516254/2014) to properly accommodate the commissioning programme, budget process and the subsequent recommissioning and decommissioning of services.
- 5.8. The recommissioning of both Tranches have been successfully completed except for the Lifestyles Services component of Tranche 2 which was halted in November 2015 due to the Public Spending Review announcement and the proposed national reduction in the PHG.
- 5.9. Now that the extent of the reduction in the PHG is known the impact on the Lifestyles Services Review has been established and the review can continue.
- 5.10. As a result of the confirmed reduction in the PHG the process of decommissioning a number of non-mandated lifestyle services during 2016/17 has begun. These are highlighted in Appendix A. Contract extensions are being sought to enable the required contractual notice periods to be given.
- 5.11. For services included in the scope of both the Early Years Review and the Lifestyles

Review contract extensions are being sought to allow sufficient time for relevant redesign, decommissioning and/or recommissioning activity to take place. Whilst a full 12 month extension may not be required for a number of contracts included in the scope of the Lifestyle Review this will enable a consistent and thorough approach to the recommissioning. It is anticipated that for the completion of the Early Years Review contracts will need extending up to the planned commencement of the new system in September 2017 to ensure the completion of required commissioning and procurement cycle which would include further formal consultation.

5.12. The current position and requested service extensions are outline in the table below:

| Review Area | Existing Arrangement Expiry | Requested Extension |
|--|-----------------------------|--|
| Early Years Review (including Childrens Centres, Health Visiting Services) | March 2016 | A 17 month extension to September 2017 (with a rolling 6 month break clause) to allow application of the service review outcomes and commissioning cycle |
| Lifestyles Review | March 2016 | A 12 months extension to March 2017 (with a 3 month break clause) to allow application of the service review outcomes and commissioning cycle |

5.13. The details of the services for which extensions are requested can be seen in Appendix A.

6. Evaluation of alternative option(s):

- 6.1. Extend contracts without confirmation of the PHG allocation – this option was not progressed by officers due to the level of financial risk.
- 6.2. Do nothing – Allowing the current contracts to lapse is not an option and would place the Council at risk of considerable legal challenge as the Council would not be able to discharge its legal duties to children and families. This option would also lead to service failure which would compromise the outcomes for citizens.
- 6.3. Re-tender – This option is not viable within the current timescale. The proposed contract extensions provide the opportunity to do so in the time required.
- 6.4. Upon confirmation of the PHG, extend contracts for the period of the Early Years review and the Lifestyles Review.

Option 6.4 is the preferred option.

| |
|---|
| 7. Reasons for Decisions (s): |
| 7.1 The proposals to extend contracts for Early Years and Lifestyles services are being made to enable key services to continue to be delivered whilst delivering both Reviews. |

| Signatures | <u>Date</u> |
|---|--------------------|
| Councillor Stewart Stacey (Commissioning, Contracting and Improvement) | |
| Councillor Paulette Hamilton (Health and Social Care) | |
| Councillor Brigid Jones (Children's Services) | |
| Peter Hay Strategic Director for People | |

| |
|--|
| List of Background Documents used to compile this Report: |
| Delegated Contract Award report 5th February 2013 |

| |
|--|
| List of Appendices accompanying this Report (if any): |
| Appx A - Contract Extensions for Public Health: Early Years Services and Lifestyle Change Services |
| Appx B - Equality Assessment Initial Screening |

| | |
|---------------------------|----------------------------|
| Report Version v10 | Dated 16-March-2016 |
|---------------------------|----------------------------|

Appendix A - CONTRACT EXTENSIONS FOR PUBLIC HEALTH: EARLY YEARS SERVICES AND LIFESTYLE CHANGE SERVICES

Early Years

| Theme | Provider | Service | Proposed Extension Period |
|--------------------|---|--|-----------------------------------|
| Early Years Review | KIDS | Early Years Short Breaks | 1st April 2016 - 31st August 2017 |
| Early Years Review | Bush Babies | Childrens centre - Bush Babies | 1st April 2016 - 31st August 2017 |
| Early Years Review | Arthur Terry School | Childrens centre - Four Oaks | 1st April 2016 - 31st August 2017 |
| Early Years Review | The Deanery | Childrens centre - The Deanery | 1st April 2016 - 31st August 2017 |
| Early Years Review | Barnados | Childrens centre - Fox Hollies | 1st April 2016 - 31st August 2017 |
| Early Years Review | Chinnbrook Family and Community Project | Childrens centre - Chinnbrook | 1st April 2016 - 31st August 2017 |
| Early Years Review | Grendon and Billsley Nursery | Childrens centre - Maypole | 1st April 2016 - 31st August 2017 |
| Early Years Review | Primrose Hill Community Project | Childrens centre - Kings Norton | 1st April 2016 - 31st August 2017 |
| Early Years Review | Springfield Project | Childrens centre - Sparkbrook | 1st April 2016 - 31st August 2017 |
| Early Years Review | St Pauls Trust | Childrens centre - Balsall Heath | 1st April 2016 - 31st August 2017 |
| Early Years Review | St Pauls Trust | Childrens centre - Muath | 1st April 2016 - 31st August 2017 |
| Early Years Review | Wychall School | Childrens centre | 1st April 2016 - 31st August 2017 |
| Early Years Review | BCHC | Vitamin Coordination Service - Vitamin Coordination | 1st April 2016 - 31st August 2017 |
| Early Years Review | | Health Visiting | 1st April 2016 - 31st August 2017 |
| Early Years Review | | Infant Feeding Service from NHSE to BCC | 1st April 2016 - 31st August 2017 |
| Early years Review | | Public Health Nutrition - Childrens Weight Mgmt | 1st April 2016 - 31st August 2017 |
| Early Years Review | | Public Health Nutrition - Nutrition Training | 1st April 2016 - 31st August 2017 |
| Early Years Review | | Public Health Nutrition - Startwell | 1st April 2016 - 31st August 2017 |
| Early Years Review | | Stone Road Asylum Seeker Support nurse from NHSE to BCC | 1st April 2016 - 31st August 2017 |
| Early Years Review | Billesley Primary School | Startwell - Physical Entitlement Programme | 1st April 2016 - 31st March 2017 |
| Early Years Review | Gateway Family Services | Pregnancy Outreach Workers Services (Breastfeeding Peer Support) | 1st April 2016 - 31st August 2017 |
| Early Years Review | Health Exchange | Breastfeeding Service | 1st April 2016 - 31st August 2017 |
| Early Years Review | Homestart | Home visiting | 1st April 2016 - 31st August 2017 |
| Early Years Review | NHS Property Services | Receipt and Distribution of Healthy Start Vitamins | 1st April 2016 - 31st August 2017 |
| Early Years Review | NHS Supply Chain | Purchase of the Healthy Start Vitamins | 1st April 2016 - 31st August 2017 |

Lifestyles

| Review Theme | Provider | Service | Extension Period |
|---------------------|-------------------------------|--|----------------------------------|
| Lifestyles | BCHC | Enteral Feeds - (funded by children services) | 1st April 2016 - 31st March 2017 |
| Lifestyles | Birmingham City Council | Birmingham Wellbeing Service | 1st April 2016 - 31st March 2017 |
| Lifestyles | Birmingham GPs | Health Checks | 1st April 2016 - 31st March 2017 |
| Lifestyles | Birmingham GPs and Pharmacies | Primary care smoking cessation | 1st April 2016 - 31st March 2017 |
| Lifestyles | Gateway Family Services | Health Trainers | 1st April 2016 - 31st March 2017 |
| Lifestyles | Health Exchange | Health Trainer Service | 1st April 2016 - 31st March 2017 |
| Lifestyles | MSDI | Data Extraction System | 1st April 2016 - 31st March 2017 |
| Lifestyles | North 51 | Online Weight Management | 1st April 2016 - 31st March 2017 |
| Lifestyles | North 51 | Quit Manager Annul Fees, Postcode Credits | 1st April 2016 - 31st March 2017 |
| Lifestyles | BCHC | MASH post | 1st April 2016 - 31st March 2017 |
| Public Health | BVSC | Sustainability and bespoke development of the third sector | 1st April 2016 - 31st March 2017 |
| Public Health | University of Birmingham | HSMC library service | 1st April 2016 - 31st March 2017 |
| Public Health | Zulu | Hosting of the Public Health website | 1st April 2016 - 31st March 2017 |
| Public Health | Azad Kashmir Welfare Centre | Health Improvement Service | 1st April 2016 - 31st March 2017 |
| Public Health | Compass Support Services | Health Improvement Service | 1st April 2016 - 31st March 2017 |

Decommissioned – Extension to cover notice period

| Review Theme | Provider | Service | Extension Period |
|--------------|-------------------------|---|--|
| Lifestyles | BCHC | Level 2 Weight Management Service - Gen Dietetics | 1st April 2016 – 30 th September 2016 |
| Lifestyles | BCHC | Level 2 Weight Management Service - Peads - Obesity/HV | 1st April 2016 – 30 th September 2016 |
| Lifestyles | BCHC | Level 3 Specialist Weight Management Service - Specialist Weight Mgmt | 1st April 2016 – 30 th September 2016 |
| Lifestyles | BCHC | Public Health Nutrition - Cooking | 1st April 2016 – 30 th September 2016 |
| Lifestyles | BCHC | Public Health Nutrition - Healthy Choices | 1st April 2016 – 30 th September 2016 |
| Lifestyles | BCHC | Public Health Nutrition - Maternal | 1st April 2016 – 30 th September 2016 |
| Lifestyles | BCHC | Public Health Nutrition - Schools | 1st April 2016 – 30 th September 2016 |
| Lifestyles | BCHC | Public Health Nutrition - Weight Loss Website | 1st April 2016 – 30 th September 2016 |
| Lifestyles | BCHC | Public Health Nutrition - Well Mums | 1st April 2016 – 30 th September 2016 |
| Lifestyles | BCHC | Smoking Cessation - Coordination | 1st April 2016 – 30 th September 2016 |
| Lifestyles | BCHC | Smoking Cessation - Core | 1st April 2016 – 30 th September 2016 |
| Lifestyles | BCHC | Smoking Cessation - Training | 1st April 2016 – 30 th September 2016 |
| Lifestyles | Freshwinds | Community Health Champions | 1st April 2016 - 31st May 2016 |
| Lifestyles | From Bumps 2 Babies | Birthfit | 1st April 2016 - 31st May 2016 |
| Lifestyles | Gateway Family Services | Lighten Up & Maternal Lighten Up Weight Management | 1st April 2016 - 31st May 2016 |
| Lifestyles | Start Again | Physical Activity for Young People | 1st April 2016 - 31st May 2016 |

Equality Analysis

Birmingham City Council Analysis Report – APPENDIX 1

| | |
|-------------------------|---|
| EA Name | CONTRACT EXTENSIONS FOR PUBLIC HEALTH: EARLY YEARS REVIEW AND LIFESTYLES REVIEW |
| Directorate | People |
| Service Area | Adults - Public Health |
| Type | New/Proposed Function |
| EA Summary | This EA considers the potential impact of the recommendation to Cabinet to extend the contracts associated with Early Years Services and Lifestyle Services for period of between 12 and 18 months to enable key transformation programmes to be delivered. |
| Reference Number | EA001226 |
| Task Group Manager | Pip.mayo@Birmingham.Gov.UK |
| Task Group Member | |
| Date Approved | 2016-03-10 00:00:00 +0000 |
| Senior Officer | john.denley@birmingham.gov.uk |
| Quality Control Officer | PeopleEAQualityControl@birmingham.gov.uk |

Introduction

The report records the information that has been submitted for this equality analysis in the following format.

Overall Purpose

This section identifies the purpose of the Policy and which types of individual it affects. It also identifies which equality strands are affected by either a positive or negative differential impact.

Relevant Protected Characteristics

For each of the identified relevant protected characteristics there are three sections which will have been completed.

- Impact
 - Consultation
 - Additional Work

If the assessment has raised any issues to be addressed there will also be an action planning section.

The following pages record the answers to the assessment questions with optional comments included by the assessor to clarify or explain any of the answers given or relevant issues.

The activity has been identified as a New/Proposed Function.

2 Overall Purpose

2.1 What the Activity is for

| | |
|---|--|
| What is the purpose of this Function and expected outcomes? | The Council currently supports the delivery of a number of services to support children during their Early Years (aged 0 - 5) and citizens throughout their life to have health lifestyles. These services are delivered via a number of providers under contract. The contracts for these services are due to expire on the 31st March 2016. Major reviews of the way that we deliver both Lifestyles Services and Early Years Services are underway. Contract extensions are being sought to enable the current service map to be maintained whilst these reviews are concluded. These contract extensions will ensure that children, families and citizens more generally continue to be supported which new working models are developed and implemented. |
|---|--|

For each strategy, please decide whether it is going to be significantly aided by the Function.

| | |
|--|-----|
| Public Service Excellence | Yes |
| Comment Extensions to contracts are being requested to enable major transformational reviews to be delivered. The delivery of excellence in public service is at the heart of these reviews | |
| A Fair City | Yes |
| Comment Both Early Years Services and Lifestyles Services have at their core an aim to narrow the gap in outcomes for children, families and citizens. Early Years Services aim to provide every child with an equal chance of a good start in life, whilst Lifestyles Services aim to tackle health inequalities. Both support the delivery of a Fair city for all. | |
| A Prosperous City | Yes |
| Comment The Early Years Services covered in this report help children to be ready to learn when they start school and help parents to return to training or employment. The Lifestyles Services help citizens to live healthy lifestyles, reducing the risk of long term health conditions. All these outcomes support people to work and contribute to Birmingham's prosperity. | |
| A Democratic City | Yes |
| Comment The contracts referred to in this report are requested to be extended to enable significant reviews to be completed. Citizen engagement will be at the heart of these reviews. This will support delivery of democratic city. | |

2.2 Individuals affected by the policy

| | |
|---|----|
| Will the policy have an impact on service users/stakeholders? | No |
| Will the policy have an impact on employees? | No |
| Will the policy have an impact on wider community? | No |

2.3 Analysis on Initial Assessment

The Early Years Services recommended for extension contain both universal and targeted elements. Some like health visiting are provided to every child in Birmingham, others like the Early Years Short Breaks Service operated by KIDS are highly targeted to parents of children with disabilities. The Lifestyles Services recommended for extension are universal and are open to all citizens in Birmingham. In the delivery of the services a level of targeting is in place, with services being promoted to those communities where health inequalities are evidenced to exist.

No concerns have been identified in relation to discrimination or inequity in service delivery during the term of the current contract.

As the report relates to the proposal to extend the current contracts no potential for adverse impact or discrimination has been identified .

3 Concluding Statement on Full Assessment

No potential for adverse impact on groups with protected characteristics has been identified through this EA. Full assessment not recommended

4 Review Date

10/03/16

5 Action Plan

There are no relevant issues, so no action plans are currently required.

| | | |
|---|--|---|
| Report to | CABINET | <i>Exempt information paragraph number – if private report:</i> |
| Report of: Date of Decision: | JOINT REPORT OF ACTING STRATEGIC DIRECTOR FOR PLACE AND HEAD OF EUROPEAN & INTERNATIONAL AFFAIRS 22 ND MARCH 2016 | |
| SUBJECT: | URBAN INNOVATIVE ACTIONS BID | |
| Key Decision: Yes | Relevant Forward Plan Ref: | |
| If not in the Forward Plan: (please "X" box) | Chief Executive approved <input type="checkbox"/> O&S Chairman approved <input type="checkbox"/> | |
| Relevant Cabinet Member(s): | Councillor John Cotton, Cabinet Member for Neighbourhood Management and Homes Councillor Shafique Shah, Cabinet Member for Inclusion and Community Safety Councillor Paulette Hamilton, Cabinet Member for Health and Social Care Councillor Penny Holbrook, Skills, Learning and Culture | |
| Relevant O&S Chairman: | Councillor Zafar Iqbal, Neighbourhood and Community Services Committee | |
| Wards affected: | Ladywood and Soho | |

LATE REPORT

Reasons for Lateness

Advice was sought from Finance in February about the internal approval to bid procedures for a project of this size so that we could meet the 31 March bid deadline. The advice was that we would be required to submit information to the Deputy Leader's Star Chamber to obtain approval to bid. This was submitted before the 11 March deadline, at which point we were subsequently advised that a report to Cabinet would also be required.

The timescales for this new Urban Innovative Actions have been particularly challenging:

- The Urban Innovative Actions programme was launched just before Christmas with Birmingham City Council's taking part in an EU briefing where further details of this programme were released by the European Commission in mid-January.
- The deadline for applications is 31 March 2016.
- Following the mid-January briefing organised by the European Commission, we held an initial workshop on 5 February with local partners from the public, third and HE sector to consult on bid ideas.
- Following the workshop, proposal ideas were developed requiring further meetings and research. On 25 February we then brought partners back together to test our overall project concept with them and to ensure there remained wider buy-in.
- Following the 25 February meeting we have been identifying partner organisations to lead Work Packages, and working up the detail of these Work Packages, their deliverables, budgets and match funding. This work is still currently underway given the challenging timescales and is expected to be concluded over Easter so that the bid can be submitted by the 31 March deadline.

Reasons for Urgency

Bids to the Urban Innovative Actions Programme are required to be submitted by 31st March 2016. The recommendations contained within this report require executive decision prior to this date.

BIRMINGHAM CITY COUNCIL

PUBLIC REPORT

| | |
|--|---|
| Report to: | CABINET |
| Report of: | JOINT REPORT OF ACTING STRATEGIC DIRECTOR FOR PLACE AND HEAD OF EUROPEAN & INTERNATIONAL DIVISION |
| Date of Decision: | 22nd MARCH 2016 |
| SUBJECT: | URBAN INNOVATIVE ACTIONS APPROVAL TO BID |
| Key Decision: | Relevant Forward Plan Ref: |
| If not in the Forward Plan: (please "X" box) | Chief Executive approved <input type="checkbox"/> O&S Chairman approved <input type="checkbox"/> |
| Relevant Cabinet Member(s) or Relevant Executive Member for Local Services: | Councillor John Cotton, Cabinet Member for Neighbourhood Management and Homes |
| Relevant O&S Chairman: | Councillor Zafar Iqbal, Neighbourhood and Community Services Committee |
| Wards affected: | Ladywood and Soho |

| | |
|------------------------------------|--|
| 1. Purpose of report: | |
| 1.1 | This report seeks approval for the Council to act as Lead Partner for a consortium to bid up to €6.25m which is approx. £4.9m (80% of which will be grant €5m, 20% match funding from partners, €1.25m) to the EU's Urban Innovative Actions Programme to pilot approaches to tackling the cyclical causes of Urban Poverty. The bid, which is required to be submitted by the 31 March 2016, will be developed and managed by Birmingham City Council on behalf of the consortium including partners from the public, HE and the third sector. Note: It is a requirement of the programme that the lead partner has to be an urban local authority. |
| 1.2 | This is a brand new programme inviting innovative projects that test new place-based approaches to urban poverty with a focus on deprived urban neighbourhoods. The proposal should aim to deal with the interconnectedness of a number of causal factors that contribute towards cyclical poverty. There are currently no other EU funds that allow this type of experimentation, particularly at a favourable intervention rate of 80%. |
| 1.3 | The bid fully aligns to the Council's Transforming Neighbourhoods Strategy and will also build upon the Ladywood District Jobs and Skills Plan. These objectives are embedded within the Council Business Plan and Budget 2016+. The project will be a catalyst to developing greater community resilience and to developing stronger connections between the community and key infrastructure projects and macro assets such as the Midland Metropolitan Hospital and Icknield Port Loop development. |
| 1.4 | The bid also supports the principles of partnership working as set out in Birmingham 2020 and the Council Business Plan and Budget 2016+. Furthermore it shows the Council tangibly acting in an 'enabling' capacity with other local authority partners, the third sector and HE. |
| 2. Decision(s) recommended: | |
| 2.1 | <p>That Cabinet:</p> <p>Approves a consortium bid submission to the Urban Innovative Actions Programme up to a maximum of €6.25m (£4.9m), of which 80% is grant funding and 20% match funding (from both BCC and partner sources)</p> |

| | |
|-----|---|
| 2.2 | Approves that the Council will act as 'Lead Partner' for the bid, which if successful, will include receiving and administering up to £3.9m of Urban Innovative Actions ERDF grant funding and £0.98m matched funding from November 2016 – November 2020. |
|-----|---|

| | |
|---------------------------------|---|
| Lead Contact Officer(s): | Lloyd Broad, Head of European & International Affairs |
| Telephone No: | 0121 303 2377 |
| E-mail address: | Lloyd.broad@birmingham.gov.uk |

| | |
|------------------------|---|
| 3. Consultation | |
| 3.1 | <p><u>Internal</u></p> <p>Consultation has been undertaken within very short timescales with the Place Directorate (Homes and Neighbourhoods, Ladywood District) Employment Team, Digital Birmingham, Planning and Regeneration, Commissioning Centre for Excellence (Supporting People knowledge), Equalities and Social Cohesion (officer responsible for policy support to the Child Poverty Commission). Councillor John Cotton attended the initial partners consultation on 5 February. An update on the emerging proposal was sent via email to Councillor John Cotton (Cabinet Member for Neighbourhood Management and Homes), Councillor Shafique Shah (Cabinet Member for Inclusion and Community Safety), Councillor Paulette Hamilton (Cabinet Member for Health and Social Care) Councillor Penny Holbrook (Cabinet Member for Skills, Learning and Culture) on 17 February. Ward Councillors for the area are also being consulted.</p> |
| 3.2 | Officers from City Finance and Legal and Democratic Services have been involved in the preparation of this report. |
| 3.3 | <p><u>External</u></p> <p>External consultation has taken place with bid partners including Sandwell and West Birmingham Hospitals NHS Trust, Right Care Right Here partnership, University of Birmingham, Birmingham City University, iSE - providing development opportunities for social enterprises, BVSC, Brushstrokes, Karis Neighbour Scheme. Sandwell MBC were approached to be an associated urban authority partner although cannot formally sign-up in the timescales available due to internal procedures, they are however supportive of the bid and will be part of the broader consultative partnership.</p> |

| | |
|------------------------------|--|
| 4. Compliance Issues: | |
| 4.1 | <p><u>Are the recommended decisions consistent with the Council's policies, plans and strategies?</u></p> <p>The bid fully aligns to the Council's Transforming Neighbourhood Strategy and will also build upon the Ladywood District Jobs and Skills Plan. These objectives are embedded within the Council Business Plan and Budget 2016+. The project will be a catalyst to developing greater community resilience and to developing stronger connections between the community and key infrastructure projects and macro assets such as the Midland Metropolitan Hospital and Icknield Port Loop development.</p> |
| 4.2 | <p><u>Financial Implications (Will decisions be carried out within existing finance and Resources?)</u></p> <p>Grant conditions will be detailed in the Grant Agreement between the European Commission and the project partnership and based on the activities described in the project application.</p> <p>The European Commission may seek to clawback funding if expenditure is ineligible according to European Commission regulations or if funding is claimed for activities/outputs that did not take place.</p> |
| 4.3 | If successful, a partnership contract agreement will be put in place with the delivery partners to ensure that the terms and conditions of the grant are fully fulfilled. This will allow performance risks to be formally managed and mitigated by the Council as the 'Lead Partner'. |

4.4 Costs associated with the funding agreement and undertaking the 'Lead Partner' role will be recovered from programme management resources included within the bid.

4.5 Maximum amounts of grant and match are as follows:

| | | € millions* | £m approx.* |
|---------------------------------------|------|-------------|-------------|
| Grant | 80% | 5.00 | 3.90 |
| Matched Funding from project partners | 20% | 1.25 | 0.98 |
| Total Bid | 100% | 6.25 | 4.88 |

**The figures in this table show the maximum amount of grant we can bid for and the match. Actual amount may be lower and will be clearer over the coming week as details of the bid are confirmed.*

4.6 The project will provide revenue resources.

4.7 The project partnership is required to identify 20% match funding; most of which is over 3 years from November 2016 – November 2019. There is a subsequent 4th year for project closedown and dissemination activities, only £2300 of the overall match is needed in this 4th year. If the proposal bids for the maximum of €5m the match-funding requirement will be €1.25m (£980k). Match funding will be comprised of:

- Birmingham City Council has identified relevant local services budgets that can be used as match. It should be noted that by using this as match this will still be able to be used as would be planned, however, these monies would not be able to be used to be match other EU sources of funding.
- In-kind staff time costs of BCC staff (Ladywood District staff, Place Directorate managers, European & International team staff). These costs are currently being finalised and will be shared with Finance staff before submission of the bid.
- In-kind staff time and other sources of match that partners in the consortium are in the process of identifying and confirming.

Legal Implications

4.8 Under the general power of competence in Section 1 Localism Act 2011, the Council has the power to enter into the arrangements set out in this report and they are within the boundaries and limits of the general power of competence in Sections 2 and 4 Localism Act 2011.

Public Sector Equality Duty

4.9 Initial screening for an Equality Assessment (EA) has been undertaken and has concluded that a full EA is not required at this stage, with no adverse impacts on protected groups.

| 5. | Relevant background/chronology of key events: |
|----|---|
| | <p data-bbox="209 185 799 219">The Urban Innovative Actions Programme</p> <p data-bbox="209 219 1497 353">5.1 Urban Innovative Actions is a new EU funded programme for innovative, bold and creative ideas to tackle urban challenges. This is a rare opportunity for the city and its partners to take a risk and experiment, to test how new and unproven solutions work in practice and how they respond to the complexity of real life.</p> <p data-bbox="209 387 1358 454">5.2 Birmingham City Council is proposing to bid into the EU's new Urban Innovative Actions Programme under its Urban Poverty theme.</p> <p data-bbox="209 488 1497 622">5.3 Up to €5m grant is available over 3 years (+ 1 year for project closedown and dissemination) for an innovative project that tests new place-based approaches to urban poverty with a focus on deprived urban neighbourhoods. The proposal should aim to deal with the interconnectedness of a number of causal factors that contribute towards cyclical poverty.</p> <p data-bbox="209 723 788 757">Developing the partnership and proposal</p> <p data-bbox="209 757 1477 857">5.4 The Urban Innovative Actions programme was launched just before Christmas with Birmingham City Council's taking part in an EU briefing where further details of this programme were released by the European Commission in mid-January.</p> <p data-bbox="209 891 1497 1025">5.5 The deadline for applications is 31 March 2016 timescales are therefore very challenging. Following the mid-January briefing organised by the European Commission, we held an initial workshop on 5 February with local partners from the public, third and HE sector to consult on bid ideas.</p> <p data-bbox="209 1059 1497 1160">5.6 Following the workshop, proposal ideas were developed requiring further meetings and research. On 25 February we then brought partners back together to test our overall project concept with them and to ensure there remained wider buy-in.</p> <p data-bbox="209 1193 1497 1328">5.7 Following the 25 February meeting we have been identifying partner organisations to lead Work Packages, and working up the detail of these Work Packages, their deliverables, budgets and match funding. This work is still currently underway given the challenging timescales and is expected to be concluded over Easter so that the bid can be submitted by the 31 March deadline.</p> <p data-bbox="209 1361 1497 1462">5.8 You will note from the above, the incredibly challenging timescales within which we have been able to consult internally, externally, and meet approval process (internally and partners') whilst simultaneously working up a quality bid quality in partnership with stakeholders.</p> <p data-bbox="209 1496 336 1529">Proposal</p> <p data-bbox="209 1529 1497 1664">5.9 The project will Unlock Social and Economic Innovation Together (USE-IT!) in deprived neighbourhoods; linking micro-assets found within people and place with macro-assets. In doing so, the project aims to reduce the demand for public services whilst also boosting the supplier side through citizens and social producers.</p> <p data-bbox="209 1697 1497 1966">5.10 The geographical test-bed will be the area of Birmingham from Ladywood, Soho, to the site of the new Midland Metropolitan Hospital in Sandwell. This area has been identified through work undertaken by the University of Birmingham who have identified this as being a functional economic area with significant macro assets (development of new hospital, four major housing redevelopments). which also crosses administrative boundaries with Sandwell This area also has persistent high levels of multiple deprivation despite significant investment having previously been made through successive major urban regeneration schemes over a number of years.</p> |

| | |
|------|---|
| 5.11 | Following reductions to public sector finance, these regeneration schemes no longer exist. It is also clear that their results have not been adequately sustained as these are still areas with the most persistent levels of deep-seated poverty. This project is innovative in that it aims to buck this trend. It will take the learning of previous programmes as its starting point, but will pioneer a new approach. It will connect 'top down' growth strategies while growing 'bottom up' capacity, resilience and solutions to re-shape the offer of public services, and the offer of business, the community and citizens. |
| 5.12 | The project will empower citizens and stakeholders to identify their economic and social challenges and to produce solutions and assets rooted in the community, creating new economic opportunities and social capital. |
| 5.13 | There will be Work Packages on the following: Project Management, Communications, Community research, Strengthening civil capacity and finance, Matching jobs skills in the community with demand, Supporting social entrepreneurship. See the attached project summary for further information. |
| 5.14 | We will have an inclusive partnership steering group to drive forward the project implementation and delivery. A particularly innovative feature will be a proposed challenge panel made up of local citizens and we will also invite innovation agencies and specialists (e.g. NESTA, RSA). |
| 5.15 | Bids will be assessed using a 3 stage assessment process by the Urban Innovative Actions secretariat. At each stage projects will be informed as to whether they have moved on to the next stage or have not been successful. Projects passing all three stages will be informed in October 2016. |
| 5.16 | <p>EU Urban Agenda</p> <p>It should also be noted that the Urban Innovative Actions Programme is one of the key funding instruments connected to the EU Urban Agenda. The EU's Urban Agenda aims to coordinate European policy and funding aimed at cities in order to get the best outcome. Birmingham City Council has been working towards this for the last three decades and has been recognised in this effort by being invited to one of the thematic partnerships looking at urban poverty. BCC joins Ile de France (Paris), Lille (France), Brussels Capital Region (Belgium), to progress how to better coordinate policy and funding instruments to tackle this ever pressing issue leading to tangible and sustainable positive outcomes for cities.</p> <p>Birmingham is represented on the EU Urban Poverty Platform by Lloyd Broad, Head of European & International Affairs working with Jacqui Kennedy, Acting Strategic Director of Place.</p> |

| 6. Evaluation of alternative option(s): | |
|--|--|
| 6.1 | Option 1 – another local authority acts as Lead Authority for the bid consortium. Given the short timescales associated with this bid it would be highly difficult to find another local authority to fulfil this role at this current stage of bid development. |
| 6.2 | Option 2 – do not submit a proposal. |

| 7. Reasons for Decision(s): | |
|------------------------------------|--|
| 7.1 | To approve a consortium bid submission to the Urban Innovative Actions Programme up to a maximum grant of €5m (£3.9m) |
| 7.2 | To approve that the Council will act as ‘Lead Authority’ for the bid, which if successful, will include receiving and administering up to £3.9m of Urban Innovative Actions ERDF funding from November 2016 – November 2020. |

| Signatures | <u>Date</u> |
|---|--------------------|
| Cllr John Cotton – Cabinet Member for Homes and Neighbourhoods | |
| Jacqui Kennedy Acting Strategic Director for Place | |

| List of Background Documents used to compile this Report: | |
|--|--|
| 1 | Council Business Plan and Budget 2016+ |
| 2 | Neighbourhood Plan |

| List of Appendices accompanying this Report (if any): | |
|--|------------------------|
| 1. | Map of the target area |
| 2 | Summary of project |

| | | | |
|-----------------------|-----------------|--------------|------------------------|
| Report Version | <u>A</u> | Dated | <u>16.03.16</u> |
|-----------------------|-----------------|--------------|------------------------|

PROTOCOL PUBLIC SECTOR EQUALITY DUTY

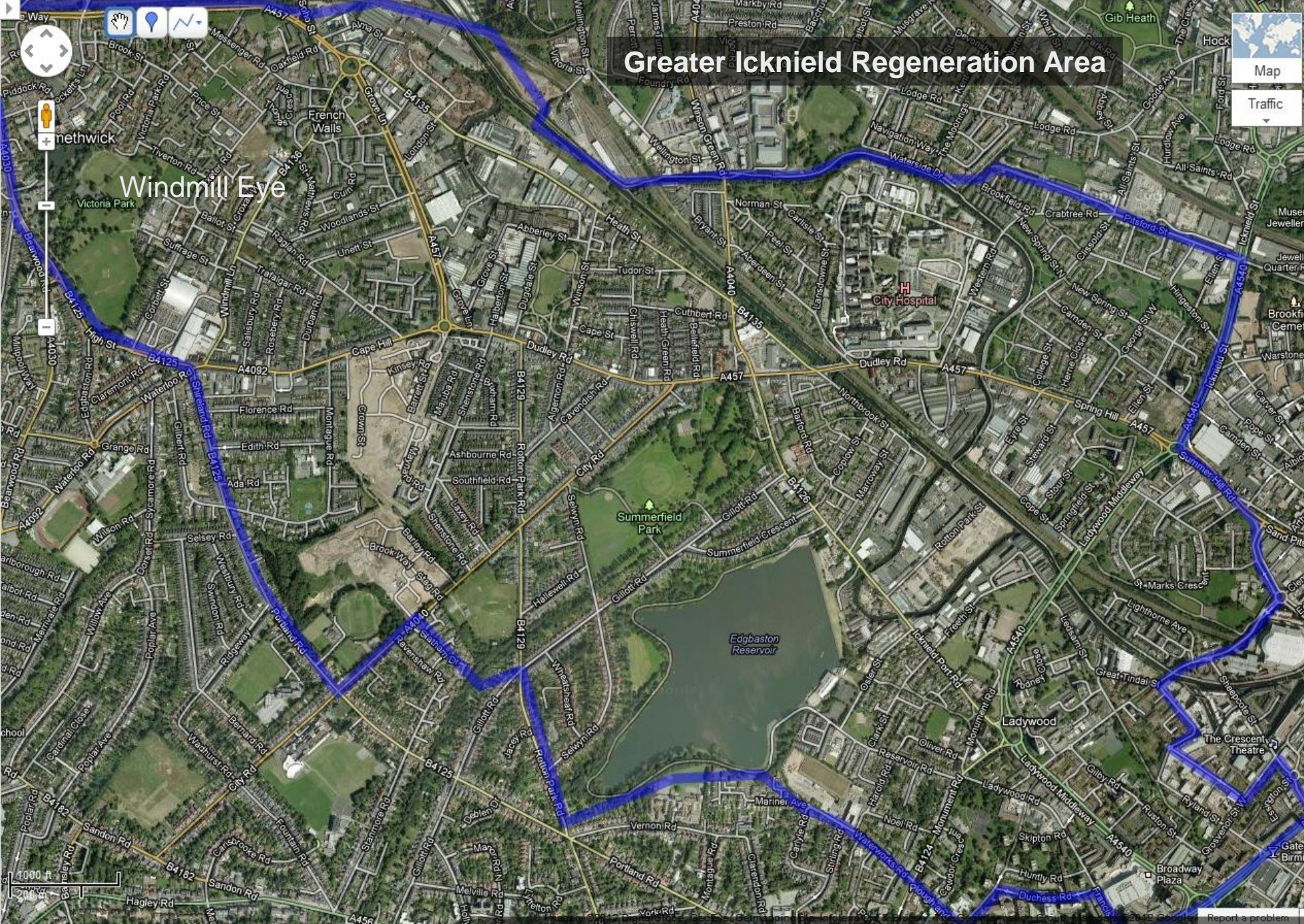
- 1 The public sector equality duty drives the need for equality assessments (Initial and Full). An initial assessment should, be prepared from the outset based upon available knowledge and information.
- 2 If there is no adverse impact then that fact should be stated within the Report at section 4.4 and the initial assessment document appended to the Report duly signed and dated. A summary of the statutory duty is annexed to this Protocol and should be referred to in the standard section (4.4) of executive reports for decision and then attached in an appendix; the term 'adverse impact' refers to any decision-making by the Council which can be judged as likely to be contrary in whole or in part to the equality duty.
- 3 A full assessment should be prepared where necessary and consultation should then take place.
- 4 Consultation should address any possible adverse impact upon service users, providers and those within the scope of the report; questions need to assist to identify adverse impact which might be contrary to the equality duty and engage all such persons in a dialogue which might identify ways in which any adverse impact might be avoided or, if avoidance is not possible, reduced.
- 5 Responses to the consultation should be analysed in order to identify:
 - (a) whether there is adverse impact upon persons within the protected categories
 - (b) what is the nature of this adverse impact
 - (c) whether the adverse impact can be avoided and at what cost – and if not –
 - (d) what mitigating actions can be taken and at what cost
- 6 The impact assessment carried out at the outset will need to be amended to have due regard to the matters in (4) above.
- 7 Where there is adverse impact the final Report should contain:
 - a summary of the adverse impact and any possible mitigating actions (in section 4.4 or an appendix if necessary)
 - the full equality impact assessment (as an appendix)
 - the equality duty – see page 9 (as an appendix).

Equality Act 2010

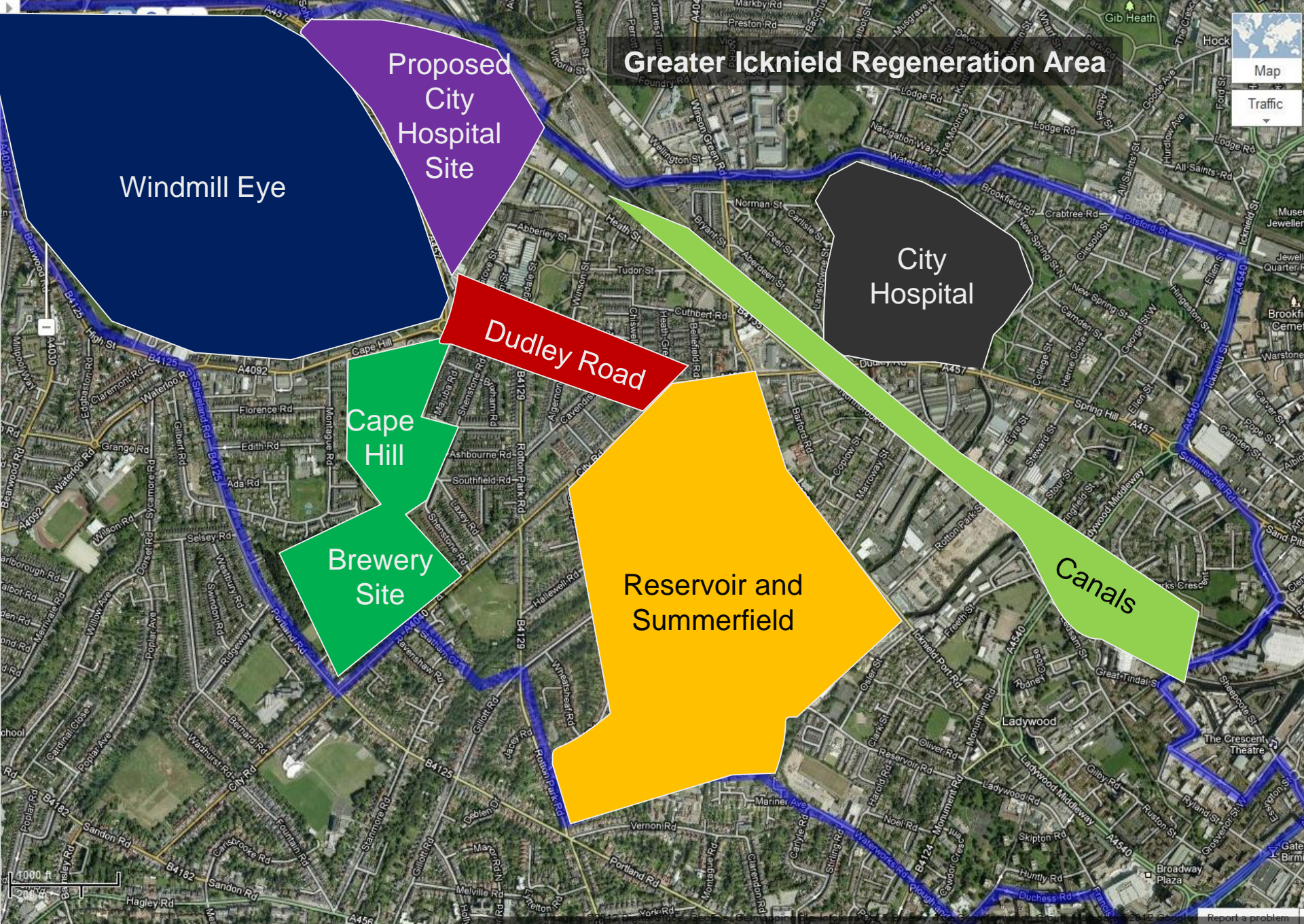
The Executive must have due regard to the public sector equality duty when considering Council reports for decision.

The public sector equality duty is as follows:

| | |
|---|---|
| 1 | <p>The Council must, in the exercise of its functions, have due regard to the need to:</p> <ul style="list-style-type: none">(a) eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by the Equality Act;(b) advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it;(c) foster good relations between persons who share a relevant protected characteristic and persons who do not share it. |
| 2 | <p>Having due regard to the need to advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it involves having due regard, in particular, to the need to:</p> <ul style="list-style-type: none">(a) remove or minimise disadvantages suffered by persons who share a relevant protected characteristic that are connected to that characteristic;(b) take steps to meet the needs of persons who share a relevant protected characteristic that are different from the needs of persons who do not share it;(c) encourage persons who share a relevant protected characteristic to participate in public life or in any other activity in which participation by such persons is disproportionately low. |
| 3 | <p>The steps involved in meeting the needs of disabled persons that are different from the needs of persons who are not disabled include, in particular, steps to take account of disabled persons' disabilities.</p> |
| 4 | <p>Having due regard to the need to foster good relations between persons who share a relevant protected characteristic and persons who do not share it involves having due regard, in particular, to the need to:</p> <ul style="list-style-type: none">(a) tackle prejudice, and(b) promote understanding. |
| 5 | <p>The relevant protected characteristics are:</p> <ul style="list-style-type: none">(a) Age(b) Disability(c) gender reassignment(d) pregnancy and maternity(e) Race(f) religion or belief(g) Sex(h) sexual orientation |



Greater Icknield Regeneration Area



Greater Icknield Regeneration Area

Windmill Eye

Proposed
City
Hospital
Site

Dudley Road

Cape
Hill

Brewery
Site

Reservoir and
Summerfield

City
Hospital

Canals

EU Urban Innovative Actions programme

Project summary of the Unlocking Social and Economic Innovation Together (USE-IT) proposal

Summary

The project will **Unlock Social and Economic Innovation Together** in deprived neighbourhoods; linking micro-assets found within people and place with macro-assets. In doing so, the project aims to reduce the demand for public services whilst also boosting the supplier side through citizens and social producers.

The geographical test-bed will be the area of Birmingham from Ladywood, Soho, to the site of the new Midland Metropolitan Hospital in Sandwell. This area has persistent high levels of multiple deprivation despite significant investment having previously been made through successive major urban regeneration schemes over a number of years.

Following reductions to public sector finance, these regeneration schemes no longer exist. It is also clear that their results have not been adequately sustained as these are still areas with the most persistent levels of deep-seated poverty. This project is innovative in that it aims to buck this trend. It will take the learning of previous programmes as its starting point, but will pioneer a new approach. It will connect 'top down' growth strategies while growing 'bottom up' capacity, resilience and solutions to re-shape the offer of public services, and the offer of business, the community and citizens. Another innovation of the project is that it takes an approach based on a functional economic geography rather than administrative boundaries, indeed this area cuts across two local authority areas.

The project will empower citizens and stakeholders to identify their economic and social challenges and to produce solutions and assets rooted in the community matched to tangible economic opportunities.

Work Packages

To support the overall project there will be a:

'Preparation' work package – a lump sum covering preparation of the project application.

'Management' work package – project and partnership management, monitoring and reporting, managing relations with the Urban Innovative Actions secretariat.

'Communications' work package – materials and actions to communicate the project to the wider community, stakeholders in the city, and to policy makers at local and national level.

'Closure and knowledge transfer' work package – final report, administrative and financial closure, disseminating results at EU level.

The content and delivery of the project will be in four implementation work packages:

Implementation WP1 – Community diagnosis of their economic and social challenges (working title)

Responsible Work Package Partner: University of Birmingham

Description

This work package will focus on engaging and supporting the community to undertake action research into their economic and social challenges. This Work Package will provide a continuous feedback loop into the other Implementation Work Packages providing them with dynamic research intelligence to inform their activities.

Activities will include:

- Engagement, training and accreditation of Community Researchers. The role of the community researchers will be to provide a window to a deeper understanding of the economic and social challenges the community faces, as well as to reveal what the community perceive as being their assets.
- Use of an online platform to support the learning and work of the Community Researchers
- Support to the Community Researchers by university researchers, and analysis of results.

Implementation WP 2 – Strengthening civil capacity and finance (working title)

Responsible Work Package Partner: *TBC*

Description

This Work Package will strengthen and join up civil capacity and the impact of financial resources and in kind support, by connecting donors with local projects and community initiatives. This will play a key role in linking macro assets (for example businesses with a stake in the area such as developers responsible for key regeneration sites and large institutions such as the NHS Hospital Trust).

Donors will be integrated into the very 'fabric' of their local communities, helping them to become civic partners and champions. In this WP donors resources and interests will be matched to specific community needs and opportunities, so their contribution is more meaningful, enjoyable and 'beyond financial'.

This pilot, if successful, could then be rolled out after beyond the Urban Innovative Actions timeframe thus providing a highly sustainable way of ensuring the results of the project continue to be supported beyond the programme.

Aligning eg: BCC Local Innovation Fund; Social Value Act; Business Charter, CSR to lever resources to deliver innovative projects to help transform main stream systems; processes and products.

Activities will include:

- **Insight and scoping into donor opportunities in the community.** Building on the work of the community researchers (WP1) and working with the project partnership and community organisations to develop an understanding of community needs and the main types of donor opportunities that would have impact in the community and would also be meaningful for donors. To also identify some of the main potential donor organisations that have a stake in the local area.
- **The establishment of a community endowment fund.** Develop relations with businesses, large institutions in the area, and other potential donors to empower them to make charitable investments in the area. To establish a donor base and trust fund (to note, Urban Innovative Actions Funding will not be used for the fund itself).
- **Community engagement in the endowment fund.** Establish processes for community members and donors to work together to select innovative community projects. Publicise opportunities to access the community endowment fund.
- **Evaluation of endowment fund pilot.** Evaluation of projects, views from community, views from donors, as well as establishing longer-term interest from donors.

WP3 – Matching job skills in the community with demand (working title)

Responsible Work Package Partner: Learning Works (Sandwell and West Birmingham Hospital Trust)

Description

This is an area with high unemployment yet there are high quality local employment opportunities both in the short and medium term. There are, for example, opportunities for clinical and non-clinical staff at the hospital and there are four major housing developments that are taking place in the area that will provide jobs in the construction industry.

This Work Package aims bring together employers and potential employees together so that local pathways into these opportunities can be developed.

Activities will include:

- Workforce skills shortage analysis.
- Community skills directory mapping underutilised qualifications
- New Arrival Support Programme
- Mentoring service, working with sector representatives from the health, constructions and manufacturing to identify volunteers to be trained as mentors to support new migrants from the same professions through the qualification equivalency and job application process.

WP4 Social enterprise and social production (working title)

Responsible Work Package Partner: ISE (social enterprise that supports social enterprises)

Description

A place-based approach to supporting residents to trade their way out of poverty and social exclusion by supporting the creation of a community of social entrepreneurs. This could include mentoring, peer support, the development of the health and wellbeing market with organisations such as the new hospital, linking to the CSR of local larger organisations to contribute as social business angels, micro-grants. There could be particular opportunities in health, food, tech, education etc.; a 'challenge approach' with the community could be developed as part of this.

Activities will include

- Preparing the market and identifying market opportunities. Will include close working with some of the major investors in / near the area e.g. NHS, Carillion, Urban Splash to identify potential market opportunities. Will also include using the findings of the community research to identify further opportunities.
- Wrap-around support for social enterprises in the locality. This will support social enterprises wherever they are in their stage in development.
- This will include access to professional support and advice (e.g. legal and financial), pump priming micro-grants and peer support.
- Engagement of local schools in social enterprise education and opportunities.
- Developing community engagement and understanding of social enterprise; a 'hearts and minds campaign' to encourage the community to understand and support local social enterprises.

WP5. Investment (optional)

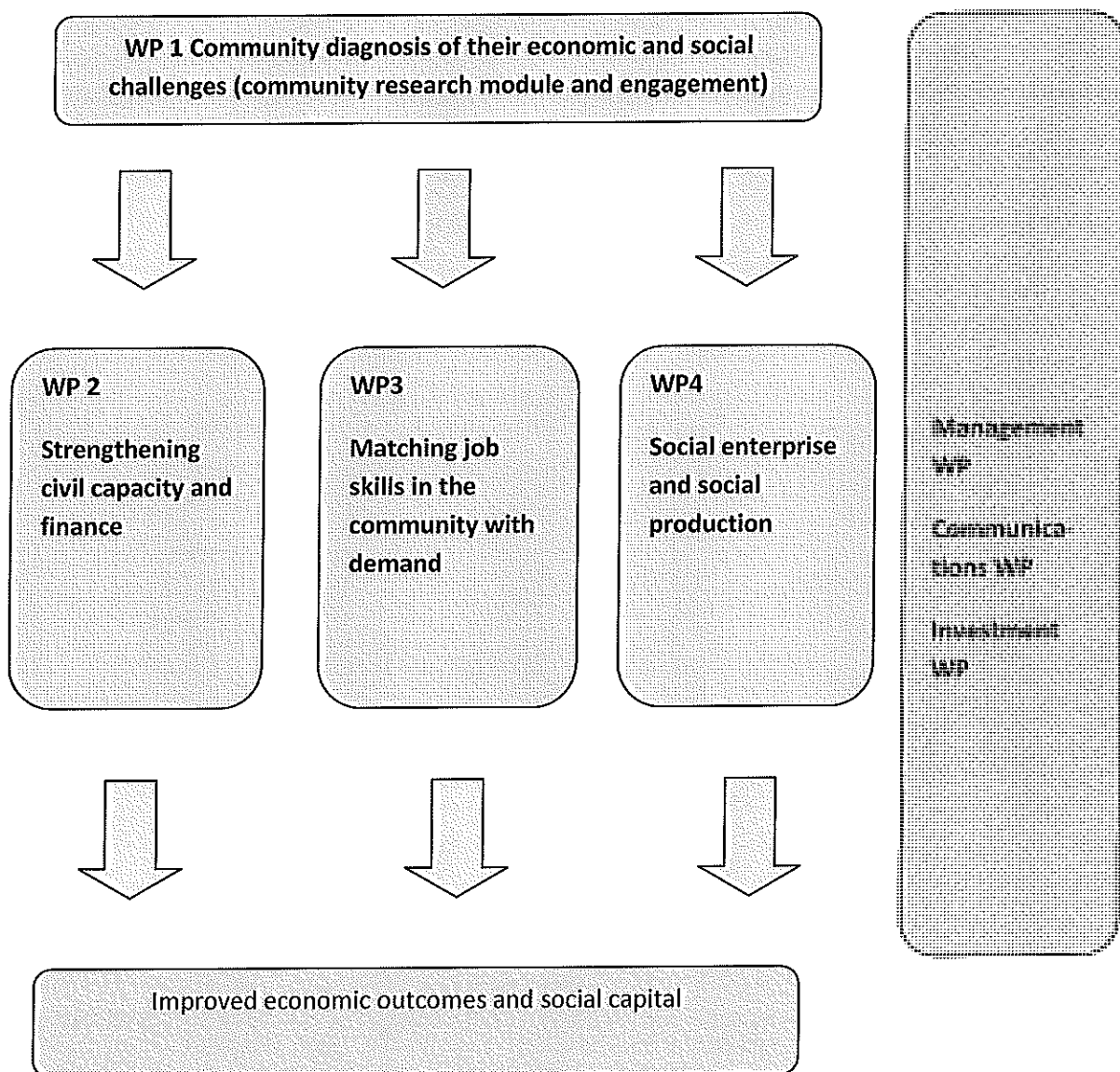
Any 'Investments' from Implementation WPs 1-4 will need to be included (plus associated budget from WP1-4) in this 'Investment Work Package'.

From the UIA guidance:

'Investment' refers to a project output that remains in use by the project's target group after the completion of the project. In line with Article 3 ERDF, productive investments, investments in infrastructure and fixed investments in equipment are among the types of activities that can be supported by UIA.

Items that should go into this WP include: "a project output that remains in use by the project's target group after the completion of the project" e.g. investment in infrastructure, fixed investments in equipment.

Overview of USE-IT project structure



Equality Analysis

Birmingham City Council Analysis Report

| | |
|--------------------------------|--|
| EA Name | URBAN INNOVATIVE ACTIONS |
| Directorate | Place |
| Service Area | Districts |
| Type | New/Proposed Function |
| EA Summary | The programme aims to unlock social and economic potential to mitigate poverty in Ladywood and Soho and across into Sandwell MBC |
| Reference Number | EA001241 |
| Task Group Manager | Chris.Jordan@birmingham.gov.uk |
| Task Group Member | |
| Date Approved | 2016-03-18 00:00:00 +0000 |
| Senior Officer | ifor.jones@birmingham.gov.uk |
| Quality Control Officer | PlaceEAQualityControl@birmingham.gov.uk |

Introduction

The report records the information that has been submitted for this equality analysis in the following format.

Overall Purpose

This section identifies the purpose of the Policy and which types of individual it affects. It also identifies which equality strands are affected by either a positive or negative differential impact.

Relevant Protected Characteristics

For each of the identified relevant protected characteristics there are three sections which will have been completed.

- Impact
- Consultation
- Additional Work

If the assessment has raised any issues to be addressed there will also be an action planning section.

The following pages record the answers to the assessment questions with optional comments included by the assessor to clarify or explain any of the answers given or relevant issues.

1 Activity Type

The activity has been identified as a New/Proposed Function.

2 Overall Purpose

2.1 What the Activity is for

| | |
|---|--|
| What is the purpose of this Function and expected outcomes? | <p>The purpose of this function is to help unlock social and economic innovation. The focus of the function is poverty, which has cross cutting causes, including, educational attainment, skills and systemic system failures.</p> <p>Target outcomes include:</p> <ul style="list-style-type: none">-co produced innovation to create links between growth opportunities and social and economic inclusion;-more local people accessing local jobs;-coordination of the economic and social inclusion potential between key partners eg: Universities, Hospital Trust, Third Sector and Local Authorities. |
|---|--|

For each strategy, please decide whether it is going to be significantly aided by the Function.

| | |
|---------------------------|-----|
| Public Service Excellence | Yes |
| A Fair City | Yes |
| A Prosperous City | Yes |
| A Democratic City | Yes |

2.2 Individuals affected by the policy

| | |
|---|-----|
| Will the policy have an impact on service users/stakeholders? | Yes |
| Will the policy have an impact on employees? | Yes |
| Will the policy have an impact on wider community? | Yes |

2.3 Analysis on Initial Assessment

The UIA is a new EU initiative aimed at driving innovation in 'Sustainable Urban Development', launched in January 2016.

The target area is defined by the transect of growth from Icknield Port Loop to the new Sandwell and West Birmingham Hospital in Sandwell. Adjacent neighbourhoods in Ladywood, Soho and Smethwick.

The target neighbourhoods experience entrenched poverty, due to social and economic exclusion.

The Urban Innovative Action proposal is to align the function of key partners (academic; private; public and third sector) to tackle this poverty, co producing innovative solutions to unlock and build civil capacity and resilience in neighbourhoods.

The function of the UIA will positively impact on the communities and organisations providing services in the target area.

The development time for the UIA proposal has been extremely limited and several Partnership meetings have been held over the last month to structure the principles of the UIA approach.

Detailed local consultation will begin, if Cabinet give permission to bid for this EU funding.

3.1 Age

3.1.1 Age - Differential Impact

| | |
|-----|----------|
| Age | Relevant |
|-----|----------|

3.1.2 Age - Impact

| | |
|---|---|
| Describe how the Function meets the needs of Individuals of different ages? | Statutory/non statutory training and work programmes are available differentially and variously across age ranges. The UIA will coordinate a cross referral of clients between agencies, to create a coherent offer of support for local people of all ages seeking training and employment. |
| Do you have evidence to support the assessment? | Yes |
| Please record the type of evidence and where it is from? | Complexity of service offer and experience from the Learning Works approach in Smethwick. |
| Have you received any other feedback about the Function in meeting the needs of Individuals of different ages? | Yes |
| <u>Comment</u> The Learning Works Project in Smethwick has evidence of the barriers facing people of all ages in the area. | |
| Please record the nature of such feedback. | Fragmentation of initiatives for eg: 16-24 years, also little support for mid age job changers/return to work/ migrants seeking to transfer skills and adapt to opportunities. |
| You may have evidence from more than one source. If so, does it present a consistent view? | Yes |
| Is there anything about the Function and the way it affects Individuals of different ages which needs highlighting? | No |

3.1.3 Age - Consultation

| | |
|--|---|
| Have you obtained the views of Individuals of different ages on the impact of the Function? | No |
| If not, why not? | There are plans to consult relevant individuals |
| Have you obtained the views of relevant stakeholders on the impact of the Function on Individuals of different ages? | Yes |
| If so, how did you obtain these views? | Learning Works research and evaluation of services. |
| Is there anything about the Function and the way it affects Individuals of different ages which needs highlighting? | No |

3.1.4 Age - Additional Work

| | |
|--|--|
| Do you need any more information to complete the assessment? | Yes |
| Please explain how individuals may be impacted. | Further consultation with partners and local community to be completed if permission to bid is approved. |

| | |
|--|--|
| Please explain how. | Further consultation with partners and local community to be completed if permission to bid is approved. |
| Please explain what information you need. | Further consultation with partners and local community to be completed if permission to bid is approved. |
| Is there any more work you feel is necessary to complete the assessment? | Yes |
| Do you think that the Function has a role in preventing Individuals of different ages being treated differently, in an unfair or inappropriate way, just because of their age? | Yes |
| Please explain what work needs to be done. | Further consultation with partners and local community to be completed if permission to bid is approved. |
| Do you think that the Function could help foster good relations between persons who share the relevant protected characteristic and persons who do not share it? | Yes |

3.2 Disability

3.2.1 Disability - Differential Impact

| | |
|------------|----------|
| Disability | Relevant |
|------------|----------|

3.2.2 Disability - Impact

| | |
|---|--|
| Describe how the Function meets the needs of Individuals with a disability? | Partnership dialogue has focussed on the existing systems and services available to people with protected characteristics. |
| Do you have evidence to support the assessment? | Yes |
| Please record the type of evidence and where it is from? | UoB and Learning Works research and anecdotal evidence from key agencies. |
| Have you received any other feedback about the Function in meeting the needs of Individuals with a disability? | Yes |
| Please record the nature of such feedback. | UoB and Learning Works research and anecdotal evidence from key agencies. |
| You may have evidence from more than one source. If so, does it present a consistent view? | Yes |
| Is there anything about the Function and the way it affects Individuals with a disability which needs highlighting? | No |

3.2.3 Disability - Consultation

| | |
|--|--|
| Have you obtained the views of Individuals with a disability on the impact of the Function? | No |
| If not, why not? | There are plans to consult relevant individuals |
| Have you obtained the views of relevant stakeholders on the impact of the Function on Individuals with a disability? | Yes |
| If so, how did you obtain these views? | Partnership dialogue, re existing systems and services available to people with protected characteristics. |
| Is there anything about the Function and the way it affects Individuals with a disability which needs highlighting? | No |

3.2.4 Disability - Additional Work

| | |
|--|---|
| Do you need any more information to complete the assessment? | Yes |
| Please explain how individuals may be impacted. | We need to understand real barriers including policy and structural issues affecting opportunity. |
| Please explain how. | Community researchers will be recruited from the area, including full consideration of the Equality Duty. |
| Please explain what information you need. | Further analysis, which will be done as part of UIA. |
| Is there any more work you feel is necessary to complete the assessment? | Yes |

| | |
|---|---|
| Do you think that the Function has a role in preventing Individuals with a disability being treated differently, in an unfair or inappropriate way, just because of their disability? | Yes |
| Please explain what work needs to be done. | Further analysis, which will be done as part of UIA |
| Do you think that the Function could help foster good relations between persons who share the relevant protected characteristic and persons who do not share it? | Yes |
| Do you think that the Function will take account of disabilities even if it means treating Individuals with a disability more favourably? | Yes |
| Do you think that the Function could assist Individuals with a disability to participate more? | Yes |
| Do you think that the Function could assist in promoting positive attitudes to Individuals with a disability? | Yes |

3.3 Religion or Belief

3.3.1 Religion or Belief - Differential Impact

| | |
|--------------------|----------|
| Religion or Belief | Relevant |
|--------------------|----------|

3.3.2 Religion or Belief - Impact

| | |
|---|--|
| Describe how the Function meets the needs of Individuals of different religions or beliefs? | The UIA approach will help co produce evidence and solutions with protected characteristics, including faith and religion. |
| Do you have evidence to support the assessment? | Yes |
| Please record the type of evidence and where it is from? | This is the rationale for the UIA proposal. |
| Have you received any other feedback about the Function in meeting the needs of Individuals of different religions or beliefs? | Yes |
| Please record the nature of such feedback. | Anecdotal evidence from partners involved in developing the proposal. |
| You may have evidence from more than one source. If so, does it present a consistent view? | Yes |
| Is there anything about the Function and the way it affects Individuals of different religions or beliefs which needs highlighting? | No |

3.3.3 Religion or Belief - Consultation

| | |
|--|--|
| Have you obtained the views of Individuals of different religions or beliefs on the impact of the Function? | No |
| If not, why not? | There are plans to consult relevant individuals |
| Have you obtained the views of relevant stakeholders on the impact of the Function on Individuals of different religions or beliefs? | Yes |
| If so, how did you obtain these views? | Partnership dialogue during the development of the proposal. |
| Is there anything about the Function and the way it affects Individuals of different religions or beliefs which needs highlighting? | No |

3.3.4 Religion or Belief - Additional Work

| | |
|--|---|
| Do you need any more information to complete the assessment? | Yes |
| Please explain how individuals may be impacted. | The UIA approach will enable an understanding of the barriers faced by people with protected characteristics. |
| Please explain how. | The UIA will encourage cohesion through co production. |
| Please explain what information you need. | More local evidence. |
| Is there any more work you feel is necessary to complete the assessment? | Yes |

| | |
|---|----------------------|
| Do you think that the Function has a role in preventing Individuals of different religions or beliefs being treated differently, in an unfair or inappropriate way, just because of their religion or belief? | Yes |
| Please explain what work needs to be done. | More local analysis. |
| Do you think that the Function could help foster good relations between persons who share the relevant protected characteristic and persons who do not share it? | Yes |

3.4 Gender Reassignment

3.4.1 Gender Reassignment - Differential Impact

| | |
|---------------------|----------|
| Gender Reassignment | Relevant |
|---------------------|----------|

3.4.2 Gender Reassignment - Impact

| | |
|--|---|
| Describe how the Function meets the needs of Individuals who have undergone or are intending to undergo gender reassignment? | The function proposes one to one support for people seeking training and employment and will engage a range of specialist service providers to create a coherent service offer. |
| Do you have evidence to support the assessment? | No |
| Do you plan to collect any evidence? | Yes |
| What evidence will be collected and when? | Service user evidence from the collaborating service providers. |
| Have you received any other feedback about the Function in meeting the needs of Individuals who have undergone or are intending to undergo gender reassignment? | No |
| You may have evidence from more than one source. If so, does it present a consistent view? | Not applicable |
| Is there anything about the Function and the way it affects Individuals who have undergone or are intending to undergo gender reassignment which needs highlighting? | No |

3.4.3 Gender Reassignment - Consultation

| | |
|---|---|
| Have you obtained the views of Individuals who have undergone or are intending to undergo gender reassignment on the impact of the Function? | No |
| If not, why not? | There are plans to consult relevant individuals |
| Have you obtained the views of relevant stakeholders on the impact of the Function on Individuals who have undergone or are intending to undergo gender reassignment? | Yes |
| If so, how did you obtain these views? | Learning Works service providers. |
| Is there anything about the Function and the way it affects Individuals who have undergone or are intending to undergo gender reassignment which needs highlighting? | No |

3.4.4 Gender Reassignment - Additional Work

| | |
|--|---|
| Do you need any more information to complete the assessment? | Yes |
| Please explain how individuals may be impacted. | The UIA aims to promote inclusion and protect characteristics. |
| Please explain how. | The UIA aims to promote and create cohesion. |
| Please explain what information you need. | Detailed evidence gathering with relevant agencies and individuals. |
| Is there any more work you feel is necessary to complete the assessment? | Yes |

| | |
|---|---|
| Do you think that the Function has a role in preventing Individuals who have undergone or are intending to undergo gender reassignment being treated differently, in an unfair or inappropriate way, just because of their gender reassignment? | Yes |
| Please explain what work needs to be done. | Detailed discussion with relevant stakeholders. |
| Do you think that the Function could help foster good relations between persons who share the relevant protected characteristic and persons who do not share it? | Yes |

3.5 Gender

3.5.1 Gender - Differential Impact

| | |
|--------|----------|
| Gender | Relevant |
|--------|----------|

3.5.2 Gender - Impact

| | |
|---|---|
| Describe how the Function meets the needs of Men and women? | The UIA will support men and women in poverty. |
| Do you have evidence to support the assessment? | Yes |
| Please record the type of evidence and where it is from? | JCP statistics. |
| Have you received any other feedback about the Function in meeting the needs of Men and women? | Yes |
| Please record the nature of such feedback. | anecdotal evidence about women wanting to return to work. |
| You may have evidence from more than one source. If so, does it present a consistent view? | Yes |
| Is there anything about the Function and the way it affects Men and women which needs highlighting? | No |

3.5.3 Gender - Consultation

| | |
|--|--|
| Have you obtained the views of Men and women on the impact of the Function? | No |
| If not, why not? | There are plans to consult relevant individuals |
| Have you obtained the views of relevant stakeholders on the impact of the Function on Men and women? | Yes |
| If so, how did you obtain these views? | Learning works and UoB research, partnership dialogue. |
| Is there anything about the Function and the way it affects Men and women which needs highlighting? | No |

3.5.4 Gender - Additional Work

| | |
|---|--|
| Do you need any more information to complete the assessment? | No |
| Please explain how individuals may be impacted. | There is evidence that women face disproportionate barriers due to child care costs etc. |
| Is there any more work you feel is necessary to complete the assessment? | No |
| Do you think that the Function has a role in preventing Men and women being treated differently, in an unfair or inappropriate way, just because of their gender? | Yes |

3.6 Marriage Civil Partnership

3.6.1 Marriage Civil Partnership - Differential Impact

| | |
|-------------------------------|----------|
| Marriage & Civil Partnership. | Relevant |
|-------------------------------|----------|

3.6.2 Marriage Civil Partnership - Impact

| | |
|--|---|
| Describe how the Function meets the needs of Individuals who are married or in civil partnerships? | The UIA supports people in poverty. |
| Please give more information about the contradictory evidence. | We need more analysis, which will be done if permission to bid is approved. |
| Do you have evidence to support the assessment? | No |
| Do you plan to collect any evidence? | Yes |
| What evidence will be collected and when? | The impact of work support programmes on people who are married or in civil partnerships. |
| Have you received any other feedback about the Function in meeting the needs of Individuals who are married or in civil partnerships? | Yes |
| Please record the nature of such feedback. | Civil partnership rights are not equal and this exacerbates poverty. |
| You may have evidence from more than one source. If so, does it present a consistent view? | No |
| Is there anything about the Function and the way it affects Individuals who are married or in civil partnerships which needs highlighting? | No |

3.6.3 Marriage Civil Partnership - Consultation

| | |
|---|---|
| Have you obtained the views of Individuals who are married or in civil partnerships on the impact of the Function? | No |
| If not, why not? | There are plans to consult relevant individuals |
| Have you obtained the views of relevant stakeholders on the impact of the Function on Individuals who are married or in civil partnerships? | Yes |
| If so, how did you obtain these views? | Learning Works anecdotal evidence. |
| Is there anything about the Function and the way it affects Individuals who are married or in civil partnerships which needs highlighting? | No |

3.6.4 Marriage Civil Partnership - Additional Work

| | |
|--|--|
| Do you need any more information to complete the assessment? | Yes |
| Please explain how individuals may be impacted. | Understanding structural/policy barriers that inhibit parity. |
| Please explain how. | Collaboration will improve cohesion. |
| Please explain what information you need. | Further analysis and evidence will be collated during the development phase. |
| Is there any more work you feel is necessary to complete the assessment? | Yes |

| | |
|--|--|
| Do you think that the Function has a role in preventing Individuals who are married or in civil partnerships being treated differently, in an unfair or inappropriate way, just because of their marriage civil partnership? | Yes |
| Please explain what work needs to be done. | Further analysis and evidence will be collated during the development phase. |
| Do you think that the Function could help foster good relations between persons who share the relevant protected characteristic and persons who do not share it? | Yes |

3.7 Pregnancy And Maternity

3.7.1 Pregnancy And Maternity - Differential Impact

| | |
|-----------------------|----------|
| Pregnancy & Maternity | Relevant |
|-----------------------|----------|

3.7.2 Pregnancy And Maternity - Impact

| | |
|--|---|
| Describe how the Function meets the needs of Pregnant women or those who are on maternity leave? | The UIA will help understand the barriers affecting pregnant women and new mothers in retaining/gaining employment. |
| Do you have evidence to support the assessment? | Yes |
| Please record the type of evidence and where it is from? | Anecdotal, eg; Learning Works. |
| Have you received any other feedback about the Function in meeting the needs of Pregnant women or those who are on maternity leave? | Yes |
| Please record the nature of such feedback. | Learning Works and UoB research/anecdotal evidence. |
| You may have evidence from more than one source. If so, does it present a consistent view? | Yes |
| Is there anything about the Function and the way it affects Pregnant women or those who are on maternity leave which needs highlighting? | No |

3.7.3 Pregnancy And Maternity - Consultation

| | |
|---|---|
| Have you obtained the views of Pregnant women or those who are on maternity leave on the impact of the Function? | No |
| If not, why not? | There are plans to consult relevant individuals |
| Have you obtained the views of relevant stakeholders on the impact of the Function on Pregnant women or those who are on maternity leave? | Yes |
| If so, how did you obtain these views? | Learning Works and UoB research and anecdotal evidence. |
| Is there anything about the Function and the way it affects Pregnant women or those who are on maternity leave which needs highlighting? | No |

3.7.4 Pregnancy And Maternity - Additional Work

| | |
|--|--|
| Do you need any more information to complete the assessment? | Yes |
| Please explain how individuals may be impacted. | By understanding the structural and policy barriers that women face. |
| Please explain how. | Collaboration and coproduction of innovative solutions, eg radical childcare approaches. |
| Please explain what information you need. | Research will be undertaken during the development phase. |
| Is there any more work you feel is necessary to complete the assessment? | Yes |

| | |
|---|------------------------------|
| Do you think that the Function has a role in preventing Pregnant women or those who are on maternity leave being treated differently, in an unfair or inappropriate way, just because of their pregnancy and maternity? | Yes |
| Please explain what work needs to be done. | More comprehensive evidence. |
| Do you think that the Function could help foster good relations between persons who share the relevant protected characteristic and persons who do not share it? | Yes |

3.8 Race

3.8.1 Race - Differential Impact

| | |
|------|----------|
| Race | Relevant |
|------|----------|

3.8.2 Race - Impact

| | |
|---|---|
| Describe how the Function meets the needs of Individuals from different ethnic backgrounds? | UIA will coproduced innovation with the diverse communities in the target area. |
| Do you have evidence to support the assessment? | Yes |
| Please record the type of evidence and where it is from? | Co production is fundamental to the UIA approach. |
| Have you received any other feedback about the Function in meeting the needs of Individuals from different ethnic backgrounds? | Yes |
| Please record the nature of such feedback. | Research from UoB and Learning Works. |
| You may have evidence from more than one source. If so, does it present a consistent view? | Yes |
| Is there anything about the Function and the way it affects Individuals from different ethnic backgrounds which needs highlighting? | No |

3.8.3 Race - Consultation

| | |
|--|--|
| Have you obtained the views of Individuals from different ethnic backgrounds on the impact of the Function? | No |
| If not, why not? | There are plans to consult relevant individuals |
| Have you obtained the views of relevant stakeholders on the impact of the Function on Individuals from different ethnic backgrounds? | Yes |
| If so, how did you obtain these views? | Partnership dialogue, research and anecdotal evidence. |
| Is there anything about the Function and the way it affects Individuals from different ethnic backgrounds which needs highlighting? | No |

3.8.4 Race - Additional Work

| | |
|--|--|
| Do you need any more information to complete the assessment? | No |
| Please explain how individuals may be impacted. | co produced evidence will help trial innovative approaches to inclusion, which sensitive to protected characteristics, including race. |
| Is there any more work you feel is necessary to complete the assessment? | Yes |
| Do you think that the Function has a role in preventing Individuals from different ethnic backgrounds being treated differently, in an unfair or inappropriate way, just because of their ethnicity? | Yes |

| | |
|--|------------------------------------|
| Please explain what work needs to be done. | Desk research to analyse evidence. |
| Do you think that the Function could help foster good relations between persons who share the relevant protected characteristic and persons who do not share it? | No |

3.9 Sexual Orientation

3.9.1 Sexual Orientation - Differential Impact

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|--------------------|----------|
| Sexual Orientation | Relevant |
|--------------------|----------|

3.9.2 Sexual Orientation - Impact

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|--|--|
| Describe how the Function meets the needs of Individuals of different sexual orientations? | The UIA co production approach will identify needs of people with protected characteristics, including sexual orientation. |
| Do you have evidence to support the assessment? | No |
| Do you plan to collect any evidence? | Yes |
| What evidence will be collected and when? | Service providers and partners will collect evidence as per Equality Duty. |
| Have you received any other feedback about the Function in meeting the needs of Individuals of different sexual orientations? | No |
| You may have evidence from more than one source. If so, does it present a consistent view? | Not applicable |
| Is there anything about the Function and the way it affects Individuals of different sexual orientations which needs highlighting? | No |

3.9.3 Sexual Orientation - Consultation

| | |
|---|---|
| Have you obtained the views of Individuals of different sexual orientations on the impact of the Function? | No |
| If not, why not? | There are plans to consult relevant individuals |
| Have you obtained the views of relevant stakeholders on the impact of the Function on Individuals of different sexual orientations? | Yes |
| If so, how did you obtain these views? | Learning Works anecdotal evidence. |
| Is there anything about the Function and the way it affects Individuals of different sexual orientations which needs highlighting? | No |

3.9.4 Sexual Orientation - Additional Work

| | |
|--|--|
| Do you need any more information to complete the assessment? | Yes |
| Please explain how individuals may be impacted. | The UIA approach will identify barriers affecting people with protected characteristics. |
| Please explain what information you need. | More local information. |
| Is there any more work you feel is necessary to complete the assessment? | Yes |
| Do you think that the Function has a role in preventing Individuals of different sexual orientations being treated differently, in an unfair or inappropriate way, just because of their sexual orientation? | Yes |
| Please explain what work needs to be done. | More local analysis. |

Do you think that the Function could help foster good relations between persons who share the relevant protected characteristic and persons who do not share it?

No

3.10 Concluding Statement on Full Assessment

This is a brand new programme inviting innovative projects that test new place-based approaches to urban poverty with a focus on deprived urban neighbourhoods.

The proposal aims to deal with the interconnectedness of a number of causal factors that contribute towards cyclical poverty.

The systematic co production approach to unlocking potential, will focus on policy and service coherence, in the context of the barriers people with protected characteristics face.

4 Review Date

01/04/17

5 Action Plan

There are no relevant issues, so no action plans are currently required.

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| Report to | CABINET | 3 & 4 |
| Report of: Date of Decision: | Strategic Director for Finance and Legal Services | |
| SUBJECT: | EQUAL PAY AND TUPE – SCHOOLS | |
| Key Decision: Yes | Relevant Forward Plan Ref: | |
| If not in the Forward Plan: (please "X" box) | Chief Executive approved <input type="checkbox"/> O&S Chairman approved <input type="checkbox"/> | |
| Relevant Cabinet Member(s): | Councillor John Clancy, Councillor Ian Ward | |
| Relevant O&S Chairman: | | |
| Wards affected: | ALL | |

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|---|
| LATE REPORT |
| * To be completed for all late reports, ie. which cannot be despatched with the agenda papers ie. 5 clear working days notice before meeting. |
| <p>Reasons for Lateness Conclusion of negotiations regarding TUPE transfer in maintained Schools.</p> <p>Reasons for Urgency Proposed dates of transfer of staff from relevant schools to take place on 1 April 2016.</p> |

BIRMINGHAM CITY COUNCIL

PUBLIC REPORT

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|---|---|----------------|
| Report to: | CABINET | <i>3 and 4</i> |
| Report of: Date of Decision: | Strategic Director for Finance and Legal Services 22 March 2016 | |
| SUBJECT: | EQUAL PAY AND TUPE – SCHOOLS | |
| Key Decision: Yes | Relevant Forward Plan Ref: not on forward plan | |
| If not in the Forward Plan: (please "X" box) | Chief Executive approved <input checked="" type="checkbox"/> O&S Chairman approved <input checked="" type="checkbox"/> | |
| Relevant Cabinet Member | Councillor John Clancy, Councillor Ian Ward | |
| Relevant O&S Chairman: | Councillor Waseem Zaffar | |
| Wards affected: | ALL | |

| |
|--|
| 1. Purpose of report: |
| <p>1.1 The two reports - public and private - must be read together, as this private report does <u>not</u> repeat information contained in the public report.</p> <p>1.2 This report sets out matters relating to equal pay and TUPE.</p> <p>1.3 This matter was not included in the Forward Plan because consideration is required as matter of urgency due to proposals as to TUPE transfer with effect from 1 April 2016.</p> <p>The Equal Pay Cabinet Sub Group includes the Leader, the Deputy Leader and the Chief Executive.</p> <p><i>* To be completed where a key decision was not included in the Forward Plan</i></p> |

| |
|---------------------------------------|
| 2. Decision(s) recommended: |
| That the Cabinet:- |
| 2.1 Note the contents of this report. |
| |

| | |
|--|---|
| Lead Contact Officer(s): | Jon Warlow |
| Telephone No: E-mail address: | 0121 303 2950 Jon.warlow@birmingham.gov.uk |

| |
|------------------------|
| 3. Consultation |
|------------------------|

Consultation should include those that have an interest in the decisions recommended

3.1 Internal

The relevant Cabinet Members, the Leader and relevant Corporate Officers have been consulted. Officers from finance and legal have been involved in the preparation of this report as appropriate.

3.2 External

No external consultation is required.

4. Compliance Issues:

4.1 Are the recommended decisions consistent with the Council's policies, plans and strategies?

The recommended decision is consistent with the Council's current strategy as to Equal Pay as set out in a report to Cabinet in July 2014.

4.2 Financial Implications
(Will decisions be carried out within existing finance and Resources?)

The proposals in the Private report do not create any additional liabilities over and above those already assumed within the financial provision for 2015/16.

4.3 Legal Implications

The effect of Transfer of Undertakings Protection of Employment Regulations 1996 (TUPE) work so as to protect the rights of the employee to the extent that it provides for the contracts of employees made with the transferor (the old employer) to be treated 'post transfer' as if they had always been made with the transferee(the new employer). All of the old employers "rights, powers, duties and liabilities, under or in connection with" the transferring employees' contracts pass to the new employer unless alternative provision is made.

4.4 Public Sector Equality Duty (see separate guidance note)

The litigation risk of the different groups of equal pay claims is kept under review.

5. Relevant background/chronology of key events:

The effect of Transfer of Undertakings Protection of Employment Regulations 1996 (TUPE) work so as to protect the rights of the employee to the extent that it provides for the contracts of employees made with the transferor (the old employer) to be treated 'post transfer' as if they had always been made with the transferee(the new employer). All of the old employers "rights, powers, duties and liabilities, under or in connection with" the transferring employees' contracts pass to the new employer unless alternative provision is made.

The Private report considers the implications of equal pay in the event of a TUPE transfer from Schools to a new employer.

6. Evaluation of alternative option(s):

As per Private report

7. Reasons for Decision(s):

To manage any potential liability facing the Council in respect of equal pay claims issued against the Council.

Signatures**Date**

Cabinet Member

.....

Chief Officer

.....

List of Background Documents used to compile this Report: NONE

List of Appendices accompanying this Report (if any): None

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|-----------------------|-------------------|--------------|-----------------------|
| Report Version | <u>v.2</u> | Dated | <u>18/3/16</u> |
|-----------------------|-------------------|--------------|-----------------------|