BIRMINGHAM CITY COUNCIL

CABINET

TUESDAY, 14 FEBRUARY 2023 AT 10:00 HOURS
IN COMMITTEE ROOMS 3 & 4, COUNCIL HOUSE, VICTORIA SQUARE, BIRMINGHAM, B1 1BB

A G E N D A

1 NOTICE OF RECORDING/WEBCAST

The Chair to advise/meeting to note that this meeting will be webcast for live or subsequent broadcast via the Council's meeting You Tube site (www.youtube.com/channel/UCT2kT7ZRPFCXq6_5dnVnYlw) and that members of the press/public may record and take photographs except where there are confidential or exempt items.

2 APOLOGIES

To receive any apologies.

3 DECLARATIONS OF INTERESTS

Members are reminded they must declare all relevant pecuniary and other registerable interests arising from any business to be discussed at this meeting.

If a disclosable pecuniary interest is declared a Member must not participate in any discussion or vote on the matter and must not remain in the room unless they have been granted a dispensation.

If other registerable interests are declared a Member may speak on the matter only if members of the public are allowed to speak at the meeting but otherwise must not take part in any discussion or vote on the matter and must not remain in the room unless they have been granted a dispensation.

If it is a ‘sensitive interest’, Members do not have to disclose the nature of the interest, just that they have an interest.

Information on the Local Government Association's Model Councillor Code of Conduct is set out via http://bit.ly/3WtGQnN. This includes, at Appendix 1, an interests flowchart which provides a simple guide to declaring interests at meetings.

5 - 24

4 **MINUTES**

To confirm and sign the Minutes of the meeting held on the 17 January 2023.

5 **EXEMPT INFORMATION – POSSIBLE EXCLUSION OF THE PRESS AND PUBLIC**

a) To highlight reports or appendices which officers have identified as containing exempt information within the meaning of Section 100I of the Local Government Act 1972, and where officers consider that the public interest in maintaining the exemption outweighs the public interest in disclosing the information, for the reasons outlined in the report.
b) To formally pass the following resolution:-
RESOLVED – That, in accordance with Regulation 4 of the Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012, the public be excluded from the meeting during consideration of those parts of the agenda designated as exempt on the grounds that it is likely, in view of the nature of the business to be transacted or the nature of the proceedings, that if members of the press and public were present there would be disclosure to them of exempt information.

25 - 62

6 **OUTLINE BUSINESS CASE FOR THE COMMONWEALTH GAMES LEGACY PROGRAMME**

Report of Director for Adult Social Care

63 - 110

7 **FINANCIAL MONITORING REPORT QUARTER 3 2022/23**

This report is from Director of Council Management

111 - 372

8 **DRAFT FINANCIAL PLAN 2023-2027**

This report is from Director of Council Management

373 - 408

9 **PREVENTION AND COMMUNITIES GRANTS PROGRAMME RECOMMISSIONING**

Report of Director for Adult Social Care

409 - 448

10 **GRANT FUNDING EXTENSION TO THE ACTIVE WELLBEING SOCIETY FOR FUTURE PHYSICAL ACTIVITY INTERVENTIONS**

Report of the Strategic Director - City Operations

449 - 466 11 **MARKET SUSTAINABILITY AND FAIR COST OF CARE FUND DISTRIBUTION**

Report of Strategic Director for Adult Social Care

467 - 490 12 **FULL BUSINESS CASE AND RECOMMENDED CONTRACT AWARD FOR THE CAPITAL SCHEME AT NORTH BIRMINGHAM ACADEMY**

Report of Strategic Director for Children & Families

491 - 536 13 **ADMISSION ARRANGEMENTS AND PUBLISHED ADMISSION NUMBERS FOR MAINTAINED AND VOLUNTARY CONTROLLED SCHOOLS AND THE LOCAL AUTHORITY CO-ORDINATED ADMISSIONS SCHEME 2024/2025**

Report of Strategic Director for Children & Families

537 - 572 14 **CHILDREN'S TRAVEL SERVICE TRANSPORT PROCUREMENT STRATEGY**

Report of Strategic Director for Children & Families

573 - 594 15 **HOUSING REVENUE ACCOUNT - RENT SETTING 2023-2024**

Report of Acting Strategic Director - City Housing

595 - 604 16 **HOMELESSNESS PREVENTION GRANT WINTER 2022-2023**

Report of Acting Strategic Director - City Housing

605 - 656 17 **LOCAL AUTHORITY HOUSING FUND (LAHF) GRANT TO SUPPORT THE ACQUISITION OF ACCOMMODATION FOR AFGHAN CITIZENS AND UKRAINIAN GUESTS**

Report of Acting Strategic Director - City Housing

657 - 730 18 **HACKNEY CARRIAGE AND PRIVATE HIRE LICENSING POLICY**

Report of Strategic Director of City Operations

731 - 736 19 **MIDLANDS ARTS CENTRE**

Report of the

737 - 742 20 **APPOINTMENTS TO OUTSIDE BODIES**

Report of the City Solicitor.

743 - 760 21 **KEY DECISION PLANNED PROCUREMENT ACTIVITIES (MARCH 2023 – MAY 2023) AND QUARTERLY CONTRACT AWARD SCHEDULE (OCTOBER 2022 – DECEMBER 2022)**

Report of Assistant Director - Procurement

761 - 766

22 **NON KEY DECISION PLANNED PROCUREMENT ACTIVITIES AND QUARTERLY CONTRACT AWARD SCHEDULE (OCTOBER 2022 – DECEMBER 2022)**

Report of Assistant Director - Procurement

767 - 850

23 **RESPONSE TO INDEPENDENT REVIEW OF BIRMINGHAM SPECIAL EDUCATIONAL NEEDS AND DISABILITY INFORMATION, ADVICE AND SUPPORT SERVICE (SENDIASS)**

Report of Strategic Director for Children & Families

24 **OTHER URGENT BUSINESS**

To consider any items of business by reason of special circumstances (to be specified) that in the opinion of the Chair are matters of urgency.

BIRMINGHAM CITY COUNCIL

CABINET MEETING
TUESDAY, 17 JANUARY 2023

MINUTES OF A MEETING OF THE CABINET COMMITTEE HELD ON TUESDAY 17 JANUARY 2023 AT 1000 HOURS IN COMMITTEE ROOMS 3&4, COUNCIL HOUSE, VICTORIA SQUARE, BIRMINGHAM, B1 1BB

PRESENT: -

Councillor Liz Clements, Cabinet Member for Transport
Councillor John Cotton, Cabinet Member for Social Justice, Community Safety and Equalities
Councillor Jayne Francis, Cabinet Member for Digital, Culture, Heritage and Tourism
Councillor Brigid Jones, Deputy Leader of the City Council
Councillor Mariam Khan, Cabinet Member for Health and Social Care
Councillor Majid Mahmood, Cabinet Member for Environment
Councillor Karen McCarthy, Cabinet Member for Children, Young People and Families
Councillor Yvonne Mosquito, Cabinet Member for Finance and Resources
Councillor Sharon Thompson, Cabinet Member for Housing and Homelessness (joined online)
Councillor Ian Ward, Leader of the City Council

ALSO PRESENT:-

Councillor Robert Alden, Leader of the Opposition (Conservative)
Councillor Jon Hunt, Leader of the Opposition (Liberal Democrat)
Councillor Ewan Mackey, Deputy Leader of the Opposition (Conservative)
Professor Graeme Betts, Director, Adult Social Care (DASS)
Deborah Cadman, Chief Executive
Guy Chaundy, Acting Assistant Director, Housing Strategy (online)
Paul Clarke, Assistant Director (Programmes, Performance and Improvement)
Robert Connelly, Assistant Director, Governance (Deputy Monitoring Officer)
Phil Edwards, Assistant Director
Tim Gray, Project Manager, Housing (online)
Stephen (Online)
John Hardy, Commissioning Manager, Adult Social Care (Online)
Susan Harrison, Director for Children and Families, BCC
Paul Kitson, Strategic Director, Place, Prosperity and Sustainability
Paul Langford, Interim Director, Housing Management
Sajeela Naseer, Director of Regulation and Enforcement
Mary Orhewere, Assistant Director, Public Health (Online)
Sara Pitt, Director of Finance (Deputy Section 151 Officer), Council Management Directorate
Steve Sandercock, Assistant Director, Procurement (online)
Tony Smith, Policy Executive, Finance and Governance
Mark Wiltshire, Interim Director, City Operations

Errol Wilson, Committee Services

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NOTICE OF RECORDING/WEBCAST

56. The Chair welcomed attendees and advised, and the Committee noted, that this meeting will be webcast for live or subsequent broadcast via the Council's meeting You Tube site (www.youtube.com/channel/UCT2kT7ZRPFCXq6_5dnVnYlw) and that members of the press/public may record and take photographs except where there are confidential or exempt items.

APOLOGIES

57. Apologies for absence were submitted on behalf of Janie Berry (but Robert Connelly as substitute), Andy Couldrick, Dr Justin Varney and Darren Hockaday.

DECLARATIONS OF INTERESTS

58. The Chair reminded Members that they must declare all relevant pecuniary and other registerable interests arising from any business to be discussed at the meeting.

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Any declarations will be recorded in the minutes of the meeting.

The Chair then declared his pecuniary interest in the items relating to SEND/SENDIASS but was advised by the legal officer present at the meeting that he was not required to leave the room.

MINUTES

59. **RESOLVED: -**

The Minutes of the meeting held on 13 December 2022, having been previously circulated, were confirmed and signed by the Chair.

Councillor Robert Alden, Leader of the Opposition (Con) requested that before Cabinet moved onto the substantive items that in view of the emails received in relation to the Low Traffic Neighbourhood (LTN) i.e. *Active Travel Fund Tranche 2 – Package 2 : Kings Heath and Moseley Places for People Outline Business Case* at item 13 and stated that one of the request from residents was that item 13 be considered before item 12 *Clean Air Zone revenues – update on revenues forecast and allocation of net surplus revenues* – a request that these be flipped around as the idea was that residents wanted the Council to make decision on whether or not they proceeded with it before the money was allocated.

The Chair commented that that made sense.

Councillor Liz Clements, Cabinet Member for Transport advised that the reason the items 12 and 13 were in that order was that within the report the use of the Clean Air Zone surplus revenues was an allocation of the following report and that was the reason she had requested that the reports were in that order on the Agenda.

The Chair questioned whether the idea was to agree the money before moving on to consider the preposition. Councillor Clements advised that this relates to the recommendation in the report at item 12 and requested that the order the reports appeared on the Agenda be followed.

EXEMPT INFORMATION – POSSIBLE EXCLUSION OF THE PRESS AND PUBLIC

The Chair advised that the report at Agenda items 6, 19 and 20 contained exempt appendices within the meaning of Section 100I of the Local Government Act 1972.

The Chair then enquired whether there were any matters that Members would like to raise on the exempt appendix that may affect the decision to be made or to ask for clarification on a point on the exempt appendix.

It was noted that Members wished to raised matters in relation to the exempt appendices at item 6, the Chair advised that Cabinet would go into private session at the end of the meeting to consider item 6 and he would formally move the resolution on the Agenda under item 5 to take Cabinet into private session. Cabinet will then return to public session to consider the recommendations.

60. **RESOLVED:**–

That, in accordance with Regulation 4 of the Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012, the public be excluded from the meeting during consideration of those

parts of the agenda designated as exempt on the grounds that it is likely, in view of the nature of the business to be transacted or the nature of the proceedings, that if members of the press and public were present there would be disclosure to them of exempt information.

BUSINESS RATES INCOME 2023/24

Councillor Yvonne Mosquito, Cabinet Member for Finance and Resources introduced the item and drew the attention of Committee to the information contained in the report highlighting the key points.

(See document No. 1)

It was

61. RESOLVED: -

That Cabinet approved the 2023/24 Business Rates income for Birmingham as shown in Appendix 1 to the report.

FINANCIAL MONITORING REPORT 2022/23

Councillor Yvonne Mosquito, Cabinet Member for Finance and Resources presented the item and drew the attention of Cabinet to the information contained in the report highlighting the key points.

(See document No. 2)

In response to questions and comments raised by Councillor Robert Alden in relation to paragraphs 2.2; 2.3; 2.8; 2.9 and section 4 of the Appendix to the report, Councillor Karen McCarthy, Cabinet Member for Children, Young People and Families stated that this was something that was supported by Covid funding and therefore we were unpicking that and the process of transferring mainly the early help in Children services. Members will be aware of the issues in relation to the Children and Young People Travel Service. There was a particular issue around allocations. We had a programme of revising policy alongside driving cost down, but we hope to have some significant savings next year.

Sara Pitt, Director of Finance (Deputy Section 151 Officer) advised that in relation to the use of reserves for savings there was a budget reserve that was set up in order to recognised the delays around some of that and so we had requested the use of that. This was only used where we could see some of the delivery occurring, so we were confident around the time issue with the money coming out rather than no activity occurring but that she was happy to take Councillor Alden's comment forward.

In relation to Councillor Ewan Mackey's comment it was noted that he would be issued with a written response.

It was

62. RESOLVED: -

That Cabinet:-

1. Approved the use of £8.9m of the Budget Smoothing Reserve as set out in paragraph 4.5 to the report;

2. Noted that the Council faces a number of challenges in 2022/23. However, the Council is in a strong robust position with strong financial control processes in place, including the continued application of rigorous spend controls. Reserves are healthy and within recommended limits;

3. Noted the forecast Capital spend is £663.5m a reduction of £13.0m from Month 7, as set out in paragraphs 4.6 to 4.11 to the report;

4. Noted the Treasury Management position, as set out in paragraphs 4.13 to 4.15 to the report; and

5. Approved a further use of £0.5m of the Financial Resilience Reserve (FRR) to fund the Festival 2023 if this is required. This is on top of the £1.5m approved by Cabinet on 23rd September 2022. It is anticipated that the FRR will not be required as the Council expects to be able to utilise funding from Commonwealth Games underspends.

COUNCIL TAX TAX-BASE FOR 2023/24

Councillor Yvonne Mosquito, Cabinet Member for Finance and Resources presented the item and drew the attention of Cabinet to the information contained in the report.

(See document No. 3)

It was

63. RESOLVED: -

That Cabinet:-

a. Approved a Council Tax base for Birmingham of 263,262 Band D equivalent properties, for 2023/24, as calculated in Appendix 2 to the report, in accordance with the Local Authorities (Calculation of Council Tax Base) (England) Regulations 2012;

b. Approved a Council Tax base for the New Frankley in Birmingham Parish Council of 1,373 Band D equivalent properties for 2023/24, as calculated in Appendix 3 to the report;

c. Approved a Council Tax base for the Royal Sutton Coldfield Town Council of 37,218 Band D equivalent properties for 2023/24, as calculated in Appendix 4 to the report; and

d. Noted that there are no changes to the current Council Tax Support Scheme in 2023/24.

PROPOSED BALSALL HEATH NEIGHBOURHOOD COUNCIL: OUTCOME OF CONSUTATIVE BALLOT AND NEXT STEPS

The Chair introduced the item and drew the attention of Cabinet to the information contained in the report highlighting the key points.

(See document No. 4)

In response to questions and comments the Chair made the following statements:-

- In respect of what they were going to do in continuing to engage with people, he had received representation from the independent chair of the Steering Group and that we will continue to work with them as we took forward some further engagement.

- They had argued that even if the 3% short of the threshold, even if all of the votes that made up the 3% had come in that would still had result in a vote in favour and had requested that confirmation be had that the Council would go ahead with this.

- Given that we did not meet the threshold and given the concerns expressed by the two Ward Councillors it was thought it was right and appropriate for further engagement and a further ballot on this. The Chair added that he understood that the Steering Group was disappointed in that, but that we would continue to work with them.

- In relation to setting up a shadow council, the Chair stated that he would be reluctant to go down that route before we ballot, and the ballot was returned as this would be *putting the cart before the horse.*

- We needed to go ahead in the way the recommendation had stated in the report. We needed to communicate more clearly that there would be a precept on the Council Tax if the Parish Council came into being. We also needed to carry out the second consultative ballot early enough that we could put things in place if there was a positive vote, the Parish Council would be setting up and levying that precept for the following financial year.

In relation to how many more ballots was received and the cost, Robert Connelly, Assistant Director, Governance (Deputy Monitoring Officer) advised that he had spoken with their suppliers yesterday to ask that specific question, but that they were unable to give an exact figure. It was merely a hand full. Regarding Councillor Mackey's query concerning the Christmas cards, it was

dependent on when those cards were posted. We needed to remember that everyone would have had their ballot paper by the 15/16 November and each constituent would have had at least 28 days in which to respond.
With regards to cost, the question of carrying out the ballot that would be within the region of £9k - £10k. There was also some government funding that we could tap into that could cover that cost but that he would confirm that with Councillor Alden outside the meeting.

It was

43. **RESOLVED: -**

That Cabinet:

i. Approved further information provision and engagement in the area to increase awareness of the proposal amongst residents and gather further evidence of the strength of support for it; and

ii. Approved a second consultative ballot of all electors in the area to be completed no later than the end of October 2023.

APPROVAL OF "SUPPORTED HOUSING STRATEGY: A FRAMEWORK FOR SHORT TERM SUPPORTED HOUSING (EXEMPT ACCOMMODATION)"

The Chair advised that Councillor Sharon Thompson, Cabinet Member for Housing and Homelessness had joined the meeting online and will present the report, but that under the regulations she would not be allowed to vote on the recommendations. Councillor Thompson then introduced the item and drew the attention of Cabinet to the information contained in the report highlighting the key points.

(See document No. 5)

In response to questions and comments Councillor Thompson and Guy Chaundy made the following statements:-

a. In relation to Councillor Hunt's comments we had already spoken to Councillor Sir Albert Bore about ensuring that this be kept on the workstream for Scrutiny in terms of Coordinating O&S Committee as it was cross departmental.
b. Councillor Thompson noted Councillor Robert Alden's suggested minor technical change under 1.5 section 9 of the background comments regarding the amended version of the Scrutiny Review and advised that she was happy for this to be amended to include the updated Scrutiny Review.
c. Regarding properties becoming available from exempt accommodations, the possibility of the Council purchasing them and converting them back into family housing, this would be in line with our Housing Strategy and will be exploring all possibilities.

d. Guy Chaundy, Acting Assistant Director, Housing Strategy advised that work had started in terms of bringing the delivery plan together and they were ensuring that that aligned with the Scrutiny piece as well.
e. We will be taking a paper to Scrutiny in March/April 2023 to give an update in terms of where we were at with the delivery plan and how it was aligned with the Scrutiny Review Action Plan.
f. We had funding to continue and City Council funding to deliver the oversight work for this year and we had a further two years slightly reduced funding up to 2025.
g. We were tweaking in terms of what we were committed to deliver aligned with those resources we were going to bring in for the next two years. A lot of what we put into the strategy was heavily reliant on the legislative that were before Parliament at the moment.
h. The delivery plan would be a live document as and when things changed that we needed to respond to.

The Chair advised that with the one change in the strategy we will amend that O&S to reflect what was approved by Full City Council.

It was

64. RESOLVED: -

That Cabinet:-

a. Approved the adoption and implementation of the draft Transitional Supported Housing Strategy: A framework for Short Term Supported Housing (Appendix 1) to the report;

b. Noted the outcome of the consultation as detailed at Appendix 1a to the report, which indicates strong support for the strategy priorities and objectives as the basis for setting the framework for change, alongside actions building upon learning gained whilst delivering its oversight on a national oversight pilot;

c. Approved that the (Interim) Strategic Director of City Housing establishes a multi-disciplinary Strategic Delivery Plan Group to undertake the development of a five-year Delivery Plan in conjunction with statutory and voluntary sector partners;

d. Approved that the (Interim) Strategic Director of City Housing will provide regular Delivery Plan updates to the Cabinet Member Housing and Homelessness and Cabinet as and when requested; and

e. Delegated local enforcement and decommissioning decisions of supported housing provision in the city, to an officer led Supported Housing Oversight Board. Oversight roles and functions will be set out within a specific terms of reference, including a clear process for briefing Cabinet and Cabinet Members in line with decision making thresholds of the BCC constitution. Membership will initially be drawn from the city's current Supported Housing Sponsor Board and allow for co-opting and

changes to be made, in order to ensure the relevant service areas leads are represented over the duration of the strategy.

CLEAN AIR ZONE REVENUES – UPDATE TO CABINET ON REVENUES FORECAST AND ALLOCATION OF NET SURPLUS REVENUES

Councillor Liz Clements, Cabinet Member for Transport presented the item and drew the attention of Cabinet to the information contained in the report.

(See document No. 6)

In response to questions and comments Councillor Liz Clements made the following statements:-

- Councillor Clements noted Councillor Hunt's statement on road safety and advised that a road safety assessment was done in Perry Barr on Monday 16th January 2023, and they will be looking at safe actions for people to cross the roads and where Councillor Hunt had pointed out into the entrance at One Stop Shopping Centre.

- This was the reason she was doing this job as we needed to transform the city to make it possible to walk and cycle and use public transport and driving. We needed to reverse that hierarchy that we had in the past that was always privileged driving.

- In terms of schools we had already agreed in a Cabinet report in 2021 that we were focussing on schools. What we were focussing on were car free schools streets and we were using the net surplus revenues for funding safe schemes.

- Councillor Clements urged everyone to work with her for this to be done in suitable locations as this was how we started to reduce the massive number of short journeys taking place and generated by the school run which was a good use of the money.

- In terms of the air quality monitors our objectives in the first place was to get an air quality monitor into schools and every Ward and we were quite close to that, and this was what we needed to push.

- Children were the most powerful advocate as it was a public health issue and was about children's health and ensuring that children were growing up in our city with healthy lungs and they were not going to have respiratory or cardiac issues in the future. It was all about focussing on schools and we have already made the decision about that.

- With regard to the equality impact assessment, this was attached to the report, and we have gone through tis and was satisfied with it. Again, the imperative for all of this was tackling public health in the inner city. The people who were most vulnerable to air pollution were children, the elderly and anyone who had respiratory problem.

- This was a major campaign that we needed to have, and we were tackling this in the way the city's fathers in the late 19th century tackled dirty water and slum housing. This was the reason we were taking this issue seriously.

- Councillor Clements noted the points raised by Councillor Alden and advised that the Executive was pursuing a strategy on clean air and the strategy was not just for CAZ. We made these decisions as we believe they were the right ones.

- Regarding the local clean air fund this was already agreed in the last Cabinet report in 2021 and as stated by Councillor Alden it was an allocation of £20k for single Member Wards and £40k for a two Member Wards.

- Officers were working on the guideline for the use of that expenditure as it has to be used in line with the clean air charging order. This guidance will be made available soon. The schemes would be developed with cooperation and advice from officers, and they needed to be schemes that promote better air quality.

  At this juncture, the Chair advised that in relation to the devolved money we were currently looking at the constitution in terms of putting some governance around what was now an increasing amount of money that was being devolved down to Ward lever in order to ensure that Elected Members were protected in the process of that in making recommendations for the spend of that money. This will be picked up in the small working group we have around the constitution. The Chair stated that we will be bringing proposals forward to fulfil the commitment we made to people in relation to Councillor Hunts point.

- Officers had advised that the whole programme will be submitted in a report in March for the Highways Capital Programme. She added that maybe there was not a school in Councillor Hunt's Ward that was working on a car free school street.

- We needed to get the schools signed up to a scheme called Mode Shift Stars and get them to look at something called a sustainable travel plan. Once they have done that they could move on to looking at the practicalities of the car free school street.

- This was a massive process because bringing in a car free school street was an extra management for the Headteacher and the staff of the school. This involved marshalling the traffic coming in at the beginning and end of the school day.

- There are currently 18 car free school streets across the city, and we wanted more. This was an area of work where it was important to have local councillors leading this in their roles as community campions and engaging with the schools.

Councillor Majid Mahmood, Cabinet Member for Environment commented that he was pleased that part of the surplus revenue would be used to support the operation of the dedicated route to zero programme. This includes a dedicated finance and bids lead and behaviour change and engagement lead which allowed the city to develop and deliver projects to increase the scale and pace of emission reduction etc.

It was

65. RESOLVED: -

That Cabinet:-

1. Approved the allocation of c. £8.250m net surplus revenues from the CAZ for the purposes of accelerating the delivery of schemes associated with the Birmingham Transport Plan, which was adopted by Cabinet on 12 October 2021;

2. Approved the allocation of c. £3.000m of net surplus revenues from the CAZ to incentivise the adoption of more active modes of travel (such as bikes) and public transport (more specifically bus use);

3. Approved the allocation of net surplus revenues from the CAZ, of up to £2.000m over two years, to support the work programme of the Council's 'Route to Zero' team;

4. Delegated approval of the FBCs and related reports, including any revised financial appraisal for the named schemes to the Strategic Director of Place, Prosperity & Sustainability in conjunction with the Director of Council Management and in consultation with the relevant portfolio holders; and

5. Authorised the City Solicitor and Monitoring Officer to execute, seal and complete all necessary documentation to give effect to the above recommendations.

ACTIVE TRAVEL FUND TRANCHE 2 – PACKAGE 2: KINGS HEATH AND MOSELEY PLACES FOR PEOPLE OUTLINE BUSINESS CASE

The Chair introduced that item and advised that all Cabinet Members have been receiving correspondence on these proposals both for and against over the last week or so. We all had opportunities to read all of those email correspondences as we had arguments both ways. The Chair then invited Councillor Liz Clements, Cabinet Member for Transport to present the report.

Councillor Clements drew the attention of Cabinet to the information contained in the report and highlighted the key points. She advised that the report had generated a lot of attention with emails from constituents and residents across the city. Councillor Clements highlighted that paragraphs 3.5 and 3.6 outlined the new scheme and was to the east of Kings Heath High Street. The report is seeking Cabinet approval for an outline business case.

(See document No. 7)

Members made the following statements:-

- ✓ Assurance was sought that the residents were in favour of the scheme.
- ✓ There was a huge amount of correspondence that had been received concerning the scheme the majority of which had raised valid concerns that needed to be considered by the Cabinet.
- ✓ Of concern was that the decision would be taken before the concerns of the residents were responded to by officers.
- ✓ In relation to the consultation document, 77% of people who applied as disabled stated that the situation would worsen for travel in the local area.
- ✓ Of all correspondents only 34% were in favour and those figures was lower when you look at people who were visitors to Kings Heath High Street and the businesses on the High Street.
- ✓ This had probably explained the reason we have so many emails coming in from Businesses and from Kings Heath Business Association on the High Street who were concerned about the impact of this.
- ✓ Page 322 seemed to have showed that all options were rejected by the consultation. None of them managed to succeed to get a score higher than the neither response. Page 348 listed a number of specific issues that was raised but sadly these were not fully dealt with.
- ✓ Looking back on Twitter on the videos we would have seen over the last couple of years the issues had been on Boundary Road with the pollution and traffic jams being created by the implementation of Stage 1.
- ✓ Cabinet could agree that this needed to be thought of carefully if anything was done that was going to worsen air quality in the local area.
- ✓ That Cabinet paused this work and undertook proper consultation with residents and businesses while allowing for the proper consideration for the concerns emailed in or being raised from the consultation ensured they were answered before a decision was taken.
- ✓ Cabinet needed to look at producing a scheme that did have the majority of support from local residents so that we could deliver the improvements we all wanted to see in the local area.
- ✓ In terms of the one-way roads that would be created, in some areas this could work. The question was whether a study had been done on these locations to see whether by making it one-way you increased speeding

on the road you effectively create a clear drag that people could accelerate on.

- ✓ Boundary Road has a significant issue. It was also felt that there were scope for more consultation around the details as residents were still putting forward ideas for amendments that could be taken on board.

- ✓ Concerns were also raised regarding the filters that were used to block off roads as these could be reduced etc. There were concerns regarding the amount of street furniture that were going in both for buggies and people with sight problems.

- ✓ In terms of the amount of funding involved for the scheme it appeared that cost had been inflated significantly from was previously anticipated.

Councillor Karen McCarthy commented that she had frequently stated in meetings that we will only become a child friendly city when all he Cabinet colleagues were aligned in that aim. The city's children and young people were looking for bold projects that takes forward in making the city a better place to live and an easier way to get around. This was a start for the gradual projects that would take us along that route and for that reason this was welcomed.

Councillor Clements stated that we were all proud of Birmingham and that she wanted this city to aim to be the best environment for mobility and a safe place and healthy place for people walk and cycle around and use public transport. This approach was adopted in Lambeth, Hackney, Islington, Harringay and the prime example was the London Borough where it was adopted in Walthamstow What we were doing was in line with the best practice to address congestion and traffic right across urban areas.

Councillor Clements stated that she empathised with Councillor Mackey's comments - *We needed to do it with people not do it to them*. She emphasised that this was an outline, and we will work further on the detailed designs and try and address as many concerns of residents as we could. Not every concerns could be addressed as there was a question of practicality. This project was the most consulted and engaged project that we have ever had, and we now needed to get on and implement this and look at the impact this approach had in mode shift and get people out the practice. This was where we were trying to get to. The Birmingham Transport Plan was a transformational one and a bold agenda. *Be Bold Be Birmingham* meant to start making some bold decisions and try and take people with us as we make them.

It was

66. RESOLVED: -

That Cabinet:-

a) Approved the Outline Business Case for the second phase of the Kings Heath and Moseley Places for People (PfP) scheme at a total estimated cost of £2.564m, funded by the Active Travel Fund Tranches 2 and 3, Road Safety Budget, School Streets Budget, Local Network

Improvement Plan (LNIP), HS2 MSQW and Clean Air Zone Fund. The concept scheme is (subject to detailed design) shown in Appendix A to the report and on the scheme plan in Appendix F to the report;

b) Delegated authority to the Assistant Director Transport and Connectivity in consultation with the Cabinet Member for Transport to approve the Full Business Case for the main scheme (construction, preliminaries and optimism bias across entire scheme at an estimated cost of £2.085m);

c) Noted that the Full Business Case for the associated 20mph speed limits (construction estimated at £0.097m), Bus Gate (Bus Lane Enforcement) scheme (construction estimated at £0.097m) and traffic calming scheme on Billesley Lane (construction estimated at £0.185m) will be subject to separate approvals through existing delegations;

d) Noted that design fees of £0.100m required to develop the scheme to Full Business Case have been approved separately. A further £0.060m is now being sought to ensure completion of both preliminary and detailed design;

e) Noted that the scheme is to be delivered via a permanent Traffic Regulation Order subject to the usual statutory process;

f) Approved the procurement strategy and commencement of tendering activities for the works using the Black Country Framework Contract for Minor Works 2021- 2024 and delegates authority to the Strategic Director, Place, Prosperity and Sustainability in conjunction with Assistant Director, Procurement, the Strategic Director, Council Management and the City Solicitor & Monitoring Officer (or their delegates) to award contracts, subject to the works cost being within the approved budget; and

g) Authorised the City Solicitor & Monitoring Officer to negotiate, execute, seal and complete all necessary documentation to give effect to the above recommendations.

CITYWIDE ADDITIONAL LICENSING - HOUSES IN MULTIPLE OCCUPATION

Councillor Sharon Thompson, Cabinet Member for Housing and Homelessness joined the meeting online, but under the regulations she would not be allowed to vote on the recommendations.

Councillor Thompson then introduced the item and drew the attention of Cabinet to the information contained in the report highlighting the key points.

(See document No. 8)

In response to questions and comments Councillor Thompson and Sajeela Nasser made the following statements:-

1. Councillor Thompson noted Councillor Hunt's comments in relation to bogus exempt properties and stated that she understood the frustrations around exempt accommodations and the differences.
2. Exempt accommodations were not viewed as the private rented sector in law unless it was a private accommodation.
3. Our hands were tied, and this was the reason we were pushing for legislation change particularly around planning rules.
4. If the legislation was changed in terms of planning rules it meant that we could possibly bring them into this, but as the law stands at the moment we could not include them.
5. We were doing all that we could so that when enquires were brought to us in terms of exempt accommodations particularly around where the provider was not delivering what they were supposed to be doing we were doing submissions to the DWP etc. This was separate to the Houses in Multiple Occupation (HMO).
6. In relation to Councillor Alden's comments as to whether a review could be done to see if this would include any additional Wards to be able to go into selective licensing so that an additional request could be made to the government to expand the area covered by selective licensing and advised that in terms of selective licensing the application was slightly different as there were a number of criteria that needed to be met.
7. We had worked closely with the ministry to consider what the best possible options were and how we could get the largest coverage approved as this needed to be approved by the Secretary of State.
8. In terms of selective licensing this was different to traditional licensing. There were evidence based selective licensing around declaration and crime and evidence based on insufficient management of the HMO sector.
9. Unfortunately, we could not go back to the government to request a larger area as we would need to gather new evidence for any specific areas.
10. Ms Nasser undertook to check whether the new information obtained in the process could be used for selective licensing. In our current position we had looked at the 25 Wards that we covered, and this was what they wanted us to progressed with for the time being.

It was

67. RESOLVED: -

That Cabinet:-

- Noted and considered the outcome of the consultation in respect of the proposed Additional Licensing scheme;

- Approved the pursuance of an additional licensing scheme covering all wards;

- Approved commencement of the scheme from the 5 June 2023; and

- Delegated to the Director of Regulation and Enforcement in consultation with the portfolio holder to take such steps as are necessary to promote and implement this decision on behalf of the Council.

PRIVATE RENTED SECTOR LEASING SCHEME – CAPITAL GRANT – EXTENSION OF DELEGATION

Councillor Sharon Thompson, Cabinet Member for Housing and Homelessness joined the meeting online, but under the regulations she would not be allowed to vote on the recommendations.

Councillor Thompson then introduced the item and drew the attention of Cabinet to the information contained in the report highlighting the key points.

(See document No. 9)

Following discussions by Cabinet, it was

68. RESOLVED: -

That Cabinet:-

- Extended the existing delegated authority to the Strategic Director for City Housing, in consultation with the Assistant Director, Procurement (or their delegate), the Strategic Director, Council Management (or their delegate) and the City Solicitor & Monitoring Officer (or their delegate) to include authority to make use of the negotiated procedure without prior publication under PCR Reg 32(2)(c) due to the urgent timescales and waives the requirement under the Procurement and Contract Governance Rules to report the award to Cabinet for approval; and

- Authorised the City Solicitor to negotiate, execute and complete all necessary documentation to give effect to the above recommendations.

MULTIPLY: FINANCIAL LITERACY PROGRAMME

Councillor Karen McCarthy, Cabinet Member for Children, Young People and Families introduced the item and drew the attention of Cabinet to the information contained in the report highlighting the key points.

(See document No. 10)

Following discussions by Cabinet, it was

69. RESOLVED: -

That Cabinet:-

- Approved acceptance of the bid funding as detailed in the BID Document at Appendix 1 of this report from the West Midlands Combined Authority

for the purposes of supporting the development and implementation of the Multiply Project;

- Authorised the Director of Children and Families, in consultation with the Cabinet Member for Children, Young People and Families to develop and implement the Multiply Project; and

- Noted that the Director of Children and Families will provide Cabinet with periodic updates as regards the progress of the Multiply Project.

DOMESTIC ABUSE HOMELESSNESS PREVENTION WAIVER

The Chair introduced the item and drew the attention of Cabinet to the information contained in the report highlighting the key points.

(See document No. 11)

Following discussions by Cabinet, it was

70. RESOLVED: -

That Cabinet:-

i. Approved the waiver request for the existing implied contract arrangements with BSWAID for the period March 2021 to June 2023 at a value of up to £1,158,687.83;

ii. Authorised that the Director of Housing in consultation with the Director of Council Management and City Solicitor ensures compliant contractual and procurement arrangements are established by way of an open tender process using a compliant procurement route for June 2023 for this contract; and

iii. Noted that since existing procurement and breach, the Council's rules have been updated and amended with the new Procurement and Contract Governance Rules (July 2022), including strengthening requirements for maintaining of records for audit and accountability purposes in how decisions are taken.

APPOINTMENTS TO OUTSIDE BODIES

The Chair presented the item and drew the attention of Cabinet to the information contained in the report

(See document No. 12)

It was

71. RESOLVED: -

That Cabinet agreed the replacement of Honorary Alderman Stewart Stacey (Lab) with Councillor Zafar Iqbal (Lab) on the Yardley Great Trust for the remainder of the term i.e. 17 January 2023 until 4 March 2026.

KEY DECISION PLANNED PROCUREMENT ACTIVITIES (FEBRUARY 2023 – APRIL 2023)

Councillor Yvonne Mosquito, Cabinet Member for Finance and Resources introduced the item and drew the attention of Cabinet to the information contained in the report.

(See document No. 13)

Following discussions by Cabinet, it was

72. RESOLVED: -

That Cabinet approved the planned procurement activities as set out in Appendix 1 to the report and approved Chief Officer delegations, set out in the Constitution, for the subsequent decisions around procurement strategy and contract awards.

NON-KEY DECISION PLANNED PROCUREMENT ACTIVITIES (FEBRUARY 2023 – APRIL 2023)

Councillor Yvonne Mosquito, Cabinet Member for Finance and Resources introduced the item and drew the attention of Cabinet to the information contained in the report.

(See document No. 14)

It was

73. RESOLVED: -

That Cabinet noted the planned procurement activities as set out in Appendix 1 to the report and Chief Officer delegations, set out in the Constitution, for the subsequent decisions around procurement strategy and contract awards.

OTHER URGENT BUSINESS

The following items were submitted as urgent business:-

ADULT SOCIAL CARE DISCHARGE FUND

Councillor Mariam Khan, Cabinet Member for Health and Social Care introduced the item and drew the attention of Cabinet to the information contained in the report.

(See document No. 15)

A brief discussion ensued as to the reasons this item was not consider at the Cabinet meeting in December 2022.

It was

74. RESOLVED: -

That Cabinet:-

a. Accepted the grant funding in the amount of £6,040,793.00; and

b. Approved the allocation of £6,040,793.00 Adult Social Care Discharge Fund monies to Birmingham adult social care providers. The details of these allocations are in accordance with the Grant Determination Notice and are set out in 7.3.1 and Appendix 1 to the report.

A DIGITALLY CONNECTED CITY – ENABLED FOR FUTURE GROWTH

Councillor Jayne Francis, Cabinet Member for Digital, Culture, Heritage and Tourism introduced the item and drew the attention of Cabinet to the information contained in the report highlighting the key points.

(See document No. 16)

The Chair then requested that members of the public be excluded from the meeting in order to consider the private information to the report.

Following the private part of the meeting, Cabinet then returned to public session to consider the recommendations and it was

75. RESOLVED: -

That Cabinet:-

i. Noted the OBC attached at Appendix 1 to the report and the current state of full fibre coverage across the City and supports an intervention from Council in order to address the speed and coverage of full fibre roll out in Birmingham where overall plans from providers do not address underserved areas;

ii. In line with the recommended option from the OBC in Section 4, the Council commences a procurement analogous to competitive dialogue (subject to a further Cabinet award report) which targets, but is not limited to, a Joint Venture Limited by Shares to:

(a) Build, deploy and commercialise a ‘City Spine’ full fibre network.

(b) Targets the underserved constituencies with less than 50% full fibre coverage

(c) Utilises the current BCC WAN spend, in partnership with the new partner over a 20-year period, enabling an economic uplift to Birmingham and a financial return to the Council;

iii. Authorised the procurement and investment request of £0.656M to procure specialist resource to deliver:

(a) A compliant procurement process

(b) The development of a final business case which will come back to Cabinet for approval

(c) The development of a governance model and processes for the proposed Council oversight of any proposed JV/partnership arrangements.

The meeting ended at 1208 hours.

……..…….

CHAIRPERSON

Birmingham City Council
Report to Cabinet
14 February 2023

Subject:	**OUTLINE BUSINESS CASE FOR THE COMMONWEALTH GAMES LEGACY PROGRAMME**
Report of:	**Professor Graeme Betts, CBE** **Strategic Director for Adult Social Care**
Relevant Cabinet Member:	**Cllr Ian Ward, Leader** **Cllr Jayne Francis, Culture, Heritage & Tourism**
Relevant O &S Chair(s): -	**Cllr Jack Deakin, CWG, Culture and Physical Activity**
Report author:	**Andy Newman,** **Legacy Programme Director.** **Email: Andy.Newman@birmingham.gov.uk**

Are specific wards affected? If yes, name(s) of ward(s):	☐ Yes	☒ No – All wards affected
Is this a key decision? If relevant, add Forward Plan Reference: 010959/2023	☒ Yes	☐ No
Is the decision eligible for call-in?	☒ Yes	☐ No
Does the report contain confidential or exempt information? If relevant, state which appendix is exempt, and provide exempt information paragraph number or reason if confidential:	☐ Yes	☒ No

1 Executive Summary

1.1 This project will establish and operate a Birmingham City Council (BCC) Legacy portfolio, coordinating resource and the continued delivery of Birmingham City Council's Legacy ambitions.

1.2 The following is proposed as the two principal objectives for the Portfolio:

1.2.1 To inspire, oversee and assure projects which will fulfil the Council's commitments and ambitions to realise a legacy value for the city of Birmingham, arising from hosting the Commonwealth Games:

1.2.2 To compile a single view of the benefits achieved for the city (and the cross-partner programme) as a result of delivering the BCC Legacy Plan's "bold promises".

1.3 The Legacy Portfolio will not be directly responsible for project delivery but will provide a structure for the oversight and assurance of any legacy projects delivered as a result of any additional funding. It will be through the Portfolio governance that decisions about new projects will be made, and the Legacy programmes will be monitored and maintained.

1.4 Additional projects may be developed in conjunction with, or have external dependencies to, partner organisations and third parties. Where these projects require external funding or decision-making powers, they will be expected to align with third party frameworks and governance.

1.5 The Legacy Team will support and help enable the wider City Transformational Plan and priorities notably including the building of Council capacity and capability to align with strategic ambitions. It is proposed the Portfolio will operate for a defined initial period of 2 years. This will allow BCC to capture the immediate and short-term benefits of the CWG and to align with the likely availability of CWG legacy funding channelled through the WMCA, after which the benefits will be substantially realised the Council or via any permanent vehicle which may be created to manage future initiatives in Birmingham.

1.6 The portfolio itself will consist of a small team, detailed in the Management case below, operating within the BCC's Transformation Programme on behalf of the Portfolio Executive Sponsor (Graeme Betts).

2 Recommendations

2.1 Cabinet is recommended to:

2.1.1 Approve the Outline Business Case as set out in **Appendix 1** of this report, and in particular the establishment of a Legacy Portfolio adopting a Hybrid Approach (Option 3 below).

2.1.2 Approve the implementation of the Governance and Management arrangements for the Portfolio as set out in the Outline Business Case.

2.1.3 Approve the continued use of the Themes from the Birmingham City Council Legacy Plan approved in December 2021 to underpin the direction of the Portfolio. The themes being:

- Enabling a THRIVING city, creating opportunities accessible to all.

- Opening up opportunities to which our younger population can ASPIRE to achieve.

- Initiatives and facilities which support the development of a HEALTHY society, both physically and mentally.

- Creating a platform for a more WELCOMING, diverse place to live and invest.

- Accelerating our GREEN GROWTH plans to grow Birmingham in a sustainable and resilient way.

2.1.4 Note the inclusion within the Portfolio of key priorities for support including the European Athletics Championship 26 and City's aspiration to host an International Festival.

2.1.5 Approve the proposed funding for the operation of the Legacy Portfolio as a top slice from identified Games Legacy funding sources as set out in the OBC.

2.1.6 Delegate authority to approve Full Business Cases for projects delivered within the scope of the Legacy Portfolio to the Legacy Portfolio Board, subject to proposed projects being deliverable within the available funding as set out in the OBC.

2.1.7 Delegate authority to apply for and accept grant funding from WMCA or other sources that may emerge for projects that fall within the scope of the Legacy Portfolio to the Director of Legacy in consultation with the Director of Council Management.

2.1.8 Authorise the City Solicitor to complete and execute any legal documents necessary to implement the above recommendations.

3 Background

3.1 In August 2022, the Commonwealth Games (CWG) was successfully delivered by Birmingham City Council and Partners and highlighted the best of Birmingham.

3.2 Birmingham City Council (BCC) signed a Host City Contract with the Commonwealth Games Federation and other Games Partners in December 2017, which laid out its obligations and established the Birmingham 2022 Commonwealth Games Programme as the internal vehicle to deliver those obligations, commitments and ambitions for the Games and the post-Games legacy. The Host City Contract contained a specific commitment relating to the Games legacy:

Active participation and contribution to overall planning and delivery of the Games and Legacy programmes.

3.3 With the Games now successfully delivered to great acclaim and under budget, and with a Legacy Plan defined and approved, BCC (working closely with WMCA) is now accountable for seeing that legacy delivered and for reporting on the benefits which it has brought to the city.

3.4 The CWG Legacy Programme was a key component on the overarching Commonwealth Games Delivery Programme. The Commonwealth Games Delivery Programme has now been completed. However, by its very nature, Legacy continues.

3.5 Over the last few months, multiple potential projects have emerged which would build upon the delivery of the Commonwealth Games and its bold promises to the region, some of which are significant in scale. These projects require an overarching governance mechanism that explicitly links the opportunity to the Legacy plan, so that the vision, ambition, and momentum created through the Games is retained.

3.6 Establishing the mechanism which will deliver BCC's Legacy commitments also coincides with recent announcements from HM Government (Department of Digital, Culture, Media and Sport) bringing some clarity on the funding available for BCC and its Games partners arising from an underspend in the Games budget.

3.7 A new vehicle within Birmingham City Council is now required to continue to drive the Legacy ambitions of the Council and achieve the outcomes set out in both the Corporate Strategy and the BCC Legacy Plan:

3.7.1 Boost investment in Birmingham, creating thousands of jobs and become a world-leader in hosting international events

3.7.2 Engage every child and young person in the games, including all 400+ schools in the city

3.7.3 Build programme and community projects to kickstart an accessible fitness and wellbeing boom

3.7.4 Open our city to the world and connect our communities for and after the Games

3.7.5 Launch an era of green growth through high-quality sports facilities, thousands of new sustainable homes and green transport links to become a carbon neutral city by 2030

3.7.6 Deliver our promise to the City and become a leading local authority with bold ambitions.

3.7.7 Put Birmingham City Council in the best possible position to be able to 'hit the ground running' in the event that funding for additional projects is secured.

3.8 This objective of the vehicle is to:

3.8.1 Provide a central team/ coordinating body to take on responsibility for coordinating delivery to time and budgets,

3.8.2 Coordinate monitoring and evaluation of existing legacy projects and commitments

3.8.3 Provide assurance that projects are suitably reviewed to demonstrate return on investment and the positive benefits are communicated effectively to the staff, business and residents of the city.

3.8.4 Represent the Council and provide support, oversight and consistency in obtaining external funding including from the Games underspend being administered through WMCA (75%)

3.8.5 Identify further Legacy projects supporting their delivery and maintaining strategic alignment and provide a suitable management framework for any Games related underspend.

3.9 This Legacy vehicle will enable BCC to best direct how it spends its share of that funding towards projects which will achieve the target of delivering a sustainable set of outcomes associated with the Games, which otherwise might not have seen the light, or to accelerate activities to benefit communities and citizens in Birmingham.

4 Options considered and Recommended Proposal

4.1 The Legacy Portfolio Outline Business Case is broken down into 2 parts:

- The establishment of a Legacy Portfolio
- The endorsement of projects within the Portfolio that deliver the Legacy ambitions

4.2 The options for each are considered below:

The establishment of a Legacy Portfolio

4.3 A number of options for the future delivery model for the Legacy were explored in February 2022 and set out in the Commonwealth Games Legacy Delivery Plan. This document was presented and approved by the CWG Legacy Committee on 4th February 2022. The options set out in the OBC document remain valid. The options considered were:

4.3.1 **Option 1** – Directorate Led Approach. Each directorate would need to have a relevant sponsor, each directorate would need someone within the monitoring & tracking role.

4.3.2 **Option 2** – Centrally Led Portfolio Approach. The relevant sponsor would sit centrally and be responsible for delivery and reporting across the organisation. A larger, centralised team would be required.

4.3.3 **Option 3** – Hybrid Portfolio Approach. A single programme-level sponsor corporately (centrally led), with project-level sponsors sitting within the directorates themselves (directorate-led). A centralised team will be needed to assist with monitoring, reporting, and stakeholder management.

4.3.4 **Option 4** – Do Nothing/Minimum: Do not pursue Legacy / Externally Led / Arms-Length Body Approach. Do nothing and not pursue Legacy ambitions

from the Games or Establish (or commission) an external body or charity to work to develop information & Legacy monitoring and Legacy projects on behalf of Council.

4.4 Option 3 above, a Hybrid Portfolio approach, is the recommended option.

Projects within the Portfolio

4.5 The Portfolio working closely with Directorates, will identify projects suitable to receive funding and for inclusion within the Portfolio.

4.6 It is proposed that projects wishing to apply for Legacy funding, will need to complete a proportionate Business Case following existing BCC template.

4.7 Approval for projects to receive Legacy funding will be given by the Portfolio Board.

4.8 The following selection criteria will be adopted where **M** is mandatory, and **D** is desirable:

- It aligns with one of the 5 themes within the approved Legacy Plan. (M)
- It supports the delivery of one or more KPI's as set out in the Corporate Performance and Delivery Plan. (D)
- A plan for delivering the initiative has been developed and is achievable. (M)
- A clear and realistic timeframe for delivery of the initiative has been developed. (M)
- Resource has been identified and is available to deliver/manage/evaluate the initiative. (M)
- The initiative is not already being delivered by another part of the organisation or Portfolio. (M)
- The applicant has endorsement from their head of Directorate. (M)
- The initiative has been costed and demonstrates Value for Money. (M)
- The benefits and outcomes are clear, achievable and measurable and a plan for evaluation has been developed. (M)
- The applicant has explored partnering opportunities. (D)
- The applicant has explored other means of obtaining funding. (D)

5 Consultation

5.1 An interim Portfolio Board has been established which comprises senior representation from across the Directorates. CLT members were consulted on representation of the Board.

5.2 The Portfolio approach also continues to build on work endorsed by the previous Legacy Programme Committee who's members comprised Assistant Director of Neighbourhoods, Head of Strategic Sport; Head of Cultural Development; Capital Investment Officer; Assistant Director Community Safety and Resilience; Assistant Director Adult Social Care; Independent Education Advisor; Assistant Director Skills and Employability; RAP & CP Head of Service, Birmingham Children's Trust, Cohesion & Equalities Service Manager; and the Assistant Director Public Health.

6 Risk Management

6.1 The Portfolio will implement an effective risk management process, aligned with the Council's own risk requirements. The risk management process proposed will monitor and look to reduce risk or identify opportunity by applying proportionate risk management, ensuring that the responsibility with managing risks sits with those who are best placed to deal with it. those best placed to dela with the risk are assigned responsibility.

6.2 As this is a Portfolio, the variety of projects within its remit are significant and highly variable. The majority of risks will be held at project and programme level. Each project within the Portfolio will be expected to implement their own proportionate Risk Management framework in line with Council and Directorate requirements.

7 Compliance Issues:

7.1 How are the recommended decisions consistent with the City Council's priorities, plans and strategies?

7.1.1 Birmingham City Council Legacy Plan was produced in 2021 to provide a strategy and detailed plan to capture and amplify the benefits of hosting the Games while supporting the acceleration of the City Council's ambitions to respond to the city's challenges as enshrined in the Corporate Plan. The Portfolio seeks to continue with the implementation of the Legacy Plan.

7.1.2 The Legacy Portfolio will help manage and drive performance of delivery against BCC's Corporate Performance and Delivery plan objectives: Priority 4: Maximising the Benefits of the Commonwealth Games and Priority 7: Promote and champion diversity, civic pride and culture.

7.2 Legal Implications

7.2.1 There are not anticipated to be any specific Legal implications of establishing a Legacy Portfolio.

7.2.2 Each project within the Legacy Portfolio will be expected to consider their own specific legal implications and these should be recorded proportionately in their own Business Case.

7.3 Financial Implications

7.3.1 The Legacy Portfolio will comprise a number of individual projects, together with a small team to manage and co-ordinate the portfolio over the period to 31 March 2025. Projects will only be supported to the extent that they can be funded within the identified available resources for the Portfolio.

7.3.2 Funding for the Portfolio will be derived from underspends and savings secured in the successful delivery of the Commonwealth Games, including from City Readiness budgets and from a reduced requirement for the Council to provide a funding contribution to the core games budget (the latter equating to 25% of the core budget underspend).

7.3.3 It should be noted that an estimated £70m of the core Games budget underspend is proposed to be administered through the WMCA and is only available for 2023/24 and 2024/25. Access to this funding will require a formal funding application to the WMCA, and it is anticipated that bids will be invited from Games Partners across the West Midlands region. At this stage it is anticipated that the Council will seek funding through this route equivalent in value to the anticipated costs to the Council of the European Athletics Championship and international Festival (a total of £18.7m), with detailed bids to be developed once the full bidding criteria are confirmed.

7.4 Procurement Implications (if required)

7.4.1 The overarching portfolio management approach does not have any direct procurement implications. Individual projects delivered as a part of the portfolio will however all have their own characteristics and requirements, which will be developed as a part of each individual project Full Business Case.

7.5 Human Resources Implications (if required)

7.5.1 There are not anticipated to be any significant Human Resource implications associated with the Portfolio. Human Resources where appropriate, will be/have been consulted on the recruitment of staff into the Portfolio.

7.5.2 Each project within the Legacy Portfolio will be expected to consider their own specific Human Resource implications and these should be recorded proportionately in their own Business Case.

7.6 Public Sector Equality Duty

7.6.1 There are not anticipated to be any significant Public Sector Equality Duty implications associated with the Portfolio.

7.6.2 Four of the five Legacy Themes however aim to promote Equality and Accessibility. The themes being:

- Enabling a THRIVING city, creating opportunities accessible to all.

- Opening up opportunities to which our younger population can ASPIRE to achieve.

- Initiatives and facilities which support the development of a HEALTHY society, both physically and mentally.

- Creating a platform for a more WELCOMING, diverse place to live and invest.

7.7 Environmental and Sustainability Implications

7.7.1 There are not anticipated to be any negative Environmental and Sustainability implications associated with the Portfolio.

7.7.2 One of the 5 themes within the Portfolio is: *Accelerating our GREEN GROWTH plans to grow Birmingham in a sustainable and resilient way,* so it is expected that the Portfolio can support projects which have a positive impact.

7.7.3 The Benefits Realisation framework that has been developed asks projects to consider how they align and measure themselves against the UN Sustainable Development Goals.

7.7.4 Each project within the Legacy Portfolio will be expected to consider their own specific Environment and Sustainability implications and these should be recorded proportionately in their own Business Case.

8 Appendices

8.1 Appendix 1 - Outline Business Case for the Commonwealth Games Legacy Programme

9. Background Documents

9.1 None

APPENDIX 1

OUTLINE BUSINESS CASE (POBC)

(Note that this PBC has been developed to OBC-level of detail).

A. GENERAL INFORMATION

A1. General

Project Title *(as per Voyager)*	**Commonwealth Games Legacy Portfolio**		
Oracle code	Various		
Portfolio /Committee	Legacy Portfolio	**Directorate**	Cross Directorate
Approved by Project Sponsor	Graeme Betts	**Approved by Finance Business Partner**	Guy Olivant

A2. Project Description

This project will establish and operate a Birmingham City Council (BCC) Legacy portfolio, coordinating resource and the continued delivery of Birmingham City Council's Legacy ambitions.

The following is proposed as the two principal objectives for the Portfolio:

- *To inspire, oversee and assure projects which will fulfil the Council's commitments and ambitions to realise a legacy value for the city of Birmingham, arising from hosting the Commonwealth Games.*
- *To compile a single view of the benefits achieved for the city (and the cross-partner programme) as a result of delivering the BCC Legacy Plan's "bold promises".*

The Legacy Portfolio will not be directly responsible for project delivery but will provide a structure for the oversight and assurance of any new legacy projects delivered as a result of any additional funding. It will be through the Portfolio governance that decisions about new projects will be made, and the Legacy programmes will be monitored and maintained.

Additional projects may be developed in conjunction with, or have external dependencies to, partner organisations and third parties. Where these projects require external funding or decision-making powers, they will be expected to align with third party frameworks and governance.

It is proposed that the Legacy Portfolio will operate for a defined initial period of 2 years. This will allow BCC to capture the immediate and short-term benefits of the CWG and to align with the likely availability of CWG legacy funding channelled through the WMCA, after which the benefits will be substantially realised the Council or via any permanent vehicle which may be created to manage future initiatives in Birmingham.

The portfolio itself will consist of a small team, detailed in the Management case below, operating within the BCC's Transformation Programme on behalf of the Portfolio Executive Sponsor (Graeme Betts).

F. STRATEGIC CASE

This sets out the case for change and the project's fit to the Council Plan objectives

B1. Project objectives and outcomes

The case for change including the contribution to Council Plan objectives and outcomes

Context

In August 2022, the Commonwealth Games (CWG) was successfully delivered by Birmingham City Council and Partners and highlighted the best of Birmingham.

Birmingham City Council (BCC) signed a Host City Contract with the Commonwealth Games Federation and other Games Partners which laid out its obligations and established the Birmingham 2022 Commonwealth Games Programme as the internal vehicle to deliver those obligations, commitments and ambitions for the Games and the post-Games legacy. The Host City Contract contained a specific commitment relating to the Games legacy:

> *Active participation and contribution to overall planning and delivery of the Games and Legacy programmes.*

With the Games now successfully delivered to great acclaim and under budget, and with a Legacy Plan defined and approved, BCC (working closely with WMCA) is now accountable for seeing that legacy delivered and for reporting on the benefits which it has brought to the city.

The CWG Legacy Programme was a key component on the overarching Commonwealth Games Delivery Programme. The Commonwealth Games Delivery Programme has now been completed. However, by its very nature, Legacy continues.

As part of the Legacy programme the Council also established the £6m Commonwealth Games Community Fund. Established in October 2020, the fund was set up to:

- Support and engage Birmingham communities to feel part of the Games
- Make sure engagement and participation opportunities are spread across the city
- To make sure that the projects delivered through the fund support and showcase our diverse communities
- To make sure the projects delivered celebrate Birmingham
- To deliver benefits and legacy for the city that aligns with city priorities
- Create feelings of connectivity, positivity and pride
- An element to be delivered via Wards on a ‘per councillor’ basis

The Fund delivered hundreds of free-to access community and creative projects across Birmingham that were designed and delivered by local people for their communities. We also provided opportunities to participate in physical and sporting activity, supported organisations working with refugee and marginalised communities, established the City of Nature Alliance to support the continued delivery of the Fair Parks Standard and secured additional engagement and participation opportunities for young people right across Birmingham through funding the *Bring The Power* programme in the city. We now need to celebrate these achievements and determine what we can bring forward into broader Legacy programming and continue.

Over the last few months, multiple potential projects have emerged which would build upon the delivery of the Commonwealth Games and its bold promises to the region, some of which are significant in scale. These projects require an overarching governance mechanism that explicitly links the opportunity to the Legacy plan, so that the vision, ambition, and momentum created through the Games is retained.

Establishing the mechanism which will deliver BCC's Legacy commitments also coincides with recent announcements from HM Government (Department of Digital, Culture, Media and Sport) bringing some clarity on the funding available for BCC and its Games partners arising from an underspend in the Games budget.

A new vehicle within Birmingham City Council is now required to continue to drive the Legacy ambitions of the Council and achieve the **outcomes** set out in both the Corporate Strategy and the BCC Legacy Plan:

- Boost investment in Birmingham, creating thousands of jobs and become a world-leader in hosting international events
- Engage every child and young person in the games, including all 400+ schools in the city
- Build programme and community projects to kickstart an accessible fitness and wellbeing boom
- Open our city to the world and connect our communities for and after the Games
- Launch an era of green growth through high-quality sports facilities, thousands of new sustainable homes and green transport links to become a carbon neutral city by 2030
- Deliver our promise to the City and become a leading local authority with bold ambitions.
- Put Birmingham City Council in the best possible position to be able to 'hit the ground running' in the event that funding for additional projects is secured.

This objective of the vehicle is to:

- Provide a central team/ coordinating body to take on responsibility for coordinating delivery to time and budgets,
- Coordinate monitoring and evaluation of existing legacy projects and commitments
- Provide assurance that projects are suitably reviewed to demonstrate return on investment and the positive benefits are communicated effectively to the staff, business, and residents of the city.
- Represent the Council and provide support, oversight, and consistency in obtaining external funding including from the Games underspend being administered through WMCA (75%)
- Identify further Legacy projects supporting their delivery and maintaining strategic alignment and provide a suitable management framework for any Games related underspend.

This Legacy vehicle will enable BCC to best direct how it spends its share of that funding towards projects which will achieve the target of delivering a sustainable set of outcomes associated with the Games, which otherwise might not have seen the light, or to accelerate activities to benefit communities and citizens in Birmingham.

Managing Legacy Ambitions of Council – Corporate Objectives

A vehicle for managing the Legacy projects and programmes is required to manage and drive performance of delivery against BCC's Corporate Performance and Delivery plan objectives: Priority 4: Maximising the Benefits of the Commonwealth Games and Priority 7: Promote and champion diversity, civic pride, and culture. The plan can be accessed here.

In addition, Birmingham City Council Legacy Plan was produced in 2021 (See Appendix G3) to provide a strategy and detailed plan to capture and amplify the benefits of hosting the Games while supporting the acceleration of the City Council's ambitions to respond to the city's challenges as enshrined in our Corporate Plan. Birmingham's legacy will be realised in three ways:

- Physical assets ranging from new facilities to enhanced infrastructure alongside better, more sustainable public spaces.

- Community, social and economic opportunities such as increased access to and availability of apprenticeships leading to a better skilled workforce, as well as thousands of volunteering roles that will build capacity for future events.
- Organisational change on the part of the Council through enhanced city and regional partnerships, as well as innovative practice.

The BCC Legacy Plan sets out the activities and initiatives (clustered in 5 themes) that, by hosting the games, can accelerate the Council's response to the grand challenges facing our city and benefit its citizens.

At portfolio level, an aggregated set of information will be gathered for the purposes of providing assurance via the Transformation Programme:

- Portfolio key milestones
- Strategic risks and issues for escalation
- Overall financial metrics
- Tracking of proposals at pipeline stage (number, expected date of approval, etc)
- Assessment of project health, based on performance criteria

A Regional Context

The Birmingham 2022 Partner Legacy Plan (*Cross Partner Legacy Plan*), produced by the Birmingham 2022 Organising Committee and games partners, contains shared objectives covering the West Midlands geographic area. The development of the Partner legacy plan was based on 5 strategic ambitions – that the Games would help the region to grow and succeed; bring people together; improve health and wellbeing; be a catalyst for change; and put the city and region onto the global stage. BCC's own legacy plan was deliberately designed to align with these ambitions as well as link to our own city ambitions and the contributions that the Games and wider legacy could make to help us address the city's key challenges.

The cross-partner plan details 9 key areas of work where legacy outcomes have been and continue to be realised – infrastructure and investment into games venues; programmes for young people (specifically *Bring The Power* youth engagement and Gen 22 youth social action); volunteering; cohesion, inclusion and pride; physical activity and wellbeing; creative and cultural participation, jobs and skills, business and tourism; social value and sustainability. BCC has contributed to a greater or lesser extent to each of these themes over the past four years.

The 9 key areas of work (under 10 programmes) from the cross-partner legacy plan have now been further distilled to form the 4 pillars of the region-wide framework for the strategic approach to the regional element of the Games underspend – Economy, Trade and Tourism; Culture and Heritage; Inclusive Communities; and Wellbeing and Sustainability.

B2. Project Deliverables

These are the outputs from the project eg a new building with xm2 of internal space, xm of new road, etc

The deliverables that this Business Case sets out capture for the Legacy Portfolio can be split into 2 parts:

1) The establishment of the Portfolio itself including all of the associated management and governance arrangements. The details of what will be implemented is set out in more detail in section F9. Project Management of this document
2) The overview of what the Legacy Portfolio will deliver are set out in following text.

The Legacy Portfolio's deliverables are linked back to the following overarching principles and deliverables as set out in Birmingham City's Legacy Plan:

1. Enabling a THRIVING city, creating opportunities accessible to all.
2. Opening up opportunities to which our younger population can ASPIRE to achieve.
3. Initiatives and facilities which support the development of a HEALTHY society, both physically and mentally.
4. Creating a platform for a more WELCOMING, diverse place to live and invest.
5. Accelerating our GREEN GROWTH plans to grow Birmingham in a sustainable and resilient way.

The Legacy Portfolio covers the entire city of Birmingham. The portfolio spans projects that are short term (delivered in the lead up to, and immediate aftermath of, the Commonwealth Games in 2022) through to the long term (such as the Perry Barr regeneration which is expected to span most of the decade). There are two key phases for the Legacy Portfolio: delivering the projects; and capturing the benefits through monitoring and evaluation. Within the Portfolio there are currently 82 existing or pipeline projects.

The Legacy portfolio can largely be broken into two key groupings: Core Legacy projects which have been managed and overseen by the Commonwealth Games Programme Directorate, and Amplifier Legacy projects delivered by Birmingham City Council which increase the impact that the Commonwealth Games will have on the area.

Within the Core Portfolio, there are three key types of programmes being managed: the community fund benefits (also known as the £6m programme); the physical infrastructure/ capital projects; and organisational Legacy projects (which seek to capture new ways of working from the Games for the benefit of BCC). A list of these projects is provided below:

1. Physical Infrastructure: Sutton Park, Wyndley Leisure Centre, Holford Community Hub, City wide Public Realm, Alexander Stadium, Cycle routes.
2. Community Fund Programme: Creative City projects, Celebrating Communities initiatives, Stronger Communities activities, Physical Activity & Wellbeing projects, Bring the Power (Learning Programme).
3. Organisational Legacy: Large scale event operational Legacy, GIS Database, Knowledge Database

There are also a number of Amplifier projects, and more projects emerging as the Legacy team continue to work with the BCC teams on identifying use of the underspend. In many ways, Amplifier projects are more important to the Legacy than the Core projects managed by the delivery teams, as they will act as the key instigators to continue to deliver the benefits of the Games once they have concluded. (See Appendix G4 for full list).

The below are a selected, but not exhaustive list, of pipeline projects identified for additional inclusion in the Portfolio.

- European Athletics Championship (EAC)
- International Festival
- Grassroots Sports Programme
- City of Ideas (Museum)
- Culture and Engagement Strategy
- Volunteering Programme
- Bolder Birmingham Intergenerational Cohort

The above list of projects was endorsed at the initial December Legacy Portfolio Board. The detailed deliverables will be set out in proportionate business cases for each new/pipeline project as they are further developed. There may also be opportunity through development and review, to consolidate projects to identify more compelling cases and drive efficiencies.

Regarding the £6m Community Fund, there are some immediate areas of further work and opportunities to be explored to secure additional funding. Work is underway to identify governance pathways for the allocation of underspend in 2 areas:

- Celebrating Communities
- Bring the Power (learning and youth engagement)

In addition to this, local funders are interested in potentially supporting further initiatives based around the successes of Creative City, Celebrating Communities, work with young people and 'green' initiatives. Whilst it is not the intention to develop a raft of new initiatives from the Community Fund, securing additional support for culture, creative and community activities arising from the delivery of Community Fund projects can help further the city's ambitions.
Work will also continue to close-down and evaluate those elements of the Fund that have delivered.

The EAC and International Festival will have wider economic and social impacts across the region and will be the subject of a future Full Business Cases to WMCA to seek support from the wider regional fund.

B3. Project Benefits

These are the social benefits and outcomes from the project, eg additional school places or economic benefits.

Measure	Outline Impact
*List at least one measure associated with **each** of the objectives and outcomes in B1 above*	*What the estimated impact of the project will be on the measure identified*
Number of jobs created	A Thriving City – support the local economy, boost investment, and build capability across Birmingham to deliver future international major events.
% local people employed (30 miles)	
Number of people upskilled (inc. placements, apprenticeships, etc.)	
Number of major events hosted	
Economic impact of tourism and inward investment	

Number of youths Not in Education, Employment or Training (NEET) engaged in functional training	Aspirational City – continue to create opportunities for young people, increasing access for children and young people.
Number of people engaged with learning programme	
Number of schools engaged with the learning programme at Reception to KS4	
% young people who feel they have a better understanding of the Commonwealth	
Reach 5,000+ young people and families who wouldn't otherwise have access to the Games (physically/virtually)	
% rise in physical activity within participants of the grant programmes	Healthy City – build on programmes and community projects to increase accessibility to fitness and wellbeing.
% of city population participating in physical activity	
Number of miles walked over set periods (via walking app)	
Delivery of food summit	
Delivery of training and support material for mental health and wellbeing to residents via digital outlets	
% CWG Projects in deprived wards (Linked to Creative City and Celebrating Communities Funds)	Welcoming City – build on community activation funded projects to open Birmingham to the world and connect communities.
Number of Birmingham residents participating in volunteer programme	
Number of community groups supported	
% residents who agree they are proud to live in Birmingham	
% residents who agree their local area is a place where people of different ethnic backgrounds get on well together	
Number of sustainable homes built in Perry Barr	Green Growth City – Acceleration of enhanced public transport services – building on Games projects. Delivery of the Perry Barr 2040 masterplan, including sustainable homes and green infrastructure improvements.
Increase in modal share walking, cycling and transport	
Number of new initiatives to support route to zero	
Number of secondary spaces provided in Perry Barr	
Amount of green/open spaces improved to higher bio-diversity standards	

Benefits and Outcome so far:

WELCOMING CITY

- **262** Celebrating Communities projects; of which 66% were in D1-2 areas (most deprived Wards)
- **244** Community Groups supported through Celebrating Communities fund
- **106** Creative City projects delivered, involving 361 community groups/organisations at 393 locations. **858** Volunteers were engaged in the Creative City projects.
- **76%** of Creative City projects were delivered in D1-3 areas (most deprived Wards

HEALTHY CITY

- **70** Active Streets projects
- **6** x Community Games events held, with over **6250** participants and **229** organisations involved. (5,00 participants was the target, and 150 organisations was the target)

GREEN GROWTH CITY

- Bus journeys are up to **22% quicker** following introduction of Sprint priority measures
- **125** people involved in the City of Nature project

THRIVING CITY

- **1354** people upskilled through Perry Barr Regen Scheme (PBRS)
- **629** employment opportunities created through PBRS
- **9516** people engaged with capital build (PBRS)
- **2592** volunteering hours to support school and community activities (PBRS)
- **986** new homes under construction, of which 312 are affordable homes

ASPIRING CITY

- **1** new education facility opened

- **187** workshops delivered in Birmingham schools (including 92 'Bring the Power' workshops for KS1-3 engaging over **5,000** pupils)
- **750** pupils participated in Commonwealth themed UNICEF Rights Respecting event
- Over **300** downloads of Bring the Power educational resources
- **17,122** young people engaged across the 4 dedicated Youth Centre Games Hubs (Lighthouse, The Factory, Clifton Road and Concord)
- **35** young people (aged 14-18) from 12 schools participated in Birmingham's Youth City Board
- **5,000** tickets secured for young people in care and their carers

B4. Property implications

Describe any implications for Council properties and for the Council's property strategies

The portfolio approach to managing the overall CWG legacy programme does not have any direct property implications. Where individual projects delivered as a part of this programme do have property implications, these will be set out and managed as a part of the individual full business cases for the specific projects.

F. ECONOMIC CASE - OPTIONS APPRAISAL

This sets out the options that have been considered to determine the best value for money in achieving the Council's priorities

C1. Options reviewed

A full description and review of each option is in Section G1

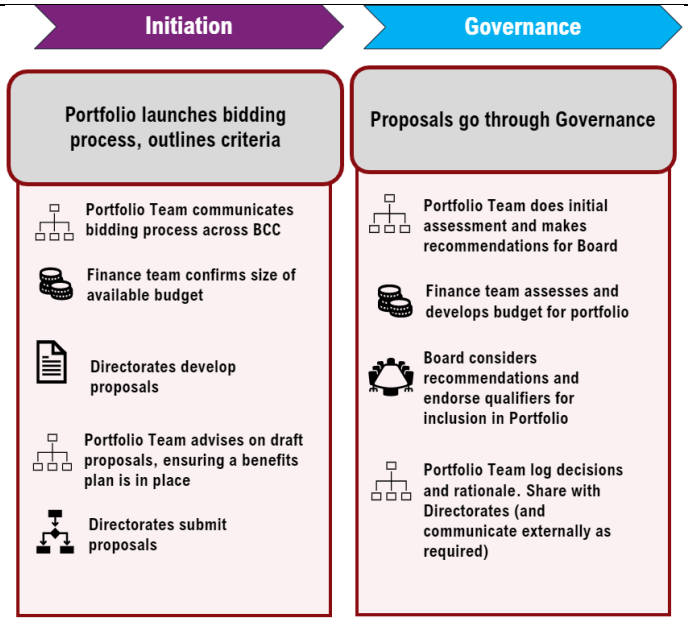
Recognising the 2 aspects of this Business Case:

1) The establishment of the Portfolio
2) The endorsement of projects within the Portfolio that deliver the Legacy ambitions

The options appraisal in C2 below appraises the options around the Portfolio Management approach which is justifiable given that this document is a Programme Level Business case. For the option appraisal of which projects are included within the Portfolio, the process that will be adopted by the Portfolio and the criteria that will be used is set out below.

Project Options Appraisal Approach

The below selection process of projects will be adopted.



For a project to be endorsed for Legacy related funding and be included within the Portfolio, the following criteria should be met where **M** is Mandatory and **D** is Desirable:

- It aligns with one of the 5 themes within the approved Legacy Plan. (M)
- It supports the delivery of one or more KPI's as set out in the Corporate Performance and Delivery Plan. (D)
- A plan for delivering the initiative has been developed and is achievable. (M)
- A clear and realistic timeframe for delivery of the initiative has been developed. (M)
- Resource has been identified and is available to deliver/manage/evaluate the initiative. (M)
- The initiative is not already being delivered by another part of the organisation or Portfolio. (M)
- The applicant has endorsement from their head of Directorate. (M)
- The initiative has been costed and demonstrates Value for Money. (M)
- The benefits and outcomes are clear, achievable and measurable and a plan for evaluation has been developed. (M)
- The applicant has explored partnering opportunities. (D)
- The applicant has explored other means of obtaining funding. (D)

Portfolio Management Approach Options Appraisal (As Appraised in C2 below)

A number of options for the future delivery model for the Legacy were explored in February 2022 and set out in the Commonwealth Games Legacy Delivery Plan. This document was presented and approved by the CWG Legacy Committee on 4th February. The options set out in the document remain valid. The options considered were:

Option 1 – Directorate Led Approach. Each directorate would need to have a relevant sponsor, each directorate would need someone within the monitoring & tracking role.

Option 2 – Centrally Led Portfolio Approach. The relevant sponsor would sit centrally and be responsible for delivery and reporting across the organisation. A larger, centralised team would be required.

Option 3 – Hybrid Portfolio Approach (Preferred). A single programme-level sponsor corporately (centrally led), with project-level sponsors sitting within the directorates themselves (directorate-led). A centralised team will be needed to assist with monitoring, reporting, and stakeholder management.

Option 4 – Do Minimum: Do not pursue Legacy / Externally Led / Arms-Length Body Approach. Do nothing and not pursue Legacy ambitions from the Games or Establish (or commission) an external body or charity to work to develop information & Legacy monitoring and Legacy projects on behalf of Council.

C2. Summary of Options Appraisal – Price/Quality Matrix

	Option score (out of 10)				Weight	Weighted Score			
Criteria	**1**	**2**	**3**	**4**		**1**	**2**	**3**	**4**
1. Total capital cost	8	5	7	10	5%	0.4	0.3	0.4	0.5
2. Upfront revenue cost	8	5	7	10	2.5 %	0.2	0.1	0.2	0.3
3. Full year revenue consequences	8	5	7	10	2.5 %	0.2	0.1	0.2	0.3
4. Benefits: Council priorities	6	5	8	2	20%	1.2	1.0	1.6	0.4
5. Benefits: Service priorities	6	5	8	2	20%	1.2	1.0	1.6	0.4
6. Deliverability and risks	5	6	8	2	30%	1.5	1.8	2.4	0.6
7. Reputation	5	8	8	2	20%	1.0	1.6	1.6	0.4
8. Outward looking benefits (regional, nationally, internationally).	5	7	8	5	10%	0.5	0.7	0.8	0.5
Total	51	46	61	43	**100 %**	6.2	6.6	8.7	3.3

Further details of each option are given in the Options Appraisal Records attached at the end of this OBC.

C3. Option recommended, with reasons

Which option is recommended and the key reasons for this decision.

The Hybrid Portfolio option is the preferred option as it is considered the option with the greatest likelihood of success, and has been qualitatively assessed as the best balance between cost and benefits (as shown in the Summary table above).

The Hybrid option retains project creation, ownership, and delivery responsibility with those that are best placed to deliver and those who have the appropriate capability and experience.

The Hybrid option does not look to duplicate or create an entirely new delivery team. Instead, it provides oversight and acts to bring focus, consistency and structure to the delivery of CWG Legacy ambitions of the Council. This replicates the model adopted successfully in the delivery of the Commonwealth Games.

It will also act as a central point of contact with external parties, enabling closer stakeholder relationship management for Legacy projects.

The establishment of a central portfolio will also demonstrate to external partners that a robust management framework exists to manage and deliver the Legacy ambitions of the Council and provide a transparent and efficient oversight function.

The detailed projects within the Portfolio Council will continue to be developed by Directorates with a central assurance and oversight from the Portfolio. This will ensure that projects remain aligned and coordinated.

C4. Risks and Issues of the preferred option

The Portfolio will implement an effective risk management process, aligned with the Council's own risk requirements. The risk management process will monitor and reduce risk or identify opportunity by applying proportionate risk management, ensuring that the responsibility with managing risks sits with those who are best placed to deal with it.

As this is a Portfolio, the variety of projects within its remit are significant and highly variable. The majority of risks will be held at project and programme level. Each project within the Portfolio will be expected to implement their own proportionate Risk Management framework in line with Council and Directorate requirements.

Projects within the Portfolio will provide high level reports on Risk, Issues and Opportunities on and agreed basis so as to provide an awareness. The Portfolio Risk management framework will be established to ensure that there is not duplication and variance of risk reporting within the organisation.

Based on the initial risks and issues register, the top three identified risks, along with their mitigation, are outlined below:

Risk	**RAG Rating**	**Mitigation**	**Post Mitigation RAG**
The Portfolio fails to gain traction and become an effective vehicle to deliver games Legacy due to inadequate buy in from across the organisation. Instead, disparate initiatives are created, losing impact and ability to reconcile against the agreed legacy plan.	Red	The interim Legacy Director post has and will continue to engage with other Directorates to communicate the intentions and gain buy-in. Regular briefings to senior council members to be arranged.	Green
Macro-economic cost inflation erodes the ability to deliver value for money outputs and outcomes for projects, limiting the amount of	Red	An approach of early costing and a conservative approach to contingency planning will be used for projects within the portfolio. The portfolio approach itself will	Amber-Red

external funding that can be secured in competitive bidding.		assist in managing cost inflation for these strategically important projects, taking a view across all of the legacy programme.	
Appropriate governance of Legacy projects and future project opportunities is not enacted quickly enough to enable BCC to capture opportunities related to additional funding, resulting in significant budgetary challenges.	Red	A proportionate Governance framework has been developed and recorded in a Portfolio Management document. A Portfolio Board has been established comprising of senior members from across Directorates. A preliminary meeting was held in December 2022.	Amber

Whilst this Portfolio will have oversight of risks within the projects, this Portfolio will be the only place that will report on the overall risk status of not delivering the strategic Legacy outcomes, and therefore the Council's strategic vision. The other options considered would not provide this visibility of overall Risk.

An Outline Risks and Issues Register is attached at the end of this OBC.

C5. Other impacts of the preferred option

Describe other significant impacts, both positive and negative

The benefit of the proposed Legacy Portfolio approach is:

- A critical mass for CWG Legacy within the Council.
- A point of contact and interface with Partners.
- A group that has oversight across all projects and programmes with a Legacy theme.
- It endorses funding for Projects/Programmes with a Legacy theme thus supporting Strategic Alignment.
- It typically does not deliver individual projects instead leaving it to those who are best placed to deliver thus avoiding duplication.
- It brings focus, consistency, and structure to the delivery of CWG Legacy ambitions of the Council.
- It builds on a similar Portfolio approach used to effectively delivery the Commonwealth Games thus building on the Organisational Transformational Legacy of the Games.

D. COMMERCIAL CASE

This considers whether realistic and commercial arrangements for the project can be made

D1. Partnership, Joint venture and accountable body working

Describe how the project will be controlled, managed and delivered if using these arrangements

The overarching approach to the Council's CWG legacy portfolio does not involve formal partnership / joint venture / accountable body arrangements to be entered into by the Council. In the event that any individual projects would be more effectively delivered using these alternative arrangements, the details will be fully explored and set out in the individual project Full Business Cases, to be submitted for approval as project development progresses. These would then have a mechanism within the Portfolio to enable visibility of progress through partnership working.

It is expected that some projects will be funded from external sources. Of note would be funding of projects from the Games underspend (known as the 75%). This particular funding will be administered through an accountable body, the West Midlands Combined Authority (WMCA).

The WMCA's Single Assurance Framework (SAF) process is compliant with HM Treasury Green Book model has been proposed and the detail of such arrangement is being discussed. This Portfolio will have oversight of this process and undertake initial quality review of any Legacy-related projects progressing to seek funding from the WMCA.

D2. Procurement implications:

What is the proposed procurement strategy and route? Which Framework, or OJEU?

The overarching portfolio management approach does not have any direct procurement implications. Individual projects delivered as a part of the portfolio will however all have their own characteristics and requirements, which will be developed as a part of each individual project Full Business Case.

E. FINANCIAL CASE

This sets out the cost and affordability of the project

E1. Financial implications and funding (all assumed revenue)

	2022/23 £'000	2023/24 £'000	2024/25 £'000	Later £'000	Total £'000
Programme Team	**127**	**459**	**459**		**1,045**
Project Pipeline					
European Athletics 2026		1,000	2,000	10,700	13,700
European Football 2028				2,000	2,000
International Festival	500	2,500	2,000		5,000
Grass Roots Sport		2,000	3,000		5,000
Community Grants		2,000			2,000
City of Ideas (Museum)					tbc
Grass Roots Culture					tbc
Volunteering					tbc
Intergenerational Study		1,000			1,000
Total Project Pipeline	**500**	**8,500**	**7,000**	**12,700**	**28,700**
Total Expenditure	**627**	**8,959**	**7,459**	**12,700**	**29,745**
Estimated Funding					
BCC Share of CWG Underspend*		(23,500)			(23,500)
City Readiness Underspend**	(3,000)				(3,000)
Legacy Programme Underspend**	(300)				(300)
WMCA – CWG Underspend (EAC support)***		(5,000)	(8,700)		(13,700)
WMCA – CWG Underspend (Festival support)***		(2,500)	(2,500)		(5,000)
Total Estimated Funding	**(3,300)**	**(31,000)**	**(11,200)**		**(45,500)**
Net Funding (Surplus)/Deficit	**(2,673)**	**(22,041)**	**(3,741)**	**12,700**	**(15,755)**

Key:
* Underspend from the Commonwealth Games taken back from BCC's Games contribution (known as the 25%)
** Any underspend from the Commonwealth Games including from general Games underspend and the previous Community Fund budget (known as the £6m)
*** Securing a proportion of the underspend from the Commonwealth Games DCMS contribution managed by the Combined Authority (known as the 75%)

E2. Evaluation and comment on financial implications:

A number of the currently identified pipeline Games legacy projects have not yet been fully costed and are therefore included in the table at section E1 without costs. It is also important to note that there are a number of other potential projects to be potentially supported as a part of the Games Legacy - and at this stage these are identified in potential pipeline projects and require further work to define. As work progresses on these pipeline projects and should they be considered suitable to receive funding, the anticipated expenditure through the Legacy Portfolio is anticipated to increase to match the total level of funding available. This will be actively managed by the Portfolio to ensure that the portfolio does not overspend. Projects that do not meet the required criteria as set out in section C1 above, will not be recommended to receive funding from the Portfolio.

None of the identified funding sources set out in section E1 have been finalised at this time. The BCC share of CWG underspend (estimated at £23.5million) will revert to the Council under the terms of the overarching Games Funding Agreement between the Council and DCMS. This will be by way of a reduction in the Council's contribution to core Games costs, calculated as 25% of the final declared underspend on the delivery of the Games. Estimated underspends in relation to City Readiness and Legacy programme (estimated total £3.3million) relate to Council budgets for Games delivery that did not form a part of the core Games budget. Work is continuing to finalise the reconciliation of expenditure against these budgets and will be concluded prior to the end of the financial year.

Remaining funding identified from WMCA (known as the 75%) are derived from the DCMS share of core Games budget underspends, of which Government have agreed that approximately £70million will be retained for investment in Games Legacy within the West Midlands region by Games Partners. This funding is only available for the current Spending Review period (ending on 31 March 2025) and will be subject to WMCA approval of grant applications, anticipated to be managed through the application of the WMCA Single Assurance Framework. This funding is not yet secure, and in the event that applications are not successful, this will reduce the remaining funding available for future pipeline proposals.

E3. Approach to optimism bias and provision of contingency

Individual projects delivered under the overall portfolio approach will include appropriate and proportionate levels of contingency commensurate with the identified level of risk associated with the specific project. The detailed approach and level of contingency will vary on a case by case basis and will be set out in greater detail in each individual project Full Business Case.

E4. Taxation

Describe any tax implications and how they will be managed, including VAT

There are no specific tax or VAT implications arising from the portfolio approach to the management of the CWG legacy programme. Each project delivered as a part of this portfolio will however be rigorously reviewed and managed (particularly where there are specific risk areas relating to property or VAT partial exemption implications) to ensure that the overall impacts are effectively managed.

F. PROJECT MANAGEMENT CASE

This considers how project delivery plans are robust and realistic	
F1. Key Project Milestones	**Planned Delivery Dates**
Portfolio concept established and documented	December 2022
Interim operation of Portfolio	January 2023 – March 2023
OBC approval by Cabinet	March 2023
Availability of Games underspend funding	31st March 2023
Full operation of Portfolio (following Cabinet Approval)	March 23
Development of Full Business Cases for projects within the Portfolio	November 2022 – June 2023
Submission of Full Business Cases for individual projects	March 23 – September 23
Final Post Games Evaluation report issued	December 2023
International Festival 2023 (Proposed)	August 2023
International Festival (Proposed)	August 2024
Expiry of 75% funding	31st March 2025
EAC Championship	August 2026

F2. Achievability

Describe how the project can be delivered given the organisational skills and capacity available

This option has been assessed as very achievable. The proportionate approach proposed has been developed in consideration of industry best practice and by suitable experienced and skilled professionals experienced in similar work.

The proposed solution has also consulted with the organisation and drawn on existing processes and procedures from the Corporate Programme Management Office (CPMO). The Council's finance and procurement team have also been closely consulted and helped shape the proposed outcome to ensure that commercial and financial considerations are embedded.

The proposed approach draws on internal resources and skills to deliver.

Whilst the variedness and stakeholder complexity of the projects within the portfolio increase complexity overall, the complexity of the processes and procedures proposed are considered low. In order to implement the Portfolio, it does not require any additional or specific skills or capability to be developed/adopted. The resources ad skills could readily be redeployed within the organisation at conclusion.

The approach proposed is building on the Commonwealth Games experience and approach which was proven to be successfully adopted by the organisation and deliver outcomes. The proposed solution therefore in itself, is a positive organisational Legacy outcome of the Games.

F3. Dependencies on other projects or activities

The key dependencies are:

- Finalisation of the Games underspend budget as this will dictate the full magnitude of the Portfolio. This is expected Feb 23.
- Final confirmation of the accountable body who will administer the underspend budget. This is expected to be received from WMCA by end Feb 23.

F4. Products required to produce Full Business Case

This should be a full list of the items required in order to produce a Full Business Case.

This document outlines the establishment and operation of a Portfolio structure to manage Legacy related projects. It is not expected that it is necessary to move to an FBC for this proposal, as it would create a governance and monitoring structure rather than a specific intervention.

Once the Portfolio is established, it will enable a structure that can identify and develop new projects through its governance mechanisms.

It is the expectation that a series of Full Business Cases or similar will be produced on a project-by-project basis for Projects within the Portfolio. The Full Business Cases will be produced by the Directorate/team who will deliver the project and will be aligned to the requirements of the funding organisation (either BCC or where needed WMCA or Central Government funding requirements). Where feasible and beneficial, opportunities to consolidate Projects/Business Cases will also be explored to drive efficiencies.

Due to the varied nature of projects within the Portfolio, the products within each FBC will vary and be proportionate but will likely include:

- Project Design
- Strategic fit assessment
- Financial Plan including funding agreements/arrangements
- Delivery Plan
- Economic impact
- Social Impact Assessment
- Environmental Impact Assessment
- Whole of Life costings
- Tender details
- Consultation/Stakeholder Analysis
- Contract Management Plan
- Benefits Realisation Plan

F5. Estimated time to complete project development to FBC

Give an estimate of how long it will take to complete the delivery of all the products stated above, and incorporate them into a Full Business Case.

Given the relatively small level of funding required to establish a Portfolio approach to Legacy management, it is recommended that the Council approves the case for this governance at this stage. It is not proposed that a further FBC is produced for the Portfolio itself.

It is instead expected that individual FBC's will need to be completed for each emerging project in due course. As set out in the table in section F1 above:

- The development of business cases is expected to be complete between November 2022 and June 2023.
- The Approval of the Business Cases are expected to be between March 2023 and September 2023.

The timing of each Business Case will be project dependent and will be included within each project's plan. The Portfolio will liaise with the Directorates to monitor progress and have visibility over timing.

There may need to be a prioritisation of Business Cases aligned to both availability of resources if a constraint is identified and/or the timing/availability/expiration of funding.

F6. Estimated cost to complete project development to FBC

Provide details of the development costs shown in Section F1 above (capital and revenue). This should include an estimate of the costs of delivering all the products stated above and incorporating them into a Full Business Case. The cost of internal resources, where these are charged to the project budget, should be included. A separate analysis may be attached.

Similarly, to the timeline in F5 above, it is expected that a number of FBC's or similar will need to be completed for projects within the Portfolio.

The estimated cost of each Business Case will be project dependent and expected to be proportionate to the scale of the project itself.

F7. Funding of development costs

Provide details of development costs funding shown in Section F1 above.

Any estimated development costs will be on project-by-project basis and recorded in the relevant Business Base.

There are no expected direct development costs associated with the Portfolio itself.

F8. Officer support

Project Manager: To be appointed, interim Programme Manager in post currently

Project Accountant: Guy Olivant

Project Director: Andrew Newman

Project Sponsor: Graeme Betts

F9. Project Management

Describe how the project will be managed, including the responsible Project Board and who its members are

A proportionate approach which assumes Portfolio Management principles has been developed and will be adopted. This is recorded in the Legacy Portfolio Management Plan.

The management approach adopted for the portfolio is underpinned by the following principles:

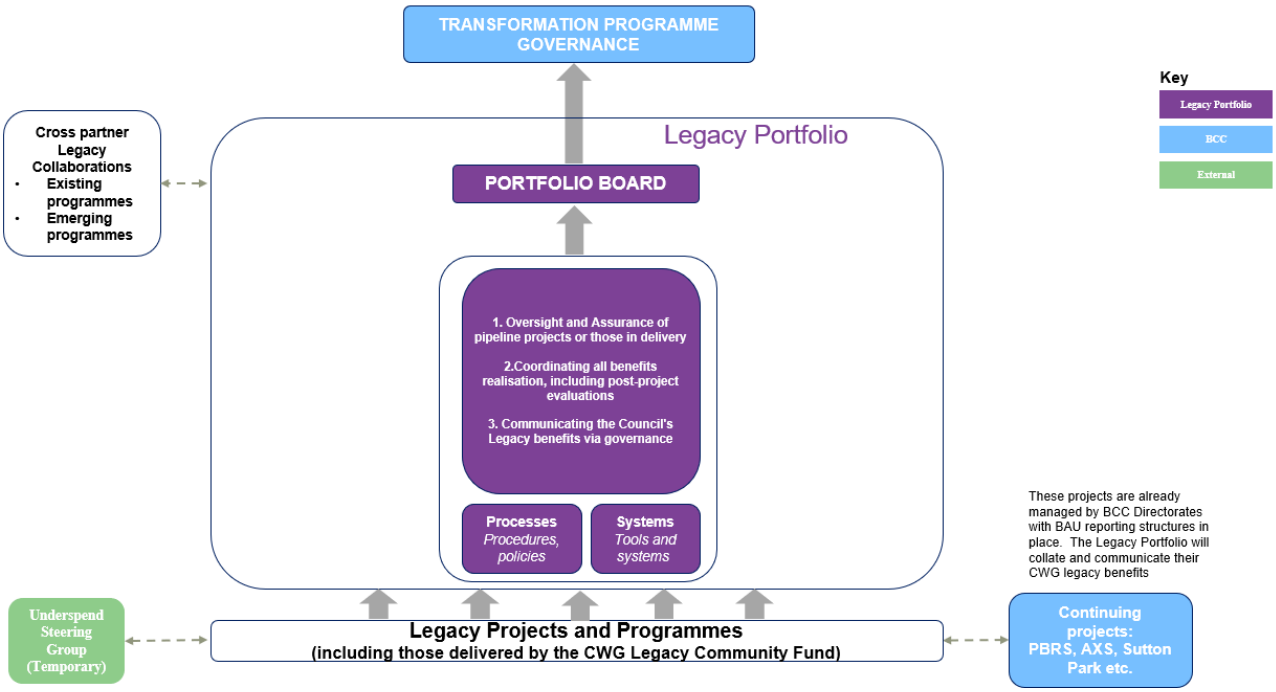
- A critical mass for CWG Legacy within the Council.
- A point of contact and interface with Partners.
- A group that has oversight across projects and programmes with a Legacy theme.
- It endorses (Not approves) funding for Projects/Programmes with a Legacy theme.
- It typically does not deliver individual projects.
- It brings focus, consistency, and structure to the delivery of CWG Legacy ambitions of BCC

The Portfolio Management Plan proposes that projects are delivered by those best placed to deliver (namely within BCC Directorates) with the Portfolio itself providing oversight focused on the delivery of BCC's agreed Legacy Plan objectives and wherever possible any wider Council Corporate Delivery Plan objectives.

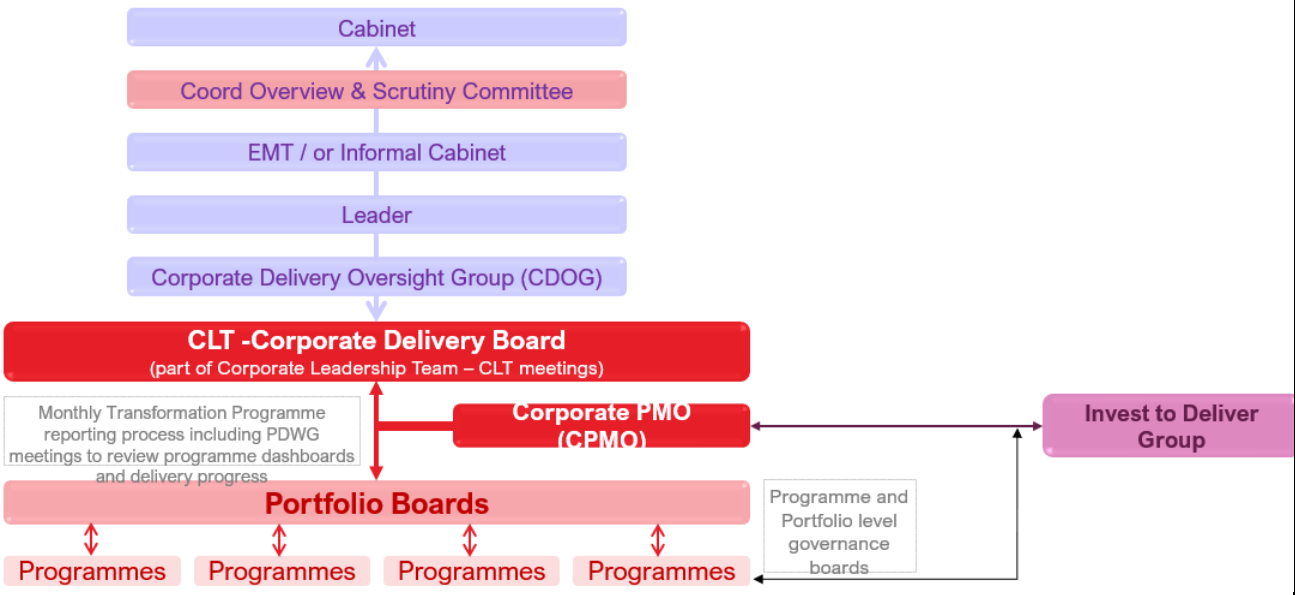
Each project within the Portfolio will be expected to have suitable and proportionate Project Management arrangements. These are likely to be variable give the nature of the Portfolio.

A Portfolio Board will be established chair by the Portfolio Sponsor Graeme Betts. The Portfolio Board will review progress of projects in delivering the agreed outcomes and overall progress of the Council with delivering the agreed Legacy Outcomes. Whilst the Portfolio Board will endorse spending, the funding is expected to flow through the Directorates and follow the existing Council Constitution. Terms of Reference have been drafted for the Portfolio Board along with role descriptions for those involved within the Portfolio.

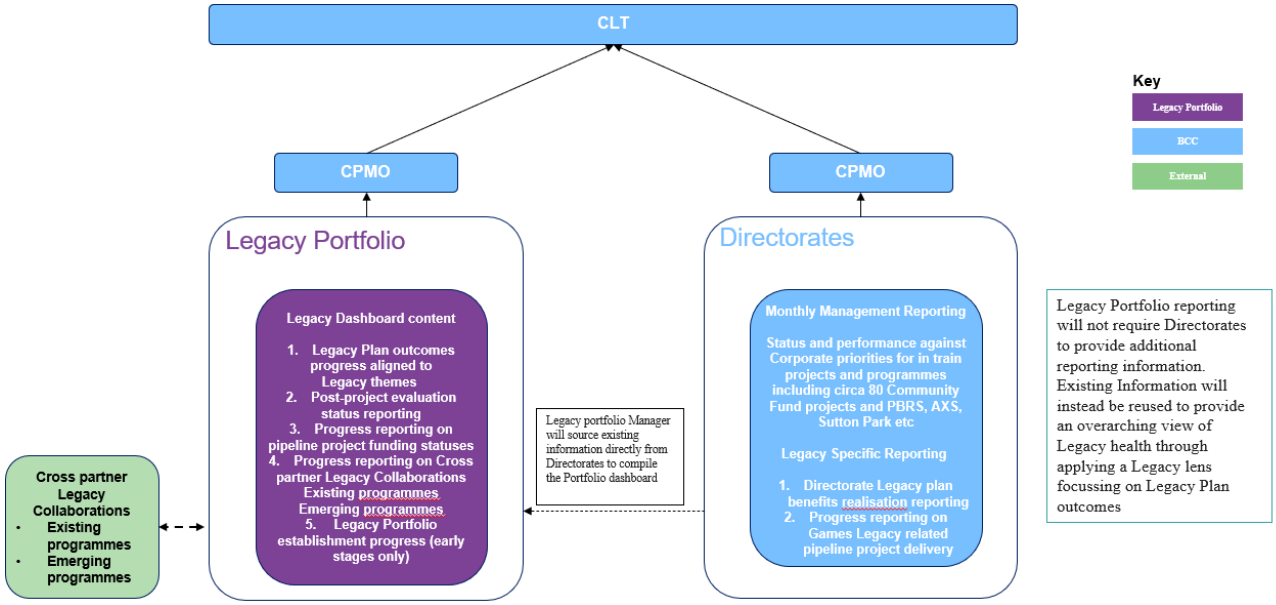
The below diagram shows the proposed Portfolio Management framework.



The below diagram shows how the Portfolio will report into the existing governance of the Council.



The below diagram shows how projects within the Portfolio will report on progress and risks and issues.



G. SUPPORTING INFORMATION

(Please adapt or replace the formats as appropriate to the project)

G1. OBC OPTIONS APPRAISAL RECORDS (these are summarised in section C2)

The following sections are evidence of the different options that have been considered in arriving at the proposed solution. All options should be documented individually.

Option 1	**Directorate-Led Approach** • Each directorate would need to have a relevant sponsor • Each directorate would need someone within the monitoring & tracking role
Information Considered	Using a qualitative assessment approach based on experience and industry knowledge, the following were considered when evaluating this option: • The likely cost (both revenue and capital) • The complexity of implementing and therefore likelihood of being effective • The likely reputational impact • The likelihood of benefits being realised in a consistent manner • Lessons Learned from the Commonwealth Games Programme.
Pros and Cons of Option	*What were the advantages/positive aspects of this option?* • Reduction in direct costs • Aligns with intention for CWG Legacy to be built into delivery plans *What are the Disadvantages/negative aspects of this option?* • Risk of irregular reporting & failing to comply with host city requirements • Less room for coherence & co-ordination across the programme and wider Council. • No central point of contact or body of knowledge. • Lack of visibility at corporate level over departmental progress, and therefore potential inability to intervene in a timely manner if required. • There may be duplication of tracking roles (e.g., monitoring & reporting) across directorates. • Directorates face issues with competing priorities – will these activities be their Core focus? • Competing challenges. • Funding challenges within the existing BAU teams.
People Consulted	This option was presented to the CWG Legacy Committee on 4th February 2022. The Legacy Committee comprised: Graeme Betts, Legacy SRO (chair); Cat Orchard, Head of Community Partnerships; Hannah Sparrey, Games Legacy and Policy Manager; Chris Jordan, Assistant Director Neighbourhoods, Dave Wagg, Head of Strategic Sport; Symon Easton, Head of Cultural Development; Richard Woodland, Capital Investment Officer; Waqar Ahmad, Assistant Director Community Safety and Resilience; Maria Gavin Assistant Director Adult Social Care; Razia Butt, Independent Education Advisor; Ilgun Yusuf Assistant Director Skills and Employability; , Jake Shaw, RAP & CP Head of Service, Birmingham Children's Trust; Surinder Jassi, Cohesion & Equalities Service Manager; Modupe Omonijo, Assistant Director Public Health.
Recommendation	Abandon
Principal Reason for Decision	This option will lead to inconsistency and no central point of focus for Legacy. A fragmented approach will impact the Council's ambition to realise the full benefits of the Games and realise future benefits. It will also likely dimmish credibility and confidence with Partners.

Option 2	**Centrally Led Portfolio Approach** • The relevant sponsor would sit centrally and be responsible for delivery and reporting across the organisation. • A larger, centralised team would be required.
Information Considered	Using a qualitative assessment approach based on experience and industry knowledge, the following were considered when evaluating this option: • The likely cost (both revenue and capital) • The complexity of implementing and therefore likelihood of being effective • The likely reputational impact • The likelihood of benefits being realised in a consistent manner • Lessons Learned from the Commonwealth Games Programme.
Pros and Cons of Option	*What were the advantages/positive aspects of this option?* • Provides corporate visibility across the Directorates • Provides the ability to intervene in a timely manner if required to achieve an outcome. • Cost of monitoring may have some efficiencies. • Oversight across the whole programme - encourages better team working. *What are the Disadvantages/negative aspects of this option?* • The activities within the Legacy Plan are often specialist to the department, and best understood by the department. • Risks a lack of ownership by the departments themselves • May increase the cost of delivery by requiring an additional central team more invested in delivery than otherwise required.
People Consulted	This option was presented to the CWG Legacy Committee on 4th February 2022. The Legacy Committee comprised of Graeme Betts, Legacy SRO (chair); Cat Orchard, Head of Community Partnerships; Hannah Sparrey, Games Legacy and Policy Manager; Chris Jordan, Assistant Director Neighbourhoods, Dave Wagg, Head of Strategic Sport; Symon Easton, Head of Cultural Development; Richard Woodland, Capital Investment Officer; Waqar Ahmad, Assistant Director Community Safety and Resilience; Maria Gavin Assistant Director Adult Social Care; Razia Butt, Independent Education Advisor; Ilgun Yusuf Assistant Director Skills and Employability; , Jake Shaw, RAP & CP Head of Service, Birmingham Children's Trust; Surinder Jassi, Cohesion & Equalities Service Manager; Modupe Omonijo, Assistant Director Public Health
Recommendation	Abandon
Principal Reason for Decision	This option is considered unrealistic and unlikely to be achievable. It is also the costliest option as leads to duplication and need to stand up an entirely new and effective Portfolio.

Option 3	**Hybrid Portfolio Approach** • A single programme-level sponsor corporately (centrally-led), with project-level sponsors sitting within the directorates themselves (directorate-led) • A centralised team will be needed to assist with monitoring, reporting, and stakeholder management
Information Considered	Using a qualitative assessment approach based on experience and industry knowledge, the following were considered when evaluating this option: • The likely cost (both revenue and capital)

	• The complexity of implementing and therefore likelihood of being effective • The likely reputational impact • The likelihood of benefits being realised in a consistent manner Lessons Learned from the Commonwealth Games Programme.
Pros and Cons of Option	*What were the advantages/positive aspects of this option?* • Buy in from Directorates is encouraged as delivery activities remain with the specialist teams. • Reporting can be standardised corporately across the Legacy programme. • The burden of reporting is centralised as much as possible (decreasing required touch points for the minimum reporting externally). • Corporate visibility over progress is retained. • The Core delivery team could be absorbed into existing corporate PMO. *What are the Disadvantages/negative aspects of this option?* • Directorates face issues with competing priorities – will these activities be their Core focus? • There may be additional resource cost for the corporate PMO due to additional responsibilities.
People Consulted	This option was presented to the CWG Legacy Committee on 4th February 2022. The Committee comprised of Graeme Betts, Legacy SRO (chair); Cat Orchard, Head of Community Partnerships; Hannah Sparrey, Games Legacy and Policy Manager; Chris Jordan, Assistant Director Neighbourhoods, Dave Wagg, Head of Strategic Sport; Symon Easton, Head of Cultural Development; Richard Woodland, Capital Investment Officer; Waqar Ahmad, Assistant Director Community Safety and Resilience; Maria Gavin Assistant Director Adult Social Care; Razia Butt, Independent Education Advisor; Ilgun Yusuf Assistant Director Skills and Employability; , Jake Shaw, RAP & CP Head of Service, Birmingham Children's Trust; Surinder Jassi, Cohesion & Equalities Service Manager; Modupe Omonijo, Assistant Director Public Health
Recommendation	Proceed
Principal Reason for Decision	This option was selected as the preferred option as: • Avoided duplication within the organisation • Enables visibility of progress across the breadth of legacy projects.

Option 4	**Do Nothing: Do not pursue Legacy / Externally Led / Arms-Length Body Approach** • Do nothing and not pursue Legacy ambitions from the Games, or • Establish (or commission) an external body or charity to work to develop information & Legacy monitoring and Legacy projects on behalf of Council.
Information Considered	Using a qualitative assessment approach based on experience and industry knowledge, the following were considered when evaluating this option: • The likely cost (both revenue and capital) • The complexity of implementing and therefore likelihood of being effective • The likely reputational impact • The likelihood of benefits being realised in a consistent manner Lessons Learned from the Commonwealth Games Programme.

Pros and Cons of Option	*What were the advantages/positive aspects of this option?* • Minimal/no capacity requirements for Directorates • Independent collection and assessment • Ability to capture requirements within a contractual framework *What are the Disadvantages/negative aspects of this option?* • For do nothing, likely loss of opportunity to deliver Commonwealth Games Legacy ambitions and build on success of Games. • Reputational impact. • No one representing Birmingham City Council interests. • If an external organisation delivers, potential increase in costs due to delivery and monitoring being undertaken by a third party • Corporate visibility issues. • Third parties unlikely to understand the structure of the Council; more likely to struggle with 'finding the right contact • Unlikely to be able to leverage emerging opportunities for additional funding to support wider BCC ambitions.
	This option was presented to the CWG Legacy Committee on 4th February 2022. The committee comprised of Graeme Betts, Legacy SRO (chair); Cat Orchard, Head of Community Partnerships; Hannah Sparrey, Games Legacy and Policy Manager; Chris Jordan, Assistant Director Neighbourhoods, Dave Wagg, Head of Strategic Sport; Symon Easton, Head of Cultural Development; Richard Woodland, Capital Investment Officer; Waqar Ahmad, Assistant Director Community Safety and Resilience; Maria Gavin Assistant Director Adult Social Care; Razia Butt, Independent Education Advisor; Ilgun Yusuf Assistant Director Skills and Employability; , Jake Shaw, RAP & CP Head of Service, Birmingham Children's Trust; Surinder Jassi, Cohesion & Equalities Service Manager; Modupe Omonijo, Assistant Director Public Health
Recommendation	Abandon
Principal Reason for Decision	This option would mean a greatly reduced likelihood of Legacy ambitions of the Commonwealth Games being realised and built upon. This would be a suboptimal outcome for BCC and likely lead to negative publicity.

G2. OUTLINE RISKS AND ISSUES REGISTER

Risks should include Optimism Bias, and risks during the development to FBC
Grading of severity and likelihood: High – Significant – Medium - Low

Risk Register

Birmingham City Council

Risk Ref	Date raised	Project / Workstream	Risk description and expected impact	Action(s)	Raised By	Risk Owner	Proximity of risk	Target resolution date	Direction of travel	Current risk assessment Likelihood	Impact	Score	Risk Status
1	28/10/2022	CWG Legacy	A Programme Manager is not appointed in time to drive progress on the proposals and projects, leading to lost opportunities to build on the Games momentum or uncoordinated activites.	JD written for Programme Manager. Consider fixed term interim appointment if permanent hire takes too long. Agree funding for role.	Peter Henderson	Portfolio Sponsor	Immediate	30/11/2022	Unchanged	5	4	20	Open
2	28/10/2022	CWG Legacy	Council spending priorities reallocate funds from the CWG Legacy budget to meet other urgent needs, reducing the scope and range of projects to deliver a sustainable legacy	Look for oppurtunities to secure funding, including from 3rd parties, to supplement and shore up the legacy projects. Develop comprehensive Business Case.	Peter Henderson	Portfolio Sponsor / Guy Olivant	1-3 months	31/03/2023	Unchanged	3	4	12	Open
3	28/10/2022	CWG Legacy	Directorates do not have resource available to develop proposals into deliverable projects, so funding cannot be allocated to deserving outcomes	Allocate a proportion of the budget to resource for turning ideas into structured and resourced projects	Peter Henderson	Portfolio Sponsor / Directorate Leads	1-3 months	31/03/2023	Unchanged	3	3	9	Open
4	28/10/2022	CWG Legacy	Projects in the Portfolio fail to deliver outcomes promised and / or achieve value for money, thus damaging the legacy reputation	Initiate only those projects most likely to deliver; rigorous monitoring of project vital signs to provide assurance to Exec Sponsor; implement a "kill early, kill often" approach to failing projects	Peter Henderson	Portfolio Lead	Long term	30/09/2023	Unchanged	3	4	12	Open
5	28/10/2022	CWG Legacy	There is such a variety of types of project that evaluation cannot be achieved with a simple, single method and communication of the benefits becomes burdensome to manage	Develop a reliable, proportionate method using pareto principles which will work satisfactorily for bulk of projects	Peter Henderson	Portfolio Lead	1-3 months	31/03/2023	Unchanged	4	3	12	Open
6	04/11/2022	CWG Legacy	The Portfolio fails to gain traction and become an effective vehicle to deliver Games Legacy due to inadequate buy in from across the organisation. Instead, disparate initiatives are created losing impact and ability to reconcile against the agreed Legacy	Clear mandate communicated to Council. Appointment of an empowered Portfolio Board. Adequate resource and budget allocated to establish and deliver portfolio.	Simon Payne	Portfolio Sponsor	1-3 months	28/02/2023	Unchanged	5	3	15	Open
7	01/11/2022	CWG Legacy	The Legacy Ambitions of the Portfolio are unclear and ambiguous. Legacy fails to gain traction andn momentum and deliver agianst the agreed CWG Legacy Plan.	Align all projects back to agreed Legacy Plan. Develop Comms materila to brief staff on the Portfolio and the Legacy Ambitins.	Simon Payne	Portfolio Sponsor	1-3 months	28/02/2023	Unchanged	4	3	12	Open
8	15/11/2022	CWG Legacy	The Legacy outcomes and benefits are not fully captured, recorded and communicated. The return on investment for the local commuity can not be demonstrated.	Commit reource to ensure that projects within the Legacy Portfolio are and continue to be suitably evaluated. Agree Comms campaign to to communicate benefits. Develop and implement Benefits Realisation plan for all future projects. For consistency, align to CPMO Benefits Realistaion approach.	Simon Payne	Portfolio Sponsor	1-3 months	23/12/2022	Unchanged	4	2	8	Open
9	28/10/2022	CWG Legacy	A Portfolio Director is not appointed in time to drive progress on the proposals and projects, leading to lost opportunities to build on the Games momentum or uncoordinated activites.	Andy Newman appointed to the role and to take up the role officially in January. JD written for Legacy Director. Consider fixed term interim appointment if permanent hire takes too long.	Peter Henderson	Portfolio Sponsor	1-3 months	13/01/2023	Improved	2	4	8	Open

The above is a copy of the current Portfolio Risk Register which has adopted the CPMO Risk Reporting format.

G3. Birmingham City Council Legacy Plan 2021

Birmingham City Council Legacy Plan 2021.pdf
Link: Birmingham City Council Legacy Plan 2021.pdf

G4. Legacy Portfolio Projects List

Headlines – Projects Summary

Status

Projects in:

Evaluation = 55

Progress = 11

Pipeline = 16

tbc = 1

Directorates

Adult Social Care = 2

Children and Families = 12

City Operations = 23

Place, Prosperity and Sustainability = 7

Public Health = 13

Strategy, Partnerships & Insight = 4

Legacy Theme

Thriving = 13

Welcoming = 17

Green Growth = 10

Aspiring = 11

Healthy = 19

BCC v Partner

83 = Project Total

61 = BCC owned

22 = Partner owned

Legacy Portfolio Projects List – Nov 22.pdf
Link: Legacy Portfolio Projects List - Nov 22.pdf

OBC version 2019 02 20

Birmingham City Council
Report to Cabinet
14TH FEBRUARY 2023

Subject:	FINANCIAL MONITORING REPORT 2022/23 QUARTER 3 (UP TO 31ST DECEMBER 2022)
Report of:	Director of Council Management and S151 Officer – Rebecca Hellard
Relevant Cabinet Member:	Councillor Yvonne Mosquito – Finance & Resources
Relevant O &S Chair(s):	Councillor Akhlaq Ahmed - Resources
Report author:	Director of Finance (Deputy S151 Officer) – Sara Pitt

Are specific wards affected? If yes, name(s) of ward(s):	☐ Yes	☒ No – All wards affected
Is this a key decision? If relevant, add Forward Plan Reference: 010139/2023	☒ Yes	☐ No
Is the decision eligible for call-in?	☒ Yes	☐ No
Does the report contain confidential or exempt information? If relevant, provide exempt information paragraph number or reason if confidential:	☐ Yes	☒ No

1 Executive Summary

1 The quarter 3 finance report attached as Appendix A is part of the City Council's robust financial management arrangements.

2 Recommendations
That the Cabinet:-

2.1 Notes that the Council faces a number of challenges in 2022/23. However, the Council is in a strong robust position with strong financial control processes in place. Reserves are healthy and within recommended limits.

2.2 Notes that it is now forecast that there is a forecast year end overspend of £11.0m. This is an improvement of £26.7m compared to the risk of overspend reported at Month 8. Work will continue to try to reduce this further. The financial resilience reserve will remain at more than adequate levels to meet our financial risks.

2.3 Approves an increase in the Capital Budget for 2022/23 of £5.1m as set out in paragraph 4.7 resulting in a revised capital budget of £728.6m.

2.4 Notes the forecast Capital spend is £581.9m. There is an increase in slippage of £86.7m from Month 8, as set out in paragraphs 4.8.

2.5 Notes the Treasury Management and Investment Portfolio Reports that are included in Appendix A at Annex 2 and 3.

2.6 Approves the use of £0.2m of General Policy Contingency as set out in paragraph 4.14.

2.7 Approves the writing off of debts over £0.025m as described in paragraph 4.15.

2.8 Notes that the Government has announced additional funding for local authorities to support the most vulnerable households in England with their Council Tax. This funding will allow councils to deliver up to £25 additional support to households already receiving council tax support. The reduction is expected to be applied to 2023/24 council tax bills. Birmingham's allocation is £3,035,699.

2.9 Approves this spending using its discretionary powers under s13A(1)(c) of the Local Government Finance Act 1992.

2.10 Notes that there will be an excess after these payments have been made. The Government has asked councils to use their discretion on using this by 'using a proportion of their allocation to establish their own local approach to helping economically vulnerable households with council tax bills.'

2.11 Approves for the agreement of this approach to be delegated to the Cabinet Member for Finance and Resources for approval.

3 Background

3.1 At the meeting on 22nd February 2022, the Council agreed a net revenue budget for 2022/2023 of £759.2m to be met by government grants, council tax and business rates. Appendix A sets out the high level financial position at Quarter 3.

4 Key Issues

Revenue position

4.1 Table 1 in Appendix A in Section 1 shows that there is a risk of a forecast year end overspend of £11.0m at Quarter 3.

4.2 Work is on-going to mitigate this risk of overspend by the year end. In particular, the spending controls are focussing on staffing, facilities management and procurement. We have in place measures to ramp up the benefit of these controls. We will continue to maximise the use of these controls.

4.3 We undertake a rolling review of our medium term budget and planning assumptions throughout the year, so are constantly looking at the pressures we are facing or may have to face in the future, giving us an early warning and time to react and put in place actions to manage impacts.

Capital Programme

4.4 A capital budget of £531.7m was set in the Financial Plan 2022/23 and approved by full Council on the 22nd February 2022. Like all financial years capital spend is weighted towards the later end of the year, and often spend will slip in to the following year due to the complex nature of many of the capital projects.

4.5 Following slippage at the end of 2021/22, Cabinet of 11th October approved an increase of £162.7m to the Capital budget for 2022/23 from £531.7m to £694.4m.

4.6 At Quarter 2 the Capital programme for 2022/23 has increased by a further £29.0m due to new projects being approved and new grant allocations from Government, giving a revised total Capital programme of £723.4m.

4.7 At Quarter 3 the Capital programme for 2022/23 has increased by a further £5.1m to £728.6m.

4.8 Slippage within the Capital programme of £60.0m had been identified by Month 8. Further slippage of £86.7m has been identified at Month 9 giving a revised forecast spend of £581.4m – further details are provided in Appendix A Section 9.

Treasury Management and Investment Portfolio

4.9 Gross loan debt is currently £3,274m, with the year-end projection estimated to be £3,285m, below the planned level of £3,452m. The annual cost of servicing debt represents approximately 29.6% of the net revenue budget. The planned level of debt and annual cost of servicing debt includes over £200m borrowing for the Enterprise Zone (EZ), to be financed from Business Rates growth within the EZ.

4.10 The Council resumed short-term borrowing in the last quarter, in line with the current Treasury Management Strategy, and this is currently at £305m. Short-term borrowing rates are higher than planned due to the scale of interest rate rises since the Financial Plan was set. Given the rising interest rate environment, the Council has sought to reduce refinancing risk by taking long-term borrowing from the Public Works Loan Board (PWLB).

4.11 The outlook for borrowing costs remain uncertain as the Bank of England looks to bring inflation to target and as the UK economy enters recession territory; however, further Bank Rate rises are still expected. Treasury Management costs for 2022/23 are expected to remain at budget based on mitigations being taken such as maintaining a balanced loans portfolio and seeking optimal borrowing rates. There is a risk that further volatility in the financial markets could push treasury management costs up before the end of the financial year.

4.12 Details are set out in the Appendix A Annex 2.

4.13 The Investment Portfolio is reported in Appendix A Annex 3.

Policy Contingency

4.14 The Council has received a request from the Commissioner under his section 7a powers for a full financial audit of SENDIASS to be undertaken with particular regard to budgetary control of financing and staffing budgets. The audit is to be undertaken independent the Council's own Audit Service and therefore commissioned externally. It is proposed to fund the cost of £0.2m from General Policy Contingency.

Write-Offs

4.15 The schedule at Appendix A, Annex 2 paragraph 2.4 summarises debts recommended for write off of over £0.025m.

5 Options considered and Recommended Proposal

5.1 CLT have recently adopted a set of budget management principles to ensure the delivery of a balanced budget this year whilst delivering Best in Class Services. These principles include the agreement that all overspends, demands, growth and pressures should be managed and contained at a Directorate level. Any residual gap must be managed across CLT collectively.

6 Consultation

6.1 The Leader and Cabinet Members, Directors and the City Solicitor have been consulted in the preparation of this report.

6.2 There are no additional issues beyond consultations carried out as part of the budget setting process for 2022/23.

7 Risk Management

7.1 The monitoring of the Council's budget and the identification of actions to address issues arising, as set out in this report, are part of the Council's arrangements for the management of financial issues.

8 Compliance Issues:

8.1 How are the recommended decisions consistent with the City Council's priorities, plans and strategies?

8.1.1 The budget is integrated with the Council Financial Plan, and resource allocation is directed towards policy priorities.

8.2 Legal Implications

8.2.1 Section 151 of the 1972 Local Government Act requires the Chief Finance Officer (as the responsible officer) to ensure the proper administration of the City Council's financial affairs. Budget control, which includes the regular monitoring of and reporting on budgets, is an essential requirement placed on Directorates and members of the Corporate Management Team by the City Council in discharging the statutory responsibility. This report meets the City Council's requirements on budgetary control for the specified area of the City Council's Directorate activities.

8.2.2 Section 111 of the Local Government Act 1972 contains the Council's ancillary financial and expenditure powers in relation to the discharge of its functions.

8.3 Financial Implications

8.3.1 The Appendix attached gives details of the risks, potential financial pressures the city council faces and actions to be taken to ensure service delivery within available resources.

8.3.2 Rigorous spend controls are in operation and we are continuing to undertake due diligence around the value of overspending identified. We are also continuing to review our reserves and release these where no longer required. Whilst we are monitoring progress on mitigations, there is no guarantee that this will mitigate in full the level of risk of overspend at the year end.

8.3.3 Slippage within the Capital programme of £146.7m has been identified at Quarter 9. However, it is important to note that no financial resources will be lost if there is slippage in the programme's expenditure at the end of the financial year. The resources and planned expenditure will be "rolled forward" into future years.

8.4 Procurement Implications (if required)

8.4.1 N/A

8.5 Human Resources Implications (if required)

8.5.1 N/A

8.6 Public Sector Equality Duty

8.6.1 There are no additional Equality Duty or Equality Analysis issues beyond any already assessed in the year to date. Any specific assessments needed shall be made by Directorates in the management of their services.

9 Background Documents

9.1 City Council Financial Plan 2022/23 approved at Council 22nd February 2022

9.2 Quarter 1 Financial Monitoring Report approved by Cabinet 26th July 2022

9.3 Month 4 – Resources Overview and Scrutiny Committee 8th September 2022

9.4 Month 5 Financial Monitoring Report approved by Cabinet 11th October 2022

9.5 Quarter 2 Financial Monitoring Report approved by Cabinet 8th November 2022

9.6 Month 7 Financial Monitoring Report approved by Cabinet 13th December 2022

9.7 Month 8 Financial Monitoring Report approved by Cabinet 17th January 2023

Report to Cabinet – 14th February 2023

Quarter 3 (Month 9) Financial Monitoring Report 2022/23

1. High Level Summary Financial Position

1.1 Due to the extraordinary economic situation nationally, it has been agreed that a high level exception based Financial Monitoring Report will be provided to Cabinet each month in between more detailed quarterly reports.

1.2 At the Council Meeting on the 22nd February 2022 Birmingham City Council approved a net revenue budget of £759.2m for the 2022/23 financial year. This report sets out the high-level financial performance against that budget at the end of Quarter 3 (Month 9).

1.3 The City Council's strategic aim is to deliver a balanced revenue position by the end of the financial year. The council has implemented a return to rigorous spending controls from July 2022 in light of the risk of a significant financial overspend if not addressed.

1.4 The spending controls focus on staffing, facilities management and procurement. We have in place measures to ramp up the benefit of these controls. We will continue to maximise the use of these to bring down the overspend further.

1.5 The MTFP contains budget savings currently due to be delivered in future years. We continue to explore the opportunities to deliver future years savings sooner.

1.6 The City Council is implementing a transformation programme under the three pillars of People, Place and Fit for Purpose Council and where safe to do so these need to be delivered faster, meaning that the financial benefits are achieved ahead of schedule.

1.7 We are undertaking a rolling review of reserves and balances to ensure that monies are being fully utilised for example Section 106 and Community Infrastructure Levy (CIL), specific grants including Public Health. **£7.6m** of covid reserves have been used to support relevant spend. We have also looked to reduce other reserves where levels of reserve are no longer required, or spending is funded elsewhere outside of general fund and this action has released **£35.3m** from reserves.

1.8 Taking all these actions into account the forecast risk of overspend for Quarter 3 (Month 9) now stands at **£11.0m** as shown in Table 1. This is an improvement of **£26.7m** since the Month 8 report, following a further review of our reserves where the reserve is no longer required or where we can use an alternative funding route to support delivery of council objectives. In particular, there is a release of **£21.5m** of reserves no longer required and an underspend on Policy Contingency of **£9.5m**. Further details are provided in Section 2.

1.9 We continue to assume delivery of our budgeted savings and are closely monitoring the delivery of these. Since Month 8, the values of savings rated as

high risk has remained the same at **£4.1m.** Further details are provided in Section 3.

1.10 This has been a particularly tough year given the cost of living crisis and the additional demands that places on our services. Due to the extraordinary economic shocks this year, the Council considers it reasonable to use £36.4m of the Financial Resilience Reserve (FRR) as set out in paragraph 1.18. We will continue to spend only on essential items for the remaining quarter of the financial year.

1.11 It is important to note that the expected balance remaining in the FRR will continue to be more than sufficient to cover the risks identified in Appendix E of the Financial Plan.

Table 1: High Level Summary of Forecast Position

Table 1 :High Level Summary	A	B	C	
Directorate	**Budget**	**Forecast Outturn**	**Total Over/(Under) Spend**	**Var FC**
	£m	**£m**	**£m**	
Children & Families	329.589	377.044	**47.455**	47.455
City Operations	193.578	202.578	**9.000**	9.000
City Housing	15.369	23.069	**7.700**	7.700
Place, Prosperity and Sustainability	61.844	61.844	**0.000**	0.000
Strategy, Equalities and Partnerships	6.479	6.479	**0.000**	0.000
Adult Social Care	357.745	361.162	**3.417**	3.417
Council Management	38.394	42.571	**4.177**	4.177
Directorate Sub Total	**1,002.998**	**1,074.747**	**71.749**	**71.749**
Corporate Budgets	(243.766)	(212.988)	**30.778**	30.778
Use of Financial Resilience Reserve		(36.378)	**(36.378)**	(36.378)
Use of Covid Reserve		(7.800)	**(7.800)**	(7.800)
Release of Cyclical Maintenance Reserve		(8.235)	**(8.235)**	(8.235)
Release of Other Reserves		(21.813)	**(21.813)**	(21.813)
Postponing contribution to Cyclical Maintenance Reserve		(0.590)	**(0.590)**	(0.590)
Use of Policy Contingency to fund electricity and fuel costs		(5.700)	**(5.700)**	(5.700)
Other Corporate Underspends		(11.010)	**(11.010)**	(11.010)
Corporate Subtotal	**(243.766)**	**(304.514)**	**(60.748)**	**(60.748)**
City Council General Fund Budget	**759.232**	**770.233**	**11.001**	**11.001**

1.12 Further details of overspending and mitigations are provided in section 2 of the report.

Spend Controls

1.13 In August we reported on the re-introduction of rigorous spending controls to mitigate against the forecasted risks. Three Spend Control Panels are in place in relation to Workforce, Procurement, and Property & Facilities Management.

a. Workforce

1.14 In summary, the workforce spend controls focus on vacancy management and reducing the use of consultants, interims and agency workers wherever possible. To date £2.2m is reflected from underspending against budgeted establishment.

b. Procurement

1.15 The aim is to apply controls to all contracts in order to manage inflation and deliver value for money. High levels of inflation do make it more difficult to achieve savings on contracts. We continue to seek best value for money in each contract and challenge the need for spend at each stage in the procurement gateway process.

c. Property & Facilities Management

1.16 The controls in place for this area relate to stopping non-essential spend whilst ensuring essential health and safety requirements are met. The Panel retains a detailed position statement on items approved/rejected. We are in the process are separating out achievement of these cost reductions from overall directorate mitigations within the overall management of their budgets. It is estimated that £1.5m of facilities management savings will be achieved. We have reviewed the property cyclical repairs reserves, and determined that £8.2m can be released from reserves in this financial year. The budgeted contribution to the general cyclical maintenance reserve for 2022/23 is £0.6m which we recommend is not actioned this year.

1.17 Table 2 summarises the savings identified so far through spend controls notwithstanding the actions ongoing referred to above.

Table 2: Detail of savings identified through spend controls

Directorate	Saving	Spend Controls (£m)
Adult Social Care	Employee Savings-Community & Social Work Operations	1.200
Adult Social Care	Employee Savings-Commissioning	0.600
Adult Social Care	Non-essential spend controls across the Directorate	0.386
Corporate	Facilities Management saving to be allocated	1.500
Total		**3.686**

1.18 Table 3 summarises the forecast uses and releases of reserves to mitigate the risk of overspend. Please note that all the forecast uses and releases of reserves can be seen in column E of Table 9 below paragraph 6.28. Should there be further income shortfalls due to the Cost of Living crisis, other than the £4.6m reported by Adults Social Care, then the Council will use the FRR to cover these.

Table 3 Use / Release of Reserves to mitigate risks

Directorate	Risks	Use of FRR (£m)	Use of Covid Reserve (£m)	Release of Other Reserve (£m)	Total (£m)
Children & Families	Inclusion and SEND			(5.345)	**(5.345)**
Adult Social Care	Potential Income shortfall	(4.600)			**(4.600)**
Corporate	Forecast costs of Pay Award above budget	(14.878)			**(14.878)**
Corporate	Forecast costs of energy for Corporate Estate above budget	(10.900)			**(10.900)**
Corporate	Cost of Living Emergency	(5.000)			**(5.000)**
Corporate	Sports and Leisure Income Shortfall	(1.000)			**(1.000)**
Corporate	Release of Cyclical Maintenance Reserve			(8.235)	**(8.235)**
Corporate	Release of Other Reserves following review			(21.813)	**(21.813)**
Corporate	Use of Covid Reserve		(7.800)		**(7.800)**
Total		**(36.378)**	**(7.800)**	**(35.393)**	**(79.571)**

2 Movements in Directorate Forecast

2.1 Below are details of where Directorate forecasts have changed from the net risks reported at Month 8.

Children and Families-increase in forecast overspend £1.7m

2.2 **SENDIASS (Projected Year End overspend of £0.6m, deterioration of £0.1m Since Month 8)**

There is an immediate need to determine the required future service delivery levels and seek funding contributions from partner organisations to address any resulting budgetary gap from 1st April 2023. This forecast overspend is therefore limited to 2022/23 only and will not continue into 2023/24.

2.3 **SEND Early Help (Projected Year End overspend of £0.4m, improvement of £0.1m Since Month 8)**

This forecast overspend is limited to 2022/23 and will not continue past March 2023 into 2023/24 as the service is in the process of transferring to BCT and being absorbed within their existing Early Help offer.

2.4 **Birmingham Children's Trust (BCT) (Projected Year End overspend of overspend of £26.8m, deterioration of £1.6m Since Month 8)**

BCT is a commissioned service and is reporting a forecast overspend as follows: The current 2022/23 forecast position **is a net pressure of £26.8m** in relation to placement costs which represents a 1.7% increase on placement budgets and 0.7% in respect of the overall Trust budget. This is an increase of £1.6m to the forecast previously reported.

As predicted the care population is increasing at the rate of 3.7% however the Trust did not receive any uplift in the base budget to reflect this. Savings in previous years on employee budgets have not been able to be sustained as demand pressure at the front door has continued to increase.

Complexity of need continues to impact with the number of children with a placement cost more than £5,000 per week increasing from 41 to 81 children. At the same time activity across Family Group Conferencing, Breaking the Cycle and Safer Families work demonstrates significant levels of cost avoidance.

The key areas of pressure relate to residential and supported accommodation which reflects a mixture of market failure in terms of lack of availability and higher levels of inflation.

Challenges also remain in respect of fostering places despite a net increase in the number of internal foster carers in the year to date. Work continues in the Trust across a number of areas to manage demand including a review of externally commissioned assessments which is also under pressure due to volumes of demand.

City Operations- reduction in forecast overspend £1.5m

2.5 **Highways & Infrastructure (projected year end £8.0m overspend, improvement of £1.5m since Month 8)**

Pressure of £5.7m on street lighting electricity following significant cost increases and projected shortfall of £2.3m on Parking income. This is an improvement in the forecast of £1.5m since month 8 due to improved income levels recorded on the ledger. Parking income continues to under recover due to reduced demand following the success of strategies, such as the CAZ, to encourage movement away from using cars in the city centre and changing habits following the pandemic. Potential expenditure mitigations still need to be investigated. A review of the parking offer is underway and will inform a longer-term study.

Council Management- increase in forecast overspend £4.0m

2.6 **Revenue and Benefits (projected year end overspend £3.7m, deterioration of £3.7m since Month 8)**
There is a risk that there will be a shortfall in income from court costs of £3.7m, due to delays in being able to take recovery actions through the courts. Recovery action has now begun to take place, so income from court costs should start to come through. This risk had not been previously reported, so is an increase in the risk of £3.7m. The service is exploring mitigating options to reduce the overspend.

2.7 **ITDS (projected year end £0.3m overspend, deterioration of £0.3m since Month 8)**
This variance is caused by additional costs relating to Oracle, including ERP Roadmap, ERP functional support and Winshuttle replacement. Some of these costs are likely to impact future financial years.

Adult Social Care – no overall change in forecast overspend

2.8 There is no overall change in the forecast overspend for Adult Social Care, however there was a deterioration of £1.2m on Packages of Care, offset by improvements of £1.2m, mainly in Community and Social Work. More details are provided in Annex 1 paragraphs 1.10 to 1.15.

Corporate – increase in net mitigation of £30.9m

2.9 From a review of Policy Contingency, it has been identified that there is likely to be an underspend of **£9.5m.**

2.10 From the on-going rolling review of reserves and balances, it has been identified that **£21.8m** can be released.

2.11 There is a reduction of **£0.4m** in the forecast use of the FRR to cover the Adult Social Care in year income shortfall.

3 Savings / Income Targets

3.1 Like previous financial years the Financial Plan includes budgeted savings; for 2022/23 these total £40.8m. There are also previously undelivered savings of £2.1m that are being monitored for delivery in this year.

3.2 The individual forecasts for each underlying savings / income target have been RAG rated and are summarised in Table 4 below.

Table 4: Savings Risks 2022/23

Risk Profile	Month 8 (£m)	Month 9 (£m)	% of target
Delivered	11.584	11.484	27%
Covered through use of Budget Smoothing Reserve	8.855	8.855	21%
Low Risk	13.245	12.964	30%
Medium Risk	5.032	5.413	13%
High Risk	4.149	4.149	10%
Total	**42.865**	**42.865**	**100%**

3.3 At this stage in the financial year, this risk profile is as expected and reflects the known challenges in delivering these targets.

3.4 Table 4 shows that of the £42.9m savings / income to be delivered in 2022/23, £4.1m is currently rated high risk. Savings scored as high risk are not deemed as undeliverable and work is in progress to realise these targets. The budget gap detailed in Table 1 assumes that all savings will be delivered, reduction in delivery will increase the gap.

3.5 There were no major changes in Month 9. There was a net movement of £0.4m of savings from low risk to medium risk, and a movement of £0.1m of savings from delivered to low risk.

3.6 This tracking of savings / income targets is incorporated into the Corporate Programme Management Office monthly reporting to ensure programme delivery is tracked along with the delivery of savings / income targets to provide assurance and visibility of delivery.

4 Capital

2022/23 Capital Monitoring as at Month 9

4.1 The revised capital budget for 2022/23 at Month 9 is £728.6m, a net increase of £5.1m from Month 8.

4.2 As at Month 9 capital spend for the year is projected to be £581.9m. This is a further variation of £86.7m from the position reported at Month 8. This reduction relates to slippage on various projects and programmes – details are provided in paragraphs 4.5 to 4.19 below.

4.3 During Month 10 work further is being undertaken with Directorates and project managers to explore opportunities to reprofile or review capital projects. This will inform the 2022/23 projection as well as future year budgets.

4.4 Movements in the budget of a net £5.1m have taken place since month 8:

Table 5: Movements from the Month 8 Budget 2022/23

Directorate	Amount in 22/23	Capital Project	Funding	Cabinet Approval
Council Management – IT&D	£3.012m	New Ways of Working	Capital Receipts	July 2021
City Operations – Parks & Nature Conservation	£0.101m	City of Nature	Community Infrastructure Levy (CIL)	February 2022
City Operations – Community, Sport & Events	£0.324m	Quinborne Community Centre	Service Prudential Borrowing	April 2022
City Operations – Bereavement Services	£2.250m	Yardley Cemetery	Service Prudential Borrowing	March 2022
City Operations - Highways	£(0.198)m	Various adjustments to reflect the revised Transport & Highways Capital programme (THCP) report.		Various adjustments to reflect the revised THCP report.
Place, Prosperity & Sustainability – Planning & Development	£0.804m	Former Erdington Baths - Weatherproofing	CIL	October 2022
Place, Prosperity & Sustainability – Planning & Development	£0.282m	Technical adjustment to ledger to show correct budget on Ledger	Various	
Place, Prosperity & Sustainability – Planning & Development – Public Realm	£(0.873)m	Technical adjustment to ledger to show correct budget on Ledger	Various	
Place, Prosperity & Sustainability – Transport Connectivity	£(0.557)m	Various adjustments to reflect the revised Transport & Highways Capital Programme (THCP) Cabinet report 2022-2028	Various	March 2022
Total	**£5.145m**			

Allocations of £1.364m have been made from this year's £5m Capital Continency budget as follows

Table 6: Allocations from Capital Contingency Budget

Directorate	Amount in 22/23	Capital Project	Funding	Cabinet Approval
City Operations – Community, Sport & Events	£0.594m	Kings Heath & Ladywood CC – Replacement Boilers – allocation from Corporate Capital Contingency	Corporate Prudential Borrowing	
City Operations – Community, Sport & Events	£0.342m	Handsworth Wellbeing Centre – allocation from Corporate Capital Contingency	Corporate Prudential Borrowing	April 2022
City Operations – Mortuary & Coroners Services	£0.428m	Youth Court – allocation from corporate capital contingency	Corporate Prudential Borrowing	April 2021

Further Forecast Variations £86.7m:

4.5 Following a review of the capital programme with Project and Programme Managers, further slippage of £86.7m of capital spend has been identified for re-phasing into future years.

4.6 It is important to note that no financial resources will be lost if there is slippage in the programme's expenditure at the end of the financial year. The resources and planned expenditure will be "rolled forward" into future years.

4.7 The main reasons **(>£1m)** for the forecast variation are detailed below:

Commonwealth Games 2022 - £(11.2)m –

4.8 Realignment of resources from the Commonwealth Games 2022/23 budget to support the legacy works to the Alexander Stadium and Perry Park as set out in the FBC approved by Cabinet in October 2022 – profiled for spend in 2022/23 and 2023/24.

Council Management – net slippage £(3.5)m, includes major variations of:

4.9 **Corporate Capital Contingency – underspend of £(3.6)m –** A contingency budget of £5m was set at the start of the year for unforeseen events. £1.4m has been allocated to fund new projects, as approved by Cabinet (see Table 2 above). Currently there are no further needs identified and it is likely the remaining budget of £3.6m will not be required in this financial year and therefore reported as an underspend.

4.10 **ICT&D – slippage of £(1.5)m –** Since December 2021 the high-level Digital Strategy has been approved by Cabinet and the reprofiled budgets has been phased for the initial delivery, with further elements to be expended through 2023/24. This has resulted in the slippage of (£0.951m) to be predominantly spent in 2023/24 on Low Code Deployment, application rationalisation and associated

Digital projects. (£0.34m). Slippage on the Application Platform Modernisation scheme funded by Flexible Use of Capital Receipts, is due to a change in timing of the SAP archiving to tie in with audit / ongoing business need. Slippage of (£0.186m) on the Corporate Voice Telephony Scheme, as the contract centre procurement has paused pending the outcome of wider consultancy work being conducted at a corporate level focusing on wider cost reduction.

City Operations – net £3.0m – all minor variations.

City Housing - £(10.6)m – includes major variations:

4.11 **HRA - Housing Improvement Programme – additional slippage of £(9.5)m –** of which (£5.6m) is slippage on the Retrofit programme - the design process is ongoing and has proved to be more involved than originally anticipated which has led to the switching of design solutions on some archetypes. This has delayed the costing process and hence delayed the start of the works. Other net slippage of (£5.7m) is due to delays in obtaining licence agreements to allow structural works for High Rise blocks and delays in agreeing technical solutions with the engineers on the LPS pilot block. The net overspend of £1.8m is related to additional unforeseen works at Lyndhurst Estate for balcony works and additional demand for Aids and Adaptations works.

Place, Prosperity & Sustainability - £(52.3)m, includes major variations of:

4.12 **Enterprise Zone - £(6.2)m –** Forecast amended in line with the Greater Birmingham & Solihull Local Enterprise Partnership (GBSLEP) approved Enterprise Zone programme.

4.13 **Planning & Development – Other Major Projects - £1.1m –** £0.804m New budget added for Erdington Baths Weatherproofing. Approved by Cabinet in October 2022. £0.282m other minor variations.

4.14 **Transport & Connectivity Major Schemes - £(5.8)m –** The £5.8m increase in slippage from Month 8 relates to smaller projects variations that are all under £1m. These schemes are 5 year programmes that haven't been developed in 2022/23 and will be developed in future years.

4.15 **Transport & Connectivity Brum breathes & Route to Zero - £(17.9)m -** The slippage relates to Clean Air Zone (CAZ) mitigation fund. The spend is demand led involving fairly low levels of grant expenditure to private individuals, organisations, and companies. While the CAZ Team has made continuous efforts to encourage applications for the funds (and has revised the offer wherever possible), the delayed launch of the CAZ, higher than assumed levels of compliance in key vehicle types and the current cost of living crisis has meant that demand for CAZ grants is relatively low and is not expected to improve significantly for the foreseeable future.

4.16 **Transport & Connectivity Public Transport - £(1.6)m –** The slippage mainly relates to new schemes that were approved by Cabinet in March 22 within the

Transportation & Highways 6-year forecast. These schemes are in the initial outline design phase and require a full business case for the works commence, it is envisaged that these schemes will be developed in 2023/24. The Public Transport programme also includes schemes that Transport for West Midlands (TfWM) funded and led, these schemes have also been delayed due to other pressures within both organisations.

4.17 **Transport & Connectivity Infrastructure Development - £(2.5)m –** The slippage relates to additional City Region Sustainable Transport Settlement (CRSTS) funding received to design and deliver local transport network investments. The funding will be utilised to develop transportation infrastructure in future years.

4.18 **Property Services Property Strategy - £(17.5)m** – This budget is used as and when suitable opportunities arise. It does not represent a target acquisition programme. A number of significant acquisitions have competed this year totalling £47.0m. There are currently no acquisitions in progress and given the due diligence required for new opportunities it is unlikely any further acquisitions will complete before the financial year end. The remaining budget will be slipped into future years for acquisitions as and when opportunities arise.

Children & Families – £(8.1)m –

4.19 **Basic Need – Additional School Places - £(8.1)m slippage pending the** development of schemes such as North Birmingham Academy which will go to Cabinet in February 2023. Due to the additional secondary school places required for 23/24+, there are also the other secondary school options that are currently under consideration.

Risks and Issues:

4.20 Delivery of the Capital Programme is being closely monitored over the year. There remain risks to delivery, particularly relating to cost pressures and material shortages for construction projects. Project Managers are constantly keeping these under review and appropriate actions taken to mitigate the impacts.

Capital Receipts:

4.21 The 2022/23 revised budgeted target of capital receipts is £42.1m. At present £15.3m of receipts have been achieved, £6.0m against the General Disposal Programme and £9.3m against the Commercial Portfolio that will be reinvested in the Commercial Portfolio. There are identified disposals at various stages of the disposal process for the remainder of the target. It should be noted that the disposals programme is back-end loaded meaning that majority of receipts are due to be received towards the end of the 2022/23 financial year and relate to a small number of high value cases.
Table 7 below sets out the position at Month 9 2022/23:

Table 7 – Disposals Programme 2022/23

Capital Receipts & Disposals Programme 2022/23	
	2022/23 £m
Budget	42.1
Achieved at Month 9	15.3
Further Anticipated Receipts	26.8

5 Policy Contingency

5.1 The 2022/23 budget includes a Policy Contingency budget of £48.0m, excluding savings to be allocated of £30.9m. The Policy Contingency budget is held centrally and not allocated to services at the start of the financial year. It is retained to protect against unplanned expenditure or when the costs of certain decisions which may be taken during the course of the financial year become clearer. Allocations will be made to services only after the demonstration of need and are subject to review and approval by the Chief Finance Officer with the exception of allocations from General Contingency which will be approved by Cabinet.

5.2 The main uses that were already committed by Quarter 2 are £5.7m of the inflation contingency set aside to fund costs of energy and £6.8m of inflation contingency set aside for Adult Social Care.

5.3 In Quarter 3, the Section 151 Officer has approved the use of £0.1m of Inflation Contingency for the Grounds Maintenance contract under delegated authority.

5.4 The table also reflects the use of £2.7m of General Policy Contingency for the Job Evaluation Project as approved by Cabinet in April 2022. If there is any underspend in 2022/23, this will need to go into reserve to fund the project in 2023/24.

5.5 Cabinet is asked to approve the use of £0.2m of General Policy Contingency to fund an independent financial audit of the SENDIASS service.

5.6 As referred to in paragraph 2.9, it is forecast that there will be an underspend on Policy Contingency of £9.5m.

Table 8: Policy Contingency Budget 2022/23

Policy Contingency	Budget £m	Committed by Quarter 2	Committed in Quarter 3 £m	Remaining £m
Inflation Contingency	20.930	(12.534)	(0.059)	8.336
Delivery Plan	13.619			13.619
SEND Improvement	2.792			2.792
Workforce Equalities	2.000			2.000
Apprenticeship Levy	1.308			1.308
Short-term Improvement in the Council House	1.000			1.000
Loss of Income from Car Park Closures	0.252			0.252
Corporate Funding for Owning & Driving Performance (ODP) Culture Change Programme	0.129			0.129
Transport - Funding for Young People	1.228			1.228
General Contingency	4.724	(0.232)	(2.748)	1.744
Total Policy Contingency excluding savings	**47.982**	**(12.766)**	**(2.807)**	**32.408**
Contract Savings	(1.147)			(1.147)
Capitalisation of Transformation costs - to be allocated to services in 2022/23	(20.000)			(20.000)
Fit for Purpose savings	(9.802)			(9.802)
Total Savings to be allocated	**(30.949)**	**0.000**	**0.000**	**(30.949)**
Total Policy Contingency	**17.033**	**(12.766)**	**(2.807)**	**1.459**

6 Reserves

6.1 At the end of 2021/22, the Council had total reserves of £1,071.5m.

6.2 This included £230.1m of General Reserves and Balances, broken down by:

6.3 £38.4m General Fund Balance. This is more than 4.5% of the net budget, as approved by Cabinet in November 2020. There is no planned use of the General Fund Balance in 2022/23.

6.4 £125.5m of Financial Resilience Reserve (FRR), this is after the £17.8m underspend in 2021/22 was transferred to it. This provides extra financial resilience in these very uncertain times and will be used to manage in year risks if required.

6.5 £66.2m Delivery Plan Reserve (DPR). The DPR was established to enable the necessary investment required by the Council's Delivery Plan. It also contains the previous Invest to Save Reserve.

6.6 Whilst reserve levels are considered adequate, they require continuous monitoring. The Council cannot be complacent and must continue to maintain financial rigour, particularly with regard to delivering planned savings, accumulated debt and associated financing costs and financial income collection.

6.7 The Council anticipated the net use of £283.2m of reserves in setting the 2022/23 budget. This is summarised in Table 9 together with the current forecast outturn balance. At Quarter 3, £5.9m of uses of reserves that were approved by Cabinet as part of the Outturn Report on June 28th have been reflected. The table also reflects that £0.8m of budgeted reserves contributions in the Financial Plan are

not expected to take place (mainly a planned contribution of £0.6m to the Cyclical Maintenance Reserve, as set out in paragraph 1.16).

6.8 During this financial year the Council has undertaken a forensic review of all reserves to identify if there are any reserves that are no longer required for the purpose that they were originally created and will re purpose any that are identified.

6.9 At Month 8, it was identified that **£8.2m** of the Cyclical Maintenance Reserve could be released as it is not necessary to keep such a large reserve.

6.10 Following further review, it has also been identified that **£21.8m** of other reserves can be released as they are no longer required.

6.11 The table further reflects that it is forecast that the following uses of and contributions to reserves will take place:

Delivery Plan Reserve – forecast use of £2.5m

6.12 The use of £2.5m of the Delivery Plan Reserve from the balance of funding approved by Cabinet in October 2021 for transformation of the Children & Families directorate.

Financial Resilience Reserve (FRR) – forecast use of £40.4m

6.13 The use of £14.9m of the FRR to fund costs of the Pay Award above the budgeted assumptions as described in paragraph 1.19.

6.14 The use of up to £10.9m of the FRR to fund costs of gas and electricity for the corporate estate that are above budget.

6.15 The use of £5.0m of the FRR to fund Cost of Living emergency as approved by Cabinet on 11th October.

6.16 The use of £4.6m of the FRR to fund Adult Social Care Bad Debt Provisions and shortfall in Client Contributions.

6.17 The use of £1.0m of the FRR to fund Leisure Income shortfall as approved by Cabinet on 13th December (up to £1.6m was approved by Cabinet).

6.18 The use of £1.0m of the FRR to fund Graffiti Street Art.

6.19 The use of £3.0m of the FRR to fund Cleaner Streets.

Other Corporate Reserves – forecast net use of £21.1m

6.20 The use of £7.8m of the Covid Reserve to fund shortfalls in income due to the on-going effects of changes in behaviours, such as in Car Parking.

6.21 This is partly offset by a plan to contribute £4.0m to the Covid Reserve from grant maximisation of Public Health expenditure.

6.22 The use of £8.9m of the Budget Smoothing Reserve to cover savings that are not able to be achieved in 2022/23. It is still expected that those savings that are on-going will be achieved in 2023/24.

6.23 The use of £3.8m of Covid related corporate grant reserves.

6.24 The use of £3.1m of Section 31 Grant Reserves relating to compensation from the Government for Business Rates Reliefs granted.

6.25 The use of £1.3m of Policy Contingency Reserves offset by an expected contribution to Policy Contingency Reserves of £1.1m.

6.26 The use of the remaining £1.2m of the SEND Reserve to go towards funding the costs of interim staff in the SENAR Business As Usual team.

Grant Reserves – forecast net use of £9.6m

6.27 The net use of £9.6m of grant reserves, including the use of £15.0m of reserves related to Public Health.

Earmarked Reserves – forecast use of £9.8m

6.28 The use of £9.8m of earmarked reserves, largely being £5.3m of Education PFI Reserve, mainly to fund pressures in the SENAR service as described in Annex 1 paragraph 1.1.

Table 9 Forecast Reserves uses and contributions

	A	B	C	D	E	F	G	H
	Balance as at 31st March 2022	**Original Budgeted (Use) / Contribution**	**Change approved in March and at Outturn 2021/22**	**Original Budgeted Use / (Contribution) not to be processed**	**Other forecast (Use) / Contribution**	**(Release) of Reserves**	**Total Forecast (Use/Release) /Contribution**	**Forecast Outturn Balance at 31st March 2023**
Reserves	**£m**	**£m**	**£m**	**£m**	**£m**	**£m**	**£m**	**£m**
Corporate General Fund Balance	38.382	0.000	0.000	0.000	0.000	0.000	0.000	38.382
Delivery Plan Reserve	66.196	(15.118)	(3.600)	0.000	(2.503)	0.000	(21.221)	44.975
Financial Resilience Reserve Gross	*146.962*	*(29.956)*	*(1.300)*	*0.000*	*(40.378)*	*0.000*	*(71.634)*	75.328
Net Borrowing from Financial Resilience Reserve	*(21.480)*	*(0.912)*	*0.000*	*0.000*	*0.000*	*0.000*	*(0.912)*	(22.392)
Financial Resilience Reserve Net	125.482	(30.868)	(1.300)	0.000	(40.378)	0.000	(72.546)	52.936
General Reserves and Balances	**230.060**	**(45.986)**	**(4.900)**	**0.000**	**(42.881)**	**0.000**	**(93.767)**	**136.293**
Other Corporate Reserves	323.087	(212.965)	(1.000)	(0.779)	(21.086)	(9.031)	(244.862)	78.225
Grant	340.609	(23.727)	0.000	0.000	(9.580)	(15.224)	(48.531)	292.079
Earmarked	82.049	(0.498)	0.000	0.000	(9.800)	(5.792)	(16.090)	65.960
Schools	79.888	0.000	0.000	0.000	0.000	0.000	0.000	79.888
Non Schools DSG	15.989	0.000	0.000	0.000	0.000	0.000	0.000	15.989
Subtotal Other Reserves	**841.623**	**(237.190)**	**(1.000)**	**(0.779)**	**(40.466)**	**(30.047)**	**(309.483)**	**532.141**
Grand total	**1071.683**	**(283.176)**	**(5.900)**	**(0.779)**	**(83.347)**	**(30.047)**	**(403.250)**	**668.434**

7 Housing Revenue Account (HRA)

7.1 The HRA is underpinned by a range of medium term and long-term affordability assumptions which will be kept under review to ensure mitigating actions, if necessary, can be undertaken in a timely, proportionate and appropriate manner.

7.2 Overall, the HRA spend is forecast to remain within budget this year.

8 Dedicated Schools Grant (DSG)

8.1 It is currently forecast that DSG will break even. Any surplus or deficit at year end will be taken to the DSG Reserve, so will not impact the General Fund

9 Borrowing

9.1 Gross loan debt is currently £3,274m, with the year-end projection estimated to be £3,285m, below the planned level of £3,452m. The annual cost of servicing debt represents approximately 29.4% of the net revenue budget. The planned level of debt and annual cost of servicing debt includes over £200m borrowing for the Enterprise Zone (EZ), due to be financed from Business Rates growth within the EZ.

9.2 The outlook for borrowing costs remain uncertain as the Bank of England looks to bring inflation to target and as the UK economy enters recession territory; however, further Bank Rate rises are still expected. Treasury Management costs for 2022/23 are expected to remain at budget based on mitigations being taken such as maintaining a balanced loans portfolio and seeking optimal borrowing rates. There is a risk that further volatility in the financial markets could push treasury management costs up before the end of the financial year.

10 Collection Fund

10.1 The overall net budget for Council Tax income including Parish and Town Council Precepts is £403.0m in 2022/23. In addition, the Council collects the precepts on behalf of the Fire and Police Authorities.

10.2 The in-year forecast for Council Tax is a surplus of £3.3m. Generally, a surplus or deficit on the Collection Fund impacts on the following year's budget, which in this case will be 2023/24. The in-year surplus is mainly due to lower than forecast costs of Council Tax Support and other reliefs and discounts, partially offset by reduction in growth compared to budget and a forecast increase in Bad Debt Provision. However, given the economic situation, there is a risk that collection rates will be worse than forecast. This will be closely monitored.

10.3 Under the 100% Business Rates Pilot that came into effect on 1st April 2017 the Council continues to retain 99% of all Business Rates collected under the Business Rates Retention Scheme with 1% being paid over to the West Midlands Fire Authority. The overall budgeted level of Business Rates in 2022/23 is £355.6m (excluding the Enterprise Zone), of which the Council's retained share is £352.0m.

10.4 The in-year forecast Business Rates forecast is a deficit of £1.7m. Again, a surplus or deficit on the Collection Fund impacts on the following year's budget. The in-year deficit is mainly related to reduction in growth compared to budget and a forecast increase in Bad Debt Provision, only partly offset by a reduction in reliefs compared to budget.

10.5 However, due to the reduction in reliefs, the Council is also expecting to receive £1.7m less from the Government in Section 31 Grant, which will also impact next year's budget.

List of Annexes

1. **Details of Forecast Variations by Directorate**
2. **Write off details**
3. **Capital**
4. **Treasury Management Monitoring Dashboard**
5. **Investment Property Portfolio Monitoring Dashboard**

Annex 1 Details of Forecast Variations by Directorate

Children and Families-Forecast forecast overspend £47.5m

1.1 Special Educational Needs Assessment and Review Service (SENAR)-forecast overspend £1.5m, no change from Month 8

In February 2021, a restructure of the service was initiated, and all permanent staff placed under a S188 notice. The Ofsted inspection in May 2021 reported that the SENAR service was extremely under resourced and unable to meet its statutory responsibilities. Due to the Ofsted inspection and resulting commissioner appointment, this restructure was paused pending further investigation and baselining of what the service requires to fulfil its statutory responsibilities.

There has been additional investment secured for the SENAR service to address the concerns of under resourcing. For 2021/22 that resulted in additional funding of £5.1m, and for 2022/23 £5.3m. As the funding has currently been allocated for two years only (to fund the required staffing levels whilst the baselining exercise was undertaken), it has not allowed for permanent recruitment. At present there are significant numbers of interim staff in the service covering roles from the Head of Service still to lower graded support officers, and whilst this has resulted in an increase in compliance against the statutory measures, it does incur higher costs versus permanent posts.

The requested £5.1m and £5.3m were based on the activity/backlogs of statutory tasks identified at that point in time, however further investigations have resulted in additional statutory work requiring more Case Officers to be appointed, and an increase in appeals requiring more Tribunal Officers to be appointed.

The forecast is being constantly reviewed and although there have been estimated reductions in some areas since Month 8, these have been offset by increases elsewhere.

This forecast overspend of £6.8m will be partly mitigated by £5.3m, made up of a combination of earmarked reserves held by the Directorate and amounts of policy contingency already allocated to the Directorate for other purposes.

A request for the ongoing budget required for the service is being made through the MTFP process.

1.2 SENDIASS Forecast overspend of £0.6m, an increase to the Month 8 forecast of £0.2m

See paragraph 2.2.

1.3 SEND Early Help Forecast overspend of £0.4m, a reduction to the Month 8 forecast of £0.1m

See paragraph 2.3.

1.4 **Children & Young People Travel Service, formerly Home to School Transport (H2ST). Forecast overspend of £18.1m, no change from the forecast at Month 8.**

Broken down as follows:

- **£13.4m transport costs**
- **£4.7m guides**

Service delivery was successful in September 2022, resulting in an improved service and satisfaction. The service transport circa 4,500 children on more than 1,000 routes. The new academic year saw 99.9% of the routes operating daily, ensuring that children get the best possible start to their school day.
Additional budget was allocated to the service for 2022/23 due to significant financial pressures incurred in financial year 2021/22. However, it should be noted as per Cabinet decision of 7th June 2022 *Children and Families Directorate: Improvement Programme Update and Resources Requirement*, a significant proportion of this additional budget was reallocated to transformation (£16.8m was originally allocated, of which £6.6m was reallocated to transformation, with £10.2m remaining in the BAU budget).

It is important to note the following risks and assumptions in relation to the financial forecast:

- The financial projection is based on the accounting period March 2022 - February 2023, as adopted in prior financial years to reduce dependency on estimation and accruals at financial year end.
- The data being used to project for September 2022 – February 2023 may still contain inaccuracies because the workbook being used to track routes has been manually built. The financial projection includes all routes in this workbook, but it is known that new routes are being added/amended/removed daily.
- Ongoing risk assessment work may warrant the transfer of some pupils currently on shared transport onto single occupancy vehicles, placing upward pressure on route and guide costs.

Reasons for the increase in spend within this service area are as follows:

- The growth in the number of children with EHCPs is undoubtedly an important factor in increasing demand for SEND transport. The SENAR team has provided statistics to show the number of EHCPs provided in Birmingham on an annual basis increased from 802 in 2020 to 1230 in 2021.

- The increasing complexity of the needs of children with SEND is also a factor contributing to growing expenditure on SEND transport. Increasing numbers of children with complex medical needs, or profound and multiple disabilities, create a demand for more costly forms of transport such as specially equipped buses, and more skilled passenger assistants who could provide medical support in an emergency. At the same time, increasing numbers of children presenting with extremely challenging behaviour have led to greater use of individual taxi journeys for this cohort.

- Another factor affecting all local authorities, not just Birmingham City Council is that an increasing percentage of children with EHCPs are being educated in special schools and when local special schools become full, the 'nearest suitable school' is further afield and therefore more costly in transport terms.
- Market Pressures such as driver wages and increased fuel costs are also contributing to increased spend.

Data is an ongoing issue for the service. Significant attempts have been to extrapolate and interrogate data to provide meaningful metrics. This work is continuing at pace. The aim is for the department to be a position where accurate modelling and forecasting can take place. Unfortunately, due to the ongoing data issues and historic lack of data it's not currently possible to determine how much of the service pressure is attributable to each of the reasons outlined above.

The forecast overspend of £18.1m is unchanged from month 8. Engagement with transport operators began this month, as part of the ongoing work to negotiate cost reductions and fair pricing as well as introduce a pricing matrix targeted at standardising/reducing the overall cost of transport including operator travel guide costs.

Actions to be taken by the service to address cost pressures with effect from January 2023:

- The membership of the transport Eligibility Panel has been strengthened to include all relevant service stakeholders. Going forward the panel's decision making will be guided by a revised travel policy focused on severity of need.
- A solo travel panel has been set up with the purpose of decision making on the award/provision of solo transport. This will reduce the higher cost associated with solo transport arrangements.
- A high-cost package panel has also been setup with the appropriate membership. The aim of this panel is to review and challenge the decision making around approval of more costly transport packages.

Future and ongoing actions to be taken to address cost pressures:

- Reviewing eligibility criteria, in consultation with parents, carers and young people
- Focussed actions within the improvement programme that help to mitigate cost pressures for SEND transport including taking a strong strategic approach to SEND and inclusion, establishing clear leadership of SEND transport planning and joining-up across teams, developing a menu of travel assistance options, skilfully facilitated with parents and schools; and working in partnership with schools and across services
- Improved Contract & Relationship Management
- Demand Management – including the creation of a Pathway to Independence Travel Training Programme to support our children and young people to travel more independently
- Implementing a permanent staffing structure from 23/24.

1.5 **Birmingham Children's Trust (BCT)** is a commissioned service. BCT reports **a net pressure of £26.8m** This is an increase of £1.6m to the forecast previously reported.

See paragraph 2.4

City Operations - forecast overspend £9.0m

1.6 **Highways & Infrastructure (projected year end £8.0m overspend, improvement of £1.5m since month 8)**

See paragraph 2.5.

1.7 **Neighbourhoods (projected year end £1.0m overspend, no change since month 8)**

Pressure in Leisure Services is due to financial support provided to external providers to complete the return to pre-covid levels, including a reduction in the level of management fee income received. Providers have raised the risk of further pressure due to high energy costs and their ability to operate within existing contractual agreements. Pressure this year estimated to be in the region of £1.0m net of mitigating action.
Work is being undertaken to determine the projected year end position of Alexander Stadium, post Commonwealth Games, and will be reflected in Directorate position once finalised in January 2023.

1.8 **Street Scene (projected breakeven position, no change since month 8)**

Expected income pressures within the Garage and Trade Waste due to same customer base as in 2021/22 where outturn overspends were £1.1m and £1.0 respectively. There is a risk that the Trade Waste customer base has not fully recovered to pre-pandemic levels creating a risk of potential further income pressure.

Additional Waste Fleet cleansing ceased at the end of September, however, has resulted in unfunded cost in the region of £1.4m. And the with significant increases in the cost of fuel there is projected cost pressure in the region of £1.5m.

However, if the Tyesley plant continues to operate efficiently as it did last year and additional income is received from its electricity generation, combined with an underspend of £2.0m on borrowing costs from delayed fleet purchase, the service would breakeven.

City Housing – forecast overspend £7.7m

1.9 **Housing Options (forecast risk of overspend £7.7m, no change since Month 8)**

There are two material pressures in the Housing Options Service in 2022/23. The growth in demand for Temporary Accommodation (TA) has far exceeded the reductions made through the Housing Options prevention and supply initiatives. Currently there is a net growth in TA of 17 per week, and this is forecast to rise to 25 by the end of the year, due to the national economic situation. The budget for TA was based on a baseline net growth of 13 per week, with prevention activity reducing this by 5 per week and increased supply meeting the residual growth of 8 per week. The financial impact of this is modelled at £5.4m before any mitigations which the service are currently investigating.

There are two material pressures in the Housing Options Service in 2022/23. The growth in demand for Temporary Accommodation has far exceeded the reductions made through the Housing Options prevention and supply initiatives. This year on average there has been a net growth in TA of 17 per week, and this is forecast to rise to 25 by the end of the year, due to the national economic situation. The latest three months have seen huge fluctuations in the numbers, but no change in the trend can be identified from this. The budget for Temporary Accommodation was based on a baseline net growth of 13 per week, with prevention activity reducing this by 5 per week and increased supply meeting the residual growth of 8 per week. The financial impact of this is modelled at £7.7m before any mitigations which the service is currently investigating.

The Private Sector Landlord contract was delayed until August, which impacted on the availability of the correct type of housing available for temporary accommodation of larger families. This resulted in greater use of Emergency Night Rate accommodation, thus creating a one-off financial pressure of £1.2m.

There are a number of initiatives the service is exploring to mitigate the above pressures in 2022/23. The Street Purchases Programme is a £60m capital project to increase the number of properties available to meet demand. As there is a lead in time to get these properties fully operational the full impact will not be seen until the later part of this financial year. There is also an opportunity to receive DLUHC grant funding for the service to set up a Letting Agency which once fully operational will help mitigate the above pressures on temporary accommodation. Other mitigations involve delays in recruitment resulting in a staffing underspend.

Adult Social Care – forecast overspend £3.4m

1.10 **Packages of Care - £8.2m Overspend** – The Directorate is reporting a forecast overspend of £8.2m at month 9. Within the position, inflation held corporately of £6.8m is required and assumed to be received in the forecast outturn. Also included are anticipated additional contributions of £1.9m from the Better Care Fund towards the cost of hospital discharge invoices from Sevacare, however this funding has not yet been agreed. This leaves a pressure of £4.6m relating to in year income shortfall. There is also a £3.6m demand pressure relating to packages of care if current trends continue and the overall movement from Month 8 is a £1.2m further pressure.

1.11 It is planned to use £4.6m of the FRR to fund the risk relating to in year income shortfall mentioned above if it crystallises at year end. Work is continuing to minimise the call on this reserve.

1.12 **Community & Social Work Operations – (£1.0m) Underspend -** In Community and Social Work Operations there is an overall forecast underspend of £3.0m. There is a £2.7m underspend on staffing and £0.2m underspend on non-pay budgets. The staffing underspend is due to the continuing vacancies which there has been difficulty in filling due to a national shortage of Social Workers and increasing difficulty to find agency staff to cover. The £1.0m improvement from Month 8 is linked to reductions in Supplies and Services expenditure within the Liberty Protection Safeguards service. Also assumed is £1.4m of the Omicron grant money which has been used to provide a retention payment to Social Workers, and £0.6m of Hospital Discharge Grant to fund the additional anticipated activity to facilitate hospital discharges over winter. Please note that £2.0m of the staffing underspend mentioned above is being used to achieve Workforce Savings on a one-off basis as set out in previous reports.

1.13 **Quality & Improvement – (£1.7m) Underspend** – This reflects the use of the Omicron Grant reserve as referred to above. This is an anticipated unbudgeted reserve appropriation and costs relating to this will be incurred and is included within the Community & Social Work Operations Division to support retention payments to Social Workers. For Month 9 there is an additional £0.1m favourable variance related further reductions in IT support costs relating to the Eclipse implementation.

1.14 **Commissioning – £1.6m Forecast mitigation** - The Service is reporting an underspend against employees of £0.6m linked to vacancies across the team and recharge income against base budget funded posts. Recruitment plans are ongoing and being discussed with relevant Head of Service and assumptions are currently that these will be filled during the latter part of 2022. There are also underspends projected of £0.8m against the overall third sector grant budget due to reduced activity which is ongoing after the pandemic, and it is expected this activity will increase during 2023/24. Assumed in the forecast underspend are £0.2m of contributions from the Better Care Fund towards third sector grants.

1.15 **Director – (£0.5m) Underspend** – Non-essential spend controls across the Directorate have resulted in an underspend against the Director of (£0.5m) at Month 9. This is a movement of (£0.1m) from Month 8 and reflects further reductions in expenditure across the Directorate against discretionary budgets.

Council Management – forecast overspend £4.2m

1.16 **Revenue and Benefits (projected year end overspend £3.7m, deterioration of £3.7m since Month 8)**
See Paragraph 2.6

1.17 **ITDS (projected year end £0.3m overspend, deterioration of £0.3m since Month 8)**

See paragraph 2.7

1.18 **Customer Services (forecast overspend £0.1m, no change since Month 8)** This variance relates to Digital Mail, and is caused by an 18% inflationary increase in postage costs from November 2022. The full year impact of this is forecasted to be circa £0.3m in 2023/24.

Corporate Budgets- Forecast net mitigations of £60.7m

1.19 **The Pay Award (forecast overspend £14.9m)**. The 2022/23 budget included a 2.5% increase for pay. It is estimated that the pay award of £1,925 per full time employee that has now been agreed will cost the Council general fund in the region of £14.9m more than the budgeted provision. This will be funded from the Financial Resilience Reserve (FRR).

1.20 **Corporate Estate Gas and Electricity cost (forecast overspend £10.9m)**. The 2022/23 budget was set before the final prices for gas and electricity were set. These are now fixed for the year. Due to the very high increases in costs, there is a forecast pressure on gas and electricity costs for the corporate estates of £10.9m. This is also planned to be funded from the FRR.

1.21 **Cost of Living Emergency (priority spend £5.0m)** Cabinet in October approved £5.0m funding to support local people during the crisis, to be funded from the FRR.

1.22 As set out in paragraph 1.18, it is planned to use **£36.4m of the FRR** to cover the extraordinary costs this year.

1.23 It is planned to use **£7.8m** of Covid Reserves to cover on-going effects of the pandemic, particularly shortfalls in car parking income and leisure management fees.

1.24 From the review of reserves and balances, it was identified at Month 8 that the Council can release **£8.2m** of the Cyclical Maintenance Reserve as it is not necessary to keep such a large reserve.

1.25 From further review, it has now been identified that a further **£21.8m** of reserves can be released as well.

1.26 As set out in paragraph 1.16 of this report, it is planned to postpone the budgeted contribution of **£0.6m** to the general cyclical maintenance reserve in 2022/23.

1.27 It is planned to use **£5.7m** of Policy Contingency that was set aside for energy inflation to cover the additional costs of street lighting electricity.

1.28 As set out in paragraph 1.16, it is estimated that **£1.5m** of facilities management savings will be achieved.

1.29 It is forecast that there will be savings of **£9.5m** on Policy Contingency budgets at year end.

Annex 2 Write Offs

Irrecoverable Housing Benefit

1.1 In circumstances where Housing Benefit overpayments are identified as not being recoverable, or where recovery is deemed uneconomic, the City Council's Financial Regulations and delegated powers allow for these overpayments and income to be written off. All possible avenues must be exhausted before such write offs are considered. Amounts already written off will still be pursued should those owing the Council money eventually be located or return to the city.

1.2 The cost to the council of writing off these irrecoverable sums will be charged to the City Council's provision set up for this purpose, which includes sums set aside in previous years to meet this need. It is, therefore, the appropriate account to be charged. There is no effect on the revenue account.

1.3 In 2022/23, from 1st October up to 31st December, further items falling under this description in relation to Benefit overpayments have been written off under delegated authority. The Table below details the gross value of amounts written off, which members are asked to note.

Table 1: Age Analysis of Debts written off under delegated authority

Age analysis	Over 6 years	3 to 6 years	Under 3 years	**Total**
	£m	£m	£m	£m
Benefit Overpayments	0.015	0.038	0.055	0.107
Total	**0.015**	**0.038**	**0.055**	**0.107**

Table 2 to this report gives a more detailed age analysis of overpayments and income written off.

Summary 01.10.22 – 31.12.22

Table 2: Age Analysis of Overpayments and Debts Written-off Under delegated authority by Revenues and Benefits Division

Detail	Pre 2012	2012/13	2013/14	2014/15	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23	Total	No of Debtors
Housing Benefit debts written off under delegated authority	£84.69	£195.00	£855.96	£1,475.25	£4,652.30	£7,409.00	£15,818.56	£14,982.67	£6,746.26	£6,908.40	£22,613.41	£25,168.06	£106,909.56	248
TOTAL	£84.69	£195.00	£855.96	£1,475.25	£4,652.30	£7,409.00	£15,818.56	£14,982.67	£6,746.26	£6,908.40	£22,613.41	£25,168.06	£106,909.56	248
No of debts in Age band	6	5	15	8	24	26	37	41	27	22	94	157	462	

Table 3: Debts written off under delegated authority by value range:

Debt Size	Small		Medium		Large
Cases	**>£1,000**	**Cases**	**£1,001-£5,000**	**Cases**	**£5,000-£25,000**
233	£44,881.83	10	£26,095.76	5	£35,931.97

Irrecoverable Council Tax & Business Rates

2.1 All Council Tax and Business Rates are due and payable. However, there are certain instances where the amount of the bill needs to be either written off or reduced (e.g. where people have absconded, have died, have become insolvent or it is uneconomical to recover the debt).

2.2 If an account case is subject to this, then consideration is given to write the debt off subject to the requirement to consider all options to recover the debt, prior to submitting for write off. However, once an account has been written off, if the debtor becomes known to the Revenues Service at a later date, then the previously written off amount will be reinstated and pursued.

2.3 In respect of Business Rates, where a liquidator is appointed, a significant period of time is taken to allow for the company's affairs to be finalised and to subsequently determine if any monies are available to be paid to creditors. Once it is established this is not to happen, a final search of Companies House is undertaken to confirm the company has been dissolved.

2.4 Cabinet are requested to approve the writing off of council tax and business rates debts to the Council which are greater than £0.025m, totalling £12.9m as detailed in Tables 5 and 6 of this Appendix. Further information in respect of these is available on request.

2.5 In 2022/23, from 1 October 2022 to 31 December 2022, further items falling under this description in relation to Council Tax and Business Rates have been written off under delegated authority. Table 4 below details the total approved gross value of these amounts written off of £12.827m for Council Tax and £3.017m for Business Rates which Members are asked to note.

Table 4: Age Analysis of Overpayments and Debts Written-off Under delegated authority by Revenues and Benefits Division

Age analysis	Up to 2015	2015/16 - 2016/17	2017/18-2018/19	2019/20 - 2020/21	2021/22 – 2022/23	**Total**
	£m	£m	£m	£m	£m	£m
Council Tax	£3,433,438.13	£4,179,032.71	£4,291,374.49	£655,436.48	£267,751.61	£12,827,033.42
Business Rates	£811,834.71	£856,309.36	£514,309.43	£689,688.59	£145,806.23	£3,017,948.32

Tables 7,8 and 9 of this Annex gives a more detailed age analysis of overpayments and income written off.

Table 5: Write Offs of over £25,000 for cabinet approval

Age analysis	Up to 2015/16	2016/17	2017/18	2018/19	2019/20	2020/21	2021/22	**Total**
Business Rates	£4,288,226.44	£1,788,433.52	£2,311,592.22	£2,141,675.26	£1,633,460.63	£460,933.57	£310,312.18	**£12,934,633.82**

Table 6: Age analysis of cabinet write offs over £25,000

1997-2006/7	**2007/08**	**2008/09**	**2009/10**	**2010/11**	**2011/12**	**2012/13**	**2013/14**	**2014/15**	**2015/16**
£208,333.14	£11,762.84	£26,358.87	£30,867.98	£264,996.85	£387,053.53	£457,795.77	£401,001.77	£1,094,183.03	£1,405,872.66
2016/17	**2016/17**	**2018/19**	**2019/20**	**2020/21**	**2021/22**				**Total**
£1,788,433.52	£2,311,592.22	£2,141,675.26	£1,633,460.63	£460,933.57	£310,312.18				**£12,934,633.82**

Table 7: Age analysis of overpayments and debts written off under delegated authority by Revenues and Benefits Division

Detail	1997-2006/7	2007/08	2008/09	2009/10	2010/11	2011/12	2012/13	2013/14	2014/15	2015/16	2016/17
Council tax written off under delegated authority	£11,506.50	£3,038.85	£2,618.59	£7,351.54	£7,933.38	£30,033.44	£132,807.16	£1,474,516.67	£1,763,632.00	£1,856,539.30	£2,322,493.41
Business Rates written off under delegated authority	£0	£0	£1,963.82	£1,570.42	£10,270.83	£18,208.88	£8,787.08	£332,655.42	£438,378.26	£404,584.35	£451,725.01
TOTAL	£11,506.50	£3,038.85	£4,582.41	£8,921.96	£18,204.21	£48,242.32	£141,594.24	£1,807,172.09	£2,202,010.26	£2,261,123.65	£2,774,218.42

Detail	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23	TOTAL
Council tax written off under delegated authority	£2,444,186.30	£1,847,188.19	£345,775.99	£309,660.49	£234,098.70	£33,652.91	£12,827,033.42
Business Rates written off under delegated authority	£254,014.19	£260,295.24	£510,100.63	£179,587.96	£145,806.23	£0	£3,017,948.32
TOTAL	£2,698,200.49	£2,107,483.43	£855,876.62	£489,248.45	£379,904.93	£33,652.91	**£15,844,981.74**

Table 8 Age analysis of overpayments and debts written off under delegated authority by Revenues and Benefits Division

Detail	1997-2006/7	2007/08	2008/09	2009/10	2010/11	2011/12	2012/13	2013/14	2014/15	2015/16	2016/17
Council tax written off under delegated authority	£11,506.50	£3,038.85	£2,618.59	£7,351.54	£7,933.38	£30,033.44	£132,807.16	£1,474,516.67	£1,763,632.00	£1,856,539.30	£2,322,493.41
Business Rates written off under delegated authority	£0	£0	£1,963.82	£1,570.42	£10,270.83	£18,208.88	£8,787.08	£332,655.42	£438,378.26	£404,584.35	£451,725.01
TOTAL	£11,506.50	£3,038.85	£4,582.41	£8,921.96	£18,204.21	£48,242.32	£141,594.24	£1,807,172.09	£2,202,010.26	£2,261,123.65	£2,774,218.42

Detail	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23	TOTAL
Council tax written off under delegated authority	£2,444,186.30	£1,847,188.19	£345,775.99	£309,660.49	£234,098.70	£33,652.91	£12,827,033.42
Business Rates written off under delegated authority	£254,014.19	£260,295.24	£510,100.63	£179,587.96	£145,806.23	£0	£3,017,948.32
TOTAL	£2,698,200.49	£2,107,483.43	£855,876.62	£489,248.45	£379,904.93	£33,652.91	**£15,844,981.74**

Table 9: Debt size analysis of overpayments and debts written off under delegated authority by Revenues and Benefits Division

Grouped by value	Small (<£1,000)		Medium (£1,000 - £5,000)		Large (>£5,000)		TOTAL	
	Value	Cases	Value	Cases	Value	Cases	Value	Cases
Council Tax written off under delegated authority	£9,133,907.78	23,641	£3,693,125.64	3,083	-	-	£12,827,033.42	26724
Business Rates written off under delegated authority	£146,538.89	345	£1,019,440.72	405	£1,851,968.71	198	£3,017,948.32	948
Business Rates written off under cabinet approval over £25K	£79,810.92	211	£926,154.43	352	£11,928,668.47	612	£12,934,633.82	1175
TOTAL	**£9,360,257.59**	24,197	**£5,638,720.79**	3,840	**£13,780,637.18**	810	**£28,779,615.56**	28847

Capital Monitoring by Directorate 2022-23 Month 9

Annex 3.1

Directorate	(a) 2022/23 Original Budget £m	(b) Slippage / Acceleration from 2021/22 £m	(c) New Schemes, Resources & Rephasing	(d) 2022/23 Month 9 Revised Budget (a+b+c) £m	(e) Forecast Variation Month 9 £m	(f) 2022/23 Forecast Outturn (d+f) £m
Commonwealth Games	**11.535**	**7.881**	**0.000**	**19.416**	**(11.235)**	**8.181**
Council Management						
Development & Commercial	2.341	3.661	0.000	6.002	(2.041)	**3.961**
Corporately Held Funds	47.864	7.677	(1.964)	53.577	(11.256)	**42.321**
SAP Investments	0.000	0.000	0.000	0.000	0.000	**0.000**
ICT & Digital	6.003	2.628	3.012	11.643	(3.303)	**8.340**
Total Council Management	**56.208**	**13.966**	**1.048**	**71.222**	**(16.600)**	**54.622**
City Operations						
Control Centre Upgrade	0.000	0.115	0.000	0.115	0.000	**0.115**
Street Scene	29.073	8.044	0.101	37.218	0.000	**37.218**
Private Sector Housing	1.650	1.428	0.000	3.078	5.884	**8.962**
Neighbourhoods	2.850	1.187	1.259	5.296	0.053	**5.349**
Regulation & Enforcement	0.057	0.263	2.678	2.998	0.000	**2.998**
Highways Infrastucture	30.850	2.542	(13.083)	20.309	(1.307)	**19.002**
Total City Operations	**64.480**	**13.579**	**(9.045)**	**69.014**	**4.630**	**73.644**
City Housing						
Housing Options Service	1.400	(0.554)	30.000	30.846	(13.000)	**17.846**
HRA	143.747	10.865	0.000	154.612	(44.918)	**109.694**
Total City Housing	**145.147**	**10.311**	**30.000**	**185.458**	**(57.918)**	**127.540**
Place, Prosperity & Sustainability						
Planning & Development	28.598	13.556	0.213	42.367	(6.237)	**36.130**
Transport & Connectivity	67.356	7.125	15.192	89.673	(33.673)	**56.001**
Housing Development	3.817	1.563	0.000	5.380	0.000	**5.380**
Perry Barr Residential Scheme	66.364	47.210	1.200	114.774	0.000	**114.774**
Property Services	32.358	43.345	0.000	75.703	(17.458)	**58.245**
Total Place, Prosperity & Sustainability	**198.493**	**112.799**	**16.605**	**327.898**	**(57.368)**	**270.530**
Children & Families	**46.138**	**5.622**	**(10.553)**	**41.207**	**(8.104)**	**33.103**
Adult Social Care	**9.715**	**(1.454)**	**6.076**	**14.337**	**0.000**	**14.337**
TOTAL	**531.715**	**162.704**	**34.132**	**728.551**	**(146.593)**	**581.958**

Capital Monitoring 2022/23 - Budget Changes

Annex 3.2

		Budget Movements				
		Current Year				
		Original Budget	Slippage /Acceleration from 2021/22	New Resources/ Rephasing	Month 9 Budget	Change
COMMONWEALTH GAMES 2022						
CWG Alexander Stadium		5.270	3.106	0.000	8.376	3.106
CWG Organising Cttee		6.265	4.775	0.000	11.040	4.775
TOTAL COMMONWEALTH GAMES		**11.535**	**7.881**	**0.000**	**19.416**	**7.881**
COUNCIL MANAGEMENT						
Development & Commercial						
Gateway/Grand Central Residual Costs		0.300	3.161	0.000	3.461	3.161
Capital Loans & Equity		2.041	0.500	0.000	2.541	0.500
Total Development & Commercial		**2.341**	**3.661**	**0.000**	**6.002**	**3.661**
Corporately Held Funds						
Revenue Reform Projects		36.034	5.700	0.000	41.734	5.700
Corporate Capital Contingency		5.000	0.000	(1.364)	3.636	(1.364)
ERP Implementation		3.097	1.990	(0.600)	4.487	1.390
Total Corporately Held Funds		**44.131**	**7.690**	**(1.964)**	**49.857**	**5.726**
SAP Investments		**3.733**	**(0.013)**	**0.000**	**3.720**	**(0.013)**
ICT & Digitial Services						
ICT & Digital		6.003	2.628	3.012	11.643	5.640
Total Digital & Customer Services Directorate		**6.003**	**2.628**	**3.012**	**11.643**	**5.640**
TOTAL COUNCIL MANAGEMENT		**56.208**	**13.966**	**1.048**	**71.222**	**15.014**
CITY OPERATIONS						
Control Centre Upgrade						
Control Centre Upgrade - CCTV Cameras		0.000	0.115	0.000	0.115	0.115
Total Control Centre Upgrade		**0.000**	**0.115**	**0.000**	**0.115**	**0.115**
Street Scene						
Waste Management Services		26.257	5.489	0.000	31.746	5.489
Parks & Nature Conservation		2.816	2.555	0.101	5.472	2.656
Total Street Scene		**29.073**	**8.044**	**0.101**	**37.218**	**8.145**
Private Sector Housing		**1.650**	**1.428**	**0.000**	**3.078**	**1.428**
Neighbourhoods						
Community, Sport & Events		2.700	0.569	1.259	4.528	1.828
Neighbourhoods		0.000	(0.006)	0.000	(0.006)	(0.006)
Cultural Development		0.150	0.624	0.000	0.774	0.624
Total Neighbourhoods		**2.850**	**1.187**	**1.259**	**5.296**	**2.446**
Regulation & Enforcement						
Bereavement		0.000	0.252	2.250	2.502	2.502
Markets Services		0.000	0.000	0.000	0.000	0.000
Mortuary/Coroners		0.057	0.011	0.428	0.496	0.439
Total Regulation & Enforcement		**0.057**	**0.263**	**2.678**	**2.998**	**2.941**
Highways Infrastructure						
Highways / Flood Management	**CO1**	3.308	1.534	(2.050)	2.792	(0.318)
Tame Valley Phase 3	**CO2**	27.542	1.008	(11.033)	17.517	(10.025)
		30.850	**2.542**	**(13.083)**	**20.309**	**(10.343)**
TOTAL CITY OPERATIONS		**64.480**	**13.579**	**(9.045)**	**69.014**	**4.732**
CITY HOUSING						
Housing Options Service	**CH1**	**1.400**	**(0.554)**	**30.000**	**30.846**	**29.446**
Housing Revenue Account						
Housing Improvement Programme		87.308	6.047	0.000	93.355	6.047
Redevelopment		54.611	4.477	0.000	59.088	4.477
Other Programmes		1.828	0.341	0.000	2.169	0.341
Total Housing Revenue Account		**143.747**	**10.865**	**0.000**	**154.612**	**10.865**
TOTAL CITY HOUSING		**145.147**	**10.311**	**30.000**	**185.458**	**40.311**
PLACE,PROSPERITY & SUSTAINABILITY						
Planning & Development						
Major Projects						
Enterprise Zone - Paradise Circus		3.188	2.890	0.000	6.078	2.890
Enterprise Zone - Other		20.779	7.017	0.000	27.796	7.017
Other Major Projects	**4.040**	3.758	3.225	1.086	8.069	4.311
Total Major Projects		**27.725**	**13.132**	**1.086**	**41.943**	**14.218**
Public Realm		**0.873**	**0.424**	**(0.873)**	**0.424**	**(0.449)**
Total Planning & Development		**28.598**	**13.556**	**0.213**	**42.367**	**13.769**

Capital Monitoring 2022/23 - Budget Changes

Annex 3.2

		Budget Movements				
		Current Year				
		Original Budget	Slippage /Acceleration from 2021/22	New Resources/ Rephasing	Month 9 Budget	Change
Transport Connectivity						
Major Schemes						
A457 Dudley Road	**PS1**	1.762	(0.234)	7.975	9.503	7.741
Birmingham City Centre Retail Core Publi	**PS2**	8.536	1.114	(6.906)	2.744	(5.792)
Wharfdale Road Bridge		1.988	(0.819)	1.518	2.687	0.699
Other (Major Schemes)	**PS3**	6.728	1.302	2.499	10.529	3.801
Total Major Schemes		**19.014**	**1.363**	**5.086**	**25.463**	**6.449**
Brum Breathes & Route To Zero	**PS4**	29.427	2.089	0.781	32.297	2.870
Active Travel	**PS5**	13.465	2.107	7.345	22.917	9.452
Public Transport	**PS6**	2.809	(0.282)	(0.511)	2.016	(0.793)
Infrastructure Development	**PS7**	1.183	0.880	1.207	3.270	2.087
Places for People (Local Neighbourhoods	**PS8**	1.458	1.489	0.743	3.690	2.232
Section 278/106		0.000	(0.506)	0.526	0.020	0.020
Local Measure		0.000	(0.015)	0.015	0.000	0.000
Total Transport Connectivity		**67.356**	**7.125**	**15.192**	**89.673**	**22.317**
Housing Development						
In Reach		3.817	1.563	0.000	5.380	1.563
Total Housing Development		**3.817**	**1.563**	**0.000**	**5.380**	**1.563**
Perry Barr Residential Scheme	**PS9**	**66.364**	**47.210**	**1.200**	**114.774**	**48.410**
Property Services						
Property Strategy		22.458	42.000	0.000	64.458	42.000
Other Schemes		9.900	1.345	0.000	11.245	1.345
Total Property Services		**32.358**	**43.345**	**0.000**	**75.703**	**43.345**
TOTAL PLACE, PROSPERITY & SUSTAINABILITY		**198.493**	**112.799**	**16.605**	**327.898**	**129.404**
CHILDREN & FAMILIES						
Education & Early Years						
Devolved Capital Allocation to Schools	**ES1**	0.000	1.401	1.578	2.979	2.979
School Condition Allocations	**ES2**	**14.523**	**2.230**	**(4.523)**	**12.230**	**(2.293)**
Basic Need - Additional School Places	**ES3**	**30.533**	**(0.250)**	**(9.075)**	**21.208**	**(9.325)**
IT Investment		0.600	0.898	0.000	1.498	0.898
Other Major Projects (Children's Trust Acc	**ES4**	0.000	1.312	1.650	2.962	2.962
Total Education & Early Years		**45.656**	**5.591**	**(10.370)**	**40.877**	**(4.779)**
Skills & Employability						
Birmingham Libraries		0.482	0.031	(0.183)	0.330	(0.152)
Total Skills & Employability		**0.482**	**0.031**	**(0.183)**	**0.330**	**(0.152)**
TOTAL CHILDREN & FAMILIES		**46.138**	**5.622**	**(10.553)**	**41.207**	**(4.931)**
ADULT SOCIAL CARE DIRECTORATE						
Adult Care & Health						
Property Schemes		0.054	0.219	0.000	0.273	0.219
Adults IT		0.653	0.080	0.000	0.733	0.080
Capital Reserves – Telecare/TEC	**ASC1**	0.000	0.000	0.388	0.388	0.388
Independent Living	**ASC2**	9.008	(1.753)	5.688	12.943	3.935
TOTAL ADULT SOCIAL CARE		**9.715**	**(1.454)**	**6.076**	**14.337**	**4.622**
TOTAL CAPITAL PROGRAMME		**531.716**	**162.704**	**34.132**	**728.552**	**197.034**

Capital Forecast Outturn 2022/23 - Month 9

Annex 3.3

	Ref.	Forecast Variations Current Year Current Budget £m	Forecast Outturn £m	Month 9 Variation £m
COMMONWEALTH GAMES 2022				
CWG Alexander Stadium	CWG1	8.376	3.747	(4.629)
CWG Organising Cttee	CWG2	11.040	4.434	(6.606)
TOTAL COMMONWEALTH GAMES		**19.416**	**8.181**	**(11.235)**
COUNCIL MANAGEMENT				
Development & Commercial				
Gateway/Grand Central Residual Costs		3.461	3.461	0.000
Capital Loans & Equity	CM1	2.541	0.500	(2.041)
Total Development & Commercial		**6.002**	**3.961**	**(2.041)**
Corporately Held Funds				
Revenue Reform Projects	CM2	41.734	37.834	(3.900)
Corporate Capital Contingency		3.636	0.000	(3.636)
ERP Implementation		4.487	4.487	0.000
Total Corporately Held Funds		**49.857**	**42.321**	**(7.536)**
SAP Investments	CM3	**3.720**	**0.000**	**(3.720)**
ICT & Digitial Services				
ICT & Digital	CM4	11.643	8.340	(3.303)
Total Digital & Customer Services Directorate		**11.643**	**8.340**	**(3.303)**
TOTAL COUNCIL MANAGEMENT		**71.222**	**54.622**	**(16.600)**
CITY OPERATIONS				
Control Centre Upgrade				
Control Centre Upgrade - CCTV Cameras		0.115	0.115	0.000
Total Control Centre Upgrade		**0.115**	**0.115**	**0.000**
Street Scene				
Waste Management Services		31.746	31.746	0.000
Parks & Nature Conservation		5.472	5.472	0.000
Total Street Scene		**37.218**	**37.218**	**0.000**
Private Sector Housing	CO1	**3.078**	**8.962**	**5.884**
Neighbourhoods				
Community, Sport & Events		4.528	4.581	0.053
Neighbourhoods		(0.006)	(0.006)	0.000
Cultural Development		0.774	0.774	0.000
Total Neighbourhoods		**5.296**	**5.349**	**0.053**
Regulation & Enforcement				
Bereavement		2.502	2.502	0.000
Mortuary/Coroners		0.496	0.496	0.000
Total Regulation & Enforcement		**2.998**	**2.998**	**0.000**
Highways Infrastructure				
Highways / Flood Management		2.792	1.942	(0.850)
Tame Valley Phase 3		17.517	17.060	(0.457)
		20.309	**19.002**	**(1.307)**
TOTAL CITY OPERATIONS		**69.014**	**73.644**	**4.630**
CITY HOUSING				
Housing Options Service		**30.846**	**17.846**	**(13.000)**
Housing Revenue Account				
Housing Improvement Programme	CH1	93.355	78.245	(15.110)
Redevelopment	CH2	59.088	30.180	(28.908)
Other Programmes		2.169	1.269	(0.900)
Total Housing Revenue Account		**154.612**	**109.694**	**(44.918)**
TOTAL CITY HOUSING		**185.458**	**127.540**	**(57.918)**
PLACE, PROSPERITY & SUSTAINABILITY				
Planning & Development				
Major Projects				
Enterprise Zone - Paradise Circus		6.078	5.311	(0.767)
Enterprise Zone - Other		27.796	22.326	(5.470)
Other Major Projects		8.069	8.069	0.000
Total Major Projects		**41.943**	**35.706**	**(6.237)**
Public Realm		**0.424**	**0.424**	**0.000**
Infrastructure		**0.000**	**0.000**	**0.000**
Total Planning & Development		**42.367**	**36.130**	**(6.237)**

Capital Forecast Outturn 2022/23 - Month 9

Annex 3.3

	Ref.	Forecast Variations Current Year Current Budget £m	Forecast Outturn £m	Month 9 Variation £m
Transport Connectivity				
Major Schemes				
A457 Dudley Road		9.503	8.800	(0.703)
Birmingham City Centre Retail Core Public Realm		2.744	2.100	(0.644)
Wharfdale Road Bridge	**PPS1**	2.687	0.050	(2.637)
Other (Major Schemes)	**PPS2**	10.529	2.860	(7.669)
Total Major Schemes		**25.463**	**13.810**	**(11.653)**
Brum Breathes & Route To Zero		32.297	14.393	(17.904)
Active Travel		22.917	22.917	0.000
Public Transport		2.016	0.371	(1.645)
Infrastructure Development		3.270	0.800	(2.470)
Places for People (Local Neighbourhoods)		3.690	3.690	0.000
Section 278/106		0.020	0.020	(0.000)
Local Measure		0.000	0.000	0.000
Total Transport Connectivity		**89.673**	**56.001**	**(33.673)**
Housing Development				
In Reach		5.380	5.380	0.000
Total Housing Development		**5.380**	**5.380**	**0.000**
Perry Barr Residential Scheme		**114.774**	**114.774**	**0.000**
Property Services				
Property Strategy & Public Hub		64.458	47.000	(17.458)
Other Schemes		11.245	11.245	0.000
Total Property Services		**75.703**	**58.245**	**(17.458)**
TOTAL PLACE, PROSPERITY & SUSTAINABILITY		**327.898**	**270.530**	**(57.368)**
CHILDREN & FAMILIES				
Education & Early Years				
Devolved Capital Allocation to Schools		2.979	2.979	0.000
School Condition Allocations		12.230	12.230	0.000
Basic Need - Additional School Places		21.208	13.104	(8.104)
IT Investment		1.498	1.498	0.000
Other Major Projects (Children's Trust Accom)		2.962	2.962	0.000
Total Education & Early Years		**40.877**	**32.773**	**(8.104)**
Skills & Employability				
Birmingham Libraries		0.330	0.330	0.000
Total Skills & Employability		**0.330**	**0.330**	**0.000**
TOTAL CHILDREN & FAMILIES		**41.207**	**33.103**	**(8.104)**
ADULT SOCIAL CARE DIRECTORATE				
Adult Care & Health				
Property Schemes		0.273	0.273	0.000
Adults IT		0.733	0.733	0.000
Capital Reserves – Telecare/TEC		0.388	0.388	0.000
Independent Living		12.943	12.943	0.000
TOTAL ADULT SOCIAL CARE		**14.337**	**14.337**	**0.000**
TOTAL CAPITAL PROGRAMME		**728.552**	**581.957**	**(146.594)**

TREASURY MANAGEMENT MONITORING DASHBOARD: 31 DECEMBER 2022

		value	comparator	difference
1	**Gross loan debt**	**£m**	**£m**	**£m**
	at month end	**3,274**		
	year end Forecast (vs Plan)	3,285	3,452	-167
	year end Forecast (vs Pru Limit for loan debt)	3,285	4,126	-841

Forecast year end debt is currently below the year end plan. The Forecast year end debt is well within the prudential limit for loan debt, set for unplanned cashflow movements.

2	**short term borrowing**			
	at month end (vs Plan)	305	563	-258
	interest rate year to date on outstanding deals (vs assumption)	2.47%	1.00%	1.47%

Short term borrowing resumed in quarter 2 and has increased in line with the approved Strategy. Bank rate has seen consecutive rises this year so borrowing rates have been above the planned rate.

3	**Treasury investments**			
	at month end (vs Plan)	87	40	47
	interest rate year to date on outstanding deals (vs assumption)	3.29%	0.75%	2.54%

Treasury investments are on average closer to the target of £40m. Bank Rate rises throughout the year mean that investment yields are higher than planned.

4	**Long term loans taken**			
	year to date (vs Plan)	65	90	-25
	ave. interest rate obtained (vs assumption)	4.32%	2.35%	1.97%

PWLB loans have been at a higher rate than planned due to the rise in gilt yields on the back of successive Bank Rate increases by the Bank of England. However this has reduced some refinancing risk from further interest rate rises.

5	**Assurance**	
	were Credit criteria complied with?	**yes**
	were investment defaults avoided?	**yes**
	was the TM Code complied with?	**yes**
	were prudential limits complied with?	**yes**

These are key performance indicators for treasury management which in normal circumstances should all be yes. Investment quality is kept under continual review with support from the Council's treasury advisers.

Annex 4.2

Treasury Management: portfolio overview			
This appendix summarises the Council's loan debt and treasury management investments outstanding			
	this quarter		last quarter
	31/12/2022 £m		**30/09/2022 £m**
PWLB	**2,524.2**		**2,484.2**
Bonds	**373.0**		**373.0**
LOBOs	**71.1**		**71.1**
Other long term	**-**		**-**
Salix	**0.3**		**0.3**
Short term	**305.2**		**304.5**
Gross loan debt	**3,273.8**		**3,233.1**
less treasury investments	**(86.6)**		**(70.8)**
Net loan debt	**3,187.2**		**3,162.3**
Budgeted year end net debt	**3,496.6**		**3,496.6**
Prudential limit (gross loan debt)	**4,126.0**		**4,126.0**

Long term borrowing has increased in quarter 3 to meet the Council's borrowing requirements in line with the approved Strategy.

Treasury investments by source	
	£m
UK Government	**0.0**
Money Market Funds	**79.4**
Banks and Building Societies	**7.2**
	86.6

Treasury investments by credit quality			
			£m
AAA			**0.0**
AAAmmf			**79.4**
AA			**7.2**
A			**0.0**
			86.6

In line with the Strategy, the Council holds its treasury investments in diversified liquid funds of high credit quality.

Investments as Accountable Body

These are investments made as Accountable Body on behalf of others, and are not the Council's own money.

	Growing Places Fund	AMSCI	Regional Growth Fund	LGF3	LGF4	NMCL	Total
	£m	**£m**	**£m**	**£m**	**£m**	**£m**	**£m**
UK Government	0.0	30.3	0.0	0.0	0.0	0.0	**30.3**
Money Market Funds	4.3	14.4	1.5	0.2	1.9	0.3	**22.6**
	4.3	**44.7**	**1.5**	**0.2**	**1.9**	**0.3**	**52.9**

Annex 4.3

Treasury management: summary of delegated decisions in the quarter

This appendix summarises decisions taken under treasury management delegations to the Strategic Director of Council Management (Section 151 Officer) during the quarter.

1. Short term (less than 1 year)	borrowing		investments
	£m		£m
opening balance	**304**		**-71**
new loans/investments	**186**		**-513**
loans/investments repaid	**-185**		**498**
closing balance	**305**		**-86**

These loans and investments are for short periods from one day up to 365 days. Although the closing balance has not changed significantly, the value of transactions demonstrate the considerable treasury dealing activity that took place during the quarter.

2. Long term borrowing:					
date	**lender**		**£m**	**rate**	**maturity**
23/09/2022	PWLB	Fixed Maturity Rate loan	25	4.02%	23/09/2032
06/10/2022	PWLB	Fixed Maturity Rate loan	40	4.50%	06/10/2062

Long term borrowing taken to reduce refinancing risk in an increasing interest rate environment.

3. Long term loans prematurely repaid:				
date	**lender**	**£m**	**rate**	**maturity**

No long term loans were prematurely repaid.
In line with treasury management practices, the Council will repay long term loans prematurely if this provides a financial saving to the Council.

4. Long term treasury investments made:				
date	**borrower**	**£m**	**rate**	**maturity**

No long term investments were made. The Council is a substantial net borrower and usually has cash to invest for relatively short periods.

Annex 5

INVESTMENT PROPERTY PORTFOLIO MONITORING DASHBOARD: QUARTER 3 2022/23

1 Portfolio objectives

The Portfolio is comprised of non-operational service properties which were historically held to earn a financial return.

2 Portfolio summary

as at 31 Dec 2022	budget £m	forecast £m	variance £m
Direct property	-22.63	-22.61	0.02
Loans on property			
less portfolio prudential borrowing	3.39	3.15	-0.24
less management costs	2.60	2.60	0.00
net total	**-16.64**	**-16.88**	**-0.22**

3 Limit on borrowing for Investment Property Portfolio

as at 31 Dec 2022	value £m	limit £m	variance £m
gross prudential borrowing	48.32	100.00	51.68
borrowing repaid from sale proceeds	-14.46		14.46
net prudential borrowing	**33.86**	**100.00**	**66.14**

4 Portfolio completions to the quarter (acquisitions and disposals)

		£m
as at 31 Dec 2022	Sales	8.67
	Purchase	48.32

Commentary:

Q3 disposals completed on 367 Moseley Road, Balsall Heath and site at Leopold St, Highgate and minors to total of £1.5m.

5 Planned activity in the coming quarter

Total disposals of £8.67m to date, with terms agreed on a further £2.84m of the revised total planned programme for disposals of £27.33m for 2022/23 (increase of £0.76m).

6 Assurance

was the CIPFA Treasury Code complied with?	yes
was the Council's Service and Commercial investment Strategy complied with? *(the Strategy implements the requirements of the Government Investment Guidance)*	yes
was the Council's Investment Property Strategy complied with?	yes

Commentary:

All properties fully evaluated and disposed with in the appropriate manner.

Public Report

Birmingham City Council

Report to Cabinet

14 February 2023

TABLED UPDATE

Subject: DRAFT FINANCIAL PLAN - AMENDMENT DUE TO FINAL SETTLEMENT
Report of: Director Council Management

Relevant Cabinet Member: Councillor Ian Ward, Leader of the Council
Councillor Yvonne Mosquito, Cabinet Member Finance & Resources
Relevant O &S Chair(s): Councillor Ahmed, Resources OSC

Report author: Richard Lloyd-Bithell, Assistant Director, Financial Strategy

Are specific wards affected? If yes, name(s) of ward(s):	☐ Yes	☒ No – All wards affected
Is this a key decision? If relevant, add Forward Plan Reference: 010143/2023	☒ Yes	☐ No
Is the decision eligible for call-in?	☒ Yes	☐ No
Does the report contain confidential or exempt information? If relevant, provide exempt information paragraph number or reason if confidential:	☐ Yes	☒ No

1 Executive Summary

1.1 The draft Financial Plan 2023-2026 report sets out the budget for 2023/24 and financial planning context for the Council for the period 2023/24 to 2032/33, with particular emphasis on the period to 2026/27.

1.2 After the publication on the draft Financial Plan on Monday 6th February, the Government published the Final Local Government Finance Settlement on Tuesday 7th February.

2 Recommendations

Cabinet agrees to:

2.1 Note that the Final Settlement has a positive impact on the Council's resources in 2023/24.

2.2 Note that the Council will receive an extra **£0.573m** in Service Grant compared to the figure in the draft Financial Plan.

2.3 Note that Council will receive a one-off amount of **£3.004m** in 2023/24. This is because the Government has a surplus in the national levy account because of increased growth in business rates income. They will distribute £100m of the national surplus on a one-off basis based on each Local Authority's 2013/14 Settlement Funding Assessment.

2.4 Note that the Council is recommending a four year balanced budget for 23/24 to 27/28, therefore the additional funding which has been announced for the Council is a surplus above the already balanced position.

2.5 Approves for the draft Financial Plan 2023-2026 to be amended to contribute the extra **£3.577m** to the Financial Resilience Reserve. This will provide further resilience at this time of economic uncertainty.

3 Background

3.1 Council Financial Plan

3.1.1 The Council's approach to medium term financial planning is based on a rolling framework with regular updates on the financial position, and which culminates with an annual budget agreed each year. This report provides the actions to deliver a balanced budget for 2023/24 and a sustainable medium term financial plan.

3.1.2 Appendix 1 of this report brings together a range of information including in year Cabinet decisions, updates to the savings programme, service plans and reviews, responses to the public engagement and the latest information about the provisional Local Government Settlement. The report also details proposals for closing the financial gap in 2023/24 and recognises that further work needs to be undertaken across the medium term.

3.1.3 The report is intended to enable Cabinet to consider how the proposals contribute to delivering a robust budget and sustainable medium term financial strategy, and to take a considered view of all relevant factors in order to recommend to Council to agree the final 2023/24 budget and medium-term financial plan to 2026/27.

4 Options considered and Recommended Proposal

4.1 The Council must approve a balanced budget and Council Tax level in order to identify resources for the provision of its services. Certain other decisions are also required by statute or in accordance with statutory guidance. The draft Financial Plan 2023 - 2026 (which includes the detailed budget) is the product of the careful evaluation of budgetary needs and policy priorities and represents the culmination of the process to recommend viable proposals to Council. This report proposes an amendment to increase the contribution to the Financial Resilience Reserve by £3.577m following the publication of the Final Local Government Finance Settlement.

5 Consultation

5.1 Internal

Relevant Cabinet Members, Directors, the City Solicitor and Directors of Finance have been consulted in the preparation of this report.

5.1.1 Budget proposals have also been scrutinised by the Overview and Resources Committee at its meeting of 9 February 2023.

Risk Management

5.2 Assumptions made in the Financial Plan have been examined for risks and estimates of expenditure and income have been made on a prudent basis, informed by previous experience, evidence in the current financial year, market forces and service intelligence. An assessment of, and arrangements for, the management of the Council's principal budget risks is set out in the Strategic risk section within Chapter 2 and Appendix C of the draft Financial Plan.

5.3 The Council continues to plan its medium-term budgets in a period of uncertainty around resourcing changes, increased demand for services and inflationary pressures.

6 Compliance Issues:

6.1 How are the recommended decisions consistent with the City Council's priorities, plans and strategies?

6.1.1 The draft Financial Plan represents a key element of the Council's Policy Framework and is integrated with the Council Plan.

6.1.2 Proposals in the draft Financial Plan, including any extra investment in services, have been developed in the light of the City Council's priorities.

6.2 Legal Implications

6.2.1 A Council Plan and Budget is an important element in our Policy Framework, as set out in the Local Government Act 2000.

6.2.2 The Council must set a balanced revenue budget and Council Tax in accordance with the requirements of the Local Government Finance Act 1992, as amended by the Localism Act 2011. These, together with the Capital Programme and Treasury Management Strategy and Policy, are key components of the Policy Framework which must be approved by the Council. These then set the resource framework and limits within which services must be delivered.

6.3 **Financial Implications**

6.3.1 The draft Financial Plan itself sets out the financial implications for the City Council. It also includes identification of risks and reserves that can be used as a contingency if required. This amendment proposes an increase in the Financial Resilience Reserve.

6.4 **Procurement Implications**

6.4.1 N/A

6.5 **Human Resources Implications (if required)**

6.5.1 N/A

6.6 **Public Sector Equality Duty**

6.6.1 There are no additional Equality Duty or Equality Analysis

7 Background Documents

7.1.1 Council Plan 2022 – 2027, approved by the Council February 2022
7.1.2 MTFP Refresh, approved by Cabinet 11 October 2022
7.1.3 Council Taxbase report, approved by Cabinet 17 January 2023
7.1.4 Business Rates Income 2023/24, approved by Cabinet 17 January 2023
7.1.5 Quarter 3 2022/23 Budget Monitoring Report
7.1.6 Draft Financial Plan 2023-2026

Public Report

Birmingham City Council

Report to Cabinet

14 February 2023

Subject: DRAFT FINANCIAL PLAN

Report of: Director Council Management

Relevant Cabinet Member: Councillor Ian Ward, Leader of the Council
Councillor Yvonne Mosquito, Cabinet Member Finance & Resources

Relevant O &S Chair(s): Councillor Ahmed, Resources OSC

Report author: Richard Lloyd-Bithell, Assistant Director, Financial Strategy

Are specific wards affected? If yes, name(s) of ward(s):	☐ Yes	☒ No – All wards affected
Is this a key decision? If relevant, add Forward Plan Reference: 010143/2023	☒ Yes	☐ No
Is the decision eligible for call-in?	☒ Yes	☐ No
Does the report contain confidential or exempt information? If relevant, provide exempt information paragraph number or reason if confidential:	☐ Yes	☒ No

1 Executive Summary

1.1 This report sets out the budget for 2023/24 and financial planning context for the Council for the period 2023/24 to 2032/33, with particular emphasis on the period to 2026/27. It summarises the pressures and growth proposals, savings and additional income proposals across the medium term and the cash limited budgets for each of the Directorates for 2023/24. The work undertaken throughout the 2023/24 budget setting process has enabled the identification of robust savings proposals across the medium term to improve the financial resilience of the Council and further work will be carried out in the early part of 2023 to develop further transformative proposals in order continue identification

of savings and efficiencies as part of the rolling budget process. The Council has also made additional investment in some key service areas to improve outcomes for users of the service. Birmingham City Council is due to consider and approve its Budget and Medium-Term Financial Plan on 28th February 2023.

1.2 The Financial Plan sets out the Council's medium term financial plan for the next four years, which is based on the following core principles:

- Allocating resources in accordance with the priorities as set out in the Council Plan.
- Ensuring that the Council sets a balanced budget for 2023/24 and has robust plans for the long-term financial health and viability of the Council
- Ensuring that capital investment plans are set at an affordable and sustainable level
- Protecting the Council's reserves – in line with its Reserves Policy - for 'rainy day' events and not seeking to use them to meet ongoing pressures or where savings have not been achieved
- Ensuring that there is strong governance, assurance and accountability for delivery of service outcomes and savings proposals within budget
- Mitigate against uncertainty in the near and medium term.

2 Recommendations

Cabinet agrees to:

2.1 Recommend the attached draft Financial Plan for consideration by the City Council on 28th February 2023, which lays out a net revenue budget of £925.1m and a capital budget of £1.6bn.

2.2 The level of risk and budget assumptions set out in the Section 25 Statement from the Chief Finance Officer as detailed in Chapters 6 of draft Financial Plan, as these underpin the revenue and capital budget decisions and planning assumptions.

2.3 Note that Corporate Directors will continue developing transformative budget proposals and will be focussing on shaping further proposals to mitigate risk over the 10-year financial plan and provide financial sustainability for the Council.

2.4 Delegate authority to the Chief Finance Officer, in consultation with the Leader and Cabinet Member for Finance and Governance, to make any amendments or corrections to the draft Financial Plan 2023 - 2026 as detailed in section 3.3.

2.5 Cabinet is recommended to delegate authority to the Section 151 Officer, in consultation with the Cabinet Member for Finance and Resources, to use the General Policy Contingency Budget for those matters which may require an

urgent response, subject to compliance with procurement rules. Any delegated decision will be reported through the normal procedures as set out in the Constitution.

2.6 That the Cabinet recommends to Council the application of additional premiums for empty and second homes to come into effect from 1st April 2024.

2.7 That the Cabinet recommends to Council to reinstate the use of Enforcement Agents for the collection of council tax support related debt; for the Revenues Service to work with our Enforcement Agents and develop an approach to improve debt collection, whilst recognising that additional support will be needed for people in the current cost of living crisis.

3 Background

3.1 Council Financial Plan

3.1.1 The Council's approach to medium term financial planning is based on a rolling framework with regular updates on the financial position, and which culminates with an annual budget agreed each year. This report provides the actions to deliver a balanced budget for 2023/24 and a sustainable medium term financial plan.

3.1.2 Appendix 1 of this report brings together a range of information including in year Cabinet decisions, updates to the savings programme, service plans and reviews, responses to the public engagement and the latest information about the provisional Local Government Settlement. The report also details proposals for closing the financial gap in 2023/24 and recognises that further work needs to be undertaken across the medium term.

3.1.3 The report is intended to enable Cabinet to consider how the proposals contribute to delivering a robust budget and sustainable medium term financial strategy, and to take a considered view of all relevant factors in order to recommend to Council to agree the final 2023/24 budget and medium-term financial plan to 2026/27.

3.1.4 The proposals included in this report allow for setting a balanced budget for 2023/24 to 2026/27. Work is on-going as part of the rolling budget process to balance the budget for future years.

Approach to developing the budget

3.1.5 For more than 10 years the Council has delivered against a series of challenging financial targets following a prolonged period of austerity as well as disproportionate growth in demand for services, through a combination of effective financial management and cost control and more innovative approaches to investment, transformation and demand management, building

on the existing programme in place**.** CIPFA (Chartered Institute of Public Finance and Accountability), in the summer of 2021, recognised that the City Council has strong robust financial management processes in place and awarded the city a 3-star rating for Financial Management. This is an excellent achievement and recognises the work undertaken to strengthen financial management across the whole council including the introduction of a robust rolling budget setting process which is designed to provide an earlier view of future year budget pressures so that the Council can act accordingly through transformative rather than reactionary measures.

3.1.6 During 2022/23, the focus for Corporate Directors was to deliver transformational change across the organisation, via the Delivery Plan. This transformational change is designed to improve outcomes for residents, whilst delivering a reduced cost base and additional income for the Council. Delivery Plan work focused on three pillars:

- People – shifting the focus from crisis to prevention
- Place – increasing the pace and scale of growth
- Fit for Purpose Council - delivering new ways of working

Resources

3.1.7 The Department for Levelling Up, Housing & Communities released the provisional Local Government Finance Settlement on 19 December 2022. The funding data released was for 2023/24 only, and although this does not give certainty about resourcing for medium term financial planning, it provides an opportunity for Birmingham to continue to lobby for funding beyond 2023/24.

3.1.8 Indicative allocations for Birmingham City Council in the recently announced Provisional Local Government Finance Settlement include:

- **£106.5m** of Social Care grants, which represents an increase of £39.7m on the previous year's values and current planning assumptions. The Independent Living Fund grant of £4.1m has been consolidated in Social Care grant
- Improved Better Care Fund of **£67.9m**, which is cash flat, noninflationary increase on the 2022/23 values and current planning assumption.
- Top Up Grant of **£69.3m**, which is £1.7m lower than previously assumed.
- Services Grant of **£13.9m**, which is a large reduction from the previous year. Though this was a one-year grant in 2022/23, the assumption was that this funding would continue into future years, albeit with different forms.
- New Homes Bonus Grant of **£1.4m**, which is £0.8m less than the 2022/23 values. New Homes Bonus allocations were previously identified as an area of risk within our financial modelling, due to the planned reforms to funding stream.

- Continuation of the Lower Tier Grant at a value of **£2.4m**.

3.1.9 This represents additional net resources of **£10.7m** above what was been previously assumed in 22/23. Any additional funding has been applied in the budget proposals for 23/24.

3.1.10 A review has been undertaken of the income to be generated from Business Rates and Council Tax, particularly considering the ongoing impact of Covid on businesses, household income and economic conditions. Reports were taken to Cabinet on 17 January 2023 which identified the following basis for the forecasting of both income streams:

Business Rates Income 2023/24

- Government has implemented the Business Rates Valuation with effect from 1st April 2023, however and have also they chosen to freeze the Business Rates Multiplier, which would normally have been amended to reflect the new valuation and smooth the amounts being received by Local Authorities. The Council has updated its forecasts of future Business Rates receipts to include the impact of new developments and the sustainability of businesses and the recovery from the pandemic. The forecast for 2023/24 was approved by Cabinet at the meeting of 17 January 2023 and is therefore the basis for the numbers in the MTFP (Medium Term Financial Plan).
- Collection rate of 97.0% has been assumed. This is, 1% lower than the pre Covid-19 rate and 1% more than the 2021/22 rate because whilst collection is gradually improving, the impact of the Covid-19 pandemic and the economic uncertainty is still ongoing. Whilst this is a cautious planning assumption, the Council will continue in its endeavours to ensure that liabilities in relation to Business Rates are settled. Should this collection rate be improved, the resulting surplus will become available to assist in budget setting in future financial years.
- Central Government support for small businesses, retail and hospitality sectors will continue into 2023/24. In the Autumn 2022 budget, the Government announced a 75% relief on business rates bills for eligible retail, hospitality and leisure properties up to £110,000 per business. An estimate of £45.6m excluding the Enterprise Zone has been included in the 2023/24 business rates forecast, although detailed guidance notes of the scheme are yet to be published by the Government. Local Authorities will be compensated by additional Section 31 grants for this relief.
- It is prudent for the Council to make an assumption about the level of successful appeals that will be made each year against the rateable value of properties and set aside adequate provision for repaying appeals. The Council is assuming that these will be £21.9m, which is in line with the budget in 2022/23. Should the provision prove to be inadequate, the Council has reserves set aside for Business Rates volatility of over £15.2m that can provide extra cover if required

Council Tax 2023/24

- Collection rate of 96.85% has been assumed. This is the same as 2022/23, but lower than the pre-Covid levels of 97.1%. As with Business Rates, there is a cautious assumption in the collection rates for 2023/24 to reflect the cost-of-living crisis and on-going economic uncertainty.
- Net increase of 4,900 Band D properties
- Tax base for Birmingham of 263,262 Band D equivalent properties

3.1.11 The budget proposals are based upon a general Council Tax increase of 2.99% in 2023/24 and 24/25. In addition, to fund significant social care pressures, it is proposed that the City Council will increase Council Tax by a further 2% through the Social Care Precept, making an overall Council Tax increase of 4.99%. This increase will not require a referendum as it is below the threshold set by the Government for 2023/24. Money raised from the Social Care Precept will be invested in adult social care services as shown on Adult Social Care section, Chapter 2 of the Financial Plan. Beyond 2024/25, Council tax increases have been assumed for planning purposes to be 1.99%, but subject to approval annually by the City Council.

Council Tax Support for related debt

3.1.12 In September 2015, a report was published by the Money Advice Trust examining councils use of Enforcement Agents (EAs – previously known as Bailiffs). The report was critical of councils (across the UK) using EAs to visit households with children. A decision was taken by Birmingham Council in 2017 not to refer any households (with or without children) debt to EAs for people in receipt of CTS. Enforcement Agents offer a much more flexible approach to debt collection than they did five years ago. The EA which the Council uses (Equita) has dedicated 'welfare champions' in all customer facing teams. Vulnerable customers benefit from welfare visits and outreach from a dedicated, local Welfare Champion – and can complete a vulnerability self-declaration form. Their staff receive extensive ongoing training with referrals and signposting, drawing on both national and regional partnerships with the advice sector. To improve the arrears position for CTS accounts and deal with the debt more effectively the current position is not sustainable. Further council tax rises, the growing customer base in the city, the impact of Covid and the cost-of-living crisis means the debt will continue to grow.

Council tax premium (empty and second homes)

3.1.13 On 11th May 2022, the Government issued a policy paper which outlined the intention as part of the Regeneration Bill to introduce a new discretionary council tax premium on second homes of up to 100% in addition to the existing base line charge. In practice this would mean that properties which are

furnished but not an individual's primary residence would attract a 200% council tax charge. The policy paper also allowed Local Authorities to bring forward the existing empty homes premium and apply a council tax premium of 100% to properties which are unfurnished and have been empty for more than one year. The current regulations state that properties need to be unfurnished and empty for two or more years to attract the premium. The policy also states that the Authority can use its own discretion to waiver the premium where a property is actively on the open market for sale, or rent the premium is not charged for example. The proposed legislation (currently awaiting Royal Assent) requires Local Authorities to make the decision to charge these premiums 12 months in advance of the effective date, hence approval being requested at this meeting.

Expenditure

3.1.14 The assumptions that underpin the budget for 2023/24 and across the medium term are as follows:

- Pay increase of 5.0% has been included for 2023/24 and 2.5% for 24/25 and beyond.
- In the main, 0% has been built into the financial plans as non-pay inflationary uplifts. 5% has been added to income lines.
- Expenditure agreements and contracts have been generally increased by 5% in line with contractual arrangements and available market data.
- Energy prices continue to be volatile, and ongoing provision has been made in the financial plans to reflect the anticipated additional costs. New contractual arrangements were put in place in 2022/23 to limit the Council's exposure.
- Funding of demographic and demand led pressures, along with invest to save activity to deliver transformational change in the future.
- All fees and charges have been reviewed for 2023/24. Generally, Increases have been applied in line with inflation, national guidance or local market conditions. The schedule of fees and charges changes can be found at Appendix P of this report, please note that that bereavement services are at a 0% increase for one year due to need to review the service.

3.1.15 Managing ongoing demand-led pressures and requests for further investment in services remains a key aspect of the medium-term financial plans. The impact of COVID-19 will be felt beyond 2021/22 and will have a legacy impact on the MTFP making it highly unlikely that a number of budgets, either income, expenditure or savings plans, will return to their pre COVID-19 levels. The impact of the War in Ukraine and other economic events and policy has led to a high inflationary environment and inflation pressure for the Council. The

details of service pressures and investments are outlined in Appendix D of the draft Financial Plan.

3.1.16 The revenue budget proposals include further savings (cost reductions and additional income generation) of £48.9m in 2023/24, rising to £97.1m by 2026/27, as laid out in Appendix E of the Financial Plan. New savings proposals total £29.6m across the medium term. All other savings are stepped changes to existing savings programmes that were approved by Full Council in February 2022.

3.1.17 Taking all the above into account, the Council proposes a net revenue budget of £925.1m for 2023/24. Expenditure will be monitored and reported on a regular basis in line with the Council's overall financial framework.

Capital Programme

3.1.18 The scale and diversity of the capital programme means that, over the medium term, new borrowing for normal service delivery will aim to be at a level which is close to the amount which is set aside from the revenue account each year for debt repayment. The Treasury Management Strategy and Policy set out arrangements for a balanced approach to managing the Council's debt portfolio, and a financial investment strategy which seeks to minimise risks. The Service and Commercial Investment Strategy sets out the framework within which support to the Birmingham economy and the generation of income can be managed.

3.2 Levies & Precepts

3.2.1 The Transport Levy and contribution towards other costs of the West Midlands Combined Authority are included within the Council's revenue budget. These amounts are due to be approved by the WMCA (West Midlands Combined Authority) Board in February 2023. The Environment Agency levy has not yet been notified to the Council.

3.2.2 The Motions to the City Council concerning overall Council Tax levels include the amounts for the various precepts. These are as follows:

- Fire & Rescue Authority
- West Midlands Police and Crime Commissioner
- New Frankley in Birmingham Parish Council
- Royal Sutton Coldfield Town Council

3.2.3 Details about the preceptors are expected to be added to the Financial Plan in time for consideration of the document by the City Council on 28 February 2023.

3.3 Amendments

3.3.1 The Financial Plan was considered by Scrutiny Committee on 9 February 2023. Since that time, updates have been made to the document:

3.3.2 It is recommended that authority is delegated to the Chief Finance Officer, in consultation with the Leader and Cabinet Member for Finance and Governance, to further amend the attached draft Financial Plan to take account of, and limited to, the following:

- any amendments agreed at or as a result of the decisions made at the Cabinet meeting on 14 February 2023; and
- the impact of decisions as set out in section 3.2 above; and
- any non-material corrections/changes to enable the production of a final version of the Financial Plan 2023 - 2027 document for consideration at the City Council meeting on 28 February 2023.
- Any amendments required following the publication of the Final Local Government Finance Settlement which is expected to be published in February 2023.
- Any feedback agreed by Cabinet following the Co-ordinating Overview and Scrutiny Committee.

4 Options considered and Recommended Proposal

4.1 The Council must approve a balanced budget and Council Tax level in order to identify resources for the provision of its services. Certain other decisions are also required by statute or in accordance with statutory guidance. The draft Financial Plan 2023 - 2026 (which includes the detailed budget) is the product of the careful evaluation of budgetary needs and policy priorities and represents the culmination of the process to recommend viable proposals to Council.

4.2 The Motions to the City Council meeting on 28 February 2023 will cover the following specific aspects:

- Revenue budget 2023/24
- Council Tax requirement
- Council Tax 2023/24 (by band)
- Capital programme
- Treasury Management Strategy
- Treasury Management Policy
- Prudential Indicators
- Flexible use of capital receipts strategy
- Pay Policy statement

5 Consultation

5.1 Internal

5.1.1 Relevant Cabinet Members, Directors, the City Solicitor and Directors of Finance have been consulted in the preparation of this report and the Financial Plan.

5.1.2 Budget proposals have also been scrutinised by the Overview and Resources Committee at its meeting of 9 February 2023.

5.2 ***External***

5.2.1 The Council will has carried out the statutory minimum consultation on this budget, as laid down in the Local Government Finance Act 1992. This requires business ratepayer representatives to be consulted on annual spending proposals ahead of setting our budget. The Leader held a virtual meeting with business rates payers on 1 February, attended by relevant Cabinet Members and officers.

Risk Management

5.3 Assumptions made in the Financial Plan have been examined for risks and estimates of expenditure and income have been made on a prudent basis, informed by previous experience, evidence in the current financial year, market forces and service intelligence. An assessment of, and arrangements for, the management of the Council's principal budget risks is set out in the Strategic risk section within Chapter 2 and Appendix C of the draft Financial Plan.

5.4 The Council continues to plan its medium-term budgets in a period of uncertainty around resourcing changes, increased demand for services and inflationary pressures.

6 Compliance Issues:

6.1 How are the recommended decisions consistent with the City Council's priorities, plans and strategies?

6.1.1 The draft Financial Plan represents a key element of the Council's Policy Framework and is integrated with the Council Plan.

6.1.2 Proposals in the draft Financial Plan, including any extra investment in services, have been developed in the light of the City Council's priorities.

6.2 Legal Implications

6.2.1 A Council Plan and Budget is an important element in our Policy Framework, as set out in the Local Government Act 2000.

6.2.2 The Council must set a balanced revenue budget and Council Tax in accordance with the requirements of the Local Government Finance Act 1992, as amended by the Localism Act 2011. These, together with the Capital Programme and Treasury Management Strategy and Policy, are key

components of the Policy Framework which must be approved by the Council. These then set the resource framework and limits within which services must be delivered.

6.3 Financial Implications

6.3.1 The draft Financial Plan itself sets out the financial implications for the City Council. It also includes identification of risks and reserves that can be used as a contingency if required.

6.4 Procurement Implications (if required)

6.4.1 The implementation of proposals set out in the draft Financial Plan will need to be managed in accordance with the appropriate procurement governance arrangements.

6.5 Human Resources Implications (if required)

6.5.1 Some savings proposals may lead to some staffing reductions, as indicated in Chapter 2 of the draft Financial Plan. However, the Council will take all necessary steps to minimise the number of redundancies.

6.6 Public Sector Equality Duty

6.6.1 The draft Financial Plan sets out individual resource allocations. Initial equality assessments have been undertaken on all budget proposals. Detailed delivery plans are being developed for all new budget proposals and equalities impact assessments are available for all these proposals

7 Background Documents

7.1.1 Council Plan 2022 – 2027, approved by the Council February 2022
7.1.2 MTFP Refresh, approved by Cabinet 11 October 2022
7.1.3 Council Taxbase report, approved by Cabinet 17 January 2023
7.1.4 Business Rates Income 2023/24, approved by Cabinet 17 January 2023
7.1.5 Quarter 3 2022/23 Budget Monitoring Report

FINANCIAL PLAN
2023 – 2027

(cover to follow)

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LEADER'S FOREWORD

This document sets out the Council's medium term financial plan for the next four years, outlining the vision and priorities that will inform future decisions and spending.

This year's plan has been produced against the backdrop of an ongoing cost-of-living crisis that is hitting families, neighbourhoods, and businesses. The plan outlines how the Council is collaborating with partners to support people in every neighbourhood and every community right across Birmingham.

The Council declared a 'Cost of Living Emergency' in September 2022, and we are working hard with a wide range of partners across the city to support families, households and businesses struggling to make ends meet.

Through our HelpInBrum campaign we are:

- working with the local community and a partnership of voluntary and community sector organisations to expand a network of warm spaces, available for people to use and visit during the winter period and beyond.
- helping people access information, advice, and guidance to help them access the right benefits and money advice.
- providing information and guidance on energy schemes available to residents to reduce energy bills.
- and supporting foodbanks, food clubs, food pantries, social supermarkets and community cafés that are providing food to Birmingham residents.

Of course councils are not immune from rising costs and Birmingham City Council faces an increase of £18 million for our energy bills, while our schools face an increase of £6 million.

But, even as we face these additional costs, we will deliver on our priorities to build a city which is prosperous, inclusive, safe, healthy, and green.

We will increase spending on cleaner, safer streets, while additional funding has been earmarked for Neighbourhood Action Co-ordinators to respond to the needs of our communities. These officers will focus on environmental issues at a local level, underlining our commitment to cleaner streets.

Building on our HelpInBrum cost-of-living initiative, the Council has found a further £6 million to offer targeted support for vulnerable adults across the city.

And we will support cultural activities in local neighbourhoods as part of our Commonwealth Games legacy.

Birmingham is a great city, but we also face significant challenges, and this plan outlines our strategy to tackle unemployment and low skill levels, health inequalities, the climate

emergency, violent crime, homelessness, and other social problems. We are also determined to create more opportunities for children and young people.

While acknowledging these challenges, it is important to remind ourselves that last year's triumphant Birmingham Commonwealth Games showcased a city of immense potential, and we continue to attract the investment to make this a golden decade of opportunity for our young and growing population.

Despite being overlooked in Round Two of the government’s Levelling Up Fund, we continue to make a compelling case for Birmingham to be at the very heart of the Government's levelling up agenda and we will work in partnership with other public agencies and the private sector to improve the lives and life chances of people from across the city.

We will pursue additional funding from central government and elsewhere to increase support and opportunity for Birmingham citizens, but we are not waiting for anyone else to 'level up Birmingham'.

Major projects such as HS2, the £700 million Paradise Development and Smithfield will continue to deliver homes, jobs, and opportunities for our citizens. Birmingham is fast becoming a hub for advanced manufacturing, life sciences, creative industries, financial services, and technology. We are also well-placed to harness the economic opportunities of the future, including digital, automation, and decarbonisation.

Birmingham is a bold, growing city with a young, diverse, and creative population. This financial plan outlines how the Council will support people through challenging times, while also playing a leading role in our city's future prosperity.

We will build on our Commonwealth Games success to deliver life-changing and truly inclusive growth for people in every neighbourhood and community.

Be Bold Be Birmingham

Cllr Ian Ward, Leader of Birmingham City Council.

CHAPTER 1: POLICY CONTEXT

Introduction

1. The Medium-Term Financial Plan shows how the Council will use its resources to deliver and improve services for citizens and support its objectives over the next few years. This chapter summarises the policy context that has informed the development of the Plan – including:

- the impact of Covid-19 and a need to refocus our priorities (section 2)
- changes to the national policy context affecting the environment in which local government operates (section 3)
- the continued financial challenges facing the Council (section 4)
- the key opportunities and challenges facing the city (section 5)
- a new Corporate Plan 2022-2026 (sections 6 and 8)
- the continued transformation of the Council (section 7)
- the Council's response to Government's new levelling up agenda (section 3 and 4)

2. The Council uses the grant income it receives from central government, income from the Council Tax and Business Rates as well as fees and charges to fund its core services to citizens. We also have substantial assets, such as land and property, which can be used for the benefit of the city. Money received from council housing rents sits in a separate housing revenue ring-fenced fund and can only be used for relevant spending on council housing, such as maintenance and improvements to housing.

3. In seeking to achieve our ambitions for the city we also work in partnership with other public agencies and the private sector to seek to align their resources with our priorities. We also pursue additional grant funding from central government for specific purposes when these arise. Given these wider resources sit outside our financial plan, the plan therefore does not cover the entirety of the ambitions we have for the city. Section 6 summarises our wider strategic planning process which, through a new Corporate Plan for 2022-2026, will ensure our delivery, enabling and influencing roles and activity as a council are focussed on responding to the challenges facing the city.

4. This Medium-Term Financial Plan is a key part of the prudent management of the Council's finances. It projects forward the financial position of the Council over the next 10 years reflecting the Government's 2022 Spending Review position. Longer term planning provides for longer-term stability and the continued strengthening of our financial resilience through a controlled approach to spending, income generation borrowing and the effective retention and management of appropriate reserves. It also shows how we will continue to invest to reshape and transform our services so that they provide for better outcomes and better value for money in the future.

Recovering from COVID and refocusing on our priorities

5. The city's economic performance before the pandemic showed that Birmingham has many of the ingredients for success. During the next four-year period, we will emerge from the challenge of the COVID pandemic, and the city can grasp the opportunities ahead and ensure that it fulfils its full potential.

6. The COVID-19 pandemic had a significant impact on the city, in terms of the tragic loss of human life, the restrictions it placed on our everyday lives and the economic impact on workers and businesses. It also created a severe challenge for the City Council's own finances, with increased spending requirements alongside loss of income.

7. The crisis reminded us of our capacity to adapt and take radical action to respond to the challenges we face. This includes mobilising government, national and local to support businesses as well as the strength and solidarity of Birmingham's citizens and communities. We can draw a renewed sense of purpose from our capacity for innovation and the potential of the city's many strong partnerships to drive improvement and change.

8. But the crisis also highlighted the chronic and structural inequalities in the city and the continued level of poverty and vulnerability in some groups and communities. Many households remain in a precarious state, relying on parts of the labour market that have been weakened and made fragile by the pandemic.

9. The pandemic also further stretched our public services, revealing their fragility and highlighting their importance in providing protection and resilience to our communities and to help individuals and families to overcome inequalities or give them a fair opportunity in life.

The Changing National Policy Context

10. Several important changes are taking place in the environment in which local government operates, principally through changes to central government policy. These are outlined in the following paragraphs.

11. The 2022 Autumn Statement outlined the Government's spending plans by setting budgets for each central government department. This included extra funding for adult social care, compensation for local authorities from the freezing of business rates, and additional funding for schools. Additionally, the Government announced additional flexibility for local authorities in England to set Council Tax by increasing the referendum limit to 3 per cent per year from April 2023. It is also announced that local authorities with social care responsibilities would be given the ability to increase the adult social care precept by up to 2 per cent per year.

12. These announcements were set within the overall context of the cost-of-living crisis – a significant fall in 'real' disposable incomes (that is, adjusted for inflation and after taxes and benefits) that the UK has experienced since late 2021. The cost-of-living crisis is the latest in a decade-long series of events, including austerity, Brexit, the COVI-19 pandemic and the war in Ukraine that continue to erode the financial sustainability of local public services.

13. In response to the cost-of-living crisis, on 06 September 2022, Birmingham City Council declared a 'Cost of Living Emergency', to prepare the organisation for a rapid deployment of resources to assist individuals, households and our business community. The key components of the response comprise:

- working with the local community and a partnership of voluntary and community sector organisations to expand a network of warm spaces. These spaces will be available for people to use and visit during the winter period and beyond
- proactive work to ensure citizens have access to information, advice and guidance to help them access the right benefits and money advice
- providing information and guidance on energy schemes available to residents to reduce energy bills and helping everyone to keep warm as we head into the winter months
- help for foodbanks providing support to increasing numbers of people and an increasingly varied range of groups of people across the city

14. The Government's overarching policy priority remains "levelling up", which involves investment in transport infrastructure, skills and improving the physical environment, businesses and social amenities of local places. The City Council has already responded to this agenda by publishing its own strategy, Prosperity and Opportunity for All. This is being used to show how "levelling up" can be achieved in Birmingham, through a partnership between government and the city and to co-ordinate our own measures to tackle inequalities and renew less well-off neighbourhoods.

15. A significant reshaping of the landscape of regional funding for regeneration is underway, as EU funding and the Local Growth Fund comes to an end to be replaced by the new Levelling Up Fund and the Shared Prosperity Fund which is being phased in. Birmingham has already been successful in securing over £50m from the Levelling Up Fund, but we will have to collaborate across the West Midlands to gain the most from the new arrangements, as part of the West Midlands Combined Authority.

16. A national Net Zero Strategy has been published to begin to tackle the climate emergency, specific funds have been made available for investment in electric vehicle charging points.

Our financial challenge

17. The next twelve months looks to be one of the most challenging periods in public sector finance. The ongoing financial impact of COVID-19 after a decade of austerity, inflationary pressures and the increasing demand for our services pose a real threat to the financial sustainability of the city and Council.

18. The Government's agenda for the post pandemic period crisis is not yet fully clear, nor is its plans for the "levelling up" agenda through boosting investment in the regions. There is also additional uncertainty created by the roll-forward of the

settlement for 2022/23 only, signalling that reforms to local government financing may be imminent. The Government's plans for reforming the funding of local government may be taken forward in the year ahead after being stalled for some time (the so called "fair funding review" and the resetting of Business Rates growth), with consultations likely to commence from spring 2022.

19. The introduction of the rolling budget process, a key part of our financial management improvements, saw the planning assumptions in our 2022 Medium Term Financial Plan refreshed in October 2022 and taken to both Cabinet and Overview and Scrutiny Committee, July and October. In October 2022 when the Medium-Term Financial Plan was refreshed to give us the latest baseline position, the Council faced a substantial budget deficit over the next four years, ranging from £80m in 2022/23 to £125.7m by 2025/26, with a very uncertain outlook over the longer term. It is therefore more important than ever that we stabilise the Council's finances and balance the books, ensuring that we are well positioned to tackle those challenges and priorities highlighted above. This latest 2022 Medium Term Financial Plan achieves that, reducing the gap to around £32.8m by 2025/26.

20. The Council's ambition is to have a "best in class" financial management process, having attained a 3-star CIPFA Financial Management rating in 2022. The position was up from the one-star rating awarded in 2019 and delivered a year ahead of schedule. In outlining its assessment, CIPFA concluded that Birmingham had made great strides in addressing the issues that constrained overall financial management capability and indicated that this progression highlighted a highly commendable response to issues arising from our April 2019 assessment. Work will continue developing robust financial planning, improving our procurement and business partnering approaches, benchmarking performance, instilling strong governance, leveraging digital tools to automate manual tasks and facilitate analytics and embedding business case development practice across the organisation. A key enabler providing an efficient and effective back-office to the Council will be our investment in a state-of-the-art Finance, Procurement and Human Resources system and additional investment in support teams so that there is the required co-ordination with service delivering functions.

21. This Medium-Term Financial Plan provides firm financial forecasts for income and expenditure driven by our Delivery Plan 2022-2026, supporting effective allocation and prioritisation of resources to critical work and projects over a longer period. This Medium-Term Financial Plan, together with a new Corporate Strategy 2022-2026 and Delivery Plan will support the monitoring of performance against our ambitions, giving us a clear picture of our progress both as a Council and as a city.

Opportunities & Challenges for the city

22. Opportunities

22.1. **Maximising the impact of the Commonwealth Games.** The was biggest sporting and cultural event ever to be held in the city. Thousands of visitors visited the city for the event and more than 1 billion people watched from around the world, creating the opportunity to promote our city to new investors and visitors and strengthen our global links.

22.2. **Continued investment in the city.** Despite the pandemic, major projects such as HS2, the £700 million Paradise Development and Smithfield have continued. These landmark projects will in turn create opportunities for further investment and job creation and HS2 has the potential to stimulate a transformation in the city's economy.

22.3. **Strong economic fundamentals.** Birmingham is the engine of the West Midlands economy and helped to deliver faster growth than the rest of the country in the period before the pandemic. The city is becoming a hub for advanced manufacturing, life sciences, creative industries, financial services, and technology. The city is well-placed to harness the economic opportunities of the future, including digital, automation, and decarbonisation.

22.4. **Diversity.** Birmingham is the most ethnically and culturally diverse city outside of London. This diversity brings with it a rich mix of creativity, entrepreneurship, skills, and talent that all contribute to the city's social and economic vitality.

22.5. **Youth.** We are also a young city, with almost 50% of citizens under the age of 30, which presents huge potential for a brighter future of accelerated growth, fairer distribution of wealth, and opportunities for innovation across all spheres of life. In July 2021, the Council produced its Breaking Down Barriers: Working Towards Birmingham's Future' report which examined the impact of Covid-19 on young people in Birmingham and set out a range of practical recommendations for improving and simplifying the employment, education and training landscape in Birmingham. These recommendations will be addressed as part into the delivery of Birmingham City Council's Economic Recovery Strategy, including the work of the new Birmingham Employment Taskforce.

22.6. **The pride and passion in Birmingham are clear**. Our citizens are overwhelmingly positive about calling Birmingham home: 78% are proud to live in Birmingham and 75% feel there is good community cohesion amongst different ethnic groups in their local area.

22.7. The 2020s have the potential to be a "golden decade" for the city. The Council, as one of the leaders of place, will have a key role in delivering this together with our partners, citizens and communities. In doing so, we will seek to capture the pride in our city and be bold and confident in grasping the opportunities ahead.

23. Challenges

23.1. To fully grasp and exploit these opportunities we must understand, acknowledge and address some major challenges facing the City. From climate change to inequality, from helping our young people thrive to enabling our citizens to live well into old age, our path to prosperity requires us to respond to **five 'grand challenges'** (see paragraphs 23.3. – 23.7).

23.2. Many of the challenges stem from **historic and structural inequalities within our society and economy**, and the Covid-19 pandemic has exposed and compounded the difficulties our most vulnerable citizens face in their daily lives. We must address the structural inequalities that exist within our city. For many of our citizens the opportunities in the city are out of reach. This is damaging for them and threatens the long-term cohesion of our city. The Council has already committed itself to address these inequalities, recently publishing "Everyone's Battle, Everyone's Business" – a call to action for the Council and the city. This commitment also lies at the heart of our approach to "levelling up".

23.3. **Unemployment and low skill levels.** The COVID-19 pandemic and the closure of businesses has had a damaging impact on the Birmingham economy, setting back the impressive economic growth we have seen in recent years. Businesses across the city have seen trade and revenue fall dramatically. Jobs have been lost and unemployment rates are high and likely to increase further in the short term with knock on effects on affordable housing, while citizen qualification levels are below the national average. More than 1 in 8 of working age people in the city have no qualifications.

23.4. **Health and wellbeing.** Health inequalities in Birmingham remain stark and have been exacerbated by the COVID-19 pandemic. Low life expectancy and chronic conditions such as diabetes afflict our poorest communities far worse than those living in more affluent circumstances. We must prevent ill health and maximise health and wellbeing for everyone in Birmingham by building safe and secure homes and shaping a healthier environment for citizens that enables them to achieve their potential and aspirations at every age.

23.5. **Violent crime, homelessness and other social problems.** Birmingham has high levels of crime and homelessness. Too many families are in insecure or inadequate accommodation and struggle to find housing they can afford. There is a need to further strengthen resilience and cohesion within our communities given the inequalities that have been exacerbated by the pandemic, and those given focus through the Black Lives Matter and #MeToo movements and to respond to the serious issue of engrained violent crime.

23.6. **The climate emergency.** The climate crisis has never been more urgent for our city, nation and humanity. The latest report from the IPCC lays bare the desperate state of Earth's climate and nature emergency and the need for us to address it. The city has high levels of air pollution and an inefficient housing stock, leading to fuel poverty.

23.7. **Creating more opportunities for children and young people.** Our young people are one of our greatest strengths and represent a bright future for Birmingham. But the pandemic has been particularly tough on our children and young people, and we need to build a bright future for them. Too many of our children and young people do not get the start in life - over 40% are living in relative poverty and 5% die before they reach their first birthday. Youth unemployment is around 25% and average educational attainment remains below the national level. Last July the Council launched its '*Breaking Down Barriers'* report, an in-depth piece of research culminating in ten recommendations

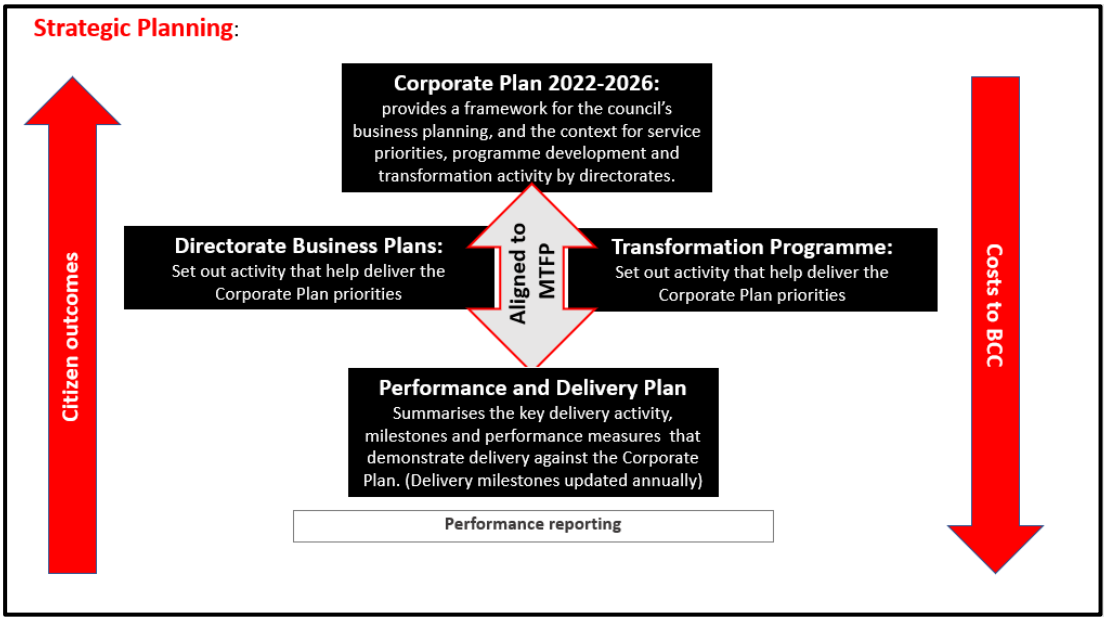
designed to reduce unemployment and unlock the potential of Birmingham's young people.

Our Strategic Planning Process

24. This Medium-Term Financial Plan is part of a wider strategic planning framework that also includes the Corporate Plan 2022-2026, a Council Performance and Delivery Plan and Business Plans for each council Directorate.

25. The Corporate Plan 2022-2026 brings together elements from other documents to provide a framework for the council's business planning for 2022-2026, and the context for service priorities, programme development and transformation activity by directorates. The Plan sets out the Council's vision and priorities so that employees, councillors, delivery partners and other stakeholders understand:

- The strategic context the council is operating in – including the 'grand challenges' the city needs to respond to and opportunities we need to build on
- The strategic priorities of the council - so that resources, delivery plans, strategies and operational activity can be aligned to them
- How the council will continue to transform and drive improvement in services to deliver our priorities and operate as an organisation and partner in the most effective, productive, and impactful way



Continued transformation and improvement

26. The Corporate Plan includes a continuation of three key principles guiding transformation identified in the Delivery Plan 2020-2022:

27. Principle 1 – Shifting our focus from crisis to prevention (People)

27.1. We will help and support individuals and families at the early stages of an issue or crisis in their lives before it becomes an acute problem. We will work

with people differently, drawing on the support that exists in the community, and ensuring different groups of professionals work together on a common mission to help people stay afloat and then thrive.

27.2. We will make best use of customer insight and business intelligence to ensure we make informed decisions and prioritise our resources appropriately embedding the principles of prevention, prediction, and early intervention into everything we do. We will take a whole system approach to promoting the independence and resilience of service users and communities, collaborating with partners, which places citizens and communities at the heart of our decision making. We will organise services around demand and citizen need, so we make the best use of our limited resources.

28. Principle 2 – Increasing the pace and scale of growth, for those that need it the most, while delivering our climate change objectives

28.1. We will use our city's assets and opportunities, such as HS2 and Commonwealth Games, to leverage growth and investment across the city to ensure all citizens share in the creation and benefits of sustainable economic growth. We will adopt a more active and deliberate stance, leveraging the council's balance sheet, and in so doing becoming the corner stone and enabler of a more circular, inclusive and sustainable economy.

28.2. The role of Place in supporting the Financial Plan starts with the 'Our Future City Plan' which in itself sits firmly alongside the new Corporate Plan, the Levelling Up Strategy and a whole host of vital Council documents. Taken together they set out the ambition for a prosperous and fair City, one that has ambitious plans for growth but that is committed to delivering that growth alongside key infrastructure for new and existing communities. These ambitions must be met within the context of this financial plan and the Council's approach to its own asset base, and its approach to delivering in partnership, will be key in balancing the two demands. A refreshed approach to asset management and optimisation is well underway seeking to drive further efficiencies in the way the Council manages its operational building and land and seeks to introduce further innovation in the way that it sells or uses its surplus assets. Opportunities to acquire new assets which support our regeneration objectives will also be considered alongside an ongoing assessment of how the Council is driving best value from its commercial assets. A refresh of the Council's Housing Strategy and Property Strategy will be key to supporting the Council in its financial and service delivery targets.

28.3. The pandemic has inevitably led to a slowing down of economic growth in the city and has severely damaged some key sectors. We will use our assets and opportunities, such as HS2 and Commonwealth, to leverage growth and investment across the city and we will ensure that all citizens share in the creation and benefits of sustainable growth. We will use our landholdings and access to low-cost finance, to build back up the pace and scale of growth across the city. We will also focus on social infrastructure, including social and affordable housing and community amenities, supporting our town centres and local high streets and creating opportunities for local people.

28.4. We will adopt a more active and deliberate stance, leveraging the Council's balance sheet, and in so doing becoming the corner stone and enabler of a more circular, inclusive and sustainable economy.

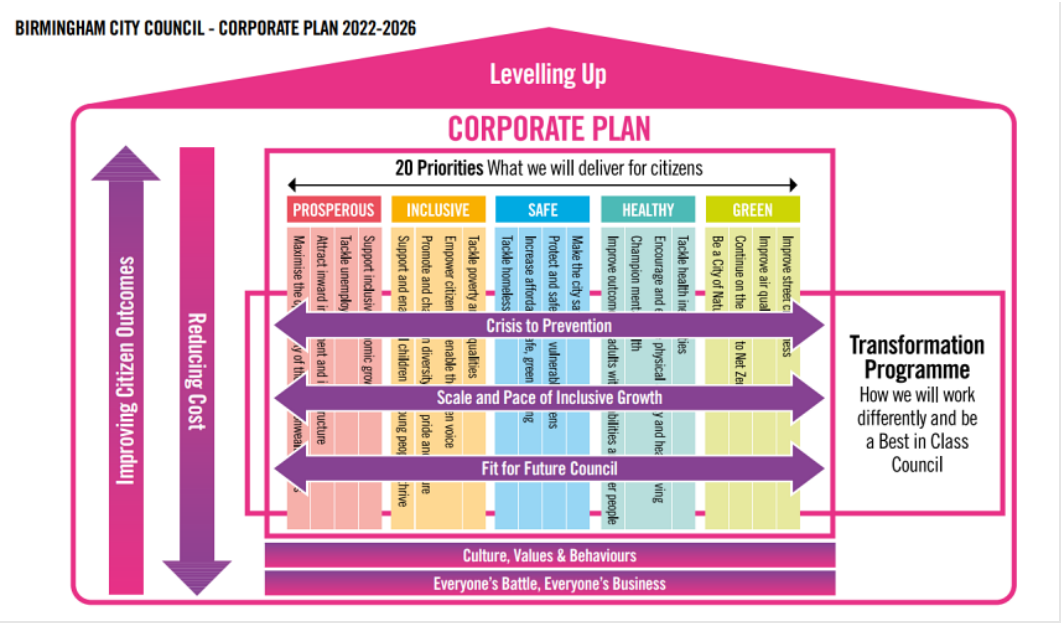
28.5. While it is important to deliver growth, social and economic prosperity must go hand in hand with the need to take action to respond to the climate and ecological emergency. Birmingham's size, political commitment, historic association with technology, engineering and innovation and outstanding research facilities means the city is exceptionally well placed to become a global leader in tackling climate change.

29. Principle 3 – Becoming a council fit for the future and clear strategies driving delivery and an organisation continuously improving and delivering new ways of working (Council)

29.1. We will develop a compelling vision that all the organisation can own and drive forward. This will ensure that our services to citizens will be high performing and built around the citizens.

29.2. We will deliver relentlessly reliable services enabled by a strong performance management culture. Building on strong foundations, which means getting the basics right, all services must demonstrate they have a grip on the key issues and challenges and are responding with pace. This will be underpinned by a robust and sustainable strategic planning, financial and assurance framework. We will be a customer focussed, agile and responsive council through the better use of technology and utilising new delivery models and simplified processes.

29.3. We will continue to develop an inclusive and diverse workforce at all levels which is supported to develop new skills and capabilities and empowered to be creative, innovative and outcome focussed and to exploit opportunities. We will develop strong partnerships to deliver better outcomes, working in teams alongside people who work for other organisations and connecting with citizens and communities in a meaningful way



Be Bold, Be Birmingham: our goals

30. This continued transformation will be the framework for how we deliver services and activity that address the opportunities and grand challenges facing the city. Corporate Plan priorities provide the basis for developing and delivering bold new proposals that build a city which is:

31. ***Prosperous***: where everyone has an opportunity to prosper from its economic growth and development. Working with residents, schools, communities, and businesses, we will help them to succeed and thrive with bold opportunities through employment and skills programmes, education, and transformative regeneration. We will continue to build a bolder prosperous Birmingham in a golden decade of opportunity starting with the Commonwealth Games 2022 and supported through the arrival of HS2 and major development and regeneration including at Smithfield, Perry Barr and East Birmingham.

32. ***Inclusive***: a thriving, happy and connected place where everyone is included in the opportunities that the city can offer. Building on partnerships old and new whilst sustaining community involvement we will become a city that benefits from strengthened connections between communities, increased fairness, and reduced inequalities. We will be an age, disability and child friendly city that tackles poverty and exclusion. We will be a city where our citizens experience accessible public services and have a say in how Birmingham is run. We will work with and help citizens so that in their homes, schools, and communities they feel better connected, included, and empowered to be active in influencing the decisions that affect their lives.

33. ***Safe***: a city with vibrant and flourishing neighbourhoods that are safe and affordable, where vulnerable citizens are protected and supported, where diversity is celebrated, and citizens have pride in where they live. We want a city and communities with a strong sense of belonging and where everyone has access to a

high-quality living environment, rich in culture and amenities, and good quality and affordable housing.

34. ***Healthy***: a city in which every citizen can live a healthy enjoyable life. Where every citizen, at every stage of their life, in all communities can make healthy choices that are affordable, sustainable, and desirable to support them to achieve their potential for a happy, healthy life. Working with our partners, especially in the NHS, we will work to support our citizens (including families and carers) to understand their own physical and mental health and wellbeing and know how to access and get support in a timely and culturally appropriate way when they need it. We will create a city which is compassionate and inclusive to citizens, including people with disabilities and limiting longstanding illness, when they need support and assistance and work together to help them remain active participants in our city throughout their lives. A Bold Birmingham will be at the forefront of tackling health inequalities issues, reducing poverty, creating employment opportunities, and ensuring our city's air is clean.

35. ***Green***: a city with a green heart and clean streets. It will enjoy an environment where air pollution has reduced, and the quality and quantity of public open spaces has increased. The city will be recognised for its response to the Climate Emergency. Sustainability and carbon neutrality will be at the heart of our environment, transport, and wider ambitions. We will continue to work with partners and citizens to advance our ambitions in active travel and better connectivity that creates a healthier environment for all.

36. ***Best-in-Class Council***: We are bold in our ambition and commitment to be a best in-class council. We will continue to drive improvement and modernisation across our organisation so that we can deliver our priorities in the most effective, efficient, and productive way.

CHAPTER 2: FINANCIAL STRATEGY AND REVENUE BUDGET

FINANCIAL STRATEGY

1. Strategic Context

1.1. Birmingham City Council has much to be proud of, including the recent Commonwealth Games, the ongoing regeneration of the city and achieving improvements across a range of service areas. However, as a result of primarily external factors, including recovery from the pandemic, the national challenge of the rising cost of living, inflation, increasing demand, and reduced Government funding, Birmingham City Council, like many councils, is facing an increasingly challenging financial situation. These factors have added pressure to the Council's finances, both for the financial position in 2023/24 and the medium-term financial outlook.

1.2. In February 2022 the Council adopted a Medium-term Financial Plan for 2022-2026 that set a balanced budget for 2022/23 and highlighted a c. £32m structural budget deficit for the financial years 2023/24 to 2025/26.

1.3. As part of our 'rolling budget' approach to financial management, the Council updated the outlook of its Medium-term Financial Plan in October 2022, reporting the results to both Cabinet and Overview & Scrutiny Resources Committee. Due to a combination of the external economic challenges outlined above, the Council identified a budget gap of approximately c. £80m in the 2023/24 financial year.

1.4. The Council has responded to this challenge and the requirement to have a financially sustainable Medium-term Finance Plan by placing a focus on pursuing the delivery and enhancement of transformative change. It is in this context that the Council has set out its Medium-term Financial Plan for 2023- 2027. The full 10-year plan is available in Appendix A.

1.5. Considerable uncertainty remains in relation to the Council's finances over the longer-term horizon. Ongoing delays to reforming Local Government funding is prolonging the period in which local councils must make plans without certainty on the funding position. This lack of clarity from Central Government means that, given the demand driven nature of the services we provide, we must mitigate for additional financial risk through measures such as building up our reserves. We will continue to contribute to the review of local government financing reforms to ensure that our position and circumstances are considered.

1.6. The Council's net revenue budget is funded from five main sources: Business Rates, Council Tax, government grants, fees and charges and use of reserves. To address the challenges set out above, the Council have set a balanced budget over the next 4 financial years, based on a prudent fiscal plan which includes:

- Additional funding from the 2023/24 settlement
- Annual increases to Council Tax

- Corporate financing savings
- Efficiencies and savings plans
- Investment and transformation

1.7. The Financial Plan assumes annual increases in Council Tax at the maximum permissible level of 2.99%. Given the significant pressure on Social Care services reflected in the budget proposals, the Council proposes to increase Council Tax further in 2023/24 by the 2% adult social care precept announced by the Government in the Local Government Settlement. Council Tax is therefore assumed to increase by 4.99% in 2023/24. Government's core spending power calculations assume authorities raise Council Tax by the maximum amount permissible without holding a referendum.

1.8. The Council will also continue to invest, through the capital programme, in priorities such as continuing to retain and improve Council-owned assets, including buildings and roads, and facilitating growth in the Birmingham economy through major projects and supporting businesses in the city.

1.9. The Medium-term Financial Plan should be viewed as a provisional plan that sets out a path through 2023/24, with the expectation that continued work on the 3 pillars of the Delivery Plan (People, Place and A Fit for Purpose Council) will yield proposals in the future that address the long-term financial sustainability of the Council, with the additional financial savings being delivered from 2023/24.

2. Local Government Financial Settlement

2.1. On 19 December 2022, the re-appointed Secretary of State for Levelling Up, Housing and Communities, Michael Gove MP, set out the Provisional Local Government Finance Settlement for 2023/24 in the form of a Written Ministerial Statement. Alongside the statement, details of the provisional settlement have been published on the Gov.uk website. The Secretary of State stated that the proposals announced today "give multi-year certainty to local authorities, allowing them to plan ahead with more confidence over the rest of the Spending Review period".

2.2. This draft Local Government Settlement only provided funding details for 2023/24, although a statement of strategy was published which also covered 2024/25. The settlement is largely a rollover from 2022/23 with the focus very much on "stability" for the immediate year ahead, except for Social Care, where additional funding is being directed to help cover the additional cost Councils are already absorbing for both Children and Adults.

2.3. The draft Settlement included a 'Services grant', worth £13.9m, which is a reduction of £10.8m from 2022/23 funding levels. This grant is distributed in proportion to the business rates and grant funding Councils received in 2013/14. This basis is used as the funding is targeted to provide more to Councils with higher spending needs and/or less ability to raise Council Tax: Birmingham falls into this category. Furthermore, this grant is intended to support all services and is therefore un-ringfenced. The significant reduction in grant is, in part, because

there will no longer be an increase in National Insurance Contributions, therefore the government proposes not to compensate local government for these contributions from 2023/24. In addition, some funding will go to increase the funding for the Supporting Families programme and to pay for other parts of the settlement such as increasing Revenue Support Grant.

2.4. For 2023/2024 Government consolidated three grants into the Revenue Support Grant: the Family Annexe Council Tax Discount grant (£7.4 million), Local Council Tax Support Administration Subsidy grant (£69 million) and additional funding for food safety and standards enforcement (Natasha's Law, £1.5 million). Birmingham is part of the 100% Business Rates Retention Fund and therefore does not receive Revenue Support Grant. As a result, any increase in retained Business Rates must be offset against the loss of these grants in the first instance. A fourth grant, the Independent Living grant, is being rolled into the Social Care grant.

SPENDING DEMANDS

3. Background

3.1. The Council's Medium Term Financial Plan is shaped by the financial circumstances facing Birmingham, which in turn result mainly from the national context outlined in Chapter 2. Significant pressures over the medium term arise because of:

- Demand for key services increasing, and the complexity of that demand is also increasing
- Inflationary pressure
- Continued recovery from the Covid pandemic and the Council's role in facilitating, supporting and influencing the recovery process.
- Changing expectations from Government and citizens on the level of service
- Limited scope to increase Council Tax and other fees and charges

Budget Pressures and Investments

3.2. In developing the budget plans, the Council undertook a review of base budgets to determine adequacy and reviewed demands on services. In addition, due diligence was carried out on the existing savings programme to ensure delivery of savings or the replacement of savings with suitable alternatives when the original plans proved to be no longer feasible. Requests for additional funding to improve service delivery or to deliver specific projects were also considered and, where justified, have been included in the financial projections. The table below shows an analysis of pressures built into the updated financial plans, £61.62m in 2023/24 excluding the reversal of the 2022/23 costs of the Commonwealth Games.

Table 2.1 Analysis of Pressures and investment 2023/24 to 2026/27

Categorisation	2023/24 £m	2024/25 £m	2025/26 £m	2026/27 £m
Growth (Budget increases for inflation and policy choices)	58.729	60.158	63.667	67.317
Savings written out and replaced	0.472	0.584	1.130	(0.861)
Commonwealth Games (reprofiling within cap)	(37.342)	(37.342)	(37.342)	(37.342)
Invest to Save (including repayments)	(3.865)	(2.748)	(10.305)	(9.861)
Demography	9.831	18.581	27.331	36.081
Change in legislation or regulation	18.648	19.048	19.048	19.048
Revenue cost of capital projects	2.084	2.084	2.084	2.084
Time limited resources	(5.225)	(9.611)	(10.774)	(10.956)
Pressures resulting from COVID 19	(0.187)	(0.339)	(0.339)	(0.339)
Other	2.671	4.731	4.806	4.884
Pension Fund	(21.538)	(21.538)	(21.538)	(21.538)
Total	**24.278**	**33.608**	**37.768**	**48.517**

Figures are shown cumulatively

4. Service pressures

4.1. The Council's budget is also under pressure from continuing increases in the number of vulnerable citizens accessing Council services, notably within social care, Children's services, and the homelessness services. To manage cost pressures over the medium term, significant work is taking place to manage this demand, including investment in early help and prevention.

5. Social Care

5.1. The financial sustainability of the social care system is a nationally recognised and widely reported problem, for which there has been much lobbying from the local government sector. The Government's response, in the absence of a sustainable long-term solution that fully address all the cost pressures, has been through both the provision of additional grant funding and giving local authorities the option of increasing the social care precept by a further 2% for 2023/24. Additional funding, compared to the 2022/23 levels is £13.5m, made up of additional Social Care Grant of £5.5m and the estimated funding from the 2% adult social care precept on Council Tax of £8m. The additional income will be used to offset some of the pressures in both adult and children's social care, although the funding will not cover all the pressures as identified below.

6. Adult Social Care

6.1. Adult social care supports around 12,000 citizens at any point in time, providing around 20,000 packages of care, and remains the Council's largest area of net expenditure, around 43%. Additional investment of £28m has been provided to the service to cover anticipated additional costs. This is partially funded through accepting the Adult Social Care tax levy allowed (£8.0m).

6.2. The Council has continued progressing its successful approach to social care that fosters enablement and independence, and reduced reliance on Council intervention. The customer journey project 2017-2020 introduced the three conversations approach. This approach has placed a greater emphasis on supporting citizens to live independently in community settings, rather than being placed in long term traditional care settings, delivering better outcomes for the citizens. The growth that has been built into the budget recognises the impact of these previous initiatives and the impact of ongoing transformation work.

6.3. Growth in demand from demographic, population and societal changes has been estimated at £9.5m. Growth in demand has switched from Older People to Younger Adults with more complex needs, and therefore more expensive packages.

6.4. Inflationary increases in externally commissioned care packages have been factored into the budget at £18m. Provider costs are predominantly wages. The Council has a duty to, as well as an obvious benefit from, maintaining a sustainable and stable care market, so must support providers in meeting these rising costs.

7. Children's Social Care

7.1. Birmingham has a relatively high population of young people compared to other cities, with 46.1% of the population below 30. The Office for National Statistics predicts that there will be 5.3% growth in the number of children aged 5 to 14 over the next 20 years. Currently, 41% percent of Birmingham's children live in poverty. The number of young people, and those living in poverty directly impacts on the number of children requiring support from Children's services.

7.2. There is a continuing financial impact of demand pressures within children's social care due to increasing caseload and the complexity of cases. The Council recognises that early intervention can help limit the need for children to enter the social care system, lay the groundwork for improved performance at school and help to ease future pressure on adult social care by reducing the pressure on services for vulnerable adults. Continued investment in a co-ordinated approach to Early Help across partners will develop better preventative services and in the longer term reduce demand and cost for acute services.

Other Children's Services

7.3. Home to School Transport remains an area of significant expenditure and risk for the Council. It is a vital and statutory service that provides transport to some of the most vulnerable children and young people in the city. COVID-19 has made it difficult to gauge ongoing cost pressures. Work is being undertaken to improve medium and long-term demand and financial modelling.

7.4. Although there are current in year underspends on the High Needs Block, within the Dedicated Schools Grant, the level of spend on High Needs remains an area of concern.

8. Inflation

8.1. Allowance for inflation across the four years from 2023/24 to 2026/27 has been included in the MTFP (see Appendix A). This includes an uplift of contract budgets by an average 5% and income budgets by 5% annually in 2023/24. Uplifts of 5% have been applied to pay budgets from 2023/24 onwards considering the cost-of-living crisis. Subsequent years have been reduced to reflect treasury estimates in future years, before returning to target inflation of 2% from 2025/26.

Cost-of-Living Crisis

8.2. At the start of the year supply chain issues became evident due to both the world economy emerging from the Covid-19 pandemic and the transitional Brexit arrangements with the EU coming to an end. The response to the conflict in Ukraine then created price rises in oil and gas. These factors have led to inflation rising to levels not seen for decades, CPI peaking at 11.1% in October 2022. The resultant Cost-of-Living crisis is beginning to impact on those coming forward for our services, whilst increasing our unit costs.

8.3. The United Kingdom is now entering a recession, which is predicted to last into 2024 and we anticipate an increase in demand for our services as a result.

9. Corporately Managed Budgets

Financing Costs

9.1. The Council's capital programme is £1.2bn over the four-year period to 2026/27, to deliver investment in line with the Council's priorities. The revenue effects of capital expenditure have been reviewed in the context of the capital programme outlined in Chapter 5 of this report, and expectations of movements in interest rates. The forecast revenue impact of the capital programme is reflected in this budget. Further details can be found in Chapter 5 and Appendix J.

10. Overall Budget Challenge and Savings Requirement

10.1. Whilst the Local Government Finance Settlement announcements in December 2022 provided very welcomed additional funding for Birmingham City Council in 2023/24 as well as the extension of funding previously announced on a one-off basis, these additional resources are expected to be substantially absorbed by ongoing demand and demographic pressures, and do not represent a significant reversal in the context of the level of sustained funding reductions experienced by local government.

10.2. To meet the service pressures described above and to ensure base budget adequacy, cost reductions and/or further income generation are required across the medium term. This equates to £130.3m from the General Fund budget by 2026/27.

10.3. Should additional resources materialise across the medium term, they will be used to offset any remaining financial gaps, and any additionality will be reinvested in Council services in line with priorities outlined in Chapter 1.

10.4. Table 3.8 summarises the overall budget position for the period to 2026/27 and identifies that Birmingham City Council could have balanced budget for the next four year, however this only possible if the substantial savings identified are made and that the transformation programme continues.

11. Savings Requirement for future years

Table 2.2 Savings Requirement

	2023/24 £m	2024/25 £m	2025/26 £m	2026/27 £m
Base budget 2023/24	759.231	759.231	759.231	759.231
Changes in pay and price inflation	85.045	106.211	117.135	148.649
Budget pressures	24.278	33.662	60.875	58.083
Corporate adjustments:				
Other net change in use of / contribution to reserves	142.950	171.811	179.977	176.978
Corporately managed budgets	18.322	42.061	35.064	24.582
Changes in corporate government grants	(55.891)	(17.669)	(19.631)	(20.522)
Total expenditure	**973.935**	**1,095.307**	**1,132.649**	**1,147.001**
Business Rates	(410.863)	(487.852)	(495.937)	(501.120)
Top Up Grant	(69.303)	(71.421)	(67.856)	(63.856)
Council Tax	(429.159)	(459.040)	(471.819)	(484.958)
Collection Fund (surplus)/deficit Business Rates	(1.721)	0.000	0.000	0.000
Collection Fund (surplus)/deficit Council Tax	(14.032)	0.000	0.000	0.000
Total resources	**(925.078)**	**(1,018.314)**	**(1,035.612)**	**(1,049.934)**
Savings requirement	**48.857**	**76.994**	**97.038**	**97.067**
Planned savings	(48.857)	(76.994)	(97.038)	(97.067)
Other solutions to be determined	**0.000**	**0.000**	**0.000**	**0.000**

Figures are shown cumulatively

Savings Proposals

11.1. The Medium-Term Financial Plan 2022-26 agreed in February 2022 included savings proposals to be delivered up to 2025/26. However, inflationary pressure has meant that additional costs have cancelled out the ability to make some of these savings, whilst the resultant cost of living crisis is creating additional demand for our services

11.2. Progress has also continued, supported by the Corporate Programme Management Office, to identify transformative Delivery Plan savings in the 3 pillars of People, Place and Fit for Purpose Council. The Council still faces a challenging medium term financial position. This emphasises the importance of

the ongoing work across the Council to transform services, continually improve processes and ways of working and identify new income streams so we can reduce the cost-of-service provision, to protect against service reductions and to balance future years' budgets.

11.3. The approach taken aligns to both the objectives shown on the previous page and the need to bring together both "top down" and "bottom up" initiatives. Birmingham City Council has identified savings opportunities that could be delivered and realised at pace and opportunities capable of delivering the size and scale of savings required without representing blanket service cuts and improving the outcomes for citizens.

11.4. This programme of savings will be underpinned by full project initiation documents with full due diligence undertaken and robust business cases supported by an overall delivery plan and supporting requirements that enable benefits realisation and commitment to engage with the wider Council through the Task and Finish Groups for each cross-cutting transformation plan. Project initiation documents have already been prepared for some of the savings to be planned for 23/24 and further work is being undertaken to deliver savings over the course of the 4-year medium term financial plan to again produce efficiencies and better outcomes for citizens. Details of these will be available in the July cabinet report.

11.5. Recognising that transformative change takes time to embed and deliver changes in costs or income generation, services also proposed one-off budget options for closing the 2023/24 financial gap and to support a balanced budget.

Savings Delivery

11.6. The Council has significantly improved its delivery of savings in recent years. Table 2.3 below demonstrates this improvement, indicating that the past 4 years the Council has been delivering around 85% of its planned savings. This position has been maintained despite the challenges faced by the Council in dealing with the pandemic.

Table 2.3 Previous Savings Delivery

Year	Planned Savings £m	Savings Delivered £m	Delivery %
2016/17	88.2	32.4	37%
2017/18	70.9	48.3	68%
2018/19	52.9	42.8	81%
2019/20	46.2	38.7	84%
2020/21	22.1	16.0	73%
2021/22	33.1	29.9	91%
2022/23*	40.8	36.8	90%

* This position is forecast on the basis of savings achieved to date and excludes savings considered at high risk

12. Financial Resilience

Reserves

12.1. CIPFA Financial Resilience Index

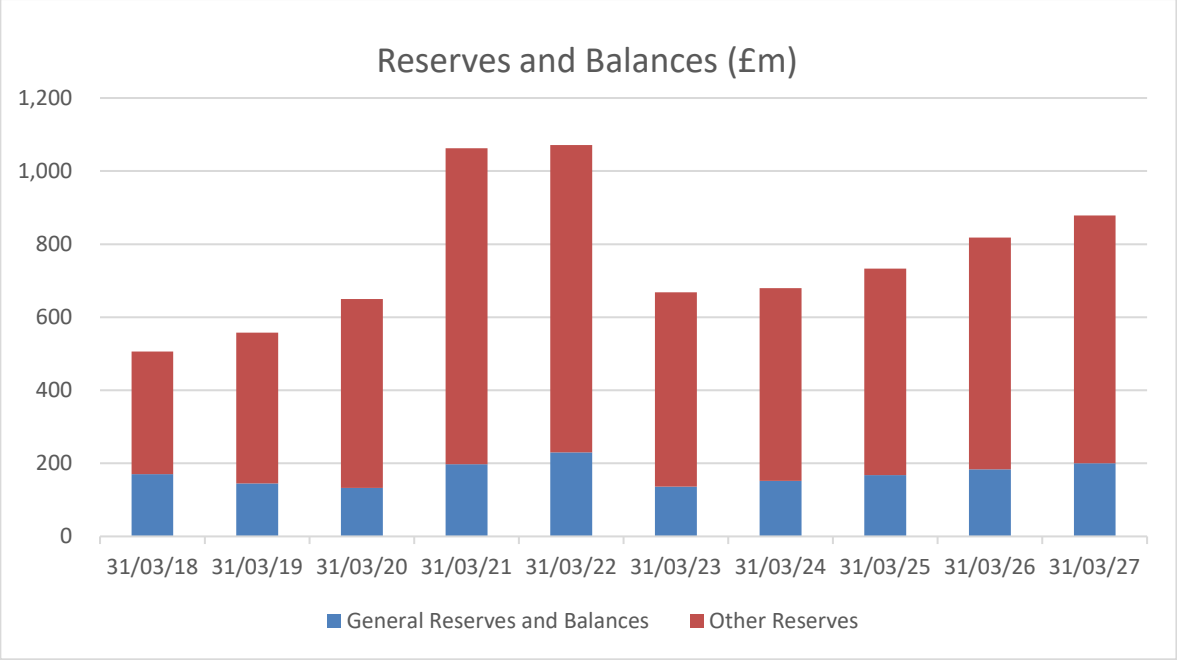
12.2. The Financial Plan 2022-2026 considered CIPFA's Financial Resilience Index published in January 2022. The assessment was that the Council was in a relatively healthy financial position compared to other similar authorities.

12.3. The Council has been working with CIPFA over the past year to develop a bespoke version of the Financial Resilience Index which will allow the Council to compare itself with what it feels are more relevant comparator groups. Those are the Core Cities (Manchester, Liverpool, Newcastle Upon Tyne, Leeds, Sheffield Nottingham, and Bristol) and the West Midlands Local Authorities (Sandwell, Wolverhampton, Dudley, Walsall, and Solihull),

A full breakdown of the 2022 CIPFA Resilience Index can be seen here.
(https://www.cipfa.org/services/financial-resilience-index-2022/resilience-index-2022)
Note: The link has been updated since the council papers were written as CIPFA has published on their website the latest 2022 data.

12.4. The Council holds a number of General Reserves which are available to the Council to manage financial risks, emergencies or smoothing budgetary issues, especially temporary funding gaps. The Resilience Reserve is informed by the rolling Risk Analysis in Appendix C to aim to provide financial cover for potential adverse risks. It is anticipated that the Council will have reserves levels of around £668.4m at the start of 2023/24, and around £878.7m by the end of the medium-term reporting period.

Figure 2.4 Reserves and Balances graph



12.5. Reserves are only available to use once and cannot be used as a replacement for ongoing funding requirements The Council's Reserves Policy (Appendix B) makes it clear that general reserves should not be used to mitigate the requirement to make ongoing savings and these reserves have not been used to mitigate savings.

REVENUE BUDGET

INCOME

13. Table 2.5 below sets out the Council's level of income across the medium term to 2026/27. The table indicates that the Council has four main sources of income: grants from Central Government, a share of Business Rates income, Council Tax income and locally raised revenue through fees and charges, sales, rents, etc, with increasing reliance being placed on locally generated income funding.

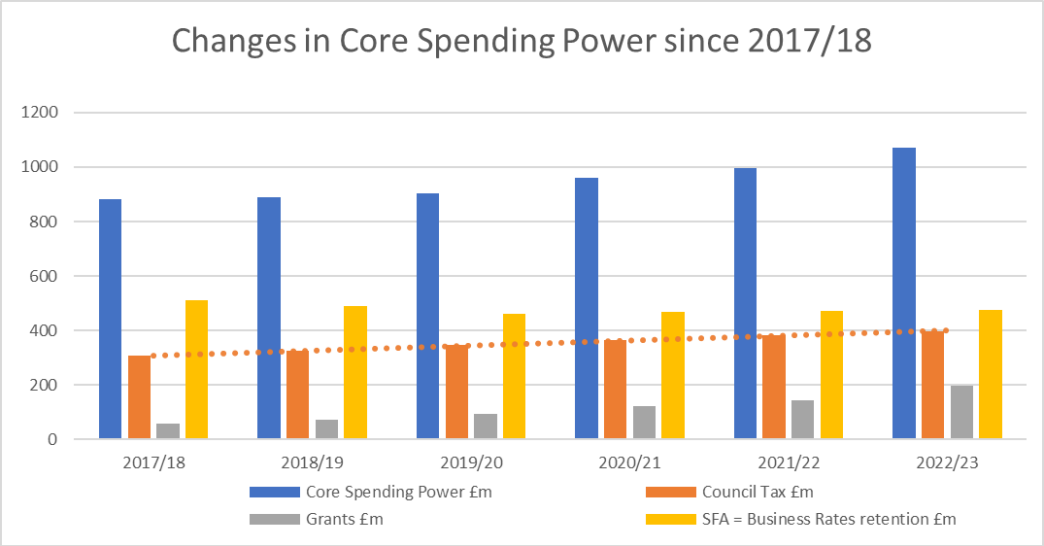
Table 2.5 General Fund Grant and External Income

	2022/23 £m	2023/24 £m	2024/25 £m	2025/26 £m	2026/27 £m
Top Up Grant	59.400	69.303	72.421	72.856	72.856
Other grants	560.057	578.375	536.889	538.852	539.742
Subtotal grant funding	**619.457**	**647.677**	**609.310**	**611.707**	**612.598**
Business Rates	352.040	410.863	487.852	495.937	501.120
Collection Fund surplus/(deficit) Business Rates	(35.997)	1.721	0.000	0.000	0.000
Council Tax	401.153	429.159	459.040	471.819	484.958
Collection Fund surplus/(deficit) Council Tax	(17.365)	14.032	0.000	0.000	0.000
Top Up Grant / Business Rates Reset	0.000	0.000	0.000	0.000	0.000

	2022/23 £m	2023/24 £m	2024/25 £m	2025/26 £m	2026/27 £m
Subtotal Collection Fund	**699.831**	**855.775**	**946.892**	**967.756**	**986.078**
Potential income reduction from funding reforms	0.000	0.000	(1.000)	(5.000)	(9.000)
External income [1]	383.255	346.100	361.751	366.867	361.966
Subtotal Corporate & Directorate Funding	**1,702.543**	**1,849.553**	**1,916.954**	**1,941.330**	**1,951.642**
Schools funding (Ring-Fenced) [2]	801.346	828.103	819.934	819.934	819.934
Grants to reimburse expenditure [3]	479.856	524.355	524.874	524.874	524.874
Total General Fund Grant & External Income	**2,983.745**	**3,202.011**	**3,261.763**	**3,286.139**	**3,296.451**

14. Locally derived income, in the form of Council Tax, retained Business Rates, sales, fees and charges, makes up around 64% of Corporate and Directorate funding, compared to the 36% from Government grants. Therefore, there is a strong incentive for the Council to plan for and achieve growth in the tax base for both Council Tax and Business Rates. Combined, Council Tax and Business Rates income funds around 19% of total gross general fund expenditure. Over the past years, increasingly the burden of funding the Council's budget has fallen on Birmingham taxpayers and the Government's spending power calculations for local authorities relies on Councils uplifting Council tax by the maximum values. This is illustrated in the chart below which shows the spending power changes since 2017/18.

Figure 2.6 Changes in Birmingham's Spending Power from 2017/18 to 2022/23



Source: Provisional Local Government Finance Settlement- CSP Supporting Information Table 2223 (The orange dotted line shows the trend in the annual increase in council tax)

15. Business Rates

Local Retention of Business Rates

15.1. Since 2017/18 the council, along with the other West Midlands District Councils has been in a 100% Business Rates Retention Pilot. As such the council has forgone Government Revenue Support Grant to retain 100% of Business Rates income (99% to Birmingham City Council and 1% to the West Midlands Fire Authority). Authorities such as Birmingham will continue 100% Business Rate Retention in 23-24, however this will be reviewed in future years by DLHUC.

15.2. 2023 is also a revaluation year and DLUHC have confirmed that Local Authorities will be compensated "as if there was no revaluation" – in other words as if business rates had gone up by September CPI (10.1%) and not the 6% increase in the SBRM. Birmingham City understands that this is being funded from within the funding secured at the Autumn Statement.

15.3. This compensation effectively means that Baseline funding levels, as well as tariffs and top-ups will all increase by 10.1% in 2023-24. This compensation will come via un-ringfenced section 31 grants, as has been the case in previous years and in CSP tables is reflected in a significant 73% increase in in the total compensation for under-indexing the business rates multiplier.

15.4. Compensation payments will now use CPI rather than RPI from 2023-24 onwards, this was legislated for in 2018 but until now had not been reflected in the business rates retention system. The Technical Support Team understand that historic, pre-2023-24, compensation payments will continue to use RPI.

15.5. The Council continues to be part of the West Midlands Pilot for 100% Business Rates retention (99% for Birmingham City Council and 1% for West Midlands Fire Authority). Current financial plans assume that the Pilot will continue, meaning that the Council will continue to benefit from retaining any local Business Rates to support local investment. The Government has signalled that it will no longer proceed with the move to 75% business rates retention, so an element of risk has been removed for the levels of Business Rates which is currently retained in the local area. We await announcements on what the future Business Rates scheme will be.

15.6. Funding uncertainties however remain around how the funding baseline for the change will be set and calculated. This process, referred to as a reset, will redistribute real terms growth in Business Rates amongst local authorities based on need. The timing of any potential reset has now been announced by Government as 2025/26 at the earliest. It is estimated that the Council could lose £11.3m from a reset, which is reflected in the Councils Financial Risks Register.

15.7. Government has implemented the Business Rates Valuation with effect from 1st April 2023, and have also frozen the Business Rates Multiplier, which would normally have been amended to reflect the new valuation and smooth the amounts being received by Local Authorities. The Council has updated its forecasts of future Business Rates receipts to include the impact of new developments and the sustainability of businesses and the recovery from the pandemic. The forecast for 2023/24 was approved by Cabinet at the meeting of 17 January 2023 and is therefore the basis for the numbers in the MTFP.

16. Council Tax

16.1. Council Tax income yield is dependent upon several elements in the Council Taxbase calculation, namely: the number and mix of dwellings including new developments, changes in discounts and exemptions, changes to the number of claimants under the Council Tax Support Scheme, the level of Council Tax, and the assumed level of collection. The estimated funding within the Medium-Term Financial Plan is based on the forecast of 263,262 Band D equivalent properties for 2022/23, which was approved by Cabinet at its meeting on 17 January 2023. Non-collection has been assumed to be at a rate of 3.15% in 2023/24 (frozen at the same level as 2022/23), before reducing to usual levels of 2.9% annually from 2024/25 onwards.

16.2. Where Councils have been unable to collect outstanding Council Tax in a year, this shortfall usually becomes an adjustment to the Council's overall income in the financial year following collection. For 2022/23, the Council Tax surplus has been estimated to be £14.0m.

16.3. The Council Tax requirement for 2022/23 assumes a general increase in Council Tax of 2.99% and a 2% precept relating to adult social care. The flexibility to charge this precept in addition to the general amount of Council Tax was extended by Government in recognition of the ongoing financial pressures on adult social care services. The precept is estimated to raise £8.0m of additional resources to support adult social care investment.

16.4. The Council Tax requirement of £429.2m (excluding parish precepts and Enterprise Zone growth) is divided by the Council Taxbase for the year of 263,262 to give a band D Council Tax for Birmingham Council of £1,630.16 (excluding Police, parish, and Fire precepts). This figure is converted to the amount payable by properties in other valuation bands by applying a set multiplier, to arrive at the charge citizens will pay for Council services. The calculations are shown in Table 2.7 below.

Table 2.7 Council Tax Requirement

	City Council Services £	**Incl. Parish Precepts and Enterprise Zone Growth £**
Gross Expenditure	3,815,622,014	3,834,506,830
Parish Precepts		1,919,166
Less: Estimated Income (excluding Business Rates, Top Up Grant and Council Tax)	(2,890,544,143)	(2,894,891,487)
Net Expenditure	**925,077,871**	**941,534,509**
Less:		
Business Rates	(410,863,423)	(424,341,829)
Business Rates (surplus)/deficit	(1,720,714)	(2,779,780)

	City Council Services £	Incl. Parish Precepts and Enterprise Zone Growth £
Revenue Support Grant	0	0
Top Up Grant	(69,302,593)	(69,302,593)
Council Tax Collection Fund (surplus)/deficit	(14,032,000)	(14,032,000)
Council Tax Requirement	**429,159,141**	**431,078,307**
Divided by taxbase	263,262	263,262
Band D Council Tax	**1,630.16**	**1,637.45**

16.5. Beyond 2023/24, the financial plans assume a 2.99% increase in Council Tax rates based on the current referendum limit in 2024/25 followed by 1.99% in subsequent years. The Adult Social Care precept is assumed to rise by 2% in 2024/25 with no subsequent increases in subsequent years. This is a planning assumption; the actual tax rises will need to be formally approved by Full Council each year.

17. Precepts

17.1. The Council also collects the precepts on behalf of other organisations and the impact of these on Council Tax is as outlined in the table below.

Table 2.8 Precepts

	Band D Council Tax 2022/23 £	Band D Council Tax 2023/24 £	Increase/ (Decrease) £	Date Precept Agreed
Birmingham City Council	1,552.68	1,630.16	77.48	
Fire and Rescue Authority	68.03	73.02	4.99	TBC 13 February 2023
West Midlands Police & Crime Commissioner	187.55	202.55	15.00	TBC 17 February 2023
New Frankley in Birmingham	33.74	43.52	9.78	25 January 2023
Royal Sutton Coldfield	49.96	49.96	0.00	26 January 2023

Full details of the calculations are set out in Appendix F.

18. Government grants

18.1. The total grant allocation from Government for the Council is expected to be £2.0bn. This is an increase of £99.5m compared to the budget position for 2022/23. There are two main categories of grant:

- Those that are used to fund wider Council services, for example Top Up Grant, Business Rates related Section 31 grants
- Those ringfenced to fund service specific activities, for example the Social Care Grant.

18.2. Further information on funding of education services, including schools, is set out in Chapter 3. The total Dedicated School Grant expected to be managed by the Council is £765.3m in 2023/24, subject to the finalisation of pupil numbers. The Dedicated School Grant will reduce if schools convert to academies. Total school funding is expected to be £828.1m in 2023/24.

18.3. The Council will continue to explore all other opportunities for further grant funding and submit bids as appropriate to seek to maximise income and identify additional funding to deliver the Council's priorities.

19. Locally generated income

19.1. The Council has budgeted to receive approximately £248.6m from fees and charges and other sources of income in 2023/24. Some charges are set by legislation (e.g., licensing charges) whereas others the Council has discretion to determine. Fees and charges are set on an annual basis and subject to annual approval from Council/Cabinet. Further details about fees and charges are set out in Appendix P.

20. Housing income

20.1. Further information on income within the Housing Revenue Account, including details of rent and service charge income is set out in Chapter 5. Total income is expected to be £303.6m in 2023/24.

Pay Policy

20.2. The Council is statutorily required under the Localism Act 2011 to undertake an annual review of its pay arrangements and to publish these referring to the following:

- The methods by which salaries of all employees are determined
- The detail and level of remuneration of its most senior employees, i.e., 'Chief Officers', as defined by the relevant legislation
- The detail and level of remuneration of the lowest paid employees
- The relationship between the remuneration for highest and lowest paid employees

- The Committee(s) /Panels responsible for ensuring the provisions set out in this statement are applied consistently throughout the Council and recommending any amendments to the full Council

20.3. The above details are captured in a Pay Policy Statement, attached at Appendix O. The purpose of the Statement is to provide transparency regarding the Council's approach to setting the pay of its employees (excluding those working in local authority schools). The principles set out within the Pay Policy Statement are compliant with the budget proposals.

21. Capital Programme

21.1. The Council has a large and complex capital programme driven particularly by the Council Plan, with the ambition being to develop a longer-term strategy in the form of a 25-year capital programme.

21.2. The Capital Strategy priorities for new projects and programmes supporting the Council Plan and delivery of our statutory duties. Our strategy enables the economic development of the City and transforming our services. In conjunction with the Capital Strategy are the Property Strategy and the Commercialisation Strategy. These are set out in Chapter 5.

21.3. The Council will continue to manage its borrowing in accordance with CIPFA's Prudential Code and has a prudent policy for debt repayment set out in its Minimum Revenue Provision policy (Appendix M). Future Council borrowing from the Public Works Loans Board will need to comply with new lending terms that prevent local authorities from using its loans to buy investment assets primarily for yield.

22. Reserves

22.1. The Council maintains reserves for a variety of reasons. These include:

- The need to put aside sums in case of unexpected future expenditure (such as a large insurance claim)
- To smooth out future payments (such as payments under PFI agreements) or to cover timing differences (such as grant money received in any given year where expenditure takes place in a later year)
- To provide pump prime funding for projects to deliver changes in working practices.
- To fund specific activities where the Council has little or no flexibility. These ringfenced reserves are mainly for Schools or the Housing Revenue Account and cannot be used to support general Council activity

22.2. The Council's policy on reserves, as shown in Appendix B, makes clear that reserves are not to be used to avoid the necessity to make ongoing savings or meet budget pressures other than in exceptional circumstances.

22.3. The Council's reserves can be split into the following categories:

- General Reserves and Balances
- Earmarked Reserves
- Revenue Grant Related Reserves
- Ringfenced Reserves
- Capital Reserves

22.4. Reserves can only be used on a one-off basis, which means that their application does not offer a permanent solution.

23. Use of Reserves 2023/24

23.1. In line with the Council Plan and Budget 2019+ agreed in February 2019, the Council planned for the strategic use of £4.0m of Corporate Reserves in 2022/23 and £3.0m in 2023/24 to fund the revenue costs arising from the backdated application of a consistent Minimum Revenue Provision policy to 2007/08 as referred to in paragraph 23.5.

Table 2.9 Strategic Use of Reserves

	2022/23 £m	2023/24 £m	Movement £m
Use of Financial Resilience Reserve	(29.000)	(3.000)	26.000
Strategic Use of Reserves	**(29.000)**	**(3.000)**	**26,000**

23.2. In 2023/24 a net contribution to reserves is planned totalling £11.1m. The overall position is set out in Table 2.10 below.

Table 2.10 Analysis of Reserves in 2023/24

	Forecast Closing Balance (31st March 2023) £m	2023/24 planned (use) / contribution to Reserves £m	2023/24 planned net (borrowing)/ repayments to Reserves £m	Total £m
Delivery Plan Reserve (DPR)	44.975	(3.000)	5.999	**47.974**
Financial Resilience Reserve (FRR)	52.936	8.880	4.302	**66.118**
General Fund Balance	38.382	0.000	0.000	**38.382**
Schools Reserves	79.888	0.000	0.000	**79.888**
DSG Reserves	15.989	0.000	0.000	**15.989**
Public Health Reserves	3.699	0.000	0.000	**3.699**
Earmarked Reserves	432.566	(5.075)	0.000	**427.491**
Total	**668.434**	**0.805**	**10.301**	**679.540**

Note: While there is a forecast 2021/22 General Fund overspend of £11.0m based on Month 9 budget monitoring, it is expected that corrective action will take place to ensure the budget is balanced by March 2023.

Delivery Plan Reserve (DPR)

23.3. The Delivery Plan Reserve (DPR) has been established to enable the necessary investment required by the Council's Delivery Plan. It also contains the previous Invest to Save Reserve for which the following allocations and repayments have been planned. It is expected that once business cases for the Delivery Plan projects have been finalised there will be further drawdowns during the year.

23.4. The breakdown of uses of and contributions to the DPR is set out in the table below:

Table 2.11 Delivery Plan Reserve

	£m
Opening Balance as at 1st April 2022	66.196
Forecast Net Repayment of DPR	3.296
Budgeted Use of DPR in 2022/23	(18.414)
Use of DPR to fund Early Intervention and Prevention	(3.600)
Use of DPR to fund transformation of Children & Families Directorate	(2.503)
Subtotal Forecast Balance as at 31st March 2023	**44.975**
Funding of other Transformation projects in Children and Families	(0.750)
Funding of Transformation activities across the Council	(2.250)
Subtotal Planned Use of DPR in 2023/24	**(3.000)**
Planned Repayment of DPR in 2023/24	
FG101 19+ ERP system REVISED	1.444
EC103a 19+ Commercial Property*	0.963
Capita ICT Service Transition	2.615
Transport Savings	0.062
Work Place Parking Levy	0.915
Subtotal Planned Repayment of DPR in 2023/24	**5.999**
Forecast net contribution to DPR 2023/24	**2.999**
Closing Balance as at 31st March 2024	**47.974**

Financial Resilience Reserve (FRR)

23.5. The breakdown of uses of and contributions to the FRR is set out in the table below:

Table 2.12 Financial Resilience Reserve

	£m
Opening Balance as at 1st April 2022	**125.482**
Use of FRR in 2022/23 re MRP	(4.000)
Use of DRF Contributions in 2022/23	(25.000)
Funding of Route to Zero (R20)	(0.956)
Net borrowing from FRR in 2022/23	(0.912)
Funding 10% uplift of Household Support Grant	(1.300)
Funding of Pay Award above budget	(14.878)
Funding Cost of Living Emergency	(5.000)
Funding Energy Costs of Corporate Estate above budget	(10.900)
Funding Adult Social Care BDP/Client Contributions shortfall	(4.600)
To fund Graffiti Street Art	(1.000)
To fund Cleaner Streets	(3.000)
To fund Leisure shortfall	(1.000)
Subtotal Forecast Balance as at 31st March 2023	**52.936**
Use of FRR in 2023/24 re MRP	(3.000)
Use of FRR to fund World of Work and the Youth Employment Initiative	(1.449)
Contribution to FRR in 2023/24	13.329
Net repayment to FRR in 2023/24	4.302
Forecast Closing Balance as at 31st March 2024	**66.118**

23.6. A net £4.3m of borrowing will be repaid to the reserve in 2023/24. In future years further net repayments are planned.

23.7. The FRR will be used to meet additional pressures arising between month 8 and the MTFP budget setting, should this be nesessary. This will be reported to cabinet as part of the in-year budget monitoring.

General Fund Balance

23.8. The General Fund Balance will be £38.4m on 1 April 2023. This represents c4.5% of the Council's net General Fund budget in line with the Cabinet decision of 10 November 2020. There is no planned use of the General Fund Balance in 2023/24.

Schools Reserves

23.9. In 2023/24, there is no planned use of Schools' reserves, and the balance remains the same as £79.9m

Dedicated Schools Grant (DSG) Reserves

23.10. In 2023/24, there is no planned use of DSG reserves and the balance remains the same as £16.0m

Public Health Reserves

23.11. In 2023/24, there is no planned use of Public Health reserves, and the balance remains the same as £3.7m

Earmarked Reserves

23.12. In 2023/24 it is proposed to make a net use of £5.1m of earmarked reserves comprising the following:

Table 2.13 Net use of Earmarked Reserves

Uses of Earmarked Reserves	***£m***
Use of income compensation reserve related to the Collection Fund losses in 2020/21	*(7.827)*
Use of Better Care Fund Grant Reserves	*(5.000)*
Use of Homes for Ukraine Reserve	*(4.413)*
Use of Section 256 - Frail Elderly Fund Reserve	*(4.828)*
Use of Budget Smoothing Reserve	*(8.259)*
Use of Education PFI Reserve	*(0.564)*
Use of Policy Contingency Reserve	*(0.531)*
Uses of Other grant reserves.	*(10.742)*
Uses of Other earmarked reserves	*(0.470)*
Subtotal Uses of Earmarked Reserves	***(42.633)***
Contributions to Earmarked Reserves	
Net Repayment to Section 31 grant reserve from Business Rates Collection Fund surplus related to Government reliefs	*32.400*
Contribution to Cyclical Maintenance Reserves	*1.800*
Contribution to Insurance Fund	*1.811*
Contribution to Local Election Costs cyclical reserve	*0.300*
Repayment of Offshoring Reserve	*0.971*
Capital Fund Replenishment funded Corporately	*0.275*
Subtotal Contributions to Earmarked Reserves	***37.557***
Total (Use)/Contributions to Earmarked Reserves)	***(5.075)***

Overall Impact on Reserves

23.13. The summary movement in reserves is shown in Table 2.14 below. This shows the movement in reserves between the planned figures for the 2022/23 and 2023/24 financial years.

Table 2.14 Movements in Reserves

	2022/23 £m*	2023/24 £m	Movement £m
Strategic use of reserves (see table 3.10)	**(29.000)**	**(3.000)**	**26.000**
Corporate (Use of)/ Contribution to Reserves			
Contribution to Capital Fund (Revenue Reserve)	0.275	0.275	0.000
Business Rates Volatility Contingency	(8.432)	0.000	8.432
Section 31 Grant	(124.412)	32.400	156.812
General Contribution to FRR Reserve	0.000	13.329	13.329
Use of FRR Reserve to fund R20	(0.956)	0.000	0.956
Use of FRR to fund World of Work and the Youth Employment Initiative	0.000	(1.449)	(1.449)
Contribution to Delivery Plan Reserve	2.844	0.000	(2.844)
Use of Council Tax Hardship Fund Reserve	(16.992)	0.000	16.992
Policy Contingency Reserve	(7.005)	(0.531)	6.474
Use of Community Recovery Plan Reserve	(9.067)	0.000	9.067
Use of Covid Reserve	(8.700)	0.000	8.700
Use of Delivery Plan Reserve	(24.271)	(3.000)	21.271
Income Compensation re Collection Fund	(7.827)	(7.827)	0.000
Use of Budget Smoothing Reserve	0.000	(8.259)	(8.259)
Release of Corporate Events Reserve	(1.500)	0.000	1.500
Corporate Use of Housing Benefit Subsidy Reserve	(2.000)	0.000	2.000
Cyclical Maintenance Reserve	(0.510)	1.800	2.310
Commonwealth Games Reserves	(31.249)	0.000	31.249
Insurance Fund	2.000	1.811	(0.189)
Other Use of Reserves	1.232	(0.564)	(1.796)
Other (Use of)/ Contribution to Reserves	**(236.570)**	**27.986**	**264.556**
Borrowing from/ Repayments to Reserves			
Borrowing for:			
Net Corporate Borrowing from FRR	(0.942)	0.000	0.942
Planned use of Delivery Plan Reserve	(0.434)	0.000	0.434
Sub-total Borrowing from Reserves	**(1.376)**	**0.000**	**1.376**
Net Repayments:			
Net Repayment of borrowing from FRR	0.000	4.302	4.302
Other Repayments to Reserves	0.454	0.971	0.517
Sub-total Net Repayments	**0.454**	**5.273**	**4.819**
Total Corporate Uses of/Contribution to Reserves and Borrowing/Repayment	**(237.492)**	**33.259**	**270.751**

	2022/23 £m*	2023/24 £m	Movement £m
(Use of)/Contribution to Grant and Earmarked Reserves			
(Use of)/Contribution to Grant Reserves	(23.720)	(24.983)	(1.263)
(Use of)/Contribution to Other Earmarked Reserves	0.264	(0.170)	(0.434)
Directorate Repayment of Delivery Plan Reserve	6.743	5.999	(0.744)
Directorate Repayment of FRR	0.030	0.000	(0.030)
Total Other (Use of)/Contribution to Reserves	**(16.683)**	**(19.154)**	**(2.471)**
***Total(Use of)/Contribution to Reserves**	**(283.175)**	**11.105**	**294.280**

* This is the original planned use of Reserves as per the Financial Plan 2022-2026

23.14. After taking account of planned contributions to and from reserves and balances, the position is expected as shown in Table 2.15 below.

Table 2.15 Reserves Position

Description	31/03/2023 £m	31/03/2024 £m	31/03/2025 £m	31/03/2026 £m	31/03/2027 £m
General Reserves and Balances					
Corporate General Fund Balance	38.382	38.382	38.382	38.382	38.382
Delivery Plan Reserve	44.975	47.974	47.164	46.259	45.340
Financial Resilience Reserve Gross	75.328	84.208	96.190	109.322	123.457
Net Borrowing from Financial Resilience Reserve	(22.392)	(18.090)	(13.897)	(10.141)	(6.856)
Subtotal Financial Resilience Reserve	52.936	66.118	82.293	99.181	116.601
General Reserves and Balances	**136.293**	**152.474**	**167.839**	**183.822**	**200.323**
Schools Reserves	79.888	79.888	79.888	79.888	79.888
DSG Reserves	15.989	15.989	15.989	15.989	15.989
Public Health Reserves	3.699	3.699	3.699	3.699	3.699
Earmarked Reserves					
Earmarked reserves: Contractual commitments					
Highways PFI	185.815	185.815	185.815	185.815	185.815
Education & Skills PFI	0.564	0.000	1.046	2.539	4.488
Other Contractual Commitments	5.529	5.529	5.529	5.529	5.529
Total Contractual commitments	**191.908**	**191.344**	**192.390**	**193.883**	**195.832**
Earmarked reserves: Planned Future Revenue & Capital Expenditure					
Bus Lane Enforcement Income	7.047	7.047	7.047	7.047	7.047
Capital Fund	19.985	20.260	20.535	20.810	21.085
Clean Air Zone	32.515	32.515	32.515	32.515	32.515
Community Recovery Plan Reserve	0.733	0.733	0.733	0.733	0.733
Covid Reserve	0.259	0.259	0.259	0.259	0.259
Corporate Major Events	0.500	0.500	0.500	0.500	0.500

Description	31/03/2023 £m	31/03/2024 £m	31/03/2025 £m	31/03/2026 £m	31/03/2027 £m
Council House Refurbishment Reserve	2.325	2.325	2.325	2.325	2.325
Delivery Plan Programme Management Reserve	1.810	1.810	1.810	1.810	1.810
Income Compensation re Collection Fund	7.829	0.000	0.000	0.000	0.000
One-off resources from previous years	3.674	3.144	2.611	2.611	2.611
S31 Grant Reserve	(32.401)	0.000	0.000	0.000	0.000
Other Grant Reserves	102.569	77.586	64.831	56.149	56.149
Other Earmarked Reserves	20.586	21.387	21.530	21.830	20.930
Total Planned Future Revenue & Capital Expenditure	**167.428**	**167.565**	**154.695**	**146.588**	**145.963**
Earmarked reserves: Specific Risks					
Business Rates Volatility Contingency	15.160	15.160	15.160	15.160	15.160
Cyclical Maintenance	10.390	12.190	15.280	18.370	21.460
Insurance Fund	11.481	13.292	15.103	16.914	18.725
Waste Disposal Outage Contingency	2.000	2.000	2.000	2.000	2.000
Other Risk Reserves	5.125	5.125	5.125	5.125	5.125
Total Specific Risks	**44.156**	**47.767**	**52.668**	**57.569**	**62.470**
Earmarked reserves: Budget Stabilisation					
Budget Smoothing Reserve	25.817	17.559	62.641	132.934	171.279
Total Budget Stabilisation	**25.817**	**17.559**	**62.641**	**132.934**	**171.279**
Earmarked reserves: Other					
Other Reserves	3.256	3.256	3.256	3.256	3.256
Total Other	**3.256**	**3.256**	**3.256**	**3.256**	**3.256**
Total Earmarked Reserves	**432.566**	**427.491**	**465.650**	**534.230**	**578.800**
Total Reserves	**668.434**	**679.540**	**733.064**	**817.627**	**878.698**

Figures are shown cumulatively.

24. Policy Contingency

24.1. Separate and distinct from reserves, the 2023/24 budget includes a Policy Contingency budget as detailed in Table 2.16 below. The Policy Contingency budget is held centrally and not allocated to services at the start of the financial year. It is retained to protect against unplanned expenditure or when the costs of certain decisions which may be taken during the financial year become clearer. Allocations will be made to services only after the demonstration of need and are subject to review and approval by the Chief Finance Officer except for allocations from General Contingency which will be approved by Cabinet.

24.2. The unallocated General Contingency of £4.5m provides some level of risk cover in the overall delivery and management of the budget in 2023/24.

24.3. There are several savings that will be allocated to Directorates in 2023/24. Until they are allocated, these will be held within the Policy Contingency budget.

Table 2.16 Policy Contingency

Policy Contingency	£m
Inflation Contingency	8.844
Funding of Transformation activities across the Council	2.250
Workforce Equalities	2.000
Apprenticeship Levy	1.352
Highways Maintenance	1.050
Loss of Income from Car Park Closures	0.252
Corporate Funding for Owning & Driving Performance (ODP) Culture Change Programme	0.129
Funding of Euro cities Forum Meeting 23/24	0.050
Funding of West Midlands Strategic Migration Partnership	0.015
General Policy Contingency	4.492
Total Policy Contingency excluding savings	**20.434**
Fit for Purpose savings	(21.260)
Total Savings to be allocated	**(21.260)**
Total Policy Contingency	**(0.826)**

CHAPTER 3: HOUSING REVENUE ACCOUNT (HRA)

1. Summary

1.1. The HRA Self Financing Framework was introduced from April 2012 (as part of the Localism Act 2011) and this required local authorities to maintain a long term HRA Business Plan.

1.2. In November 2022 Government announced a rent increase cap for 2023/24 of 7%. The proposal is to increase rents in Birmingham to this cap. Service charges will be set at a level that reflects the costs of service delivery, whilst ensuring value for money for tenants and ensuring that charges are eligible for support through housing benefit wherever possible.

2. Background

2.1. The Council manages approximately 59,000 homes. The priorities are maintaining Decency Standards, Fire Safety, Decarbonisation, Development and providing a high level of service delivery to social housing tenants.

2.2. The Housing Revenue Account is a statutorily ring-fenced account that deals with income and expenditure arising as a result of the Council's activities as a provider of social and affordable housing. The legislation requires that income and expenditure relating to the Council's provision of social and affordable housing must be accounted for within the HRA and that the proposed annual budget is balanced.

3. Strategic Overview and Context of Financial Pressures on the HRA

3.1. The HRA is under considerable service and financial pressure because of national and local policy changes and the following issues are reflected in the HRA Business Plan:

- There is a commitment to continue to invest in building safety measures for all the HRA high-risk buildings to achieve compliance with both current and future legislative requirements.
- The commitment to building safety has had a knock-on effect on the ability to cyclically improve the standard of our properties and respond to repairs. There is a need to ensure that HRA dwellings meet Decency Standards.
- There are increased costs for both new build homes and current retained stock with the need to move towards the Government's target of net zero carbon emissions

3.2. Whilst the HRA is increasing investment to meet these pressures and improve stock condition the investment required is considered affordable over the 30-year period of the plan. The level of HRA debt is estimated to be £1,070.8m at the end of March 2023. The plan includes adequate reserves and provisions for potential bad debts (estimated at beginning of 2023/24 at £133.4m, including minimum balances of £15.3m and provisions for bad debts of £38.9m).

3.3. There are statutory requirements to ensure that there is no cross-subsidy between the HRA and General Fund services (the “who benefits” principle – designed to ensure that Council tenants do not pay twice for the same service, through both Council Tax and Rents), that an annual balanced budget is set and that the service is sustainable and affordable in the long run based on the HRA Self-Financing framework.

4. Key Outcomes and Strategic Housing Service Objectives

4.1. The Housing Strategy 2022-2027 was approved by Cabinet at its meeting on 13 December 2022. This strategy provides the Council with an opportunity to launch a more strategic approach to investment, including a robust Asset Management Strategy and Housing Revenue Account Business Plan, setting out the Council’s investment priorities over the long term. The HRA Business Plan 2023+ is intended to support the following key strategic and Housing Service objectives:

4.2. Building New Homes and Maintaining our Stock

- Provision of new affordable housing to replace obsolete properties and provide a significant contribution to the Housing Growth Strategy with over 2,000 new council homes being built and acquired, with an associated investment of £436.2m.
- Investment to keep properties within Decency Standards at an estimated cost of £997.4m over the next ten years. This will be achieved through the life-cycle replacement of property components (windows, heating, kitchens, bathrooms, roofs, electrical components) as well as fire protection works and structural investment.
- Discharge of statutory day to day repairs and maintenance obligations (including compliance with health and safety on annual gas inspections) with investment of £856.3m over the next ten years.
- Adaptations to properties to continue to promote independent living (an investment of £69.1m over the next ten years).
- The HRA will need to contribute the Council's commitment to make Birmingham Carbon Neutral by 2030, which will involve investment in a significant retrofit programme within the HRA portfolio. The plan includes £152.3m funding to begin this work, of which £23.3m is grant-funding.

5. HRA Business Plan 2022+ and Budget 2022/23

5.1. A summary of the HRA Self Financing Business Plan 2023+ is set out in Appendix H.

5.2. The comparison of the HRA budget for 2022/23 and the proposed budget for 2023/24 is set out in Table 3.1 below:

Table 3.1 HRA Budget 2022/23 and 2023/24

	2022/23 £m	2023/24 £m	Change £m	Change %
Repairs	75.394	79.093	3.699	+4.9%
Local Housing Costs	69.668	80.793	11.125	+16.0%
Bad Debt Provision	5.546	5.558	0.012	+0.2%
Estate Services Costs	20.534	24.497	3.963	+19.3%
Debt Repayment	0.000	0.000	0.000	+0.0%
Debt Financing Costs	47.903	49.825	1.922	+4.0%
Contributions for Capital Investment	68.693	63.828	(4.865)	-7.1%
Total Expenditure	**287.738**	**303.594**	**15.856**	**+5.5%**
Rental Income (net of Voids)	(260.501)	(275.878)	(15.377)	+5.9%
Other Income/Service Charges	(27.237)	(27.716)	(0.479)	+1.8%
Total Income	**(287.738)**	**(303.594)**	**(15.856)**	**+5.5%**

6. HRA Business Plan 2023+ – Short Term and Long-Term Financial Evaluation

6.1. The revenue aspects of the HRA Business Plan 2023+ are summarised below:

Table 3.2 HRA Business Plan 2023+

	2023/24 £m	2024/25 £m	2025/26 £m	2026/27 £m	10 Year £m
Repairs	79.093	81.363	82.611	83.825	856.257
Local Housing Costs	80.793	81.934	83.270	85.321	885.423
Bad Debt Provision	5.558	5.635	5.259	3.973	49.161
Estate Services Costs	24.497	25.393	26.083	26.740	276.341
Debt Repayment	0.000	0.000	0.000	5.693	101.170
Debt Financing Costs	49.825	52.533	56.011	60.414	598.551
Contbns for Capital Investment	63.828	69.809	71.749	67.114	664.237
Total Expenditure	**303.594**	**316.667**	**324.983**	**333.080**	**3,431.140**
Rental Income (net of Voids)	(275.878)	(288.207)	(295.967)	(303.575)	(3,135.546)
Other Income/Service Charges	(27.716)	(28.460)	(29.016)	(29.505)	(295.594)
Total Income	**(303.594)**	**(316.667)**	**(324.983)**	**(333.080)**	**(3,431.140)**

7. Capital Programme

7.1. The capital expenditure plans for the council housing stock are set out in Table 3.3 below (including the major programmes and the financing of the expenditure).

Table 3.3 Capital Expenditure

	2023/24 £m	2024/25 £m	2025/26 £m	2026/27 £m	10 Year £m
Housing Improvement Programme (including fire protection and other costs)	90.901	83.157	101.199	101.942	1,005.517
Retrofit programme	88.777	62.306	0.000	0.000	151.083
Adaptations	4.000	6.350	6.927	7.005	69.116
New Build and Regeneration	57.351	85.061	74.480	51.359	497.292
Total	**241.029**	**236.874**	**182.606**	**160.306**	**1,723.008**
Funded by:					
Revenue Contributions	(63.380)	(66.841)	(69.506)	(67.114)	(664.237)
Receipts / Grants	(46.241)	(31.720)	(22.770)	(29.791)	(267.949)
Prudential Borrowing	(95.099)	(107.789)	(64.285)	(43.214)	(664.585)
Other Resources including Reserves	(36.309)	(30.524)	(26.045)	(20.187)	(126.237)
Total	**(241.029)**	**(236.874)**	**(182.606)**	**(160.306)**	**(1,723.008)**

CHAPTER 4: SCHOOLS AND DEDICATED SCHOOLS GRANT

1. Overview

1.1. Schools receive funding via a variety of different streams, the main ones being the four blocks of the Dedicated School Grant (DSG), Pupil Premium, Education & Skills Funding Agency (ESFA) Post 16 Funding and Universal Infant Free School Meals.

1.2. DSG is the main funding stream for schools and education services. The Birmingham City Council (BCC) allocation of DSG announced by the Department for Education (DfE) 16 December 2022, is £1,457.6m for 2023/24.

1.3. The DfE also announced indicative supplementary schools block allocations 16 December 2022 totalling £37.6m for BCC for 2023/24.

1.4. The comparable year on year increase/(decrease) in DSG by individual blocks is shown in table 2.3.

1.5. The allocation of DSG funding is governed and managed in conjunction with the Schools' Forum.

1.6. The basis of allocation to schools and other providers is underpinned by national funding regulations and is different for each of the blocks of the DSG, as is the timeline by which allocations must be made.

1.7. The DSG reserves held by BCC at 31 March 2022 are summarised in the following table:

Table 4.1: DSG Reserve

DSG Reserves at March 22	£m	£m
Schools Block	(9.2)	
Central Schools Services Block	(1.7)	
Early Years Block	(2.4)	
Subtotal Other		**(13.3)**
High Needs Block underspend 21/22	(3.8)	
High Needs Block Deficit – final instalment value for 22/23 of prior year deficit repayment plan	4.1	
Subtotal High Needs		**0.3**
Total DSG Reserves		**(13.0)**

The Council forecast a neutral position on the DSG for 2022/23.

1.8. At the end of 2021/22 there were a total of 26 schools in deficit totalling £4.8m, compared to 2020/21 figures of 28 schools in deficit totalling £6.3m. Although improving schools' deficits remain an issue and a range of measures have been

implemented to address this, including increased monitoring and challenge, alongside support for schools with actual or emerging deficits. This is increasingly important as schools converting to academy status under directive orders result in deficits falling to the local authority

2. Summary of Funding

2.1. The total provisional DSG funding for Birmingham in 2023/24 of £1,457.6m comes through four blocks of funding.

2.2. The ESFA currently recoups an amount from the DSG allocation to directly passport to academies and free schools and the Council is then responsible for the remaining budget. At the time of writing the Schools recoupment amount has not been announced by DfE/ESFA, but for scale purposes £659.0m was recouped in 2022/23.

2.3. A summary of funding is set out in the tables below.

Table 4.2 Dedicated Schools Grant Funding (for all schools)

DSG	2022/23 DSG Allocation at Nov 22 £m	2023/24 DSG Allocation at Dec 22 £m	Changes From 2022/23 £m
Schools Block	1,031.4	1,086.0	54.6
Central School Services Block	8.3	8.2	(0.1)
High Needs Block	243.3	270.9	27.6
Early Years Block	86.7	92.5	5.8
Total DSG Before Recoupment	**1,369.7**	**1,457.6**	**87.9**
Schools Recoupment**	(659.0)	(659.0)	0.0
High Needs Recoupment	(33.1)	(33.3)	(0.2)
Total DSG After Recoupment	**677.6**	**765.3**	**87.7**

** Schools recoupment for 2023/24 will not be known until March 2023 so the latest 2022/23 recoupment figure has been shown for illustrative purposes

2.4. In addition, for maintained schools in Birmingham (academy schools receive their funding direct from ESFA) there should be the following additional funding streams (figures based on 2022/23 allocations as DfE/ESFA have not finalised 2023/24 allocations at the time of writing).

Table 4.3 Other School Funding for Maintained Schools (based on 2022/23 allocations)

	£m
Pupil Premium Grant	38.5
Education & Schools Funding Agency (for Sixth Forms)	7.7
Universal Infant Free School Meals (UIFSM) Grant	7.0

3. Schools Block

For the Schools Block Birmingham is required to submit a prescribed return (Authority Proforma Tool - APT) to the Education, Schools and Funding Agency (ESFA) setting out its proposed fair funding formula for delegating funding to primary and secondary schools covering Reception to Year 11. The 2023/24 APT is expected to be submitted on 19 January 2023, following ratification by Schools' Forum on that date. The ESFA then check the proforma to ensure it is compliant with national regulations. Following ESFA approval the Council will need to issue budgets to its maintained primary and secondary schools by the national deadline of 28 February 2023. The ESFA will also use the proforma to calculate the Academy budgets

3.1. The indicative 2023/24 allocation for the Schools Block is estimated to be £1,086.0m before recoupment, £427.0m after recoupment. Schools' recoupment for 2023/24 will not be known until March 2023 so the latest 2022/23 recoupment figure has been used for illustrative purposes.

4. Central Schools Services Block

4.1. The Central School Services block (CSSB) was established by the DFE in 2018/19 with the aim of funding LA's for statutory duties they hold for both maintained schools and academies. It brings together:

1. Funding for ongoing responsibilities, such as admissions
2. Funding previously allocated through the retained duties element of the education services grant (ESG)
3. Residual agreed funding for historic commitments

4.2. The indicative 2023/24 allocation for the CSSB is estimated to be £8.2m – a reduction of £0.1m from the figure for 2022/23. The DfE has begun reducing the element of funding within the CSSB that some LA's receive for historic commitments made prior to 2013/14. This will reduce by 20% each year. DfE does not believe it is fair to maintain significant differences in funding indefinitely between local authorities which reflect historic decisions.

4.3. This overall change disguises two important factors, regarding DfE's overall calculation:

(i) for 2023/24 Birmingham Council has lost 20% of its funding for historical commitments

(ii) has gained 4.5% for its other responsibilities.

5. Early Years Block

5.1. Within the framework for the Early Years block of the DSG there are several requirements for LA's which are intended to ensure that funding is fairly distributed to providers. These are:

4. A minimum amount of funding that must be passed through to providers (95%).
5. A universal base rate for all types of provider.
6. Supplementary funding for Maintained Nursery Schools (ringfenced to MNS only).
7. A maximum cap of 10% on the amount of funding that can be used for the mandatory and discretionary supplements.
8. A Disability Access Fund linked to children that access Disability Living Allowance.
9. A requirement for a SEND inclusion fund (in Birmingham this is known as ISEY – Inclusion Support in Early Years).

5.2. Birmingham City Council has a commitment to undertake an annual Early Years rates review of the current formula, with the intention of linking any large-scale changes to national changes usually agreed for a three-year period in line with the governments Comprehensive Spending Review (CSR) timetable.

5.3. In October 2021 HM Treasury announced a three-year settlement for 2022 – 2025. Within this there was a commitment to additional Early Years funding over each of the three years through the national formula. Nationally the additional investment in early years education was confirmed as £160.0m in 2022/23; £180.0m in 2023/24; and £170.0m in 2024/25.

5.4. The indicative 2023/24 allocation for the Early Years Block is estimated to be £92.5m, an increase of £5.8m to the 2022/23 allocation of £86.7m.

6. High Needs Block and SEND

6.1. At the end of 2021/22 the net High Needs deficit was £0.3m comprising of an in year surplus of £3.8m less the final instalment value for 2022/23 of prior year deficit repayment plan of £4.1m.
The indicative 2023/24 allocation for the High Needs Block is estimated to be £270.9m before recoupment, £237.6m after recoupment. This represents a £27.4m increase on the 2022/23 allocation of £243.3m and includes an additional allocation of £10.8m with further conditions of grant attributed to it.

6.2. Details of the proposed HNB budget will be taken to Schools Forum in March 2023 and reported to Cabinet through the budget monitoring cycle early in 2023/24.

7. Academisation and School Deficits

7.1. There is continuing activity of schools converting to academy status either under directive orders or voluntarily. At the time of writing, a total of 5 schools had converted in 2022/23 with a further maintained school currently proposed to convert to Academy status on 1st February 2023.

7.2. Schools which are given a directive order to convert to Academy status and have a financial deficit at the point of conversion will have the deficit transferred to the local authority. In Birmingham this is funded through a combination of:

10. a DSG contingency. The DSG contingency is subject to agreement annually by the Schools' Forum and is a reducing budget as schools convert to academy status

11. the balance through resources freed up by the application of corporate capital resources to fund schools' capital maintenance expenditure, subject to approval as part of the annual capital budget process.

CHAPTER 5: CAPITAL STRATEGY

1. Summary

1.1. This capital strategy sets out the main influences for the capital programme, and how the available resources have been used to meet the Council's key priorities. It sets out the planned use of borrowing, including treasury management activity, and how capital risks are managed.

1.2. The capital strategy has been prepared having regard to CIPFA's Prudential Code and Treasury Management Code.

2. Objectives

2.1. The overall objective of the Council's Capital Strategy and Programme is for capital investment to support the Council Plan priorities. This will be achieved by:

- Integrating capital budget decisions into the Council's annual, medium and long term planning process, so that capital investment decisions are prioritised alongside plans for revenue income and expenditure, as well as plans for assets including the Council's land and buildings and liabilities including the prudent use of borrowing
- Co-ordinating the management of capital through the Capital Board, which oversees a 'one Council' strategic approach to capital management.

3. Strategic Context

3.1. The drivers of the Council's capital programme are complex and bring together many aspects of the Council's service and financial planning. This is driven particularly by the Council Plan, which sets out the Council's planned outcomes and priorities for the medium term. These have been the strategic drivers in the development and prioritisation of capital proposals as described below. The Capital programme since March 2020 has been impacted by Covid 19 resulting in slippages into future years and changes to a number of schemes.

3.2. Key drivers of capital investment include:

- The Council's property, plant and equipment is valued at just over £6.9 billion in its latest accounts. Reforming this portfolio to be fit for the Council's future needs and service delivery models is a key focus of the property strategy described in section 5.3 below
- The Council's school's estate continues to evolve rapidly under the influence of academisation and other national policies, but it remains a sizeable asset portfolio, and the Council has a duty to ensure there are sufficient school places
- Economic regeneration and transport remain a key priority for the city's future prosperity, and the proposed HS2 rail terminal at Curzon Street station represents a major opportunity which forms part of the city's Enterprise Zone

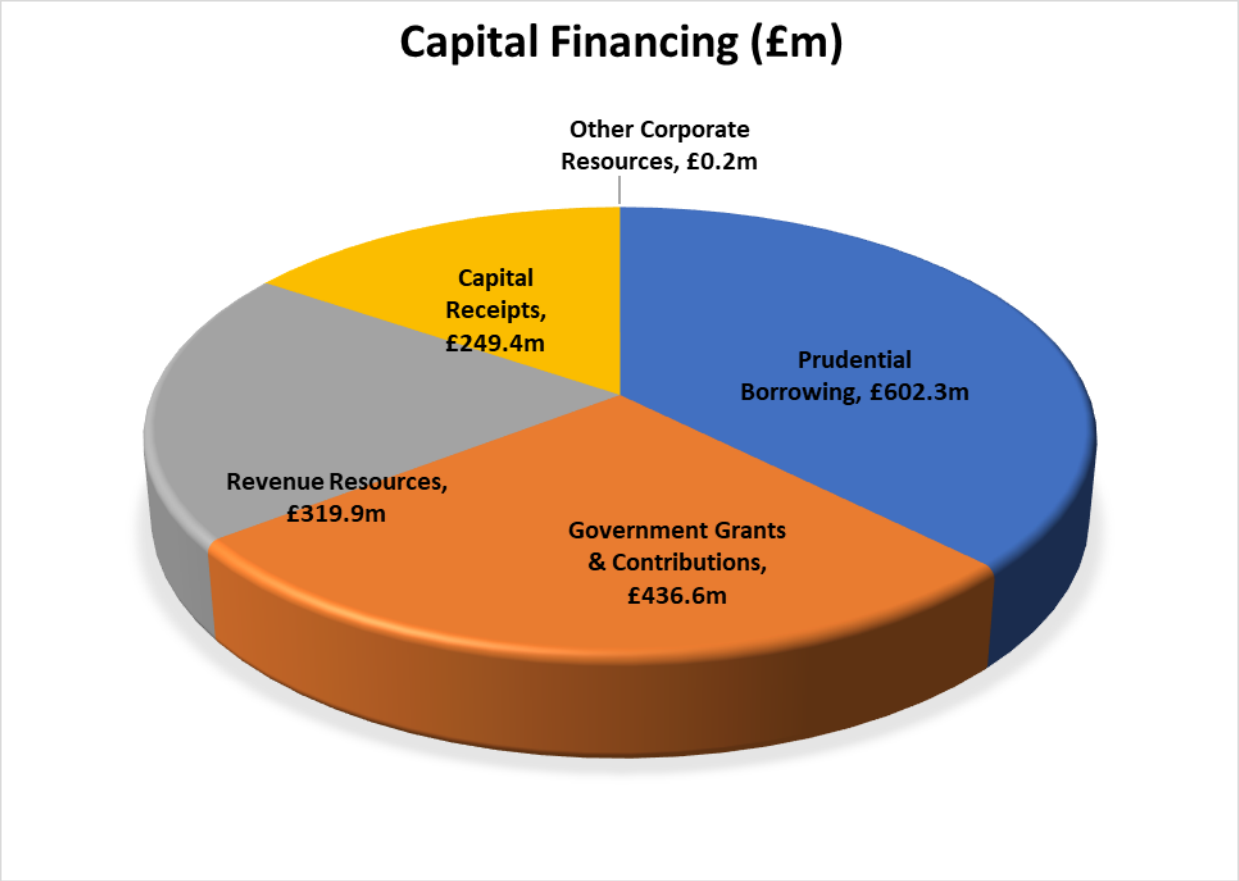
- Meeting the housing needs of Birmingham remains a major priority, both within the Council's HRA, and through its support for other housing development both for sale and for private rented accommodation
- The legacy of the Commonwealth Games is a significant opportunity for Birmingham.,

4. These key capital and infrastructure needs for the coming years cannot be delivered by the Council on its own. Partnership working is an essential part of addressing these needs and is reflected in many of the Council's capital plans.

5. Capital Resources

5.1. Resources of £1,608.3m have been identified to fund the four-year capital programme from 2023/24 to 2026/27, summarised as follows:

Figure 5.1 Capital Financing



5.2. A significant part of the Council's capital resources can only be used for specific and designated purposes. These are referred to as specific resources. This includes capital grants and contributions of £436.6m, directorate revenue resources of £319.9 (including HRA revenue resources of £284.7m) and HRA

capital receipts of £179.3m. Cabinet during the year may, if required, approve additional budgets funded by additional external resources.

5.3. Some capital resources are available without significant restrictions, and the Council has more freedom to allocate these towards its own priorities as set out in the Council Plan. These are referred to as corporate resources and comprise mainly capital receipts from asset sales and borrowing under the prudential system of capital finance for local authorities.

5.4. Corporate resources of £672.6m have been budgeted for use to finance the capital programme over the coming four years. This includes the use of prudential borrowing and capital receipts from asset sales. Revised or additional capital budgets funded from corporate resources may be approved by Cabinet, however additional prudential borrowing must be approved by full Council if the borrowing costs are not funded by additional income, savings or budget virements. No substantial increases in prudential borrowing or the use of capital receipts will be agreed outside of the annual budget process.

5.5. The Council's capital financing plans seek to make use of available resources in the most efficient way, including borrowing in accordance with the Prudential Code for local authority capital finance. £602.3m of prudential borrowing is included in the four-year capital plans, within the framework and policies set out in this capital strategy, further described below.

5.6. The Council's capital financing plans seek to fund revenue reform costs under the Flexible Use of Capital Receipts legislation. Section 7 of this Capital Strategy is the Flexible use of Capital Receipts Strategy. £42.8m has been included in the plans for 2022/23 with a further £38.7m identified for the 2023/24 financial year and £15.4m for 2024/25. Projects may be accelerated or slipped between financial years. A breakdown of these schemes can be found at Appendix J.

5.7. Final decisions on the funding of the capital programme will be taken by Cabinet in the Outturn report after the end of each financial year.

5.8. A breakdown of the resources used in financing the capital programme is at Appendix J. Further details of all capital grants are shown in Appendix J.

6. Capital Strategy

6.1. In the above context of needs and resources, the Council has developed the following policies and high-level processes to ensure the effective management of capital (arrangements are set out more fully in Appendix J):

- The management of capital will be overseen by the Capital Board, through strong governance and assurance processes for capital planning, capital appraisal and approval, project management, and capital monitoring and review. Executive decisions will be made in accordance with the Council's constitution
- Revised or additional capital budgets may be approved by Cabinet, within the constraints of the Council's constitution and its Prudential borrowing limit. No

substantial increases in prudential borrowing or the use of capital receipts will be agreed outside of the annual budget process

- CIPFA's Prudential Code and Treasury Management Code have been adopted by the Council
- All use of capital resources, including capital receipts, will be prioritised across the Council as a whole in relation to the Council's key priorities
- The use, re-use, and disposal of the Council's land and buildings will be managed by the Property and Assets Board to secure best value for the Council's priorities
- The Council will encourage community engagement in the operation of properties in support of specific key priorities, and will commission community asset transfers where appropriate
- The Council will manage its use of borrowing in accordance with CIPFA's Prudential Code. A prudent policy for debt repayment is set out in the Minimum Revenue Provision policy at Appendix M. General Fund borrowing costs (including interest and repayment charges) in 2023/24 represent 26.9% of the net revenue budget, which reflects a substantial investment in capital but reduces the resources which would be otherwise available for other revenue priorities. In order to ensure that borrowing remains at an affordable and sustainable level, the Council will seek over the medium term to manage its new prudential borrowing for normal service delivery at a level which is close to the amount which it sets aside from the revenue account each year for debt repayment (i.e. MRP).
- Borrowing for the Perry Barr Regeneration Scheme is an exception to this policy, but this is mostly planned to be repaid from the disposal of dwellings and land that form a part of the Perry Barr Regeneration Scheme from 2023/24.

6.2. Capital priorities for new projects and programmes have therefore focussed on the following areas:

- Council Plan driven expenditure which may be funded from external grants and contributions, especially where it supports key priorities
- Statutory requirements and other legal commitments
- Proposals which support revenue savings, income or service modernisation

Projects also need to demonstrate that they represent value for money and are deliverable at an appropriate risk.

7. Property Strategy

7.1. The Council's Property Strategy was approved by Cabinet in November 2018. Implementation of the Strategy takes account of the subsequent guidance with regards PWLB lending terms and revisions to the Prudential Code and will comply with them. The Property Strategy provides a long term strategic approach to the management of the Council's real estate. It aims to maximise commercial and

social returns by re-aligning the property assets, ensuring they act as a catalyst for development and inclusive economic growth and underpin the social fabric of communities across the city. In order to achieve this vision the Strategy divides the existing property assets in to four key themes:

- Commercial properties – this income earning portfolio focuses on increasing efficiency by selling underperforming properties and reinvesting the proceeds into the portfolio to maximise returns within a balanced and prudent risk management strategy
- Growth and Development – focusing on key growth areas, land and buildings will be utilised as catalysts for development and regeneration to deliver new homes and jobs
- Community – supporting community organisations to deliver Council's core objectives, encouraging independent social cohesion using sport, culture and third sector neighbourhood activities
- Operational – efficient and rationalised buildings to support the provision of modern 21st century Council services.

8. Commercialisation Strategy

8.1. The Council's Commercialisation Strategy focusses on "*Taking a business-like approach in every service, every day – making every £ count for Birmingham*". This recognises that to maximise performance 'commercial thinking' needs to be embedded across the organisation. To support this, the Council has undertaken a comprehensive review of all trading services and worked in partnership to create a new Commercial Strategy. This will drive ongoing performance assessment in line with council priorities, to support the identification of commercial opportunities across the Council and enable the facilitation of an organisation-wide behavioural change.

8.2. The Council's risk management approach recognises that currently the Council has low to moderate ability and appetite to take significant new risks, in light of the existing financial challenges and risks the Council is currently managing. A combination of Finance, Legal and the Programme Management Team (PMO) provide governance structure and operate key roles in ensuring that where risks are taken they are fully understood and proactively managed.

8.3. Investment in loans, shares and commercial property plays a significant part in a more commercial approach to the Council's activities, including its working with business and community partners. The Service and Commercial Investment Strategy at Appendix L sets out the investment activity and risk management processes which support this agenda. A low-risk policy towards investments is proposed, with a limit on the size of the overall financial investment portfolio at £598m.

9. Capital Programme

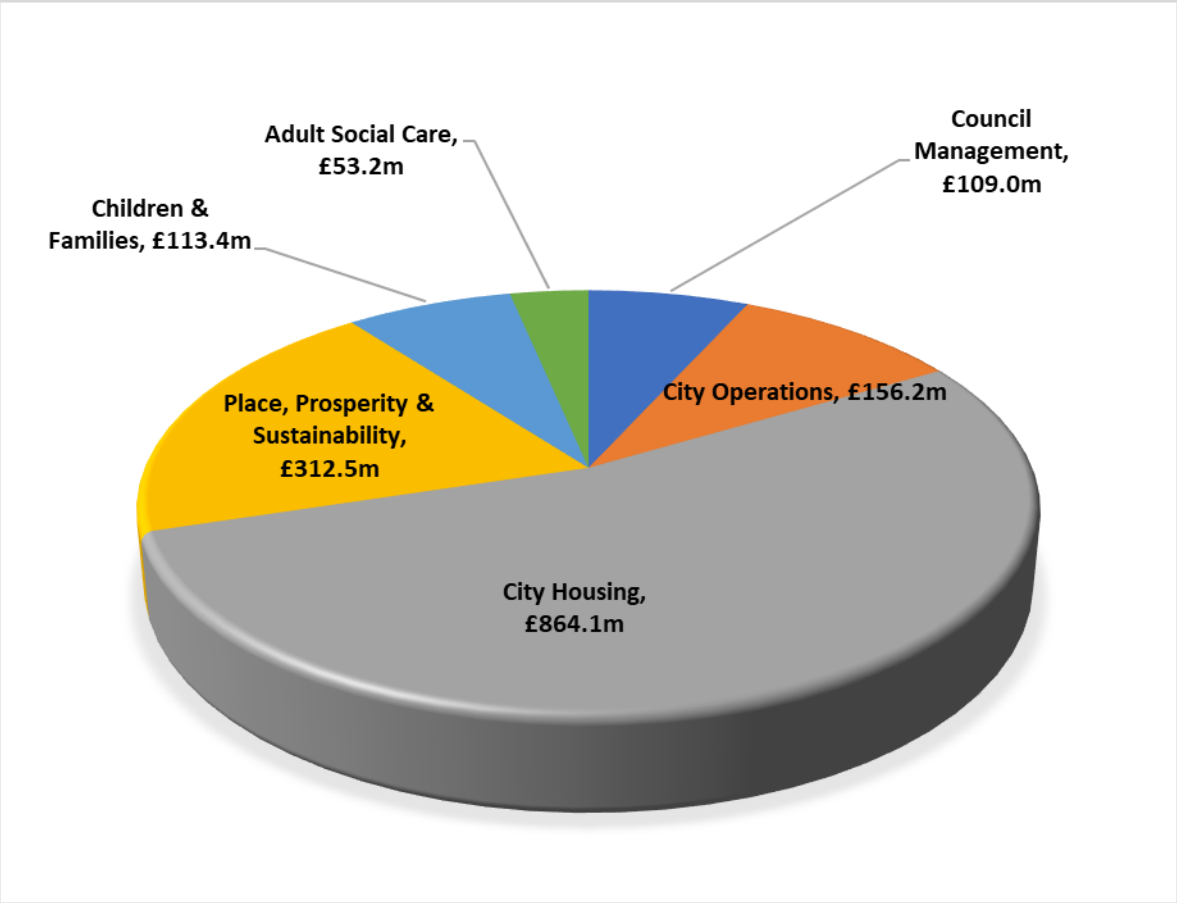
9.1. Based on the above strategy to support the delivery of the Council Plan outcomes, the proposed Capital Programme totals £634.1m in 2023/24 and £1,608.3m over the four-year period. This includes:

- Investment in Housing of £864.1m including £820.8m in the HRA and a further £43.3m for Housing Options (temporary accommodation for homelessness).
- Continuing investment of £16.5m on the Perry Barr Residential Scheme
- £182.8m on Transport Connectivity
- £79.3m on Highways Infrastructure
- Continuing commitment to the funding of development in the Enterprise Zone totalling £52.3m over the next four years, including investment to enable Birmingham to get the most out of the HS2 Curzon railway station
- £12.2m on the Alexander Stadium Legacy project (total scheme cost £21.4m with £9.3m profiled for spend in 2022/23).
- £33.5m for the Waste Management Service Strategy
- Major investment in Education and Skills of £113.4m
- £53.2m investment in Adult Social Care

9.2. New projects and priorities have been identified through the Council's financial planning process and added to the capital programme. These total £62.8m and relate to additional Transformation projects funded from the Flexible Use of Capital Receipts (see Appendix J1 below), new projects approved by Cabinet and an additional £15.0m for Corporate Capital Contingency funded from corporate prudential borrowing. Further budgets funded from Government allocations of capital grants (for example for schools and transport) will be added to the programme when the allocations are known.

9.3. The updated Capital Programme for £1,608.3m for the next four years is therefore as follows:

Figure 5.2 Capital Programme split



9.4. Appendix J provides further details of the capital programme, including a summary of the projects included. It also shows a longer-term ten-year view of identified capital plans, consistent with the Council's Long Term Financial Plan.

9.5. A General Fund capital policy contingency of £30.0m over four years has been included in this budget to manage unexpected needs arising during the financial year before the next annual budget process. The use of the contingency will be managed by the Capital Board and approved in accordance with the Council's constitution.

9.6. Much of the capital programme is delivered through partnership working, especially with the West Midlands Combined Authority (WMCA) and the Greater Birmingham and Solihull Local Enterprise Partnership (GBSLEP). The Council acts as Accountable Body for the GBSLEP, and carries out significant prudential borrowing in support of the Enterprise Zone (EZ), with financing costs being funded by Business Rates growth within the EZ. This is controlled through Financial Principles agreed by the LEP with the Council.

9.7. Capital receipts are also used to finance debt repayment in accordance with the Council's MRP policy, and to meet Equal Pay settlements. The financial implications of the funding of Equal Pay settlements have been included in this Financial Plan. This takes account of borrowing costs and requirement for the use of capital receipts to partially fund Equal Pay settlements.

10. Flexibility to Use Capital Receipts for Revenue Reform Projects Strategy

10.1. In the Spending Review 2015, the Chancellor of the Exchequer announced that to support local authorities to deliver more efficient and sustainable services, the government will allow local authorities to spend up to 100% of their fixed asset receipts (excluding Right to Buy (RTB) receipts) on the revenue costs of reform projects

10.2. 7.2 DLUHC issued revised guidance on the Flexible Use of Capital Receipts on 4 April 2022 and the flexibility was extended to 31 March 2025.

10.3. **7.3** Only the revenue costs of projects designed to reduce future revenue costs and/or transform service delivery can qualify for this source of funding. The Department has not issued an exhaustive list of qualifying projects to allow authorities because, as the government Guidance states, 'individual authorities who have projects that will generate ongoing savings that are not included in the list provided in the guidance can apply the flexibility to fund those projects.'

10.4. 7.4 Local authorities can only use capital receipts from the sale of property, plant and equipment received in the years in which this flexibility is offered (i.e from 2016). RTB receipts cannot be used and disposals must be to an entity outside the local authority's group structure.

10.5. For each financial year, a local authority should ensure it prepares at least one Flexible use of Capital Receipts Strategy ("the Strategy"), which this is. The Strategy should be presented to full council before the start of the year. This Strategy can be within the Annual Budget documents or as part of the Mid-Term Financial Plan (or equivalent).

10.6. Appendix J.1 below lists each project that plans to make use of the capital receipts flexibility and details the expected savings / service transformation

.

10.7. The Appendix also contains details on projects approved in previous years, including a commentary on whether the planned savings or service transformation have been/are being realised in line with the initial analysis.

10.8. The Strategy may be revised in year if further eligible projects are identified and sufficient capital receipts are available for funding such costs. In this circumstance the revised projects will be approved by Full Council and a revised strategy submitted to DLUHC

10.9. The section below on Debt & Treasury management considers and includes the impact of using this flexibility on the local authority's Prudential Indicators for the forthcoming year and subsequent years. Using Capital Receipts for these projects means that receipts are not available to fund the capital programme.

11. Debt and Treasury Management

11.1. Local authorities are required by law to set an overall limit on their debt outstanding, including loans and other long term liabilities. This 'prudential limit' may not be exceeded, so the Council's proposed limit allows for risks, uncertainties, and potential changes during the year which may need to be accommodated within this overall limit. On this basis, the Prudential Limit for Debt has been set at £4,500.0m for 2023/24, £4,800.0m in 2024/25, £5,000.0m in 2025/26 and £5,000.0m in 2026/27.

11.2. The limit is calculated as follows:

Table 5.3 Forecast Debt and Authorised Prudential Limit Based on the Current Capital Programme

	2023/24 £m	2024/26 £m	2025/26 £m	2026/27 £m
Forecast opening gross loan debt	3,362.700	3.501.900	3,660.500	3.651.300
Capital expenditure financed from borrowing				
- Self Funded	228.100	148.400	75.800	53.700
- Requiring budget support	62.000	17.700	8.300	8.400
Other cash flows	-39.000	110.600	38.000	70.400
Less loan debt revenue repayment provision	-111.800	-118.100	-131.300	-1403800
Forecast closing gross loan debt	**3,501.900**	**3,660.500**	**3,651.300**	**3,643.000**
Closing PFI and similar debt liabilities	348.800	322.200	295.500	273.800
Forecast closing debt (loans, PFI, etc)	**3,850.700**	**3,982.800**	**3,946.700**	**3,916.800**
Allowance for planned cashflows, day to day fluctuations and other potential borrowing	649.300	817.200	1,053.300	1,083.200
Authorised Prudential Limit for Debt	**4,500.000**	**4,800.000**	**5,000.000**	**5,000.000**
Analysis of forecast closing debt:				
General Fund Debt	**2,678.000**	**2,699.100**	**2,589.500**	**2,541.700**
HRA Debt	**1,172.800**	**1,283.700**	**1,357.200**	**1,403.800**

11.3. Appendix J analyses planned prudential borrowing between projects which are self-financed through additional income or savings, and projects whose borrowing requires additional budget support. The Council's revenue budget includes provision to meet the net cost of all the above borrowing.

11.4. The CIPFA Prudential Code expects local authorities to consider and approve a number of 'prudential indicators'. These relate to the capital programme generally as well as borrowing, and are set out in Appendix N.

11.5. The Council's debt liabilities and its investments arising from day-to-day cashflows need careful management in order to manage the costs and risks. This is the subject of the Council's Treasury Management Strategy and Policies, which are set out at Appendix I and K.

12. Management of Guarantees and Partnership Finance Risks

12.1. The Council has entered into financial guarantees and other obligations which are subject to risk management arrangements.

12.2. The Council has guaranteed £73m loan debt issued by NEC (Developments) plc, which since the sale of the NEC Group has been a wholly owned subsidiary of the Council. The value of this liability is reflected in the Council's own debt and is managed as part of treasury activity.

12.3. The Council has also provided guarantees in respect of staff TUPE'd to external bodies and who have retained membership of the Local Government Pension Scheme (LGPS) to the West Midlands Pension Fund for pension deficits and to some of the external bodies in respect of changes to contribution rates. To minimise the risks to the Council, external bodies may be required to take out a bond, payable on any default. The assessed residual risk has been recognised in the Council's financial statements.

12.4. The Council is a constituent member of the WMCA. Participating authorities share an exposure to any unfinanced revenue losses of WMCA, including debt finance costs. The Council and other member authorities support WMCA's capital investment plans, which include substantial prudential borrowing (subject to revenue funding support). This exposure is managed through the authorities' voting rights in WMCA including approval to its annual revenue and capital budget.

12.5. The Council participates in other joint ventures and companies. The Council may give letters of assurance in support of these activities and any assessed risk is accounted for in the Council's financial statements.

CHAPTER 6: SECTION 25 REPORT – ROBUSTNESS OF ESTIMATES AND ADEQUACY OF RESERVES

From: Rebecca Hellard Director of Council Management, S151 Officer

1. Section 25 Assurance Statement

1.1. This section of the report contains the formal recommendations from the Section 151 officer as to the robustness of the budget estimates for 2023/24, the medium-term financial plan and the adequacy of reserves. It includes an evaluation of the background to budget preparations for 2023/24, including risks and uncertainties, deliverability of the proposed budget, and financial sustainability of the Council.

1.2. The Council is proposing a robust budget and sustainable medium term financial strategy. The proposals included in this report establish a balanced budget for a four-year period 2023/24 to 2026/27 having taken a considered view of all relevant factors. This is the first time that the Council has achieved the setting of a four year balanced budget.

1.3. Recommendations: Pursuant to section 25 of the Local Government Act, the City Council is asked to note this report and agree to have due regard to the contents when making decisions about the budget. This will also extend to the assumptions contained in the Council's Medium Term Financial Plan (MTFP) and the financing and resourcing assumptions set out in the Capital Programme.

2. Executive Summary

2.1. Section 25 of the Local Government Act 2003 requires the Section 151 officer (for Birmingham City Council this is the Director of Council Management) to formally give an opinion as to the robustness of the budget estimates and the level of reserves held by the Council. Section 25 (2) of the 2003 Act requires that the Council must consider this report when making decisions about the budget and setting the Council Tax and Business Rates.

2.2. In preparing the 2023/24 Budget and Medium-Term Financial Plan processes have been put in place to ensure that the budget is robust, achievable, and sustainable and that services can be delivered within the anticipated available funding. Savings have been developed based upon underpinning cross cutting transformation themes aligned to the Delivery Plan and this produces a high degree of confidence that the budget estimates are robust. Extensive workshops have given assurance upon delivery and these have been followed up with business cases that set out clear delivery plans for all budget proposals. This budget reflects the Council's statutory requirements to deliver services and aligns with the Council's Delivery Plan.

2.3. Programme Management has been strengthened at a strategic level with a Corporate Programme Management Office having been established to track and report on key council programmes, providing regular performance reports to the Corporate Leadership Team and Cabinet.

2.4. The 2023/24 budget and medium term budget proposals have been developed against the background of considerable uncertainty and volatility. In any year there are some uncertainties within the budget. In normal times predicting spending on demand led budgets with a high degree of accuracy is difficult and currently even more difficult as we recover from the Covid 19 pandemic. Consequently, it is important that variations from the financial plan and budget are identified and reported early, together with remedial actions to ensure a balanced budget can continue to be delivered, and where necessary mitigating savings options are put in place. CIPFA in the summer of 2021 recognised that the City Council has strong robust financial management processes in place and awarded the city a 3 star rating for Financial Management. This is an excellent achievement and recognises the work undertaken to strengthen financial management across the whole council including budget setting.

2.5. It is also essential that the budget includes an assessment of the potential financial risks facing the Council and that the Council has adequate reserves should those risks materialise. The Council holds a general reserve for unforeseen and unplanned circumstances and a range of earmarked reserves for specific eventualities. In setting the budget and prudently managing its finances, the Council considers the level of both general and specific earmarked reserves. The level of these reserves reflects the risks the Council faces.

3. Reserves

3.1. In setting the budget and prudently managing its finances, the Council must consider the level of both general and specific earmarked reserves. The level of these reserves reflects the risks the Council faces.

3.2. In addition to known liabilities, the budget also has regard to various risk issues where at the time of setting the budget there is no contractual liability but there is a possibility that payment may be required at some point in the future. It is prudent to plan for future expenditure and to strike a balance between the needs of current and future taxpayers. In these cases, earmarked reserves are held.

3.3. The level of earmarked reserves and their intended use has been reviewed and the Medium Term Financial Plan reflects the results of that review. The conclusion is the level of these reserves are adequate having regard to the risks identified. Further details can be found in section Appendix C.

3.4. Furthermore, the Financial Resilience Reserve provides additional financial resilience. The reserve's balance is anticipated to be £52.9m as at 31 March 2023 and this is welcomed in this particularly uncertain time.

3.5. However, whilst reserve levels are considered adequate, they require continuous monitoring. The Council cannot be complacent and must continue to maintain financial rigour, particularly with regard to delivering planned savings, accumulated debt and associated financing costs and financial income collection.

4. Financial Management

4.1. The Chartered Institute of Public Finance and Accountability (CIPFA) has developed a Financial Management Code (FM Code) to support good practice in financial management and to help local authorities demonstrate financial sustainability. The first time standards of financial management for local authorities have been set out in a code. The first full year of application of the FM Code was 2021/22 and it was for each authority to determine the extent to which it complies with the Code and to identify what action it may wish to take to better meet the FM Code standards. A report was presented to Audit Committee in June 2021 and presented a positive picture for financial management at the Council and is consistent with the results of the CIPFA Financial Management three star assessment.

4.2. CIPFA in the summer of 2021 awarded the council with a three star rating for Financial Management, this is an amazing achievement formally recognising the journey the authority has been on to improve and enhance its financial management process. This recognition gives me assurance as your statutory S151 Officer that the financial management processes we have in place are robust and demonstrate best practice. We must however not become complacent and will continue to improve financial management with the introduction of 1B, the Oracle based system in April 2022 being a significant enhancement for the council. We will also be seeking to further enhance our CIPFA rating to four star.

5. Policy Contingency

5.1. It is also prudent to hold a budget for general contingencies to cover the fact that certain budget assumptions may be inaccurate i.e., demand for a service has proved greater than expected. As such the Council holds a General Policy Contingency budget of £4.5m for 2023/24 and specific policy contingency sums.

6. Savings – development and tracking

6.1. The 2023-24 budget contains savings proposals totalling £48.9m, with a further £48.2m to be delivered over the period of the MTFP. There are robust mechanisms in place to ensure that there is accountability for the delivery of planned savings, and progress against delivery is monitored on a monthly basis.

6.2. From the outset it was recognised that, due to the unique size and shape of BCC as a Local Authority, there was a need to take both a “top down” and “bottom up” approach to the identification of savings so that these savings were ambitious enough to meet the overarching corporate need but, crucially, deliverable at an individual service level.

6.3. The approach taken aligns to both the objectives shown on the previous page and the need to bring together both “top down” and “bottom up” initiatives. Birmingham City Council has identified savings opportunities that could be delivered and realised at pace and opportunities capable of delivering the size and scale of savings required without representing blanket service cuts and improving the outcomes for citizens. This programme of savings will be underpinned by full project initiation documents with full due diligence undertaken and robust business cases supported by an overall delivery plan and supporting

requirements that enable benefits realisation and commitment to engage with the wider Council through the Task and Finish Groups for each cross-cutting transformation plan.

6.4. The Corporate Programme Management Office will be supporting managers to track delivery of savings and regular reports on progress will be presented to the Corporate Leadership team and Cabinet. The Council is operating management disciplines to ensure management and policy actions are considered in relation to overspending budgets. Generally, virements are considered at a corporate level against corporate priorities, including the contribution towards the optimal level of general fund reserves.

7. Inflation

7.1. The budget contains provision for specific contractual and other inflationary pressures. These provisions are based on the best information available at the time. The budget also contains some provision for general price inflation, and it is anticipated that services will have to manage any inflationary pressures that arise above those provided for. Contracts are also reviewed and provision for known significant contractual changes are made. The impact of pay and price inflation is monitored during the year as part of the budget monitoring process. The key inflation elements built in to the budget are :

- Pay Inflation at 5% for 23/24 and subsequently 2.5% year on year.
- Pensions Employer rates fully reflect the most recent actuarial review in 2023 including changes to the future service rate and past deficit payments.
- Price inflation has been provided at a rate of 5% per annum for general expenditure items.
- Income has been uplifted by 5% 2023/24 on average, and 2% beyond that.

7.2. Contract have been reviewed and provision for known contractual changes are made. Specific higher adult and children social care market inflation has been provided for to support the care market. Budgetary provision has also been made to reflect the increased prices due to the crisis in the energy market.

7.3. The one significant Levy the Council has is Passenger Transport. The budget forecasts for 2023/24 reflect the latest estimates.

8. Income

8.1. Locally generated income from Business Rates and Council Tax are significant sources of funding for the Council, and both have been impacted by the pandemic and the level of recovery remains uncertain. The budget estimates for Business Rates income are based on a prudent and best assessment of the tax base reflecting the current economic conditions, an estimate of impact from appeals and for 2023/24 a prudent reduction in the collection rate.

8.2. The Council Tax taxbase is determined with reference to the number of properties in the city and the number of associated reliefs and exemptions together with the assumed numbers of residents benefitting from the Council Tax support scheme. A prudent assumption has again been made for income collection rates as we continue to recover from the pandemic.

8.3. The amount of Council Tax to be collected in 2023/24 and used to support the Council's revenue budget is based on the Council taxbase. The taxbase set for 2023/24 is based on the most accurate and prudent forecasts of anticipated chargeable dwellings and associated level of discounts, reliefs, and collectable amounts for the year. The Council Tax requirement for 2023/24 assumes a general increase in Council Tax of 2.99% and a 2% precept relating to adult social care. The flexibility to charge this precept in addition to the general amount of Council Tax was extended by Government in recognition of the ongoing financial pressures on adult social care services. The precept is estimated to raise £8.2m of additional resources to support adult social care investment.

8.4. The Council's share of Business Rates income for 2023/24 has been set at £410.9m. A detailed NNDR 1 return for 2023/24 has been submitted to Government. Prudent estimates of Business Rates appeals, bad debts provisions, changes to the rating list etc. have been included. A collection rate of 97% has been set for Business Rates for 2022/23.

8.5. Directorates have undertaken a comprehensive review of all service fees and charges benchmarked against nearest neighbours and nationally. The revised schedule of proposed fees and charges are included as an appendix to this report and are subject to a budget decision.

9. Adult Social Care Precept

9.1. As the Chief Financial Officer, I am satisfied that the Council Tax income yield from the adult social care precept has been utilised to meet adult social care needs. The additional investment in social care is shown in Chapter 2.

10. Capital programme and Borrowing

10.1. The Prudential Code recommends that Chief Finance Officers report on the affordability and risk associated with the capital strategy. The capital programme is fully financed from a combination of existing resources, external grants and contributions, capital receipts, and an affordable level of borrowing.

10.2. The Council has a Capital Strategy which provides an over- arching framework by which capital expenditure and non-treasury investment decisions can be assessed. Based on the Corporate Capital Strategy the Council has an approved four-year capital programme. Over the medium term the Capital Programme will move to a 10-year and ultimately a 25-year programme. Furthermore, the capital programme is evaluated with regard to the Prudential Code in terms of its prudence, affordability, and sustainability. Investments are reviewed against appropriate risk factors. The revenue budget and MTFP reflects

the financing and borrowing assumptions as contained in the approved capital programme.

10.3. It may be necessary, and subject to Council decisions during the year with regard to the overall capital programme and how it is to be financed, to revisit the Prudential Indicators from time to time to ensure that any amendments and proposed additions to the capital programme remain prudent and affordable in terms of the Council's approved revenue budget and MTFP.

10.4. The Capital Strategy at Chapter 5 prioritises the use of external grants and funding where possible to support Corporate Plan priorities. Capital receipts assumptions are based on a prudent assessment which uses a risk-weighted forecast of expected capital receipts from asset sales and other sources.

10.5. The Council has a relatively high level of borrowing compared with most other authorities, but the policy set out in the Capital Strategy and Appendix J is that the Council will seek over the medium term to manage its new prudential borrowing for normal service delivery at a level which is close to the amount which it sets aside from revenue account each year for debt repayment.

10.6. The Council has recently undertaken a full review of the Capital Programme with a view to reducing borrowing costs and the associated revenue repayment costs. The results of this review are included in the quarter 3 financial monitoring report to February 2023 Cabinet and will also be presented to Resources Overview and Scrutiny Committee.

10.7. Council investments and borrowing comply with the current Treasury Management Strategy as approved by Council. At any one time the Council will have several cash income streams, such as capital receipts and Government grants and when appropriate these will be invested as part of the overall and day to day cash flow management activities undertaken by the Treasury Manager. Risks including Brexit impacts are reflected in the Treasury Management Strategy.

10.8. Cash investments are made in accordance with the Investment Strategy as set out in the Treasury Management Strategy and can be liquidated at short notice and are available at any point in time to meet the Council's day to day requirements for cash funding.

10.9. The Council's debt repayment policy at Appendix K results in a strong debt repayment profile, which is illustrated in the Treasury Strategy Appendix I Figure I.5.

11. Risk

11.1. The Council has well established procedures in place to identify and anticipate risks with a Risk Management Strategy, a full review of all strategic risks in 2022/23 and regular monthly reports presented to CLT Assurance meetings and Audit Committee. These risk management processes form part of the budgetary control framework and are underpinned by the Council's

governance arrangements culminating in the Annual Governance Statement and supported by the Internal Audit service. These include a Risk Management Framework and a regularly reviewed Strategic Risk Register with progress on both regularly reported to the Audit Committee. The sharing of risk is in accordance with the principle of the risks being borne by the party best placed to manage that risk. Inherent risks include any guarantee or variation of service throughput (service volumes). If risks materialise the expectation is that such an eventuality will be contained where possible and considered in future years' budgets and general fund reserves restored to at least the minimum prudent level.

11.2. The Council manages capital risks through its business case appraisal and approval arrangements, and through regular capital and treasury monitoring. Capital risks have also been considered in assessing the adequacy of reserves.

11.3. The Council has a strategic well measured and prudent approach to commercial risk and this is also reflected in the Capital Strategy. Treasury management risks are managed through the Treasury Management Strategy and Policy.

11.4. The main risks that have been identified are: -:

- Rising demand for Council services e.g. – social care and housing
- The impact of legislative changes and new burdens including the significant transfer of risk to Local Government through 100% Business Rates retention, the reliance on locally raised income and potential reforms to local government funding and the Business Rates system.
- The non- delivery of planned budget savings and efficiencies, resulting in overspends or the need to reduce spending on other services across the Council.
- Industrial disputes, major litigation, both currently and in the future.
- Managing the Capital Programme to achieve the policy objective of reducing the revenue impact of prudential borrowing.
- The delivery within budget of capital schemes.
- The possibility of legal challenge including judicial review arising from Council decisions with regards to the delivery of statutory services.

12. Governance

12.1. The Council's Constitution specifically defines the role of all Members in determining and agreeing the policy and budgetary framework of the Council in accordance with applicable laws providing sufficiency of resources. The budget approval process includes Cabinet Committee meetings, the Scrutiny Committee meeting and Member training sessions and briefings leading up to the formal Budget meeting and the consideration of the recommendations set out in the Council budget report. These are the mechanisms by which all Members have the opportunity in advance of the Full Council meeting on the 28th of February 2023

to define, challenge, amend and ultimately vote on the Council's budgetary framework for the next year and medium term.

12.2. An update to the MTFP was reported to Cabinet in October 2022. This updates to the Medium Term Financial Plan have been completed and supported by:

- base salary estimates and projections of demand for demand-led services.
- risk based balances calculation.
- prudential borrowing and capital funding review
- an assessment of inflation
- monthly monitoring of budget pressures and savings delivery

12.3. The budget setting process for the MTFP has been significantly strengthen across the whole Council, CLT have worked closely with the Finance team and Corporate Programme Management Officers to develop budget options. CLT have led and taken part with distributed leadership across CLT, discussing and developing options. The Corporate Programme Management Office has been significantly strengthened and is responsible for maintaining a since tracker of savings options with progress on delivery being presented to monthly CLT Performance Boards and Cabinet Member Briefing sessions.

13. Insurance

13.1. The Council's insurance arrangements are a balance between external insurance premiums and internal funds to "self-insure" some areas. Premiums and self-funds are reactive to external evaluations of the risks faced by the Council which includes both risks that are generic to all organisations and those specific to the authority.

13.2. The level of the Insurance Reserve is planned to increase by £1.8m annually; with the balance as at 31 March 2024 anticipated to be £13.3m.

14. Current year position

14.1. In addition to the uncertainty around government spending plans and the settlement for local government, as a result of primarily external factors, including recovery from the pandemic, the national challenge of the rising cost of living, inflation, increasing demand, and reduced Government funding, Birmingham City Council, like many councils, is facing an increasingly challenging financial situation. These factors have added pressure to the Councils finances, the Council was already experiencing increasing demand for services, including children's social care; home to school and special educational needs transport; and higher demands across adult social care including adults with learning disabilities, mental health services and support to older people.

14.2. The budget monitoring position as at the end of December 2022 is reported to Cabinet on 14th February 2023. The revenue budget showed a forecast net overspend of £11.0m. Further details can be found in the Cabinet report. Action to

address the current £11.0m overspend is critical to ensure a balanced budget is achieved by the year end. The under delivery of previously agreed savings will also need to be reviewed as these too will impact on the 2023/24 budget.

14.3. This draft budget will require some difficult decisions about service levels and provision both in 2023/24 and over the medium term. These decisions will need to be confirmed under the Council's constitutional arrangements and Financial Regulations after due consultation and equalities impact assessments. As such the draft budget is a plan which can be subject to change, with any changes considered and agreed by Cabinet through the in year financial monitoring reports.

14.4. Treatment of Growth Pressures. Major demand and price factors affect the 2023/24 and future years budgets include 2022/23 budget pressures continuing into 2023/24 and future years. These are being addressed as part of this budget. The 2023/24 budget forecasts have therefore been informed by 2022/23 budget monitoring reports which have been reported to Cabinet and Scrutiny through the year and have been supported by the Star Chamber process.

14.5. The medium-term plan shows a balanced position for the next four years. It assumes no use of the budget smoothing reserve for 2023/24. Last years MTFP did apply budget smoothing 2024/25 to 2026/27 to allow existing savings options to be developed and implemented in a managed way over the three years. This use of the Budget Smoothing Reserve is considered the best approach to manage the level of savings required over this period.

14.6. For each of the medium term savings proposals we have strengthened the approach by developing OBCs for each proposal. In recognition, the savings plans over the medium term include options that will need to be closely monitored and reviewed to ensure they continue to enable the council to manage its spending in line with available resources. This is accepted as a prudent necessity, and the Council having balanced the 4 year MTFP for all four years, has gone further and developed medium and long term savings proposals in addition, so that should there be changes to funding in the future then these are available to use to balance any future gaps arising from funding uncertainties.

14.7. As Section 151 officer I can formally report that in my view the budget estimates are robust and the level of reserves adequate, as required by the Local Government Act 2003, on the assumption that the proposed council tax increases up to but not exceeding the 5% referendum threshold and 2% for the Social Care levy are agreed.

14.8. Council tax is a significant source of funding for council services. Any lesser increase than that proposed, without a corresponding reduction in base budget spending would have an adverse impact on the Council's financial resilience and ability to mitigate future spending risks or medium-term uncertainties over the future funding gap.

14.9. The draft revenue proposals for 2023/24 and the medium-term plan are not without risk and work will be ongoing through regular financial monitoring to

ensure savings and a balance budget is delivered. Where savings are no longer deliverable alternative options will be sought.

14.10. The draft proposals strike a balance between affordability whilst allowing sufficient resources for the Council to fulfil its statutory responsibilities and address local priorities. This is not an easy combination and will require some difficult decisions about service levels and provision. It will require services to bear down on spending growth, particularly with regard to future price levels and managing demand. In my view whilst this presents risks, the Council has sufficient financial resilience and reserves together with a strong record of sound financial management such that the additional risks are not excessive or reckless.

15. Recommendations:

15.1. (a) Pursuant to section 25 of the Local Government Act, the Council is asked to note this report and agree to have due regard to the contents when making decisions about the budget.

APPENDIX A: MTFP

	2023/24	2024/25	2025/26	2026/27	2027/28	2028/29	2029/30	2030/31	2031/32	2032/33
	£m	£m	£m	£m	£m	£m	£m	£m	£m	£m
Base Budget 2022/23	759.231	759.231	759.231	759.231	759.231	759.231	759.231	759.231	759.231	759.231
Pay & Price Inflation	85.045	106.211	117.135	148.649	187.049	224.512	263.586	307.812	350.872	350.872
Meeting Budget Issues and Policy Choices	24.278	33.608	37.768	48.517	61.046	73.158	85.420	97.727	109.977	122.227
Savings Plans	(48.857)	(76.994)	(97.038)	(97.067)	(97.067)	(97.067)	(97.067)	(97.067)	(95.847)	(96.437)
Corporate Adjustments:										
Other net change in use / contribution to reserves	142.950	204.942	231.751	200.776	189.102	190.610	192.154	190.061	190.369	191.504
Corporately Managed Budgets	18.322	8.984	6.397	10.350	7.646	1.450	4.324	27.079	9.577	50.198
Changes in Corporate Government Grants	(55.891)	(17.669)	(19.631)	(20.522)	(23.800)	(26.806)	(29.883)	(32.937)	(36.060)	(39.109)
Total Net Expenditure	**925.078**	**1,018.314**	**1,035.612**	**1,049.934**	**1,083.206**	**1,125.087**	**1,177.764**	**1,251.906**	**1,288.119**	**1,338.485**
Business Rates	(410.863)	(487.852)	(495.937)	(501.120)	(515.316)	(528.684)	(542.390)	(555.877)	(569.696)	(583.869)
Business Rates Deficit in 21/22 funded by S31 grants	(155.064)	(124.412)	(124.412)	(124.412)	(124.412)	(124.412)	(124.412)	(124.412)	(124.412)	(124.412)
Use of S31 grant reserve to fund Business Rates deficit arising in 20/21	155.064	124.412	124.412	124.412	124.412	124.412	124.412	124.412	124.412	124.412
Business Rates Deficit/(Surplus)	(1.721)	-	-	-	-	-	-	-	-	-
Council Tax	(429.159)	(459.040)	(471.819)	(484.958)	(498.465)	(512.350)	(526.624)	(541.301)	(556.388)	(571.900)
Council Tax Deficit/(Surplus)	(14.032)	-	-	-	-	-	-	-	-	-
Top Up Grant	(69.303)	(72.421)	(72.856)	(72.856)	(74.312)	(75.798)	(77.315)	(78.862)	(80.438)	(82.048)
Potential impact of spending review		1.000	5.000	9.000	9.000	9.000	9.000	9.000	9.000	9.000
Total Resources	**(925.078)**	**(1,018.314)**	**(1,035.612)**	**(1,049.934)**	**(1,079.093)**	**(1,107.832)**	**(1,137.329)**	**(1,167.040)**	**(1,197.522)**	**(1,228.816)**
Gap	**0.000**	**0.000**	**0.000**	**0.000**	**4.113**	**17.255**	**40.435**	**84.866**	**90.597**	**109.669**

APPENDIX B: RESERVES POLICY

1. Background

1.1. The purpose of this policy is to set out how the Council will determine and review its overall level of reserves and how it uses them.

1.2. The Council is required to maintain adequate financial reserves for meeting unknown and potential estimated future expenditure when calculating the Council Tax requirement.

1.3. All planned use of reserves must be for a specific purpose in order to ensure there is a sustainable budget. They should not be used to mitigate the need for ongoing savings. Reserves will only be released upon relevant approval as set out in the Constitution.

1.4. The Council has usable reserves and unusable reserves on its Balance Sheet. The unusable reserves are as a result of accounting adjustments and are not therefore available to spend. This policy will concentrate on usable reserves.

2. General Policy

2.1. Usable reserves can be split into the following categories:

- General Reserves and Balances
- Earmarked Reserves
- Revenue Grant Related Reserves
- Ringfenced Reserves
- Capital Reserves

2.2. The Council maintains usable reserves primarily for the following reasons:

- The need to put aside sums in case of unexpected exceptional future expenditure
- To smooth out the impact of payments on the revenue account
- To cover timing differences such as grant money received in any given year where expenditure takes place in a later year
- To provide pump prime funding for projects to deliver changes in working practices

2.3. Reserves can only be used on a one-off basis which means that their application does not offer a permanent solution to the requirement to deliver significant reductions in the future level of Council expenditure.

2.4. Reserves are not to be used to avoid the necessity to make or the failure to deliver ongoing savings

3. Managing the Level of Reserves

3.1. The Council must maintain sufficient general reserves and working balances to cover the key financial risks and contingencies.

3.2. An assessment will be carried out annually as part of the budget setting process to consider the risks the Council is exposed to and the level of general reserves that are appropriate.

3.3. As part of the budget setting process the Section 151 Officer will consider and assess the level of general reserves. Consideration will be given to the strategic, operational and financial risks facing the Council.

3.4. Major factors to be considered when evaluating the level of reserves, including but not limited to the following:

Budget Assumptions	Issues to Consider
Inflation and Interest rates volatility	The overall financial standing of the Council
Estimates of the level and timing of Capital Receipts	The trend of the Council's financial management and the robustness of the Medium Term Financial Plan
The financial risks inherent in any significant new funding partnerships, major contractual arrangements or major capital programme	The Council's end of year closedown procedures relating to budget under/overspend.
The availability of other funds to deal with major contingencies and the adequacy of provisions	The adequacy of the Council's arrangements to cover major unforeseen risks.

4. Usable Reserves

4.1. General Reserves and Balances

- These are funds that do not have restrictions as to their use. The Council can use them for any purpose within the General Fund. The purpose of general reserves is to manage the impact of exceptional emergencies and unforeseen events. Without such reserves the potential financial impact of these unforeseen events could cause a financial deficit in the General Fund, which would be severely disruptive to the effective operation of the authority. General Reserves held include:

4.2. General Fund Balance and Carry Forward Balances

- These reflect the accumulated surpluses of income over expenditure from previous years and any resources set aside as general contingency against adverse future events

4.3. Financial Resilience Reserve (FRR)

- This is a reserve created in 2017/18 from the backdated application of a consistent Minimum Revenue Provision (MRP) policy of 2007/08
- The change in policy has created additional revenue costs. The Council plans to release some of this reserve in line with the Council Plan and Budget 2018+ to phase in the ability to meet the additional costs as shown in Table B.1 below. The balance of this reserve is to provide contingency fund in case the Council faces financial difficulties in the future

Table B.1 Planned use of FRR to Meet Additional Revenue Costs

2019/20	2020/21	2021/22	2022/23	2023/24	2024/25	2025/26	2026/27
£5.9m	£5.9m	£5.0m	£4.0m	£3.0m	£2.0m	£1.0m	Nil

4.4. Delivery Plan Reserve

- The Delivery Plan Reserve (DPR) has been established to enable the necessary investment required by the Council's Delivery Plan

5. Earmarked Reserves

5.1. Earmarked Reserves enable the Council to set aside sums to meet specific future liabilities. These include:

5.2. Capital Fund

- This is a revenue reserve which has arisen from revenue contributions set aside to fund budgeted capital expenditure, Equal Pay settlements and associated costs in line with the Council's Capital Financing and Equal Pay funding claims

5.3. Insurance Reserve

- The Council self-insures against all bar the most catastrophic business risks other than where insurance cover is a legal requirement. A budget is held to cover insurance losses in-year and the Insurance Reserve exists to act as a buffer should losses exceed budgeted expectations in any given financial year. The fund increases in those years where losses incurred do not exceed the budget

5.4. Highways PFI Reserve

- This reserve has been earmarked to support the Highways PFI Business Model

5.5. Other Earmarked Reserves

- There are some reserves which cover a wide range of services that have been set aside to support future years' service delivery. These include, for example, resources earmarked for Special Educational Needs reform, a local innovations fund, highways initiatives, subvention for major events, replacement IT systems and repairs and maintenance for specific service chargeable buildings. These reserves are monitored at Directorate level and can only be used for a particular purpose
- During the annual review if it is determined earmarking is no longer necessary the reserves will be allocated to general reserves

5.6. The request to use these funds or contribute to reserves must be approved by Cabinet and the allocation of Earmarked Reserves will be made when services can demonstrate that the funding is required for that particular purpose.

6. Revenue Grant Related Reserves

6.1. These reserves relate to the unused element of grant support for which the conditions of the grant are expected to be met. The reserves will be used to meet future years' expenditure for the service for which the grant was awarded.

6.2. These are managed by the Directorates. The reserves will only be released following the Directorate requests being approved by the Section 151 Officer to use funding in line with grant conditions

6.3. The Council holds various Section 106 reserves which were contributed by private companies to improve the local community. The fund must be used for the specific scheme and within the agreed timescale. If funds are not used, they need to be returned back to the contributors.

6.4. In addition, the Council also received Highways PFI grant in advance of required payments. These funds are taken to reserves to be utilised in years when annual maintenance expenditure exceeds the annual Government grant income, in line with the PFI model.

Ringfenced Reserves

- Reserves that are required to be used for specific activities undertaken by the Council with little or no flexibility. These are mainly for schools or for the Housing Revenue Account and cannot be used to support general Council activity. These include:

Schools reserves

- The reserves are the net cumulative balances held by Council maintained schools. Under national school funding regulations, the schools are entitled to retain these balances for unexpected commitments and/or for planned school curriculum/infrastructure improvements and investment

Housing Revenue Account (HRA)

- The HRA is a statutory account, ringfenced from the rest of Council funds, so that rents charged to tenants in respect of dwellings cannot be subsidised from the General Fund. Similarly, rents collected from HRA tenants cannot be used to subsidise the General Fund. The balances on the HRA reflect the accumulated surpluses of income over expenditure

HRA Major Repairs Reserve

- The Council is required by The Accounts and Audit Regulations 2015 to maintain the Major Repairs Reserve. The reserve controls an element of the capital resources required to be used on HRA assets or for capital financing purposes

7. Capital Reserves:

7.1. These are reserves that have been set aside to finance capital schemes and cannot be used to support revenue expenditure without the consent of the Secretary of State. These reserves comprise:

- Capital Receipts Reserve reflects the income received from the disposal of capital assets prior to being used to fund future capital expenditure or for the redemption of debt. Capital receipts cannot be used to fund revenue expenditure except where allowed by statue. The Council will allocate resources from the Capital Receipts Reserve in line with its priorities
- Capital Grants Unapplied reflects the unused element of capital grants or capital contributions awarded to the Council, for which the conditions of the grant support are expected to be met or for which there are no conditions. The reserve will be used to meet future years' capital expenditure in a way which best fits with the Council's priorities

8. Borrowing

8.1. The Council will also face temporary large costs for which ongoing savings are not required, for example, pension fund strain costs. In these instances it is prudent to borrow temporarily from reserves and identify smaller ongoing savings from which to repay the reserves. However, this will only be agreed if there is a clear plan for how repayment can be made.

8.2. Temporary borrowing can be made from general reserves, earmarked reserves, schools reserves and grant related reserves.

8.3. Borrowing is approved by the Council as part of the budget. However amendments can be approved by Cabinet in year.

9. Governance and Review

9.1. The Council recognises the need to hold and maintain adequate reserves that meet the needs of the organisation. However, there is an opportunity cost as a result of the Council allocating resources away from other potential uses. It is therefore critical for the Section 151 Officer to regularly review the purpose and level of reserves.

9.2. All anticipated use of reserves should be understood and recognised as part of the budget setting process and agreed when Council approves the budget.

9.3. Any identified use of, or contribution to, reserves after the budget has been set should be approved by Cabinet or the Section 151 Officer in the case of grant reserves, prior to the budget being changed. Uses should be for specific purposes for which reserves have been set aside and not to address savings non-delivery or budget pressures. Contributions to reserves should be for specific costs expected to be incurred in the future.

9.4. The reserves position is reported monthly as part of the revenue monitoring process. The planned usage of reserves is also included as part of the budget setting process. In addition the level and use of reserves is reported and reviewed during the closedown process.

The reserves policy will be reviewed annually as part of the budget setting process.

APPENDIX C: RISKS

Risk	Mitigation	Existing Reserve/Provision £m	Residual Risk	Maximum Impact over Medium Term Financial Plan £m	Likelihood	Probability weighted medium term potential impact £m
Business Rates income reduced by re-set, non-payment, impact of recession or appeals	The Council has employed a company to identify business rates income not being recorded	20	Company actively identifying companies not recorded on the list and therefore not in current baseline. However, pandemic has caused a backlog to accrue at VAO delaying growth to baseline. Risk will always remain in the current system. Government has announced it will freeze the business states multiplier for 2023/24. Any changes of significant scale would affect the whole of local government and would be highly likely to require government support. Currently government has delayed any change for the near future.	880	2%	18

Risk	Mitigation	Existing Reserve/Provision £m	Residual Risk	Maximum Impact over Medium Term Financial Plan £m	Likelihood	Probability weighted medium term potential impact £m
Council Tax growth and collection rates	Council Tax growth forecasts are based on the Council's approved housing forecasts and plan. Growth has been lowered to reflect the impact of COVID. Assumption that collection rates will climb back up to pre-pandemic rates		Cost of Living Crisis and recession may impact of building and collection rates	21	10%	2
Council Tax collection falls below budgeted levels producing a deficit on the Collection Fund and impact on the following years budget.	The 2022/23 budget includes an increase in collection from 96.6% in 2021/22 to 96.85% in 2022/23. Pre pandemic collection rates were set at 97.1%. So while collection rates are not yet back to pre-pandemic rates they are gradually increasing.		There remains uncertainty around collection in 2022/23.	10	20%	2
Outcome of the Government Spending Review and Relevant Needs and Resources Review	The Government has announced that there will be no spending review in 2022		Risk has been pushed out beyond 2022/23 based on government announcements during 2021, settlement maybe at assumed inflation rate of	51	20%	10

Risk	Mitigation	Existing Reserve/Provision £m	Residual Risk	Maximum Impact over Medium Term Financial Plan £m	Likelihood	Probability weighted medium term potential impact £m
			3.3%, which would be a real terms cut in funding			
Inflation increases at a greater rate than planned.	Generally provided for 5% inflation increase in 2023/24 within the budget on expenditure items. Contracts that run at a higher rate than the general assumption have been provided for separately in MTFP		Risk that inflation is higher than budgeted for and will therefore need to call on the Financial Resilience Reserve for funding.	20	25%	5
There is a risk that short-term and long-term interest rates rise above budgeted forecast	The Council has taken a more prudent view than various commentators over the medium term		If rates (long and short) rise higher than current market forecasts by 1% (100bp)	19	40%	8

Risk	Mitigation	Existing Reserve/Provision £m	Residual Risk	Maximum Impact over Medium Term Financial Plan £m	Likelihood	Probability weighted medium term potential impact £m
The Government has deferred making any decision on the Fair Funding Review and is now considering Local government Funding in a larger context. There remains a risk that the outcome could reduce resources available to Birmingham City Council	The Council has taken a more prudent view and reduced resources from 2025/26		The longer that Government defer the decision, the less likely that there is a residual impact as the time value of money reduces the impact	9	25%	2
There is a risk that the new PWLB lending rules exclude BCC from accessing PWLB borrowing, and BCC will have to borrow from the market at a higher rate	Capital programme investments have been reviewed to ensure they are not primarily for yield. The Financial Plan sets out clearly a policy of not investing primarily for yield. Any acquisitions will be reviewed against PWLB guidance for compliance		Nil	0		0
There is a risk that invested treasury monies are unable to be returned e.g. Icelandic Banks/BCCI	Adoption of up to date treasury management practices, regular monitoring and advice from external advisors		Low risk as continuously monitored. The Treasury Management Strategy and Policy sets limits on deposits with any single counter party	80	5%	4

Risk	Mitigation	Existing Reserve/Provision £m	Residual Risk	Maximum Impact over Medium Term Financial Plan £m	Likelihood	Probability weighted medium term potential impact £m
There is a risk of capital commitments being entered into with revenue implications that are not reflected in the Budget	All capital commitments must go through existing Council governance processes. Due diligence strengthened		These decisions could be agreed without full implications	100	5%	5
There is a risk in not achieving budgeted capital grants or capital receipts to fund commitment capital schemes which results in increased prudential borrowing	Property are required to provide a schedule of disposals and regular updates on progress. A prudent assessment of likely disposals is always assumed		Disposals for 2023/24 may not be achieved either at all or when expected as the market could be flooded with properties listed for sale or recession impacting on sales or market values achievable	40	30%	12
There is a risk that the Capital programme overspends in any one year and additional prudential borrowing is required in the short term	Regular capital monitoring is undertaken, robust budget setting and robust business cases supported by good project delivery.		Due to a history of slippage this risk has a very low likelihood.	20	5%	1
There is a risk of a Cyber-attack that severely disrupts operations or holds the Council to ransom	Investment and resources put into dealing with the cyber threat		The risk remains and other Councils have suffered attacks and financial consequences	40	20%	8

Risk	Mitigation	Existing Reserve/Provision £m	Residual Risk	Maximum Impact over Medium Term Financial Plan £m	Likelihood	Probability weighted medium term potential impact £m
Delivering the savings programme	A fundamental review of all savings proposals has been undertaken, there are some ambitious plans that need to be in place for the 1st April 2022		Not all listed savings will deliver a full year impact in 2022/23, resulting in a need to utilise some of the budget smoothing reserve	30	20%	6
There is a risk of demand pressures in Adult Social Care causing an overspend	Annual demography is built into the budget plus additional social care market inflation. Monthly budget monitoring would identify at an early stage any overspend, and mitigations would be expected		There is a residual risk of an Adults overspend not being contained in one year, although in recent years the service has underspent and delivered its savings target. The ongoing long term impact of Covid on the service is still unknown	80	10%	8
There is a risk of demand pressures in Children's Social Care causing an overspend in the contract payments to BCT as we see a rising number of complex cases	Annual demography is built into the budget plus additional baseline budget sufficiency sum reflected in 22/23 budget refresh. Monthly budget monitoring would identify at an early stage any overspend, and mitigations would be expected		There is a residual risk of a BCT contractual overspend not being contained in one year	20	20%	4

Risk	Mitigation	Existing Reserve/Provision £m	Residual Risk	Maximum Impact over Medium Term Financial Plan £m	Likelihood	Probability weighted medium term potential impact £m
There is a risk that SEND and Travel Assist continue to overspend	Work is underway with a CIPFA review to understand the budget in greater detail, with growth of over £19m built into the budget for 2022/23		Given the ongoing budget review work and demand in this service there is a risk that the growth built into the budget is not enough	20	20%	4
There is a risk based on recent history of City Operations Department not spending within its annual budget	Monthly budget monitoring would identify any overspend and mitigation would be expected.		Given its history of overspending there remains a residual risk in this Directorate.	15	20%	3
There is a risk of Property Services not delivering its income levels budgeted for	The MTFP and Financial Plan have been developed in line with service projections. Monthly budget monitoring would identify any overspend and mitigation would be expected		However, in the current environment income levels could remain difficult to achieve	20	10%	2
There is a risk that the Highways PFI alternative arrangement will cost significantly more than the current budget provision	Re procurement is taking place now and soft market testing is underway. The service is intending to re-procure within existing external funding	200	However there remains a residual risk that the Council could be required to provide additional funding	50	50%	25

Risk	Mitigation	Existing Reserve/Provision £m	Residual Risk	Maximum Impact over Medium Term Financial Plan £m	Likelihood	Probability weighted medium term potential impact £m
Increased Pension Contributions required	The Council agreed a three-year payment plan with the pension fund to repay the pension deficit, beginning 2020/21. Any movements would be incremental from the current agreed recovery plan.			20	25%	5
Impact of COVID 19 - potential additional cost implications	Currently no Government funding for 2022/23 identified. The last Government funding as tranche 5 allocated in early 2022/23. Any unspent monies will be ring fenced and carried forwards to 2022/23	17.5	Costs exceed the remaining funding and fall on the Council's overall budget.	10	10%	1
Impact of Brexit – potential loss of grant income	There still remains some uncertainty over the Governments replacement of European Grant funding.			5	40%	2

Risk	Mitigation	Existing Reserve/Provision £m	Residual Risk	Maximum Impact over Medium Term Financial Plan £m	Likelihood	Probability weighted medium term potential impact £m
Industrial disputes	Continuing discussions through ACAS			6	25%	2
Exceeding the 5% VAT Partial Exemption limit	Appropriate taxation advice is taken before each decision is taken		Appropriate tax advice is not taken at the outset of projects to minimise tax risks and partial exemption limits	40	10%	4
Major Contract disputes	Ensure contracts are operated in accordance with the agreed Terms and Conditions. Earmarked reserves in place to mitigate impacts.			10	10%	1
Successful Equal Pay disputes	Provision has been set aside for outstanding Equal Pay claims.	270		0	0%	0
Total Risk						**144**

70% deflator to reflect not all risks will happen at same time	**43.2**
General Fund Reserve	**38.4**

Risk	Mitigation	Existing Reserve/Provision £m	Residual Risk	Maximum Impact over Medium Term Financial Plan £m	Likelihood	Probability weighted medium term potential impact £m
					Estimated Financial Resilience Reserve balance at 31 March 2023	**52.9**

APPENDIX D: PRESSURES

Ref	Description	Type of Pressure	Categorisation	2023/24 £m	2024/25 £m	2025/26 £m	2026/27 £m
	Council Management						
C12	Rebase budget from 2023/24 for cessation of contribution to CWG Organising Committee	Existing	Invest to Save	(37.342)	(37.342)	(37.342)	(37.342)
CRP001	Rebase budget for 2023/24 for cessation of CWG Project Team costs	Existing	Growth	(3.094)	(3.094)	(3.094)	(3.094)
FGP003	Reduction in commercial activity relating to the schools catering element of Cityserve	Existing	Growth	0.215	0.215	0.215	0.215
CM03-23	Investment in People Services operating model (per Cabinet approval)	Existing	Growth	0.634	0.088	0.168	0.258
CM09-23	Rebase budget from 2023/24 to reflect one off requirement in prior period for Use of Policy Contingency Reserve- Finance Interims	Existing	Time limited resources	(0.750)	(0.750)	(0.750)	(0.750)
CM10-23	Rebase budget from 2023/24 to reflect short term requirement in prior period for funding for Delivery Plan New Ways of Working (per Cabinet approval)	Existing	Invest to Save	(3.715)	(3.715)	(3.715)	(3.715)
FG05-22	Rebase budget from 2023/24 to remove temporary support to advertising market previously provided as a Covid relief	Existing	Other	(0.371)	(0.371)	(0.371)	(0.371)
CRP007	Rebase budget from 2023/24 to remove budget for Enhanced operations for Commonwealth Games	Existing	Growth	(10.000)	(10.000)	(10.000)	(10.000)
CM08-23	Rebase budget for Operational Hubs non delivery of savings in 2021/22	Existing	COVID	(0.161)	(0.161)	(0.161)	(0.161)
CM01-23	Loan repayment (ITS) repayment for ICT	Existing	Invest to Save	0.000	0.000	0.472	0.976

Ref	Description	Type of Pressure	Categorisation	2023/24 £m	2024/25 £m	2025/26 £m	2026/27 £m
D01-22	Universal Credit is continuing to roll out, meaning that most working age people who would have claimed help for their housing costs through Housing Benefit, now claim this through the DWP/Universal Credit. Funding is needed to protect the Service from a reduction in funding for Housing Benefit work and ensure that citizens continue to receive their entitlement in a timely manner	Existing	Changes in legislation or regulation	0.500	0.900	0.900	0.900
D02-22	Rebase budget from 2023/24 to remove temporary support to improve the Council's performance in managing complaints	Existing	Time limited resources	(1.200)	(1.200)	(1.200)	(1.200)
D03-22	Rebase budget from 2023/24 to reduce budget requirement in Cyber Security investment keeps pace with the changing threat landscape	Existing	Changes in legislation or regulation	(0.722)	(0.722)	(0.722)	(0.722)
F03	Rephasing of Invest to Save costs and planned repayments for implementation of new HR & Finance system	Existing	Invest to Save	(0.015)	0.087	0.158	0.098
CM01-24	Oracle costs	New	Growth	1.500	1.500	1.500	1.500
C02-24	Revenue costs associated with Capital Projects	New	Growth	1.444	1.342	1.271	1.331
	Total Council Management Pressures			**(53.077)**	**(53.223)**	**(52.671)**	**(52.077)**

	Strategy, Equalities & Partnerships						
PPP001	Service review to expand existing team to meet service demand and ensure compliance with Equality Act	Existing	Changes in legislation or regulation	0.014	0.014	0.014	0.014
SEP01-24	Ongoing revenue implications of approved capital programmes: City Centre Public Realm hostile vehicle measures maintenance costs	New	Growth	0.415	0.415	0.415	0.415
	Total Strategy, Equalities & Partnerships Pressures			**0.429**	**0.429**	**0.429**	**0.429**

Ref	Description	Type of Pressure	Categorisation	2023/24 £m	2024/25 £m	2025/26 £m	2026/27 £m
	City Operations						
N01	Sports & Leisure Service - continue with corporate support	Existing	Time limited resources	(0.023)	(0.047)	(0.070)	(0.252)
NEP002	Pressures within the Markets service relating to the Indoor Market - continuation of support	Existing	Time limited resources	0.110	0.110	0.110	0.110
NEP011	Moseley Road Baths - reduction in budget for ongoing maintenance requirements	Existing	Time limited resources	(0.025)	(0.025)	(0.025)	(0.025)
NEP023	Budget reduction related to prior years additional hire and repairs & maintenance of Fleet vehicles in the Waste Management Service	Existing	Time limited resources	(1.500)	(1.500)	(1.500)	(1.500)
NEP028	Increased cost of the Coroners Service	Existing	Demography	0.090	0.090	0.090	0.090
NEP038	Reinstatement of the Major Events Budget	Existing	Growth	0.250	0.250	0.250	0.250
SEP01-23	Ongoing revenue implications of approved capital programmes: City Centre Public Realm hostile vehicle measures maintenance costs	Existing	Other	0.040	0.040	0.040	0.040
CO01-23	Waste Service contract increase	Existing	Growth	0.000	4.500	4.500	4.500
CO04-23	Rebase budget from 2023/24 to remove one off budget for Cleaner Streets	Existing	Growth	(4.100)	(4.100)	(4.100)	(4.100)
CO06-23	Rebase budget from 2023/24 to remove one off budget for Street scene initiatives	Existing	Growth	(0.803)	(0.803)	(0.803)	(0.803)
NE04-22	Rebase budget to reduce Markets budget	Existing	Covid	0.000	(0.152)	(0.152)	(0.152)
NE01-22	Rebase budget from 2023/24 to remove temporary support for waste procurement project external legal advice	Existing	Time limited resources	(0.165)	(0.165)	(0.165)	(0.165)
CO03-24	Private Rented Sector Strategy	New	Growth	0.238	0.238	0.238	0.238
CO05-24	Coroners	New	Growth	0.300	0.300	0.300	0.300
CO07-24	Enforcement of Private High Rise Cladding Remediation	New	Growth	0.060	0.060	0.060	0.060
CO08-24	Street scene initiatives	New	Growth	4.846	5.596	5.596	5.596
CO09-24	Bereavement fees	New	Other	0.560	0.560	0.560	0.560
	Total City Operations Pressures			**(0.122)**	**4.952**	**4.929**	**4.747**

Ref	Description	Type of Pressure	Categorisation	2023/24 £m	2024/25 £m	2025/26 £m	2026/27 £m
	City Housing						
CH01-23	Rebase budget from 2023/24 to reduce budget for Temporary accommodation demand pressure	Existing	Time limited resources	(0.400)	(0.400)	(0.400)	(0.400)
CH01-24	Housing funding for 2022/23 be funded from Invest to Deliver Reserve	New	Invest to Save	0.240	0.240	0.240	0.240
CH02-24	Additional short term budget for temporary accommodation	New	Growth	5.400	0.000	0.000	0.000
	Total City Housing Pressures			**5.240**	**(0.160)**	**(0.160)**	**(0.160)**
	Place, Prosperity & Sustainability						
IGP07	Rebase budget from 2023/24 to remove budget for fixed four-year programme for Health & Safety Compliance in the Corporate Estate	Existing	Time limited resources	0.000	(1.250)	(1.250)	(1.250)
CMD02-23	Rebase budget from 2023/24 to reduce Route to zero short term base budget as this moves to self financing	Existing	Changes in legislation or regulation	(0.956)	(0.956)	(0.956)	(0.956)
IG05-22	Increase in budget in line with growth in WMCA Transport Levy	Existing	Other	1.409	3.409	3.409	3.409
G04	Rephasing of saving InReach Housing Programme (saving MYR4/HN11/SN40)	Existing	Non-delivery	(0.018)	0.194	0.240	0.249
G05/IGP16	Rephasing implementation of Council Administrative Buildings saving C26 16+	Existing	Non-delivery	(0.890)	(0.890)	(0.890)	(0.890)
IGP10	Invest to Save resources and subsequent repayment for specialist support linked to development of the Workplace Parking Levy	Existing	Invest to Save	(1.275)	(0.360)	(0.360)	(0.360)
	Total Place, Prosperity & Sustainability Pressures			**(1.730)**	**0.147**	**0.193**	**0.202**
	Children & Families						
ES01-23	Home to School Transport service increased costs and demand	Existing	Growth	16.047	16.047	16.047	16.047

Ref	Description	Type of Pressure	Categorisation	2023/24 £m	2024/25 £m	2025/26 £m	2026/27 £m
ES02-23	SEN Assessment and Review (SENAR) service and Home to Schools Transport Service additional budget for statutory functions	Existing	Time limited resources	5.848	4.183	3.576	3.576
ES03-23	Early Help programme	Existing	Time limited resources	0.900	0.900	(7.100)	(7.100)
ES06-22	Rebase budget from 2023/24 to remove one year funding for Library of Birmingham maintenance	Existing	Time limited resources	(1.100)	(1.100)	(1.100)	(1.100)
ES04-23	Birmingham Children's Trust demographic growth	Existing	Demography	3.000	6.500	10.000	13.500
CF01-24	Commissioning	New	Growth	0.661	0.500	0.500	0.500
CF02-24	Workforce Development	New	Growth	0.465	0.403	0.403	0.403
CF03-24	Performance, Business & Commissioning Intelligence	New	Growth	0.307	0.278	0.278	0.278
CF04-24	Strategic Governance & Planning	New	Growth	1.073	0.960	0.960	0.960
CF05-24	Pupil Safeguarding (including Exclusions, Pupil Tracking & Attendance)	New	Growth	1.650	1.492	1.492	1.492
CF06-24	Transformation - Directorate	New	Growth	0.250	0.000	0.000	0.000
CF07-24	Transformation - Youth Service	New	Growth	0.250	0.000	0.000	0.000
CF08-24	Transformation - Library Service	New	Growth	0.250	0.000	0.000	0.000
CF09-24	BCT case complexity and market management	New	Growth	20.000	20.000	20.000	20.000
CF10-24	Vulnerable Children	New	Growth	1.376	1.376	1.376	1.376
CF11-24	Education & Early Years	New	Growth	0.970	0.970	0.970	0.970
CF12-24	Travel Service	New	Growth	4.824	4.824	4.824	4.824
CF13-24	Commissioning, Performance, Improvement & Governance Activities	New	Growth	0.085	0.085	0.085	0.085
CF14-24	World of Work and the Youth Employment Initiative- temporary budget to cover winding down as grant ceases	New	Time limited resources	1.980	0.531	0.000	0.000
	Total Children & Families Pressures			**58.836**	**57.949**	**52.311**	**55.811**

	Adult Social Care						

Ref	Description	Type of Pressure	Categorisation	2023/24 £m	2024/25 £m	2025/26 £m	2026/27 £m
AD01-23	Rebase budget from 2023/24 to remove budget for short term staffing capacity in Financial Assessments Team to carry out financial assessments of those customers who received social care support following hospital discharge during the Covid pandemic	Existing	COVID	(0.026)	(0.026)	(0.026)	(0.026)
AD03-23	Adults transformation programme	Existing	Invest to Save	0.000	0.100	0.000	0.000
C09	Adult Social Care Packages - Demography	Existing	Demography	9.491	17.991	26.491	34.991
AD02-23	Market Sustainability and Fair Cost of Care Fund	Existing	Changes in legislation or regulation	(3.780)	(3.780)	(3.780)	(3.780)
AD01-24	ASC Market Sustainability and Improvement Fund	New	Changes in legislation or regulation	13.114	13.114	13.114	13.114
AD02-24	ASC Discharge Fund	New	Changes in legislation or regulation	9.522	9.522	9.522	9.522
AD03-24	ASC Funding Pressure- Provider Fess funded from the Social Care Grant	New	Growth	5.400	5.400	5.400	5.400
	Total Adult Social Care Pressures			**33.721**	**42.321**	**50.721**	**59.221**

	CORPORATE						
CRP002	Revenue costs associated with Capital Projects	Existing	Capital	2.084	2.084	2.084	2.084
C01	Highways Infrastructure Maintenance	Existing	Demography	0.250	0.500	0.750	1.000
C02-23	Change in historic Business Transformation Costs and Repayments	Existing	Other	0.974	1.002	1.029	1.057
C04	Apprenticeship Levy	Existing	Other	0.044	0.091	0.139	0.189
C10	Reversal of temporary funding for essential repairs at the Council House	Existing	Time limited resources	(1.000)	(1.000)	(1.000)	(1.000)
C05-23	Contingency for future growth	Existing	Growth	5.000	5.000	5.000	5.000
C04-23	Transport - Funding for Young People	Existing	Growth	(1.228)	(1.228)	(1.228)	(1.228)
C05	Pension Fund Costs	Existing	Pension Fund	0.103	0.278	0.414	0.638
C02-22	Non delivery of FGS003 - Contract Savings	Existing	Non-delivery	(0.120)	(0.220)	(0.220)	(0.220)
CR010	Corporate Landlord Reprofile	Existing	Time limited resources	1.500	1.500	2.000	0.000
C05-23	Contingency for future growth	Existing	Growth	(2.969)	(2.969)	(2.969)	(2.969)

Ref	Description	Type of Pressure	Categorisation	2023/24 £m	2024/25 £m	2025/26 £m	2026/27 £m
C01-24	West Midlands Strategic Migration Partnership	New	Time limited resources	0.015	0.000	0.000	0.000
C03-24	Pension Triennial Review - Pension Contributions	New	Pension Fund	(21.641)	(21.816)	(21.952)	(22.176)
C04-24	Members priority allocation	New	Growth	(2.031)	(2.031)	(2.031)	(2.031)
	Total Corporate Pressures			**(19.019)**	**(18.809)**	**(17.984)**	**(19.656)**

	Total Budget Pressures			**24.278**	**33.606**	**37.768**	**48.517**

APPENDIX E: SAVINGS

Description	New or Existing Saving	Income Generation or Expenditure Reduction	2023/24 £m	2024/25 £m	2025/26 £m	2026/27 £m
Adult Social Care						
ASC001 23+ Adults Transformation Programme Savings from reducing demand for care services through building preventative and community models to provide low level, early interventions to help people live independently with minimal statutory support needed. At the programme's core is a strengths-based approach to adult social care provision, focussing on how individuals can lead fulfilling lives and filling in the gaps with support, rather than providing blanket support which invariably results in loss of independence and fulfilment. There are a range of initiatives included, (eg increased use of home adaptations, reenabling, review of complex care packages focusing on preparation for adulthood etc.), to ensure all levels and types of need, and all age groups, can be supported in this new way.	Existing	Expenditure reduction	(3.700)	(8.900)	(8.900)	(8.900)
ASC004 23+ Income Collection A review of historic joint funding and joint commissioning arrangements will result in a one-off increase in recognised income to the Council through reducing the amount needing to be held aside as contingency for bad or incorrect debt.	Existing	Expenditure reduction	1.000	1.000	1.000	1.000
CC002 Efficiency Target - Adults rescheduling of BT repayment	Existing	Expenditure reduction	1.000	1.000	1.000	1.000
ASC001 24 3% Turnover factor (Vacancy management)	New	Expenditure reduction	(2.850)	(2.850)	(2.850)	(2.850)

Description	New or Existing Saving	Income Generation or Expenditure Reduction	2023/24 £m	2024/25 £m	2025/26 £m	2026/27 £m
ASC002 24 Special Impact team (SIT) complex case review accelerated and expanded to cover high cost packages	New	Expenditure reduction	(0.500)	(0.500)	(0.500)	(0.500)
ASC003 24 Case load packages Review	New	Expenditure reduction	(0.200)	(0.200)	(0.200)	(0.200)
ASC004 24 Looking at ways to enhance ICS/CCG partnership to harness pooled resources more efficiently eg BCF Inflation	New	Expenditure reduction	(1.000)	0.000	0.000	0.000
Total Adult Social Care savings			(6.250)	(10.450)	(10.450)	(10.450)

Council Management						
CM003 23+ Digital advertising on key assets • The Council owns a number of assets at strategic locations and there is a clear opportunity to generate additional income that can be reinvested into vital services for residents.	Existing	Income Generation	(0.200)	(0.200)	(0.200)	(0.200)
CM004 23+ Customer Services • The customer service strategy was approved by Cabinet in December 2021 and we will make immediate improvements in some specific areas to deliver savings in the next 12-18months • Some of the initial changes will update IT systems, introduce greater automation and improve administration capacity within services such as bereavement, waste services and the contact centre to allow greater efficiencies and income generation through those services	Existing	Expenditure reduction	(0.600)	(0.900)	(1.300)	(1.300)

Description	New or Existing Saving	Income Generation or Expenditure Reduction	2023/24 £m	2024/25 £m	2025/26 £m	2026/27 £m
DCS011 20+ Application platform modernisation The Application Platform Modernisation (APM) Portfolio has been established to exit the Capita data centres, upgrade the existing infrastructure and bring the Council back onto supported infrastructure and software platforms. In addition, the APM programme will be introducing modern management tooling in order to streamline the operational delivery of infrastructure and application services. This proposal supports the delivery of the ICT & Digital Strategy and is part of an invest to save initiative to support the transition of services from Capita. There is a full business case already approved which covers all the capital and revenue costs. Some changes to the savings approach reported in Dec 2019, but numbers remain unchanged.	Existing	Expenditure reduction	(0.011)	(0.011)	(0.011)	(0.011)
EC103B 19+ Operational Hub Programme This proposal will result in the effective utilisation of the Council's operational property assets through the creation of a portfolio of fit for purpose public sector hubs and rationalise unsuitable, under-utilised and expensive to operate buildings. Links to pressure G09	Existing	Expenditure reduction	(0.161)	(0.215)	(0.215)	(0.215)
CM001 24 3% Turnover factor (Vacancy management)	New	Expenditure reduction	(4.265)	(4.265)	(4.265)	(4.265)
CM002 24 Review all BCC leased properties	New	Expenditure reduction	(0.460)	(0.460)	(0.460)	(0.460)
CM003 24 System Efficiencies	New	Expenditure reduction	(0.600)	(1.600)	(2.000)	(2.000)

Description	New or Existing Saving	Income Generation or Expenditure Reduction	2023/24 £m	2024/25 £m	2025/26 £m	2026/27 £m
CM004 24 Development & Commercial - Digital advertising income and offer up of growth	New	Income Generation	(0.060)	(0.060)	(0.060)	(0.060)
CM005 24 Procurement - 2020/21 Expenditure Budget covered by funding	New	Expenditure reduction	(0.106)	(0.106)	(0.106)	(0.106)
CM006 24 Audit - increase trading opportunities with Police, Housing Associations and Acivico	New	Income Generation	(0.060)	(0.060)	(0.060)	(0.060)
CM007 24 Finance - refinancing legacy systems	New	Expenditure reduction	(0.700)	(0.700)	(0.700)	(0.700)
CM008 24 Personal Assistant Allocation - review use of Personal Assistant Support	New	Expenditure reduction	(0.200)	(0.200)	(0.200)	(0.200)
CM009 24 Business Support Efficiencies	New	Expenditure reduction	(0.050)	(0.050)	(0.050)	(0.050)
CM010 24 Customer Services Efficiencies	New	Expenditure reduction	(0.050)	(0.050)	(0.050)	(0.050)
CM011 24 Review Human Resources Target Operating Model - reduce posts that are vacant	New	Expenditure reduction	(0.170)	(0.170)	(0.170)	(0.170)
CM012 24 Human Resources reduce growth request in Medium Term Financial Plan (MTFP)	New	Expenditure reduction	(0.113)	(0.113)	(0.113)	(0.113)
Total Council Management			(7.806)	(9.160)	(9.960)	(9.960)
Children & Families						

Description	New or Existing Saving	Income Generation or Expenditure Reduction	2023/24 £m	2024/25 £m	2025/26 £m	2026/27 £m
ES001 23+ Education & Skills – Improved management of Private Finance Initiative (PFI) contract Reduced costs as a result of improved management of the contract	Existing	Expenditure reduction	0.000	(1.074)	(1.224)	(1.224)
ES002 23+ Children's Trust – Family and Friends Care This opportunity focuses on Family & Friends placement finding for every child at risk of need for a care placement. The default position should be to implement an assessment based on legal premise that every child should be able to live with a family member if they cannot live with their parents (Children Act 1989). Placing children with family and friends' carers is believed to provide better outcome for children in care and also represents a cost effective option.	Existing	Expenditure reduction	(2.000)	(2.000)	(2.000)	(2.000)
ES003 23+ Children's Trust – Stronger Families Programme This opportunity further develops the ground-breaking Stronger Families programme developed by the Trust through reallocating existing resources. Further reach and expansion of the programme will yield savings through prevention of family breakdown and avoidance of the need for care. Expansion of the programme includes Family Group Conferencing; Edge of Care; Multi-Systemic Therapy; Safer Families; Lifelong Links; Breaking the Cycle; Reunification Project.	Existing	Expenditure reduction	(3.000)	(3.000)	(3.000)	(3.000)
ES004 23+ Children's Trust – Tackling Domestic Abuse to Support Families Introducing greater multi-disciplinary focus in the social work teams to enable greater risk management and support to children and families in the community. The Children's Trust has invested in deploying a small number of Domestic Abuse specialists to work alongside social workers and this is already showing positive benefit in terms of assessment, risk	Existing	Expenditure reduction	(1.000)	(1.000)	(1.000)	(1.000)

Description	New or Existing Saving	Income Generation or Expenditure Reduction	2023/24 £m	2024/25 £m	2025/26 £m	2026/27 £m
management and support, diverting families where appropriate from higher-tariff intervention (Child Protection, Care etc). Increased capacity will increase the reach and enable further diversion and prevention and enable the Trust to broaden the specialist advice to include Adult Mental Health and substance misuse.						
ES005 23+ Schools Balances - Saving associated with the repayment of borrowing from schools reserves to fund the historic Children, Young People and Families business Transformation Programme. This repayment period is coming to an end and will generate savings of £272k in 2022/23.	Existing	Expenditure reduction	(0.328)	(0.328)	(0.328)	(0.328)
ES007 23+ Education and Skills Early retirements - Saving resulting from the reducing cost of pensions	Existing	Expenditure reduction	(0.210)	(0.420)	(0.630)	(0.630)
CF001 24 3% Turnover factor (Vacancy management)	New	Expenditure reduction	(1.921)	(1.921)	(1.921)	(1.921)
CF002 24 Undertake fundamental review of the Youth Service and reshape services accordingly, hold back £350k for targeted support	New	Expenditure reduction	0.000	(1.336)	(1.336)	(1.336)
CF003 24 Undertake fundamental review of the Careers Service and reshape service accordingly	New	Expenditure reduction	0.000	(0.700)	(0.700)	(0.700)
CF004 24 Rationalise Libraries operating model to incorporate learning from Early Intervention pilot	New	Expenditure reduction	0.000	(1.700)	(1.700)	(1.700)
Total Children & Families			(8.459)	(13.479)	(13.839)	(13.839)

Description	New or Existing Saving	Income Generation or Expenditure Reduction	2023/24 £m	2024/25 £m	2025/26 £m	2026/27 £m
Place, Prosperity and Sustainability						
CMD001 23+ CAB Premises - excluding Council House Reduced costs associated with Council Admin Buildings (excluding Lancaster Circus as already accounted for as part of New Ways of Working) and Council House (see CMD002). Saving from operating costs when the buildings are decommissioned and reduced council borrowing by using capital receipts to repay debt following sale.	Existing	Expenditure Reduction	(2.431)	(3.113)	(3.113)	(3.113)
CMD002 23+ CAB Premises - Council House Commercialisation Income generation through improved commercial offer including banqueting and events.	Existing	Expenditure Reduction	(0.050)	(0.100)	(0.150)	(0.150)
CMD003 23+ Commercial Property - Lease Event Opportunities Review of commercial property leases – includes rent reviews and extension options	Existing	Income Generation	(0.600)	(0.600)	(0.600)	(0.600)
CMD004 23+ Commercial Property - Active Investment Additional income through investment in Public Works Loan Board (PWLB) compliant commercial property	Existing	Income Generation	(2.250)	(2.250)	(2.250)	(2.250)
CMD005 23+ Commercial Property - Blended Approach Investment and Lease Events Additional income generated through a combination of lease reviews and investment as per CMD003 and CMD004 above	Existing	Income Generation	(2.500)	(7.500)	(12.500)	(12.500)
CMD006 23+ Net Returns from Commercial Development Additional income through development opportunities on existing City Council land	Existing	Income Generation	0.000	0.000	(4.800)	(4.800)

Description	New or Existing Saving	Income Generation or Expenditure Reduction	2023/24 £m	2024/25 £m	2025/26 £m	2026/27 £m
CMD011 23+ Solar Panels Wind Farm Income generated from the use of appropriate sites as locations for the generation and sale of renewable energy	Existing	Income Generation	0.000	(0.200)	(0.200)	(0.200)
CO003 Street Work Permits - moved directorate	Existing	Expenditure reduction	0.100	0.100	0.100	0.100
PPS001 24 3% Turnover factor (Vacancy management)	New	Expenditure reduction	(0.666)	(0.666)	(0.666)	(0.666)
PPS002 24 Review all £5-10k leases	New	Expenditure reduction	(0.150)	(0.300)	(0.300)	(0.300)
Total Place, Prosperity & Sustainability savings			(8.547)	(14.629)	(24.479)	(24.479)

City Operations						
CO009 23+ Capitalise salaries to Alexander Stadium build in line with activity being undertaken	Existing	Expenditure reduction	0.040	0.040	0.040	0.040
CO010 23+ Revenue benefit from capitalising the cost of the indoor track at Arena	Existing	Expenditure reduction	0.150	0.150	0.150	0.150
SN21 16+ Removal of universal Superloos The saving will be achieved from the gradual expiry of the current external contracts for the provision of public conveniences in some specific locations in the city.	Existing	Expenditure reduction	(0.019)	(0.073)	(0.107)	(0.136)
CO003 Street Work Permits	Existing	Expenditure reduction	(0.100)	(0.100)	(0.100)	(0.100)

Description	New or Existing Saving	Income Generation or Expenditure Reduction	2023/24 £m	2024/25 £m	2025/26 £m	2026/27 £m
CO001 24 3% Turnover factor (Vacancy management)	New	Expenditure reduction	(3.307)	(3.307)	(3.307)	(3.307)
CO002 24 Street Scene - remove Driver Training School	New	Expenditure reduction	0.000	(0.074)	(0.074)	(0.074)
CO003 24 Street Scene - Corporate health and safety pick up the safety advice for the service	New	Expenditure reduction	0.000	(0.056)	(0.056)	(0.056)
Total City Operations savings			(3.236)	(3.420)	(3.454)	(3.483)

City Housing						
CH001 23+ Increase Shelforce Income Increased sale of, and new model of delivery of, Fire Doors to housing, This will generate increased income to the Council's internal fixtures supplier. This is a beneficial by-product of the requirement to supply greater numbers of these products and not primarily driven by the savings programme	Existing	Income Generation	0.000	(0.200)	(0.200)	(0.200)
CH003 23+ Reducing / Eradicating B&B Accommodation The Council will take a two-fold approach to removing the reliance on bed and breakfast as temporary accommodation. Firstly, a focus on prevention and outreach work will reduce the demand for temporary accommodation through working with families and individuals before they are on the cusp of eviction/homelessness. Recognising that this preventative approach will take a while to impact on referrals, and that there will always be a level of need for temporary accommodation, the second part of the programme aims to increase capacity in alternative accommodation, including the development of hostel accommodation	Existing	Expenditure reduction	(5.500)	(8.900)	(8.900)	(8.900)

Description	New or Existing Saving	Income Generation or Expenditure Reduction	2023/24 £m	2024/25 £m	2025/26 £m	2026/27 £m
in surplus council properties and sourcing alternative properties for temporary accommodation use. .						
CH001 24 3% Turnover factor (Vacancy management)	New	Expenditure reduction	(0.502)	(0.502)	(0.502)	(0.502)
Total City Housing			(6.002)	(9.602)	(9.602)	(9.602)

Strategy, Equalities & Partnerships						
SEP001 24 3% Turnover factor (Vacancy management)	New	Expenditure reduction	(0.116)	(0.116)	(0.116)	(0.116)
SEP002 24 Efficiencies amongst non-staffing budgets	New	Expenditure reduction	(0.050)	(0.050)	(0.050)	(0.050)
Total Strategy, Equalities & Partnerships			(0.166)	(0.166)	(0.166)	(0.166)

Corporate						
CMD007 23+ Repayment of borrowing following asset disposal resulting in reduced debt management costs	Existing	Expenditure Reduction	4.500	4.500	4.500	4.500

Description	New or Existing Saving	Income Generation or Expenditure Reduction	2023/24 £m	2024/25 £m	2025/26 £m	2026/27 £m
CO001 23+ Release Highways policy contingency for one year Sums identified for Highways in Policy contingency have been released as surplus to requirement	Existing	Expenditure Reduction	0.800	0.800	0.800	0.800
CO002 23+ Localities / Public Hub The creation of a public hub will provide a community hub infrastructure capable of responding early to the needs of citizens, connecting them to wider assets and resources within the locality and across the city while also making it easier for community, voluntary and public sector organisations to participate and access resources. The hub infrastructure will also allow the Council to rationalise internal resources used in the provision of early help. * This saving will be allocated to departments in year	Existing	Expenditure Reduction	(2.500)	(2.500)	(2.500)	(2.500)
CO005 23+ BCC Target Operating Model Design Principles - Voluntary workforce savings programme Specific groups of staff will be given the opportunity to reduce hours or retire early; this will drive rapid change in services and reduce the pay bill which is almost half of BCC net budget. * This saving will be allocated to departments in year	Existing	Expenditure Reduction	(2.000)	(2.000)	(2.000)	(2.000)
CO006 23+ Maximise the use of grant funding • We will look at the use of grants and other non general fund sources to ensure most effective use of those resources particularly to fund core Council activity * This saving will be allocated to departments in year	Existing	Income Generation	(1.000)	(2.000)	(3.000)	(3.000)

Description	New or Existing Saving	Income Generation or Expenditure Reduction	2023/24 £m	2024/25 £m	2025/26 £m	2026/27 £m
CO007 23+ Improvements in Debt Management • Review Enforcement Agent arrangements across the Council with a view to undertaking 'in house' activity where it is appropriate to do so' • We will be reviewing our debt management policy with a view to improving collection of money owed to the Council and reducing the level of bad debt and associated bad debt provision at year end * This saving will be allocated to departments in year	Existing	Income Generation	(0.900)	(1.400)	(1.900)	(1.900)
CO008 23+ Traded services • A number of services generate a fee in return for services provided to both internal and external clients • In a commercial setting most of these services would at minimum be expected to breakeven and be cost neutral to the Council • Some of these traded services still receive a subsidy from the general fund and in the current context this needs to be reviewed with a view to ensuring fees charged for these services cover the full cost of providing these services * This saving will be allocated to departments in year	Existing	Expenditure Reduction	(1.500)	(3.500)	(6.400)	(6.400)
CO010 23+ Corporate Landlord • Rationalisation of Council assets and consolidation of the budgets and resources that manage these assets to enable better use of assets and greater cost efficiencies to be realised. * This saving will be allocated to departments in year	Existing	Expenditure Reduction	(1.500)	(2.500)	(4.500)	(4.500)

Description	New or Existing Saving	Income Generation or Expenditure Reduction	2023/24 £m	2024/25 £m	2025/26 £m	2026/27 £m
CO011 23+ Automation • A number of opportunities for automating business processes have been identified across the Council and some have already implemented. • There is considerable scope to reduce cost and improve efficiency through greater automation and we are putting in place a process to identify and roll out further process automation. * This saving will be allocated to departments in year	Existing	Expenditure Reduction	(1.000)	(2.000)	(3.000)	(3.000)
COR001 24 Reducing Workforce	New	Expenditure Reduction	(1.791)	(2.388)	(2.388)	(2.388)
COR002 24 Automation	New	Expenditure Reduction	(1.500)	(3.100)	(4.700)	(4.700)
Total Corporate savings			(8.391)	(16.088)	(25.088)	(25.088)

Total savings			(48.857)	(76.994)	(97.038)	(97.067)

APPENDIX F: COUNCIL TAX

	City Council £m	Fire and Rescue Authority £m	West Midlands Police & Crime Commissioner £m	New Frankley in Birmingham Parish Precept £m	Royal Sutton Coldfield Town Precept £m
City Council Net Budget	925.078				
Less: Business Rates and Top-Up Grant	(480.166)				
Equals: amount required from Collection Fund	**444.912**				
Plus: estimated deficit in Collection Fund	(15.753)				
Equals: amount required from Council Tax payers	**429.159**	**19.222**	**53.324**	**0.060**	**1.859**
Divided by taxbase (Band D equivalent properties)	263,262	263,262	263,262	1,373	37,218
Equals: Band D Council Tax *	**1,630.16**	**73.02**	**202.55**	**43.52**	**49.96**
Percentage Change in each element of Council Tax	4.99%	7.33%	8.00%	23.68%	0.00%
Total Band D Council Tax			**1,905.73**	**1,949.25**	**1,955.69**

* The Council Tax attributable to the Council includes a 2% precept to fund adult social care.

					New Frankley in Birmingham		Royal Sutton Coldfield	
Band	**City Council £**	**Fire and Rescue Authority £**	**West Midlands Police & Crime Commissioner £**	**Total excl. Parish Precept £**	**Parish Precept £**	**Parish Total £**	**Town Precept £**	**Town Total £**
A	1,086.77	48.68	135.03	1,270.48	29.02	1,299.50	33.31	1,303.79
B	1,267.90	56.79	157.54	1,482.23	33.85	1,516.08	38.86	1,521.09
C	1,449.03	64.91	180.04	1,693.98	38.69	1,732.67	44.41	1,738.39
D	**1,630.16**	**73.02**	**202.55**	**1,905.73**	**43.52**	**1,949.25**	**49.96**	**1,955.69**
E	1,992.42	89.24	247.56	2,329.22	53.19	2,382.41	61.06	2,390.28
F	2,354.68	105.46	292.57	2,752.71	62.86	2,815.57	72.16	2,824.87
G	2,716.93	121.70	337.58	3,176.21	72.54	3,248.75	83.27	3,259.48
H	3,260.32	146.03	405.10	3,811.45	87.04	3,898.49	99.92	3,911.37

APPENDIX G: REVENUE

Gross Expenditure	2022/23 Budget £m	2023/24 Budget £m
Directorate		
Adult Social Care	505.294	570.266
City Housing	62.264	64.045
Place, Prosperity and Sustainability	149.76	132.266
City Operations	356.937	360.799
Council Management	768.943	643.22
Children & Families	1,406.64	1,348.95
Strategy Equalities and Partnerships	108.346	100.387
Total Directorate Expenditure	**3,358.19**	**3,219.93**
Corporately Managed Budgets	236.872	242.201
Contingencies	18.636	0.778
Total Expenditure on Services	**3,613.69**	**3,462.91**
Corporate Contribution to Reserves	(33.627)	49.119
Corporate Repayment of Borrowing from Reserves	8.254	0
Total General Fund Expenditure	**3,588.32**	**3,512.03**
Housing Revenue Account	287.738	303.594
Total Gross Expenditure	**3,876.06**	**3,815.62**

Gross Income	2022/23 Budget £m	2023/24 Budget £m
Directorate		
Adult Social Care	(147.550)	(167.190)
City Housing	(46.895)	(48.710)
Place, Prosperity and Sustainability	(87.916)	(78.768)
City Operations	(164.255)	(161.741)
Council Management	(675.731)	(605.835)
Children & Families	(1,077.053)	(947.039)
Strategy Equalities and Partnerships	(105.093)	(93.464)
Total Directorate Income	**(2,304.493)**	**(2,102.746)**
Corporately Managed Budgets	(119.807)	(105.324)
Contingencies	(7.230)	(0.756)
Corporate Grants	(310.360)	(334.487)
Total Income from Services	**(2,741.890)**	**(2,543.313)**
Corporate Contribution/Use of Reserves	(61.632)	(43.637)
Corporate Repayment of Borrowing from Reserves	(25.567)	0.000
Total General Fund Income	**(2,829.089)**	**(2,586.950)**
Housing Revenue Account	(287.738)	(303.594)
Total Gross Income	**(3,116.827)**	**(2,890.544)**

Net Expenditure	2022/23 Budget £m	2023/24 Budget £m
Directorate		
Adult Social Care	357.744	403.076
City Housing	15.369	15.335
Place, Prosperity and Sustainability	61.844	53.498
City Operations	192.682	199.057
Council Management	93.212	37.385
Children & Families	329.589	401.909
Strategy Equalities and Partnerships	3.253	6.923
Total Directorate Net Expenditure	**1,053.693**	**1,117.184**
Corporately Managed Budgets	117.065	136.877
Contingencies	11.406	0.022
Corporate Grants	(310.360)	(334.487)
Total Net Expenditure on Services	**871.804**	**919.596**
Corporate Use of Reserves	(95.259)	5.482
Corporate Net Borrowing from Reserves	(17.313)	0.000
Total General Fund Budget	**759.232**	**925.078**
Housing Revenue Account	0.000	0.000
City Council Budget	**759.232**	**925.078**

Analysis of Change

Directorate	Base Budget 2022/23 £m	Pay & Price Inflation £m	Budget Pressures & Policy Choices £m	Savings £m	Other items, incl. adjustments between Directorates £m	Base Budget 2023/24 £m
Strategy, Equalities & Partnerships	3.253	0.242	0.429	(0.166)	3.165	6.923
Council Management	93.212	7.619	(53.077)	(7.806)	(2.563)	37.385
City Operations	192.682	8.798	(0.122)	(3.236)	0.935	199.057
City Housing	15.369	0.728	5.240	(6.002)	0.000	15.335
Place, Prosperity and Sustainability	61.844	1.599	(1.730)	(8.547)	0.332	53.498
Children and Families	329.589	21.514	58.836	(8.459)	0.429	401.909
Adult Social Care	357.744	26.799	33.721	(6.250)	(8.937)	403.076
Total Directorate Net Expenditure	**1,053.693**	**67.299**	**43.297**	**(40.466)**	**(6.639)**	**1,117.184**
Corporately Managed Budgets	117.065	0.000	3.058	4.500	12.254	136.877
Contingencies	11.406	17.746	(22.077)	(12.891)	5.838	0.022
Corporate Grants	(310.360)	0.000	0.000	0.000	(24.127)	(334.487)
Total Net Expenditure on Services	**871.804**	**85.045**	**24.278**	**(48.857)**	**(12.674)**	**919.596**
Corporate Use of Reserves	(95.259)	0.000	0.000	0.000	100.741	5.482
Contribution to General Balances	(17.313)	0.000	0.000	0.000	17.313	0.000
Total General Fund Budget	**759.232**	**85.045**	**24.278**	**(48.857)**	**105.380**	**925.078**
HRA	0.000	0.000	0.000	0.000	0.000	0.000
City Council Budget	**759.232**	**85.045**	**24.278**	**(48.857)**	**105.380**	**925.078**

APPENDIX H: HRA

	Year 1 2023/24 £m	Year 2 2024/25 £m	Year 3 2025/26 £m	Year 4 2026/27 £m	Year 5 2027/28 £m	Year 6 2028/29 £m	Year 7 2029/30 £m	Year 8 2030/31 £m	Year 9 2031/32 £m	Year 10 2032/33 £m	Year 1 to 10 Total £m	Year 30 2051/52 £m	Year 1 to 30 Total £m
HOUSING REVENUE ACCOUNT													
Income													
Rental Income	(280.515)	(293.055)	(300.971)	(308.738)	(316.135)	(323.386)	(330.624)	(337.812)	(345.114)	(352.579)	(3,188.929)	(525.766)	(11,969.934)
Voids	4.637	4.848	5.004	5.163	5.291	5.425	5.554	5.685	5.819	5.957	53.383	9.382	206.044
Net Rental Income	**(275.878)**	**(288.207)**	**(295.967)**	**(303.575)**	**(310.844)**	**(317.961)**	**(325.070)**	**(332.127)**	**(339.295)**	**(346.622)**	**(3,135.546)**	**(516.384)**	**(11,763.890)**
Service Charges / Other Income	(27.716)	(28.460)	(29.016)	(29.505)	(29.974)	(30.328)	(30.216)	(30.673)	(31.481)	(28.225)	(295.594)	(36.825)	(936.326)
Total Revenue Income	**(303.594)**	**(316.667)**	**(324.983)**	**(333.080)**	**(340.818)**	**(348.289)**	**(355.286)**	**(362.800)**	**(370.776)**	**(374.847)**	**(3,431.140)**	**(553.209)**	**(12,700.216)**
Expenditure													
Repairs	79.093	81.363	82.611	83.825	85.044	86.071	87.448	88.841	90.266	91.695	856.257	104.596	3,002.102
Management	80.793	81.934	83.270	85.321	87.254	89.232	91.254	93.323	95.439	97.603	885.423	153.021	3,377.653
Bad Debt Provision	5.558	5.635	5.259	3.973	4.185	4.408	4.645	4.896	5.161	5.441	49.161	13.034	246.976
Estate Costs	24.497	25.393	26.083	26.740	27.345	27.963	28.595	29.242	29.903	30.580	276.341	47.899	1,056.761
Capital Financing - Loan Redemption	0.000	0.000	0.000	5.693	10.290	11.549	11.381	21.214	20.279	20.764	101.170	70.723	957.674
Capital Financing - Interest and Other Costs	50.273	55.501	58.254	60.414	62.444	64.248	67.257	61.338	62.704	56.118	598.551	42.615	1,806.582
Contribution to Capital	63.380	66.841	69.506	67.114	64.256	64.818	64.706	63.946	67.024	72.646	664.237	121.321	2,252.468
Total Revenue Expenditure	**303.594**	**316.667**	**324.983**	**333.080**	**340.818**	**348.289**	**355.286**	**362.800**	**370.776**	**374.847**	**3,431.140**	**553.209**	**12,700.216**
Net (Surplus) / Deficit	**0.000**	**0.000**	**0.000**	**0.000**	**0.000**	**0.000**	**0.000**	**0.000**	**0.000**	**0.000**	**0.000**	**0.000**	**0.000**
CAPITAL ACCOUNT													
Investment													
Housing Improvement Programme	179.678	145.463	101.199	101.942	102.689	103.497	104.236	105.115	105.941	106.840	1,156.600	86.828	2,696.869
Redevelopment / Clearance	57.351	85.061	74.480	51.359	39.779	46.251	35.955	31.047	35.913	40.095	497.291	52.543	1,361.489
Adaptations and Other Investment	4.000	6.350	6.927	7.005	7.085	7.167	7.500	7.585	7.672	7.825	69.116	20.755	226.535
Total Investment	**241.029**	**236.874**	**182.606**	**160.306**	**149.553**	**156.915**	**147.691**	**143.747**	**149.526**	**154.760**	**1,723.007**	**160.126**	**4,284.893**
Financing													
Receipts / Grants / Other	(82.550)	(62.244)	(48.815)	(49.978)	(37.675)	(29.171)	(11.130)	(19.315)	(26.192)	(27.115)	(394.185)	(29.837)	(1,156.835)
New Borrowing	(95.099)	(107.789)	(64.285)	(43.214)	(47.622)	(62.926)	(71.855)	(60.486)	(56.310)	(54.999)	(664.585)	(8.968)	(875.590)
Contribution from Revenue	(63.380)	(66.841)	(69.506)	(67.114)	(64.256)	(64.818)	(64.706)	(63.946)	(67.024)	(72.646)	(664.237)	(121.321)	(2,252.468)
Total Financing	**(241.029)**	**(236.874)**	**(182.606)**	**(160.306)**	**(149.553)**	**(156.915)**	**(147.691)**	**(143.747)**	**(149.526)**	**(154.760)**	**(1,723.007)**	**(160.126)**	**(4,284.893)**
Net (Surplus) / Deficit	**0.000**	**0.000**	**0.000**	**0.000**	**0.000**	**0.000**	**0.000**	**0.000**	**0.000**	**0.000**	**0.000**	**0.000**	**0.000**

APPENDIX I: TREASURY MANAGEMENT STRATEGY

1. Summary

1.1. This appendix sets out the proposed Treasury Management Strategy for 2023/24 given the interest rate outlook and the Council's treasury needs for the year, and in accordance with the Treasury Management Policy at Appendix K.

1.2. A balanced strategy is proposed which maintains a proportion of short term and variable rate loan debt in order to benefit from lower short term interest rates, whilst taking long term or fixed rate borrowing to maintain an appropriate balance between the risks of fixed rate and variable rate borrowing. The balance between short- and long-term funding will be kept under review by the Strategic Director of Council Management (Section 151 Officer) and will be maintained within the prudential limit for variable rate exposures.

1.3. Separate loan portfolios are maintained for the General Fund and the HRA; therefore, separate treasury strategies are set out below where relevant[1].

1.4. The ongoing impact on the UK from expectations for inflation and higher interest rates, uncertain government policy and a deteriorating economic outlook will have a major influence on the Council's treasury management strategy for 2023/24.

2. Treasury Management Policy and Objectives

2.1. The Treasury Management Policy (Appendix K) sets the Council's objectives and provides a management and control framework for its Treasury Management activities, in accordance with CIPFA's Code of Practice for Treasury Management in the Public Services.

2.2. For the Council, the achievement of high returns from treasury activities is of secondary importance compared with the need to limit the exposure of public funds to the risk of loss.

2.3. Due to the importance of environmental, social and governance (ESG) issues including climate emergency agendas, the Council will continue to consider ESG factors in the context of its treasury activities.

2.4. These objectives must be implemented flexibly in the light of changing market circumstances.

[1] This Strategy relates to loan debt only. Other debt liabilities relating to PFI and finance leases are not considered in this Strategy and are managed separately. Throughout this Financial Plan, debt and investments are expressed at nominal value, which may be different from the valuation basis used in the statutory accounts.

3. Council Borrowing Requirement

3.1. The Council's forecast of its required gross loan debt is set out in Table 7.2 in Chapter 7 and is a combination of its forecast capital expenditure funded from borrowing, reduced by the amounts set aside to repay debt, and short term cashflows. The Council's gross loan debt is forecast to initially increase before levelling off in forthcoming years; if further capital expenditure funded from borrowing is decided on in the future, this will increase the debt levels.

Table I.1 Forecast Borrowing Requirement

	2023/24 £m	2024/25 £m	2025/26 £m	2026/27 £m
Forecast gross loan debt	3,501.9	3,660.5	3,651.3	3,643.0
Forecast treasury investments	(40.0)	(40.0)	(40.0)	(40.0)
Forecast net loan debt	3,461.9	3,620.5	3,611.3	3,603.0
of which:				
long term loans outstanding	2,928.6	2,853.6	2,794.8	2,727.9
Short term investments working balance	(40.0)	(40.0)	(40.0)	(40.0)
Required new/ replacement loan balance	573.3	806.9	856.5	915.1
	3,461.9	3,620.5	3,611.3	3,603.0

Most of the Council's loan debt is funded from existing long term loans which mature over periods of up to 40 years or more. Table I.1 above shows that the Council's outstanding long term loans decrease over the next few years as they are repaid upon maturity. This means that its new loans requirement will increase in order to meet the forecast net loan debt.

This strategy sets out how the Council plans to obtain the required new borrowing shown above, by a combination of short term and long term borrowing.

3.2. The Council currently has £71.1m of Lender's Option Borrower's Option (LOBO) loans outstanding. For these loans, the lender has the right to increase the interest rate at certain dates during the loan term; in this event the Council has the option to accept the rate increase or repay the loan immediately without penalty. All £71.1m of the Council's LOBO loans have the potential to be exercised during 2023/24. As market rates have increased in the past year, some LOBO lenders may choose to exercise their option. If LOBO loan options are exercised, the Council will look to repay these loans through refinancing.

3.3. In previous years the Council has repaid some of its LOBO loans early; in May 2019, £30m of LOBO loans held with Commerzbank were repaid. This resulted in a significant saving for the Council and it removed a substantial amount of LOBO

loans from its loans portfolio. The Council will consider further loan restructuring opportunities if they become available and where they provide a cost saving or a reduction in risk.

4. Interest Rate and Credit Outlook

4.1. UK Bank Rate is fundamental for the Council's treasury management activity, in terms of expenditure on loan interest where new loans are taken out and on income received from investments. UK Bank Rate is set by the Bank of England's Monetary Policy Committee (MPC) and their interest rate outlook is influenced by domestic and international economic and political developments.

4.2. The Bank of England has made consecutive increases to Bank Rate at its monthly MPC meetings since December 2021 and raised it by a further 0.5% to 3.5% at its December 2022 meeting. This was on the back of rising inflation in the UK and globally, due to higher energy prices as a result of the war in Ukraine and supply chain disorder as global economies adjusted following covid pandemic policies. UK inflation measured by the Consumer Prices Index (CPI) was 10.5% in December 2022, down from the high of 11.1% observed in October 2022.

4.3. The impact of inflation and interest rate rises are already being felt in the UK with current Bank of England forecasts indicating the economy is already in recession; GDP is expected to fall by around 0.75% during H2 2022 and continue falling until mid-2024. However, the MPC expects inflation to remain elevated in the coming months and the jobs market remains tight with high job vacancies. Although the MPC expects further increases in Bank Rate may be required to return inflation to its target of 2%, it may not need to be as forceful as previously anticipated by financial markets.

4.4. Arlingclose, the Council's treasury advisor, has forecast the Bank Rate to peak at 4.25% in Q1 2023/24 and remain there for the remainder of the financial year. Given the level of uncertainty over economic growth and interest rates the Council has taken a prudent view on Bank Rate for the treasury budget by the end of 2023/24.

4.5. Upside risks to UK interest rates in 2023/24 include:

- Higher than expected inflation rates due to the persistence of supply chain factors
- Prolonged high energy prices resulting from the continued conflict in Ukraine
- Higher than expected economic wage growth

Downside risks to UK interest rates include:

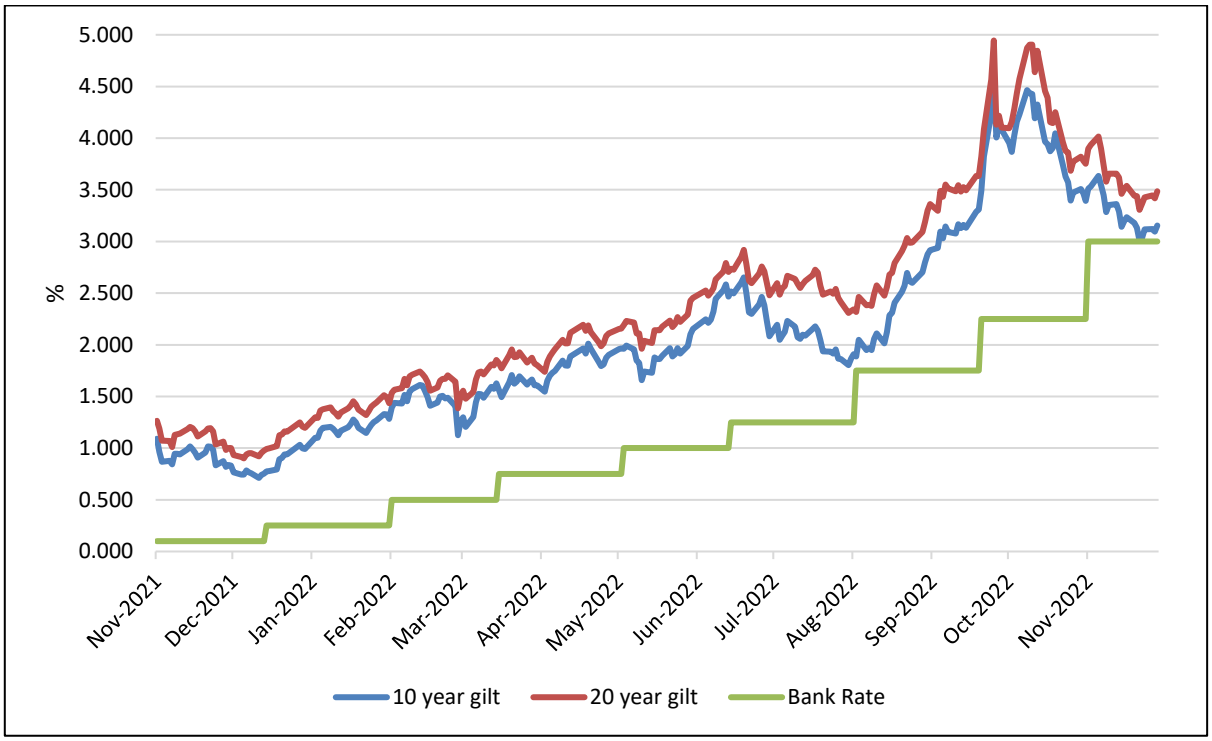
- Impact of UK recession causes UK GDP to fall by more than expected with inflation falling below the target of 2%.
- Post Brexit trade risks to the UK economy

- The effects of coronavirus on global and UK economic recovery remain significant

4.6. Longer term interest rates are typically represented by UK Government Gilt yields. The chart at Figure I.2 shows that Gilt yields have increased significantly during 2022 in line with interest rate increases and expectations for interest rates. Gilt yields are near the levels since before the financial crisis of 2008 and are no longer at the historically low levels seen in the last decade.

4.7. In recent months there has been unprecedented volatility in the gilt markets. Gilt yields initially shot up after the announcement of the 23 September 2022 'mini budget', with its fiscal stimulus measures, but have since recovered following Bank of England intervention to buy gilts and the reversal of most of those fiscal measures. The Autumn Statement on 17 November 2022 and the announcement of government plans to reduce debt may help to further stabilise gilt markets. However, volatility arising from both economic and political events are expected to continue during 2023/24.

Figure I.2 Bank Rate and Gilt Yields



4.8. The credit outlook for banks relates to their risks for default and became more significant following the 2015 Bank Recovery and Resolution Directive (BRRD). Here a failing bank would need to be 'bailed in' by current investors instead of being 'bailed out' by the Government, thus increasing the risk of loss for local authorities holding unsecured bank deposits.

4.9. With the UK economy likely to be in recession territory the risks for UK banks are heightened as shown by recent increases in UK bank Credit Default Swap (CDS) prices. However, the banking sector is generally better positioned to withstand

shocks to the economy due to their required capital positions. The Council will continue to monitor bank credit worthiness and seek the advice of its treasury advisor, Arlingclose.

5. Borrowing strategy

5.1. The Council's capital investment programme allows it to deliver key priorities such as economic regeneration, transport, housing and school improvements, and to support service transformation. The capital investment programme can be funded from government grants, revenue resources, capital receipts from asset sales and prudential borrowing.

5.2. It is appropriate for the Council to borrow to fund its capital expenditure. The Council will receive long term service benefit over a number of years so it should be able to fund the capital expenditure over the years benefits are received.

5.3. Although borrowing costs (including interest costs and repayment charges) reflect a substantial investment in capital, the Council will ensure borrowing for the capital programme remains at an affordable and sustainable level. The Council periodically reviews its capital programme and associated prudential borrowing requirements and will reduce this where it can as long as it does not impede the Council's key priorities.

5.4. Borrowing costs are also managed by the type of loans the Council takes. As part of its borrowing strategy, the Council has previously targeted a short term or variable rate loans balance (less than 12 months) of around £600m, to take advantage of lower short term borrowing rates. Although short term rates increased significantly during 2022/23 they are not forecast to go much higher in 2023/24. It is proposed to maintain a short term loans level of around £500m for 2023/24, with the balance of the Council's borrowing needs being met through long term borrowing (i.e. for periods of one year or more).

5.5. Based on this strategy, the following table summarises, for the Council as a whole, the new long term and short term borrowing proposed to fund the required new or replacement borrowing each year:

Table I.3 Proposed Borrowing Strategy

Cumulative new borrowing:	2023/24 £m	2024/25 £m	2025/26 £m	2026/27 £m
total long term loans	120.0	290.0	370.0	450.0
total short term loans	453.3	516.9	486.5	465.1
Required new/ replacement loan balance	573.3	806.9	856.5	915.1

5.6. This strategy results in a forecast for new long term loans in the next four years to meet the required loan balance. The Council may still reprofile new long term

loans during this period depending on market conditions. Although future borrowing rates are not forecast to be significantly higher than current rates, the outlook is uncertain and taking some long term loans earlier may remove some refinancing risk.

5.7. In 2020/21, the Council paid a three year advance pensions payment for which it received a discount; this means there are reduced pensions cash outflows in 2021/22 and 2022/23. If the Council agrees a similar discount in 2023/24, it may choose to make an advanced payment which could be funded by cash balances or a temporary increase in borrowing. The forecast debt figures at Table I.1 do not include future pensions advanced payments as these are yet to be agreed.

6. Short term borrowing

6.1. The Council's short term borrowing needs are largely met through other local authorities who lend their surplus cash balances at comparatively low rates. Loans from local authorities are deemed to meet the Council's ESG considerations as surplus funds will have been obtained from sources with public service objectives.

6.2. The availability of loans from other local authorities can tighten especially at financial year end when authorities have used much of their cash balances. Given the size of its short-term debt portfolio, the Council has sought to diversify its sources of short term borrowing from reliance on the local authority lending market. The Council currently has a Working Capital Facility available with its bankers should it require loans for a short period.

6.3. Short term and variable rate exposures remain within the 30% prudential limit set out in Appendix N4.

6.4. It should be noted that a possible scenario is that short term and long term interest rates may rise (or are expected to rise) more sharply than currently forecast. A higher level of long term borrowing may be taken if appropriate to protect future years' borrowing costs.

7. Long Term Borrowing

7.1. The main source of long term borrowing for local authorities has been the Public Works Loans Board (PWLB), managed by HM Treasury. At the end of November 2020, the Treasury returned PWLB rates to 0.8% above gilts with the condition that local authorities would not be able to access PWLB loans if their 3 year capital programme included capital expenditure primarily for yield. The Council has not undertaken, nor has plans to undertake any investments primarily for yield.

7.2. The consequence of the PWLB rate decrease is that it is likely to offer a cheaper and quicker route to borrowing than alternative sources of borrowing, by at least 0.5% based on market analysis. For value for money, it is important that the Council continues to meet the PWLB's lending criteria. It is also uncertain how

private sector lenders would view the risk profile for councils that were no longer eligible for PWLB loans.

7.3. The Council will continue to monitor market developments and will seek to use and develop other funding solutions if better value may be delivered. This may include other sources of long term borrowing if the terms are suitable, including listed and private placements, bilateral loans from banks, local authorities or others, Islamic forms of finance and sale and leaseback arrangements.

7.4. The Council will consider forward starting loans from capital markets, where the interest rate is fixed in advance, but the cash is received in later years. This would be beneficial when interest rates are forecast to rise in later years and the Council has a future borrowing requirement.

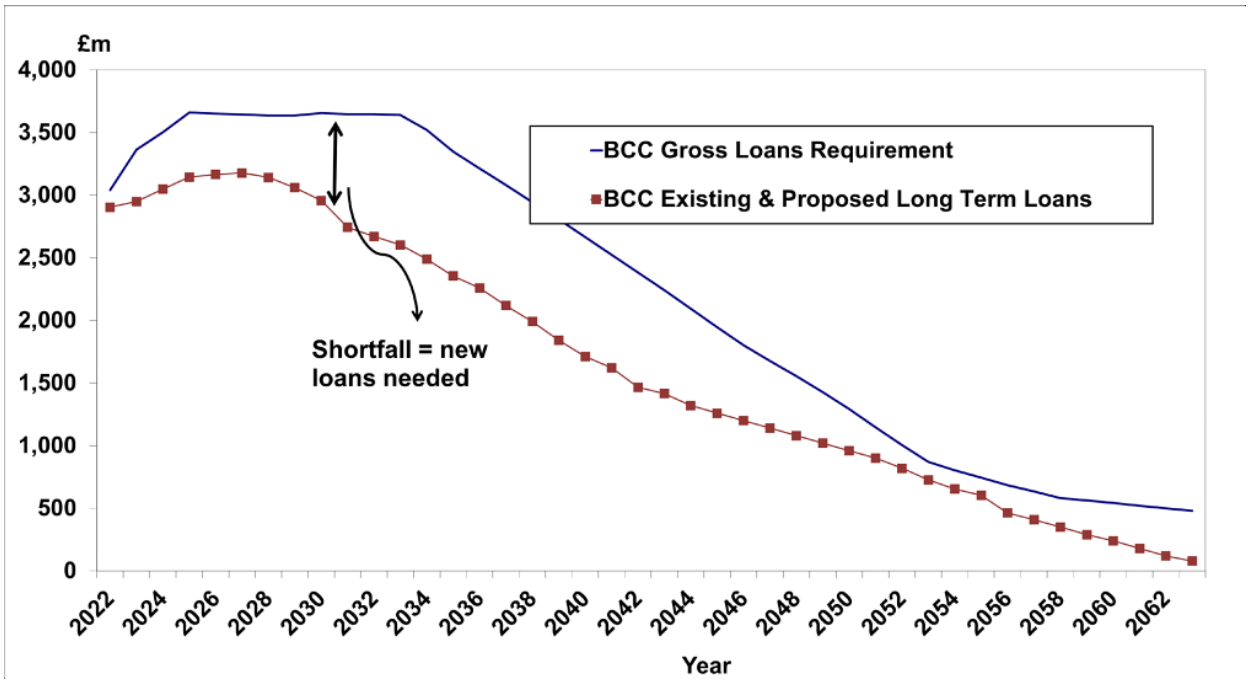
7.5. Debt capital markets have indicated ESG bonds or ESG private placements could be competitive when compared to the PWLB, due to a lack of supply and increasing demand from institutional investors. ESG bonds are used to finance projects that support environmental and social goals. Most local authority capital schemes, including significant aspects of Birmingham's capital programme, could be linked to ESG objectives and fit the criteria for an ESG bond. The Council will consider the use of ESG bonds in sourcing long term borrowing, should they provide better value through lower costs and rates when compared to PWLB borrowing.

7.6. The Council may also restructure existing loans and other long term liabilities e.g. by premature repayment and replacement with new loans.

8. Liability benchmark

8.1. The Council's loan maturity profile can be compared with the level of loan debt outstanding required by this Financial Plan, as follows:

Figure I.4 BCC Loans Outstanding vs. Gross Loans Requirement



8.2. The Gross Loans Requirement in Figure I.4 represents the level of outstanding loan debt required by this Financial Plan. It takes account of existing loans outstanding plus planned prudential borrowing; this reduces over time as a result of the Minimum Repayment Provision (MRP) for debt. The difference between the Gross Loans Requirement and Existing & Proposed long term loans represents forecast long term and short term borrowing or investments. The Gross Loans Requirement represents a liability benchmark against which to measure the amount and maturity of required borrowing. In practice, future borrowings would never allow the outstanding loans to reach nil as matured debt is replaced by debt for new capital projects.

8.3. The shortfall in the medium term as shown in the chart is planned to be met by a short term loans portfolio of around £500m, in line with the current strategy (see paragraph 5.4).

8.4. The Treasury Management Prudential Limits and Indicators consistent with the above strategy are set out in Appendix N, including a summary loan debt maturity profile.

8.5. The Treasury Management Strategy must be flexible to adapt to changing risks and circumstances. The strategy will be kept under review by the Strategic Director of Council Management (S151) in accordance with treasury management delegations.

9. HRA and General Fund Treasury Strategies

9.1. The Housing Revenue Account (HRA) inherited a largely long term fixed rate debt portfolio at the start of the current HRA finance system in 2012. As a result, the Council has previously looked to increase the HRA's exposure to short term loans

whenever possible. As the HRA seeks to increase its prudential borrowing levels in the next few years, the Council will supplement HRA short term borrowing with further long term loans.

9.2. The General Fund and HRA exposures to short term and variable interest rates in accordance with the strategy are as follows:

Table I.5 Forecast Variable Rate Exposure Based on the Proposed Borrowing Strategy

(taking account of debt maturities and proposed long term borrowing)	**2023/24 £m**	**2024/25 £m**	**2025/26 £m**	**2026/27 £m**
Housing Revenue Account				
Year end net exposure to variable rates	177.6	181.6	230.0	242.9
Closing HRA net loan debt	1,172.8	1,283.7	1,357.2	1,403.8
Variable exposure % of debt	15.1%	14.1%	16.9%	17.3%
General Fund				
Year end net exposure to variable rates	328.6	354.2	283.4	318.1
Closing General Fund net loan debt	2,289.2	2,336.9	2,254.0	2,199.2
Variable exposure % of debt	14.4%	15.2%	12.6%	14.5%
Year end variable interest rate assumption provided for in the budget	5.25%	5.25%	4.50%	4.25%

Note: the variable rate figures above include long term loans with less than a year to maturity.

9.3. The variable rate exposure means that a 1% rise in variable rates at the end of 2023/24 would cost an estimated £3.3m per annum for the General Fund and £1.8m per annum for the HRA. However, the budget provides for a potential increase in variable rates (as shown above), which is considered to be prudent in this context.

9.4. This strategy therefore acknowledges the risk that maintaining a significant variable rate loan debt may result in increased borrowing costs in the longer term, but balances this against the savings arising from cheaper variable interest rates. The Strategic Director of Council Management (Section 151 Officer) will keep the strategy under close review during the year, in the light of the Council's financial position and the outlook for interest rates.

10. Treasury Management Revenue Budget

10.1. Based on this strategy the proposed budget figures are as follows:

Table I.6 Treasury Management Revenue Budget

	2023/24 £m	2024/25 £m	2025/26 £m	2026/27 £m
Net interest costs	138.2	147.2	155.6	151.8
Revenue charge for loan debt repayment	111.8	118.1	131.3	140.8
Other charges	-0.1	-0.4	3.2	5.3
Total	249.9	264.9	290.1	297.9
Met by the HRA	56.4	63.7	72.2	77.0
Met by the General Fund	193.5	201.2	217.9	220.9
Total	249.9	264.9	290.1	297.9

10.2. The budgeted interest cost in each year reflects a prudent view of borrowing costs and the cost of the additional borrowing in this Financial Plan. Actual interest costs will be affected not only by future interest rates, but also by the Council's cash flows, the level of its revenue reserves and provisions, and any debt restructuring.

11. Investment Strategy

11.1. The Council has surplus cash to lend only for short periods, as part of day-to-day cashflow management and to maintain appropriate cash liquidity. A month end investment balance of £40m in deposits is used as guidance in order to maintain adequate liquidity to meet uncertain cashflows. Any such surplus cash is invested in high credit quality institutions and pooled investment funds such as Money Market Funds (MMFs). MMFs are expected to continue to form a major part of the cash investment portfolio, as they are able to reduce credit risks in a way the Council cannot do independently, by accessing high quality institutions and spreading the risk more widely.

11.2. In terms of the Council's ESG considerations for its investment strategy, MMFs are not typically managed with the explicit or implicit aim of being an ESG or 'ethical' product. MMF managers have varying approaches to ESG incorporation with many preferring active engagement, using their shareholding and voting rights to influence and improve corporate behaviour and responsibility.

11.3. The ESG credentials of the MMFs that the Council invests in have been reviewed, based on information provided by individual MMFs. All MMF managers have engaged with ESG as an issue for their investors and the Council will consider those MMFs that show a genuine commitment to incorporate ESG as a source of enhanced financial risk management.

11.4. Long term investments of one year or more are not currently expected to be appropriate for treasury management purposes, as the Council does not expect to have temporary surplus cash to invest for that length of time.

12. Other Treasury Management Activities and Exposures

12.1. The Council has a Treasury Management Panel consisting of senior Finance Officers and treasury officers at the Council. The Council's Treasury Management Panel meets regularly and acts as an advisory body, providing guidance, support and scrutiny to decisions made by treasury officers.

12.2. The Council has guaranteed the £73m loan debt issued by NEC (Developments) Plc, which since the sale of the NEC Group has been a wholly owned subsidiary of the Council. The value of this liability, due to mature in 2027, is reflected in the Council's own debt and is managed as part of treasury activity.

12.3. The Council is a constituent member of the West Midlands Combined Authority (WMCA). Participating authorities share an exposure to any unfinanced revenue losses of WMCA, including debt finance costs. The Council and other member authorities support WMCA's capital investment plans, which include substantial prudential borrowing (subject to revenue funding support). This exposure is managed through the authorities' voting rights in WMCA including approval to its annual revenue and capital budget.

13. Advisers

13.1. Arlingclose Limited are appointed to provide treasury management advice to the Council, including the provision of credit rating and other investment information. Advisers are a useful support in view of the size of the Council's transactions and the pressures on staff time. The Council's contract with Arlingclose expired during 2022/23 and they were reappointed as the Council's treasury management advisor following a competitive tender exercise.

14. Prudential Indicators for Treasury Management

14.1. The Council is required under the Local Government Act 2003 and the CIPFA Treasury Management Code to set Prudential Indicators for treasury management. These are presented in Appendix N4.

APPENDIX J: CAPITAL

The following policies support the Capital Strategy in Chapter 6 above.

1. Capital Programme Governance and the Capital Board

1.1. The Capital programme is a resource and expenditure planning tool and does not confer approval for individual budget items to proceed. Individual budgets will not proceed to spend until there has been an executive decision which would normally include 'Gateway' business case appraisals at Strategic Outline Case (capital budget proposal stage), Outline Business Case, and Full Business Case. This process appraises options to deliver desired outputs, sets out the rationale to support the recommended solution, and identifies capital and revenue implications and funding. Account is also taken of the outcome of consultations, equality and risk assessments, and contribution to the Council's strategic objectives.

1.2. Revised or additional capital budgets may be approved by Cabinet, within the constraints of the Constitution regarding additional borrowing and the Council's Prudential borrowing limit. This includes Cabinet approval to additional external resources allocated to the Council. It is intended that no substantial increases in prudential borrowing or the use of capital receipts will be agreed outside of the annual budget process.

1.3. We carry out regular reviews of the capital programme to ensure the capital programme remains current, given that projects typically extend over several years from initiation. These reviews include scrutinising projects where contracts have not begun or spend is slower than anticipated, to ensure that the capital programme remains current, and that prudential borrowing is not unnecessarily committed. Going forward we will ensure that all approved capital projects will have a two-year longstop date. This means that a new, updated approval will be required where it has not been possible to enter contract within two years of approval.

1.4. Strategic oversight of the capital programme will be managed by the Capital Board, including:

- development of proposals for the capital strategy, capital planning and prioritisation, prior to executive decision
- review of business cases prior to executive decision
- monitoring of the capital programme including financial, performance and risks
- review of capital governance and processes.

1.5. CIPFA's Prudential Code and Treasury Management Code have been adopted by the Council.

2. General Principles for Capital Planning

2.1. Some general strategic principles underlie the Council's capital planning. These are to:

- Integrate capital planning into the Council's overall planning over the horizons of the Long-Term Financial Plan, Medium Term Financial Plan and annual planning process to ensure that capital planning is delivering the Corporate Plan priorities
- Maximise external funding which supports the Council's priorities, and supplement this with the Council's own resources where appropriate
- Procure the use of capital assets using a robust process for assessing affordability and value for money (the "Gateway" process)
- Work with partners, including the community, businesses and other public bodies, whilst retaining clear lines of accountability and responsibility
- Relate capital resources and planning to asset planning.

3. Whole Council Prioritisation of Capital Resources Use

3.1. All use of capital resources, including capital receipts, will be prioritised across the Council as a whole in relation to the Council's key priorities. The use of all capital receipts will be prioritised through the Council's corporate financial planning process. All previous capital receipt earmarking policies are discontinued unless covered by specific agreements with other organisations (this will not affect existing approved use of capital receipts already identified in the Council's disposals programme or otherwise taken into account in this Financial Plan). It is expected that commercial property portfolio asset sales will be reinvested in the portfolio in order to meet service objectives and to maintain and grow the portfolio income.

4. Capital Receipts and Asset Sales

4.1. All land and buildings which are surplus to existing use will be reviewed under Property and Assets Board arrangements, before any executive decision is made, to ensure the re-use or disposal of the asset provides best value in supporting the Council's objectives. The Council's general policy is that assets will be disposed of for cash at the best market value. Exceptions to this policy should be approved by Cabinet.

4.2. As a general principle, land no longer required for its existing use is be declared surplus so that options about its future use or sale can be reviewed by the Property and Assets Board before proceeding for formal decision. This includes Board consideration of proposals to appropriate land for a different purpose from its existing use, and proposals to sell land and property at less than best price, to ensure that the best value outcome for the Council is obtained in relation to Council priority outcomes.

5. Community Asset Transfers

5.1. The Council will encourage community engagement in the operation of properties in support of specific key priorities and may commission Community Asset Transfers (CATs) where appropriate. Third sector organisations will need to have the capabilities to use the assets to provide agreed services, in accordance with arrangements for CATs of property. Sales at less than best price will however reduce the capital receipts available to fund other Council needs and policies. Accordingly, proposed land sale discounts including CATs will be reviewed by the Property and Assets Board before proceeding for formal decision, to ensure that proposals have a strong fit with the Council's key strategic priorities, represent good value for money, and have a good prospect of success. Other properties, and CAT proposals which have been unsuccessful, will proceed for sale on the open market.

6. Prudential Borrowing and Debt

6.1. The Council will use borrowing in accordance with the 'Prudential' system as a tool for delivering policy and managing its finances. Local authorities may borrow to finance capital expenditure, and the affordability of debt is the key constraint. The Council has used the prudential borrowing freedoms actively and successfully to deliver key outcomes for the Council, including investment in regeneration (e.g. Grand Central and the EZ), housing, and wellbeing facilities.

6.2. Prudential borrowing continues to be an important way to fund the Council's own priorities where external funding cannot be obtained. The cost of borrowing will be recharged to the service concerned, where the Council is under a statutory obligation to do so (e.g. the HRA); where the Council has agreed with its partners to do so (e.g. the Enterprise Zone); and where it is good management for borrowing costs to be accounted for as part of an overall project (e.g. where financial or property investments are funded from borrowing). This recognises that borrowing is not a free resource but has a revenue cost.

6.3. The Council sets and monitors prudential indicators (including local indicators) to manage its debt exposures. Borrowing costs (including interest and repayment charges) in 2023/24 represent 26.9% of the net revenue budget, or 23.0% of gross income including income from sales, fees, charges and rents. This reflects some growth in the Council's borrowing in recent years, but also reflects the reduction in its income.

6.4. In order to ensure that borrowing remains at an affordable and sustainable level, the Council will seek over the medium term to manage its new prudential borrowing for normal service delivery at a level which is close to the amount which it sets aside from the revenue account each year for debt repayment (i.e. MRP). Borrowing for the Perry Barr Regeneration Scheme is an exception to this policy, but this is mostly planned to be repaid from the disposal of dwellings and land that form a part of the Perry Barr

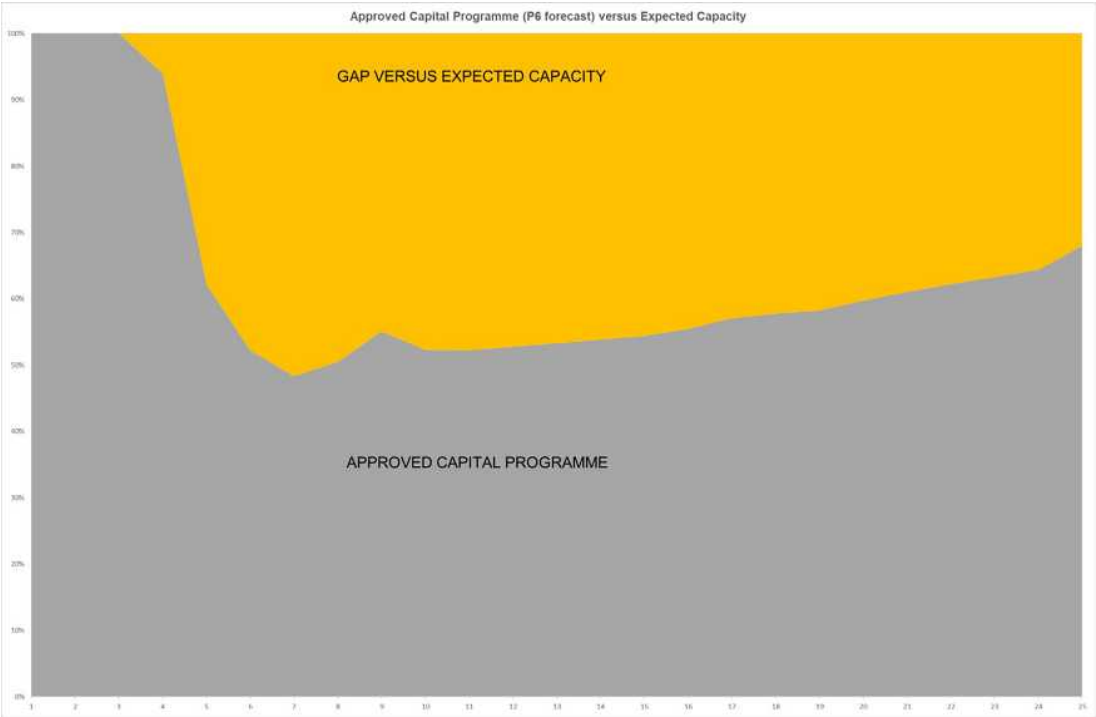
Regeneration Scheme from 2023/24. This policy requires careful prioritisation of projects reliant on debt finance, which will be carried out as part of the annual financial planning process.

7. 25 Year Capital Plan

7.1. Given the importance of optimising long-term capital investment a 25-year capital plan is being developed. This recognises that except for the HRA and Enterprise Zone most capital investment plans are linked to specific projects, which means that the capital programme tails of early and fails to recognise the need for future investment in many areas.

7.2. A comparison can then be made between the capital programme and typical borrowing levels, namely the approximately £110m currently amount set aside from the revenue account each year for debt repayment (i.e. MRP) described above. This comparison is illustrated in the chart below, which implies that capital investment will fall to an average of £110m pa in the decade after year 5. Indeed, this decline begins as early as year 3.

7.3. However, this is misleading as the capital programme fails to fully reflect future needs.



7.4. While the future inevitably brings planning uncertainty the absence of a long-term capital approach makes planning and prioritisation difficult both for individual service areas and the Council as a whole.

7.5. We have identified six benefits of a 25-year long term capital plan, aligned with the Council's strategic plans and priorities, to help:

1. Communicate the strategic priorities for the Council.
2. Encourage longer term capital planning across the Council.
3. Take a longer term view on the future capital requirements for the Council as a result of broader societal changes and trends.
4. Ensure maintenance, refurbishment and replacement costs for existing assets are adequately budgeted for to ensure efficient and effective use of Council assets.
5. Identify any affordability and funding gaps early, providing sufficient time to respond and develop alternate strategies.
6. Provide a framework for future capital planning linked to strategic priorities.

7.6. However, to be effective the plan will need to be based on long-term strategic planning rather than purely driven by numbers. Such planning is likely to consider existing assets, both in terms of their condition and future suitability, as well as the need to replace, repurpose or add to them in future. Once services identify the capital needed to deliver the Council's strategic aims this can readily be compared to its investment capacity.

7.7. While these identified needs are likely to exceed investment capacity, understanding the future position will enable informed choices and inform medium term decision making.

J.1 Flexible Use of Capital Receipts 2022 – 2025

	Forecast Spend 2022/23	Forecast Spend 2023/24	Forecast Spend 2024/25	Anticipated Revenue Savings	Impact of Spend (i.e. how will this project save money / transform service delivery?)
	* 1,000 £	* 1,000 £	* 1,000 £	* 1,000 £	
Redundancy & Pension Fund Strain	**1,246**	**0**	**0**	Various	Redundancy costs of posts no longer required.
Finance Transformation Programme	**2,313**	**1,915**	**281**	763	Finance Transformation & Improvement programme to hep redesign of the Finance function and deliver on-going savings.
Cyber Security	**1,780**	**4,726**	**4,649**	-	Improving the Council's Cyber security. No saving quantifiable but will prevent fraud and financial loss.
Customer Programme	**1,700**	**1,600**	**2,094**	390	The Customer Service programme will bring together, build upon and accelerate existing work, whilst identifying and implementing the required activities to ensure BCC is a truly customer centric organisation.
Early Interventions Transformation	**500**	**1,000**	**2,000**	7,600	Working in partnership with health to transform the way care is delivered, to prevent hospital admissions and to ensure appropriate care on hospital discharge.
ASC - Senior Management Time	**583**	**583**	**583**	-	Time used in planning and directing transformation and early intervention work, including time that the PFA team use for demand management. This work impacts on both current and future demand volume and costs. Revenue savings as per Early Interventions above.

	Forecast Spend 2022/23	Forecast Spend 2023/24	Forecast Spend 2024/25	Anticipated Revenue Savings	Impact of Spend (i.e. how will this project save money / transform service delivery?)
	* 1,000 £	* 1,000 £	* 1,000 £	* 1,000 £	
Adult Social Care - Prep for Adulthood	**1,141**	**1,800**	**1,800**	1,100	Reviewing transition cases in a timely manner ensuring care provisions would be available at appropriate costs for clients as Adults.
ADC - Specialist Impact Team	**500**	**500**	**500**	600	Review of complex high cost cases to ensure packages meet client needs.
City Ops Waste Management Review	**100**	**20**	**80**	1,000	HR support for the Street Scene service restructure which will achieve savings.
City Ops - Parks & Nature	**90**	**90**	**0**	90	Extension/introduction of commercial activities on a number of park sites city-wide.
Council Management - ICT Savings	**2,515**	**2,515**	**0**	2,900	Introduction of immutable hardware backup technology simplifying the operational deployment and management of new back up activities. Reduced data centre running and wider support costs. Move to a new management platform.
Council Man - ITDS - BEP reserve & Tech refresh	**2,799**	**0**	**0**	2,900	Introduction of immutable hardware backup technology simplifying the operational deployment and management of new back up activities. Reduced data centre running and wider support costs. Move to a new management platform.
HR Job Revaluation	**4,500**	**1,979**	**1,175**	2,000	New scheme will prevent future claims.
Council Mngt - HR Schools	**542**	**542**	**0**	1,600	Reviewing Trading Operations, cost recovery and exploring new income streams.

	Forecast Spend 2022/23	Forecast Spend 2023/24	Forecast Spend 2024/25	Anticipated Revenue Savings	Impact of Spend (i.e. how will this project save money / transform service delivery?)
	* 1,000 £	* 1,000 £	* 1,000 £	* 1,000 £	
Inclusive Growth Delivery Plan	**1,926**	**11,763**	**1,139**	-	Various regeneration activities within PPS to stimulate growth. Savings are not quantifiable as yet.
Workforce for the Future project	**143**	**53**	**0**	16,342	Realignment of budgets and creation of centres of expertise.
Making Best use of assets	**143**	**0**	**0**	369	Utilising BCC owned buildings more.
Maximising income	**212**	**275**	**0**	21,190	Review and benchmark cost recovery and low value leases.
Digitally Enabled Council:	**381**	**2,551**	**843**	5,400	Automation and Digitisation of services.
Digitally Enabled Council:	**369**	**1,956**	**216**	2,055	Voice automation to reduce duplication.
Oracle Enhancements	**979**	**750**	**0**	1,000	Oracle enhancements to drive opportunities.
City Ops - Household Waste Recycling Centres	**624**	**464**	**0**	624	Transformational initiatives at Household Waste Recycling Centres
BCT Practice Hub	**1,266**	**0**	**0**	3,000	Set up of a Practice Hub to drive improvement in social work practice and case management.
Council Man - People Services	**2,199**	**500**	**0**	2,000	HR activities supporting the workforce programme.
Council Management - ITDS & Finance - Oracle Winshuttle replacement & Business process for Oracle	**3,906**	**571**	**0**	2,000	Development & embedding of Oracle system to produce process efficiencies.
Council Management - Digital Innovation - Joint Venture	**656**	**656**	**0**	500	Funding to design and set up a Joint Venture partner for the roll out of full fibre across Birmingham. Alongside wider economic benefits will lead to additional income for the Council.

	Forecast Spend 2022/23	Forecast Spend 2023/24	Forecast Spend 2024/25	Anticipated Revenue Savings	Impact of Spend (i.e. how will this project save money / transform service delivery?)
	* 1,000 £	* 1,000 £	* 1,000 £	* 1,000 £	
BCT - Step Down Project	**150**	**200**	**0**	6,000	Develop alternative solution to high cost Children in Care-targeted model of step down from intensive residential provision to intensive family based placements.
SENAR - Children's	**3,400**	**792**	**0**	1,600	Improving SEND provision for children and young people in Birmingham through transformational change within the service, with schools and partner organisations and in further developing engagement with parents.
C&F Directorate	**650**	**865**	**0**	200	The plan brings together all City Council improvement and transformation activity that impacts on children, young people, and their families into one plan.
CYP Travel Service	**5,517**	**0**	**0**	1,100	Provision of Independent Travel Training to children, young people and their families may facilitate the achievement of safe reliable transport arrangements at a reduced cost.
Total Revenue Reform Projects	**42,830**	**38,666**	**15,360**	**84,323**	

N.B. Projects may be accelerated or slipped between financial years.

J.2 Capital resources

	2023/24 £m	2024/25 £m	2025/26 £m	2026/27 £m	Total
Specific Resources					
Government Grants & Contributions	159.657	129.621	92.056	55.233	436.567
HRA Revenue Resources & Reserves	75.254	68.092	72.749	68.613	284.708
Other Specific Revenue Resources	9.158	9.823	13.416	2.813	35.210
HRA Capital Receipts	46.837	48.229	38.366	45.869	179.301
Total Specific Resources	**290.906**	**255.765**	**216.587**	**172.528**	**935.786**
Corporate Resources					
Prudential Borrowing	290.024	166.073	84.132	62.092	602.321
Earmarked Capital Receipts	53.009	16.978	0.100	0.000	70.087
Other Corporate Resources	0.153	0.000	0.000	0.000	0.153
Total Corporate Resources	**343.186**	**183.051**	**84.232**	**62.092**	**672.561**
Total Resources	**634.092**	**438.816**	**300.819**	**234.620**	**1,608.347**

J.3 Analysis of Prudential Borrowing

	2023/24 £m	2024/25 £m	2025/26 £m	2026/27 £m	Total
Major Self Financed Prudential Borrowing					
Enterprise Zone	10.990	19.265	11.517	10.519	**52.291**
Fleet & Waste Management	12.163	9.150	0.000	0.000	**21.313**
Perry Barr Residential Scheme	13.475	3.003	0.000	0.000	**16.478**
Property Services - Investment Programme	42.154	0.000	0.000	0.000	**42.154**
Housing Revenue Account	95.099	107.789	64.285	43.214	**310.387**
Housing Options - Temporary Accommodation	43.000	0.000	0.000	0.000	**43.000**
Housing Development - InReach	0.000	7.900	0.000	0.000	**7.900**
Capital Loans & Equity	2.532	0.000	0.000	0.000	**2.532**
ICT & Digital Services	1.962	0.000	0.000	0.000	**1.962**
SAP Software Upgrade	3.720	0.000	0.000	0.000	**3.720**
Bereavement Services	2.250	0.000	0.000	0.000	**2.250**
Other	0.728	1.262	0.000	0.000	**1.990**
Total Capital Projects Self Financed	**228.073**	**148.369**	**75.802**	**53.733**	**505.977**
Major Prudential Borrowing with net impact on Council revenue resources					
Fleet & Waste Management	11.970	0.200	0.000	0.000	**12.170**
Alexander Stadium Legacy Project	3.475	0.000	0.000	0.000	**3.475**
Corporate Capital Contingency	10.000	10.000	5.000	5.000	**30.000**
Gateway / Grand Central	12.691	0.000	0.000	0.000	**12.691**
Moseley Road Baths	0.473	0.183	1.930	2.259	**4.845**
Schools Condition Allocation & Basic Need	13.691	1.750	0.000	0.000	**15.441**
Transport Highways Major Schemes	1.309	1.504	0.300	0.000	**3.113**
Birmingham Children's Trust Accommodation	1.300	1.100	1.100	1.100	**4.600**
Community Libraries	0.800	2.887	0.000	0.000	**3.687**
Council House Electrics	5.100	0.000	0.000	0.000	**5.100**
ICT & Digital Services	0.571	0.000	0.000	0.000	**0.571**
Other	0.571	0.080	0.000	0.000	**0.651**
Total Capital Projects requiring revenue resources	**61.951**	**17.704**	**8.330**	**8.359**	**96.344**
Total Prudential Borrowing	**290.024**	**166.073**	**84.132**	**62.092**	**602.321**

J.4 Capital Programmes by Scheme

	2023/24 £m	2024/25 £m	2025/26 £m	2026/27 £m	Total
COUNCIL MANAGEMENT					
Development & Commercial					
Gateway/Grand Central Residual Costs	12.691	0.000	0.000	0.000	12.691
Capital Loans & Equity	2.532	0.000	0.000	0.000	2.532
Total Development & Commercial	**15.223**	**0.000**	**0.000**	**0.000**	**15.523**
Corporately Held Funds					
Revenue Reform Projects	38.666	15.360	0.000	0.000	54.026
Corporate Capital Contingency	10.000	10.000	5.000	5.000	30.000
Total Corporately Held Funds	**48.666**	**25.360**	**5.000**	**5.000**	**84.026**
SAP Investments	**3.720**	**0.000**	**0.000**	**0.000**	**3.720**
ICT & Digital Services					
ICT & Digital	6.001	0.000	0.000	0.000	6.001
Total Digital & Customer Services	**6.001**	**0.000**	**0.000**	**0.000**	**6.001**
TOTAL COUNCIL MANAGEMENT DIRECTORATE	**73.610**	**25.360**	**5.000**	**5.000**	**108.970**
CITY OPERATIONS					
Street Scene					
Waste Management Services	24.133	9.350	0.000	0.000	33.483
Parks & Nature Conservation	1.322	0.683	0.100	0.100	2.205
Total Street Scene	**25.455**	**10.033**	**0.100**	**0.100**	**35.688**
Private Sector Housing	**0.595**	**0.500**	**0.000**	**0.000**	**1.095**

	2023/24 £m	2024/25 £m	2025/26 £m	2026/27 £m	Total
Neighbourhoods					
Community, Sport & Events	5.270	8.900	2.861	2.861	19.892
Alexander Stadium Legacy Project	12.173	0.000	0.000	0.000	12.173
Cultural Development	5.048	0.000	0.000	0.000	5.048
Total Neighbourhoods	**22.491**	**8.900**	**2.861**	**2.861**	**37.113**
Regulation & Enforcement					
Markets Services	0.000	0.759	0.000	0.000	0.759
Bereavement	2.250	0.000	0.000	0.000	2.250
Total Regulation & Enforcement	**2.250**	**0.759**	**0.000**	**0.000**	**3.009**
Highways Infrastructure	**28.041**	**28.230**	**16.262**	**6.776**	**79.309**
TOTAL CITY OPERATIONS DIRECTORATE	**78.832**	**48.422**	**19.223**	**9.737**	**156.214**
CITY HOUSING					
Housing Options Service	**43.298**	**0.000**	**0.000**	**0.000**	**43.298**
Housing Revenue Account					
Housing Improvement Programme	181.565	151.163	107.468	108.280	548.476
Redevelopment	57.351	85.061	74.480	51.359	268.251
Other Programmes	2.113	0.650	0.658	0.667	4.088
Total Housing Revenue Account	**241.029**	**236.874**	**182.606**	**160.306**	**820.815**
TOTAL CITY HOUSING DIRECTORATE	**284.327**	**236.874**	**182.606**	**160.306**	**864.113**

	2023/24 £m	2024/25 £m	2025/26 £m	2026/27 £m	Total
PLACE, PROSPERITY & SUSTAINABILITY					
Planning & Development					
Major Projects					
Enterprise Zone - Paradise Circus	1.030	3.439	0.000	0.000	4.469
Enterprise Zone - Other	9.960	15.826	11.517	10.519	47.822
Other Major Projects	0.830	0.000	0.000	0.000	0.830
Total Major Projects	**11.820**	**19.265**	**11.517**	**10.519**	**53.121**
Total Planning & Development	**11.820**	**19.265**	**11.517**	**10.519**	**53.121**
Transport Connectivity					
Major Schemes					
A457 Dudley Road	9.459	4.583	2.000	0.000	16.042
Birmingham City Centre Retail Core Public Realm	6.980	8.100	0.000	0.000	15.080
Other (Major Schemes)	10.426	14.081	14.513	12.000	51.020
Total Major Schemes	**26.865**	**26.764**	**16.513**	**12.000**	**82.142**
Brum Breathes & Route To Zero	13.700	11.154	5.200	0.250	30.304
Active Travel	18.185	7.457	13.425	21.486	60.553
Public Transport	2.568	0.300	0.250	0.200	3.318
Infrastructure Development	1.491	1.819	0.758	0.879	4.947
Places for People (Local Neighbourhoods)	0.914	0.200	0.200	0.200	1.514
Total Transport Connectivity	**63.723**	**47.694**	**36.346**	**35.015**	**182.778**
Housing Development					
In Reach	0.000	7.900	0.000	0.000	7.900
Total Housing Development	**0.000**	**7.900**	**0.000**	**0.000**	**7.900**

	2023/24 £m	2024/25 £m	2025/26 £m	2026/27 £m	Total
Perry Barr Residential Scheme	**13.475**	**3.003**	**0.000**	**0.000**	**16.478**
Property Services					
Property Strategy	47.154	0.000	0.000	0.000	47.154
Council House Major Works	5.100	0.000	0.000	0.000	5.100
Total Property Services	**52.254**	**0.000**	**0.000**	**0.000**	**52.254**
TOTAL PLACE, PROSPERITY & SUSTAINABILITY DIRECTORATE	**141.272**	**77.862**	**47.863**	**45.534**	**312.531**
CHILDREN & FAMILIES DIRECTORATE					
Education & Early Years					
School Condition Allocations	14.000	11.750	11.084	0.000	36.834
Devolved Capital Allocation to Schools	3.289	0.000	0.000	0.000	3.289
Basic Need - Additional School Places	22.691	20.000	20.900	0.000	63.591
IT Investment	0.250	0.964	0.000	0.000	1.214
Children's Trust Accommodation	1.300	1.100	1.100	1.100	4.600
Total Education & Early Years	**41.530**	**33.814**	**33.084**	**1.100**	**109.528**
Skills & Employability					
Birmingham Libraries	0.953	2.887	0.000	0.000	3.840
Total Skills & Employability	**0.953**	**2.887**	**0.000**	**0.000**	**3.840**
TOTAL CHILDREN & FAMILIES DIRECTORATE	**42.483**	**36.701**	**33.084**	**1.100**	**113.368**
ADULT SOCIAL CARE DIRECTORATE					
Adult Care & Health					
Property Schemes	0.200	0.000	0.000	0.000	0.200

	2023/24 £m	2024/25 £m	2025/26 £m	2026/27 £m	Total
Adults IT	0.150	0.150	0.100	0.000	0.400
Telecare / TEC	0.275	0.504	0.000	0.000	0.779
Independent Living	12.943	12.943	12.943	12.943	51.772
TOTAL ADULT SOCIAL CARE DIRECTORATE	**13.568**	**13.597**	**13.043**	**12.943**	**53.151**
TOTAL CAPITAL PROGRAMME	**634.092**	**438.816**	**300.819**	**234.620**	**1,608.347**

J.5 New Capital Schemes

	2023/24 £m	2024/25 £m	2025/26 £m	2026/27 £m	Total
COUNCIL MANAGEMENT					
Corporately Held Funds					
Flexible Use of Capital Receipts - Revenue Reform	9.450	1.340	0.000	0.000	**10.790**
ICT&D – New Ways of Working	2.548	0.000	0.000	0.000	**2.548**
Corporate Capital Contingency	5.000	5.000	0.000	5.000	**15.000**
Total Council Management Directorate	**16.998**	**6.340**	**0.000**	**5.000**	**28.338**
CITY OPERATIONS					
Alexander Stadium Legacy Project	**12.172**	**0.000**	**0.000**	**0.000**	**12.172**
City of Nature	**0.100**	**0.100**	**0.100**	**0.100**	**0.400**
Reservoirs & Pools Safety Works	**0.000**	**0.583**	**0.000**	**0.000**	**0.583**
Montague Street Depot	**2.250**	**0.000**	**0.000**	**0.000**	**2.250**
Kings Norton Cemetery	**2.250**	**0.000**	**0.000**	**0.000**	**2.250**
Moseley Road Baths	**4.165**	**1.900**	**2.861**	**2.861**	**11.787**
Birmingham Museum & Art Gallery	**4.998**	**0.000**	**0.000**	**0.000**	**4.998**
Total City Operations	**25.935**	**2.583**	**2.961**	**2.961**	**34.440**
Total Capital Programme	**42.933**	**8.923**	**2.961**	**7.961**	**62.778**
Memorandum Item - Transformation Projects					
Workforce for the Future	0.053	0.000	0.000	0.000	**0.053**
Maximising income – review & benchmark cost recovery & low value leases	0.275	0.000	0.000	0.000	**0.275**
Digitally Enabled Council	4.507	1.059	0.000	0.000	**5.566**
Council Management – HR	0.500	0.000	0.000	0.000	**0.500**
Council Management – Finance	0.350	0.281	0.000	0.000	**0.631**
Council Management – ITDS	1.158	0.000	0.000	0.000	**1.158**
Council Management – Oracle Enhancements	0.750	0.000	0.000	0.000	**0.750**

	2023/24 £m	2024/25 £m	2025/26 £m	2026/27 £m	Total
Birmingham Children's Trust – Step Down Project	0.200	0.000	0.000	0.000	**0.200**
SENAR – Children & Families	0.792	0.000	0.000	0.000	**0.792**
Children & Families Directorate	0.865	0.000	0.000	0.000	**0.865**
Flexible Use of Capital Receipts Total	**9.450**	**1.340**	**0.000**	**0.000**	**10.790**

J.6 Ten Year summary Capital Programme

	2023/24 Forecast £m	2024/25 Forecast £m	2025/26 Forecast £m	2026/27 Forecast £m	2027/28 Forecast £m	2028/29 Forecast £m	2029/30 Forecast £m	2030/31 Forecast £m	2031/32 Forecast £m	2032/33 Forecast £m	Total Forecast £m
DIRECTORATE:											
COUNCIL MANAGEMENT	**73.610**	**25.360**	**5.000**	**5.000**	**5.000**	**5.000**	**5.000**	**5.000**	**5.000**	**5.000**	**138.970**
CITY OPERATIONS	**78.832**	**48.422**	**19.223**	**9.737**	**4.448**	**4.211**	**0.000**	**0.000**	**0.000**	**0.000**	**164.873**
CITY HOUSING											
Housing Options	43.298	0.000	0.000	0.000	0.000	0.329	0.000	0.000	0.000	1.693	45.320
HRA	241.029	236.874	182.606	160.306	149.553	156.915	147.691	143.747	149.526	154.760	1,723.007
TOTAL CITY HOUSING	**284.327**	**236.874**	**182.606**	**160.306**	**149.553**	**157.244**	**147.691**	**143.747**	**149.526**	**156.453**	**1,768.327**
PLACE, PROPSPERITY & SUSTAINABILITY											
Planning & Development	11.820	19.265	11.517	10.519	5.499	0.000	0.000	0.000	0.000	723.287	781.907
Transport & Connectivity	63.723	47.694	36.346	35.015	5.104	5.104	0.000	0.000	0.000	0.000	192.986
Housing Development	0.000	7.900	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	7.900
Perry Barr Residential Scheme	13.475	3.003	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	16.478
Property Services	52.254	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	52.254
TOTAL PLACE, PROSPERITY & SUSTAINABILITY	**141.272**	**77.862**	**47.863**	**45.534**	**10.603**	**5.104**	**0.000**	**0.000**	**0.000**	**723.287**	**1,051.525**
CHILDREN & FAMILIES DIRECTORATE	**42.483**	**36.701**	**33.084**	**1.100**	**0.000**	**0.000**	**0.000**	**0.000**	**0.000**	**0.000**	**113.368**
ADULT SOCIAL CARE DIRECTORATE	**13.568**	**13.597**	**13.043**	**12.943**	**12.943**	**12.943**	**12.943**	**12.943**	**12.943**	**12.943**	**130.809**
TOTAL FORECAST CAPITAL PROGRAMME	**634.092**	**438.816**	**300.819**	**234.620**	**182.547**	**184.502**	**165.634**	**161.690**	**167.469**	**897.683**	**3,367.872**

RESOURCES:	
USE OF SPECIFIC RESOURCES:	

	2023/24 Forecast £m	2024/25 Forecast £m	2025/26 Forecast £m	2026/27 Forecast £m	2027/28 Forecast £m	2028/29 Forecast £m	2029/30 Forecast £m	2030/31 Forecast £m	2031/32 Forecast £m	2032/33 Forecast £m	Total Forecast £m
Grants & Contributions	159.657	129.621	92.056	55.233	21.899	20.851	13.193	13.193	13.193	13.193	532.089
Use of earmarked Capital Receipts	99.846	65.207	38.466	45.869	28.069	27.699	13.708	18.386	23.767	24.876	385.893
Revenue Contributions - Departmental	9.158	9.823	13.416	2.813	0.000	0.329	0.000	0.000	0.000	1.693	37.232
- HRA (including reserves & S106)	75.254	68.092	72.749	68.613	72.121	65.597	61.878	64.625	69.199	74.635	692.763
TOTAL SPECIFIC RESOURCES	343.915	272.743	216.687	172.528	122.089	114.476	88.779	96.204	106.159	114.397	1,647.977
USE OF CORPORATE OR GENERAL RESOURCES:											
Corporate Resources	0.153	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.153
Unsupported Prudential Borrowing - Corporate	61.951	17.704	8.330	8.359	7.337	7.100	5.000	5.000	5.000	5.000	130.781
Unsupported Prudential Borrowing - Directorate	228.073	148.369	75.802	53.733	53.121	62.926	71.855	60.486	56.310	778.286	1,588.961
TOTAL CORPORATE RESOURCES	290.178	166.073	84.132	62.092	60.458	70.026	76.855	65.486	61.310	783.286	1,719.895
TOTAL FORECAST USE OF RESOURCES	634.092	438.816	300.819	234.620	182.547	184.502	165.634	161.690	167.469	897.693	3,367.872

APPENDIX K: TREASURY MANAGEMENT POLICY

1. Overview

1.1. This appendix sets out the Council's proposed Treasury Management Policy. The policy sets the overall framework and risk management controls which are used in carrying out the Council's borrowing, lending and other treasury activities.

2. Statutory Guidance

2.1. This Treasury Management Policy, the Treasury Strategy at Appendix I, and the Service and Commercial Investment Strategy at Appendix L, comply with the statutory requirement to have regard to the following Codes and Guidance:

- CIPFA's Code of practice for Treasury management in the public services (2021)
- CIPFA's Prudential Code for capital finance in local authorities (2021)
- The Government's Statutory Guidance on Local Authority Investments (2018)

The Council has adopted the above Codes.

3. The Council's Treasury Management Objectives

3.1. The Council's treasury management objectives and activities are defined as:

"The management of the organisation's borrowing, investments and cash flows, including its banking, money market and capital market transactions; the effective control of the risks associated with those activities; and the pursuit of optimum performance consistent with those risks."

3.2. Effective treasury management will provide support towards the achievement of the Council's business and service objectives. It is therefore committed to the principles of achieving value for money in treasury management, and to employing suitable comprehensive performance measurement techniques, within the context of effective risk management[2].

4. Treasury Management Risks

4.1. The Council attaches a high priority to a stable and predictable charge to revenue from treasury management activities, because borrowing costs form a significant part of the Council's revenue budget. The Council's objectives in relation to debt and investment can be stated more specifically as follows:

"To assist the achievement of the Council's service objectives by obtaining funding and managing the Council's debt and treasury investments at a net cost which is as low as

[2] Paragraphs 3.1, 3.2, 3.6 and the final sentence of 4.5 are required by the CIPFA Treasury Management Code

possible, consistent with a high degree of interest cost stability and a very low risk to sums invested."

4.2. This does not mean that it is possible to avoid all treasury risks, and a balance has to be struck. The main treasury risks which the Council is exposed to include:

- Interest rate risk - the risk that future borrowing costs rise
- Credit risk - the risk of default in a Council investment
- Liquidity and refinancing risks - the risk that the Council cannot obtain funds when needed
- Environmental, Social and Governance (ESG) risks – the risk that the Council's treasury activities negatively impact sustainability and climate change.

4.3. The Treasury Management team has suitably qualified and trained staff to actively manage treasury risks within this Policy framework. However, staff resources are limited, and this may constrain the Council's ability to respond to market opportunities or take advantage of more highly structured financing arrangements. External advice and support may also be required. The following activities may for example be appropriate based on an assessment at the time, to the extent that skills and resources are available:

- the refinancing of existing debt
- borrowing in advance of need, and forward-starting loans
- leasing and hire purchase
- use of innovative or more complex sources of funding such as listed bond issues, private placements, ESG bond issues and private placements, commercial paper, Islamic finance, and sale and leaseback structures
- investing surplus cash in institutions or funds with a high level of creditworthiness, rather than placing all deposits with the Government

4.4. The successful identification, monitoring and control of risk are the prime criteria by which the effectiveness of the Council's treasury management activities will be measured. Accordingly, the analysis and reporting of treasury management activities will focus on their risk implications for the organisation, and any financial instruments entered into to manage these risks.

4.5. The Council's approach to the management of treasury risks is set out in the rest of this Treasury Management Policy.

5. Managing Treasury Risks[3]

Interest Rate Exposures

[3] Throughout this Financial Plan, debt and investments are expressed at nominal value, which may be different from the amortised cost value required in the statutory accounts.

5.1. It is important for the Council to manage its interest rate exposure due to the risk that changes in the level of interest rates leads to an unexpected burden on the Council's finances. As the Council has and expects to have significant loan balances, rather than investment balances, a rise in interest rates poses greater risks for the Council.

5.2. The stability of the Council's interest costs is affected by the level of borrowing exposed to short term or variable interest rates. Short term interest rates are typically lower, so there can be a trade-off between short term savings and long term budget stability. The Council will therefore limit the amount of the short term debt it holds in order to manage its variable interest rate exposure. The Council will monitor the impact of a 1% interest rate rise on the General Fund, to ensure that it can adequately protect itself should this or a similar scenario occur:

Table K.1 Prudential Limits - Interest Rate Exposure

% of loan debt (net of investments)	2023/24	2024/25	2025/26	2026/27
General Fund impact of an unbudgeted 1% rise in interest rates	£3.3m	£3.5m	£2.8m	£3.2m
Upper limit on net variable rate exposures	30%	30%	30%	30%

5.3. The current planned variable rate exposure is set out in the Treasury Management Strategy Appendix I.

5.4. Decisions taken to borrow in advance of need will consider all treasury risks together, including interest rate risk and investment risk (credit risk). Such decisions need to weigh the financial implications and risks of deferring borrowing until it is needed (by which time fixed interest rates may have risen), against the cost of carry and financial implications of reinvesting the cash proceeds until required. The Council will only borrow in advance of need where there is a clear business case for doing so and will only do so for the forecast capital programme, to replace maturing loans, or to meet other expected cashflows.

6. Maturity Profile

6.1. The Council will have regard to forecast Gross Loan Debt in managing the maturity profile. This takes account of forecast cashflows and the effect of MRP (minimum revenue provision for debt repayment) to produce a liability benchmark against which the Council's actual debt maturity profile is managed. Taking this into account the proposed limits are as follows:

Table K.2 Prudential Limits - Maturity Structure of Fixed Rate Borrowing

	lower and upper limits:
under 12 months	0% to 30% of gross loan debt
12 to 24 months	0% to 30%
24 months to 5 years	0% to 30%
5 to 10 years	0% to 30%
10 to 20 years	5% to 40%
20 to 40 years	10% to 60%
40 years and above	0% to 40%

7. Investment Policy: All Investments

7.1. The CIPFA Prudential and Treasury Codes recommend that authorities' capital strategies should include a policy and risk management framework for all investments. The Codes identify three types of local authority investment:

- Treasury management investments, which are taken to manage cashflows and as part of the Council's debt and financing activity
- Commercial investments (including investment properties), which are taken mainly to earn a positive net financial return
- Service investments, which are taken mainly to support service outcomes

7.2. The Government's investment guidance strengthens the management and reporting framework relating to commercial and service investments.

8. Investment Policy: Service and Commercial Investments

8.1. Service and commercial investments are taken out for different reasons from treasury management investments. The Council's strategy for such investments, including commercial property investments, is set out in Appendix L.

9. Investment Policy: Treasury Management Investments

9.1. The Council is a substantial net borrower and only has cash to invest for relatively short periods as a result of positive cashflow or borrowing in advance of expenditure.

9.2. The Council's cashflows and treasury management activity will generally result in temporarily surplus cash to be invested. The following paragraphs set out the Council's policy for these 'treasury management' investments.

9.3. The investment of temporarily surplus cash results in credit risk, i.e. the risk of loss if an investment defaults. In accordance with Government investment guidance, the Council distinguishes between:

- ‘Specified Investments’ which mature within 12 months and have a ‘high credit quality’ in the opinion of the authority
- ‘Non-specified Investments’ which are long term investments (i.e. maturing in 12 months or more), or which do not have such high credit quality. The Government views these as riskier. Such investments require more care, and are limited to the areas set out in the policy for Non-specified Investments below

9.4. Low investment risk is a key treasury objective, and in accordance with Government and CIPFA guidance, the Council will seek a balance between investment risk and return that prioritises security and liquidity as more important than achieving a high return. The Council will also consider secured forms of lending such as covered bonds, but these instruments are not generally available for short term and smaller size deposits.

9.5. The Council seeks to be a responsible investor and will consider ESG factors within the relatively narrow scope of its investments. The Council makes few if any investments in listed equities or bonds and will seek to avoid investment in companies whose business do not have regard to ESG objectives.

9.6. The Council will continue to make deposits only with institutions having high credit quality as set out in the Lending Criteria table below. The main criteria and processes which deliver this are set out in the following paragraphs.

10. Specified Investments

10.1. The Council will limit risks by applying lending limits and criteria for ‘high credit quality’ as shown in Table K.3; these limits have been set by the Council in consultation with Treasury advisors.

Table K.3 Lending Criteria

‘Specified’ short term loan investments (all in Sterling)	Minimum Short term rating*	Minimum Long term rating*	Maximum investment per counterparty
Banks (including overseas banks) and Building Societies	F1+ /A1+ /P1	AA- /AA- /Aa3	£25m
	F1+ /A1+ /P1	A- / A- /A3	£20m
	F1 /A1 /P1	A- / A- /A3	£15m
	F2 /A2 /P2	BBB+ /BBB+ /Baa1	£10m
Sterling commercial paper and corporate bonds	F1+ /A1+ /P1	A- / A- /A3	£15m

Sterling Money Market Funds (short term and Enhanced)	AAA (with rating indicating lowest level of volatility where applicable)		£40m
Local authorities	n/a	n/a	£25m
UK Government and supranational bonds	n/a	n/a	None
UK Nationalised Banks and Government controlled agencies	n/a	n/a	£25m
Secured investments including repo and covered bonds	Lending limits determined as for banks (above) using the rating of the collateral or individual investment		

* Fitch / S&P / and Moody's rating Agencies respectively. Institutions must be rated by at least two of the Agencies, and the lowest rating will be taken into account.

10.2. Money may be lent to the Council's own banker, in accordance with the above lending limits. However, if the Council's banker does not meet the above criteria, money may only be lent overnight (or over the weekend), and these balances will be minimised.

10.3. Credit ratings are monitored on a real-time basis as provided via the Council's Treasury Management advisers, Arlingclose, and the Council's lending list is updated accordingly, when a rating changes. Other information is taken into account when deciding whether to lend. This may include the ratings of other rating agencies; commentary in the financial press; analysis of country, sector and group exposures; and the portfolio make up of Money Market Funds (MMFs). The use of particular permitted counterparties may be restricted if this is considered appropriate.

10.4. Credit rating methodologies and credit limit requirements may change as the circumstances demand: in this event the Strategic Director of Council Management (Section 151 Officer) may determine revised and practicable criteria seeking similarly high credit quality, pending the next annual review of this treasury management policy.

11. Non-specified Investments and Limit

11.1. For treasury management investment purposes, the Council will limit non-specified investments to £400m (there are presently none), and will use only the following categories of non-specified investments:

- Government stocks (or "Gilts") and other supranational bonds, with a maturity of less than five years: up to 100% of non-specified investments
- Covered bonds and repo where the security meets the Council's credit criteria set out above: up to 50% of non-specified investments
- Unsecured corporate bonds, Certificates of Deposit (CD) or Commercial Paper (CP) with a maturity of less than three years, subject to the Lending Criteria in the table above: up to 20% of non-specified investments

11.2. Other categories of non-specified investments will not be used for treasury management purposes.

12. Investments of Group companies

12.1. The Council participates in a range of joint ventures and companies. The Treasury Management team maintains a group Treasury Policy for group entities with significant investment balances, with the objective that the treasury investments of the companies are invested consistently with the Council's own treasury investment criteria. This is generally achieved by the Council taking deposits at a commercial rate from the companies.

13. Investment Maturity

13.1. Temporarily surplus cash will be invested having regard to the period of time for which the cash is expected to be surplus. The CIPFA Prudential Code envisages that authorities will not borrow more than three years in advance, so it is unlikely that the Council will plan to have surplus cash for longer than three years. However, where surplus cash for over 12 months is envisaged, it may be appropriate to include some longer term (non-specified) investments within a balanced risk portfolio. The following limits will be applied:

Table K.4 Prudential Limits on Long-term treasury management investments :

1-2 years	£400m
2-3 years	£100m
3-5 years	£100m

13.2. In making investments in accordance with the criteria set out in this section, the Strategic Director of Council Management (Section 151 Officer) will seek to spread risk (for example, across different types of investment and to avoid

concentration on lower credit quality). This may result in lower interest earnings, as safer investments will usually earn less than riskier ones.

13.3. Where the Council deals with financial firms under the MiFID II regulations[4], it has requested to be opted up to 'professional' status. This means that the Council does not receive the level of investment advice and information which firms are required to provide to retail investors. Professional status is essential to an organisation of the Council's size, to give it access to appropriate low-risk investments available only to investors classed as professional, and to ensure that it is able to act quickly to invest Council funds safely and to earn a good return.

13.4. The Council does not currently use investment managers (other than through the use of pooled investment vehicles such as Money Market Funds). However, if investment managers are appointed, their lending of Council funds would not be subject to the above restrictions, provided that their arrangements for assessing credit quality and exposure limits have been agreed by the Strategic Director of Council Management (Section 151 Officer).

14. Policy for HRA Loans Accounting

14.1. The Council attributes debt and debt revenue consequences to the HRA using the 'two pool' method set out in the CIPFA Treasury Management Code. This method attributes a share of all pre-April 2012 long term loans to the HRA. Any new long term loans for HRA purposes from April 2012 are separately identified. The detailed accounting policy arising from the 'two pool' method is maintained by the Strategic Director of Council Management (Section 151 Officer).

15. The Council Acting as Agent

15.1. The Council acts as intermediary in its role as agent for a number of external bodies. This includes roles as accountable body, trustee, and custodian, and these may require the Council to carry out treasury management operations as agent. The Strategic Director of Council Management (Section 151 Officer) will exercise the Council's treasury responsibilities in accordance with the Council's treasury delegations and relevant legislation, and will apply any specific treasury policies and requirements of the external body. In relation to the short term cash funds invested as accountable body, the Council expects to apply the investment policy set out above.

16. Reporting and Delegation

16.1. A Treasury Management Strategy report is presented as part of the annual Financial Plan to the Council before the start of each financial year. Monitoring reports are prepared monthly, and presented quarterly to Cabinet, including an Annual Report after the year end.

[4] The Markets in Financial Instruments Directive 2 (MiFID II) regulates, amongst other things, the way that financial firms provide advice to various categories of client.

16.2. The management of borrowings, loans, debts, investments and other assets has been delegated to the Strategic Director of Council Management (Section 151 Officer) acting in accordance with this Treasury Management Policy Statement. This encompasses the investment of trust funds where the Council is sole trustee, and other investments for which the Council is responsible such as accountable body funds. The Strategic Director of Council Management (Section 151 Officer) reports during the year to Cabinet on the decisions taken under delegated treasury management powers.

16.3. In exercising this delegation, the Strategic Director of Council Management (Section 151 Officer) may procure, appoint and dismiss brokers, arranging and dealer banks, investment managers, issuing and paying agents, treasury consultants and other providers in relation to the Council's borrowing, investments, and other treasury instruments and financing arrangements, and in relation to funds and instruments where the Council acts as agent.

16.4. The Strategic Director of Council Management (Section 151 Officer) maintains statements of Treasury Management Practices in accordance with the Code:

TMP1	Treasury risk management
TMP2	Performance measurement
TMP3	Decision-making and analysis
TMP4	Approved instruments, methods and techniques
TMP5	Treasury management organisation, clarity and segregation of responsibilities, and dealing arrangements
TMP6	Reporting requirements and management information arrangements
TMP7	Budgeting, accounting and audit arrangements
TMP8	Cash and cash flow management
TMP9	Money laundering
TMP10	Training and qualifications
TMP11	Use of external service providers
TMP12	Corporate governance

Similarly, Investment Management Practices for service and commercial investments are prepared in accordance with the Treasury Management Code.

17. Training

17.1. Planned and regular training for appropriate treasury management staff is essential to ensure that they have the skills and up to date knowledge to manage treasury activities and risks and achieve good value for the Council. Staff training will be planned primarily through the Council's performance and development review process, and in accordance with Treasury Management Practice 10. Training and briefings for Councillors are also held as appropriate.

APPENDIX L: SERVICE & COMMERCIAL INVESTMENT STRATEGY

Compliance with the main requirements of the Government's Statutory Guidance on Local Government Investments is shown by cross reference in square brackets to the relevant paragraph of the Guidance.

1. Scope and Purpose of Strategy

1.1. The word "Investments" in this strategy covers financial investments, including loans and shares, which have been made to support service and commercial objectives. Examples include loans to InReach and Warwickshire County Cricket Club, and the Council's investment in Birmingham Airport. Non-financial investments such as commercial property are included where the main objective had been for financial return [4]. Any such property investments are historic and the Council does not now invest primarily for yield. Investments taken for treasury management reasons are considered in the Treasury Management Strategy and Policy, which are separate appendices in this Financial Plan.

1.2. This strategy sets out the Council's approach to such investments, including risk management, appraisal, monitoring, governance and procedures. In doing this it addresses the requirements of the 2018 Statutory Guidance on Local Government Investments.

1.3. Investment values provided in this appendix are the book values in the Council's accounts (generally historic cost), unless otherwise stated.

2. Objectives of the Strategy

2.1. To use investments where appropriate to support the Council's priorities, within prudent financial limits.

2.2. To ensure that investment decisions and portfolio management are joined up with the Council's overall business and financial planning.

2.3. To deliver value for money to meet service objectives on commercial or less than commercial terms.

2.4. To manage risks in accordance with the Council's risk appetite and financial circumstances (including due diligence when making investment decisions).

3. The Existing Financial and Property Investment Portfolios

3.1. The Council's service and commercial investments are extremely diverse, given their very different service motives and applications. The estimated book value of financial investments at 31 March 2022 is £114.0m. This value is largely historic cost and may vary from the value that may be realised if investments were disposed in the current market.

3.2. A reorganisation of the Council's property investment portfolio is underway in accordance with the revised Council's Property Investment Strategy. Its net income in 2023/24 is budgeted at £21.9m.

3.3. Table L.3 at the end of this appendix shows the main contribution of the Council's service and commercial investments to Council objectives. [22]

4. Investment Policy and Strategy 2023+

4.1. Joint working, partnerships and joint delivery arrangements are key to the effective provision of Council and wider public services. Financial and property investments are likely to be an ongoing element of the Council's partnership working.

4.2. In the context of the current Council Plan and priorities, investments may feature in arrangements for:

- Supporting specific policy priorities in the Council Plan or policy frameworks, e.g. housing, regeneration or preventative action
- Supporting partnership working, including with the voluntary sector
- Supporting the Council's savings proposals by providing a direct and indirect financial return within the constraints of the revised Prudential Code and Department for Levelling Up, Housing and Communities (DLUHC) guidelines.

4.3. The Council recognises that all investments carry varying risks of financial loss. The risk of losses may seem distant or not be apparent at the time an investment decision is made, but an estimate of the risk of loss needs to be considered from the outset. Financial gains and losses from investments will be the responsibility of the service to which the investment relates.

4.4. The Council will be especially prudent where investments are funded wholly or partly from borrowing. Debt "gearing" creates additional costs of interest and repayment. It creates a fixed liability and a fixed repayment obligation, whilst the investment's value and income may be at risk. The scope for the Council to borrow to fund investments is also limited by the relatively high level of Council debt and limited headroom for additional borrowing.

4.5. In line with Government Guidance the Council will not borrow to invest purely for financial gain [46]. This principle does not prevent the Council from borrowing for the prudent management of its financial affairs or protection of its existing financial and property investment portfolios in its financial best interests.

4.6. The Council's risk appetite in relation to new financial investments will therefore be low, given the high level of financial risks the Council is already exposed to, including the need to balance the revenue budget and manage the level of Council debt. Any new investments will therefore be expected to:

- Show a compelling contribution to the Council's core objectives and planned service strategies, and must be prioritised within the Council's available resources.
- Evidence a low financial risk with a commensurate financial return, or if returns are below commercial levels, provide clear non-financial benefits to the Council which demonstrate strong value for money, and comply with Subsidy Control requirements[5].
- Be prioritised within the investment limits set out below, to ensure that investment activity remains proportionate to the Council's finances overall.
- Strike a prudent balance between security, liquidity and yield (whilst recognising that the delivery of particularly strong service benefits may sometimes justify a higher financial risk) [29]
- Meet the Council's Environmental, Social and Governance (ESG) considerations

4.7. The Council is mindful of Government and CIPFA advice that commercial investments including property must be proportionate to the resources of the authority [34]. The Council should avoid becoming over-reliant on risky investment income to support core service obligations, especially given its low investment risk appetite set out in 4.6 above.

4.8. HM Treasury issued updated Public Works Loans Board (PWLB) lending terms in August 2021 that confirmed local authorities would not be able to access PWLB loans if they invest in investment assets primarily for yield, after 26 November 2020. The Council is not currently planning any investments primarily for yield. All service and commercial investments will have regard to the guidance and lending terms issued by HM Treasury.

4.9. Budgeted net income from service and commercial investments (including property) represents 2.5% of the net revenue budget by 2023/24 [44]. This investment income exposure represents a manageable financial risk and will be monitored as part of the Council's normal revenue monitoring as well as through the investment indicators (paragraph 7.1 below).

4.10. Any shortfall in budgeted net income from service and commercial investments will be managed through the Council's regular budget monitoring and mitigation processes, and through the investment governance arrangements described in paragraph 8.1 below [44].

4.11. The arrangements for realising investments and managing liquidity risk will depend on the purpose and nature of the investment in each case. Where investments have been made to support service purposes and have been funded from cash resources, there is not a funding pressure to have an investment exit route in place. Where investments are funded by borrowing, the Council's MRP

[5] Following the UK's exit from the European Union (EU), The EU State Aid regime is being replaced by the broadly similar UK Subsidy Control regime from January 2023.

Policy (Appendix M) sets out the arrangements to repay debt without resorting to a sale of the investments [42-43].

5. Financial Investment Plans and Limits for 2023+

5.1. An area of additional investment proposed in this Financial Plan is to expand the Council's investment in InReach (Birmingham) Ltd, its wholly-owned housing company. The Council has provided loans and equity of £15.4m to develop the Embankment private rented housing scheme. Construction of this development was completed some 5 years ago, with strong demand for the properties and good year on year rental income growth.

5.2. InReach continues to explore opportunities to acquire or develop further schemes to increase its housing supply, with a particular focus on the market rented sector. This may include a role in relation to some of the new housing being delivered as a part of the Perry Barr Regeneration Scheme. Any additional schemes will be subject to individual appraisals, and where significant capital investment is required it is likely that the provision of funding to InReach will be in the form of a blend of additional equity investment and secured loans.

5.3. The main financial risk when investing in loans and equity is that the loan repayments are not made and that the shares lose value. In order to limit the financial impact of investment risks, an overall limit for the Council's service and commercial investments over the next three years (excluding the property investment portfolio) is proposed as follows:

Table L.1 Service and Commercial Investment Strategy

Financial Investments	**est value at 31.03.22 £m**	Planned Changes £m	total value £m	limit £m
Loans to subsidiaries	**37.8**	-1.0	36.7	
Loans to businesses	**28.9**	-6.3	22.6	
Other loans	**9.4**	-1.1	8.4	
Shares in subsidiaries	**8.4**	0.0	8.4	
Shares in businesses	**27.8**	0.0	27.8	
other shares	**1.7**	0.0	1.7	
Total	**114.0**	**-8.4**	**105.6**	**597.6**
The figures above are the estimated book value in the Council's accounts				

5.4. The planned changes reflect the proposals described above, over the medium term to 2026/27. The limit has been set with a view to allowing scope for further investment of £492m during this period. This includes potential for further investment in InReach (likely to be a blend of additional equity investment and secured loans) to support the Perry Barr Residential Scheme, as well as investment in major regeneration projects. These investments would be subject to resource prioritisation and business case approval. Cabinet may approve a reallocation of individual limits within the total limit above. The limit applies to the

Council's own investments and not to investments which it holds as accountable body or on behalf of others [34, 36].

5.5. Investments may also carry liquidity risk, which is the risk that funds may be tied up in investments and not available if needed for other purposes. The Council's due diligence procedures for investments review liquidity risk, including how exit routes have been considered and the appropriate maximum period for investments to be committed [42].

6. Property Investment Portfolio Plans and Limits for 2023+

6.1. The Council's Strategy for the Property Investment Portfolio was approved by Cabinet in July 2019. This included seeking to remove lower value and inefficient commercial property holdings from the portfolio and reinvesting the proceeds into the portfolio, with a view to a better risk balanced portfolio, meeting service objectives and reducing running costs. The implementation of this strategy will be in accordance with the revised Prudential Code and PWLB lending terms, ensuring the primary objective of any new acquisitions is service delivery, housing, economic regeneration or preventative action.

6.2. The strategy is supported by borrowing and additional investment headroom, currently estimated at an average of £100m a year from 2022/23 to 2025/26. In addition, capital receipts from the portfolio's asset sales will be used to either fund new acquisitions or repay borrowing.

6.3. The main financial risks of property investment are that rental income or property values may fall as a result of changing economic and market conditions, or due to the condition of individual properties. The risk of loss compared with any borrowing taken to purchase investments is shown by the indicator below for the % of investments financed from borrowing [38-40]. The property risks in this strategy will be managed by the Property Investment Board in accordance with the parameters and procedures set out in the Property Investment Strategy approved by Cabinet, and within the average investment limit of £100m a year.

6.4. Liquidity risk in property investments will be managed by the Property Investment Board and through the limit of an average £100m a year on new investments [43].

7. Investment Indicators

7.1. The Council will use the following investment indicators to strengthen its investment risk management framework, as recommended by the Government Guidance [23]:

Table L.2 Service and Commercial Investment Indicators

Service and commercial investment indicators	2022/23 £m	2023/24 £m	2024/25 £m	2025/26 £m
Financial investments				
planned value	108.6	107.2	106.2	105.5
borrowing to fund investments	48.1	46.8	45.9	45.3
% investments financed by borrowing	44.3%	43.7%	43.3%	42.9%
secured investments	58.9	57.9	57.4	56.8
% investments secured	54.3%	54.1%	54.0%	53.8%
Budgeted investment income (financial and property)				
Net investment income	21.9	30.7	44.9	46.2
Council net revenue budget	867.4	924.3	941.2	955.3
Investment income as % of net revenue budget	2.5%	3.3%	4.8%	4.8%
Financial investment limit (cumulative)	391.6	452.6	552.6	597.6
New property investment limit	175.0	100.0	100.0	0.0

8. Governance

8.1. The Capital Board will review new investment proposals and programmes prior to approval and will monitor existing investments and risks. The Development and Commercial Finance Team and the Treasury Management team will exercise Council-wide oversight and co-ordination of service and commercial investments.

8.2. Financial and property investment decision making will follow the Council's Business Case governance requirements, with particular attention to expert due diligence, robust financial appraisal and taking external advice in consultation with the Strategic Director of Council Management (Section 151 Officer). Procedures and checklists for investment appraisal and management are set out in the Council's financial procedures (the Loans, shares, investments and guarantees for service purposes document on the Council's Intranet) [41,50].

8.3. Market understanding and analysis will be the responsibility of the relevant service supported by their Finance Business Partner and the Treasury Management team, but it is recognised that for complex investments, external advice is likely to be needed [41]. New investments must reflect the Council's core priorities and must be agreed by the Strategic Director of Council Management (Section 151 Officer) via the Treasury Management team before presentation of any executive decision report.

8.4. Individual investment monitoring is the responsibility of the service holding the income budget, as part of normal budget monitoring, with overall co-ordination and oversight from Finance staff.

8.5. Investment Management Practices are required by the CIPFA Treasury Management Code to support strong and sound financial management in this specialist area. These will be maintained for each type of investment by the service budget-holder responsible, with support from Development and Commercial Finance, and will include appropriate income collection and credit control arrangements [41]. Investment Management Practices will be reviewed annually.

8.6. Advisers will be used where necessary to achieve sufficient skills and understanding. In particular, the Council's treasury management adviser (Arlingclose) can provide support in relation to financial investments, and the Council also retains a property adviser to support the Property Investment Portfolio. These appointments are monitored and assessed by treasury and property officers [41]. The Council's business loans and investments portfolio is managed by Finance Birmingham, the Council's wholly owned fund management company.

8.7. Officer and Member training will be available through the Council's treasury advisers, alongside treasury management training opportunities. Information relevant to investment decisions will form part of executive decision reports to members [48]. Cabinet Committee – Group Company Governance and relevant officers also receive training on companies. Due diligence requirements for investments will ensure that officers are aware of the core principles of the prudential framework and local authority regulatory requirements [49]. These arrangements will support the capacity, skills and culture of the Council in making and managing investments for service and commercial purposes [48-49].

Table L.3 Contribution of Investments to Council Outcomes

Financial Investments	main contribution	other contribution
Loans		
InReach Ltd - housing developments	housing	profit
Birmingham Propco (NEC Hotels)	economy	profit
Performances Birmingham Ltd	economy	arts
Millennium Point	economy	arts
Business loans portfolio	economy	
Warwickshire County Cricket Club	economy	
Acivico ICT Loan	economy	
BLLP	education	
Kick Start loans	housing	
Other commercial loans	various	
Loans to non-BCC schools	education	
Birmingham Childrens Trust	children	
Other small loans	various	
loans to employees	management	employees
Wholesale Markets	economy	profit
Shares		
Birmingham Airport Holdings	economy	profit
InReach Ltd	housing	
Birmingham Propco (NEC Hotels)	economy	profit
Business share portfolio	economy	
Financial vehicle shareholdings	financial mgt	economy
Other small share holdings	various	

Property investment portfolio		
Investment Properties	economy	profit
other commercial property portfolio	economy	profit

APPENDIX M: DEBT REPAYMENT POLICY

Minimum Revenue Provision Statement 2023/24

1. Introduction

1.1. The Government's Capital Finance and Accounting Regulations require local authorities to make 'prudent annual provision' in relation to capital expenditure financed from borrowing or credit arrangements. This is known as Minimum Revenue Provision or MRP, but it is often referred in shorthand as "debt repayment". Local authorities are required to have regard to the Government's statutory guidance on MRP.

1.2. This policy applies to the financial year 2023/24. Any interpretation of the statutory guidance or this policy will be determined by the Section 151 Officer (currently the Strategic Director of Council Management).

2. Principles of Debt Repayment Provision

2.1. The term 'prudent annual provision' is not defined by the Regulations. However, the statutory guidance says:

"the broad aim of prudent provision is to ensure that debt is repaid over a period that is either reasonably commensurate with that over which the capital expenditure provides benefits, or, in the case of borrowing supported by Government Revenue Support Grant, reasonably commensurate with the period implicit in the determination of that grant".

2.2. The guidance does not prescribe the annual repayment profile to achieve this aim, but suggests four methods for making MRP which it considers prudent, and notes that other methods are not ruled out. The Council regards the broad aim of MRP as set out above as the primary indicator of prudent provision, whilst recognising the flexibilities which exist in determining an appropriate annual repayment profile.

2.3. The Council considers that the above definition of 'prudent' does not mean the quickest possible repayment period, but has regard to the prudent financial planning of the authority overall, the flow of benefits from the capital expenditure, and other relevant factors.

2.4. Consistent with the statutory guidance, the Council will not review the individual asset lives used for MRP as a result of any changes in the expected life of the asset or its actual write off. Some assets will last longer than their initially estimated life, and others will not; the important thing is the reasonableness of the estimate.

3. General Fund MRP Policy: Borrowing pre 31 March 2008

3.1. The Council's policy is to charge MRP on the pre-2008/09 borrowing at 2% of the balance at 31 March 2008, fixed at the same cash value so that the whole debt is repaid after 50 years.

4. General Fund MRP Policy: Prudential Borrowing from 1 April 2008

4.1. The general repayment policy for prudential borrowing from 1 April 2008 is to repay borrowing within the expected life of the asset being financed, subject to a maximum period of 50 years.

4.2. The Council's policy is in accordance with the "Asset Life" method in the guidance. The repayment profile will follow an annuity repayment method (like many domestic mortgages) which is one of the options set out in the guidance. This is subject to the following details:

- An average asset life for each project will normally be used. This will be based on the asset life normally used for depreciation accounting purposes (recognising that MRP is estimated at the start of the project, whereas depreciation is not determined until the project has finished, so there may be estimation differences).
- There will not be separate MRP schedules for the components of a building (e.g. plant, roof etc.).
- A standard schedule of asset lives will generally be used, but where borrowing on a project exceeds £10m, expert property advice may also be taken into account.
- Asset life will be determined by the Section 151 Officer.

4.3. MRP will commence in the year following the year in which capital expenditure financed from borrowing is incurred, except for single assets where over £1m financed from borrowing is planned, where MRP may be deferred until the year after the asset becomes operational.

4.4. Other methods to provide for debt repayment may occasionally be used in individual cases where this is consistent with the statutory duty to be prudent, as justified by the circumstances of the case, at the discretion of the Section 151 Officer.

4.5. If appropriate, shorter repayment periods (i.e. less than the asset life) may be used for some or all new borrowing.

5. Housing Revenue Account MRP Policy

5.1. The statutory MRP Guidance states that the duty to make MRP does not extend to cover borrowing or credit arrangements used to finance capital expenditure on HRA assets. This is because of the different financial structure of the HRA, in which depreciation charges have a similar effect to MRP.

5.2. The Council's policy is that net HRA debt will reduce over time. This will support the maintenance of a balanced and sustainable HRA Business Plan with the capacity to meet investment needs in later years. The Council will also seek to deliver a reduction in HRA debt per dwelling. Additional voluntary HRA debt repayment provision may be made from revenue or capital resources.

6. Concession Agreements and Finance Leases

6.1. MRP in relation to concession agreements (e.g. PFI contracts) and finance leases will continue to be calculated on an asset life method for assets under contracts in place before 1 April 2018, using an annuity repayment profile, consistent with the method for prudential borrowing in paragraph 8 above. For assets under contracts entered into from 1 April 2018, the annual MRP charge will match the element of the rent/charge that goes to write down the balance sheet liability, to reflect accounting changes under IFRS16. The Section 151 Officer will determine the appropriate treatment, having regard to the MRP Guidance, in complex cases.

7. Transferred Debt

7.1. Transferred Debt is debt held by another local authority whose costs are recharged to the Council (usually as a result of earlier reorganisations, such as the abolition of the former County Council). MRP in relation to Transferred Debt will be charged in line with the MRP policy for borrowings pre 31 March 2008, as described in paragraph 6, as the transferred debt relates to that period.

SPECIFIC SITUATIONS

8. Statutory capitalisations

8.1. Expenditure which does not create a fixed asset, but is statutorily capitalised, will follow the MRP treatment in the Government guidance, apart from any exceptions provided for below.

9. Capitalised loans to others

9.1. MRP on capitalised loan advances to other organisations or individuals will not be required. Instead, the capital receipts arising from the loan principal repayments will be used as provision to repay debt. Where principal repayments are not broadly spread over the life of the loan, the Section 151 Officer may determine that annual Revenue MRP must be made for reasons of prudence. Revenue MRP contributions would still be required equal to the amount of any default on the repayment of the loan advanced.

10. Enterprise Zone (EZ)

10.1. Borrowing by the Council related to the Greater Birmingham & Solihull Local Enterprise Partnership (GBSLEP), and which is supported by additional Business Rates from the EZ or from other GBSLEP income, will be repaid within the lifetime of the EZ or other associated income stream (or the estimated life of the assets being funded, if shorter). This was originally 2038, but has been extended to 2046. This means that the repayment period for EZ-supported borrowing will reduce each year so that all EZ debt can be repaid by 2046.

11. Voluntary repayment of debt

11.1. The Council may make additional voluntary debt repayment provision from revenue or capital resources. In this case, the Section 151 Officer may make an appropriate reduction in later years' levels of MRP.

11.2. Where it is proposed to make a voluntary debt repayment provision in relation to prudential borrowing from 2008/09 under the asset life method, it may be necessary to decide which assets the debt repayment relates to, in order to determine the reduction in subsequent MRP. The following principles will be applied by the Section 151 Officer in reaching a prudent decision:

- where the rationale for debt repayment is based on specific assets or programmes, any debt associated with those assets or programmes will be repaid
- where the rationale for debt repayment is not based on specific assets, debt representative of the service will be repaid, with a maturity reflecting the range of associated debt outstanding

11.3. Subject to the above two bullet points, debt with the shortest period before repayment will not be favoured above longer MRP maturities, in the interests of prudence, to ensure that capital resources are not applied for purely short term benefits.

11.4. Based on this policy, the Capital Financing Requirement (CFR) will be fully repaid by no longer than 50 years after any prudential borrowing is incurred (including PFI). Existing PFI contracts will be fully repaid 40 years after the final capital expenditure under the Council's PFI contracts. On new PFI / finance lease contracts it will be repaid in line with the contractual payments as set out in paragraph 14.

APPENDIX N: PRUDENTIAL INDICATORS

Appendix N1

	WHOLE COUNCIL	23/24 Indicators £m	24/25 Indicators £m	25/26 Indicators £m	26/27 Indicators £m
	Capital Finance				
1	Capital Expenditure - Capital Programme	599.4	425.1	300.8	234.6
2	Capital Expenditure - other long term liabilities	34.3	35.3	36.8	35.5
3	Capital Expenditure	633.7	460.4	337.6	270.1
4	Capital Financing Requirement (CFR)	4,753.5	4,986.1	4,976.4	4,996.7
	Planned Debt				
5	Peak loan debt in year	3,522.1	3,680.4	3,673.0	3,664.7
6	+ Other long term liabilities (peak in year)	348.8	322.2	295.5	273.8
7	= Peak debt in year	3,870.9	4,002.6	3,968.5	3,938.5
8	does peak debt exceed year 3 CFR?	no	no	no	no
	Prudential limit for debt				
9	Gross loan debt	4,151.2	4,477.8	4,704.5	4,726.2
10	+ other long term liabilities	348.8	322.2	295.5	273.8
11	= Total debt	4,500.0	4,800.0	5,000.0	5,000.0

Notes

4 The Capital Financing Requirement represents the underlying level of borrowing needed to finance historic capital expenditure (after deducting debt repayment charges). This includes all elements of the CFR including Transferred Debt.

5-7 These figures represent the forecast peak debt (which may not occur at the year end). The Prudential Code calls these indicators the Operational Boundary.

8 It would be a cause for concern if the Council's loan debt exceeded the CFR, but this is not the case due to positive cashflows, reserves and balances.

11 The Authorised limit for debt is the statutory debt limit. The City Council may not breach the limit it has set, so it includes allowance for uncertain cashflow movements and potential borrowing in advance for future needs.

Appendix N2

	HOUSING REVENUE ACCOUNT	23/24 Indicators £m	24/25 Indicators £m	25/26 Indicators £m	26/27 Indicators £m
	Capital Finance				
1	Capital expenditure	241.0	236.9	182.6	160.3
	HRA Debt				
2	Capital Financing Requirement (CFR)	1,172.8	1,283.7	1,357.2	1,403.8
	Affordability				
3	HRA financing costs	114.6	123.1	127.1	128.5
4	HRA revenues	303.6	316.7	325.0	333.1
5	HRA financing costs as % of revenues	37.7%	38.9%	39.1%	38.6%
6	HRA debt : revenues	3.9	4.1	4.2	4.2
7	Forecast Housing debt per dwelling	£20,163	£22,205	£23,590	£24,541

Notes

3 Financing costs include interest and depreciation rather than Minimum Revenue Provision (MRP) in the HRA.

6 This indicator is not in the Prudential Code but is a measure of long term sustainability.

7 This indicator is not in the Prudential Code but is a measure of affordability: the HRA debt per dwelling should not rise significantly over time.

Appendix N3

	GENERAL FUND	23/24 Indicators £m	24/25 Indicators £m	25/26 Indicators £m	26/27 Indicators £m
	Capital Finance				
1	Capital expenditure (including other long term liabilities)	392.7	223.5	155.0	109.8
2	Capital Financing Requirement (CFR)	3,580.7	3,702.4	3,619.1	3,593.0
	General Fund debt				
3	Peak loan debt in year	2,349.3	2,396.7	2,315.8	2,260.9
4	+ Other long term liabilities (peak in year)	348.8	322.3	295.5	273.8
5	= Peak General Fund debt in year	2,698.1	2,719.0	2,611.3	2,534.7
	General Fund Affordability				
6	Total General Fund financing costs	239.4	245.2	260.7	262.5
7	General Fund net revenues	889.6	977.1	994.0	1,008.1
8	General Fund financing costs (% of net revenues)	26.9%	25.1%	26.2%	26.0%

Notes

4 Other long term liabilities include PFI, finance lease liabilities, and transferred debt liabilities.

6 Financing costs include interest and MRP (in the General Fund), for loan debt, transferred debt, PFI and finance leases.

8 This indicator includes the revenue cost of borrowing and other finance, including borrowing for the Enterprise Zone and other self-supported borrowing.

Appendix N4

	TREASURY MANAGEMENT	23/24 Indicators	24/25 Indicators	25/26 Indicators	26/27 Indicators
1	General Fund impact of an unbudgeted 1% rise in interest rates	£3.3m	£3.5m	£2.8m	£3.2m
2	Variable rate exposures vs upper limit 30%	18%	18%	17%	17%
	Maturity structure of borrowing (lower limit and upper limit)	**Forecast Year End**	**Forecast Year End**	**Forecast Year End**	**Forecast Year End**
3	under 12 months	15%	16%	15%	16%
4	12 months to within 24 months	2%	2%	4%	2%
5	24 months to within 5 years	8%	9%	11%	11%
6	5 years to within 10 years	16%	14%	12%	14%
7	10 years to within 20 years	21%	25%	25%	25%
8	20 years to within 40 years	36%	33%	31%	30%
9	40 years and above	2%	1%	1%	1%
	Investments longer than 364 days upper limit on amounts maturing in:	**Forecast**	**Forecast**	**Forecast**	**Forecast**
10	1-2 years	0	0	0	0
11	2-3 years	0	0	0	0
12	3-5 years	0	0	0	0
13	later	0	0	0	0

Notes

1 Based on year end debt borrowing less investments, with less than one year to maturity.

2-9 These indicators assume that LOBO loan options are exercised at the earliest possibility, and are calculated as a % of net loan debt.

2 The limit on variable rate exposures is a local indicator.

APPENDIX O: PAY POLICY

Pay Policy Statement 2022/23

Contents

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2.0 Legislative Framework

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3.4 Payments on Termination

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4.1 Recruitment

4.2 Lowest Paid Employees

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5.0 Publication

Annex 1 - Birmingham City Council – Senior Pay Spine (Chief/Deputy Chief Officer)

Annex 2 - Birmingham City Council – NJC Pay Spine

Annex 3 – Birmingham City Council – JNC Deputy Chief Officers

1. Introduction and Purpose

This Pay Policy Statement sets out the Council's approach to pay policy in accordance with the requirements of Section 38 to 43 of the Localism Act 2011 and takes account of the final guidance for 'Openness and Accountability in Local Pay' as issued by the Department for Levelling Up, Housing and Communities. The purpose of the statement is to provide transparency with regard to the Council's approach to setting the pay of its employees (excluding those working in local authority schools) by identifying:

- The methods by which, salaries of all employees are determined.
- The detail and level of base remuneration of its most senior employee's i.e. 'chief officers', as defined by the relevant legislation.
- The detail and level of base remuneration of the lowest paid employees
- The relationship between the remuneration for highest and lowest paid employees
- The Committee(s)/Panel responsible for ensuring the provisions set out in this statement are applied consistently throughout the Council and recommending any amendments to the full Council.

Once approved by the Full Council Meeting, this policy statement will come into immediate effect for the 2022/23 financial year and will be subject to review again for 2023/24 in accordance with the relevant legislation prevailing at that time. If the pay policy needs to be amended during the current financial year, any amendments will be subject to approval.

2.0 Legislative Framework

In determining the pay and base remuneration of all its employees, the Council will comply with all relevant employment legislation. This includes; the Equality Act 2010, Part Time Employment (Prevention of Less Favorable Treatment) Regulations 2000, Fixed Term Employees (Prevention of Less Favorable Treatment) Regulations 2002, The Agency Workers Regulations 2010 and where relevant, the Transfer of Undertakings (Protection of Earnings) Regulations.

The Council pays due regard to the Equal Pay requirements contained within the Equality Act, the Council ensures there is no pay discrimination within its pay structures and that all pay differentials can be objectively justified through the use of an equality proofed job evaluation scheme that directly relates an employee's salary to the requirements, demands and responsibilities of the role.

3.0 Senior Management Remuneration Policy

For the purposes of this statement, senior officer means 'chief officers' as defined within S43 of the Localism Act 2011. The Chief Executive is employed under the terms and conditions of the Joint National Council for Chief Executives and all other senior officers are under the terms and conditions for Joint National Council for Chief Officers.

The Council currently determines pay levels through a job evaluation process and grading structure that has been specifically designed for senior positions that determines the pay range for senior officers as defined by the Localism Act 2011. A cost-of-living rise of £1,925 has been applied to the Senior Officer Pay Structure, as a result of pay bargaining undertaken by Joint Negotiating Committee for Chief Officers of Local Authorities, with effect from 1st April 2022. See Annex 1 for the senior officer pay structure effective as at 1st April 2022.

Those employees working in senior positions do not receive overtime payments and all other pay related allowances are the subject of either nationally or locally negotiated rates, having been determined from time to time in accordance with collective bargaining machinery and/or as determined by Council Policy.

In determining it's grading structure and setting remuneration levels for all posts, the Council takes account of the need to ensure value for money in respect of the use of public expenditure, balanced against the need to recruit and retain employees who are able to meet the requirements of providing high quality services to the community, delivered effectively and efficiently and at times at which those services are required.

In particular, it is the Council's policy that no Chief Officer or Deputy Chief Officer (subject to JNC conditions of service for Chief Officers) is paid a supplement for Returning Officer duties, whether in respect of local elections or national elections (e.g. General Elections, elections for European Parliament, national referenda etc.). Fees paid in respect of these elections by Government are used to supplement the pay of non-senior officer employees who have worked on the relevant election.

3.1 Senior Management Positions

JNC Chief/ JNC Deputy Officers
The senior officer positions will continue to be reviewed on a regular basis as part of the overall savings that have to be made by the Council due to the savings targets faced by local authorities in general over the next few years. See Annex 1 for full details.

3.2 Recruitment to Senior Management Positions

When recruiting to all posts the Council will take full and proper account of its own equal opportunities, recruitment and redeployment policies. Appointments made to chief officer (CO) and JNC deputy chief officer (DCO) positions are all made by the Chief Officers and Deputy Chief Officers Appointments Dismissals and Service Conditions Sub-Committee. Other appointments are made by the Chief Executive or relevant delegated officer.

The determination of the remuneration to be offered to any newly appointed Chief Officer or Deputy Chief Officer will be in accordance with the local JNC (Senior) pay spine (further details can be found in Annex 1) and relevant policies in place at the time of recruitment. Where the Council is unable to recruit or retain at the designated grade, it will consider using, on a temporary basis, market supplements and retention payments in accordance with its relevant policies.

Where the Council remains unable to recruit under an employment contract, or there is a need for interim support to provide cover for a vacant substantive senior management position, the Council will, where necessary, consider and utilise engaging individuals under 'contracts for service'. These will be sourced through the relevant procurement process ensuring the Council is able to demonstrate the maximum value for money benefits from competition in securing the relevant service.

3.3 Additions to Salary of Chief Officers/Deputy Chief Officers

The Council does not apply any bonus to the salary of Chief Officers/Deputy Chief Officers, however progression within the salary scales is performance related as mentioned under 3.0. There is no element of earn back for senior manager's salaries and any pay progression is currently consolidated into basic pay.

In addition to basic salary, set out below are details of other elements of 'additional pay' which are chargeable to UK Income Tax and do not solely constitute reimbursement of expenses incurred in the fulfilment of duties;

The following are applicable to all senior manager positions

- A mileage allowance is paid to all employees using their own vehicle for work purposes and the payments are in linked to the approved HMRC rates (For current HMRC mileage rates please see http://www.hmrc.gov.uk/paye/exb/a-z/m/mileage-expenses.htm)
- There are currently no salary supplements or additional payments for undertaking additional responsibilities such as shared service provision with another local authority or in respect of joint bodies.
- Market supplements/recruitment allowances are paid where it is justified to recruit and fulfill a role or to retain an officer within a role.

3.4 Payments on Termination

There is currently no restriction on Public Sector Exit Payments. Should this change in the future, this policy will be updated accordingly as outlined in 1.0.

The Council's approach to statutory and discretionary payments on termination of employment of senior managers, prior to reaching normal retirement age, is set out in accordance with Regulations 5 and 6 of the Local Government (Early Termination of Employment) (Discretionary Compensation) Regulations 2006, Regulations 12 and 13 of the Local Government Pension Scheme Regulations 2013 (as amended).

Any other payments falling outside the Public Sector Exit Payments regulations, or the relevant periods of contractual notice shall be subject to a formal decision made by the full Council or the relevant elected members, committee or panel of elected members or officer with delegated authority to approve such payments, dependent on the post.

3.5 Comparators Influencing Pay Levels

For the purpose of context in the local government sector, Birmingham City Council is not only the largest local authority in the UK, but also the largest unitary authority in Europe serving over one million residents and has a revenue budget of c £3.1bn. The Council needs to maintain competitive pay levels to attract suitable candidates for senior positions that can demonstrate sufficient skills, experience and capacity required at this level as would be evidenced, for example, by fulfilling a comparable role in a large complex local authority. There is often a very small pool from which to recruit candidates with other authorities offering very competitive salaries in relation to their size.

As a consequence, it may be necessary, from time to time, to review senior pay scales by benchmarking Chief Executive remuneration with the Core Cities Group which is comprised of councils that represent the largest eight economies outside London, to ensure alignment with external pay markets, both within and outside the sector, which may result in the review of JNC salaries and/or temporary additions of market supplements (as per 3.3), as appropriate.

4.0 Non-Chief/Deputy Chief Officer Employees

Based on the application of an analytical job evaluation process, the Council uses the nationally negotiated pay spine as the basis for its local grading structure with additional spine points. This determines the salary of the large majority of the non-school based workforce, together with the use of other nationally defined rates such as Soulbury and JNC/Y&C. The Council presently adheres to national pay bargaining in respect of the national pay spine with the most recent increase effective 1st April 2022.

Progression within the grading structure for 2022/23 is automatic incremental progression within the grade, in line with agreed defined criteria effective from 1st April. Once the maximum spinal column point (as seen in annex 2) has been reached there will be no further progression.

4.1 Recruitment

New appointments will normally be made at the minimum of the relevant grade, although this can be varied where necessary to secure the best candidate. From time to time, it may be necessary to take account of the external pay market in order to attract and retain employees with particular experience, skills and capacity. Where necessary, the Council will ensure the requirement for such is objectively justified by reference to clear and transparent evidence of relevant market comparators, using appropriate data sources available from within and outside the local government sector.

4.2 Lowest Paid Employees

The lowest paid employees under a contract of employment with the Council are employed on full time equivalent (FTE) salary in accordance with the minimum spinal column point (SCP) currently in use within the Council's grading structure. The minimum SCP for 2022 (based on April 2022 pay rates) is £20,258 (SCP1). See Annex 2 for the BCC NJC Pay Structure, effective 1st April 2022.

The Council has chosen to pay the 'Real Living Wage' equivalent of £9.90 per hour. Following the recent review by the Living Wage Foundation, this has been increased to £10.90 per hour and, in consideration of current cost of living pressures, this has been the implemented with effect from 01 December 2022. For the purpose of this pay policy statement the lowest paid employee's will be defined as those on a FTE salary of £20,744 based on the Real Living Wage hourly rate of £10.90 per hour.

The statutory guidance under the Localism Act recommends the use of pay multiples as a means of measuring the relationship between pay rates across the workforce and that of senior managers, as included within the Hutton 'Review of Fair Pay in the Public Sector' (2010). The Hutton report was asked by Government to explore the case for a fixed limit on dispersion of pay through a requirement that no public sector manager can earn more than 20 times the lowest paid person in the organisation. The report concluded that the relationship to median earnings was a more relevant measure and the Government's Code of Recommended Practice on Data Transparency recommends the publication of the ratio between highest paid salary and the median average salary of the whole of the authority's workforce. Whilst the ratio between the highest and lowest paid employees within the Council does not exceed 20 times, the Council does not set a ratio ceiling within its pay policy for senior officers.

The following tables illustrate various pay differentials between the salary of the Chief Executive and the lowest paid full time equivalent employee, median employee pay, and average employee pay based on base pay, and does not include any pension benefits, or any other variable elements of pay (e.g. non contractual overtime, allowances etc.)

Pay Differential between Chief Executive and lowest paid full time equivalent employees	CEX salary	244820
	Lowest FTE salary	20744
	Pay Multiple	**11.8:1**

Pay Differential between Chief Executive and the median pay for full time equivalent employees	CEX salary	244820
	Median salary	27852
	Pay Multiple	**8.79:1**

Pay Differential between Chief Executive and the average pay for full time equivalent employees	CEX salary	244820
	Average salary	30785
	Pay Multiple	**7.95:1**

The following tables illustrate the various pay differentials between Chief/Deputy Chief Officers and the lowest paid full time equivalent employee, median employee pay and average employee pay based on base pay, and does not include any pension benefits, or any other variable elements of pay (e.g. non contractual overtime, allowances etc).

Pay Differential between the average of Chief Officers pay and the lowest paid full time equivalent employee	Average Chief Officer salary	117263
	Lowest FTE salary	20744

	Pay Multiple	**5.65:1**

Pay Differential between the median of Chief Officers pay and the median pay for a full-time equivalent employee	Median Chief Officer salary	111723
	Median salary	27852
	Pay Multiple	**4.01:1**

Pay Differential between the average of Chief Officers pay and the average pay for a full-time equivalent employee	Average Chief Officer salary	117263
	Average salary	30785
	Pay Multiple	**3.81:1**

4.3 Accountability and Decision Making

In accordance with the Constitution of the Council, the Chief Officers and Deputy Chief Officers Appointments Dismissals and Service Conditions Sub-Committee are responsible for decision making in relation to the recruitment, pay, terms and conditions and severance arrangements in relation to employees of the Council on JNC terms and conditions.

5 Publication

The Pay Policy 2022/23 will be submitted as a document within the Financial Planning Papers, and upon approval by the full Council, this statement will be published as part of those papers, and separately in its own right, on the Council's Website www.birmingham.gov.uk/cosd. Other formats will also be made available on request.

In addition, for employees where the full-time equivalent salary is £50,000 or more, excluding employer superannuation contributions, the Councils Annual Statement of Accounts will include the number of employees in bands of £5,000.

Annex 1 Birmingham City Council - Senior Pay Spine (Chief/Deputy Chief Officers)

Pay structure effective as at 1st April 2022

Job Level	Grade	Minimum £	Maximum £
Chief Executive	B04	£190,718	£285,114
Corporate Director	B03	£143,079	£213,656
Service Director	B02	£107,459	£160,226
Assistant Director	B01	£80,126	£119,226

The posts falling within the statutory definition for Chief Officers of the Local Government and Housing Act 1989, which covers the statutory officers and those others that report to the Chief Executive, are set out below:

a. Chief Executive - The head of paid service defined under section 4(1) of that Act. The salary for the above post falls within a range from £190,718 rising to a maximum of £285,114. There is no additional supplement paid for returning officer duties incorporated into this role.

b. Strategic Director of Council Management (Section 151 Officer) - A statutory chief officer defined under section 2(6) of that Act.
The salary for the above post falls within a range between £143,079 rising to a maximum of £213,656.

c. City Solicitor & Monitoring Officer Legal and Governance – A statutory chief officer defined under section 5(1) of that Act.
The salary for the above post falls within a range between £107,459 rising to a maximum of £160,226.

d. Strategic Director of Adult Social Care – A statutory officer defined under section 2(6) of that Act.
The salary for the above post falls within a range between £143,079 rising to a maximum of £213,656.

e. Strategic Director of Children & Families - A statutory officer defined under section 2(6) of that Act.
The salary for the above post falls within a range between £143,079 rising to a maximum of £213,656.

f. Strategic Director of City Operations - A non-statutory chief officer defined under section 2(7) of that Act.
The salary for the above post falls within a range between £143,079 rising to a maximum of £213,656.

g. Strategic Director of City Housing - A non-statutory chief officer defined under section 2(7) of that Act.

The salary for the above post falls within a range between £143,079 rising to a maximum of £213,656.

h. Strategic Director Places, Prosperity & Sustainability - A non-statutory chief officer defined under section 2(7) of that Act.

The salary for the above post falls within a range between £143,079 rising to a maximum of £213,656

i. Director of Strategy, Equalities & Partnerships – A non-statutory chief officer defined under section 2(7) of that Act.

The salary for the above post falls within a range between £107,459 rising to a maximum of £160,226

j. Director of Public Health – A statutory post under section 73A (7) of the NHS Act 2006.

The salary for the above post falls within a range between £107,459 rising to a maximum of £160,226. There are also two statutory payments made in relation to this role.

Annex 2 Birmingham City Council – NJC Pay Spine

Pay structure effective as at 1st April 2022.

Grade	Spinal Column Point	Salary FTE
GR1	1	£20,258*
GR1	2	£20,441*
GR1	3	£20,812
GR2	3	£20,812
GR2	4	£21,189
GR2	5	£21,575
GR2	6	£21,968
GR2	7	£22,369
GR2	8	£22,777
GR3	9	£23,194
GR3	10	£23,260
GR3	11	£24,054
GR3	12	£24,496
GR3	13	£24,948
GR3	14	£25,409
GR3	15	£25,878
GR3	16	£26,357
GR3	17	£26,845
GR3	18	£27,344

GR3	19	£27,852
GR3	20	£28,371
GR3	21	£28,900
GR3	22	£29,439
GR4	23	£30,151
GR4	24	£31,099
GR4	25	£32,020
GR4	26	£32,909
GR4	27	£33,820
GR4	28	£34,723
GR4	29	£35,411
GR4	30	£36,298
GR4	31	£37,261
GR5	32	£38,296
GR5	33	£39,493
GR5	34	£40,478
GR5	35	£41,496
GR5	36	£42,503
GR5	37	£43,516
GR5	38	£44,539
GR5	39	£45,495
GR5	40	£46,549
GR6	41	£47,573
GR6	42	£48,587
GR6	43	£49,590
GR6	44	£51,127
GR6	45	£52,676
GR6	46	£54,222
GR6	47	£55,781
GR6	48	£57,322
GR6	49	£58,981
GR7	50	£60,633
GR7	51	£62,307
GR7	52	£64,262
GR7	53	£66,294
GR7	54	£68,397
GR7	55	£70,570
GR7	56	£72,828
GR7	57	£75,160
GR7	58	£78,123

[Text Wrapping Break]
*Real Living Wage supplement paid to colleagues on SCP1 and 2

Annex 3 JNC Deputy Chief Officers

The positions in the table below are core establishment, JNC deputy chief officers as mentioned in section 2(8) of the Localism Act, i.e. JNC officers that report directly to any of the JNC chief officers listed in Annex 1:

Designation	Directorate	Grade	Range
Director of Finance (& Deputy S151 Officer)	Council Management	B02	£107,459 - £160,226
Director Development & Commercial (& Deputy S151 Officer)	Council Management	B02	£107,459 - £160,226
Assistant Director Audit	Council Management	B01	£80,126 – £119,226
Assistant Director Governance & Deputy Monitoring Officer	Council Management	B01	£80,126 - £119,226
Assistant Director Legal Services	Council Management	B01	£80,126 - £119,226
Director of People Services	Council Management	B02	£107,459 - £160,226
Director Digital & Customer Services	Council Management	B02	£107,459 - £160,226
Assistant Director Health Protection & Environmental Health	Strategy, Equalities & Partnerships	B01	£80,126 - £119,226
Assistant Director Knowledge, Evidence & Governance	Strategy, Equalities & Partnerships	B01	£80,126 - £119,226
Assistant Director Health Behaviours & Communities	Strategy, Equalities & Partnerships	B01	£80,126 - £119,226
Assistant Director Adults & Older People	Strategy, Equalities & Partnerships	B01	£80,126 - £119,226
Assistant Director Children's & Families	Strategy, Equalities & Partnerships	B01	£80,126 - £119,226
Deputy Director Public Health	Strategy, Equalities & Partnerships	B01	£80,126 - £119,226
Consultant Public Health Parks & Neighbourhoods	Strategy, Equalities & Partnerships	B01	£80,126 - £119,226
Assistant Director Communications	Strategy, Equalities & Partnerships	B01	£80,126 - £119,226
Assistant Director Strategic Partnerships, External Affairs & Corporate Leadership	Strategy, Equalities & Partnerships	B01	£80,126 - £119,226
Assistant Director Insight & Strategy	Strategy, Equalities & Partnerships	B01	£80,126 - £119,226
Service Director of City Housing Solutions & Support Services	City Housing	B02	£107,459 – £160,226
Service Director of City Housing Management	City Housing	B01	£80,126 – £119,226
Service Director of City Housing Asset Management	City Housing	B01	£80,126 – £119,226
Assistant Director Strategic & Enabling	City Housing	B01	£80,126 – £119,226

Director of Street Scene	City Operations	B02	£107,459 – £160,226
Director of Regulation & Enforcement	City Operations	B02	£107,459 – £160,226
Assistant Director Community Safety & Resilience	City Operations	B01	£80,126 – £119,226
Assistant Director Highways & Infrastructure	City Operations	B01	£80,126 – £119,226
Assistant Director Neighbourhoods	City Operations	B01	£80,126 – £119,226
Director Planning, Transport & Sustainability	Place, Prosperity & Sustainability	B02	£107,459 – £160,226
Assistant Director Birmingham Property Services	Place, Prosperity & Sustainability	B01	£80,126 – £119,226
Assistant Director Housing Development	Place, Prosperity & Sustainability	B01	£80,126 – £119,226
Assistant Director Place, Strategy & Performance	Place, Prosperity & Sustainability	B01	£80,126 – £119,226
Assistant Director Property & Investment	Place, Prosperity & Sustainability	B01	£80,126 – £119,226
Assistant Director Schools & Achievement	Children & Families	B01	£80,126 - £119,226
Assistant Director Home to School Transport	Children & Families	B01	£80,126 - £119,226
Director of C&F Strategy, Transformation & Commissioning	Children & Families	B02	£107,459 - £160,226
Director of SEND & Inclusion	Children & Families	B02	£107,459 - £160,226
Director of Lifelong Learning & Employability	Children & Families	B02	£107,459 - £160,226
Director of Thriving Children & Families	Children & Families	B02	£107,459 - £160,226
Director of Adult Social Care Delivery	Adult Social Care	B02	£107,459 – £160,226
Director of Adult Social Care Commissioning	Adult Social Care	B02	£107,459 – £160,226
Assistant Director Community Services and Equality, Diversity & Inclusion	Adult Social Care	B01	£80,126 – £119,226
Assistant Director Quality & Improvement	Adult Social Care	B01	£80,126 – £119,226
Assistant Director Early Intervention & Prevention	Adult Social Care	B01	£80,126 – £119,226

APPENDIX P: FEES AND CHARGES

The Council has been working to improve its commercial performance and drive innovation by increasing income and generating efficiencies across all services in order to improve its financial position.

A commercial approach has been employed across appropriate service areas, including the continued use of trading accounts to ensure that local fees and charges are market driven and move towards covering the cost of provision.

The Council's Corporate Charging Policy states that net income maximisation should be the ultimate aim of "charged for services" and recognises that price setting should seek to optimise both financial and policy objectives. The policy also states that unless there is an explicit policy objective to subsidise delivery of a specific service, fees and charges should achieve a minimum of full cost recovery in the delivery of discretionary services. Where full cost recovery is not achievable, consideration will be given to withdrawing from or reducing the delivery of discretionary services.

Revised charges will come into effect from 1 April 2023. Public consultation will be undertaken where required through BeHeard

2023/24 Process

Trading account analysis continues to be used to better inform the relationship between cost and income and understand the level of cost recovery being achieved. This supports services to review their fees and charges and enhance the decision-making process to add insight on the commercial and social value.

Although the Council has, like citizens and businesses, seen costs hit by high levels of inflation, the Council is aware that the impact of the cost-of-living crisis on citizens and businesses and therefore has restricted rises. There is no standard increase in fees and charges, although a benchmark of 5% was used. Services prepared cost analysis and benchmarking comparison with neighbouring authorities to set fees and charges at the appropriate level to ensure that costs are met and provide value for money to Council Taxpayers. This excludes charges for statutory services which are set nationally. Some new charges have been introduced and are set out below. The full schedule of proposals is available in Annex 1.

Bereavement Services - The Council is introducing charges for burial or cremation of Children (18 years or less), however this is to recognise that Central Government provide a grant to cover these costs and it is not expected that grieving families will be financially disadvantaged. The Children's Funeral Fund for England can help to pay for some of the costs of a funeral for a child under 18 or a baby stillborn after the 24th week of pregnancy and is not means-tested.

The fees for the burial or cremation can be claimed directly by the burial or cremation provider – the grieving family should not be charged. How to claim for some other expenses (for example, the coffin) depends on if you are using a funeral director or not.

Further details can be obtained at Support for child funeral costs (Children's Funeral Fund for England): What it does - GOV.UK (www.gov.uk).

Legal Powers

The legal powers that the Council has in respect of fees and charges are contained in a number of statutes, including the following pieces of legislation which are pa Localism Act 2011: General power of competence available to local authorities to do "anything that individuals generally do"

Local Government Act 1972, s111: A local authority shall have the power to do anything (whether or not involving the expenditure, borrowing or lending of money or the acquisition or disposal of any property or rights) which is calculated to facilitate, or is conducive or incidental to, the discharge of an of their functions

Local Government Act 2003, s.93: Power to charge for discretionary services. "A relevant authority may charge a person for providing a service to him if (a) the authority is authorised, but not required, by an enactment to provide services to him, and (b) he has agreed to its provision"

Local Authorities (Goods and Services) Act 1970 re. supply of goods and services by local authorities and ability of parties to enter into an agreement to include terms as to payments

Approvals

The majority of charges need to be approved by Cabinet. However, it should be noted that there are a number of fees and charges that are subject to legislative provisions and are set by Government. Further, other fees and charges are subject to stringent criteria about how they can be increased or the level and type of fees and charges that can apply.

The statutory services within Regulation and Enforcement Division fall under the scrutiny and jurisdiction of the Licensing and Public Protection Committee. Proposed fees and charges are due at the Licensing and Public Protection Committee on 18th January 2023 for their decision.

This includes the following services:

- Environmental Health
- Pest Control
- Register Office
- Trading Standards
- Coroners
- Licensing for Hackney Carriage and Private Hire
- Licensing for Entertainment and General
- Licensing for Street Trading

Commercially Confidential

For some services that operate in competitive traded environments, it is inappropriate to publish prices as part of a report, as they require flexibility to negotiate with customers, provide bespoke packages and respond to market conditions (e.g. Trade Waste, Schools Financial Services)

Value Added Tax

Value Added Tax ("VAT") is a transaction-based tax. Every transaction entered by the Council is subject to VAT. Transactions are either "business" or "non-business". Non-business transactions include services that the Council provides under statute, i.e. under legislation governing service provision and/or charging, e.g. planning. Business transactions are those that the Council undertakes "actually or potentially" in competition with the private sector, e.g. crematoria services, land transactions, supplies of staff, and catering, etc.

Non-business transactions are outside of the scope of VAT (also described as non-business) whilst business transactions are standard rated, reduced rated, zero rated or exempt. Reduced rated, zero rated and exempt transactions are defined in VAT law. Anything that is not defined in VAT law as reduced rated, zero rated or exempt, is standard rated. The current rates of VAT are:

- Standard rate – 20%;
- Temporary reduced rate – 12.5%;
- Reduced rate – 5%;
- Zero rate – 0%;
- Exempt – E;
- Non-business – NB.

Service/ Charge	Charge 2022/23	Proposed Charge 2023/24	£ change (23/24 - 22/23)	% change
Adult Social Care				
Weekly Residential Care for Adults - short stay - including External, all client groups				
Residents – all age groups – Short Stay (capital savings over £23,250)	Full Cost	Full Cost		
Residents Age 18 to 59 – Short Stay (capital savings under £23,250)	£116.95	£122.80	£5.85	5.00%
Residents Age over 60 – Short Stay (capital savings under £23,250)	£157.70	£165.59	£7.89	5.00%
Personal Allowance	£24.90	£26.15	£1.25	5.00%
These rates are based on guidance from DOH and DWP. In order to determine the contribution, we use the age-related minimum level of income guarantee that DWP would pay less personal allowance to set the rate.				
Standard Charge – Older People - Weekly	£884.00	£928.20	£44.20	5.00%
Note this rate is used for in house care centres in exceptional circumstances.				
Care Act - New Charges in accordance with Act - charges per care package				
Brokerage Fee (one off admin fee if BCC arranges care for self funders)	£326.00	£342.30	£16.30	5.00%
Deferred Payment Fee (one off admin fee if BCC agrees to secure charges against property)	£714.00	£749.70	£35.70	5.00%
Deferred charge interest rate	0.95%	1.00%	0.000475	0.05
Residential Charge to Other Local Authorities				
Older People				
Day Care for Adults – Charges for Refreshments				
Cup of Tea/Coffee/Cold Drink	£0.98	£1.03	£0.05	5.00%
Toast per slice	£0.77	£0.81	£0.04	5.00%
Cereal and Milk	£1.24	£1.30	£0.06	5.00%
Lunch	£4.59	£4.82	£0.23	5.00%
Sweet	£1.60	£1.68	£0.08	5.00%
Packed Lunch	£5.26	£5.52	£0.26	5.00%
Baguettes (Various Fillings)	£3.20	£3.36	£0.16	5.00%
Jacket Potato with Filling	£3.20	£3.36	£0.16	5.00%
Sandwiches	£2.11	£2.22	£0.11	5.00%
Portion of Chips	£2.01	£2.11	£0.10	5.00%
Evening Meal	£3.25	£3.41	£0.16	5.00%
Slice of Cake or Similar	£1.13	£1.19	£0.06	5.00%
Fruit	£0.62	£0.65	£0.03	5.00%
Specials / Bundles - price based on cost of production				
Adult Social Care				
Internal Day Care for Adults – Standard Daily Charge (Exclusive of Meals)				
No changes are proposed to existing internal day care charges				

Home Care - Hourly Rate				
Average Hourly Blended Rate for all clients	N/A			
Hourly rate all clients (external provision only)	£16.37	£17.19	£0.82	5.00%
Travel				
Travel Passes – Full Validity	£70.00	£73.50	£3.50	5.00%
Blue badges – (New & Renewal) - maximum allowable (Must keep at £10)	£10.00	£10.00	£0.00	0.00%
Room Hire – for 4 hours or part thereof				
Hire of Rooms – Org "A" – large hall	£67.00	£70.35	£3.35	5.00%
Hire of Rooms – Org "A" – large room	£60.00	£63.00	£3.00	5.00%
Hire of Rooms – Org "A" – small room	£40.00	£42.00	£2.00	5.00%
Hire of Rooms – Org "C" – large hall	£112.00	£117.60	£5.60	5.00%
Hire of Rooms – Org "C" – large room	£86.00	£90.30	£4.30	5.00%
Hire of Rooms – Org "C" – small room	£60.00	£63.00	£3.00	5.00%
Other Establishments	£111.00	£116.55	£5.55	5.00%
A Type "A" organisation is one providing facilities for people with disabilities or older people. Type "B" organisations, who are not charged are "Friends of Establishments". All other organisations are Type "C".				
Prices subject to negotiation for long term/major bookings				
Funerals and Protection of Property - Per Funeral				
Funerals – Lower Band	£1,026.00	£1,077.30	£51.30	5.00%
Funerals – Middle Band	£1,667.00	£1,750.35	£83.35	5.00%
Funerals – Higher Band	£1,993.00	£2,092.65	£99.65	5.00%
Banking of Monies	£56.00	£58.80	£2.80	5.00%
Storage of Property	£87.00	£91.35	£4.35	5.00%
Protection of property after 1 month - monthly charge or part thereof	£326.00	£342.30	£16.30	5.00%
Asset Tracing and Recovery- based on cost	£326.00	£342.30	£16.30	5.00%
Note: Vat may apply on administrative costs				
Meals Taken by Staff & Public - Normal Vat rules apply				
Breakfast – Full	£5.16	£5.42	£0.26	5.00%
Breakfast – Continental	£2.27	£2.38	£0.11	5.00%
Cup of Tea / Coffee / Cold Drink	£1.08	£1.13	£0.05	5.00%
Toast per slice	£0.82	£0.86	£0.04	5.00%
Cereal and Milk	£1.70	£1.79	£0.09	5.00%
Main Meal	£6.65	£6.98	£0.33	5.00%
Sweet	£2.17	£2.28	£0.11	5.00%
Baguettes (Various fillings)	£3.87	£4.06	£0.19	5.00%
Jacket Potato with filling	£3.87	£4.06	£0.19	5.00%
Sandwiches	£2.99	£3.14	£0.15	5.00%
Portion of Chips	£2.68	£2.81	£0.13	5.00%
Slice of Cake or Similar	£1.60	£1.68	£0.08	5.00%
Fruit	£0.62	£0.65	£0.03	5.00%

Specials / Bundles - price based on cost of production				
Adult Social Care				
People with Disabilities				
Telephones under CSDP Act – Income Support				
Telephones under CSDP Act – Capital £3k or under				
Telephones under CSDP Act – Capital over £3k				
The above applies to existing users under this service. New clients supported by Telecare - will be phased out over time.				
Shared Lives - Management Fees to other Local authorities				
Shared Lives - Service User charges for Food and utilities to be paid direct to carer	£51.55	£54.13	£2.58	5.00%
Shared Lives - Service User contribution for rent	£102.03	£107.13	£5.10	5.00%
Shared Lives - Care costs - long term support Low Band	£313.00	£328.65	£15.65	5.00%
Shared Lives - Care costs - long term support Medium Band	£347.00	£364.35	£17.35	5.00%
Shared Lives - Care costs - long term support High Band	£417.00	£437.85	£20.85	5.00%
Shared Lives - Care costs - Respite Low Band	£415.03	£435.78	£20.75	5.00%
Shared Lives - Care costs - Respite Medium Band	£449.03	£471.48	£22.45	5.00%
Shared Lives - Care costs - Respite High Band	£519.03	£544.98	£25.95	5.00%
Transportation, Connectivity & Highways				
Road Safety Publicity Material - Provided to other Local Authorities / Organisations	Various charges			
Highway Stopping Up Orders s.116	£5,975.00	£6,273.75	£298.75	5.00%
Footpath Stopping Up / Diversion Order	£5,975.00	£6,273.75	£298.75	5.00%
Public Spaces Protection Orders	£7,625.00	£8,006.25	£381.25	5.00%
Post Stopping Up Management and Site Inspection	£3,323.00	£3,489.15	£166.15	5.00%
Land Charges and Street Naming				
Street Naming - New streets	£294.00	£308.70	£14.70	5.00%
Numbering into New or Existing Streets - 1 to 5 Properties	£200.00	£210.00	£10.00	5.00%
Numbering into New or Existing Streets - 6 to 25 Properties	£479.00	£502.95	£23.95	5.00%
Numbering into New or Existing Streets - 26 to 75 Properties	£768.00	£806.40	£38.40	5.00%
Numbering into New or Existing Streets - 76+ Properties	£1,157.00	£1,214.85	£57.85	5.00%
Renaming of a Street - Magistrate Court Costs	£4,124 - £5,155			
Renaming of a Street - Staff Costs	£1,578.00	£1,656.90	£78.90	5.00%
Searches and Enquiries CON29 Property Search	£80.40	£84.42	£4.02	5.00%
Searches and Enquiries CON29 Additional Question	£15.60	£16.38	£0.78	5.00%
Searches and Enquiries LLC1 Property Search	£31.00	£32.55	£1.55	5.00%
Search Follow-Up - Full Enquiry Land Charges and Highway Searches per Property	£9.28 or £15.47 by post			

General Enquiry Highways Information and Land Charges per Property	£9.28 or £15.47 by post			
Searches and Enquiries Private Companies per Property	£9.28 or £15.47 by post			
Searches and Enquiries Mapping Information for Private Companies	£227.00	£238.35	£11.35	5.00%
Definitive Map - Legal Event as a result of change to public rights of way	£1,175.00	£1,233.75	£58.75	5.00%
Transportation, Connectivity & Highways				
School Travel Plans				
Production of School Travel Plan as condition of Planning application	£3,250.00	£3,412.50	£162.50	5.00%
Annual monitoring of School Travel Plan as condition of Planning application	£813.00	£853.65	£40.65	5.00%
Staff support for using the Modeshift STARS system to produce a School Travel Plan.	£1,624.00	£1,705.20	£81.20	5.00%
Transportation and Connectivity Miscellaneous				
S31(6) Deposits only (up to 5 hectares)	£597.00	£626.85	£29.85	5.00%
S31(6) Deposits only (each hectare above 5 hectares)	£41.00	£43.05	£2.05	5.00%
Village Green Deposits only (up to 5 hectares)	£542.00	£569.10	£27.10	5.00%
Village Green Deposits only (each hectare above 5 hectares)	£41.00	£43.05	£2.05	5.00%
Combined S31(6) and Village Green Deposits (up to 5 hectares)	£813.00	£853.65	£40.65	5.00%
Combined S31(6) and Village Green (each hectare above 5 hectares)	£41.00	£43.05	£2.05	5.00%
Miscellaneous Charges - Traffic Modelling Data and Model Runs - Staff Costs	At Cost			
Traffic Modelling Data Access and Processing – testing transport proposals and impact of developments and potential mitigations – private sector developers (Exclusive of VAT)	£10,000 per project			
Transport Modelling Data Access and Processing – testing transport proposals and impact of developments and potential mitigations – public sector partners and third sector (50% discounted as potential data sharing) (Exclusive of VAT)	£5,000 per project			
Road Safety Talks/Workshops (for pupils)	£394.00	£413.70	£19.70	5.00%
Scootability Training (for pupils)	£788.00	£827.40	£39.40	5.00%
CPD teacher training courses on Road Safety and Clean Air	£1,575.00	£1,653.75	£78.75	5.00%
Ongoing support with use of Modeshift STARS system past any initial free of charge consultation	£66.00 per hour			
Production of Workplace Travel Plan as condition of Planning application	£3,150.00	£3,307.50	£157.50	5.00%
Annual monitoring of Workplace Travel Plan as condition of Planning application	£1,575.00	£1,653.75	£78.75	5.00%
Staff support for using the Modeshift STARS for system to develop and produce an action plan	£66.00	£69.30	£3.30	5.00%
Delivery of workplace activities or initiatives as part of agreed action plan	£66.00	£69.30	£3.30	5.00%
Staff support for using the Modeshift STARS for system to conduct a workplace site audit	£66.00	£69.30	£3.30	5.00%

Staff support for using the Modeshift STARS for system to undertake bespoke workplace travel survey.	£66.00	£69.30	£3.30	5.00%
Ongoing support with use of Modeshift STARS for system past any initial free of charge consultation	£66.00	£69.30	£3.30	5.00%
Transportation, Connectivity & Highways				
FPNs - Offence under the New Roads and Street Works Act 1991				
FPNs - An offence under section 54(5).	£120/£80 Start Rate/Reduced Rate	£120/£80 Start Rate/Reduced Rate	0	0%
FPNs - An offence under section 55(5).	£120/£80 Start Rate/Reduced Rate	£120/£80 Start Rate/Reduced Rate	0	0%
FPNs - An offence under section 55(9)(1).	£120/£80 Start Rate/Reduced Rate	£120/£80 Start Rate/Reduced Rate	0	0%
FPNs - An offence under section 57(4).	£120/£80 Start Rate/Reduced Rate	£120/£80 Start Rate/Reduced Rate	0	0%
FPNs - An offence under section 70(6) consisting of a failure to comply with subsection (3) or (4A)(2).	£120/£80 Start Rate/Reduced Rate	£120/£80 Start Rate/Reduced Rate	0	0%
FPNs - An offence created by regulations made under section 74(7B).	£120/£80 Start Rate/Reduced Rate	£120/£80 Start Rate/Reduced Rate	0	0%
FPNs - An offence created by regulations made under section 74A(11).	£120/£80 Start Rate/Reduced Rate	£120/£80 Start Rate/Reduced Rate	0	0%
Property Strategy and Information				
Production of City Street Maps each instance (i.e. cost per copy plan requested) At cost due to variable complexity of Orders and licencing				
Production of transactional plans	***Minimum fee of initial cost £144.34 for the first hour (or part hour) then £91.66 per hour for each additional or part hour plus print costs as published. Amendments to existing plan originally provided by service charged at hourly rate with minimum charge of 1/2 hour.***			

At cost due to variable complexity of Orders	Media Type Paper Size Plot Cost Normal Paper A2 (17" x 23") £18 Photo Paper A2 (17" x 23") £20 Normal Paper A1P (23" x 33") £20 Normal Paper A1 (23" x 33") £20 Photo Paper A1 (23" x 33") £25 Normal Paper A0 (39" x 47") £25 Photo Paper A0 (39" x 47") £30 Normal Paper 54" £30 Photo Paper 54" £35 Normal Paper 60" £30 Photo Paper 60" £35	0	0	
Production of bespoke mapping, plans at cost due to variable complexity of Orders	***Minimum fee of initial cost £144.34***			

	for the first hour (or part hour) then £91.66 per hour for each additional or part hour plus print costs as published. Amendments to existing plan originally provided by service charged at hourly rate with minimum charge of 1/2 hour.				
	Media Type Paper Size Plot Cost				
	Normal Paper A2 (17" x 23") £18				
	Photo Paper A2 (17" x 23") £20				
	Normal Paper A1P (23" x 33") £20				
	Normal Paper A1 (23" x 33") £20				
	Photo Paper A1 (23" x 33") £25				
	Normal Paper A0 (39" x 47") £25				
	Photo Paper A0 (39" x 47") £30				

	Normal Paper 54" £30 Photo Paper 54" £35 Normal Paper 60" £30 Photo Paper 60" £35			
Birmingham Property Services				
Disposals (freehold or long leasehold sales) with consideration of:				
£0 - £5,000	£600.00	£630.00	£30.00	5.00%
£5,001 - £25,000	£1,200.00	£1,260.00	£60.00	5.00%
£25,001 - £50,000	£2,100.00	£2,205.00	£105.00	5.00%
£50,001 - £100,000	£2,350.00	£2,467.50	£117.50	5.00%
£100,001 plus (1% of disposal price min £2,000)	£2,400.00	£2,520.00	£120.00	5.00%
Administration fee:				
Auction sale £0 - £199,999	£1,250.00	£1,312.50	£62.50	5.00%
Auction sale £200,000 plus	£2,000.00	£2,100.00	£100.00	5.00%
Leasehold Reform Act Sales	£450.00	£472.50	£22.50	5.00%
Minor disposals (e.g. access land strips)	£150.00	£157.50	£7.50	5.00%
Garden land	£600.00	£630.00	£30.00	5.00%
Investment Portfolio Business Area:				
Ground Leases re-gearing	1.Initial fee of £1,515.00 for carrying out valuation (payable prior to carrying out valuation) 2. If the matter proceeds to legal completion, additional fee of £1,515.00 payable on completion			
Tenancies	£405.00	£425.25	£20.25	5.00%

Leases	2% of annual rent subject to a minimum of £380. In addition, a non-refundable deposit of £380 to be collected up front as initial contribution to the Council's legal costs			
Copies	£142.00	£149.10	£7.10	5.00%
Rent Review document	£150.00	£157.50	£7.50	5.00%
Licences	£405.00	£425.25	£20.25	5.00%
Administration fees for processing registration of leases, Assignments, Legal Charges and Tenancy Transfers	£205.00	£215.25	£10.25	5.00%
Landlords consent for any purposes (excluding assignments)	Simple consent for minor alterations such as replacing shop signs etc - £130 For more complex matters, a standard fee of £510 to be applied (£1,000 if such is requested as an urgent turnaround). Any matter requiring engagement of specialist practitioners to be subject to a negotiated fee.			

	Retrospective applications for any purpose will be subject to the payment of 2 x the applicable fee for such consent.			
Birmingham Property Services				
Service Charges	Commercial property portfolio– variable fixed fee equivalent to 7.5% of expenditure or better. Birmingham Business Centres – variable fixed fee equivalent to 7.75% of expenditure or better.			
Central Administration Buildings (CAB)				
CAB Accommodation - Room Hire		0	0	0
Council House Room Booking:				
Facility/Resource				
Council Chamber				
Monday - Friday 09:00 - 17:30	£360.00	£378.00	£18.00	5.00%
Monday - Friday Up to 4 hours (am or pm)	£245.00	£257.25	£12.25	5.00%
Monday - Friday after 17:30 hours -	£340.00	£357.00	£17.00	5.00%
Weekends - At any time -	£430.00	£451.50	£21.50	5.00%
Committee Rooms				
1,2,3,4,6 & HMS Daring Room	£48.00	£50.40	£2.40	5.00%
Rooms 3 & 4 jointly	£65.00	£68.25	£3.25	5.00%
Saturday - up to 2 rooms	£65.00	£68.25	£3.25	5.00%
Saturday - 3 rooms & over	£155.00	£162.75	£7.75	5.00%
Sunday - up to 2 rooms per hour	£75.00	£78.75	£3.75	5.00%
Sunday - 3 rooms & over	£225.00	£236.25	£11.25	5.00%
Equipment				
Laptop/projector				

Up to 4 hours	£38.00	£39.90	£1.90	5.00%
Full Day	£58.00	£60.90	£2.90	5.00%
Laptop & Projector				
Up to 4 hours	£58.00	£60.90	£2.90	5.00%
Full Day	£85.00	£89.25	£4.25	5.00%
Microphones- Council Chamber				
	£75.00	£78.75	£3.75	5.00%
NB: Additional charges are levied for the provision of security (Customer Support and Porter Security Officers)				
Planning				
Planning				
Category A: Pre-application discussion for 250+ residential units or 25,000 sqm non-residential (including change of use) (excluding VAT). To include 2 meetings.	£15,835.00	£16,626.75	£791.75	5.00%
Category A: follow up meetings/discussions (charge per meeting) (excluding VAT)	£517.00	£543.00	£25.85	5.00%
Category B: Pre-application discussion for 100 - 249 residential units or 10,000 - 24,999 sqm non-residential (including change of use) (excluding VAT). To include 1 meeting.	£6,210.00	£6,520.50	£310.50	5.00%
Category B: follow up meetings/discussions (charge per meeting) (excluding VAT)	£517.00	£543.00	£25.85	5.00%
Category C: Pre-application discussion for 50-99 residential units or 5,000 - 9,999 sqm non-residential (including change of use) (excluding VAT). To include 1 meeting.	£3,167.00	£3,325.35	£158.35	5.00%
Category C: follow up meetings/discussions (charge per meeting) (excluding VAT)	£310.00	£326.00	£15.50	5.00%
Category D: Pre-application discussion for 25-49 residential units or 2,500-4,999 sqm non-residential (including change of use) (excluding VAT)	£2,111.00	£2,216.55	£105.55	5.00%
Category D: follow up meetings/discussions (charge per meeting) (excluding VAT)	£310.00	£326.00	£15.50	5.00%
Category E: Pre-application discussion for 10-24 residential units or 1,000 - 2,499 sqm non-residential (including change of use) (excluding VAT). To include 1 meeting.	£1,056.00	£1,108.80	£52.80	5.00%
Category E: follow up meetings (charge per meeting) (excluding VAT)	£207.00	£217.35	£10.35	5.00%
Category F: - Pre-application advice for 5- 10 residential units or 500- 1,000 sqm (including change of use) (excluding VAT) - Written advice only.	£518.00	£543.90	£25.90	5.00%
Category F: - charge if a meeting is requested (excluding VAT)	£310.00	£325.50	£15.50	5.00%
Category G: - Minor Operations: Pre-application advice for up to 5 residential units or up any other development up to 500 sqm (including change of use) (excluding VAT) - Written advice only.	£207.00	£217.35	£10.35	5.00%
Category G: - charge if a meeting is requested (excluding VAT)	£310.00	£325.50	£15.50	5.00%

Category H: - Householder: Pre-application advice to extend or alter a single domestic property, which is not a listed building and will apply to extensions / outbuildings to houses (single-family unit only or 1 flat if part of a conversion). (excluding VAT) - Written advice only.	£104.00	£109.20	£5.20	5.00%
Category H: - charge if a meeting is requested (excluding VAT)	£209.00	£219.45	£10.45	5.00%
Category I: Pre-application discussion with registered charities, educational and community organisations (excluding VAT)	As above, depending upon category of proposal			
Planning				
Category J: - Changes of use and other development that does not include the erection of a building or extension such as laying out car parking, playing fields etc (excluding VAT)	£207.00	£217.35	£10.35	5.00%
Category J: - charge if a meeting is requested (excluding VAT)	£310.00	£325.50	£15.50	5.00%
Category K: - Amendments to a previously approved scheme – (if the amendments only affect a part of the development then the fee relates only to that part) (excluding VAT)	as above, depending upon category of proposal (or part proposal)			
Category K: -charge if a meeting is requested – if the amendments only affect a part of the development then the fee relates only to that part) (excluding VAT)	as above, depending upon category of proposal (or part proposal)			
Do I Need Planning Permission Enquiries (householder)	£40.00	£42.00	£2.00	5.00%
Do I Need Planning Permission Enquiries (nonhouseholder) (excluding VAT)	£104.00	£109.20	£5.20	5.00%
Invalid Applications - Small Scale (excluding VAT)	£31.00	£32.55	£1.55	5.00%
Invalid Applications - Medium Scale (excluding VAT)	£52.00	£54.60	£2.60	5.00%
Invalid Applications - Large Scale (excluding VAT)	£155.00	£162.75	£7.75	5.00%
Enquiry – have (some or all) planning conditions been discharged for a particular development? Written response only (excluding VAT)	£207.00	£217.35	£10.35	5.00%
Where a site visit is required an additional charge is payable: (excluding VAT)	£310.00	£325.50	£15.50	5.00%
Enquiry – has the Enforcement Notice/BCN been complied with? (excluding VAT)	£207.00	£217.35	£10.35	5.00%
Where a site visit is required an additional charge is payable: (excluding VAT)	£310.00	£325.50	£15.50	5.00%
Request agreed to remove of Enforcement Notice from the Register - (excluding VAT)	£400.00	£420.00	£20.00	5.00%
Admin fee where request not agreed	£104.00	£109.20	£5.20	5.00%
Request for documents that are available online.	£104.00	£109.20	£5.20	5.00%
General enquiries: - Conservation Area /Listed Building checks, HMO enquiries, what is the	£104.00	£109.20	£5.20	5.00%

Permitted Use, opening hours, etc. Written response only (excluding VAT)				
Clean Air Zone				
Specific Legislation Impacting on Charging				
Charges for Clean Air Zone (24 Hours, 365 Days Per Year)				
Private Cars (Non-compliant) VAT Not Applicable	£8.00	£8.00	£0.00	0.00%
Taxis (Hackney Carriage, Non-compliant) VAT Not Applicable	£8.00	£8.00	£0.00	0.00%
Taxis (Private Hire, Non-compliant) VAT Not Applicable	£8.00	£8.00	£0.00	0.00%
Light Goods Vehicles (Non-compliant) VAT Not Applicable	£8.00	£8.00	£0.00	0.00%
Heavy Goods Vehicles (Non-compliant) VAT Not Applicable	£50.00	£50.00	£0.00	0.00%
Coaches (Non-compliant) VAT Not Applicable	£50.00	£50.00	£0.00	0.00%
Buses (Non-compliant) VAT Not Applicable	£50.00	£50.00	£0.00	0.00%
Bereavement Services				
Exclusive Right of Burial - Earthen graves and walled graves/vaults have an Exclusive Right of Burial for a period of 75 years, with the option to renew such Rights on the terms then prevailing for a similar Grant. This fee also includes the right to place and maintain a memorial on the grave. Such rights to expire co-terminus with the Exclusive Right of Burial.				
1. Graves				
Adult - (aged 19 and over)				
Resident Fee - Standard grave (to accept Coffin/Casket up to 30" (76.20cm) in width)	£2,270.00	£2,270.00	£0.00	0.00%
Non-Resident Fee - Standard grave (to accept Coffin/Casket up to 30" (76.20cm) in width)	£2,610.50	£2,610.50	£0.00	0.00%
Resident Fee - Standard grave (Lawn Type) with concrete header	£2,470.00	£2,470.00	£0.00	0.00%
Non-Resident Fee - Standard grave (Lawn Type) with concrete header	£2,840.50	£2,840.50	£0.00	0.00%
Resident Fee - Grave to accept coffin casket over 30" in width, where practicable, the above fee will increase pro rata	£2,837.00	£2,837.00	£0.00	0.00%
Non-Resident Fee - Grave to accept coffin casket over 30" in width, where practicable, the above fee will increase pro rata	£3,262.55	£3,262.55	£0.00	0.00%
Resident Fee - As above with concrete header – (Lawn type graves only)	£3,090.00	£3,090.00	£0.00	0.00%
Non-Resident Fee -As above with concrete header – (Lawn type graves only)	£3,553.50	£3,553.50	£0.00	0.00%
Child (aged 18 years or below)				
Resident Fee - An ERB where the only burial required is for a child aged 18 years or younger.	£0.00	£1,233.00	NA	NA
Non-Resident Fee - An ERB where the only burial required is for a child aged 18 years or younger.	£0.00	£1,418.00	NA	NA
Cremated Remains				
Resident Fee - Earthen grave for cremation ashes (for two caskets)	£668.00	£668.00	£0.00	0.00%

Non-Resident Fee - Earthen grave for cremation ashes (for two caskets)	£768.20	£768.20	£0.00	0.00%
Resident Fee - Earthen grave for cremation ashes (four caskets) with Concrete Header	£1,100.00	£1,100.00	£0.00	0.00%
Non-Resident Fee - Earthen grave for cremation ashes (four caskets) with Concrete Header	£1,265.00	£1,265.00	£0.00	0.00%
Resident Fee - Earthern grave for cremation ashes with Concrete Header to accept two caskets of remains	£883.00	£883.00	£0.00	0.00%
Non-Resident Fee - Earthern grave for cremation ashes with Concrete Header to accept two caskets of remains	£1,015.45	£1,015.45	£0.00	0.00%
2. Vaults				
Resident Fee - Mini cremated remains vault	Price on Application	Price on Application		NA
Non-Resident Fee - Mini cremated remains vault	Price on Application	Price on Application		NA
Resident Fee - Other vaulted graves	Price on Application	Price on Application		NA
Non-Resident Fee - Other vaulted graves	Price on Application	Price on Application		NA
3. Woodland Burials				
Resident Fee - Standard grave (to accept Coffin/Casket up to 30" (76.20cm) in width)	£1,970.00	£1,970.00	£0.00	0.00%
Non-Resident Fee - Standard grave (to accept Coffin/Casket up to 30" (76.20cm) in width)	£2,265.50	£2,265.50	£0.00	0.00%
Resident Fee - Standard grave WITH TREE (to accept Coffin/Casket up to 30" (76.20cm) in width)	£2,318.00	£2,318.00	£0.00	0.00%
Non-Resident Fee - Standard grave WITH TREE (to accept Coffin/Casket up to 30" (76.20cm) in width)	£2,665.70	£2,665.70	£0.00	0.00%
4. Reservation				
Resident Fee - Grave Reservation Fee to be paid in addition to the Exclusive Right of Burial Fee relevant at the time of reservation. Applies to all full-sized graves purchased in reserve.	£250.00	£250.00	£0.00	0.00%
Non-Resident Fee - Grave Reservation Fee to be paid in addition to the Exclusive Right of Burial Fee relevant at the time of reservation. Applies to all full-sized graves purchased in reserve.	£287.50	£287.50	£0.00	0.00%
INTERMENTS (Maximum 1 hour appointment allocation per booking - ½ hr for items 7a - 7c). N.B. Maximum coffin width in a standard grave is 30" in width including a re-opened or pre-purchased grave.	-	-	-	-
5. Graves (including public graves)				

Resident fee - Interment of a person aged 19 years or over	£1,065.00	£1,065.00	£0.00	0.00%
Non-Resident fee - Interment of a person aged 19 years or over	£1,065.00	£1,065.00	£0.00	0.00%
Resident Fee - Interment of a still born child (Includes non-viable foetal remains) or a child aged 18 years or below	£0.00	£156.00	NA	NA
Non-Resident Fee - Interment of a still born child (Includes non-viable foetal remains) or a child aged 18 years or below	£0.00	£156.00	NA	NA
Resident Fee - Organs, other body parts and tissue of a deceased person where deceased was aged 19 or above	£303.00	£303.00	£0.00	0.00%
Non-Resident Fee - Organs, other body parts and tissue of a deceased person where deceased was aged 19 or above	£303.00	£303.00	£0.00	0.00%
6. Walled graves or vaults				
Resident Fee - Interment of a still born child (Includes non-viable foetal remains) or a child aged 18 years or younger	£0.00	£156.00	NA	NA
Non-Resident Fee - Interment of a still born child (Includes non-viable foetal remains) or a child aged 18 years or younger	£0.00	£156.00	NA	NA
Resident Fee - Interment of a person aged 19 years or over	£1,065.00	£1,065.00	£0.00	0.00%
Non-Resident Fee - Interment of a person aged 19 years or over (exception applies, see below)	£1,065.00	£1,065.00	£0.00	0.00%
Other interment fees will apply for non-standard graves				
7. Cremated Remains				
Resident Fee - Interment of Cremated Remains in a grave or vault	£303.00	£303.00	£0.00	0.00%
Non-Resident Fee - Interment of Cremated Remains in a grave or vault	£303.00	£303.00	£0.00	0.00%
Resident Fee - Interment of cremated remains of a child aged 18 years or below	£158.00	£158.00	£0.00	0.00%
Non-Resident Fee - Interment of cremated remains of a child aged 18 years or below	£158.00	£158.00	£0.00	0.00%
Resident Fee - Where two interments take place at the same time an additional registration fee will be charged in place of the second interment fee. This applies to fees 5a - 7a	£177.00	£177.00	£0.00	0.00%
Non-Resident Fee - Where two interments take place at the same time an additional registration fee will be charged in place of the second interment fee. This applies to fees 5a - 7a	£177.00	£177.00	£0.00	0.00%
8. Other				

Interment of the Qu'ran pages by appointment at Handsworth Cemetery only	POA	POA	NA	NA
9. Scattering of cremated remains				
Resident Fee - Scattering of cremated remains on a grave when cremation did not take place at a Birmingham City Council Crematorium. The fee to witness scattering of cremated remains included	£105.00	£105.00	£0.00	0.00%
Non-Resident Fee - Scattering of cremated remains on a grave when cremation did not take place at a Birmingham City Council Crematorium. The fee to witness scattering of cremated remains included	£105.00	£105.00	£0.00	0.00%
Resident Fee -Witness scattering of cremated remains on a grave when cremation took place at a Birmingham City Council Crematorium. Where multiple scatterings take place on the same grave at the same time, this fee will only be applied once.	£48.00	£48.00	£0.00	0.00%
Resident Fee -Witness scattering of cremated remains on a grave when cremation took place at a Birmingham City Council Crematorium. Where multiple scatterings take place on the same grave at the same time, this fee will only be applied once.	£48.00	£48.00	£0.00	0.00%
10. Walled graves				
Resident fee - Cost of construction of walled grave, where available.	POA	POA	NA	NA
Non-Resident fee - Cost of construction of walled grave, where available.	POA	POA	NA	NA
11. Concrete liners (Supply in additional to ERB and interment fee.)				
Cost of a concrete liner for a standard sized grave	£1,300.00	£1,300.00	£0.00	0.00%
Cost of a concrete liner for a child's sized grave	£626.00	£626.00	£0.00	0.00%
Memorials and Inscriptions (As defined within the Rules and Regulations in Respect of the Municipal Cemeteries).	-	-	-	-
12. Inscription				
Resident Fee - Application for an additional inscription on grave memorial (N.B. The first name on memorial is FOC). Up to two names may be included on one application for this fee.	£68.00	£68.00	£0.00	0.00%
Non-Resident Fee - Application for an additional inscription on grave memorial (N.B. The first name on memorial is FOC). Up to two names may be included on one application for this fee.	£68.00	£68.00	£0.00	0.00%
Resident Fee - Additional inscriptions on various other memorials	POA	POA	NA	NA
Non-Resident Fee - Additional inscriptions on various other memorials	POA	POA	NA	NA

13. Transfer Fee				
Resident Fee - Transfer of ownership and subsequent registering of an existing Exclusive Right of Burial where the owner of the Exclusive Right of Burial is deceased and a burial is to take place, also transfer of ownership and subsequent registering of an Exclusive Right of Burial where transfer to a resident of Birmingham.	£71.00	£71.00	£0.00	0.00%
Non-Resident - WHERE THE TRANSFER OF A RESERVED GRAVE IS TO A NON-RESIDENT THEN AN ADDITIONAL 15% OF THE ORGINAL EXCLUSIVE RIGHT OF BURIAL FEE WILL BE APPLIED TO THE TRANSFER FEE	Price on application	Price on application	NA	NA
14. Declaration (loss of deed) or Repurchase of burial rights				
Resident Fee - Preparation of indemnity upon notification of loss of an Exclusive Right of Burial. Or Preparation of Repurchase of Exclusive Right of Burial Agreement.	£71.00	£71.00	£0.00	0.00%
ADDITIONAL CHARGES	-	-	-	-
15. Service				
Resident Fee - Where a burial service takes longer than 1.15 hours from the appointed service time an additional fee will be applied – Charge will be applied for each half hour over and above the 1.15 hours.	£263.00	£263.00	£0.00	0.00%
Non-Resident Fee - Where a burial service takes longer than 1.15 hours from the appointed service time an additional fee will be applied – Charge will be applied for each half hour over and above the 1.15 hours.	£263.00	£263.00	£0.00	0.00%
Resident Fee - Where the service for an interment of cremated remains or an interment of a child aged 16 or below takes longer than 30 minutes from the appointed service time an additional fee will be applied.	£76.00	£76.00	£0.00	0.00%
Non-Resident Fee - Where the service for an interment of cremated remains or an interment of a child aged 16 or below takes longer than 30 minutes from the appointed service time an additional fee will be applied.	£76.00	£76.00	£0.00	0.00%
16. Cancellation				
Resident Fee - Late cancellation of funeral booking (after 10.00 hours on the working day prior to the funeral)	£258.00	£258.00	£0.00	0.00%
Non-Resident Fee - Late cancellation of funeral booking (after 10.00 hours on the working day prior to the funeral)	£258.00	£258.00	£0.00	0.00%

Resident Fee - Late cancellation / Non-attendance for booking of cremated remains interment (after 10.00 hours on the working day prior to the funeral)	£53.00	£53.00	£0.00	0.00%
Non-Resident Fee - Late cancellation / Nonattendance for booking of cremated remains interment (after 10.00 hours on the working day prior to the funeral)	£53.00	£53.00	£0.00	0.00%
Resident Fee - Late cancellation / Nonattendance for booking of scattering of cremated remains.	£21.00	£21.00	£0.00	0.00%
Non-Resident Fee - Late cancellation / Nonattendance for booking of scattering of cremated remains.	£21.00	£21.00	£0.00	0.00%
17. Chapel				
Resident Fee - Use of Handsworth cemetery chapel including use of organ and, if required, provision of recorded music.	£303.00	£303.00	£0.00	0.00%
Non-Resident Fee - Use of Handsworth cemetery chapel including use of organ and, if required, provision of recorded music.	£303.00	£303.00	£0.00	0.00%
18. Other				
Resident Fee - Additional work required on a grave where incorrect information was supplied on the notice of interment.	£121.00	£121.00	£0.00	0.00%
Non-Resident Fee - Additional work required on a grave where incorrect information was supplied on the notice of interment.	£121.00	£121.00	£0.00	0.00%
Resident Fee - Reprint of Deed due to incorrect information being supplied on the notice of interment and amendment of Statutory Registers.	£71.00	£71.00	£0.00	0.00%
Non-Resident Fee - Reprint of Deed due to incorrect information being supplied on the notice of interment and amendment of Statutory Registers.	£71.00	£71.00	£0.00	0.00%
Resident Fee - Postage of Deed by Recorded Delivery	£11.00	£11.00	£0.00	0.00%
Non-Resident Fee - Postage of Deed by Recorded Delivery	£11.00	£11.00	£0.00	0.00%
CREMATION FEES - The fees detailed below include the use of the chapel, scattering of cremated remains in the Garden of Remembrance, Medical Referee's and (if required) use of organ and/or provision of recorded/Wesley music. Webcasting, personal tributes and recordings of services available at additional cost – POA				
1. Cremation				
Person aged 19 years or above. The cremation fee includes an environmental charge of £56.00	£833.00	£833.00	£0.00	0.00%
Direct Cremation (08:30 appointment) Person aged 19 years or above. The cremation fee includes an environmental charge.	£580.00	£580.00	£0.00	0.00%
Where a cremation service takes place for two adults. The cremation fee includes an environmental charge of £56.00	£1,263.00	£1,263.00	£0.00	0.00%

Stillborn child, including non-viable foetal remains, or a child aged 18 years or below.	£0.00	£143.00	NA	NA
Organs, other body parts and tissue of a deceased person where the deceased was aged 19 or above.	£145.00	£145.00	£0.00	0.00%
Duplicate of Certificate of Cremation	15	15	£0.00	0.00%
2. Chapel				
Additional use of the crematorium chapel by appointment – Annexed to a cremation appointment only.	£303.00	£303.00	£0.00	0.00%
Use of crematorium chapel for memorial service	£404.00	£404.00	£0.00	0.00%
3. Late				
Where the funeral exceeds the allotted service time slot, the additional fee will be applied.	£424.00	£424.00	£0.00	0.00%
For funerals that arrive/commence more than 1 hour late, in addition to previous fees.	£505.00	£505.00	£0.00	0.00%
Late cancellation of a funeral booking (after 10.00 hours on the working day prior to the funeral).	£300.00	£300.00	£0.00	0.00%
4. Cremated remains				
Temporary deposit of cremated remains pending arrangements for disposal, per month. (Charge applied after the first month)	£72.00	£72.00	£0.00	0.00%
Witness scattering of cremated remains in the garden of remembrance where cremation takes place at a Birmingham City Council Crematorium	£54.00	£54.00	£0.00	0.00%
Scattering of cremated remains in the Garden of Remembrance when cremation took place at any other crematorium	£108.00	£108.00	£0.00	0.00%
Parks				
Individual Use of Facilities				
Bowls				
Adult	£7.00	£7.25	£0.25	3.57%
Juniors/Concessions	£4.00	£4.00	£0.00	0.00%
Season Ticket (Standard).	£95.00	£97.00	£2.00	2.11%
Team Match	£75.00	£76.50	£1.50	2.00%
Fishing				
Day Ticket - Adult	£14.00	£14.25	£0.25	1.79%
Juniors/Concessions	£6.50	£6.50	£0.00	0.00%
Fishing Season Ticket: -				
All park sites	£105.00	£110.00	£5.00	4.76%
Redgra Pitches (Inclusive of lights)				
Without changing facilities:				
Adult	£70.00	£72.00	£2.00	2.86%
Junior	£35.00	£36.00	£1.00	2.86%
With changing facilities:				
Adult	£110.00	£112.00	£2.00	1.82%
Junior	£65.00	£66.00	£1.00	1.54%
Birmingham Wildlife Conservation Park Admission Charges				
Adults	£7.50	£7.65	£0.15	2.00%

Adults accompanying a child under 3 years	£7.50	£7.65	£0.15	2.00%
Senior Citizens, Students	£5.70	£5.80	£0.10	1.75%
Child aged 3 to 15 years inclusive	£3.75	£3.80	£0.05	1.33%
Children under 3				
Family Day Ticket:	£24.50	£25.00	£0.50	2.04%
(2 adults plus maximum of 3 children aged 3 - 15 years)				
Family Day Ticket:	£17.50	£18.00	£0.50	2.86%
(1 adult + 3 child aged 3 - 15 years)				
Family Season Ticket:	£88.50	£90.00	£1.50	1.69%
(2 adults plus maximum number of 3 children aged 3 - 15 years)				
Single Adult Season Ticket:	£63.00	£64.00	£1.00	1.59%
(1 adult plus maximum number of 3 children aged 3- 15 years)				
Concessionary Season Ticket:	£54.00	£55.00	£1.00	1.85%
(Senior Citizens)				
Family Season Ticket Incl. Car Parking	£129.00	£132.00	£3.00	2.33%
(2 adults plus maximum number of 3 children aged 3 - 15 years)				
Single Adult Season Ticket Incl. Car Parking	£91.00	£93.00	£2.00	2.20%
(1 adult plus maximum number of 3 children aged 3- 15 years)				
Concessionary Season Ticket Incl. Car Parking	£79.00	£81.00	£2.00	2.53%
(Senior Citizens)				
Parks - Events				
Use of Parks (Events)				
Community use including friends' groups and volunteers = subject to negotiation	Subject to negotiation			
Cannon Hill & Sutton Park				
Small Events (attendance up to 499)				
Commercial - operational days	Subject to negotiation			
Commercial - set-up/dismantling days	Subject to negotiation			
Non-commercial (incl. charities) - operational days	Subject to negotiation			
Non-commercial (inc charities) - set-up/dismantling days	Subject to negotiation			
Major Events (attendance 500 or more)				
Commercial - operational days	Subject to negotiation			
Commercial - set-up/dismantling days	Subject to negotiation			
Non-commercial (incl. charities) - operational days	Subject to negotiation			
Non-commercial (inc charities) - set-up/dismantling days	Subject to negotiation			
Eastside Park, Handsworth Park, Kings Heath Park, Lickey Hills (including Cofton and Perry Parks for				

major concerts & events with attendances above 20,000)				
Small Events (attendance up to 499)				
Commercial - operational days	£2,160.00	£2,205.00	£45.00	2.08%
Commercial - set-up/dismantling days	£1,080.00	£1,100.00	£20.00	1.85%
Non-commercial (incl. charities) - operational days	£595.00	£605.00	£10.00	1.68%
Non-commercial (incl. charities) - set-up/dismantling days	£297.50	£305.00	£7.50	2.52%
Major Events (attendance 500 or more)				
Commercial - operational days	£4,310.00	£4,400.00	£90.00	2.09%
Commercial - set-up/dismantling days	£2,155.00	£2,200.00	£45.00	2.09%
Non-commercial (incl. charities) - operational days	£1,185.00	£1,210.00	£25.00	2.11%
Non-commercial (incl. charities) - set-up/dismantling days	£592.50	£605.00	£12.50	2.11%
All Other Sites (all sites)				
Small Events (attendance up to 499)				
Commercial - operational days	£570.00	£580.00	£10.00	1.75%
Commercial - set-up/dismantling days	£285.00	£290.00	£5.00	1.75%
Non-commercial (incl. charities) - operational days	£178.50	£180.00	£1.50	0.84%
Non-commercial (incl. charities) - set-up/dismantling days	£89.25	£90.00	£0.75	0.84%
Major Events (attendance 500 or more)				
Commercial - operational days	£1,135.00	£1,160.00	£25.00	2.20%
Commercial - set-up/dismantling days	£567.50	£580.00	£12.50	2.20%
Non-commercial (incl. charities) - operational days	£355.00	£360.00	£5.00	1.41%
Non-commercial (incl. charities) - set-up/dismantling days	£177.50	£180.00	£2.50	1.41%
Wedding photographs and recordings				
Commercial	£395.00	£405.00	£10.00	2.53%
Non commercial	£90.00	£92.00	£2.00	2.22%
Organised Group Activities E.g. Boot Camp, Forest Schools etc. = a minimum of 12% of gross income	£35.00	£36.00	£1.00	2.86%
Filming in Parks				
Cannon Hill, Handsworth Park, Kings Heath Park, Lickey Hills & Sutton Park				
Up to 1 hour & Students	£120.00	£122.00	£2.00	1.67%
Filming with minimal hand held equipment - maximum 4 Hours	£305.00	£310.00	£5.00	1.64%
Filming with minimal hand held equipment - per day	£490.00	£500.00	£10.00	2.04%
Filming with vehicles and crew - maximum 4 hours	£490.00	£500.00	£10.00	2.04%
Filming with vehicles and crew - per day	£980.00	£1,000.00	£20.00	2.04%
All Other Sites				
Up to 1 hour & Students	£89.00	£91.00	£2.00	2.25%
Filming with minimal hand held equipment - maximum 4 Hours	£178.50	£182.50	£4.00	2.24%
Filming with minimal hand held equipment - per day	£360.00	£367.50	£7.50	2.08%
Filming with vehicles and crew - maximum 4 hours	£360.00	£367.50	£7.50	2.08%

Filming with vehicles and crew - per day	£860.00	£877.00	£17.00	1.98%
Season Ticket - maximum of 15 hires	£3,930.00	£4,010.00	£80.00	2.04%
Season Ticket - maximum of 30 hires	£7,855.00	£8,000.00	£145.00	1.85%
Car Parking				
Cannon Hill Park, up to 2 hours	NA	£2.00		
Cannon Hill Park, 2 to 4 hours	£2.80	£3.00	£0.20	7.14%
Cannon Hill Park, 4 - 16 1/2 hours	£4.20	£4.50	£0.30	7.14%
Cannon Hill Park - per coach	£21.00	£22.50	£1.50	7.14%
Sutton Park - subject to further consultation regarding the rollout of the Parks Car Parking Scheme	£2.00	£2.00	£0.00	0.00%
Parks room hire facilities				
Community Room (30 people)	£35.00	£36.00	£1.00	2.86%
Annual charge - minimum fee subject to hire agreement	£2,940.00	£3,000.00	£60.00	2.04%
Charge per teaching area per games session	£72.00	£73.00	£1.00	1.39%
(Senior Citizens)				
School Hire				
Attendance up to and including 499	£178.50	£183.50	£5.00	2.80%
Attendance above 500	£360.00	£370.00	£10.00	2.78%
Parks ranger service - educational sessions (including schools)				
Group - max 30	£190.00	£195.00	£5.00	2.63%
Group - max 30	£310.00	£320.00	£10.00	3.23%
Community Group talks or guided walks	£78.75	£80.00	£1.25	1.59%
Equipment hire	£36.75	£37.00	£0.25	0.68%
Funfairs in Parks				
Cannon Hill, Handsworth Park, Kings Heath Park, Lickey Hills & Sutton Park				
Up to 5 Adult Rides	£735.00	£750.00	£15.00	2.04%
6 Adult Rides	£810.00	£830.00	£20.00	2.47%
7 Adult Rides	£920.00	£940.00	£20.00	2.17%
8 Adult Rides	£1,060.00	£1,085.00	£25.00	2.36%
Up to 9 Adult Rides	£1,185.00	£1,210.00	£25.00	2.11%
All Other Sites				
Up to 5 Adult Rides	£450.00	£460.00	£10.00	2.22%
6 Adult Rides	£480.00	£490.00	£10.00	2.08%
7 Adult Rides	£565.00	£575.00	£10.00	1.77%
8 Adult Rides	£650.00	£665.00	£15.00	2.31%
Up to 9 Adult Rides	£725.00	£740.00	£15.00	2.07%
Football				
FOOTBALL - Saturday				
Charge per match				
Senior Match & changing facilities	£92.00	£94.50	£2.50	2.72%
Junior Match & changing facilities	£40.00	£41.00	£1.00	2.50%
Small Sided Match & changing facilities	£22.00	£22.50	£0.50	2.27%

Senior Match no changing facilities	£46.00	£47.00	£1.00	2.17%
Junior Match no changing facilities	£29.25	£30.00	£0.75	2.56%
Small Sided Match & no changing facilities	£16.25	£16.50	£0.25	1.54%
Seasonal Licence* with facilities				
Senior	£2,050.00	£2,090.00	£40.00	1.95%
Junior	£890.00	£908.00	£18.00	2.02%
Small Sided Match & changing facilities	£505.00	£515.00	£10.00	1.98%
Seasonal Licence* without facilities				
Senior	£875.00	£893.00	£18.00	2.06%
Junior	£425.50	£434.00	£8.50	2.00%
Small Sided Match & no changing facilities	£208.50	£213.00	£4.50	2.16%
FOOTBALL - Sunday (AM = game finishes up to & including 11.59am; PM = game starts from 12 noon onwards)				
Charge per match				
Senior Match & changing facilities - PM	£115.00	£117.50	£2.50	2.17%
Senior Match and changing Faculties - AM	£133.50	£136.50	£3.00	2.25%
Junior Match & changing facilities	£52.00	£53.00	£1.00	1.92%
Small Sided Match & changing facilities	£27.50	£28.00	£0.50	1.82%
Senior Match no changing facilities - PM	£58.00	£59.00	£1.00	1.72%
Senior Match no changing facilities - AM	£72.75	£74.00	£1.25	1.72%
Junior Match no changing facilities	£28.75	£29.00	£0.25	0.87%
Small Sided Match & no changing facilities	£16.50	£17.00	£0.50	3.03%
Seasonal Licences*				
Senior Match & changing facilities - PM	£2,284.00	£2,330.00	£46.00	2.01%
Senior Match and changing Faculties - AM	£2,725.00	£2,780.00	£55.00	2.02%
Junior Match & changing facilities	£1,320.00	£1,346.00	£26.00	1.97%
Small Sided Match & changing facilities	£645.00	£658.00	£13.00	2.02%
Senior Match no changing facilities - PM	£1,330.00	£1,357.00	£27.00	2.03%
Senior Match no changing facilities - AM	£1,595.00	£1,627.00	£32.00	2.01%
Junior Match no changing facilities	£805.00	£821.00	£16.00	1.99%
Small Sided Match & no changing facilities	£400.00	£408.00	£8.00	2.00%
Rugby				
RUGBY - Saturday - charge per match				
Senior Match & changing facilities	£85.00	£87.00	£2.00	2.35%
Junior Match & changing facilities	£41.50	£42.00	£0.50	1.20%
Senior Match no changing facilities	£35.25	£36.00	£0.75	2.13%
Junior Match no changing facilities	£29.50	£30.00	£0.50	1.69%
Seasonal Licence* with facilities				
Senior	£1,985.00	£2,025.00	£40.00	2.02%
Junior	£990.00	£1,010.00	£20.00	2.02%
Seasonal Licence* without facilities				
Senior	£920.00	£938.00	£18.00	1.96%
Junior	£460.00	£469.00	£9.00	1.96%

TRAINING SESSIONS WITH FLOODLIGHTS - charge per session				
Midweek with facilities per session	£92.50	£94.00	£1.50	1.62%
Midweek without facilities per session	£60.00	£61.50	£1.50	2.50%
RUGBY - Sunday - charge per match				
Senior Match & changing facilities	£101.00	£103.00	£2.00	1.98%
Junior Match & changing facilities	£50.25	£51.00	£0.75	1.49%
Senior Match no changing facilities	£49.25	£50.00	£0.75	1.52%
Junior Match no changing facilities	£29.50	£30.00	£0.50	1.69%
Seasonal Licence* with facilities				
Senior	£2,577.00	£2,628.00	£51.00	1.98%
Junior	£1,281.50	£1,305.00	£23.50	1.83%
Seasonal Licence* without facilities				
Senior	£1,457.00	£1,486.00	£29.00	1.99%
Junior	£707.50	£721.00	£13.50	1.91%
Cricket				
CRICKET - Evening & Sat				
charging per match				
Senior Match & changing facilities	£65.50	£69.00	£3.50	5.34%
Junior Match & changing facilities	£35.50	£37.50	£2.00	5.63%
Senior Match no changing facilities	£39.00	£41.00	£2.00	5.13%
Junior Match no changing facilities	£24.00	£25.00	£1.00	4.17%
Practice Nets - Per session (Half Day)	£25.00	£26.00	£1.00	4.00%
Seasonal License Grade 1 Facilities (Handsworth Park only)	£1,276.00	£1,340.00	£64.00	5.02%
Seasonal Licence* with facilities				
Senior	£808.50	£849.00	£40.50	5.01%
Junior	£438.50	£460.50	£22.00	5.02%
Seasonal Licence* without facilities				
Senior	£488.50	£513.00	£24.50	5.02%
Junior	£258.50	£271.50	£13.00	5.03%
CRICKET - Sunday				
Charging per match				
Senior Match changing facilities	£84.00	£88.50	£4.50	5.36%
Junior Match & changing facilities	£47.00	£49.50	£2.50	5.32%
Senior Match no changing facilities	£52.50	£55.50	£3.00	5.71%
Junior Match no changing facilities	£28.50	£30.00	£1.50	5.26%
Practice Nets - Per session (Half Day)	£26.50	£28.00	£1.50	5.66%
Seasonal License Grade 1 Facilities (Handsworth Park only)	£1,691.00	£1,776.00	£85.00	5.03%
Seasonal Licence* with facilities				
Senior	£1,067.00	£1,121.00	£54.00	5.06%
Junior	£567.00	£596.00	£29.00	5.11%
Seasonal Licence* without facilities				
Senior	£693.00	£728.00	£35.00	5.05%

Junior	£360.00	£378.00	£18.00	5.00%
Artificial Wicket Hire (no changing facilities) - Seasonal Licence	£105.00	£110.50	£5.50	5.24%
Artificial Wicket Hire (no changing facilities) - per match	£39.00	£41.00	£2.00	5.13%
Garden and Bulky Waste				
Garden Waste (Annual)	£50.00	£50.00	£0.00	0.00%
Bulky Waste (Per collection)	£35.00	£35.70	£0.70	2.00%
Trade Waste Collection				
Sacks (Annual Contract)	Price on Request			
Sacks (Quarterly Contract)	Price on Request			
Sacks Prepaid	Price on Request			
Sacks City Centre	Price on Request			
Wheeled Bins (240 litres)	Price on Request			
Wheeled Bins (360 litres)	Price on Request			
Wheeled Bins (660 litres – 50kg net)	Price on Request			
Wheeled Bins (660 litres – 80kg net)	Price on Request			
Continental Containers (1100 litres – 150kg net)	Price on Request			
Continental Containers (1100 litres – 180kg net)	Price on Request			
Continental Containers (1280 litres)	Price on Request			
Paladins (0.96m^3 containers)	Price on Request			
Powell Duffryn	Price on Request			
Skips/Mechanical Sweeper				
Skips by Individual Load (6.12 m^3)	Price on Request			
Skips by Individual Load (10.70 m^3)	Price on Request			
Front Loading (9.18 m^3)	Price on Request			
Skips using Rear End Loading Vehicle (6.12 m^3)	Price on Request			
Skips using Rear End Loading Vehicle (10.70 m^3)	Price on Request			
Rolonof (Price will be dependent on type of material collected/disposed)	Price on Request			
Minimum charge for one hour	Price on Request			
Minimum charge for half hour	Price on Request			

Issue of Duty of Care Certificate (Annual Season Ticket)	Price on Request			
Reconnection charge[1]	Price on Request			
Reconnection charge[1]	Price on Request			
[1] The reconnection fee is to cover costs relating to non-payment of invoices which result in cancellation and subsequent reconnection of services.	-	-	-	-
Hire of Mechanical Sweeping Vehicle and Driver				
Minimum charge for one hour	Price on Request			
Emptying of cesspools (per visit)	Price on Request			
Commercial clinical waste collection: Sacks	Price on Request			
Commercial Clinical waste box (4 litres)	Price on Request			
Commercial Clinical waste box (30 litres)	Price on Request			
Clinical Waste Three Part Consignment Note	Price on Request			
Trade Recycling Collections				
Trade recycling services fulfil a demand from businesses to recycle more of their waste. The provision of such services also assists BCC to further reduce landfill and responds to the national Waste Strategy 2007 and associated national and local carbon reduction agenda.				
Trade Waste Collection				
The following table shows the charges previously agreed for 2017/18 and the charges proposed for 2018/19.	Price on Request			
Prepaid Cardboard Recycling Tape - 50m Roll	Price on Request			
240 litre Recycling Container Paper & Cardboard	Price on Request			
240 litre Recycling Container Mixed Multi	Price on Request			
360 litre Recycling Container Paper & Cardboard	Price on Request			
360 litre Recycling Container Mixed Multi	Price on Request			
660 litre Recycling Container Paper and Cardboard	Price on Request			
660 litre Recycling Container Mixed Multi	Price on Request			
Consideration will be given to free paper & card recycling services to use as a competitive edge for significant contracts i.e. worth more than £7,000 per annum.	Price on Request			
1100 Glass Recycling	Price on Request			

[2] This new service is underutilised and as part of a marketing strategy it is proposed to keep it at its current rate.	Price on Request			
Trade Waste Street Cleaning Events Rates				
Beat Sweepers/Litter Pickers (per hour)	Price on Request			
Driver (per hour)	Price on Request			
Class 2 Driver (per hour)	Price on Request			
Small Mechanical Sweeper (per hour)	Price on Request			
Large Mechanical Sweeper (per hour)	Price on Request			
Sideloader - 3 Crew (per hour)	Price on Request			
Alley Cat - 3 Crew (per hour)	Price on Request			
Sport & Leisure				
Prices in Sport and Leisure are for reference by Cabinet and Full Council only. The prices below were agreed via a Cabinet Member Decision and implemented from 1 January				
Birmingham Alexander Stadium				
ATHLETICS				
Senior Athletics Events - 1 day	£1,423.40	£1,423.40	£0.00	0.00%
Junior Athletics Events - 1 day	£962.80	£962.80	£0.00	0.00%
Service/ Charge for sporting events				
Alexander Stadium Main Track only	NA	£175.00	NA	NA
Alexander Stadium Main Centre Green Only	NA	£175.00	NA	NA
Alexander Stadium Community Track & Centre Green Combined	NA	£175.00	NA	NA
Main Arena Centre Green hire	NA	£175.00	NA	NA
Main Arena running track	NA	£175.00	NA	NA
Warm up track plus infield for throws	NA	£175.00	NA	NA
West Stand seating area (without track or field hire)	NA	£150.00	NA	NA
South Lounge	NA	£100.00	NA	NA
North Lounge (by agreement with BCU)	NA	£100.00	NA	NA
Reception (Exclusive use)	NA	£50.00	NA	NA
All ancillary rooms level 0	NA	£37.50	NA	NA
Emergency Control Room (free with full stadium hire)	NA	£75.00	NA	NA
Box 1 & 2 (combined next to ECR)	NA	£150.00	NA	NA
Boxes 3 or 4 (smaller incl. King's Box)	NA	£100.00	NA	NA
Boxes 1, 2, 5 or 6	NA	£120.00	NA	NA
North Plaza	NA	£75.00	NA	NA
South Plaza	NA	£75.00	NA	NA
East Stand seating area (without track or infield)	NA	£100.00	NA	NA
3G Pitch hire	NA	£175.00	NA	NA
2 x player changing rooms (West Stand)	NA	£100.00	NA	NA

1 x match officials changing rooms (West Stand)	NA	£35.00	NA	NA
Medical room (west stand)	NA	£37.50	NA	NA
Floodlights	NA	£82.00	NA	NA
Strength and Conditioning Gym (Coach Required)	NA	£150.00	NA	NA
PT trainer	NA	£60.00	NA	NA
Main function suite (games family lounge)	NA	£175.00	NA	NA
Main Function suite Annex (room 2.39)	NA	£100.00	NA	NA
OTHER FACILITIES				
Additional Staff (e.g. Stewards)	£28.05	£28.05	£0.00	0.00%
Additional outside throwing cage	£193.85	£193.85	£0.00	0.00%
Additional pole vault runway	£193.85	£193.85	£0.00	0.00%
Additional high jump bed (max = 3)	£193.85	£193.85	£0.00	0.00%
Additional Stand	£272.15	£272.15	£0.00	0.00%
Floodlighting	£84.75	£84.75	£0.00	0.00%
Prices above are for Commercial use and may be reduced at the Managers discretion for Community use, schools / charities etc	na	£2,400.00		
West Stand Lower tier	Included with community price	Included with community price		
Accommodation	Included with community price	Included with community price		
Commentary Box and Public Address System	Included with community price	Included with community price		
One Throwing Cage	Included with community price	Included with community price		
One Pole Vault Runway/Bed	Included with community price	Included with community price		
One High Jump Bed	Included with community price	Included with community price		
Physio Block	Included with community price	Included with community price		
Two Members of Staff on Trackside	Included with community price	Included with community price		
Track and Field Equipment	Included with community price	Included with community price		
All the above is subject to availability	Included with community price	Included with community price		
Main function suite (games family lounge) conference booking day rate	NA	£3000 per day		
Track and Field Equipment		£0.00		
All the above is subject to availability				
Sport & Leisure				
OTHER FACILITIES/ACTIVITIES				
Holding Deposit	£708.45	£722.60	£14.15	2.00%
Indoor Hall				
Indoor Hall Exclusive use max 10 per area	£38.30	£39.10	£0.80	2.09%
Indoor Hall Exclusive use per area 13.00-15.30hrs	£83.15	£84.80	£1.65	1.98%
Indoor Hall Exclusive use all areas	£302.90	£309.00	£6.10	2.01%
Indoor Hall per session Adult	£6.45	£6.60	£0.15	2.33%
Indoor Hall per session Junior	£3.30	£3.40	£0.10	3.03%
Indoor Hall per session PTL	£5.15	£5.30	£0.15	2.91%

GMAC				
Kitchen	£36.15	£36.90	£0.75	2.07%
Viewing Gallery	£36.15	£36.90	£0.75	2.07%
Meeting Room	£36.15	£36.90	£0.75	2.07%
Martial Arts Room 1	£89.60	£91.40	£1.80	2.01%
Martial Arts Room 2	£70.20	£71.60	£1.40	1.99%
Martial Arts Room 3	£70.20	£71.60	£1.40	1.99%
GMAC activities				
Aikido Adult	£7.55	£7.70	£0.15	1.99%
Aikido Junior	£5.70	£5.80	£0.10	1.75%
Judo Adult	£7.75	£7.90	£0.15	1.94%
Judo Junior	£4.10	£4.20	£0.10	2.44%
Karate Adult	£7.55	£7.70	£0.15	1.99%
Karate Junior	£5.70	£5.80	£0.10	1.75%
Karate Family	£16.20	£16.50	£0.30	1.85%
The above room hire prices are guide prices for non-profit making organisations. Commercial rates are an additional 60% extra. Consumables and set-up and de-rig times are not included in prices listed.				
For all Sport and Leisure fees and charges Adults are classified as people aged 16years and over				
Community Leisure Centres				
Fees are inclusive of VAT where applicable				
Sport & Leisure				
FACILITIES				
Sports Hall				
Sports Hall - whole - Shard End Adult	£54.00	£56.70	£2.70	5.00%
Sports Hall - whole - Shard End Junior	£34.55	£36.30	£1.75	5.07%
Tarmac/Hard Surface	£22.10	£23.20	£1.10	4.98%
ACTIVITIES				
Badminton				
Kingstanding	£9.75	£10.20	£0.45	4.62%
Saltley	£9.75	£10.20	£0.45	4.62%
Netball				
Netball Court - indoor - Saltley	£54.05	£56.80	£2.75	5.09%
Netball Court - indoor - Kingstanding	£37.05	£38.90	£1.85	4.99%
Cricket				
Cricket Nets - Saltley	£35.00	£36.80	£1.80	5.14%
Fitness session - Junior				
Shard End	£4.30	£4.50	£0.20	4.65%
Group Fitness (Exercise classes)				
Shard End	£5.75	£6.00	£0.25	4.35%
MISCELLANEOUS CHARGES				
Equipment Hire	£2.55	£2.70	£0.15	5.88%

PASSPORT TO LEISURE				
Registration Fee				
Birmingham Residents	£6.00	£6.30	£0.30	5.00%
Sports Development				
Tennis / Gymnastics / Swimming				
Fees are inclusive of VAT where applicable				
Sport & Leisure				
TENNIS DEVELOPMENT 12 Weeks unless Stated				
JUNIOR				
Mini Tots	£69.10	£76.00	£6.90	9.99%
Mini Tots - PTL	£55.25	£60.80	£5.55	10.05%
Mini Tennis - Red 45 min	£92.30	£101.50	£9.20	9.97%
Mini Tennis - Red 45 min - PTL	£73.95	£81.30	£7.35	9.94%
Mini Tennis - Orange 45 min	£92.30	£101.50	£9.20	9.97%
Mini Tennis - Orange 45 min - PTL	£73.95	£81.30	£7.35	9.94%
Mini Tennis - Green - 1 hour	£121.50	£133.70	£12.20	10.04%
Mini Tennis - Green - 1 hour - PTL	£97.20	£106.90	£9.70	9.98%
Junior Tennis 1 & 2	£143.10	£157.40	£14.30	9.99%
Junior Tennis 1 & 2 - PTL	£114.45	£125.90	£11.45	10.00%
Teen Tennis 1, 2 & 3	£143.10	£157.40	£14.30	9.99%
Teen Tennis 1, 2 & 3 - PTL	£114.45	£125.90	£11.45	10.00%
Teen Tennis 1, 2 & 3 - Outdoors	£105.80	£116.40	£10.60	10.02%
Teen Tennis 1, 2 & 3 - Outdoors - PTL	£84.75	£93.20	£8.45	9.97%
ADULT				
Adult - 60 mins - beginner	£143.10	£157.40	£14.30	9.99%
Adult - 60 mins - beginner - PTL	£114.45	£125.90	£11.45	10.00%
Adult - 90 mins	£164.15	£180.60	£16.45	10.02%
Adult - 90 mins - PTL	£131.20	£144.30	£13.10	9.98%
Adult - drill & tactics	£120.40	£132.40	£12.00	9.97%
Adult - drill & tactics - PTL	£96.10	£105.70	£9.60	9.99%
Adult - rusty rackets (6 weeks)	£58.30	£64.10	£5.80	9.95%
Adult - rusty rackets (6 weeks) - PTL	£46.95	£51.60	£4.65	9.90%
Course less than 12 weeks will be pro-rata.				
GYMNASTICS DEVELOPMENT				
JUNIOR GYMNASTS				
Elite Gymnastics - 4+ Sessions per week	£82.60	£90.90	£8.30	10.05%
2nd Child - 4 Sessions	£62.60	£68.90	£6.30	10.06%
3rd Child - 4 Sessions	£54.00	£59.40	£5.40	10.00%
Elite Gymnastics - 4+ Sessions PTL	£65.85	£72.40	£6.55	9.95%
Elite Gymnastics - 3 Sessions per week	£65.30	£71.80	£6.50	9.95%
2nd Child - 3 Sessions	£48.60	£53.50	£4.90	10.08%
3rd Child - 3 Sessions	£42.65	£46.90	£4.25	9.96%
Elite Gymnastics - 3 Sessions PTL	£52.35	£57.60	£5.25	10.03%

Elite Gymnastics - 1- 2 Sessions per week	£47.50	£52.30	£4.80	10.11%
2nd Child - 1 - 2 Sessions	£35.60	£39.20	£3.60	10.11%
3rd Child - 1 -2 Sessions	£31.85	£35.00	£3.15	9.89%
Elite Gymnastics - 1- 2 Sessions PTL	£37.80	£41.60	£3.80	10.05%
Recreational Classes	£76.65	£84.30	£7.65	9.98%
Recreational Classes - 2nd Child	£56.70	£62.40	£5.70	10.05%
Recreational Classes - 3rd Child	£48.60	£53.50	£4.90	10.08%
Recreational Classes PTL	£61.55	£67.70	£6.15	9.99%
Advanced Recreational Class	£112.85	£124.10	£11.25	9.97%
Recreational Classes - 2nd Child	£85.30	£93.80	£8.50	9.96%
Recreational Classes - 3rd Child	£74.50	£82.00	£7.50	10.07%
Recreational Classes PTL	£90.15	£99.20	£9.05	10.04%
4th Child FREE for all groups				
ADULT				
Floor Gymnastics	£7.55	£8.30	£0.75	9.93%
PTL	£5.90	£6.50	£0.60	10.17%
SWIMMING DEVELOPMENT				
Open National Group - City Resident	£101.50	£103.50	£2.00	1.97%
Open National Group - City Non-resident	£113.40	£115.70	£2.30	2.03%
Open National Group - Passport-to-Leisure	£81.00	£82.60	£1.60	1.98%
Open National Group - 2nd Child in Same Group	£75.60	£77.10	£1.50	1.98%
National Development Group - City Resident	£95.00	£96.90	£1.90	2.00%
National Development Group - City Non-resident	£106.90	£109.00	£2.10	1.96%
National Development Group - Passport-to-Leisure	£76.10	£77.60	£1.50	1.97%
National Development Group - 2nd Child in Same Group	£66.95	£68.30	£1.35	2.02%
National Synchronised Group - City Resident	£81.00	£82.60	£1.60	1.98%
National Synchronised Group - City Non-resident	£95.00	£96.90	£1.90	2.00%
National Synchronised Group - Passport-to-Leisure	£64.80	£66.10	£1.30	2.01%
National Synchronised Group - 2nd Child in Same Group	£60.45	£61.70	£1.25	2.07%
Youth Synchronised Group - City Resident	£71.25	£72.70	£1.45	2.04%
Youth Synchronised Group - City Non-resident	£82.05	£83.70	£1.65	2.01%
Youth Synchronised Group - Passport-to-Leisure	£57.20	£58.30	£1.10	1.92%
Youth Synchronised Group - 2nd Child in Same Group	£54.00	£55.10	£1.10	2.04%
Junior Synchronised Group - City Resident	£62.60	£63.90	£1.30	2.08%
Junior Synchronised Group - City Non-resident	£76.10	£77.60	£1.50	1.97%
Junior Synchronised Group - Passport-to-Leisure	£50.20	£51.20	£1.00	1.99%
Junior Synchronised Group - 2nd Child in Same Group	£46.40	£47.30	£0.90	1.94%
Learn to Synchro Swim - City Resident	£28.05	£28.60	£0.55	1.96%
Learn to Synchro Swim -City Non-resident	£32.90	£33.60	£0.70	2.13%
Learn to Synchro Swim - Passport-to-Leisure	£22.65	£23.10	£0.45	1.99%
Sport & Leisure				

Learn to Synchro Swim - 2nd Child in Same Group	£19.40	£19.80	£0.40	2.06%
For all Sport and Leisure fees and charges Adults are classified as people aged 16 years and over				
Leisure Centres - Facility Hire & Miscellaneous				
Fees are inclusive of VAT where applicable				
INDOOR SPORTS				
8-day Advance Booking Leisure Card membership				
(+ £1.00 per court for 8-day advance booking)				
Sports Hall				
Nechells (8 badminton court hall)	£126.35	£136.50	£10.15	8.03%
Cocks Moors Woods (8 courts)	£130.65	£141.10	£10.45	8.00%
Wyndley (5 courts)	£78.80	£85.10	£6.30	7.99%
Fox Hollies (4 court)	£78.80	£85.10	£6.30	7.99%
Handsworth (4 court)	£71.25	£77.00	£5.75	8.07%
Small Heath (4 court)	£59.40	£64.20	£4.80	8.08%
New Stechford (4 court)	£79.35	£85.70	£6.35	8.00%
Badminton				
Fox Hollies	£9.75	£10.20	£0.45	4.62%
Wyndley	£9.75	£10.20	£0.45	4.62%
Cocks Moors Woods	£9.75	£10.20	£0.45	4.62%
Handsworth	£9.75	£10.20	£0.45	4.62%
Small Heath	£9.75	£10.20	£0.45	4.62%
Great Barr	£9.75	£10.20	£0.45	4.62%
Nechells	£9.75	£10.20	£0.45	4.62%
New Stechford	£9.75	£10.20	£0.45	4.62%
Squash				
Fox Hollies	£9.75	£10.20	£0.45	4.62%
Small Heath	£9.75	£10.20	£0.45	4.62%
Wyndley	£9.75	£10.20	£0.45	4.62%
OUTDOOR SPORTS				
Wyndley Artificial Pitch				
Adult	£165.20	£178.40	£13.20	7.99%
Junior	£83.15	£89.80	£6.65	8.00%
1/3 rd Pitch	£56.70	£61.20	£4.50	7.94%
1/3 rd Pitch Junior	£30.20	£32.60	£2.40	7.95%
Wyndley Practice Area	£65.85	£71.10	£5.25	7.97%
Wyndley Practice Area Junior	£32.90	£35.50	£2.60	7.90%
Sport & Leisure				
Small Heath - Artificial Pitch				
Adult	£118.80	£128.30	£9.50	8.00%
1/3 rd Pitch	£39.95	£43.10	£3.15	7.88%
Fox Hollies - Artificial Pitch				
Adult	£156.60	£169.10	£12.50	7.98%
Junior	£79.35	£85.70	£6.35	8.00%

1/3 rd Pitch	£51.80	£55.90	£4.10	7.92%
Artificial Pitch - Saltley				
Adult	£143.60	£155.10	£11.50	8.01%
Adult 1/3 Pitch	£57.75	£62.40	£4.65	8.05%
Artificial Pitch - Colmers				
Adult 1/3 Pitch	£49.65	£53.60	£3.95	7.96%
Adult Full Pitch	£147.40	£159.20	£11.80	8.01%
Junior 1/3 Pitch	£37.80	£40.80	£3.00	7.94%
Junior Full Pitch	£111.75	£120.70	£8.95	8.01%
Wyndley Sports Meetings				
Adult - Midweek	£296.45	£320.20	£23.75	8.01%
Adult - Weekend	£361.80	£390.70	£28.90	7.99%
Junior - Midweek	£204.10	£220.40	£16.30	7.99%
Junior - Weekend	£219.20	£236.70	£17.50	7.98%
Netball	£24.70	£26.70	£2.00	8.10%
Nechells - Multi Use Area	£22.65	£24.50	£1.85	8.17%
Cricket: Outdoor Practice Nets	£24.70	£26.70	£2.00	8.10%
BILLESLEY INDOOR TENNIS CENTRE				
Indoor Court Hire				
Peak Times - Adult	£26.75	£28.90	£2.15	8.04%
Peak Times - Junior	£12.85	£13.90	£1.05	8.17%
Off Peak	£11.30	£12.20	£0.90	7.96%
Weekends	£21.60	£23.30	£1.70	7.87%
School Use	£12.35	£13.30	£0.95	7.69%
Outdoor Court Hire				
Peak times - Adult	£12.85	£13.90	£1.05	8.17%
Peak times - Junior	£7.10	£7.70	£0.60	8.45%
Off peak - Adult	£10.30	£11.10	£0.80	7.77%
Off Peak - Junior	£5.45	£5.90	£0.45	8.26%
TABLE TENNIS				
Cocks Moors Woods	£8.40	£9.10	£0.70	8.33%
Fox Hollies	£8.40	£9.10	£0.70	8.33%
Sport & Leisure				
Nechells	£8.40	£9.10	£0.70	8.33%
Wyndley	£8.40	£9.10	£0.70	8.33%
NON-COMMERCIAL ROOM HIRE				
Room Hire				
Calthorpe Play Centre	£29.85	£32.20	£2.35	7.87%
Stanhope Wellbeing Hub	£29.85	£32.20	£2.35	7.87%
Firs & Bromford Wellbeing Hub				
Aston Pavilion	£43.75	£47.30	£3.55	8.11%
Conference Suite				
Cocks Moors Woods LC - Conference Suite	£70.00	£75.60	£5.60	8.00%

Cocks Moors Woods LC - Conference Suite	£212.65	£229.70	£17.05	8.02%
Cocks Moors Woods LC - Conference Suite	£354.30	£382.60	£28.30	7.99%
Dance Studio				
Cocks Moors Woods LC - Dance Studio 2	£35.50	£38.30	£2.80	7.89%
Cocks Moors Woods LC - Dance Studio 1	£116.90	£126.30	£9.40	8.04%
Wyndley LC	£35.50	£38.30	£2.80	7.89%
Fox Hollies LC	£34.50	£37.30	£2.80	8.12%
Handsworth	£34.50	£37.30	£2.80	8.12%
Handsworth VAT	£42.20	£45.60	£3.40	8.06%
Harborne	£60.25	£65.10	£4.85	8.05%
New Erdington	£60.25	£65.10	£4.85	8.05%
New Northfield	£60.25	£65.10	£4.85	8.05%
New Stechford	£60.25	£65.10	£4.85	8.05%
New Sparkhill	£60.25	£65.10	£4.85	8.05%
Ladywood	£60.25	£65.10	£4.85	8.05%
Indoor/Outdoor Sports				
Short Mat Bowls	£4.30	£4.50	£0.20	4.65%
Running Track	£4.30	£4.50	£0.20	4.65%
For all Sport and Leisure fees and charges Adults are classified as people aged 16 years and over				
Fitness Gym				
Billesley Tennis Centre	£7.80	£8.20	£0.40	5.13%
Cocks Moors Woods	£7.80	£8.20	£0.40	5.13%
Fox Hollies	£7.80	£8.20	£0.40	5.13%
Alexander Stadium	£7.80	£8.20	£0.40	5.13%
Sport & Leisure				
Nechells	£7.20	£7.60	£0.40	5.56%
Saltley	£7.80	£8.20	£0.40	5.13%
Wyndley	£7.80	£8.20	£0.40	5.13%
Kingstanding	£7.80	£8.20	£0.40	5.13%
Shard End	£7.50	£7.90	£0.40	5.33%
Small Heath LC and Nechells	£7.50	£7.90	£0.40	5.33%
Beeches Pool	£7.80	£8.20	£0.40	5.13%
Harborne	£7.80	£8.20	£0.40	5.13%
New Erdington	£7.80	£8.20	£0.40	5.13%
New Northfield	£7.80	£8.20	£0.40	5.13%
New Stechford	£7.80	£8.20	£0.40	5.13%
New Sparkhill	£7.80	£8.20	£0.40	5.13%
Ladywood	£7.80	£8.20	£0.40	5.13%
Individual PTL - discount 20% off-peak & 10% peak				
Reduced price for juniors				
Programmes				
Induction - Starter Programme	£16.95	£17.80	£0.85	5.01%
Induction - Starter Programme (PTL)	£13.55	£14.20	£0.65	4.80%

Induction - Starter Programme Junior	£7.90	£8.30	£0.40	5.06%
Induction - Personal Programme	£31.40	£33.00	£1.60	5.10%
Induction - Personal Programme (PTL)	£25.10	£26.40	£1.30	5.18%
Programme Review	£3.25	£3.40	£0.15	4.62%
Personal Fitness Trainer 1 to 1	£48.90	£51.30	£2.40	4.91%
Fitness Gym + Sauna combined ticket				
Beeches	£12.35	£13.00	£0.65	5.26%
Gym & Sauna combined ticket PTL price reductions 30% off-peak and 10% peak				
Pulse Point users must be aged over 16, unless under instruction from a suitably qualified coach / instructor				
Handsworth Wellbeing Centre	£10.15	£10.70	£0.55	5.42%
New Erdington	£10.15	£10.70	£0.55	5.42%
New Sparkhill	£10.15	£10.70	£0.55	5.42%
Ladywood	£10.15	£10.70	£0.55	5.42%
Sport & Leisure				
Free Weight Gym Small Heath only				
Individual Session Small Heath LC	£7.50	£7.90	£0.40	5.33%
Induction Small Heath	£8.95	£9.40	£0.45	5.03%
Induction (PTL)	£7.20	£7.60	£0.40	5.56%
PowerPoint users must be aged over 16, unless under instruction from a suitably qualified coach / instructor.				
EXERCISE TO MUSIC GROUP CLASSES				
Instructed Classes				
Aerobics (all group fitness classes)	£7.70	£8.10	£0.40	5.19%
AquaTone	£7.70	£8.10	£0.40	5.19%
Aquafit	£7.70	£8.10	£0.40	5.19%
Yoga	£8.50	£8.90	£0.40	4.71%
Body training systems	£7.70	£8.10	£0.40	5.19%
Studio Cycling	£7.70	£8.10	£0.40	5.19%
TONING TABLES @ Kingstanding LC				
Toning Tables	£7.60	£8.00	£0.40	5.26%
Toning Tables (PTL)	£6.05	£6.40	£0.35	5.79%
Toning Tables (Course)	£67.95	£71.30	£3.35	4.93%
HEALTH SUITES				
Sauna, Steam, Turkish				
Steam Room/Sauna	£11.30	£11.90	£0.60	5.31%
Steam/Sauna Cabinet	£5.00	£5.30	£0.30	6.00%
Turkish	£11.80	£12.40	£0.60	5.08%
Turkish PTL	£9.45	£9.90	£0.45	4.76%
Showers				
Adult/Junior	£3.15	£3.30	£0.15	4.76%
MONTHLY MEMBERSHIPS SCHEMES				

Your Choice Memberships paid by Direct Debit				
Premier Choice (Cross service)	£35.50	£35.50	£0.00	0.00%
Fitness Choice (Gym Only Multi site Wellbeing)	£31.00	£31.00	£0.00	0.00%
Fitness Choice (Classes Only Multi Site Wellbeing)	£23.00	£23.00	£0.00	0.00%
Aqua Choice (Swimming Only Multi site Wellbeing)	£25.00	£25.00	£0.00	0.00%
Premier Choice Student Tiverton	£34.50	£34.50	£0.00	0.00%
Sport & Leisure				
Site specific health & fitness monthly memberships not paid by Direct Debit				
Gym & swim combined	£49.00	£51.50	£2.50	5.10%
Swim only	£37.00	£38.90	£1.90	5.14%
Leisure Centre Booking Card	£17.00	£17.90	£0.90	5.29%
For all Sport and Leisure fees and charges Adults are classified as people aged 16 years and over				
SWIMMING POOL REGULAR HIRE				
Main Pool - Peak				
Wyndley	£170.60	£184.20	£13.60	7.97%
Kingstanding	£172.80	£186.60	£13.80	7.99%
Fox Hollies	£125.25	£135.30	£10.05	8.02%
Beeches	£110.15	£119.00	£8.85	8.03%
Small Heath	£109.05	£117.80	£8.75	8.02%
Handsworth	£96.10	£103.80	£7.70	8.01%
Newtown	£96.10	£103.80	£7.70	8.01%
Moseley Road	£93.95	£101.50	£7.55	8.04%
Harborne	£170.60	£184.20	£13.60	7.97%
New Erdington	£170.60	£184.20	£13.60	7.97%
New Northfield	£170.60	£184.20	£13.60	7.97%
New Stechford	£170.60	£184.20	£13.60	7.97%
New Sparkhill	£170.60	£184.20	£13.60	7.97%
Ladywood	£227.85	£246.10	£18.25	8.01%
Main Pool - Off Peak				
Kingstanding	£124.20	£134.10	£9.90	7.97%
Wyndley	£112.30	£121.30	£9.00	8.01%
Fox Hollies	£93.95	£101.50	£7.55	8.04%
Beeches	£79.90	£86.30	£6.40	8.01%
Newtown	£79.90	£86.30	£6.40	8.01%
Small Heath	£77.75	£84.00	£6.25	8.04%
Handsworth	£72.35	£78.10	£5.75	7.95%
Moseley Road	£79.90	£86.30	£6.40	8.01%
Harborne	£124.20	£134.10	£9.90	7.97%
New Erdington	£124.20	£134.10	£9.90	7.97%
New Northfield	£124.20	£134.10	£9.90	7.97%
New Stechford	£124.20	£134.10	£9.90	7.97%
New Sparkhill	£124.20	£134.10	£9.90	7.97%

Sport & Leisure				
Ladywood	£165.20	£178.40	£13.20	7.99%
Teaching Pool - Peak				
Wyndley	£100.40	£108.40	£8.00	7.97%
Handsworth	£96.10	£103.80	£7.70	8.01%
Linden Road	£88.55	£95.60	£7.05	7.96%
Newtown	£68.00	£73.40	£5.40	7.94%
Moseley Road	£68.00	£73.40	£5.40	7.94%
Harborne	£100.40	£108.40	£8.00	7.97%
New Erdington	£100.40	£108.40	£8.00	7.97%
New Northfield	£100.40	£108.40	£8.00	7.97%
New Stechford	£100.40	£108.40	£8.00	7.97%
New Sparkhill	£100.40	£108.40	£8.00	7.97%
Ladywood	£100.40	£108.40	£8.00	7.97%
Teaching Pool - Off Peak				
Wyndley	£68.00	£73.40	£5.40	7.94%
Handsworth	£63.70	£68.80	£5.10	8.01%
Linden Road	£63.70	£68.80	£5.10	8.01%
Newtown	£54.00	£58.30	£4.30	7.96%
Moseley Road	£54.00	£58.30	£4.30	7.96%
Harborne	£68.00	£73.40	£5.40	7.94%
New Erdington	£68.00	£73.40	£5.40	7.94%
New Northfield	£68.00	£73.40	£5.40	7.94%
New Stechford	£68.00	£73.40	£5.40	7.94%
New Sparkhill	£68.00	£73.40	£5.40	7.94%
Ladywood	£68.00	£73.40	£5.40	7.94%
OCCASIONAL POOL HIRE - GALA ETC				
Main Pools				
Cocks Moors Woods (Leisure pool)	£380.15	£410.60	£30.45	8.01%
Wyndley	£380.15	£410.60	£30.45	8.01%
Kingstanding (Leisure Pool)	£380.15	£410.60	£30.45	8.01%
Fox Hollies	£219.20	£236.70	£17.50	7.98%
Sport & Leisure				
Handsworth	£160.90	£173.80	£12.90	8.02%
Beeches	£160.90	£173.80	£12.90	8.02%
Small Heath	£160.90	£173.80	£12.90	8.02%
Newtown	£160.90	£173.80	£12.90	8.02%
Harborne	£219.20	£236.70	£17.50	7.98%
New Erdington	£219.20	£236.70	£17.50	7.98%
New Northfield	£219.20	£236.70	£17.50	7.98%
New Stechford	£219.20	£236.70	£17.50	7.98%
New Sparkhill	£219.20	£236.70	£17.50	7.98%
Ladywood	£506.50	£547.00	£40.50	8.00%

School galas/events in normal schools' hours	£97.20	£105.00	£7.80	8.02%
Timing Equipment	£82.05	£88.60	£6.55	7.98%
Teaching Pools				
Wyndley	£133.90	£144.60	£10.70	7.99%
Linden Road	£108.00	£116.60	£8.60	7.96%
Handsworth	£98.25	£106.10	£7.85	7.99%
Newtown	£85.30	£92.10	£6.80	7.97%
Stechford	£84.20	£90.90	£6.70	7.96%
Moseley Road	£63.70	£68.80	£5.10	8.01%
Harborne	£133.90	£144.60	£10.70	7.99%
New Erdington	£133.90	£144.60	£10.70	7.99%
New Northfield	£133.90	£144.60	£10.70	7.99%
New Stechford	£133.90	£144.60	£10.70	7.99%
New Sparkhill	£133.90	£144.60	£10.70	7.99%
Ladywood	£133.90	£144.60	£10.70	7.99%
Charge for first 100 people. Add £1.00 per head over 100 people. The occasional hire rates take into account the need for staff safety cover.				
Galas and special events scheduled to extend into daytime public use shall be subject to a special application and a negotiated rate.				
Sport & Leisure				
Bookings by organisations based outside the city should be subject to a negotiated hire charge, Based on a minimum of the occasional hire charge.				
OTHER CHARGES				
Hire charge for staff lifeguard				
One Leisure Assistant	£33.45	£36.10	£2.65	7.92%
Schools Instruction Programme				
Schools Swimming (including instructor)	£50.75	£54.80	£4.05	7.98%
Schools Swimming (including instructor)	£75.60	£81.60	£6.00	7.94%
Additional Swimming Instructor	£28.60	£30.90	£2.30	8.04%
Swimming Badges	£0.00	£0.00	£0.00	0
Distance	£3.55	£3.80	£0.25	7.04%
Skills	£3.55	£3.80	£0.25	7.04%
Badge Sessions award	£3.75	£4.10	£0.35	9.33%
Old Strokes Badges	£2.45	£2.60	£0.15	6.12%
NOTES				
1) If a club whose headquarters are at one of the City Council's Swimming Pools or Leisure Centres has at least eight of its members participating in the junior group of the Advanced Coaching Scheme, then that club is entitled to pay the off-peak hire charge for one club session per week, up to a maximum of 3 hours, at the pool serving as its headquarters.				
2) 25% reduction on hire fee is given to designated lifesaving clubs/groups who (a) are affiliated to the RLSS Warwickshire Branch and b) offer courses and				

examinations leading to the RLSS UK/ISRM National Pool Lifeguard Qualification, or the RLSS UK rescue Test for Teachers and Coaches of swimming.				
3) School Use-				
Birmingham LEA schools - not applicable / internal charge				
Non-LEA Birmingham schools - Exempt if for educational purposes				
For all Sport and Leisure fees and charges Adults are classified as people aged 16years and over				
Swimming, Strokes Instruction and Strikes Instruction				
Fees are inclusive of VAT where applicable				
Sport & Leisure				
GENERAL SWIMMING				
Cocks Moors Woods / Fox Hollies / Kingstanding /				
Stechford / Wyndley / Erdington / Sparkhill /				
Harborne / Northfield				
Adult	£5.75	£6.00	£0.25	4.35%
Adult (PTL)	£4.60	£4.80	£0.20	4.35%
Junior under 16	£3.70	£3.90	£0.20	5.41%
Spectator	£1.00	£1.10	£0.10	10.00%
Group swim	£3.35	£3.50	£0.15	4.48%
Family Swim**	£15.45	£16.20	£0.75	4.85%
Family Swim (PTL)	£12.35	£13.00	£0.65	5.26%
All other swimming pools				
Adult	£5.55	£5.80	£0.25	4.50%
Adult (PTL)	£4.40	£4.60	£0.20	4.55%
Junior	£3.60	£3.80	£0.20	5.56%
Junior (PTL)	£2.85	£3.00	£0.15	5.26%
Spectator	£1.00	£1.10	£0.10	10.00%
Group swim	£3.35	£3.50	£0.15	4.48%
Family Swim **	£14.70	£15.40	£0.70	4.76%
Family Swim (PTL)	£11.70	£12.30	£0.60	5.13%
Under 8's - only 2 under 8s allowed in with one adult at all times, both in and out of the water.				
STROKES - SWIMMING INSTRUCTION				
Strokes for Life Course				
Junior	£70.20	£77.20	£7.00	9.97%
Junior PTL	£56.15	£61.80	£5.65	10.06%
Junior Coaching	£77.75	£85.50	£7.75	9.97%
Adult	£82.05	£90.30	£8.25	10.05%
Adult PTL	£65.85	£72.40	£6.55	9.95%
Adult - Sixty Plus	£51.30	£56.40	£5.10	9.94%
Adult - Individual lesson	£9.90	£10.90	£1.00	10.10%
Sport & Leisure				
Strokes for Life Adult & Child				

Course Registration Fee	£26.20	£28.80	£2.60	9.92%
Course Individual Lesson Fee (each week)	£4.20	£4.60	£0.40	9.52%
Individual Lesson	£7.10	£7.80	£0.70	9.86%
Mini Splash Session for Parent & Child	£5.90	£6.50	£0.60	10.17%
Strokes for Life Junior Ducklings				
First Strokes course 12 weeks max of 8 children	£77.30	£85.00	£7.70	9.96%
First Strokes course 12 weeks max of 4 children	£134.45	£147.90	£13.45	10.00%
Strokes for Life Stage 10				
Canoeing	£77.30	£85.00	£7.70	9.96%
Water polo	£77.30	£85.00	£7.70	9.96%
Synchronised swimming	£77.30	£85.00	£7.70	9.96%
Rookie lifeguard	£77.30	£85.00	£7.70	9.96%
Swim Fit	£77.30	£85.00	£7.70	9.96%
Strokes for Life - Challenge awards - 12-week course				
Bronze / Silver / Gold	£70.20	£77.20	£7.00	9.97%
Holiday Crash Courses				
Junior (5-Day)	£34.00	£37.40	£3.40	10.00%
Junior (4-Day)	£30.65	£33.70	£3.05	9.95%
Junior (5-Day)	£46.40	£51.00	£4.60	9.91%
Junior (4-Day)	£39.95	£43.90	£3.95	9.89%
Adult (5-Day)	£45.35	£49.90	£4.55	10.03%
Adult (4-Day)	£34.00	£37.40	£3.40	10.00%
Strokes for Life Premier Strokes Junior				
Junior - individual lesson - one-to-one	£30.65	£33.70	£3.05	9.95%
Junior - Individual less two juniors / one instructor	£26.65	£29.30	£2.65	9.94%
Junior course group of 4	£133.25	£146.60	£13.35	10.02%
Junior - course - group of six	£124.70	£137.20	£12.50	10.02%
Strokes for Life Premier Strokes Adult				
Adult - individual lesson 1 - 1	£29.45	£32.40	£2.95	10.02%
Sport & Leisure				
Adult - 12 week	£263.05	£289.40	£26.35	10.02%
Adult - individual lesson 2 - 1	£26.65	£29.30	£2.65	9.94%
Adult - 12 week 1 - 6	£124.70	£137.20	£12.50	10.02%
Adult - 12 week 1 - 4	£146.30	£160.90	£14.60	9.98%
Revised pricing incorrect corporate prices stated				
No PTL price reduction on Premier Strokes individual lessons				
20% PTL price reduction on all other Strokes courses				
STRIKES - GROUP FOOTBALL INSTRUCTION				
12-week courses				
Junior	£70.20	£77.20	£7.00	9.97%
Junior PTL	£56.15	£61.80	£5.65	10.06%
First Kicks 12 week	£51.30	£56.40	£5.10	9.94%

PTL discount is 20% off the standard price				
DRY INSTRUCTION				
12-week courses				
Gymfants - 12 week	£70.20	£77.20	£7.00	9.97%
Gymbounce - 12 week	£70.20	£77.20	£7.00	9.97%
Gymfants P&P	£7.85	£8.60	£0.75	9.55%
Cultural Development - Film Birmingham				
Street Filming (non-refundable)				
Small crew – up to 10 people	£60.00	£65.00	£5.00	8.33%
Medium crew – 11-24 people	£141.00	£150.05	£9.05	6.42%
Large crew -25 + people	£270.50	£280.50	£10.00	3.70%
Very large crew – 75 + people	£435.00	£455.00	£20.00	4.60%
Charity / Students / Travelogues	£0.00	£0.00	£0.00	0
Drone Permits	£173.00	£180.00	£7.00	4.05%
Parking				
Parking Suspensions (per bay)	£40.00	£40.00	£0.00	0.00%
Parking dispensation (per vehicle)	£18.00	£18.00	£0.00	0.00%
Location Fees per hour	£50.00	£55.00	£5.00	10.00%
Location Fees per hour	200	£210.00	£10.00	5.00%
Cultural Development - Film Birmingham				
Facilitation/Staffing per hour	£50.00	£55.00	£5.00	10.00%
Facilitation/Staffing per hour	£75.00	£80.00	£5.00	6.67%
Temporary Traffic Restrictions				
Road Traffic Notice	£560.00-£2700.00	£560.00-£2700.00		
Cherry Picker/Scaffold Permits	£45.00	£48.00	£3.00	6.67%
Library of Birmingham (per hour)	£150.00	£160.00	£10.00	6.67%
Library of Birmingham (Student/Charity per hour)	£25.00	£26.00	£1.00	4.00%
GMAC				
1 quarter of Hire of Gymnastics Hall per hour	£132.00	£134.60	£2.60	1.97%
Half Gymnastics Hall per hour	£264.00	£269.30	£5.30	2.01%
Whole Gymnastics Hall per hour	£528.00	£538.60	£10.60	2.01%
Parks Fees				
Premiere Parks Cannon Hill, Handsworth Park, Kings Heath Park, Lickey Hills & Sutton Park				
Up to 1 hour & Students	£120.00	£122.40	£2.40	2.00%
Filming with minimal equipment (handheld) max 4 hours	£305.00	£311.10	£6.10	2.00%
Filming with minimal equipment (handheld) per day	£490.00	£499.80	£9.80	2.00%
Filming with vehicles and crew max 4 hours	£490.00	£499.80	£9.80	2.00%
Filming with vehicles and crew per day	£980.00	£999.60	£19.60	2.00%
All other Parks				
Up to 1 hour & Students	£89.00	£90.80	£1.80	2.02%
Filming with minimal equipment (handheld) max 4 hours	£178.50	£182.10	£3.60	2.02%

Filming with minimal equipment (handheld) per day	£360.60	£367.80	£7.20	2.00%
Filming with vehicles and crew max 4 hours	£360.60	£367.80	£7.20	2.00%
Filming with vehicles and crew per day	£860.00	£877.20	£17.20	2.00%
Car Parking				
Specific Legislation Impacting on Service Area				
Rationale for change in pricing/pricing policy				
Link to Budget 2019+				
ON-STREET PARKING CHARGES				
Outer Zone, Jewellery Quarter Zone and Gun Quarter Zone				
Monday to Saturday 8am - 6pm				
Up to 1 hour	£1.60	£1.70	£0.10	6.25%
Up to 2 hours	£2.30	£2.40	£0.10	4.35%
Up to 3 hours	£3.70	£4.00	£0.30	8.11%
Up to 4 hours	£4.70	£5.00	£0.30	6.38%
Overnight 5pm - 9am and all-day Sunday				
Annual	£105.00	£112.00	£7.00	6.67%
Overnight 5pm - 9am and all-day Saturday & Sunday				
Annual	£210.00	£225.00	£15.00	7.14%
Jewellery Quarter and Gun Zone Season Tickets				
Annual (residents)	£273.00	£290.00	£17.00	6.23%
Annual (local employees)	£346.00	£365.00	£19.00	5.49%
Eastside Zone (Cashless Payment Only)				
Monday to Saturday 8am - 7.30pm				
Up to 1 hour	£1.60	£1.70	£0.10	6.25%
Up to 2 hours	£2.30	£2.40	£0.10	4.35%
Up to 3 hours	£3.70	£4.00	£0.30	8.11%
Up to 4 hours	£4.70	£5.00	£0.30	6.38%
Digbeth and Irish Quarter				
Up to 1 hour	£1.50	£1.60	£0.10	6.67%
Up to 2 hours	£2.20	£2.40	£0.20	9.09%
Up to 3 hours	£3.50	£3.70	£0.20	5.71%
Up to 4 hours	£4.50	£4.80	£0.30	6.67%
Resident and business Permits		£0.00	£0.00	0
Residents Permit	£263.00	£280.00	£17.00	6.46%
Business Permit	£336.00	£360.00	£24.00	7.14%
Dale Road (Cashless Payments Only)				
Monday to Saturday 8am - 7pm				
Up to 1 hour	£0.80	£0.90	£0.10	12.50%
Up to 2 hours	£1.40	£1.50	£0.10	7.14%
Up to 3 hours	£1.90	£2.00	£0.10	5.26%

Up to 4 hours	£2.10	£2.20	£0.10	4.76%
RESIDENT PARKING SCHEMES				
Resident Permit				
First Permit	£19.00	£20.00	£1.00	5.26%
Second and Subsequent Permits	£38.00	£40.00	£2.00	5.26%
Resident Visitor Permit				
The permits are available in pads of five permits				
Change per permit	£0.75	£0.80	£0.05	6.67%
Business Permit				
Suburban areas	£142.00	£149.00	£7.00	4.93%
OFF - STREET PARKING CHARGES				
Great Charles Street and Ludgate Hill Car Parks				
Monday - Friday				
Up to 2 hours	£3.10	£3.30	£0.20	6.45%
Up to 4 hours	£5.20	£5.60	£0.40	7.69%
Up to 6 hours	£6.70	£7.10	£0.40	5.97%
Up to 12 hours	£7.70	£8.20	£0.50	6.49%
Up to 24 hours	£8.70	£9.20	£0.50	5.75%
Saturday and Sunday				
All day until midnight	£4.20	£4.50	£0.30	7.14%
PARADISE CIRCUS MULTI - STOREY CAR PARK				
Everyday				
Up to 2 hours	£3.10	£3.30	£0.20	6.45%
Up to 4 hours	£5.20	£5.50	£0.30	5.77%
Up to 6 hours	£7.20	£7.60	£0.40	5.56%
Up to 12 hours	£10.80	£11.40	£0.60	5.56%
Up to 24 hours	£13.50	£14.30	£0.80	5.93%
Season Tickets				
Monday - Friday 7:00 am to 7:00pm				
Three Calendar Months	£600.00	£630.00	£30.00	5.00%
Six Calendar Months	£1,075.00	£1,130.00	£55.00	5.12%
Annually	£1,950.00	£2,050.00	£100.00	5.13%
Everyday 7:00 to Midnight				
Three Calendar Months	£670.00	£710.00	£40.00	5.97%
Six Calendar Months	£1,180.00	£1,241.00	£61.00	5.17%
Annually	£2,200.00	£2,315.00	£115.00	5.23%
All day every day				
Three Calendar Months	£695.00	£732.00	£37.00	5.32%
Six Calendar Months	£1,270.00	£1,335.00	£65.00	5.12%
Annually	£2,300.00	£2,420.00	£120.00	5.22%
SNOW HILL MULTI - STOREY CAR PARK				
Everyday				
Up to 2 hours	£4.10	£4.30	£0.20	4.88%

Up to 4 hours	£6.20	£6.60	£0.40	6.45%
Up to 6 hours	£9.50	£10.00	£0.49	5.21%
Up to 12 hours	£13.20	£14.00	£0.80	6.06%
Up to 24 hours	£16.30	£18.00	£1.70	10.43%
It is proposed to retain the all - day flat rate charge of £1.00 for the parking of motorcycles in the motorcycle bays at this car park				
Season Tickets				
Monday - Friday 7:00 am to 7:00pm				
Three Calendar Months	£670.00	£720.00	£50.00	7.46%
Six Calendar Months	£1,300.00	£1,390.00	£90.00	6.92%
Annually	£2,550.00	£2,710.00	£160.00	6.27%
Everyday 7:00 to Midnight				
Three Calendar Months	£800.00	£860.00	£60.00	7.50%
Six Calendar Months	£1,550.00	£1,640.00	£90.00	5.81%
Annually	£2,850.00	£3,050.00	£200.00	7.02%
All day every day				
Three Calendar Months	£940.00	£990.00	£50.00	5.32%
Six Calendar Months	£1,850.00	£1,950.00	£100.00	5.41%
Annually	£3,500.00	£3,700.00	£200.00	5.71%
TOWN HALL MULTI - STOREY CAR PARK				
Everyday				
Up to 2 hours	£4.10	£4.30	£0.20	4.88%
Up to 4 hours	£6.20	£6.60	£0.40	6.45%
Up to 6 hours	£9.50	£10.00	£0.49	5.21%
Up to 12 hours	£13.20	£14.00	£0.80	6.06%
Up to 24 hours	£16.30	£18.00	£1.70	10.43%
Season Tickets				
Monday - Friday 7:00 am to 7:00pm				
Three Calendar Months	£670.00	£720.00	£50.00	7.46%
Six Calendar Months	£1,300.00	£1,390.00	£90.00	6.92%
Annually	£2,550.00	£2,710.00	£160.00	6.27%
Monday - Friday 7:00pm to Midnight				
Three Calendar Months	£720.00	£780.00	£60.00	8.33%
Six Calendar Months	£1,420.00	£1,510.00	£90.00	6.34%
Annually	£2,800.00	£3,000.00	£200.00	7.14%
All day every day				
Three Calendar Months	£930.00	£980.00	£50.00	5.38%
Six Calendar Months	£1,700.00	£1,800.00	£100.00	5.88%
Annually	£3,000.00	£3,200.00	£200.00	6.67%
DUDLEY STREET & NAVIGATION STREET CAR PARK				
Everyday				
All day (motorcycles only)	£1.00	£1.10	£0.10	10.00%
Up to 2 hours	£3.60	£3.80	£0.20	5.56%

Up to 4 hours	£6.20	£6.60	£0.40	6.45%
Up to 6 hours	£9.30	£9.80	£0.49	5.32%
Up to 12 hours	£12.40	£13.10	£0.70	5.65%
Up to 24 hours	£14.50	£15.30	£0.80	5.52%
It is proposed to retain the all-day flat rate charge of £1.00 for the parking of motorcycles in the motorcycle bays at Dudley Street car park				
MILLENIUM POINT MULTI-STOREY CAR PARK				
Everyday				
Up to 2 hours	£3.10	£3.30	£0.20	6.45%
Up to 4 hours	£5.10	£5.40	£0.30	5.88%
Up to 6 hours	£5.90	£6.30	£0.40	6.78%
Up to 12 hours	£6.90	£7.30	£0.40	5.80%
Up to 24 hours	£9.80	£10.30	£0.50	5.10%
Season Tickets				
Monday - Friday 7:00am - 7:00pm				
Three Calendar Months	£305.00	£320.00	£15.00	4.92%
Six Calendar Months	£515.00	£545.00	£30.00	5.83%
Annually	£970.00	£1,020.00	£50.00	5.15%
All Day Every Day				
Three Calendar Months	£420.00	£445.00	£25.00	5.95%
Six Calendar Months	£760.00	£800.00	£40.00	5.26%
Annually	£1,295.00	£1,365.00	£70.00	5.41%
Car Parking				
JEWELLERY QUARTER MULTI-STOREY CAR PARK				
Everyday				
Up to 2 hours	£2.10	£2.30	£0.20	9.52%
Up to 4 hours	£3.10	£3.30	£0.20	6.45%
Up to 6 hours	£4.90	£5.20	£0.30	6.12%
Up to 10 hours	£6.90	£7.30	£0.40	5.80%
Season Tickets				
All day Every Day				
Three Calendar Months	£255.00	£270.00	£15.00	5.88%
Six Calendar Months	£475.00	£500.00	£25.00	5.26%
Annually	£895.00	£945.00	£50.00	5.59%
Levels 4, 5 and 6 Local employees only)				
Annually	£415.00	£440.00	£25.00	6.02%
BREWERY STREET MULTI-STOREY CAR PARK				
Up to 6 hours	£10.30	£11.10	£0.80	7.77%
Up to 24 hours	£20.80	£22.00	£1.20	5.77%
VICTORIA ROAD CAR PARK				
Up to 2 hours	£0.90	£1.00	£0.10	11.11%
Up to 4 hours	£1.80	£1.90	£0.10	5.56%
All Day	£3.00	£3.20	£0.20	6.67%

Season Tickets all day every day:				
3 Calendar Months	£180.00	£190.00	£10.00	5.56%
6 Calendar Months	£330.00	£350.00	£20.00	6.06%
Annual	£600.00	£631.00	£31.00	5.17%
DUCHESS ROAD CAR PARK				
Up to 2 hours	£1.10	£1.30	£0.20	18.18%
Up to 4 hours	£2.20	£2.40	£0.20	9.09%
Up to 24 hours	£3.40	£3.70	£0.30	8.82%
Season Tickets all day every day:				
3 Calendar Months	£190.00	£200.00	£10.00	5.26%
6 Calendar Months	£370.00	£390.00	£20.00	5.41%
Annual	£680.00	£720.00	£40.00	5.88%
ALL LOCAL CAR PARKS				
Monday to Saturday				
Up to 2 hours	£1.10	£1.20	£0.10	9.09%
Up to 4 hours	£2.30	£2.50	£0.20	8.70%
Up to 24 hours	£4.50	£4.80	£0.30	6.67%
Sunday				
Up to 2 hours	£1.00	£1.10	£0.10	10.00%
Up to 10 hours	£2.00	£2.10	£0.10	5.00%
NORTHFIELD TOWN CENTRE				
Monday to Saturday				
Up to 2 hours	£1.10	£1.20	£0.10	9.09%
Up to 4 hours	£2.30	£2.50	£0.20	8.70%
Up to 24 hours	£4.00	£4.80	£0.80	20.00%
Sunday				
Up to 2 hours	£1.30	£1.40	£0.10	7.69%
Up to 10 hours	£2.30	£2.50	£0.20	8.70%
Car Parking				
SUTTON COLDFIELD TOWN CENTRE				
Monday to Saturday				
Up to 2 hours	£1.40	£1.50	£0.10	7.14%
Up to 4 hours	£2.40	£2.50	£0.10	4.17%
Up to 24 hours	£4.50	£4.80	£0.30	6.67%
Sunday				
Up to 2 hours	£1.30	£1.40	£0.10	7.69%
Up to 10 hours	£2.30	£2.50	£0.20	8.70%
ON-STREET PARKING CHARGES				
Inner Zone				
Monday to Sunday 8am to 7.30pm				
Up to 1 hour	£3.60	£3.80	£0.20	5.56%
Up to 90 minutes (after 6pm)	£3.80	£4.00	£0.20	5.26%
Up to 2 hours	£6.20	£6.50	£0.30	4.84%

Up to 3 hours	£7.70	£8.20	£0.50	6.49%
Up to 4 hours	£9.70	£10.20	£0.50	5.10%
Season Tickets and Residents Permits				
Replacements				
Vehicle Change	£12.00	£12.60	£0.60	5.00%
Lost/Stolen/Damaged Season Ticket or Permit	£22.00	£23.20	£1.20	5.45%
Refunds				
Charge per Season Ticket or Permit	£16.00	£16.80	£0.80	5.00%
Parking Dispensations and Suspensions				
Dispensation to park on double yellow lines or contravene parking restrictions in exceptional and essential circumstances	£19.00	£20.00	£1.00	5.26%
Daily Charge Per Bay (Bays 1-3)	£15.00	£15.75	£0.75	5.00%
Daily Charge for Additional Bays (multiples of 3, or part thereof)	£15.00	£15.75	£0.75	5.00%
Charge for set up/take down	£70.00	£73.50	£3.50	5.00%
Admin Charge	£15.00	£15.75	£0.75	5.00%
Any additional costs associated with temporary suspension				
Permanent Loss of on-street parking bays due to development or change of use				
Charge to developers for loss of on street bay, where displaced bay cannot be located in near vicinity	Full Cost	Full Cost		
Any additional costs associated with loss of bay (i.e. amending Traffic Regulation Order, relocating ticket machines)	Full Cost	Full Cost		
Transportation, Connectivity & Highways				
Highways - Dropped Kerbs				
Dropped Kerb Site Inspection Fee	£97.95	£103.00	£5.05	5.15%
Dropped Kerb Administration Fee	£281.46	£296.00	£14.54	5.17%
Dropped Kerb Construction Cost	At Cost	At Cost		
Dropped Kerb Construction during planned Footway maintenance - discounted as per Council's technical policy plus administration	£226.82	£239.00	12.18	5.37%
Inspection of Illegally Constructed Dropped Kerb	£386.63	£406.00	£19.37	5.01%
Inspection of Dropped Kerb / Site as requested by potential property buyer	£123.72	£130.00	£6.28	5.08%
Confirmation of status of Dropped Kerb constructed > 6 years ago	£123.72	£130.00	£6.28	5.08%
Highways - Local Engineers				
Dropped Kerb Protection Marking (H marking)	£142.00	£150.00	£8.00	5.63%
Dropped Kerb Protection Marking to Figure 1026.1 Single Access up to 5m	£138.00	£145.00	£7.00	5.07%
Per additional metre over 5m	£26.00	£28.00	£2.00	7.69%
Authorisation for the installation of temporary Traffic Signals at multiple junctions	£252.00	£265.00	£13.00	5.16%
Traffic Regulation Order (permanent) Administration Fee	£2,100.00	£2,205.00	£105.00	5.00%
Temporary Traffic Regulation Order Notice - Admin fee by Districts	£1,113.00	£1,169.00	£56.00	5.03%
Bellmouth Agreement/Heavy duty crossover	£1,103.00	£1,159.00	£56.00	5.08%

Temporary Direction Signs	£229.00	£241.00	£12.00	5.24%
Traffic Regulation Order Processing Charges - Document prep, re-design, consultation, legal costs, audit, advertisement & data management (for more than 5 days)	At Cost	At Cost		
Transportation, Connectivity & Highways				
Traffic Regulation Notice Processing Charges - Document prep, re-design, consultation, advertisement & data management	At Cost	At Cost		
Temporary Traffic Regulation Order Processing Charges - approvals and data management (up to 5 days)	£1,170.00	£1,229.00	£59.00	5.04%
Temporary Road Closures (for Events)				
Temporary Road Closures (for Events) under the Towns Police Clauses Act 1847 - Officer time to process applications, carry out site investigations, produce plans, design signs, attend meetings, liaise with various stakeholders as necessary, carry out consultation, produce closure Notices, undertake any other actions as deemed appropriate and implement closure on site.	At Cost	At Cost		
Structures - Approval in Principle Process				
Review and Approval of proposals on Electrical Assets	At Cost	At Cost		
Review and Approval of proposals affecting Structural Assets	At Cost	At Cost		
Direction Signs				
Tourist Direction Signs - Application	£174.00	£183.00	£9.00	5.17%
Tourist Direction Signs - Sign determination, design, implementation, and maintenance	At Cost	At Cost		
Temporary Direction Signs - Application and initial period of licence up to 6 months	£347.00	£365.00	£18.00	5.19%
Temporary Direction Signs - Further 6-month extension of the licence period	£173.00	£182.00	£9.00	5.20%
Drainage Related Charges				
River Modelling - %cost of existing model	5.00%	5.25%	0.25%	
River Modelling - Minimum Charge	£183.00	£193.00	£10.00	5.46%
River Modelling - Maximum Charge	£2,524.00	£2,651.00	£127.00	5.03%
Other Drainage Services (Records, Assessments, etc.)	At Cost	At Cost		
Ordinary Water Course Consents	£50.00	£50.00	£0.00	0.00%
Pre-Application Advice for Developers	At Cost	At Cost		
Street works Charges				
Charges Under the New Roads and Street Works Act (s72) - Sample Inspections	£50.00	£50.00	£0.00	0.00%
Charges Under the New Roads and Street Works Act (s72) - Defective Reinstatement Inspection Fee	£47.50	£47.50	£0.00	0.00%
Charges Under the New Roads and Street Works Act (s72) - Third Party Inspection Fee	£68.00	£68.00	£0.00	0.00%
Street Works Regulations - Occupancy of Traffic-sensitive street or protected street not in road category 2, 3 or 4 beyond notified period. (Each day for first 3 days)	£5,000.00	£5,000.00	£0.00	0.00%
Street Works Regulations - Occupancy of Another street not in road category 2, 3 or 4 beyond notified period. (Each day for first 3 days)	£2,500.00	£2,500.00	£0.00	0.00%
Transportation, Connectivity & Highways				

Street Works Regulations - Occupancy of Traffic-sensitive street or protected	£3,000.00	£3,000.00	£0.00	0.00%
street in road category 2. Beyond notified period (Each day for first 3 days)				
Street Works Regulations - Occupancy of Other street in road category 2. Beyond notified period (Each day for first 3 days)	£2,000.00	£2,000.00	£0.00	0.00%
Street Works Regulations - Occupancy of Traffic-sensitive street or protected street in road category 3 or 4 beyond notified period (Each day after 3 days)	£750.00	£750.00	£0.00	0.00%
Street Works Regulations - Occupancy of Other street in road category 3 or 4 beyond notified period (Each day after 3 days)	£250.00	£250.00	£0.00	0.00%
Street Works Regulations - Occupancy of Traffic-sensitive street or protected	£10,000.00	£10,000.00	£0.00	0.00%
street not in road category 2, 3 or 4. (Each day for first 3 days)				
Street Works Regulations - Occupancy of Other street not in road category 2, 3 or 4. (Each day for first 3 days)	£2,500.00	£2,500.00	£0.00	0.00%
Street Works Regulations - Occupancy of Traffic-sensitive street or protected	£8,000.00	£8,000.00	£0.00	0.00%
street in road category 2. (Each day after 3 days)				
Street Works Regulations - Occupancy of Other street in road category 2. (Each day after 3 days)	£2,000.00	£2,000.00	£0.00	0.00%
Street Works Regulations - Occupancy of Traffic-sensitive street or protected street in road category 3 or 4 (Each day after 3 days)	£750.00	£750.00	£0.00	0.00%
Street Works Regulations - Occupancy of Other street in road category 3 or 4 (Each day after 3 days)	£250.00	£250.00	£0.00	0.00%
Street Works Regulations - Occupancy of Street not in road category 2, 3 or 4. Beyond notified period. (Each Day)	£2,500.00	£2,500.00	£0.00	0.00%
Street Works Regulations - Occupancy of Street in road category 2. Beyond notified period (Each Day)	£2,000.00	£2,000.00	£0.00	0.00%
Street Works Regulations - Occupancy of Street in road category 3 or 4. beyond notified period. (Each Day)	£250.00	£250.00	£0.00	0.00%
Street Works Regulations - Occupancy of any Street beyond notified period (Each Street)	£100.00	£100.00	£0.00	0.00%
Permit Scheme for Road & Street Activities				
Category 0, 1 & 2 - PAA - wholly or partly within traffic sensitive times and/or locations		£84.00		
Category 0, 1 & 2 - PAA - wholly outside of traffic sensitive times and/or locations (10% discount)		£75.60		
Category 0, 1 & 2 - Major (over 10 days and all requiring a TRO) - wholly or partly within traffic sensitive times and/or locations		£172.00		
Category 0, 1 & 2 - Major (over 10 days and all requiring a TRO) - wholly outside of traffic sensitive times and/or locations (10% discount)		£154.80		
Category 0, 1 & 2 - Major (4 to 10 days) - wholly or partly within traffic sensitive times and/or locations		£104.00		
Category 0, 1 & 2 - Major (4 to 10 days) - wholly outside of traffic sensitive times and/or locations (10% discount)		£93.60		

Category 0, 1 & 2 - Major (up to 3 days) - wholly or partly within traffic sensitive times and/or locations		£53.00		
Category 0, 1 & 2 - Major (up to days) - wholly outside of traffic sensitive times and/or locations (10% discount)		£47.70		
Category 0, 1 & 2 - Standard - wholly or partly within traffic sensitive times and/or locations		£104.00		
Category 0, 1 & 2 - Standard - wholly outside of traffic sensitive times and/or locations (10% discount)		£93.60		
Category 0, 1 & 2 - Minor - wholly or partly within traffic sensitive times and/or locations		£53.00		
Category 0, 1 & 2 - Minor - wholly outside of traffic sensitive times and/or locations (10% discount)		£47.70		
Category 0, 1 & 2 - Intermediate - wholly or partly within traffic sensitive times and/or locations		£50.00		
Category 0, 1 & 2 - Intermediate - wholly outside of traffic sensitive times and/or locations (10% discount)		£45.00		
Category 0, 1 & 2 - Variations - wholly or partly within traffic sensitive times and/or locations		£45.00		
Category 0, 1 & 2 - Variations - wholly outside of traffic sensitive times and/or locations (10% discount)		£45.00		
Category 3 & 4 - PAA - wholly or partly within traffic sensitive times and/or locations		£84.00		
Category 3 & 4 - PAA - wholly outside of traffic sensitive times and/or locations (10% discount)		£75.60		
Category 3 & 4 - Major (over 10 days and all requiring a TRO) - wholly or partly within traffic sensitive times and/or locations		£172.00		
Category 3 & 4 - Major (over 10 days and all requiring a TRO) - wholly outside of traffic sensitive times and/or locations (10% discount)		£154.80		
Category 3 & 4 - Major (4 to 10 days) - wholly or partly within traffic sensitive times and/or locations		£104.00		
Category 3 & 4 - Major (4 to 10 days) - wholly outside of traffic sensitive times and/or locations (10% discount)		£93.60		
Category 3 & 4 - Major (up to 3 days) - wholly or partly within traffic sensitive times and/or locations		£53.00		
Category 3 & 4 - Major (up to days) - wholly outside of traffic sensitive times and/or locations (10% discount)		£47.70		
Category 3 & 4 - Standard - wholly or partly within traffic sensitive times and/or locations		£104.00		
Category 3 & 4 - Standard - wholly outside of traffic sensitive times and/or locations (10% discount)		£93.60		
Category 3 & 4 - Minor - wholly or partly within traffic sensitive times and/or locations		£53.00		
Category 3 & 4 - Minor - wholly outside of traffic sensitive times and/or locations (10% discount)		£47.70		
Category 3 & 4 - Intermediate - wholly or partly within traffic sensitive times and/or locations		£50.00		
Category 3 & 4 - Intermediate - wholly outside of traffic sensitive times and/or locations (10% discount)		£45.00		
Category 3 & 4 - Variations - wholly or partly within traffic sensitive times and/or locations		£45.00		

Category 3 & 4- Variations - wholly outside of traffic sensitive times and/or locations (10% discount)		£45.00		
Category 3 & 4 - PAA - Non-traffic Sensitive -Any time or Location		£55.00		
Category 3 & 4 - Major (over 10 days and all requiring a TRO) - Non-traffic Sensitive - Any time or location		£91.00		
Category 3 & 4 - Major (4 to 10 days) - Non-traffic Sensitive - Any Time or Location		£54.00		
Category 3 & 4 - Major (up to 3 days) - Non-traffic Sensitive - Any Time or Location		£27.00		
Category 3 & 4 - Standard - Non-traffic Sensitive - Any Time or Location		£54.00		
Category 3 & 4 - Minor - Non-traffic Sensitive - Any time or location		£27.00		
Category 3 & 4 - Intermediate - Non-traffic Sensitive Any time or Location		£24.00		
Category 3 & 4 - Variations - Non-traffic Sensitive - Any Time or Location		£35.00		
Highway Licences				
New licence for private services in highway	£935.00	£982.00	£47.00	5.03%
Additional inspection fee for over 200 metres	£220.00	£231.00	£11.00	5.00%
New licence for overhanging canopies etc. on public highway	£904.00	£950.00	£46.00	5.09%
Amendment to existing canopy etc. licence	£498.00	£523.00	£25.00	5.02%
Street Café Specified Licences				
Up to 5 tables	£927.00	£974.00	£47.00	5.07%
5 tables or more	£1,359.00	£1,427.00	£68.00	5.00%
Transportation, Connectivity & Highways				
Specified Licence to plant trees, shrubs, etc., in a highway.				
New licence to plant and maintain vegetation in highway.	At Cost	At Cost		
Individual Specified Licence Fee				
Application Fee (non-refundable)	£105.00	£111.00	£6.00	5.71%
Specified Licences for Developments with a Value up to £1million:				
Scaffolding (up to 28 days)	£185.00	£195.00	£10.00	5.41%
Hoarding (up to 28 days)	£185.00	£195.00	£10.00	5.41%
Carting Over (Temporary Access) (up to 28 days)	£185.00	£195.00	£10.00	5.41%
Deposit of Materials (up to 28 days)	£185.00	£195.00	£10.00	5.41%
Crane - for one day only	£95.00	£100.00	£5.00	5.26%
Crane up to 2-28 days	£185.00	£195.00	£10.00	5.41%
Excavation (up to 28 days)	£185.00	£195.00	£10.00	5.41%
Licences for Developments with a Value up to £1million:				
Scaffolding (from 29 days over)	£440.00	£462.00	£22.00	5.00%
Hoarding (from 29 days over)	£440.00	£462.00	£22.00	5.00%
Carting Over (Temporary Access) (from 29 days over)	£440.00	£462.00	£22.00	5.00%
Crane (from 29 days over)	£440.00	£462.00	£22.00	5.00%
Excavation (from 29 days over)	£440.00	£462.00	£22.00	5.00%

Deposit of Materials (from 29 days over)	£440.00	£462.00	£22.00	5.00%
Additional Street Frontages				
Administration Fee per additional street frontage	£105.00	£111.00	£6.00	5.71%
Extension or Amendment to Specified Licence				
Administration Fee - up to & including a 4-week extension from date of original start	£105.00	£111.00	£6.00	5.71%
Large Development Highways Specified Licence				
Project Value ≥£1million and over 4 weeks	0.15%	0.16%	0.01%	0.01%
Administrative Fee for processing Development Bond	£55.00	£58.00	£3.00	5.45%
Retrospective Specified Highway Licence issued				
Retrospective Highway Licence	2 x equivalent preapproved total permit value	2 x equivalent preapproved total permit value		
Skip Placements on the Highway				
Registration Fee	No charge	No charge		
Permit Fee	£23.00	£25.00	£2.00	8.70%
Retrospective Permit Fee	£210.00	£221.00	£11.00	5.24%
Removal of non-permitted skips	£243.00	£255.90	£12.90	5.31%
FPNs - Offence under the New Roads and Street Works Act 1991				
FPNs - An offence under section 54(5).	£120/£80 Start Rate/ Reduced Rate	£120/£80 Start Rate/ Reduced Rate		
FPNs - An offence under section 55(5).	£120/£80 Start Rate/ Reduced Rate	£120/£80 Start Rate/ Reduced Rate		
FPNs - An offence under section 55(9)(1).	£120/£80 Start Rate/ Reduced Rate	£120/£80 Start Rate/ Reduced Rate		
FPNs - An offence under section 57(4).	£120/£80 Start Rate/ Reduced Rate	£120/£80 Start Rate/ Reduced Rate		
FPNs - An offence under section 70(6) consisting of a failure to comply with subsection (3) or (4A)(2).	£120/£80 Start Rate/ Reduced Rate	£120/£80 Start Rate/ Reduced Rate		
FPNs - An offence created by regulations made under section 74(7B).	£120/£80 Start Rate/ Reduced Rate	£120/£80 Start Rate/ Reduced Rate		
FPNs - An offence created by regulations made under section 74A(11).	£120/£80 Start Rate/ Reduced Rate	£120/£80 Start Rate/ Reduced Rate		
Community Centres Room Hire				
Kings Heath				
Offices 1, 2, and 3 (each)	£15.50	£16.50	£1.00	6.45%
Small Lounge	£20.50	£16.50	-£4.00	-19.51%
Function Room	£26.00	£20.90	-£5.10	-19.62%
Kitchen	£20.50	£16.50	-£4.00	-19.51%
Main Hall	£31.00	£29.70	-£1.30	-4.19%
Friends Institute				
Offices 1	£15.50	£15.40	-£0.10	-0.65%
Offices 2 - 6	£15.50	£16.50	£1.00	6.45%
Small Café	£18.00	£23.10	£5.10	28.33%
Small Hall	£15.50	£15.80	£0.30	1.94%
Music Room	£15.50	£17.60	£2.10	13.55%
Main Hall	£20.50	£31.90	£11.40	55.61%
Community Centres Room Hire				
Sheldon				

Offices 1 first floor	£15.50	£16.50	£1.00	6.45%
Office 2 first floor	£15.50	£17.60	£2.10	13.55%
Main Hall	£23.50	£29.70	£6.20	26.38%
Training Room/Meeting Room	£18.00	£23.10	£5.10	28.33%
Ladywood				
Sports Hall	£19.50	£31.90	£12.40	63.59%
Lounge	£13.80	£18.70	£4.90	35.51%
Kitchen (Ground Floor)	£20.50	£16.50	-£4.00	-19.51%
Canteen	£24.00	£20.90	-£3.10	-12.92%
Boughton Hall	£28.00	£29.70	£1.70	6.07%
Digital Den	£16.00	£17.60	£1.60	10.00%
Workshop	£16.00	£18.70	£2.70	16.88%
Sitting Room	£18.20	£17.60	-£0.60	-3.30%
Meeting Rooms 4	£18.50	£15.40	-£3.10	-16.76%
Meeting Rooms 1 -3 (each)	£18.50	£16.50	-£2.00	-10.81%
Meeting Room 5	£24.00	£20.90	-£3.10	-12.92%
Kitchen (First Floor)	£24.00	£16.50	-£7.50	-31.25%
Mere Green				
Room 1	£18.50	£20.90	£2.40	12.97%
Room 2 and 4 (each)	£15.00	£18.70	£3.70	24.67%
Room 3	£23.50	£25.30	£1.80	7.66%
Room 5	£19.50	£20.90	£1.40	7.18%
Bowls Room	£23.50	£20.90	-£2.60	-11.06%
Main Hall (depending on event)	£29.00	£27.50	-£1.50	-5.17%
Main Hall (depending on event)	£34.00	£27.50	-£6.50	-19.12%
Main Hall (depending on event)	£51.00	£51.50	£0.50	0.98%
Hub	£20.50	£23.10	£2.60	12.68%
Wyndley				
Hall	£16.50	£16.80	£0.30	1.82%
Sparkbrook				
Rooms A,	£32.50	£17.60	-£14.90	-45.85%
Rooms B	£32.50	£20.90	-£11.60	-35.69%
Rooms C	£32.50	£18.70	-£13.80	-42.46%
Training Room	£27.00	£16.50	-£10.50	-38.89%
Meeting Room	£13.00	£15.40	£2.40	18.46%
Oddingley				
Kitchen & Seating Area	£20.50	£15.40	-£5.10	-24.88%
Office	£15.50	£15.40	-£0.10	-0.65%
Meeting Room	£15.50	£17.60	£2.10	13.55%
Main Hall	£26.00	£25.30	-£0.70	-2.69%
Garden	£13.00	£15.40	£2.40	18.46%
Summerfield				
Martial Arts	£11.00	£16.50	£5.50	50.00%

Dance Studio	£11.00	£18.70	£7.70	70.00%
Office	£17.60	£18.00	£0.40	2.27%
Main Hall	£35.00	£23.10	-£11.90	-34.00%
Sports Hall	£18.50	£25.30	£6.80	36.76%
Classrooms 1 - 3 (each)	£17.50	£17.60	£0.10	0.57%
Summerfield, Ladywood, Kings Heath, Sheldon Heath				
Summerfield MUGA	£10.30	£10.50	£0.20	1.94%
Badminton	£7.10	£7.20	£0.10	1.41%
Community Centres Room Hire				
Volleyball	£10.30	£10.50	£0.20	1.94%
Football	£10.30	£10.50	£0.20	1.94%
The above room hire rates may be discounted for charitable and not-for-profit organisations offering services to the community. Premiums may be chargeable for out of hours bookings				
Corporate Procurement Services				
Discounted option available for schools who purchase subscription as per below:				
1 Year Package -				
Primary School or Special School - 1 or 2 form entry	£857.00	£899.85	£42.85	5%
Occupational Health and Safety Services				
Taxi Medicals	£76.00	£78.00	£2.00	3%
Taxi DBS Check	£78.00	£79.00	£1.00	1%
Education and Skills				
Educational Psychology Service				
SUBSCRIPTIONS				
Subscriptions (36 Hours)	£5,009.00	£5,259.45	£250.45	5.00%
Subscriptions (27 Hours)	£3,846.00	£4,038.30	£192.30	5.00%
Subscriptions (18 hours)	£2,630.00	£2,761.50	£131.50	5.00%
Promotional discounts (e.g. Early Bird)				
Subscriptions (36 Hours) - Promotional Discount	£4,897.00	£5,141.85	£244.85	5.00%
Subscriptions (27 Hours) - Promotional Discount	£3,734.00	£3,920.70	£186.70	5.00%
Subscriptions (18 hours) - Promotional Discount	£2,517.00	£2,642.85	£125.85	5.00%
BESPOKE PACKAGES				
Bespoke Packages - Hourly Charge Rate	£153.00	£160.65	£7.65	5.00%
TRAINING				
Training in 1 school *(Full Day)*	£850.00	£892.50	£42.50	5.00%
Training in a group of schools (Full Day) per delegate	£110.00	£115.50	£5.50	5.00%
Centrally held training *(Full Day)*	£250.00	£262.50	£12.50	5.00%
Training in 1 school *(Half Day)*	£450.00	£472.50	£22.50	5.00%
Training in a group of schools (Half Day) per delegate	£60.00	£63.00	£3.00	5.00%
Centrally held training (Half Day) per delegate	£140.00	£147.00	£7.00	5.00%
Training in 1 school *(Twilight)*	£320.00	£336.00	£16.00	5.00%

Training in a group of schools (Twilight) per delegate	£45.00	£47.25	£2.25	5.00%
Education Safeguarding				
New Charging arrangements for safeguarding support package				
Safeguarding Support packages - 0-40 pupils	£200.00	£210.00	£10.00	5.00%
Safeguarding Support packages - 41-70 pupils	£300.00	£315.00	£15.00	5.00%
Safeguarding Support packages - 71- 250 pupils	£500.00	£525.00	£25.00	5.00%
Safeguarding Support packages - 251-999 pupils	£700.00	£735.00	£35.00	5.00%
Safeguarding Support packages - 1000+ pupils	£900.00	£945.00	£45.00	5.00%
School & Governors				
Annual SERVICE Offer Subscription (25% discount for federated maintained schools and 5% for schools committing to subscribe for 3 years) (provisional)	£2,100.00	£2,205.00	£105.00	5.00%
Annual TRAINING offer subscription (£150 discount for service offer subscribers) (provisional charge to schools)	£550.00	£577.50	£27.50	5.00%
Governor Training Course Delegate Fee - most courses (£25 discount for service offer subscribers and free for training offer subscribers) (provisional charge to schools)	£85.00	£89.25	£4.25	5.00%
Governor Induction Training Course Delegate Fee (£30 discount for service offer subscribers and free for training offer subscribers) (provisional charge to schools)	£150.00	£157.50	£7.50	5.00%
Bespoke on demand consultancy - per session (pro-rata for shorter sessions & 20% discount to subscribing schools) (provisional charge to schools)	£705.00	£740.25	£35.25	5.00%
Access to Education				
Rates for Training for Birmingham Schools				
Training for Birmingham Schools - Full Day	£804.00	£844.20	£40.20	5.00%
Training for Birmingham Schools - Half Day	£395.00	£414.75	£19.75	5.00%
Training for Birmingham Schools - Twilight	£295.00	£309.75	£14.75	5.00%
Rates for Training provided to schools & settings outside of the authority				
Training provided to schools & settings outside of the authority - Full Day	£825.00	£866.25	£41.25	5.00%
Training provided to schools & settings outside of the authority - Half Day	£455.00	£477.75	£22.75	5.00%
Training provided to schools & settings outside of the authority - Twilight	£335.00	£351.75	£16.75	5.00%
Centre based Courses				
Centre based Courses - Full Day	£215.00	£225.75	£10.75	5.00%
Centre based Courses - Half Day	£120.00	£126.00	£6.00	5.00%
Centre based Seminars by session	£42.00	£44.10	£2.10	5.00%
Centre based Seminars - Hourly Rate	£145.00	£152.25	£7.25	5.00%
PSS Consultancy	£650.00	£682.50	£32.50	5.00%
SEN Review - one day review	£1,103.00	£1,158.15	£55.15	5.00%
SEN Review - 2 full days (all through schools and schools over number of sites)	£2,100.00	£2,205.00	£105.00	5.00%
SEN Peer review -	£378.00	£396.90	£18.90	5.00%

Training shared across settings	£378.00	£396.90	£18.90	5.00%
Training at individual settings	£788.00	£827.40	£39.40	5.00%
Identification of Dyslexia (for pupil on the B'ham Pathway) including detailed report and appropriate recommendations to support provision	£147.00	£154.35	£7.35	5.00%
Access to Education				
Dyslexia Specialist Teaching programme for schools				
6 week	£1,100.00	£1,155.00	£55.00	5.00%
12 week	£2,000.00	£2,100.00	£100.00	5.00%
Specialist teaching as identified on EHCP funded by SENAR				
Per hour	£105.00	£110.25	£5.25	5.00%
Provision of SENCo support (one day a week in the absence of school SENCo)	£300.00	£315.00	£15.00	5.00%
Toolkits purchased outside of Birmingham (available to B'ham schools as DSG funded service)				
Language & Literacy Toolkit or Maths Toolkit	£500.00	£525.00	£25.00	5.00%
Language & Literacy Toolkit or Maths Toolkit	£900.00	£945.00	£45.00	5.00%
Toolkit Progress Tracker (TPT) for schools in and out of area – Language & Literacy				
Toolkit Progress Tracker (TPT) combined L&L and Maths				
Toolkit Progress Tracker (TPT) combined L&L and Maths - With training	£470.00	£493.50	£23.50	5.00%
Toolkit Progress Tracker (TPT) combined L&L and Maths - Without training	£350.00	£367.50	£17.50	5.00%
L&L and maths Toolkit criteria hosted on third party providers e.g. Classroom Monitor, FROG, OTrack, Educater				
L&L and maths Toolkit criteria hosted on third party providers e.g. Classroom Monitor, FROG, OTrack, Educater - Without training	£125.00	£131.25	£6.25	5.00%
EAL Toolkit - per activation	£200.00	£210.00	£10.00	5.00%
Toolkit Renewals:				
Toolkit Renewals - EAL	£80.00	£84.00	£4.00	5.00%
Toolkit Renewals - L&L or maths	£100.00	£105.00	£5.00	5.00%
Toolkit Renewals - L&L maths combined	£150.00	£157.50	£7.50	5.00%
Toolkit Renewals - TPT (L&L only)	£185.00	£194.25	£9.25	5.00%
Toolkit Renewals - L&L and maths	£230.00	£241.50	£11.50	5.00%
Toolkit Renewals - Train the Trainer	£1,050.00	£1,102.50	£52.50	5.00%
Intervention Show Cases (Costs to marketplace and not participants)				
Intervention Show Cases - Market stand	£125.00	£131.25	£6.25	5.00%
Intervention Show Cases - Market stand + presentation	£175.00	£183.75	£8.75	5.00%
Intervention Show Cases - ALSA accredited course with Newman University - per participant	£560.00	£588.00	£28.00	5.00%
Intervention Show Cases - National SENCo Award - 40% of course cost per participant;	£972.00	£1,020.60	£48.60	5.00%
On-Line courses via Moodle: sold in multiples of 10				

In Birmingham				
Per licence	£27.00	£28.35	£1.35	5.00%
Setup fee	£105.00	£110.25	£5.25	5.00%
OOA				
Per licence	£37.00	£38.85	£1.85	5.00%
Setup fee	£105.00	£110.25	£5.25	5.00%
Access to Education				
PCR training (two-day course)				
In Birmingham	£415.00	£435.75	£20.75	5.00%
Refresher	£250.00	£262.50	£12.50	5.00%
OOA - 2days	£450.00	£472.50	£22.50	5.00%
Maximising Impact of Teaching Assistants (MITA accredited)				
Under 15 participants	£1,150.00	£1,207.50	£57.50	5.00%
15 – 30 participant s	£2,000.00	£2,100.00	£100.00	5.00%
Over 30 per participant	£53.00	£55.65	£2.65	5.00%
Educational Audiology				
Annual	£1,050.00	£1,102.50	£52.50	5.00%
Hourly	£105.00	£110.25	£5.25	5.00%
RA provision – equipment hires				
Annually - includes technician support & maintenance	£473.00	£496.65	£23.65	5.00%
The SLAs with RBs – Small Heath and Plantsbrook.				
Full cost of staff plus management fee	£137.00	£143.85	£6.85	5.00%
Specialist teaching for CHOOS	£105.00	£110.25	£5.25	5.00%
Sign language tuition - 6 sessions	£263.00	£276.15	£13.15	5.00%
University teaching - per hour	£132.00	£138.60	£6.60	5.00%
Specialist support for work-based learning providers (FE work)				
Mild / Moderate Hearing Loss - Assessment, report, recommendations, follow-up visit	£420.00	£441.00	£21.00	5.00%
Severe/Profound Hearing loss - Assessment, report, recommendations, email, and telephone Help desk support, staff training session, 3 annual visits.	£998.00	£1,047.90	£49.90	5.00%
Additional visits (each) e.g. Monitoring, support, review with student, staff training	£210.00	£220.50	£10.50	5.00%
Radio aid - Radio aid set up, fitting, loan, call out and servicing	£473.00	£496.65	£23.65	5.00%
Additional report e.g. Report to support request for special arrangement for exams	£105.00	£110.25	£5.25	5.00%
Reviews (each) Liaison with and feedback from student, tutors, support workers	£368.00	£386.40	£18.40	5.00%
Specific Charges for Communication & Autism Team (CAT) - (prices set in line with AET recommendations – Max 25 on course)				
CAT AET (Autism Education Trust)- Centre Based Training (per delegate) - Early Years - Independent nursery	£110.00	£115.50	£5.50	5.00%

CAT AET (Autism Education Trust)- Centre Based Training (per delegate) - Early Years - Community & Voluntary nursery	£45.00	£47.25	£2.25	5.00%
CAT AET (Autism Education Trust) - Centre Based Training (per delegate) - Early Years - School Age	£215.00	£225.75	£10.75	5.00%
CAT AET (Autism Education Trust)- Centre Based Training (per delegate) - Early Years - Post 16	£215.00	£225.75	£10.75	5.00%
Access to Education				
CAT AET Training – Setting Based - Autism awareness for out of authority schools	£250.00	£262.50	£12.50	5.00%
CAT AET Training – Setting Based - Tier 2 & 3 for training + £5.50 delegate pack	£1,500.00	£1,575.00	£75.00	5.00%
CAT TOP UP				
CAT TOP UP (2019- 2020 costings) - 5hrs	£735.00	£771.75	£36.75	5.00%
CAT TOP UP (2019- 2020 costings) - 10hrs	£1,470.00	£1,543.50	£73.50	5.00%
CAT TOP UP (2019- 2020 costings) - 15hrs	£2,205.00	£2,315.25	£110.25	5.00%
CAT SLA's - per half day - Bought back in half day blocks	£284.00	£298.20	£14.20	5.00%
All about me Toolkit	£21.00	£22.05	£1.05	5.00%
Education Asset Management				
Academy conversion				
Academy conversion process - lease / Commercial Transfer Agreement (CTA) - Community School	£7,875.00	£8,268.75	£393.75	5.00%
Academy conversion process - lease / CTA - Community School - PFI	£15,750.00	£16,537.50	£787.50	5.00%
Academy conversion process - lease of playing field - Voluntary Aided / Foundation	£5,250.00	£5,512.50	£262.50	5.00%
Academy conversion process - CTA - Voluntary Controlled	£4,725.00	£4,961.25	£236.25	5.00%
Academy conversion process - lease of playing field - Voluntary Controlled	£7,875.00	£8,268.75	£393.75	5.00%
Non-Subscription Charge				
Property Audit Visit	£167.00	£175.35	£8.35	5.00%
Property Planning Visit	£310.00	£325.50	£15.50	5.00%
Subscription Charge - Community & Voluntary Controlled, Academies, Foundation, Voluntary Aided				
Subscription Option 1	£730.00	£766.50	£36.50	5.00%
Subscription Option 1 - Additional Charge item - Property Planning Visit (per visit)	£310.00	£325.50	£15.50	5.00%
Subscription Option 1 - Additional Charge item - Landlord Approval Process (per application)	£310.00	£325.50	£15.50	5.00%
Subscription Option 1 - Additional Charge item - Duty Holder Training (per delegate)	£167.00	£175.35	£8.35	5.00%
Subscription Option 1 - Additional Charge item - Asbestos Management Training (per delegate)	£167.00	£175.35	£8.35	5.00%
Subscription Option 1 - Additional Charge item - Dual / Match Funding (per application)	£310.00	£325.50	£15.50	5.00%
Subscription Option 1 - Additional Charge item - Advice and guidance on lease and tenancy agreements (minimum charge)	£310.00	£325.50	£15.50	5.00%
Subscription Option 2	£995.00	£1,044.75	£49.75	5.00%

Birmingham Translation & Interpreting Services – Commercial prices negotiated with customer – 5% general increase	
Translations (French, German, Italian & Spanish) - per hour	
Translations most other languages (rarer languages may incur a surcharge) - per hour	
Translation certificate	
Statement of Truth certificate for translations	
Notarisation	
Transcription - priced per project	
Urgent translations - additional fee	
Admin fee for processing translations	
Copies of translations requested at time of booking	
Copies of translations previously provided	
Proofreading (per Hour)	
Formatting translations (priced per project)	
Interpreting - 1 hour including travel expenses (office hours within Birmingham)	
Interpreting (office hours within Birmingham) per Hour	
Interpreting (office hours within Birmingham) - Travel charge (per visit~)	
Same day interpreter bookings	
Amendments to interpreter bookings (per amendment)	
Cancellations - 50% - 100% of booking fee	
Telephone interpreting (per minute)	
British Sign Language (BSL) interpreting (per Hour)	
British Sign Language (BSL) interpreting - Travel (per visit)	
BSL interpreting cancellations - 50% to 100% of Booking Fee	
BSL interpreting cancellations - Admin Fee (per cancellation)	
Birmingham Translation & Interpreting Services - Commercial prices negotiated with customer – 5% general increase	
Same day BSL interpreter bookings	
Amendments to BSL interpreter bookings - per amendment	
Braille - per side of braille paper	
Audio recording - per hour	
Admin fee for processing large print & audio	
Admin fee for processing BSL interpreter requests	
Admin fee for urgent interpreter bookings	
Minimum travel expense fee (within Birmingham)	
Interpreter CPD sessions - per session	
Education and Skills	
Overdue Charges	

Overdue Charges - Books and Sound Recordings - Per Day	£0.25	£0.26	£0.01	5.00%
Overdue Charges - Maximum Charge	£6.15	£6.46	£0.31	5.00%
Overdue Charges - Books and Sound Recordings - Concessionary Per Day	£0.13	£0.14	£0.01	5.00%
Overdue Charges - Concessionary Maximum Charge	£3.10	£3.26	£0.16	5.00%
Overdue Charges - DVDs Per Day	£0.80	£0.84	£0.04	5.00%
Overdue Charges - DVDs Maximum Charge	£7.15	£7.51	£0.36	5.00%
Book/periodical article/music score sourced outside of the City Council	£11.00	£11.55	£0.55	5.00%
Renewal of externally sourced ILL	£6.00	£6.30	£0.30	5.00%
Loss of British Library book	£147.00	£154.35	£7.35	5.00%
Libraries				
Talking Books Hire				
Talking Books Hire - Standard	£1.35	£1.42	£0.07	5.00%
Talking Books Hire - Concessionary	£0.80	£0.84	£0.04	5.00%
Music Library Services				
Compact discs (and LPs) hire - per 2-week loan	£1.55	£1.63	£0.08	5.00%
Concessions and Under 18's - per 2-week loan	£0.80	£0.84	£0.04	5.00%
Music Practice Room Hire				
Music Practice Room - 30 min	£3.10	£3.26	£0.16	5.00%
Music Practice Room - 1 hr	£5.10	£5.36	£0.26	5.00%
Loan of orchestral and choral sets from the Library of Birmingham				
Standard charge (Concession for Birmingham Societies)				
Orchestral Set - Premium	£41.00	£43.05	£2.05	5.00%
Orchestral Set - Premium (Concessionary rate)	£31.00	£32.55	£1.55	5.00%
Orchestral Set - Long	£31.00	£32.55	£1.55	5.00%
Orchestral Set - Long (Concessionary rate)	£21.00	£22.05	£1.05	5.00%
Orchestral Set - Short	£21.00	£22.05	£1.05	5.00%
Orchestral Set - Short (Concessionary rate)	£10.50	£11.03	£0.53	5.00%
Band Set - Per set	£10.50	£11.03	£0.53	5.00%
Band Set - Per set (Concessionary rate)	£7.50	£7.88	£0.38	5.00%
Vocal Set - Long - per bloc of up to 30 copies	£1.10	£1.16	£0.06	5.00%
Vocal Set - Long - per bloc of up to 30 copies - (Concessionary rate)	£0.70	£0.74	£0.04	5.00%
Vocal Set - Compilation	£0.65	£0.68	£0.03	5.00%
Vocal Set - Compilation (Concessionary rate)	£0.40	£0.42	£0.02	5.00%
Vocal Set - Short - per bloc of up to 30 copies	£0.45	£0.47	£0.02	5.00%
Vocal Set - Short - per bloc of up to 30 copies - (Concessionary rate)	£0.25	£0.26	£0.01	5.00%
Overdue charge - for late or incomplete return of music sets (including sets of choral sets)	£6.25	£6.56	£0.31	5.00%
Libraries				
Maximum overdue charge per music set	£24.50	£25.73	£1.23	5.00%
Multimedia				

Top 50 Videos and DVDs - 2-night hire	£2.55	£2.68	£0.13	5.00%
All other videos and DVDs - 7-night hire	£1.55	£1.63	£0.08	5.00%
Charges for lost or damaged material				
Out of print or non-commercially available items	£21.00	£22.05	£1.05	5.00%
Children under 5 and children or adults in exempt borrower categories are exempt from such charges in relation to damaged or lost material. Looked After Children are also exempt from charges relating to both loss and damage to material.				
Lost Library Cards	£2.55	£2.68	£0.13	5.00%
Lost Library Cards - Under 18 years old	£1.30	£1.37	£0.07	5.00%
Photocopies, Printouts and Photographs				
Photocopies (staff supplied) A3	£0.40	£0.42	£0.02	5.00%
Photocopies (staff supplied) A4	£0.80	£0.84	£0.04	5.00%
Photocopies (coin operated) A4 B&W	£0.20	£0.21	£0.01	5.00%
A4 Colour	£1.00	£1.05	£0.05	5.00%
A3 B&W	£0.40	£0.42	£0.02	5.00%
A3 Colour	£1.60	£1.68	£0.08	5.00%
Printout from public access terminal (per side) A4 B&W	£0.20	£0.21	£0.01	5.00%
A4 Colour	£1.00	£1.05	£0.05	5.00%
A3 B&W	£0.40	£0.42	£0.02	5.00%
A3 Colour	£1.60	£1.68	£0.08	5.00%
Camera permit - Wolfson Centre	£3.50	£3.68	£0.18	5.00%
Personal Scanning				
A4	£0.20	£0.21	£0.01	5.00%
A4 Colour	£0.70	£0.74	£0.04	5.00%
A3	£0.30	£0.32	£0.02	5.00%
A3 Colour	£1.50	£1.58	£0.08	5.00%
Digital copying service				
Personal use				
CD/DVD/email with one scanned file/image (Standard rated)	£10.00	£10.50	£0.50	5.00%
per additional image on CD/DVD/email (Standard rated)	£8.00	£8.40	£0.40	5.00%
A5 Print (inc scanning/retrieval charge) (Standard rated)	£12.00	£12.60	£0.60	5.00%
A4 Print (inc scanning/retrieval charge) (Standard rated)	£14.00	£14.70	£0.70	5.00%
A3 Print (inc scanning/retrieval charge) (Standard rated)	£18.00	£18.90	£0.90	5.00%
Libraries				
A2 Print (inc scanning/retrieval charge) (Standard rated)	£40.00	£42.00	£2.00	5.00%
A1 Print (inc scanning/retrieval charge) (Standard rated)	£50.00	£52.50	£2.50	5.00%
P&P for discs and prints (only up to A3 size, UK only) (Standard rated)	£3.00	£3.15	£0.15	5.00%
Commercial and media usage				
Research (where appropriate) per hour	£37.00	£38.85	£1.85	5.00%

Fast track service (minimum charge £35.00) per hour	£74.00	£77.70	£3.70	5.00%
Business Support Charges				
All other databases (Standard rated) per page	£0.20	£0.21	£0.01	5.00%
Mailing Lists (Standard rated) per company	£0.30	£0.32	£0.02	5.00%
Company Financial Reports (Standard rated) per report	£20.50	£21.53	£1.03	5.00%
Market Information & Desk Research (Standard rated) per hour	£76.50	£80.33	£3.83	5.00%
Market research (Standard rated) per report	£25.50	£26.78	£1.28	5.00%
Fax UK per page	£1.60	£1.68	£0.08	5.00%
Fax International per page	£2.70	£2.84	£0.14	5.00%
Genealogy & Research services - Genealogy Research service withdrawn 2011				
Diocesan Records copy certificates service - standard rated	£13.70	£14.39	£0.69	5.00%
Rental of space for records storage - per year per standard shelf	£31.50	£33.08	£1.58	5.00%
Retrieval of stored items- per box	£3.70	£3.89	£0.19	5.00%
Archives Card Replacement	£1.50	£1.58	£0.08	5.00%
Research fees (closed records)	£33.60	£35.28	£1.68	5.00%
Skills Workshops - delivered by archives staff	£367.50	£385.88	£18.38	5.00%
Facilitated workshops/events - per hour- delivered by third parties	£23.10	£24.26	£1.16	5.00%
Conservation repair - Per 15 Minutes	£22.00	£23.10	£1.10	5.00%
Archive Census Vouchers	£5.00	£5.25	£0.25	5.00%
Sales				
Memory sticks - per memory stick (standard rated)	£6.50	£6.83	£0.33	5.00%
Disposable headphones - per set (standard rated)	£1.55	£1.63	£0.08	5.00%
Sale of Goods in Retail Outlet	Priced Per Item			
Used Book Sales	Price Per Item			
Children's Library (LoB) lunch area				
45 minutes per group	£20.00	£21.00	£1.00	5.00%
1 hour 45 minutes per group	£35.00	£36.75	£1.75	5.00%
Other				
Research Services (FOI)	£17.00	£17.85	£0.85	5.00%
Research Services	£102.00	£107.10	£5.10	5.00%
1 to 1 IT training* (30 minutes)	£10.00	£10.50	£0.50	5.00%
Libraries				
Laminating				
A4	£1.00	£1.05	£0.05	5.00%
A3	£1.50	£1.58	£0.08	5.00%
Filming/Photography				
Per hour/part hour	£105.00	£110.25	£5.25	5.00%
Reproduction of material held in Birmingham Archives & Collections — for commercial use				

Non-academic/independent printed books/magazines	£140.00	£147.00	£7.00	5.00%
eBook, electronic report	£140.00	£147.00	£7.00	5.00%
Exhibition	£150.00	£157.50	£7.50	5.00%
Educational/not for profit fil or transmission	£60.00	£63.00	£3.00	5.00%
Commercial film or transmission exhibition	£220.00	£231.00	£11.00	5.00%
Material used in talk or presentation only	£300.00	£315.00	£15.00	5.00%

Birmingham City Council
Report to Cabinet

Date: 14th February 2023

Subject:	**PREVENTION AND COMMUNITIES GRANTS PROGRAMME REDESIGN**
Report of:	**Professor Graeme Betts, CBE** **Strategic Director for Adult Social Care**
Relevant Cabinet Member:	**Cllr Mariam Khan - Health & Social Care** **Cllr Yvonne Mosquito - Finance & Resources**
Relevant O &S Chair(s):	**Cllr Mick Brown - Health & Social Care** **Cllr Akhlaq Ahmed - Resources**
Report author:	**Kalvinder Kohli,** **Assistant Director – Prevention and Early Intervention** **Tel: 0121 303 6132** **Email Address: kalvinder.kohli@birmingham.gov.uk**

Are specific wards affected? If yes, name(s) of ward(s):	☐ Yes	☒ No – All wards affected
Is this a key decision? If relevant, add Forward Plan Reference: 010912/2023	☒ Yes	☐ No
Is the decision eligible for call-in?	☒ Yes	☐ No
Does the report contain confidential or exempt information? If relevant, state which appendix is exempt, and provide exempt information paragraph number or reason if confidential:	☐ Yes	☒ No

1 Executive Summary

1.1 This report seeks authority to implement the Commissioning Plan as set out in para 4 of this report for the recommissioning of the Prevention and Communities Grants Programme (P&C Programme). Current grants expire on 30th September 2023.

1.2 The report also provides details of the redesign of the Information Advice and Guidance contracts (IAG), included in the commissioning plan, as grants for the new P&C Programme. The current contracts end 30th September 2023.

1.3 The proposed commissioning will be via a grants application, assessment, and award process for a period of three years commencing on 1st October 2023 with an option to extend for a further two years, subject to satisfactory performance, budget availability and delegated award report. The value of the P&C Programme is £2,745m per annum including the IAG contracts, which is further explained below. There is no change to the overall budget requirement for the P&C Programme since the last commissioning round in 2019.

1.4 The P&C Grants Programme supports the delivery of the Council's vision for Adult Social Care and transformation journey by investing in preventative approaches to support older people, people with disabilities and/or people with mental health conditions. Delivered through communities and community assets, it enables better outcomes for citizens i.e., increased social participation, thus reduced social isolation and loneliness; living healthier, both in terms of wellbeing and physical health; maximised income and reduced debt; increased independent living in their own homes and communities for as long as possible; and unpaid carers being supported in their role as carers but also as individuals. Outcomes for Adult Social Care will include more appropriate management of demand, avoiding, reducing, delaying the need for higher cost statutory care.

1.5 Cabinet approval for the current P&C Grants Programme was given in May 2019 – in the cabinet report: **Putting Prevention First: Investing in Communities.** The P&C Grants Programme was recommissioned in October 2019 for a period of 2 years and extended during the pandemic for a further 2 years.

1.6 The commissioned services will directly support the delivery of the Council's key strategies and corporate priorities: Vision and Strategy to Modernise Adult Social Care 2017, Vision for Adult Social Care Refresh 2020, Prevention First Strategy 2017+. which are supported through the Adult Social Care Putting Prevention First Commissioning Agenda 2017+, Care Act 2014, the Early Intervention and Prevention Transformation Programme, ASC CQC Assurance Framework, and the Localism Agenda.

2 Recommendations

That Cabinet:

2.1 Approves the contents of this report and to implement the Commissioning Plan, and the commencement of grant application, assessment, and award process activity for P&C Grants Programme in accordance with the requirements and approach set out in section 4.

2.2 Delegates approval of the outcome of the commissioning plan and award of grants to the Director of Commissioning, Adult Social Care, in conjunction with the Cabinet Member, Health and Social Care.

2.3 Delegates authority to the Director of Commissioning, Adults Social Care to adapt the Commissioning Plan, as required, in response to the outcomes of the commissioning process, and/or commissioning developments with partners, where this is in the Council's benefit, delivers best value and is within the approved budget.

2.4 Delegates authority to the Strategic Director of Adults Social Care and Director of Commissioning, Adult Social Care in conjunction with the Cabinet Member for Health and Social Care, to extend the grants awarded at 2.2 for up to 2 years, subject to funding availability and satisfactory performance

2.5 Authorises the City Solicitor and Monitoring Officer to negotiate and execute any documents to give effect to the above recommendations.

3 Background

3.1 The Vision and Strategy to Modernise Adult Social Care 2017 (refreshed in 2020), recognised the need for a preventative approach to manage the increasing demand to social care. The move to a strength-based model for social work, known as the Three Conversations Framework, focused on connecting citizens to their local assets and resources, to enable citizens to live independently within their own homes and communities.

3.2 This shift in approach also required a shift in investment 'upstream' into prevention activities within communities to complement the Three Conversations social work approach. The corporate delivery plan has recently been refreshed with an emphasis on a Council wide approach moving from crisis to prevention. The work of the Adult Social Care Directorate, in investing in community assets through initiatives such as the P&C Programme and Neighbourhood Networks Services, provides community infrastructure for the Early Intervention and Prevention Programme.

3.3 Birmingham's Levelling up Strategy November 2021 sets out a vision to increase growth and harness it to create a fairer, stronger city, where our citizens live longer, healthier, and happier lives with opportunities to shape their own lives and communities, and to overcome long-standing inequalities. The Prevention and Communities programme contributes to this agenda by providing support to citizens within the local community, allowing them to make choices about support that is required, community resilience, overcoming isolation and enables them to be active citizens.

3.4 Birmingham is an incredibly diverse city with a rich tapestry of community assets, creating opportunities for communities to live happy, healthy, and independent lives for as long as possible. This programme harnesses these opportunities to respond to some of the biggest challenges for Adult Social Care, such as ageing population, longer years lived in ill health, inequalities exasperated by the pandemic and social/economic impact of the Cost-of-Living Crisis.

3.5 Prevention and Communities Grants Programme forms part of a wider Adult Social Care investment in community-based prevention activities for citizens.

The programme provides support, compliments and is aligned to:

- Three Conversations (strength-based Social Work practice)
- Neighbourhood Network Schemes
- Community Network Support Service
- Information Advice Guidance (IAG) Strategic Framework
- Prevention and Early Intervention Transformation Programme

3.6 The P&C programme, including IAG contracts support:

- Improved health and prevention outcomes for citizens
- Improved experience of support for vulnerable and older adults including family members/carers through active engagement in their own care support needs
- Better and earlier identification of care needs via engagement with non-statutory organisations
- Cost avoidance due to prevention, delay, or reduction in the need for high end cost provision by ASC and Health

3.7 The current P&C Programme is delivered by 45 grantees and offers:

- Mental Health-low level support
- Centre Based activities
- Specialist support e.g.: bereavement, hoarding
- Tackling loneliness and isolation
- Information, Advice, Guidance
- Support to those with specific health conditions and from diverse communities

3.8 The current 3 IAG contracts offer support for citizens who have a new diagnosis or significant change related to:

- Visual Impairment
- Hearing impairment
- Physical disabilities and associated conditions

To support citizens (and their carers) with the lifestyle adjustments required after a significant health change; help them navigate through complex health, social, care and benefits systems; and maintain independence.

3.9 The P&C services contributes to one or more of the following Prevention First Outcomes:

- Improved social participation
- Healthier lifestyles
- Maximised income
- Living independently in their own homes
- Carers feeling more supported

3.10 The current P&C grants and IAG contracts expire on 30th September 2023 with the new grants programme expected to start on 1st October 2023. It is intended that the grants will run for three years with the option to extend for a further two years, subject to performance and available budgets. The relevant break clauses will be inserted into the grants agreements to reflect this.

3.11 Services were reviewed on a quarterly basis. Providers submitted quarterly performance and financial data, which include quantitative and qualitative data, evidencing outcomes and standards of delivery. Good evidence includes stories of difference, demonstrating support and impact of the delivery. Due to the past two years of Covid and the impact on these services, it was decided to take a 'light touch' approach in reviewing and evaluating this programme. Providers were flexible, amending delivery in response to new emergency needs and responding to requests from ASC to support citizens. From October 2022 and for the new programme 2023+, BVSC Research will provide a formal evaluation methodology to include citizen impact measures, equalities, and demographic information, so that Commissioners can continue improving the offer and make it more accessible to all communities.

Between 2019 and 2021 the P&C Grants Programme achieved:

- 55,000 citizens supported, of these, approximately 25,000 were new citizens
- Around £5 million income maximisation/debt recovery
- Incredible response to covid19
- Strong case studies showing impact on the lives of citizens supported
- New, innovative partnerships within the sector
- Assets securing additional investments as a direct result of our funding
- Increased and effective relationships between the statutory and VCSE sector
- Savings made by ASC proves the power of investing in the VCSE sector in Birmingham
- The best RAG rating results in the history of the programme – transitioned from a deficit-based approach prior to 2018 to a strategically aligned programme with capacity building and support. Reflection on BVSC's and Commissioning Team's support

- End of year 2 satisfaction survey response displayed near 100% satisfaction rate with Commissioning Team's support and engagement

4 Commissioning Plan

4.1 Based on the intelligence from a range of relevant sources, through engagement initiatives with over 520 stakeholders, including: provider market feedback, social work teams, citizens, community organisations, internal and external partners, performance data. Combined with a review of current and emerging strategies, such as Day Opportunities redesign, Staying Independent at Home Policy, NNS, etc. Commissioners revised and identified priorities that best meet the outcomes to support the programme. These priorities are split into the following subgroups:

- Social Participation
- Healthier Lifestyle
- Income maximisation
- Staying Independent

Also taking into consideration overarching developments of Asset Based Community Development (ABCD) and partnership working across community and voluntary organisations.

4.2 These are the priorities going forward that best match the support required to meet the prevention and early intervention support required to keep citizens happy healthy and have independent lives in their communities and homes for as long as possible. This is a change to previous Prevention and Communities Programme priorities.

4.3 The revised priorities also support a wider range of service applications and open new opportunities, allowing creativity and flexibility for organisations to bring new innovative ideas to the prevention world. The revised priorities and inclusion of IAG within this redesign will:

- Address any duplication of services
- Develop a joined-up service to support key areas of needs city wide and communities of need within localities
- Bring together learning from IAG contracts together with learning form IAG grants
- Re design the services to offer more flexibility to change with the demands and needs of citizens as proven by the successful adaptation of grants during the covid emergency response. This met increased demand and urgency/complexity of needs and situations
- Allow for 1 programme development supporting seamless support and joint development of services

4.4 The previous P&C Programme restricted 2 subgroups: Community and Day Opportunities and Early Intervention for providers from the old Third Sector Grant Programme (this was a historical grant giving programme in place for over 10 years). This was to maintain the continuity of community support and allow provides to develop and reshape services in line with the new Prevention First Outcomes Framework, build resilience within the organisations to be able to seek additional and alternative funding for the stability and security of the organisations' future. The providers have been supported by BVSC to develop this capacity. Moving forward there will be no ring fencing of subgroups for previous providers from the old Third Sector grant programme.

4.5 Two subgroups New and Emerging and Community Inclusion were open for new, smaller providers with a turnover under £1m.This was very successful and evidenced the opportunity that this can bring new ideas for citizen support e.g.: services were commissioned across hoarding/ digital access inclusion, which have proved to be some of the most successful grants of the previous 3 years.

4.6 The reason for the change from IAG contracts to grants is caused by the current IAG landscape. There is a need to review the IAG provision across the city and align it, looking at it through a citizen's lens and how we support citizens to support themselves in the first instance, self – navigate IAG, or supported navigation of IAG. The intention being that citizens access the information and support earlier and thus reducing avoidable demand on public services.

4.7 Early Intervention and Prevention Transformation Programme will undertake this work over the next couple of years.

4.8 Grant provision enables the application of flexibility in delivery, both in terms of geographical priorities as well as methods of delivery such as face-to-face, digital etc. meaning providers can be directed to where greatest need is at the time. Birmingham City Council does not currently provide specialist income maximisation/IAG catering for vulnerable adults' needs outside of this programme. It is paramount that this provision exists alongside the wider prevention and early intervention services, supporting citizens in their communities and through organisations they trust the most. This supports all major policy and regulatory requirements, making Birmingham a city, which is focused on making sure no citizen goes without support.

4.9 Market intelligence is good and connects to the work undertaken by NNS that there are a vast range of community organisations that are linked and work alongside NNS in connecting local assets and resources, to enable citizens to live independently within their own homes and communities. All providers will work towards linking with the NNS schemes and capacity building, which supports the delivery of the vision for Adult Social Care and the Prevention First Outcomes Framework

4.10 All subgroups will be open to new and existing applicants. Support will be provided by BVSC and the commissioning team for current providers and new applicants, this will continue throughout the commissioning process and award and mobilisation of the new grants.

4.11 The programme subgroups are consistent with and connect to cross-cutting priorities within the Council, investment, and support of the city's voluntary, community and social enterprise sectors, as well as emerging social prescribing practices.

4.12 The Commissioning process includes: application form, technical assessment, citizens panels and an award panel. Where possible and appropriate, officers from different parts of the Council will be engaged in the evaluation and award processes for grants included in the scope of this report, to bring additional expertise and knowledge, as well as to joined up decision making and planning.

4.13 Main themes captured from co-design events:

- Advice and Support (including peer-to-peer)
- Arts and Culture
- Bereavement, personal loss, and death
- Centre Based activities
- Digital inclusion
- Employment, volunteering, and skills
- Housing and hoarding
- Sport and physical activity
- Transport and mobility

Main priorities from the 2019 commissioning round were largely repeated by the stakeholders in this year's recommissioning co-design events. However, there was more detail provided around geographical priorities as well as further detail on what we should concentrate on within each of these priorities, giving commissioners more scope to remain focused as opposed to overly generic. This in turn will allow for a clearer understanding of delivery and outcomes met.

Priority areas raised by stakeholders relevant to other specialist commissioning teams have been fed back to them i.e., employment/skills; substance misuse; migrant/refugee; domestic abuse etc.

Client groups requiring services:

- Carers
- Older Adults
- Citizens with disabilities (particularly younger adults)

Geographies requiring additional services across the localities:

- Edgbaston – Bartley Green, Quinton

- Hall Green – Sparkbrook, Sparkhill, and Balsall Heath
- Ladywood – Newtown, Highgate, Nechells, Aston, Soho, Jewellery Quarter
- Northfield – Rubery, Frankley
- Hodge Hill – Alum Rock, Ward End, Small Heath, Bromford, Washwood Heath
- Selly Oak - Brandwood, Kings Health, Druids Health, Moneyhull, Billesley, Highters Heath, Masefield
- Sutton – Falcon Lodge, Reddicap, Trinity
- Erdington – Stockland Green, Kingstanding and Erdington
- Yardley – Sheldon, Garretts Green and Acocks Green
- Perry Barr – Birchfield, Handsworth, Holyhead, Lozells, Perry Barr, Handsworth Wood

Proposed new priorities (subgroups)

Based on stakeholder feedback from 2019 (lessons learned), in relation to bidding against all Prevention First Outcomes without being able to evidence them all, commissioners decided to group the subgroups against the Citizen outcome only, which forms part of the Prevention First Outcomes Framework, and it includes: social participation, healthier lifestyles, income maximisation, staying independent. Commissioners will design the application process in a way that enables providers to bid against more than one subgroup but not all of them to give other organisations a fair chance to bid. Furthermore, the design will enable at least one or two subgroups to target small and micro-organisations with an annual turnover of under £1m.

Social Participation - £900k

Social participation includes a range of activities: hobbies, friendships, clubs for the over 50's, clubs for citizens with a common interest, volunteer activities, community events

- **Centre Based Activities** – activities supporting citizens in a centre (trips, indoor/outdoor activities, digital skill development, workshops) - £650k

- **Arts & Culture** – supporting wellbeing and developing interests/hobbies. This should focus on non-standard A&C activity and bring creativity/innovation - £100k

- **Tackling loneliness and isolation** –befriending (Face to face meetings), volunteer based, provision, which is culturally aware – £150k in all constituencies

Healthier Lifestyles - £615k

Healthier lifestyles - engaging in activities that make us feel good, promotes good physical, mental and social well-being, improves people's health and overcomes stress

- **Sport** – focusing on making citizens healthier and happier i.e., falls prevention, weight loss, re-connecting with communities - £100k

- **Mental Health** – Bereavement (peer-to-peer; compassionate communities, providing programmes which are culturally aware), low Mental Health support (common mental health disorders such as anxiety, depression), dementia support (low level) - £300k

- **Healthy communities** – raising awareness workshops, informal advice/guidance, activities for citizens with specific health conditions and/or from communities of interest/identity - £215k

Income maximisation including IAG – city-wide provision **- £1m**

Help for those experiencing any financial difficulties – income maximisation/debt recovery, includes navigation of the complex social care and health system, and flexibility of delivery (face to face, digital, phone contact, outreach support). This will be specifically for citizens within the following 5 client groups. Values have been calculated based on Birmingham's levels of population per client group (POPPI/PANSI 2022):

- Older Adults - £200k
- Mental Health- £250k
- Learning Disabilities and Autism- £100k
- Physical Disabilities and Neurological conditions: i.e., acquired brain injury, stroke- £200k
- Sensory impairments and loss (hearing/visual)- £250k

Staying Independent - £230k

Support for citizens to remain safe at home, digital inclusion and skills development which keeps citizens connected and able to access wide range of services

- **Hoarding** – 1-2-1 support sessions for citizens who hoard, training/ education for professionals to develop their knowledge of best practice and tools required to successfully work with hoarders (city-wide) - £150k

- **Digital** – older adults specific, basic skill development - £80k

5 Options considered and Recommended Proposal

5.1 The following options have been considered:

5.1.1 Option 1 – Do not recommission the Prevention and Communities Grants Programme (including IAG)

This is not the recommended option for several reasons:

Allowing all P&C grantees and contractors to cease delivery on 31 September 2023 would result in a loss of provision for thousands of vulnerable citizens, damaged partnerships and relationship between BCC and the sector, and erosion of trust built over the last 4 years. This would be particularly acute amongst the communities and active citizens the providers have worked with as it will increase the risk of social and economic instability in the current unstable and volatile environment. It would also slow progress of social work teams sustaining their working practices of adopting the 3 Conversations and strength-based approach to support citizens. Lack of this provision will also likely cause higher numbers of citizens accessing statutory interventions such as social care, homelessness, primary care, such as GPs and A&E. In summary, stopping now would be a waste of the 4-year investment in prevention and early intervention and go against the principles of Adult Social Care's Vision, it'd weaken the asset base that the EI&P Transformation Programme requires for future delivery, Localism Agenda, ICS strategy and the recent Pause and Learn ADASS review. One advantage to this option would be budgetary saving.

5.1.2 Option 2 – Recommissioning the P&C Programme (including IAG) for 2 years

This is not the recommended option for several reasons:

- The initial commissioning process in 2019 was for 2 years however, the pandemic evidenced the need for a long-term commitment to working with the Voluntary and Community Sector, sustainable capacity building, and opportunities to draw additional external funding directly into the sector thus increasing the non-Birmingham pound. This in turn enables impactful, stable, and embedded sector infrastructure is in relation to emergencies. Similarly, this is now being yet again tested through the Cost-of-Living Crisis with several providers becoming Warm Welcomes and ready to mobilise an emergency response.

- Each commissioning process takes 12-18 months. Having Cabinet approved arrangements for 2 years only means commissioners must start the re-commissioning process less than 12 months into delivery. This approach puts pressures on our human resource capacity and makes it impossible to evidence full outcome realisation. This approach works better for proof-of-concept projects as opposed to embedded provision, responding to top priorities for ASC and the communities of Birmingham.

- Feedback from various sources researching pandemic's impact on Voluntary and Community Assets (such as the BVSC state of the sector survey, Locality, New Local) shows that one of the main recovery asks from the sector is long-term funding; funded organisations can then enter a period of stability and build strong relationships with the communities they support. Short-term funding regularly threatens the ability of assets to survive, particularly the small and medium organisations who often rely on grant funding to sustain. As the organisation grows, secured long-term grants/contracts are attractive to investors and social loan companies/asset transfer processes – this provides an opportunity for assets to secure investments to manage properties, which in turn provide more opportunities to cover core costs with unrestricted funds through rentals/social enterprising. Supporting this crucial step in assets' business development provides a stable and growing market for citizens to access and economy to grow.

5.1.3 Option 3 – Recommissioning the P&C Programme (including IAG as contracts rather than grants) for 3+2 years

This is not the recommended option for several reasons:

The current IAG provision across the city requires a full review and an alignment activity, looking at it through a citizen's lens and how we support citizens to support themselves in the first instance, self – navigate IAG, or supported navigation of IAG. The intention being that citizens access the information and support earlier and thus reducing avoidable demand on public services. Grant provision, as opposed to contracts, enables the application of flexibility during the lifespan of delivery, both in terms of geographical priorities as well as methods of delivery such as face-to-face, digital etc. meaning providers can be directed to where greatest need is at the time. The Early Intervention and Prevention Programme will review and align the IAG provision over the next few years however, because Birmingham City Council does not currently provide specialist income maximisation/IAG catering for vulnerable adults' needs outside of this programme, it is paramount that this provision exists alongside the wider prevention and early intervention services, supporting citizens in their communities and through organisations they trust the most. To continue delivering these crucial services effectively over the next few years in a time of change and emerging new pathways, the flexibility of grants provision is required, and therefore for this recommissioning activity, the option of continuing the IAG provision as contracts has been rejected.

5.1.4 Option 4 – Recommissioning the P&C Programme (including IAG as grants) for 3+2 years (preferred option)

This preferred option gives citizens the opportunity to access support and build their confidence to run the initiatives they require for longer. Successful assets will receive sustainable, long-term funding and the opportunity to work with BCC and BVSC to respond to any emergencies or shifts in delivery as required, particularly given the future changes to the IAG landscape. Commissioners will have the capacity to monitor and evidence outcomes measures in a more sustained way. Crucially, this option supports ASC's and BCC's desire to move from crisis to prevention. It supports the vision for citizens to be happier, healthier, and more independent in their communities for as long as possible. Supporting this option will truly realise the "Be Bold, Be Birmingham" approach.

Indicative implementation plan

Cabinet Approval (Commissioning Plan)	February 2023
P and C Application opened	March 2023
P and C Application closed	April 2023
Evaluation Period	May-June 2023
Grant Award	July 2023
Mobilisation	August - September 2023
Grants Start	Oct 1st 2023

6 Consultation

6.1 The Cabinet Member for Social Justice, Community Safety & Equalities has been consulted on the proposal and supports the recommendations.

6.2 The Vulnerable Adults Citizen Panel have been consulted on the proposal and support the recommendations.

6.3 Local Elected Members have been engaged as part of the co-design activity with key stakeholders.

6.4 Local Social Work teams and other internal stakeholders have been part of the co-design and fed in their priorities to focus on

External Co-design engagement

6.5 Co-design activities took place between May and September 2022. Over 500 key stakeholders took part in the events and conversations; social work teams and citizens to begin to develop a picture of what the current market looks like and what we may wish to see in the future. The engagement was a mixture of online and

face to face discussions. This has helped fully inform the revised priorities and what the services should look like. Further targeted engagement, workshops and coproduction activities with provider stakeholders and citizens ran alongside the Be-Heard survey on-line.

6.6 Co-design for IAG/income maximisation formed part of the overall co-design strategy and has informed the commissioning plan presented in this report.

6.7 There will also be an expectation for organisations submitting bids to have been engaged and consulted with their stakeholders and service users as part of the bid formulation.

Details/ findings from co-design initiatives is provided in **Appendix 2**

Formal consultation was not undertaken, instead over 500 stakeholders have taken part in co-design engagement events and conversations including citizens, Primary Care Networks, Clinical Commissioning Groups, existing providers, social work teams, Adult Social Care stakeholders, wider voluntary, community and public sectors.

7 Risk Management

7.1 Risks will be identified, evaluated, and controlled in line with the Birmingham City Council Risk Management Methodology 2017.

7.2 A full Risk Register has been developed as part of the project management of this recommissioning. The project management, governance and oversight of this recommissioning will be through the Community Assets Board chaired by the Director of Commissioning (Adult Social Care) and will report through to the Adults Social Care Management Team chaired by the Strategic Director for Adults Social Care.

7.3 The risks are all as low as is reasonably possible. The highest risk rating is medium; all have mitigating actions.

8 Compliance Issues:

8.1 How are the recommended decisions consistent with the City Council's priorities, plans and strategies?

The recommended proposal supports the delivery of one or more of our Council' priorities as set out in the Birmingham City Council Plan 2022.

- **Birmingham is an entrepreneurial city to learn, work and invest in**: Through investment in the voluntary, community, faith, and social enterprise sector, we will create local jobs, apprenticeships and foster innovation in service delivery and outcomes for citizens. We will open-up opportunities for local people to develop skills and share in the benefits of local economic growth. This will include the creation of appropriate opportunities for older

adults and citizens with learning, mental health, physical and sensory disabilities to access volunteering and a longer-term pathway into paid employment.

- **Birmingham is an aspirational city to grow up in**:
  We will work in close collaboration with the Early Help, Preparation for Adulthood, Transitions, Neighbourhood Networks, and local partners to embed a "whole life course" approach across all our services. This will create opportunities to inspire and support the cohort of children and young adults who will ultimately move into adult services to develop ambitions and achieve their full potential.

- **Birmingham is a fulfilling city to age well in:**
  Expanding the opportunities for older citizens to make meaningful choices about and exercise genuine control over their care and support will ensure they are more resilient and independent. This has been proven to bring positive improvements to the quality of life for citizens and the broader wellbeing of communities.

- **Birmingham is a great city to live in**:
  This programme will ensure older adults and citizens with learning disabilities, mental health, physical and sensory support needs are able to access a broad and varied range of community-based activities and opportunities. They will foster greater inclusion and fairness, by enabling these citizens to live happier, healthier, and more independent lives in their own communities.

- **Birmingham residents gain the maximum benefit from hosting the Commonwealth Games**:
  We will work closely with the Commonwealth Games Team and Neighbourhood Network Schemes to harness legacy opportunities. This will be led by the Commissioning Team.

8.2 Legal Implications

8.2.1 The Care Act 2014 together with associated regulations and guidance states that a Local Authority must provide a range of services to contribute towards preventing or delaying the need for care and support for individuals and for carers in their area.

8.2.2 Under Section 111 of the Local Government Act 1972, a local authority has the power to take action, which is calculated to facilitate, or is conducive or incidental to, the discharge of any of its functions and therefore has a general power to enter into contracts for the discharge of any of its functions. Section 93 of the Local Government Act 2000 gives the Secretary of State power to award grants to local

authorities for expenditure incurred by them in the provision of welfare services determining by the Secretary of State.

8.2.3 The Council has a best value duty under Section 3 of the Local Government Act 1999 to improve the efficiency, economy, and effectiveness of the services that it delivers. The use of an open procurement route will ensure that competitive bids are obtained, and the terms offered by the successful tenderer will deliver best value to the Council.

8.2.4 The Council's obligations for this service under the General Date Protection Regulation (GDPR) will be met by conditions in the Conditions of Grant Aid.

8.3 Financial Implications

8.3.1 The budget requirement is £2,745m gross annually funded from base budget and Public Health Grant, Adult Social Care.

8.3.2 The proposed budget is described below. Grant agreements run between October and September; therefore, annual grant values differ from financial year values. For example, given that the current programme is running until September 2023 (already approved within Adult Social Care base budget), considering the 2023-2024 financial year, approval is only required for October 2023 – March 2024, therefore 50% of the total annual value.

Annual value (April-March financial years)	
2023/24	£1.373m
2024/25	£2,745m
2025/26	£2,745m
2026/27	£1.373m
Total for 3 years	£8,235m
Total for 5 years	£13.725m

8.3.3 The proposed fixed price grants will be for an initial period of three years (with option to extend for two years). This is deemed the minimum service delivery and economic period to ensure value and efficiency for the Council and providers. The possibility to extend or not allows the Directorate to manage the contingent nature of some of the funding and the different timeframes, particularly the grant funding.

8.3.4 There are currently no proposed savings within this MTFF cycle that has earmarked any of this budget for savings, so no further financial implications to consider

8.3.5 This commissioning plan continues the existing investment in this area, integrates it with the agreed strategy on prevention and links it to several innovations and

other grant funded activities, thereby maximising and multiplying the council's own investment with other money and developments in services.

There is a need for comprehensive monitoring, outcomes, and review of performance to inform both grant management and future strategies and commissioning plans relevant to prevention strategy.

8.4 Procurement Implications

8.4.1 No procurement implications identified – P&C Programme will be fully commissioned using Conditions Grant Aid agreements. Grant recipients will be required to pay the Real Living wage, and should any grant allocations amount to over £200,000, those organisations will be required to become signatories to the Birmingham Business Charter for Social Responsibility.

8.5 Human Resources Implications (if required)

8.5.1 Only the 3 IAG contracts transitioning to grants for the new P&C Grants Programme 2023+ may be subject to the Transfer of Undertakings (Protection of Employment) Regulations (TUPE) however in this instance no Council employees will be affected. The Council's role will be to facilitate the transfer of relevant information between the incumbent providers of existing services and perspective bidders without providing any indemnity regarding the accuracy of information provided.

8.5.2 The commissioning plans and subsequent grant awards and grant management will be undertaken by staff within the Adult Social Care Directorate in conjunction with Finance, Legal and Procurement colleagues.

8.6 Public Sector Equality Duty

8.6.1 An Initial Impact Assessment has been carried out and no adverse impacts have been identified and a Full Impact Assessment is not recommended at this stage. Any potential impacts that emerge during the commissioning plans will be monitored and mitigated inherently within the process and managed via the Risk Management process. Risk logs will be maintained to allow further considerations and will include grant award and mobilisation. **See Appendix 1** for the Initial Equality Assessment.

8.7 Environmental and Sustainability Implications

8.7.1 Environmental and Sustainability Assessment has been carried out and no adverse impacts have been identified. Any potential impacts that emerge during the commissioning plans will be monitored and mitigated inherently within the process and managed via the Risk Management process outlined in this report. **See Appendix 3** for the Environment and Sustainability Assessment.

9 Appendices

1. Equality Assessment

2. Co-design Engagement Summary
3. Environment and Sustainability Assessment

10 Background Documents

- Birmingham City Council Plan: 2022-2026
- Health and Well-being Strategy
- Vision and Strategy for the Modernisation of Adult Social Care Cabinet Report October 2017 (Vision Refresh 2020).
- Putting Prevention First: Delivering the Vision for Adult Social Care and Health Cabinet Report November 2017
- Putting Prevention First: Investing in Communities Cabinet Report in May 2019

Item 9

Title of proposed EIA	Prevention & Communities Grants Programme (P&C Grants Programme)
Reference No	EQUA1039
EA is in support of	Amended Function
Review Frequency	Annually
Date of first review	20/11/2023
Directorate	Adults Social Care
Division	Commissioning
Service Area	Prevention and Communities
Responsible Officer(s)	☐ Keaton Moore
Quality Control Officer(s)	☐ John Freeman
Accountable Officer(s)	☐ Kalvinder Kohli
Purpose of proposal	Recommissioning of the Prevention and Communities grants programme
Data sources	Consultation Results; Interviews; relevant research
Please include any other sources of data	

ASSESS THE IMPACT AGAINST THE PROTECTED CHARACTERISTICS

Protected characteristic: Age	Service Users / Stakeholders; Wider Community
Age details:	The Prevention and Communities Grants programme will have a positive impact on those aged 18+ by offering local services and activities that promote mental, emotional, and physical wellbeing, friendships and social connections, as well addressing loneliness and isolation. This is underpinned by the Care Act 2014 The aim of community-based prevention is for individuals to be able to access the right support, at the right time, enabling an early response/intervention for people who are at risk of isolation, poor health, financial exclusion, difficulties managing their home, losing their independence, and going into statutory care.
Protected characteristic: Disability	Service Users / Stakeholders; Wider Community
Disability details:	Recommissioning the P&C Grants Programme will have a positive impact on people with disabilities. There are approx. 380,000 disabled citizens in Birmingham. Over 60% of those with disabilities are living with a mental health condition, 25% have a hearing or visual impairment, 10% are physically disabled, and approx. 7% have a learning disability. (source: P2020/PANSI – Projecting Adult Needs and Service Information, 2020 figures.) The programme will specifically benefit people with mental health, sensory impairment, physical and learning disabilities through providing services and activities which encourage greater community inclusion, as well as prevention of crisis. This will include funding organisations which work specifically with these groups, targeting areas and activities which are tailored, co-designed and led by people with different disabilities and conditions to support them to live happier and more independent lives within their communities. This protected characteristic will see a significant positive impact, because majority of the services commissioned will support thousands of citizens with a disability, reducing inequalities and maximising income.
Protected characteristic: Sex	Service Users / Stakeholders; Wider Community
Gender details:	Sex and Sexual orientation will not be a barrier when accessing commissioned P&C Programme services, and there will be a positive impact on those who identify as being LGBTQ+. LGBTQ+ citizens are a key client group for the P&C programme, and commissioned providers will be expected to link in with NNS's across the city, where the NNS has a specific outcome of increasing the numbers of people from communities of interest participating in local groups and activities, and the needs of LGBTQ+ citizens are identified through local gap analysis. Equality and diversity training and capacity-building provided by NNS will ensure that local assets and activities, including those commissioned through the P&C programme will be accessible to LGBTQ+ citizens and [illegible] needs. It is intended that LGBTQ+ citizens will be more active and

inclusive of their needs. It is intended that LGBTQ+ citizens will be more active and visible in their communities, and that there will be greater awareness of their needs and the positive contribution they make.

Birmingham's LGBT Centre is a delivery partner under NNS Connected Communities – NNS and P&C Grants Programme are sister programmes, therefore both work in partnership as opposed to in silos, therefore harnessing more opportunities to work with the rich tapestry of assets and community groups in Birmingham, in turn, supporting more citizens.

Protected characteristics: Gender Reassignment	Service Users / Stakeholders; Wider Community
Gender reassignment details:	Gender reassignment is not a barrier to access support, services or activities. The commissioned projects will ensure all people that access them who identify as transgender, non-binary or intersex are treated with respect and dignity throughout and will be able to access the same support and be offered the same opportunities whilst ensuring they have as personalised approach as any other gender. The well-developed commissioned partnership with Birmingham's LGBT Centre will support further reach into the above-mentioned communities.
Protected characteristics: Marriage and Civil Partnership	Service Users/ Stakeholders; Wider Community
Marriage and civil partnership details:	Marital Status will not act as a barrier when accessing the services. Both singles and couples can access the same services and support as those who are married or have a civil partnership.
Protected characteristics: Pregnancy and Maternity	Service Users / Stakeholders; Wider Community
Pregnancy and maternity details:	The P&C Grants programme will have a positive effect on those who are pregnant. More than one in five women develop a mental illness during this time and if untreated these illnesses can have a devastating impact on women and their families. This includes mental illness existing before pregnancy, as well as illnesses that develop for the first time, or are greatly exacerbated in the perinatal period. (https://www.rcog.org.uk/globalassets/documents/patients/information/maternalmental-healthwomens-voices.pdf) The programme will specifically benefit people with mental health concerns and all P&C commissioned providers will promote their services to GP's and health providers (social prescribers); linking into early intervention pathways.
Protected characteristics: Race	Service Users / Stakeholders; Wider Community
Race details:	Black, Asian and Minority Ethnic citizens not only face the same challenges as all citizens, but also face additional barriers: for instance, cultural barriers, stereotypes and poor language which can increase the chances of poorer health, isolation and loneliness, poverty and social exclusion. The services commissioned through the P&C programme will have a positive impact on race as they will ensure that everyone has access to the appropriate support and links with partner organisations; encouraging take up of support and addressing any language barriers. For example, case studies and interviews demonstrate how the Neighbourhood Network Service (NNS) - a sister programme to P&C Grants - supports assets to provide much needed tailored support for Birmingham's diverse communities. One of the sub-programmes within the overall P&C Grants Programme, called "healthy communities" will provide an opportunity for providers who support diverse communities to apply with proposals around promoting healthy lifestyles, self-care workshops, information and advice, 1-2-1 work. The inclusive strategy of NNS ensures that all funded assets are developed to be inclusive and welcoming to all people regardless of ethnicity, and other protected characteristics (Ethnic Minority Groups Supported by NNS and P&C, BVSC April 2021). A key specification of the P&C programme will be for providers to develop robust links with the NNS. Additionally, NNS has recently developed a new long-term project called NNS Connected Communities – supporting communities of interest/identity who are thinly spread across the city. All P&C Grants Programme delivery partners will be linked into this programme, and wider NNS, to ensure links/relationships/training and development is developed. BVSC as delivery partner will help ensure this is developed.
Protected characteristics: Religion or Beliefs	Service Users / Stakeholders; Wider Community
Religion or beliefs details:	Religion or beliefs will not be seen as a barrier when accessing P&C commissioned services.

services.

The NNS has demonstrated the value of having Faith-based organisations as key partners and raised awareness of their contribution to their communities.

The P&C programme intends to continue working in partnership with these organisations, to ensure that all commissioned services/activities are inclusive, accessible, and respectful of the needs of faith-based communities.

The current Programme commissions Faith-based organisations and this will continue in the recommissioned programme.

Protected characteristics: Sexual Orientation	Service Users / Stakeholders; Wider Community
Sexual orientation details:	Sex and Sexual orientation will not be a barrier when accessing commissioned P&C Programme services, and there will be a positive impact on those who identify as being LGBTQ+. LGBTQ+ citizens are a key client group for the P&C programme, and commissioned providers will be expected to link in with NNS's across the city, where the NNS has a specific outcome of increasing the numbers of people from communities of interest participating in local groups and activities, and the needs of LGBTQ+ citizens are identified through local gap analysis. Equality and diversity training and capacity-building provided by NNS will ensure that local assets and activities, including those commissioned through the P&C programme will be accessible to LGBTQ+ citizens and inclusive of their needs. It is intended that LGBTQ+ citizens will be more active and visible in their communities, and that there will be greater awareness of their needs and the positive contribution they make. Birmingham's LGBT Centre is a delivery partner under NNS Connected Communities – NNS and P&C Grants Programme are sister programmes, therefore both work in partnership as opposed to in silos, therefore harnessing more opportunities to work with the rich tapestry of assets and community groups in Birmingham, in turn, supporting more citizens.
Socio-economic impacts	The recommissioning and future model of the P&C Grants programme will have positive socio-economic impacts. There are economic benefits for local communities when commissioning voluntary and community organisations to deliver services and activities that meet Council priorities (Locality: Keep it Local March 2020). Social value is a key part of the commissioning strategy and providers will be required to evidence their contribution. The programme will support the wider community as well as service users/stakeholders and will support local organisations to develop and become sustainable, creating volunteer and paid employment opportunities for local citizens, as well as local economies as a whole. Commissioned services will increase the breadth, relevance, and accessibility of the community offer, making neighbourhoods more vibrant places to live. Activities will improve the local infrastructure and environment, for example, through developing green spaces. The funding formula for the P&C Grants programme considers the different profiles of Birmingham's constituencies, and levels of deprivation, recognising the greater needs of deprived communities. The proposed model will bring additional funding into constituencies, targeted toward Birmingham's most deprived communities. Information about the purpose and beneficiaries of all grant-funded activity is collated and reviewed quarterly. This will allow the impact of the programme in this area to be assessed. The socio-economic impact will be of a large scale also due to the income maximisation/debt recovery sub-programme, where £1m annually is proposed to support vulnerable citizens to maximise their income. This will include older adults, citizens with physical disabilities, learning disabilities, autism, visual and hearing impairment or loss. It is projected, annually, providers will maximise income of around £5mln. This in turn will improve citizens' wellbeing and reduce inequalities.
Please indicate any actions arising from completing this screening exercise.	Ensure that funding and commissioning opportunities are well promoted and marketed with new and existing providers, organisations, and groups already working with and trusted by vulnerable adults. Due to covid, the team were unable to introduce formal evaluation methodologies. Included in the new programme will be a formal evaluation, reviewing quarterly returns, demographic, and equalities information as well as an annual survey of citizen satisfaction and impact levels of the activity attended. This will provide a greater understanding of impact but also accessibility. This will enable commissioners to ensure activities and services are available and accessed by all communities. There is also a need to connect our migrant/refugee/NRPF communities to activities/initiatives/things to do commissioned under this non-statutory programme. Stakeholder co-design events highlighted these communities are not aware of this programme. Commissioners will work with partners to bridge this gap.

Please indicate whether a full impact assessment is recommended	NO
What data has been collected to facilitate the assessment of this policy/proposal?	• Adult Social Care date showing the profile of demand and need for services. • Demographic data • Future demand modelling • Consultation responses • Analysis of data obtained by NNS delivery and outcomes
Consultation analysis	Older and disabled people are disproportionately represented in adult social care services. This is either through volume or levels of cost and risk. The P&C Grants Programme redesign team spoke to around 525 stakeholders (citizens, community assets, social workers, Councillors etc.), to inform priorities and themes for this programme. This ensured stakeholders co-produce direction of travel of this programme and support Commissioners in identifying biggest gaps in provision both, service wise but also geographically are considered.
Adverse impact on any people with protected characteristics.	No
Could the policy/proposal be modified to reduce or eliminate any adverse impact?	N/A
How will the effect(s) of this policy/proposal on equality be monitored?	Equality data and evidence of impact and positive changes for groups with protected characteristics will be monitored and reviewed quarterly. Data will be collated and reviewed by the Commissioning Team, summarised, and presented to senior management. Data will also be used to improve accessibility of services/activities on an on-going basis. BVSC Research Team will use formal methodologies to monitor this service. Where gaps are identified, Commissioners together with BVSC colleagues and delivery partners will step in to bridge these gaps. NNS will play key role in supporting this. Accessibility of services by diverse communities will be a key review approach to ensure we reach all citizens of Birmingham. All data captured is directly related to the Prevention First Outcomes Framework
What data is required in the future?	Citizen engagement with funded services and activities ensuring that they reflect the profile of need and effectively reach the key client groups the programme has been developed and designed for and with.
Are there any adverse impacts on any particular group(s)	No
If yes, please explain your reasons for going ahead.	
Initial equality impact assessment of your proposal	There will be a positive impact on citizens with protected characteristics, including older citizens, disabled adults, men and women from underrepresented communities, ethnic minorities, faith communities and those who identify as LGBTQ+. There will be positive impact on citizens and communities experiencing socio-economic disadvantage. The programme has already proved successful with the aims to reduce inequality and create the conditions for greater cohesion in the city's communities.
Consulted People or Groups	525 stakeholders took part in co-design events, 1-2-1s and surveys including over 100 citizens, over 200 Adult Social Care colleagues, Councillors, and around 200 community assets, other professionals, and partners.
Informed People or Groups	
Summary and evidence of findings from your EIA	The P&C Grants Programme is a historical programme dating back 10+ years (previously known as Third Sector Grants Programme). In 2019, Prevention and Communities Commissioning Team took on the recommissioning of the programme to closer align it to the Adult Social Care strategy and vision, including the Prevention First Outcomes Framework. This also created an opportunity for more development/sustainability support for commissioned providers from BVSC and NNS. Since 2019, 48 providers have supported approximately 80,000 citizens and achieved income maximisation of around £7m. Case studies and stories of difference, supported by pictures and videos and combined with provider visits, show real impact on the lives of Birmingham's citizens and communities. Most of the delivery happened during the pandemic, where the P&C Programme shifted its outcomes to emergency response, providing support infrastructure without which the city wouldn't have achieved the resilience it has achieved. The team took the decision (supported by senior management) not to overwhelm providers with the burden of outcomes/impact measures. This has been rectified this year. Data will support Commissioners and the Council to identify successes [illegible] to be addressed, particularly around accessibility

and challenges to be addressed, particularly around accessibility.

The current delivery provides support such as hoarding, bereavement, income maximisation, loneliness and isolation, workshops and information and advice supporting citizens from diverse groups and with wide range of physical/mental conditions. There are local, hyper-local and city-wide services commissioned, responding to gaps and priorities identified by data and stakeholder feedback. This approach will continue.

The application process is evaluated by an officer panel and a separate citizen panel, combining scores to decide successful bidders. BVSC and Commissioners provide surgery support and on-going development/sustainability support. NNS provides links, training and development and tools to improve fundraising and bidding skills within the sector.

Most of the priorities and themes from 2019 remain the same however, further detail around geographies and sub-challenges within each theme/priority was captured this time round, enabling Commissioners to remain focused on the biggest gaps in delivery.

Through data analysis and stakeholder engagement, a need to improve inclusion of the groups subject to this proposal has been identified as a priority for investment.

The stakeholder engagement has included citizens, current funded providers, wider voluntary and community sector, adult social care and health professionals, including social workers. Data has included adult social care demand data, as well as asset mapping data collected and analysed from Birmingham's Neighbourhood Network Schemes (NNS), POPPI and PANSI (2022).

The information and intelligence taken from these activities has identified the types of activity and services which may be needed to enable inclusion as well as to best engage the groups subject to this proposal.

No analysis has been done concerning gender, race or faith though these characteristics will also need to be monitored to ensure that there is fair and equal access to these groups within the new commissioning programme.

There is an identified strong connection with Neighbourhood Network Schemes. Both programmes are commissioned by the same team and supported by Birmingham's main sector infrastructure organisation, BVSC. This strong connection means that NNS will be able to support/develop assets commissioned in this programme, signpost professionals/citizens to the activities and link grantees closely with the NNS Connected Communities Project, which is focusing on communities of interest/identity as opposed to geography who are thinly spread across the city. This will increase cohesion and accessibility.

BVSC Research Team will use formal methodology tools to further evidence impact. Particular focus will be on how accessible services/activities are to our diverse communities. This approach will help Commissioners, BVSC and NNS to bridge gaps, should there be any, by working with partners and infrastructure support organisations in the city (Birmingham Community Matters, Locality, BVSC) as well as Public Health colleagues in reaching community leaders, marketing tools, notice boards and language translations.

QUALITY CONTORL SECTION

Submit to the Quality Control Officer for reviewing?	Yes
Quality Control Officer comments	The EINA addresses all of the protected characteristics and demonstrates that consideration has been given to both the positive and potential negative impacts of the programme. the EINA can be submitted fr final approval.
Decision by Quality Control Officer	Proceed for final approval
Submit draft to Accountable Officer?	Yes
Decision by Accountable Officer	Approve
Date approved / rejected by the Accountable Officer	21/12/2022
Reasons for approval or rejection	The Commissioning of the proposed services and activities will have a positive contribution to the citizens, communities and stakeholders of the City. The monitoring arrangements proposed allows the services to be adapted quickly should any adverse impacts be identified. Should this be the case, a further review and update of the EIA will be completed.
Please print and save a PDF copy for your records	Yes

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Close

Introduction

An engagement process took place between May to September 2022 to inform the recommissioning of Prevention and Communities Grants Programme, due to start from October 2023. The commissioning team set out to engage as many stakeholders as possible to test out proposals and listen to ideas. Over 500 people from a wide range backgrounds and perspectives were invited to participate with 527 actively responding.

Stakeholders included current P&C providers, social work staff, health professionals, housing, and other public sector staff, as well as voluntary sector stakeholders. There was a mix of people already engaged with the P&C programme and some stakeholders who were new to it. Citizens with relevant lived experience were also engaged. This was done by attending existing forums; there was a mix of people already volunteering within the programme and those who did not know about it. All Councillors were invited to a separate event with 7 Councillors who were able to participate.

Most stakeholders were invited to a meeting, arranged by commissioners, at which a presentation was given explaining the P&C Co-design and then each of the 5 codesign questions were discussed. For others the commissioning team attended existing externally arranged meetings, the same format of a presentation followed by discussion of the 5 codesign questions was followed. Feedback was recorded by the commissioning team as summary of responses for each meeting. Alongside this, the codesign questions and supporting information were uploaded to Be-heard and the link shared widely. We received 5 completed questionnaires.

A summary of the meetings, numbers and designations of respondents can be seen in the table at the end of this report.

Summary of responses to the codesign questions

1. <u>What are the main Needs/Themes/Priorities that we should identify for the new programme and are these geographical or city-wide?</u>

IAG (This has come out as a priority, information can be found under question 3, page 3-4)

Digital

- Older adults (social media training)
- Newly arrived communities
- Devices and internet access
- Digital inclusion - accessing and using IT equipment
- A lot of people cannot access the internet, universal credit account, reapply for bus passes etc
- Digital skills/inclusion
- Discounts are online i.e. gas and electric
- Technology – using phones/laptops – we have used Ability net before
- Technology – to help with online shopping
- Device issues – a lot of elderly still scared of Covid so not wanting to come out and mix

Employment/Training/Skills

- Volunteering opportunities for those with AN

- Community based CIC upcycling/recycling
- Intergenerational projects, where retired people can pass down skills/experience/knowledge
- Young People with Autism may need have mental health capacity and need support for self-esteem and confidence issues, bereavement and preparation for work
- Support for employment and training
- Training and employment support for younger adults with LD. LD enablement (travel training etc) which was provided is missed.
- Young people projects - Get them into education, apprenticeships, social stuff – to stop loitering and crime
- To stop younger people racing on quads/motor crossers – get them helping local garages… to hopefully help them to become mechanics

Fuel Poverty

- Fuel poverty – inner city areas
- Energy banks – a place people can go with heating on, blankets, electric blankets, Fire service to tell us about insulation
- Community-collective bargaining on rates?
- Fuel poverty – struggling to contact providers to get fuel cards – people not spending them on fuel? This can be the same if given food cards

Transport

- Active travel – biking etc
- Travel training for those with AN
- Volunteer taxi scheme
- Transport – we are funding shencare – looking into volunteer models that might help?
- Public transport issues are so frustrating, when trains/buses are detoured/changed there are no announcements that people can see visually

Sports/Physical Activities

- Lack of activities for older people
- Lack of accessible activities for those with additional needs
- Can I add the organisation GoodGym as an asset to be considered as a city-wide support service which combines volunteers running and cycling with support to people in need with doing jobs, shopping, and befriending?
- Football, basketball event
- Tai chi outdoors
- Online exercise, dancing, and face to face dancing
- Crazy Golf and Bowling
- Snooker and chair exercise
- Tennis, bingo, group yoga, Spanish lessons, walking group, dance class
- Wheelchair dance
- Disco, social outings
- Gaming groups, online and board games
- Trampolining
- Swimming, gardening

Day Ops

- More support for those getting Direct Payments on how to access/use services.
- Day centres are institutionalised, sombre, depressing etc.
- More Day Ops for those with complex needs: LD, AN etc.
- More opportunities for citizens to engage with those attending Day Centres
- IAG/Outreach/Signposting needs to be done for attendees
- CP Midlands – attends 2 days a week and said it makes him happy

Arts Activities

- Needs more free activities that aren't the same old thing
- Locality/Community based 'Mini MAC' hubs
- Learning to sing/performing
- Arts and crafts, demonstration to make something useful things, cards etc

Bereavement/Grief/Loss

- Need for more low-level, long-lasting, peer support groups
- Pre-bereavement support
- Culturally sensitive/aware bereavement support
- Long term support

Hoarding

- Support for those living with/caring for hoarders
- Lack of cleaning services/support
- More 1 on 1 support for hoarders
- Future-Proof projects – proactive cleaning/gardening services
- More practical support around hoarding

2. <u>Who are the key stakeholders you would like us to include in these co-design events?</u>

- Asset Mapping
- Coproduction [citizens with lived experience]
- Adult Social work teams
- CNSO's
- NNS's
- BVSC
- Councillors

3. <u>What are the priorities for Information Advice and Guidance (IAG)?</u>

- Early help before they reach crisis point. Face to face support.
- IAG for those with Autism and Neuro disorders or from RNIB
- Huge demand for housing advice/support, especially regarding tenancy/evictions
- Support for newly arrived communities – signposting, navigation et al.
- Access to support with utilities- citizens without gas/ electric (how can they support to reinstate/fix appliances) issue for those in private accommodation

- Support for maximising benefits
- Someone has not claimed any benefits, and attendance allowance – carer selling big issues to try and make ends meet
- Money advice – there was a long waiting list
- CAB – waiting lists are too long, from living at home to residential care (self-funders)
- Fuel poverty – trying to get people on the best tariffs to help – a lot of discounts are online & inner-city areas
- I meet people with LD/autism who need advice and guidance from people with specialist training, not always able to tolerate phone-based support, but may need face to face to know the person they are speaking to, understands that they need extra time to answer, or may need support with comms and is not going to feel hurried or judged.
- Fuel poverty – struggling to contact providers to get fuel cards – people not spending them on fuel?
- Benefit and finance support, fuel, and debts – this is coming from people who are working as well
- A strategic overview of IAG across the city would be useful to identify what is specialist advice, what community needs specific access support, what support can be provided by a generalist network of local providers

4. Are there any geographies/localities that require specific support?

Carers, YA with AN, Older Adults, citizens with disabilities

- Edgbaston – Bartley Green, Quinton
- Hall Green – Sparkbrook, Sparkhill and Balsall Heath
- Ladywood – Newtown, Highgate, Nechells, Aston, Soho, Jewellery Quarter
- Northfield – Rubery, Frankley
- Hodge Hill – Alum Rock, Ward End, Small Heath, Bromford, Washwood Heath
- Selly Oak - Brandwood, Kings Health, Druids Health, Moneyhull, Billesley, Highters Heath, Masefield
- Sutton – Falcon Lodge, Reddicap, Trinity
- Erdington – Stockland Green, Kingstanding and Erdington
- Yardley – Sheldon, Garretts Green and Acocks Green
- Perry Barr – Birchfield, Handsworth, Holyhead, Lozells, Perry Barr, Handsworth Wood
- City Centre

5. Are there any ideas on how this can be aligned with the IAG strategic Framework? – link to Birmingham Advice Strategy – no structured answers were given

Summary of meetings, numbers, and designations of respondents

Dates	Type	No.	Who was Represented?
18/7/22 19/7/22 20/7/22 22/7/22 26/7/22 27/7/22 2/8/22 3/8/22 9/8/22 10/8/22	12 Stakeholders events – presentation & discussion:	289	BCC Commissioning Manager, Social Work Head of Service, Team Manager's, Social Workers, Community Social Workers, as well as specialist and city wide, Social Care Practitioners, OTs, CNSO's,

14/9/22 22/9/22			
10/8/22 11/8/22 15/8/22 17/8/22 15/9/22	5 events NNS, P&C & Wider Sector - presentation and discussion	96	This is an example of the different types of stakeholders that were present: NNS, Forward Carers, LGBT, Mencap, BVSC, Arts Group, forward Carers, Head of Community Partnerships, Healthwatch, St Giles Hospice, CCG, Birmingham Community, BCC Head of Business Improvement, Education & skills, Public Health, Community Catalysts, Groundworks, Gateway Family Support, Inclusive Growth, Housing, Neighbourhoods, NHS, Birmingham Older Peoples Programme Board
12/8/22 25/8/22 26/8/22 20/9/22 21/9/22 21/9/22 30/9/22 5/10/22 11/10/22	9 citizen events – presentation and discussion Erdington Citizens Panel Focus BID Adults Commissioning Prevention - Citizens' Panel The YES Group BLA Midland Mencap People for Public Services	127	Representatives from each citizen group.
	Beheard feedback	5	
12/12/22 08/12/22 14/12/22	Elected Members Cabinet Member – Health and Social Care Cabinet Member – Finance and Resources	7 1 1	
		Total 526	

Birmingham City Council

Environment and Sustainability Assessment

Birmingham City Council is required to assess any positive or negative impacts that any policy/strategy/ decision/development proposal is likely to have on the environment. This assessment must be completed for CLT and Cabinet reports where appropriate. It is the responsibility of the Service Director signing off the report to ensure that the assessment is complete.

To complete the assessment, you should consider whether the proposal will have a positive or a negative impact on each of the key themes by placing a (√) for positive, (x) for negative and (?) for unclear impact, and (N/A) for non-applicable impact. Further guidance on the completion of the template is available on page 3 below.

Project Title:	**Prevention & Communities Grants Programme**	
Directorate: Adult Social Care	**Team: Prevention and Communities Commissioning**	**Person Responsible for assessment:** Victoria Tidy
Date of assessment: 1st November 2022	**Is it a new or existing proposal? existing**	

Brief description of the proposal:

As part of Adult Social Care's strategy to prevent, reduce and delay the need for Citizen to access long-term care service; it aims to support older people, people with disabilities and/or people with mental health conditions. P&C Grants Programme moving forward ensures links to the whole life course approach and the new re-designed NNS service which includes Younger Adults with long-term disabilities. We propose to commence the new programme October 2023.

Potential impacts of the policy/development/ decision on:	**Positive Impact**	**Negative Impact**	**No Specific Impact**	**What will the impact be? If the impact is negative, how can it be mitigated, what action will be taken?**
Natural Resources - including water, soil, air			√	
Energy use and CO_2 emissions			√	
Quality of environment	√			The P&C Grants Programme has worked with local older and disabled people to identify ways to promote wellbeing and independence through being active. This has led to

				mapping of environmental groups or activities and small grants for community projects that improve the local environment. E.g. community led litter clearance.
Impact on local green and open spaces and biodiversity	√			P&C Grants Programme promotes positive participation of older and disabled adults as part of the Prevention First Outcomes – 'being more active' & 'reducing isolation'. Number of activities/services are delivered in local green and open spaces, making it more accessible to residents
Use of sustainable products and equipment			√	
Minimising waste			√	
Council plan priority: a city that takes a leading role in tackling climate change			√	
Overall conclusion on the environmental and sustainability impacts of the proposal	Although improving the environment / use of green spaces is not the primary purpose of the P&C Grants Programme; their work to build the capacity of community-based support to enable older, and disabled, people to lead happy independent lives in their own homes and communities will make a positive contribution to improving the local environment.			

Guidance for completing the template

Theme	Example
Natural Resources - Impact on natural resources including water, soil, air.	Does the decision increase water use? Does the decision have an impact on air quality? Does the decision discourage the use of the most polluting vehicles (private and public) and promote sustainable modes of transport or working from home to reduce air pollution? Does the decision impact on soil? For example, development will typically use water for carrying out various operations and, once complete, water will be needed to service the development. Providing water to development and treating affluent water requires energy and contributes to climate change. Some of the activities including construction or disposal of waste may lead to soil pollution. The decisions may lead to more journeys thereby deteriorating air quality and thus contribution to climate change and greenhouse gases.
Energy use and CO_2 emissions.	Will the decision have an impact on energy use? Will the decision impact on carbon emissions? Most day-to-day activities use energy. The main environmental impact of producing and using energy such as electricity, gas, and fuel (unless it is from a renewable source) is the emission of carbon dioxide.
Quality of environment.	Does the decision impact on the overall quality of the built environment? Decisions may have an impact on the overall setting, character and distinctiveness in the area. For example, if development involves ground digging and excavations etc. it may have an impact on the local archaeology.
Impact on local green and open spaces and biodiversity	The proposal may lead to localised impacts on the local green and open spaces which may have an impact on local biodiversity, trees and other vegetation in the area. Will the proposal lead to loss (or creation) of green and blue infrastructure? For example, selling an open space may reduce access to open space within an area and lead to a loss of biodiversity. However, creating a new open space would have positive effects.
Use of environmentally sustainable products, equipment and packaging'	Will the decision present opportunities to incorporate the use of environmentally sustainable products (such as compostable bags, paper straws etc.), recycled materials (i.e. Forest Stewardship Council (FSC) Timber/wood), non-polluting vehicles, avoid the use of single use plastics and packaging.
Minimising waste	Will the decision minimise waste creation and the maximise recycling during the construction and operation

	of the development/programme/project? Will the decision provide opportunities to improve recycling? For example, if the proposal involves the demolition of a building or a structure, could some of the construction materials be reused in the new development or recycled back into the construction industry for use on another project?
Council plan priority: a city that takes a leading role in tackling climate change and deliver Route to Zero.	How does the proposal or decision contribute to tackling and showing leadership in tackling climate change and deliver Route to Zero aspirations?

If you require further assistance with completing this template, please contact: ESAGuidance@birmingham.gov.uk

Birmingham City Council

Report to Cabinet

14 February 2023

Subject:	Grant Funding Extension to The Active Wellbeing Society for Future Physical Activity Interventions
Report of:	Mark Wiltshire – Interim Strategic Director, City Operations
Relevant Cabinet Member:	Councillor Mariam Khan - Cabinet Member for Health and Social Care Councillor Yvonne Mosquito - Cabinet Member for Finance and Resources
Relevant O &S Chair(s):	Councillor Jack Deakin - Commonwealth Games Culture and Physical Activity Councillor Akhlaq Ahmed - Resources
Report author:	Paul Walls, Senior Sports Manager (Contracts) Email: paul.walls@birmingham.gov.uk

Are specific wards affected? If yes, name(s) of ward(s):	☐ Yes	☒ No – All wards affected
Is this a key decision? If relevant, add Forward Plan Reference: 010749/2023	☒ Yes	☐ No
Is the decision eligible for call-in?	☒ Yes	☐ No
Does the report contain confidential or exempt information? If relevant, provide exempt information paragraph number or reason if confidential:	☐ Yes	☒ No

1 Executive Summary

1.1 Prior to 2017, in a time of funding stringency, there was a need to explore alternative organisational vehicles that could maximise the value of interventions aimed at enhancing opportunities for improving health through physical activity.

1.2 In December 2017 Cabinet approved the mutualisation of part of the Wellbeing Service to The Active Wellbeing Society (TAWS) to deliver a range of place-

based physical activity interventions and to provide strategic support to the Council in this area. The associated service and staff transferred from the Council on 9th July 2018.

1.3 Prior to the onset of Covid-19, TAWS role in increasing physical activity amongst citizens achieved a 54% growth in participation, however during the pandemic delivery was swiftly changed to deliver more focused services such as emergency food and supplies distribution and virtual wellbeing online activities.

1.4 In the post Covid-19 era the delivery model was modified again to build upon the work already undertaken by TAWS but including learning from the impact of the pandemic. A redefined specification was implemented in 2022/23 with new outputs based around supporting communities and working with them to find their way to increased activity and self-empowerment.

1.5 In line with the Council's commitment to deliver a bold legacy for Birmingham following the Commonwealth Games, the journey with communities, responding to their needs and working together to become more active and connected, is expected to continue for years to come. It is therefore proposed that the grant funding to TAWS be extended for a further 5 years, subject to annual consultation with the portfolio holder on the proposed model of delivery, under a variation to the existing funding agreement.

1.6 This report is being presented to Cabinet for a decision because the level of support sought exceeds delegated limits.

2 Recommendations

2.1 That Cabinet approves a grant to The Active Wellbeing Society of up to maximum of £1.296m per annum and the variation and extension of the funding agreement, subject to annual consultation with the society and portfolio holder on the proposed financial settlement and model of delivery, for a further 5 years until 31st March 2028.

2.2 That Cabinet authorises the City Solicitor and Monitoring Officer (or their delegate) to agree and complete all necessary documents to give effect to the above recommendation.

3 Background

3.1 In 2012 the City Council was facing unprecedented financial challenges in the years ahead, and a contributing factor to this was significant overspends within its Sports Service and therefore, decisive, and urgent transformational change was required. In December 2013 Cabinet approved the proposed strategy for future leisure provision across the city which focused on the long-term viability of the leisure Service. The proposed outcome included a mixed economy for delivery, including asset transfer, management through external contractors, and the establishment of a Wellbeing Service.

3.2 In 2017, due to the ongoing pressures on the public purse and specifically on the Public Health and leisure budgets, it was identified that additional sources of funding would need to be identified to sustain the Wellbeing Service. An option to mutualise the service through a community benefit society came to the fore which would enable the drawdown of funding streams currently inaccessible to the Council, which were numerous within the wellbeing environment.

3.3 A report to cabinet in December 2017 approved A Sustainable Solution For The Future of The Wellbeing Service Outcomes, which would see the strategic arm of the Wellbeing Service and the outdoor offer transferred to a Community Benefit Society known as The Active Wellbeing Society (TAWS). Principally TAWS would support the wellbeing of citizens and promote a physically and civically active lifestyle while removing barriers to participation, especially for those that are the most vulnerable or disadvantaged.

3.4 The services transferred to TAWS on 9th July 2018, underpinned by a 5-year funding agreement through to 31st March 2023, in the amount of circa £1.6m - £1.3m per annum. An additional £0.090m of funding was also provided to TAWS during the height of the Covid-19 pandemic for additional work.

3.5 TAWS have written a Birmingham Impact Report (2018-2022) which sets out the key impact of their work across the city since the current agreement commenced in 2018. Information and data from the report has been used to inform this Cabinet Report and a copy of the Birmingham Impact Report has been included as an appendix to this report.

3.6 Aligned to the Council Plan priorities of Birmingham being a great city to live in and citizens gaining maximum benefit from hosting the Commonwealth Games, TAWS have worked extensively with communities and partners to deliver meaningful engagement and interventions that disrupt and shift the balance of power so that communities have more of a say in their lives.

3.7 Between April 2018 and July 2022, TAWS have:

- Delivered 22,469 free physical and social activity sessions across the city in open green and grey spaces as well as community spaces.
- Achieved 360,158 total attendances in activities including proportionately more of the City's most deprived citizens than average.
- Offered more than a hundred different types of activities including led rides, walks and runs, Bikeability courses, Zumba, walking football, Active Street closures, gardening, litter picking, family multi-sports, and archery, to name a few.
- Worked with communities to ensure their offer is holistic and inclusive to all.
- Demonstrated that, prior to the onset of Covid-19, their role in increasing physical activity amongst citizens achieved a 54% growth in participation from 84,241 to 130,121 per annum.

3.8 TAWS have delivered numerous projects and activities over the years that have been wide-ranging, supporting people of all ages from all backgrounds to stay active, connected and lead happier, healthier lives. Projects of note include Active Travel, Active Parks (and ParkLives), Active Streets, Listen and Connect, and Community Food and Sharing. Some of the key achievements and impacts to date include:

- Over 7,500 free bikes distributed to citizens across Birmingham from the most deprived areas.
- 44,000 participations at Bikeability courses and 7,800 at learn to ride sessions, teaching thousands of children and adults to cycle.
- Over 10,500 participations in walk sessions, equivalent to 26,000 miles (based on average walking speed of 2.5 miles per hour).
- 125,200 participations supporting people to stay active and connected to others and their local green spaces.
- 125 different open green spaces and parks utilised for the benefit of local communities.
- 240 active street and car park closures across the city.
- 6,915 listen and connect calls made to participants, resulting in 1,860 hours of telephone support.
- 100 individuals supported through a pathway from phone to in-person social and physical activity sessions.
- 35 tonnes of surplus food cooked into 62,019 nutritious hot meals and served at TAWS community cafes and Big Feed van at sit-down or takeaway meals, helping to reduce food waste.
- 1,163 items borrowed from TAWS two Share Shack sites and numerous pop-up Share Shacks in the community (since September 2021), including sports equipment, DIY gardening tools, games, saucepans, sewing machines, and books, and encouraging people to reduce consumption and waste.

3.9 The Covid-19 pandemic severely impacted on the ability of TAWS to deliver outdoor leisure/wellbeing activities with repeated lockdowns and ongoing social distancing rules halting most services. In response to the crisis, TAWS swiftly designed a revised service offering with the support of the Council and secured additional funding totalling £0.090m. Collectively branded as #BrumTogether, this consisted of 4 main pillars: Emergency food and supplies distribution, Virtual Wellbeing online activities, Telephone Befriending Service, and Positive Stories. Some of the key achievements and impacts delivered by TAWS throughout the period of the pandemic, as part of their core grant agreement, included:

- 84,874 food parcels packed and delivered to 48,629 households

- 42,107 hot meals cooked and delivered to households or distributed at community cafes.
- A total of 1,053 tonnes food sorted and redistributed throughout the city.
- 1,203 online video sessions designed and delivered live providing 968 hours of content
- 6,038 residents supported through a telephone befriending service.

3.10 In the post Covid-19 era Council officers worked with TAWS to vary the delivery model again to build upon the work already undertaken by TAWS but including learning from the impact of the pandemic. A redefined specification was developed and implemented in April 2022 based on new outputs that better support communities and enable TAWS to work with them to find their way to increased activity and self-empowerment. Over the course of 2022/23 TAWS are expected to deliver more than 900 physical activity interventions aimed at some of the most deprived citizens of Birmingham. Some of the key delivery projects will include Big Birmingham Bikes / Bikeability, Active Parks, Active Streets, Walking & Running (formally Run Birmingham), This Girl Can, and further online virtual activities.

3.11 Over the past 4½ years, TAWS have also grown and expanded their workforce to support a wide range of projects. While initially 19 staff TUPE transferred from the Council as part of a team of 30 employees back in July 2018, TAWS now employ over 140 individual staff, providing the full-time equivalent of 103 staff. TAWS are an important employer in the Birmingham region with 73% of staff who live in Birmingham residing in IMD quintiles 1 and 2 areas. Since 2018 TAWS have also worked with around 1,500 individual volunteers, developing their skills to support their communities, with many going on to find employment either with TAWS or elsewhere.

3.12 Aligned with Council objectives, TAWS also deliver an annual youth employment programme that offers young people aged 16-24 the opportunity to support community projects through paid work experience. To date TAWS has employed and developed 259 young people and provided permanent and stable employment to 21 young people.

3.13 As well as providing practical interventions, TAWS also provide research, insight, and evidence to inform Council strategy and decisions including delivering on commissions with Birmingham Public Health. TAWS provide strategic support on Community Sport and Physical Activity for the Council and represent the authority on key projects including:

- Birmingham 2022 Commonwealth Games Community Legacy Fund.
- Sport England Commonwealth Active Communities Fund.
- Birmingham 2022 Commonwealth Games Sustainability Working Group.

- Representation for the City in the LGA Members Academy for Sport and Physical Activity.
- Other various strategic support and consultancy.

3.14 TAWS also works with the Council's department for Public Health to ensure that the strategy for an active city aligns with the work being undertaken across the system on the Local Delivery Pilot and Commonwealth Games. This includes best practice work around Proportionate Universalism and the wider determinants of health. TAWS also ensure that learning from the Local Delivery Pilot around active environments is woven into other Public Health considerations around the synergy between the Council resources (like sites) and the wider city green infrastructure i.e. bikes/parks/canals near to Wellbeing Centres.

3.15 TAWS have also provided the Council with continuous IT support for its Wellbeing Centres and Hubs, particularly regarding LeisureFlex management and maintenance, customer services support, leisure sites training and advising, data inputting, and providing performance and insight reporting. This will change in the future when the Council implements a new IT system, and this will be reflected in a revised funding agreement with TAWS.

3.16 As the Council's accountable body for the Sport England funded Local Delivery Pilot programme, TAWS has also secured further funding for it in two further rounds which the Council are hopeful will now extend beyond 2025.

3.17 TAWS have also collaboratively secured an additional £5 million of funding for partners in the city from a range of other sources including health, Department for Transport, Department for Education, Food for Life, DEFRA, NLCF, Direct Line, Cycling UK, and NHSE.D. Utilising their expertise TAWS will be looking to lead more consortia bids in the future that will bring additional funding to TAWs and/or to the Council.

3.18 The work undertaken by TAWS during the first 4½ years of the funding agreement supports how working with citizens to get them more active significantly contributes to tackling health inequalities and improves both overall life expectancy as well as life lived in health. Simply put, more physically active citizens are more efficient in terms of health, social care, and employability.

3.19 Building on the Council's partnership with TAWS to date, it is now proposed to extend the grant funding agreement for a further 5 years, subject to annual consultation with the portfolio holder on the proposed model of delivery, until 31st March 2028. The grant funding would amount to no more than £1.296m per annum, made up from a contribution of £0.996m from the Sports Service, and up to £0.300m from Public Health subject to the satisfactory achievement of annual Key Performance Indicators and targeting expectations.

3.20 If an extension to the grant funding is approved, then a variation to funding agreement would be developed with TAWS in conjunction with Public Health and the Sports Service. This would use the existing delivery model as a base but utilise the body of evidence that has been established to date to inform further

changes that will meet the ongoing delivery requirements within the available grant funding envelope. A revised set of Key Performance Indicators and targeting expectations would also be incorporated that better demonstrate the impact that the physical activity interventions are having on inactivity across the city. In turn, these would be used to inform any required changes over the term of the agreement, including outcomes arising from the future Sports and Physical Activity Strategy.

3.21 Utilisation of the annual £0.300m Public Health grant contribution is dependent upon maintenance of the grant and may be subject to reductions in line with changes to the grant allocation over the term of the TAWS agreement. Therefore, a revised set of Key Performance Indicators and targeting expectations would be used to benchmark TAWS performance and to determine the level of Public Health grant support allocated each year, up to a maximum of £0.300m per annum.

4 Options considered and Recommended Proposal

4.1 **To do nothing and stop all further funding** – This option was discounted as it would severely impact some of the key physical activity interventions that support the Council's statutory duties for public health, including the improvement of the local population's health by contributing to healthier lifestyles and mental wellbeing and reducing health inequalities, obesity rates and physical inactivity. Furthermore, stopping the provision would adversely impact areas of the City where health inequalities are highest, and the needs are the greatest.

4.2 **To procure an alternative provider** – This option was discounted as TAWS was established in 2017 for the very purpose of transferring existing staff and services to deliver a range of outcomes on behalf of the Council, with the benefit of increased autonomy via a participative community benefit structure. As a result, TAWS have the systems, capability, skills, and flexibility to deliver the required outcomes and represent the best value for money when compared to the market.

4.3 **To bring the services back in-house** – This option was discounted as the in-house preferred test was undertaken and demonstrated that this service is not suitable for delivery in-house. The Council no longer has the systems, capability, skills, and flexibility to deliver the required outcomes within the timescales, quality, and demand requirements.

4.4 Recommended Proposal – **To extend grant funding to The Active Wellbeing Society of up to £1.296m per annum for a further 5 years** – this is the recommended option based on value for money and TAWS being the Councils delivery partner with the appropriate governance, structure, and ability to deliver the required physical activity interventions that will serve to improve the local population's health by contributing to healthier lifestyles and mental wellbeing and reducing health inequalities, obesity rates and physical inactivity.

5 Consultation

5.1 Public Health have been fully engaged in the preparation of this report.

6 Risk Management

6.1 Extending the grant funding to TAWS will ensure that the Council remains in a strong position to deliver physical activity intervention in support of the statutory duties for public health, while also continuing to support the development and promotion of a physically and civically active lifestyle for citizens, by removing barriers to participation for those that are the most vulnerable or disadvantaged.

7 Compliance Issues:

7.1 **How are the recommended decisions consistent with the City Council's priorities, plans and strategies?**

7.2 **Council Plan Outcome 4 – Birmingham is a Great City to Live in:** Through its Sports Service Birmingham City Council strives to raise the quality of life and health of its citizens and to enhance its reputation as one of the UK's leading sporting cities. The city wants to work with organisations that support its vision for an excellent leisure service, by increasing participation, succeeding economically, and improving the health and wellbeing of the local communities that it serves.

7.3 **Council Plan Outcome 5 – Birmingham residents gain the maximum benefit from hosting the Commonwealth Games:** Through its Sports Service Birmingham City Council encourages citizens of all abilities and ages to engage in physical activity and improve their health and wellbeing. The city delivers high-quality sporting facilities for the benefit of our citizens.

7.4 **Delivering a bold legacy for Birmingham – An Aspirational City:** Through its Sports Service Birmingham City Council will use the Games as a catalyst for engaging young people in physical activity and ensuring children in care and care leavers are given the very best opportunities to partake in sporting and wellbeing opportunities.

7.5 **Delivering a bold legacy for Birmingham – A Healthy City:** Through its Sports Service Birmingham City Council will inspire and enable Birmingham citizens to improve and sustain their levels of physical activity and improve access to leisure and community infrastructure to increase physical activity opportunities for local communities.

7.6 **Birmingham Business Charter for Social Responsibility (BBC4SR) –** Some of the elements of social value delivered by the agreement are listed in 3.8 above and within the appended Birmingham Impact Report (2018-2022). As part of the new grant conditions TAWS will be required to set out their social value commitments in a BBC4SR action plan.

8 Legal Implications

8.1 Under Section 19 of the Local Government Act (Miscellaneous Provisions) 1976 the Council has the power to provide such recreational facilities as it thinks fit in its area and under Section 111 of the Local Government Act 1972 the Council may do anything which is incidental to the discharge of its functions

9 Financial Implications

9.1 The report seeks to approve a grant of up to £1.296m per annum to The Active Wellbeing Society for 5 years until 31st March 2028. Funding of the grant comprises two elements - £0.996m within the existing Sports Service Budget and £0.300m of Public Health Grant. The public health element is subject to delivery of specific key performance indicators in line with grant conditions. The level of grant provided could reduce within the 5-year period by way of 3 months' notice and a further cabinet decision.

10 Procurement Implications (if required)

10.1 There are no procurement implications from the recommendations in this report as TAWS will be funded by way of a grant.

10.2 **Performance Management** – The performance of TAWS against the standards set within the funding agreement will continue to be managed by the Sports Service Contracts Team.

11 Human Resources Implications (if required)

11.1 There are no Human Resources implications by extending the grant funding agreement.

12 Public Sector Equality Duty

12.1 There are not considered to be any adverse impacts associated with the recommendations in this report, as extension of the grant funding is not expected to have any material impact on the services already delivered.

13 Environment & Sustainability Assessment

13.1 An ESA has not been deemed necessary as this is a financial report with no sustainability/environmental implications.

14 Background Documents

14.1

List of appendices accompanying this report:

Appendix 1 - The Active Wellbeing Society's Birmingham Impact Report (2018-2022)

Appendix 2 - EIA

The Active Wellbeing Society - Birmingham Impact Report 2018-2022

Introduction

The Active Wellbeing Society was set up to support the wellbeing of citizens of Birmingham and promote a physically and civically active lifestyle and remove barriers to participation, especially for those that are the most vulnerable or disadvantaged. Our approach is grounded in meeting people where they are at and working with communities to tackle inequalities, build capacity and maximise opportunities towards improving wellbeing. We are committed to co-creation – working with, not doing to – and finding ways to support people in our communities to amplify their voices and take the lead.

We recognise that inequalities are highest where the need is the greatest, and that this is often the result of long-term wider systemic inequalities. Health inequalities don't exist in isolation and require a systematic and holistic response that goes beyond individual lifestyle interventions and resonates with the reality of everyday life. In Birmingham, inequalities are stark with 43% of people living in the top 10% most deprived households in the country. Deprivation is even higher amongst our younger population, with 51% of children (under 16s) living in the 10% most deprived areas.

Over the past 4 years, we have worked extensively with communities and partners to deliver meaningful engagement and interventions that disrupt and shift the balance of power so that communities have more of a say in their lives. We have moved from a narrow focus on physical activity to a wider wellbeing model that encompasses active citizenship to support and build community resilience and empowerment.

In response to the impact of the Covid-19 pandemic and ensuing lockdowns, we learnt how even more important it was to meet people where they are at, and that building relationships and trust are key through conversation, encouragement and shared experiences. We also learnt that this may take time to do and before people feel able to connect socially and get active, they may have other needs that need supporting to feel more able move to a next step, such as food and other living supplies, equipment, knowledge and guidance, as well as support for those who are not able to leave their homes or feel able to do so yet, to be active in their own homes with online activity sessions.

The following report sets out the key impact of our work across the city since TAWS was fully set up in 2018 and shows how we have developed from all our learning to where we are today. Within this, we specifically refer to the impact of our work in relation to our £1.2million grant from the council so far this year and why this work is so vital for the city, as well as the impact of the additional £90k funding we received during the height of Covid-19 pandemic.

Overall participation

Between April 2018 and July 2022, TAWS has delivered **22,469 free physical and social activity sessions** across the city in open green and grey spaces and community spaces. With **more than a hundred different types of activities** delivered over the years, including led rides, walks and runs, Bikeability courses, Zumba, walking football, Active Street closures, gardening, litter picking, family multi-sports, archery to name a few, we have worked with communities to ensure our offer is holistic and inclusive to all.

Through our work, we have engaged **360,158 participants** to date – i.e. total attendances in our activities. Prior to the onset of Covid-19 and the impact of ensuing lockdowns, we had been able to demonstrate our role in increasing physical activity amongst citizens, achieving a 54% growth in participation from 84,241 in 2018/19, to 130,121 in 2019/20.

As we emerged out of national lockdown and reducing of social distancing measures, we increased our in-person physical and social activities and increased our community delivery and development work to support our communities. Whilst the level of participation in activities back in the community is not yet back to pre-covid levels, similar to the national picture of physical activity, we were heartened to see just over 58,000 participations in our activities during 2021/22.

Participation by key demographic groups and tackling inequalities

We know there are communities in Birmingham who experience multiple and systemic barriers and inequalities, and we know that where you live and who you are is linked to opportunity and access, or the lack of. It is widely accepted that deprivation underpins almost all inequalities, and it is also widely understood that the deep-rooted inequalities faced by people from Black, Asian and minority ethnic (BAME) backgrounds mean that they are far less likely to be physically active.

Sport England's most recent round of its Active Lives Adult Survey, November 20 to November 21 provides evidence of the impact of inequalities on physical activity – the results showed that those from ethnically diverse communities, those living in more deprived areas, women, disabled people and people with long-term health conditions are still less likely to be active than others.

How we work is informed by Marmot's Proportionate Universalism (resourcing and delivering universal services at a scale and intensity proportionate to the degree of need) so that whilst our provision is open to everyone, **they are designed in such a way to bring in those that need them the most**. By staying true to our core values and principles, and not applying restrictive criteria and eligibility assessments, we can demonstrate that we have continued to reach some of the key demographic groups who face enduring inequalities and support them to stay active.

For example, the following table shows the proportion of total participation by each of the key target demographic groups, by financial year.

Key target demographic group	2018/19	2019/20	2020/21	2021/22	City average
Deprivation - IMD Quintile 1 & 2	70.9%	73.2%	90%	87%	79%
BAME background	44.7%	49.5%	43%	59%	42%
Female	63.6%	67.1%	69.8%	65%	50.1%

By focussing our work in the most deprived areas and ensuring all of our provision is free to access, we have been able to successfully engage people from the most deprived parts of Birmingham, based on the Index of Multiple Deprivation (IMD 2019). The proportion of people we have engaged from IMD Quintiles 1 & 2 (40% most deprived in the country) has increased year-on-year to 90% in 2020/21, before ending at 87% in 2021/22. The latter two financial years were particularly significant given that around 79% of Birmingham's population live in IMD Quintiles 1 & 2 – in other words, **our services have engaged proportionately more of our most deprived citizens than average.**

We experienced a growth in the proportion of participation by people from BAME backgrounds from year 1 to year 2, with 49.5% in 2019/20. After a slight dip in 2020/21 (largely as a result of other local community groups being more able to support the cultural needs and preferences of specific BAME communities in the emergency food response to the Covid-19 pandemic) we ended 2021/22 with more participation by people from BAME background, 59%, than from White background for the first time ever, and more than the city's average BAME population (42% based on ONS Census 2011).

Our ability to reach girls and women has also been consistent, with around two-thirds of participation by females on average. We also saw that 10% of the females we engaged in 2021/22 were age 10-19 years, mostly through our Bikeability, bike loan and led ride sessions - whilst slightly lower than the city average (13%), this is a positive impact in the right direction as evidence shows that adolescent girls are not getting enough physical activity. Indeed, a 2021 World Health Organisation (WHO) review of physical activity participation among girls between the ages of 10 and 19 found that globally, around 85% of girls do not meet the WHO recommendations of at least 60 minutes per day of moderate to vigorous and that urgent action needs to be taken to protect the welfare of the current generation of young people while safeguarding their long-term health. [1]

[1] Duffey K, Barbosa A, Whiting S, Mendes R, Aguirre IY, Tcymbal A, et al. Barriers and Facilitators of Physical Activity Participation in Adolescent Girls: A Systematic Review of Systematic Reviews. Front Public Health. 2021;9:743935. https://doi.org/10.3389/fpubh.2021.743935 or https://www.thelancet.com/journals/lanchi/article/PIIS2352-4642(19)30323-2/fulltext

Key activities and achievements

Our projects and activities have been wide-ranging over the years, supporting people of all ages from all backgrounds to stay active, connected and lead happier, healthier lives. Below are examples of some of our core areas of work and key impact and achievements within those.

Active Travel

Walking and cycling are great ways to incorporate physical activity into our daily routines, reduce emissions and improve the safety of our communities. We know that the cost of a bike is often the biggest barrier preventing people from cycling – so we help people to access bikes through loans and giveaways, as part of our Bike Project, including providing adapted bikes, trikes and e-cargo bikes. We also support people of all ages to learn to cycle through schemes like Bikeability and Learn to Ride.

We're now working with GPs and social prescribers to make bikes available to patients on prescription and promote cycling to more people in our communities. The success of the Big Bike Project has been recognised nationally, and we're working with local authorities across the country to share and promote our model.

Some key achievements and impact to date:

- **Over 7,500 free bikes distributed** to citizens across Birmingham from the most deprived areas.
- **44,000 participations at Bikeability courses** and **7,800 at learn to ride sessions**, teaching thousands of children and adults to cycle.
- **510 bikes maintained and individuals upskilled** through our Cycle Fix-It and Dr Bike sessions.
- Over **10,500 participations in walk sessions**, equivalent to 26,000 miles (*based on average walking speed of 2.5 miles per hour*)

Active Parks (and ParkLives)

Our Active Parks programme supports Birmingham residents to participate in a wide range of physical activities to improve health and wellbeing whilst having fun, all across our parks and open green spaces. Supported in part by the national Coca-Cola ParkLives programme (up till 2020), we have delivered a range of activities, working with residents to reimagine and repurpose how parks and open spaces could be better used. Activities are open and inclusive, including walks, Zumba, Tai Chi, tennis, walking football, Couch to 5k, family multi-sport sessions and many more.

Some key achievements and impact to date:

- **125,200 participations** supporting people to stay active and connected to others and their local green spaces.
- **125 different open green spaces and parks** utilised for the benefit of local communities.
- Up-skilling individuals to become community leaders and volunteers, many of whom went on to form groups that now meet themselves.

Active Streets

Active Streets takes a place-based approach to deliver a simple but radical act for a few hours at a time, showing that it's possible to turn a public road into a thriving community asset where people can engage in activity, build relationships and start a process of taking collective ownership of their local environment. The project works with communities to redefine the way we perceive our streets as a public space, supporting residents to work collaboratively to reimagine the purpose and potential of their local environment. Bringing activity to the doorstep creates an opportunity for people to come out of their homes, meet their neighbours and actively participate in a variety of interventions designed and delivered by them.

In recent years, we have worked with communities and partners to evolve the project and work with community facilities, such as libraries, schools and GP surgeries (Active Practices) to close their car park and open the space up to the local community to connect with each other and get active with a range of activities they have asked for, including cycling, street games, tennis and more. This year, we have also developed our Active Streets festivals model as part of the Commonwealth Games legacy work with the council.

Some key achievements and impact to date:

- **240 street and car park closures** across the city, with at least one per street.
- **17,600 people of all ages participating** and being connected and active.

Listen and Connect

The pandemic and subsequent lockdown restrictions made our mental health crisis in the UK much worse. During Covid initially we set up a **temporary telephone Befriending service** to offer support to people who might be in need of a 'friendly chat', providing emotional support and practical solutions. **This evolved into a permanent service area we added to our core offer in late 2020, 'Listen & Connect' -** a flexible and strengths-based community response to isolation, loneliness, social exclusion, health inequalities and physical inactivity, using meaningful conversation and connecting people to local resources and opportunities. We have managed to secure funding to sustain this service into the future.

We work with partners across the sector, social care, health and housing to connect people to the right support at the right time. As participants become more confident and able to progress from the phone support, we work with them as individuals or in groups to increase their social and physical activity, including facilitating listen and lunch sessions at our community cafes, and walking or cycling and talk sessions.

Some key achievements and impact to date:

- **816 individuals** have been supported through Listen and Connect to date, with nearly 200 of them also being referred to external organisations for further support.
- **6,915 calls** made to participants, resulting in **1,860 hours of telephone support**.
- **100 individuals supported through a pathway from phone to in-person social and physical activity sessions so far** (1 in 8 of those we are in contact with so far).

Community Food and Sharing

We work with communities and partners to develop and embed alternative food models and move towards a more communal approach. We work across the food cycle, from growing to repurposing food waste and cooking sessions, supporting people to develop positive and healthy food behaviours.

Over the years, and in particular during the pandemic, we have seen increasing levels of food poverty, with people of all ages going hungry. Whilst working practically with partners to redistribute food to those who need it, such as food parcels during Covid-19 and cooked meals at our community cafes, we also convene and facilitate networks for food justice, share insights and resources, and help influence the wider system to change and move closer to our ambition - that no one goes hungry.

As part of our sharing projects, we work with communities to share resources, time and knowledge through an asset-based approach to share skills, reduce waste and build community. We deliver a range of sharing events and develop 'Share Shacks' with partners – places where people can come together to share, borrow, and build.

Some key achievements and impact to date:

- **35 tonnes of surplus food cooked** into **62,019 nutritious hot meals** and served at our community cafes and Big Feed van at sit-down or takeaway meals, helping to reduce food waste.
- **20 volunteers** currently being upskilled to provide support at our three community cafes, located in our most deprived communities.
- **1,163 items borrowed** from our two Share Shack sites and numerous pop-up Share Shacks in the community (since September 2021), including sports equipment, DIY gardening tools, games, saucepans, sewing machines, and books, and encouraging people to reduce consumption and waste.

Holiday Activities Fund (HAF)

The government's holiday activities and food programme, through the HAF, provides support to children in receipt of free school meals (FSM) through holiday periods to provide free, consistent and easily accessible nutritious food, enrichment activities, and fun physical activities. Birmingham has over 100,000 children and young people in poverty and nearly 77,000 eligible for FSM - the largest FSM population in England.

As part of a consortium of four local partners, we successfully bought funding into the city and co-ordinated, supported and delivered holiday activity provision with food across Birmingham during summer 2019. Following our learning from this pilot year, we went on to deliver sessions for HAF in 2021, as part of a wider programme of multiple providers.

Some key achievements and impact to date:

- Around **900 sessions** were delivered in 2019 and 2020 by TAWS, with combined food and physical activities to support young people and their families.
- **16,243 total participations** at TAWS sessions.
- Reach of **2,800** unique young people in 2019 and **2,600** in 2020.

Brum Together – an emergency response to Covid-19

The Covid-19 pandemic impacted on our usual physical and social activities, with repeated lockdowns and ongoing social distancing rules halting most of our services throughout the year. In response to the crisis, TAWS swiftly designed a revised service offering, with the support of the Council and our key funders, Sport England and the Active Communities programme, and Our Health Partnership, to redirect some of the resources to this emergency response. This was collectively branded as #BrumTogether and consisted of 4 main pillars of work:

- Emergency food and supplies distribution
- Virtual Wellbeing online activities
- Telephone Befriending Service
- Positive Stories

Emergency food and supplies distribution

TAWS bought together and coordinated on behalf of the city, a community-based emergency food response which quickly grew to become a network of 85+ partner organisations during the height of the pandemic to provide food and emergency supplies across the city. From food parcels to hot meals, we and our partners collected/received, packed, cooked and delivered food to families to where they needed them, often at their home. We also acted as an intermediary between the food suppliers and local organisations, managing a central food warehouse facility to store and redistribute the food in bulk.

Some of our key achievements in this pillar during the main period of food distribution:

- **84,874 food parcels** packed and delivered to **48,629 households**
- **42,107 hot meals cooked** and delivered to households or distributed at community cafes.
- **2,423 bulk food order requests processed** and provided to community organisations to distribute – the **equivalent of 116,944 parcels.**
- A total of **1,053 tonnes food sorted and redistributed** throughout the city.

The Food Justice Network as it is now known, has evolved to around **150 organisations** to build on the work of #BrumTogether to tackle food needs. Its purpose is to enable a secure and fair food supply for all, ensuring that people in Birmingham have enough to eat and are able to enjoy a healthy, balanced diet. Furthermore, it seeks to campaign for and address the serious food poverty concerns faced in the communities by influencing the system/s they are in.

Food poverty existed before Covid and continues to exist across the world, and the cost-of-living crisis has only exacerbated the vulnerabilities and inequalities faced by some of our communities. As a response to need, we continue to provide free hot meals at our community cafes as a sit-down session or as takeaway, as well as through our Big Feed van to provide food outreach to communities.

Virtual Wellbeing online activities

To tackle the impact of lockdown on the ability to exercise and meet people, TAWS designed and delivered a free daily programme of live online physical and social activity sessions, hosted on our Facebook page and Zoom. This enabled us to continue supporting our communities to stay active safely where possible and maintain engagement with our existing members, as well as reach out to new audiences.

Working with our network of qualified instructors, we ensured we had classes to meet various abilities, audiences, and interests with an emphasis on 'having fun' rather than doing exercise, to promote and encourage activity, e.g., poetry workshops and yoga for beginners. We continuously used feedback from both participants and staff to adapt and diversify the offer, expanding into activities such as wild walks, mental health awareness, cooking classes.

Some of our key achievements in this pillar during 2020/21:

- **1,203 online video sessions** designed and delivered live providing 968 hours of content
- **987,500 minutes viewed** via Facebook
- **1,888 participations** for our closed Zoom sessions (*open live Facebook sessions are unknown as participation did not need to be recorded/registered*)

By taking the learning from this work and recognising that online sessions are still needed based on feedback from citizens, we have refined our Virtual Wellbeing model and now provide weekly live and recorded online sessions as part of our permanent core offer, to support people to stay active and feel less isolated at home. This ensures that we remain true to our values in meeting people where they are at and providing a holistic range of services that are inclusive to all.

Telephone Befriending Service

Our Telephone Befriending Service provided much needed contact and support for people who were isolated and alone, needing practical advice and support or signposting/referring to other agencies, or just someone to talk to. Often, our befriending staff were also encountering people with existing or growing mental health needs exacerbated by the crisis and with nobody else to turn to since other agencies/services had closed their doors as soon as the pandemic hit.

Common themes of support included isolation, loneliness, depression and anxiety, more severe forms of mental health including suicide support, debt/money advice, living well and staying active, Covid advice/guidance, and accessing practical support such as food, clothing, and shopping. This highlights how our befriending service was different to other traditional befriending phone services – rather than a one-off friendly chat, we stepped into a unique space of offering multiple areas of advice and guidance, crisis support and the ability to also directly connect people to other services internally (e.g. food or clothing and virtual activities) and externally (e.g. homelessness, housing and debt advice, social care, and mental health services, and help apply for benefits and grants).

This approach not only shows how we were able to co-create effectively with other agencies and communities but also amplifies how system change, as well as behaviour change brings wider resilience and value to the community. In being able to support people the way we did, we saw how people built up trust in us to talk about their fears and needs. Reaching out and asking for help is not easy and that trust placed in us encouraged us that we were doing the right thing.

Some of our key achievements in this pillar during 2020/21:

- **6,038 residents supported** through our telephone befriending service.
- **14,845 outgoing calls made**, providing **5,640** hours of telephone support.

The temporary befriending service was refined and evolved after listening to the needs of our communities and seeing how much conversation and connection can benefit people in many ways. This is now known as the Listen and Connect service, a permanent service in our offer as described above.

Other achievements and impact during 2020/21 in response to the pandemic:

- **21,742** incoming phone queries answered by our call advisors = **1,200 hours of phone support**
- **80,000 items of essential and dignity supplies**, such as cleaning products, toiletries and sanitary products, and **2,000 children's activity packs** packed and distributed to households.
- **82 free bike loans** to key workers supporting them to travel, stay healthy and save money.
- **20 people trained & 15 e-cargo bikes provided** to other organisations to support their services.
- **6.2 tonnes of donated clothes sorted, packed and redistributed to 2,336 people** as well as bulk supplies to other agencies.
- **£354k equivalent of annual income maximisation** gained for **440 people**, through joint-working BCC NAIS by TAWS referring food recipients to NAIS for benefits advice.
- **1,308 volunteers recruited, trained and supported**, resulting in **25,580 hours of volunteering support given – the equivalent of £399k of value** (based on UK median hourly salary).

Finally, we also worked alongside key stakeholders of influence in the city and together bought changes the system and amplify the need in the city and helped turn funding towards the emergency response. From this, TAWS was able to leverage new additional funding such as from Direct Line, DEFRA and National Lottery to further increase our food and emergency supplies capacity. Furthermore, we also leveraged additional capacity and resources: free use of Aston Villa Football club through the Foundation for Wear and Share warehousing and distribution hub; free warehouse space from The Custard Factory / Digbeth Estate team for our food work; and free use of Aston University student union building as the food stock and distribution hub for a few months, as well as volunteering time from their students. West Midlands Police also provided additional volunteering support via their police staff to provide practical support such as shopping and food delivery.

Impact of additional funding from BCC to support Covid-19 pandemic

During the height of the pandemic between 2020-2021, TAWS received additional funding totalling £90,000 from the council to support our emergency response across the city – this was received in three instalments of £50k, £30k and £10k over the period. This contributed in part to a variety of activities and support, including:

- Playing an important role in co-ordinating the food distribution response and being the BVSC lead for food resilience in the city. This includes operating a live daily emergency support call centre that also provided referral, signposting and advice, connecting citizens to wider support.
- Managing and co-ordinating a central food distribution hub for the city, with costs including management and support staff, hiring a qualified forklift driver, purchasing carriers bags and other items to pack and distribute the food.
- Sourcing food from other suppliers aside from Fareshare/MSK and ensuring a secure and fair food supply for all citizens.
- Managing and co-ordinating over 1,000 volunteers to support numerous roles including food warehouse support, packing, driving and delivering.
- Co-ordinating and creating daily driving routes for all the food/supplies drivers, involving a number of staff working 7 days a week in the evenings to prepare routes for the next day.
- Managing and processing around 2,000 bulk food order supplies for other organisations in the city.
- Co-ordinating the Food Justice Network (FJN), including operating a live database, regular meetings, providing information, and mapping the city's food banks and supplies network for public use. This also includes engagement with faith, community and voluntary organisations and connecting them to food distribution and contributing to the wider food poverty agenda in Birmingham in line with FJN model, and examining alternative ways that organisations can contribute to food poverty.
- Data monitoring, processing and reporting for all aspects of the food distribution, provide weekly information and insight to the council.

Additional support provided outside the scope of the original agreement, and therefore added value to the above:

- Providing call centre support to BCC when their contact centre closed during holiday periods – TAWS' given as main point of contact for emergency supplies on the council's answer message and website.
- Working with the council's Neighbourhood Advice and Information Service (led by Mike Davis) by identifying and referring residents to the service for benefits and finance advice - this led to approximately £354k of income maximisation for 440 Birmingham residents.

Inspiring resilient communities and active citizenship

We work with communities to disrupt and shift the balance of power, hearing all the voices – the mainstream and the marginal – and enabling local people to have more of a say over what happens in their areas and lives. Active Citizens feel more connected and more powerful – they have a greater sense of agency and self-efficacy; they feel more able to make a difference and be agents of social change. This shift in power can lead to increased activity, increased involvement, and more resilient communities.

Volunteers

We know that volunteering makes a significant contribution to society, helping to build safer, stronger communities and promote activity through civic engagement. Throughout all our work we look to find ways to support people in our communities to take the lead – such as organising street closures as part our Active Streets work, delivering supplies, serving food and welcoming people to our community cafes, leading running, walking and cycling groups, telephone support, gardening and much more.

Volunteers are integral to TAWS and none more so than during our emergency response to the pandemic. For example, compared to pre-covid, our volunteer network grew from around 100 people to over 1,300 individuals during 2020/21. We have a dedicated volunteering team to manage and administer our volunteer network and opportunities to link them to.

Since 2018, we have:

- Worked with around **1,500 individual volunteers,** supporting and developing their skills to support their communities, with many going on to find employment either with TAWS or elsewhere.
- Gained approximately **40,342 hours of volunteering support,** at an estimated value of up to **£564k worth of time donated** (based on UK median hourly salary at per year).

Co-operative members

We have also been on a journey to create a more participative governance structure, enabling people in the communities we work with, as well as those who support our aims, to become members. Members play an important role for us, helping us to live up to our vision and mission, as well as our commitment to the seven cooperative values: self-help, self-responsibility, openness, democracy, equality, equity, and solidarity.

- To date, we have **151 co-op members**, of which **127 are community members and 24 are staff**.

Training and employment

Building the world we want to see will require lots of people working with different skills and experience. We support people to access training, volunteering and employment opportunities, particularly for those who are traditionally underrepresented or excluded. As we continue to the see the increasingly devasting impact of the cost-of-living crisis, on top of the Covid-19 pandemic effects, we're even more passionate about supporting people to develop skills to be able to support themselves.

Our workforce

Over the four years, we have grown quickly and expanded our workforce to support our wide-ranging projects. From an initial small organisation with a head count of about 30 employees back in July 2018, we now employ over 140 individual staff, providing the full-time equivalent of 103 staff. This shows how we have evolved into an important employer in the Birmingham region. In particular, we are proud to provide employment and development opportunities to those who live in the most deprived communities, with **73% of staff who live in Birmingham residing in IMD quintiles 1 and 2 areas.**

Additionally, in the last 6 months we have provided permanent employment to three residents of Birmingham who began their journey with TAWS as participants of our services. As participants and then volunteers, they have worked with the organisation and recently become employed by them.

We also provide temporary, flexible employment opportunities throughout the year for sessional contract staff to support the delivery of our outdoor and online virtual activities.

Project Brum and Kickstart

Our annual youth employment programme offers young people aged 16-24 the opportunity to support community projects through paid work experience. We recruit, train and mentor young people throughout the summer months and develop their skills across a wide range of delivery areas and functions. We also support work experience opportunities, including apprenticeships, internships and Kickstart placements. We are keen to grow from within and support those who come through these schemes to gain employment with us whenever possible.

To date we have:

- Employed and developed **259 young people** through our Project Brum scheme, and **17 through Kickstart.**
- Provided permanent and stable employment to 21 young people from the above Project Brum / Kickstart schemes, offering either longer term fixed contracts or permanent roles in TAWS.

Supporting the legacy of Birmingham 2022 Commonwealth Games

We have been committed to working with the council and partners on ensuring that the Birmingham 2022 Commonwealth Games (CWG) capitalised on the opportunities to use the inspiration of a major Games on home soil to help build more active communities. We have supported two main projects across the city, as well as directly informing the Sustainability Working Group of the CWG, to focus on identifying tangible legacy opportunities for communities post-Games, as described in further detail below .

BCC Community Legacy Fund

We are working with the council's Birmingham 2022 Commonwealth Games team as part of its Community Legacy Fund for physical activity, which provides an opportunity to promote the importance of physical activity and wellbeing and the huge legacy benefit they can provide to tackle inactivity and improve the health and wellbeing of our citizens. It is also an important opportunity to use the power of the Games to promote physical activity as a way for people and communities to connect, and to help highlight and begin to address the barriers that prevent people from becoming physically active.

As part of this work, we have been delivered 70 Active Street Festivals, bringing the Commonwealth Games to the doorstep. We facilitated road closures across the city, upskilling and enabling local residents to reimagine the use of their local streets and host Active Streets festival events, incorporating physical, civic and creative activities. We have also specifically recruited young people across the city as part of our Project Brum scheme to work on this project, providing a range of training and development to work across a range of activities and role.

We have:

- Delivered ***70* Active Street Festivals closures and open space festivals**, including two outdoor FlatPack cinema experiences in local parks to over a thousand local residents.
- **Employed and upskilled 44 young people** who worked on this project**.**

Sport England Commonwealth Active Communities Fund

The Commonwealth Active Communities (CAC) programme focuses on supporting people to more active and to help to tackle inequalities in the most deprived wards. It is a major contributor to the ambition of the Games to improve health and wellbeing and to the evaluation research questions around how the Games has improved levels of activity amongst the most inactive communities, accelerated mental health awareness and increased levels of walking and cycling.

TAWS was part of a consortium that successfully bought in £1million of funding from this programme to Birmingham, by providing strategic consultancy and input to the bid, including demographic profiles and insight. As part of the delivery of this, which will involve a number of local organisations, TAWS will

specifically be providing programme support and interventions including walking, health engagement and green social prescribing, and cycling and bike maintenance activities.

CWG Sustainability Working Group

Our Sharing Team have been working with the Circular Economy Action Group, one of three groups feeding into the overarching Sustainability Working Group as part of the CWG, to focus on identifying tangible legacy opportunities for communities post-Games. Historically, equipment, furniture and other assets have been sold off after previous CWG to generate income back to the CWG as part of their dissolution strategy. With the support of Sport England, we provided insight and learnings to influence the system and successfully negotiate for equipment to be donated to us to share with communities.

For example, we were donated:

- **2 vans which were used by the CWG teams.** These will be converted into mobile Share Shacks and take support direct to communities across the city in locations of high need by providing household items and equipment for free loan and activities that upskill and empower citizens.
- **Over a thousand items of sports kit and equipment and other practical items both used and unused from the Games, to redistribute to communities via our Share Shacks.**

We are now working with Sport England and the Commonwealth Games on a feasibility study for a Share Shack in the west of the city to be funded as part of the CWG legacy which will be in place by the end of the financial year.

Management of Birmingham and Solihull Local Delivery pilot programme

Active Communities is a Sport England funded Local Delivery Pilot testing a range of interventions across six areas of high need in Birmingham and North Solihull to help people live active lives. It is a 'test and learn' programme, which aims to foster relationships and connections which become self-sustaining and tackle inequalities and remove barriers to better enable the least active people to become active, healthy and happy. The programme explores the positive link between civic and physical activity and works to change the systems around us, so they work better for our communities.

TAWS is the accountable body for the programme, working with partners to ensure its impactful and effective delivery against a set of outcomes for communities in the pilot areas. As part of our management role for the programme, we have responsibility for and deliver the following key activities:

- Employing and hosting a team of core programme staff including its Programme Director and Programme manager to lead the programme, and a number of staff for project management, governance, marketing, and learning.
- Programme governance to ensure that there is robust and effective programme management and delivery of contractual requirements.

- Membership of its Core Steering Group to direct and be part of key decisions-making and budget and risk management.
- Project management of interventions, supporting and developing partners.
- Ensuring the budget is maximised and additional funding leveraged, and work with communities for their benefit.
- Programme evaluation and reporting and working with the national evaluation body to ensure robust processes and learning.
- Sharing and wider dissemination of the learning and value of the programme to various stakeholders locally and nationally, and system influence and change.

Partnership building and strategic capacity

As well as providing practical interventions in places across the city and nationally, TAWS is increasingly providing capacity to partnerships and working to provide strategic capacity to other organisations locally and nationally. Through learning from the work that we do, as well as experience of working at a local, regional, and national level TAWS has a range of perspectives of the sector that prove invaluable for partners when informing the development of the sector.

Examples of this work include:

- **Representation for the city in the LGA Members Academy** for Sport and Physical Activity Portfolio holders. The academies, run by Sport England and the LGA, provide elected members with best practice guidance on a range of issues related to their work. For the last 4 years, TAWS Chief Executive has lead a session within the academy about working with communities and tackling inequalities, based on the work being undertaken in Birmingham.
- **Representation for the city in the LGA Officers Academy** for Sport and Physical Activity Senior Officers in Sport and Physical Activity nationally. The academies, run by Sport England and the LGA, provide senior officers from the sector with best practice guidance on a range of issues related to their work. For the last 4 years, TAWS Chief Executive has lead a session within the academy about working with communities and tackling inequalities, based on the work being undertaken in Birmingham.
- **Convening networks**: TAWS works closely with a range of partners across the city to bring interested parties together to work collaboratively on issues of social and civic change. These networks include the Food Justice Network; Growing Network; holistic interventions – social prescribing.
- **Strategic support and consultancy:** TAWS has provided strategic consultancy for specific pieces of work in the city and nationally. This work has included policy development; team and capacity building; peer audits; service reviews; service planning and business planning.

- **National networks:** TAWS has secured commissions to represent Birmingham at a national level, most recently with the work on the national social prescribing framework and also with the Active Travel framework.
- **Capacity building:** TAWS has worked with partners across the city to bring in additional funding and resources to further develop communities. This support includes: providing funding support to 3rd sector organisations; applying for and securing funding on behalf of other organisations (the BCC parks department for an intervention in Quinton for example); supporting organisations to develop through collaborative partnerships (Saheli, St Pauls, Spearhead Trust etc).

Wellbeing centre and hub support to maintain service provision

TAWS' IT and Systems team have provided continuous support to the council's leisure sites, particularly for LeisureFlex management and maintenance, customer services support, leisure sites training and advising, data inputting, and providing performance and insight reporting. Specifically, over the past four years, the team have been responsible for the following example activities to ensure the smooth operational running of the council's Wellbeing Centres and services.

LeisureFlex management and maintenance

- Amendments to site programmes consisting of casual tickets, casual bookings, block bookings, 12 weekly courses re-enrolment for swimming and gymnastics, and online bookings.
- Annual Price increase work.
- Management of Direct Debit customers, customer queries via telephone, phone calls, Monthly Direct debit runs, income report writing.
- Leisure card application forms data input (in the tens of thousands)
- Leisure Card orders processed through Panacea, ensuring correct numbering sequence in line with previous orders, artwork.
- Housekeeping on all data held within LeisureFlex

Be Active Plus / GP referrals

- Management of GP Referrals input on N51 system.
- GP surgery enquiries and advising on referral process and completing forms.
- Reporting on referrals and performance.

Leisure sites training, development and systems management

- Implementation/management of Chip & pin devices across all leisure sites.
- Management of site hardware, chip & pins, slip printers, swipe card readers, till drawers.
- Training of leisure staff on systems and hardware.

Customer Services

- Management of Direct Debit customers, customer queries via telephone, phone calls,
- Daily management of the BCC General enquiries line.
- Calls from LF members and sites staff about activities and closures and cancellations/ issues with memberships.

Reporting and expert advice and guidance to BCC

- Providing support to BCC on PCI Compliance, LeisureFlex infrastructure discussions with BCC IT&D, Neighbourhoods Business Application – Revised Service Levels meetings.
- Reporting writing – LeisureFlex Income & Attendance, N51 data (Be Active Plus), ad-hoc data requests.
- Advice, guidance and input to BCC wellbeing service management / ops meetings.
- Initiate planning for reopening of sites after lockdown and booking system working with Omnico and sites.
- Daily online banking and income distributed across sites and income posting support to Voyager.

Furthermore, in the last 6 months our IT and System manager has played a pivotal role, and continues to do so, in supporting the Wellbeing Service in its work to transfer to a new leisure membership and data system, providing expertise and guidance. This has to date involved:

- Weekly project meetings, training, scoping sessions, and emails with around 120 hours in total.
- Scoping out the needs of the business with various BCC personnel including Gladstone Project Team, BCC Finance and BCC ICT & D.
- Working directly with Gladstone Leisure on System Spec scoping.
- Attendance of System scoping and training days with Gladstone Leisure for various Gladstone modules, Gladstone360, Plus2, GoJoin, GoBook, Sisense reporting and Impact.
- Transfer of Leisure management programmes, financial extracts through FTP systems directly to Gladstone.

Research, Insight and Evaluation

Our highly experienced research, insight and performance teams provide valuable knowledge and insight for the city, amplifying the lived experience of some of our most deprived citizens with robust evidence and insight based on this. We use the knowledge and insight collaboratively with partners to create a shared narrative on wellbeing issues for our deprived communities. Examples of our work informing strategy and decisions are highlighted below.

Wellbeing Centres and Hubs Consultation 2018

TAWS supported the council to design, facilitate and evaluate a public consultation survey as part of its wider consultation on its wellbeing centres and hubs. As part of this, we helped scope and design a survey with the Wellbeing Service management team, promote and distribute it to citizens, input data

from around 500 paper copies of the survey and analyse and write a report on the findings. This supported a council review of the facilities and provide evidence for a subsequent Cabinet report and recommendations around the future of the leisure sites.

Insight and evidence to inform council strategy and decisions

We provide regular reports and insight, including monthly and quarterly performance reporting against our grant agreement, to support the council's understanding of the needs of our communities, evidence of its impact on the health and wellbeing of citizens and enable effective decision-making.

During the Covid-19 pandemic we provided weekly data and insight on the need for emergency food and support and impact of covid, from both our work and work of our partners so that the council could make quick effective decisions on processes and budget and also inform central government on the impact of covid. We demonstrated the value of our expertise and our robust data and insight, when perhaps local information about need and impact was not readily available from other sources.

Furthermore, we have worked with other departments of the council to provide research and insight capacity to support and inform its work, including delivering on commissions with Birmingham Public Health around its Seldom Heard agenda and facilitating focus groups on topics of Physical Activity, Digital Exclusion and Food Strategy.

We also supported the council in its ambition to shape the approach to creating a positive discussion with communities regarding pregnancy and ultimately reduce infant deaths across the City, by providing a Community Researcher Training course. We trained 7 women from BAME backgrounds to acquire the skills and abilities to undertake research with women from their communities, capture insight around their experiences of pregnancy and act as a community resource, engaging with public services and sharing views of the community and facilitating a two-way conversation.

Impact of our grant funding of £1.2million so far this year

We continue to support our communities, working with them where they are at and providing a mix of telephone support, virtual sessions, and in-person activities. Based on the key deliverables for our £1.2 million grant funding from BCC for 2022/23, so far we have achieved the following in quarter 1 & 2:

- We have had 19,573 participations across our Active Streets, Bikes, Active Parks, Walking and Running, Outreach Services and Virtual Wellbeing Being activities within this funding agreement (with a further 12,861 participations from our activities not within this agreement).
- We continue to reach our disadvantaged and vulnerable communities, with 82% of participations by residents in IMD Quintiles 1-2 (Birmingham rate is 79%) and 75% from BAME backgrounds (Birmingham rate is 42%).
- We have been working with a number of partners to develop tailored sessions to support groups including Cerebal Palsy Midlands, Sifa Fireside, GPs and Community Cafes. The Royal Orthopaedic Hospital have included our programme in their GetUBetter platform that provides

24/7 self-management support, so people trust their recovery and are only re-directed to healthcare services when necessary. This means healthcare systems can provide a digitally enabled MSK pathways across the whole pathway, which avoids silos of care and prevents over treatment. We are also receiving acute referrals from Heartlands Bariatric Team into our seated exercise groups.

- We have worked closely with colleagues in transportation to secure the Active Travel Fund to deliver 500 bikes since late 2021 and focused our giveaways from April onwards.
- We are working with colleagues from Strategic Sport in BCC to lead and support the Commonwealth Active Communities programme. We have secured funding from Sport England to deliver various interventions across 5 wards in the City and both BCC and TAWS sit on the steering group.
- The funding secured as part of the Future Parks Accelerator programme with Public Health and the Parks department ended in during the first quarter after we had undertaken a series of consultation events with the communities around the priority parks. Funding has been extended for this programme until 2023, so we are working closely with Public Health and the City of Nature Alliance group to see how the work can be supported.
- We are linking with Public Health in relation to CPD and green social prescribing for link workers, looking at how we embed connection to nature and green social prescribing into the role of Birmingham link workers.
- We have linked with weight management and smoking cessation leads to ensure that the pathways into commissioned services are part of primary care delivered programmes of work.
- From July 2022 we secured funding from the Rugby Football Union's (RFU) Commonwealth Games legacy funding to pilot a walking rugby on prescription programme with two local rugby clubs and the community. Working closely with the RFU and the local club we are creating a pathway and referral process to access walking rugby for older adults who have long terms health conditions.
- We have worked closely with the council to develop initial proposals for strategic support and have had preliminary discussions with BCC officers about the scope of work we could undertake, including but not limited to the development of a Sport and Physical Activity strategy.
- Whilst not part of this grant specifically, we continue to manage and co-ordinate a network of volunteers across the city to support our activities and empower them through training, development and opportunities. So far, we've had 3,029 hours of volunteering time, which is equivalent to a value estimated between £28,776 (national living wage) and £44,738 (ONS median hourly salary for full-time employees).
- We understand the importance of engaging our communities in multiple ways, and our digital presence is vital in reaching citizens and organisations. Our digital reach and engagement remains high, and higher than levels pre-covid – for example our reach is 550k in Q2 compared to 485k in Q4 of the year before covid.

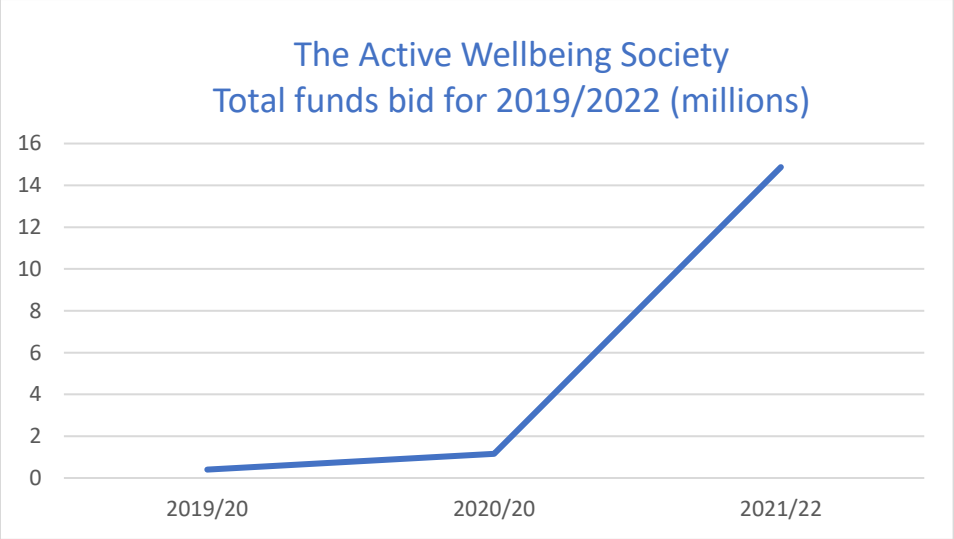
Funding and added value

In addition to providing added value to Birmingham City Council's core service contract, our status as a not-for-profit organisation allows us to lever in funding from sources not available to Local Authorities. Over the last four years TAWS has grown dramatically in size and more than doubled its income.
We have continued secure additional funding for the city, and for example we have finally secured over £10 million from Sport England for the Active Communities programme for Birmingham and Solihull, shared out across a range of delivery partners in the sub region. While this programme was initiated while in the Council, TAWS has secured further funding for it in two further rounds, and we are hopeful that this programme will now extend beyond 2025.

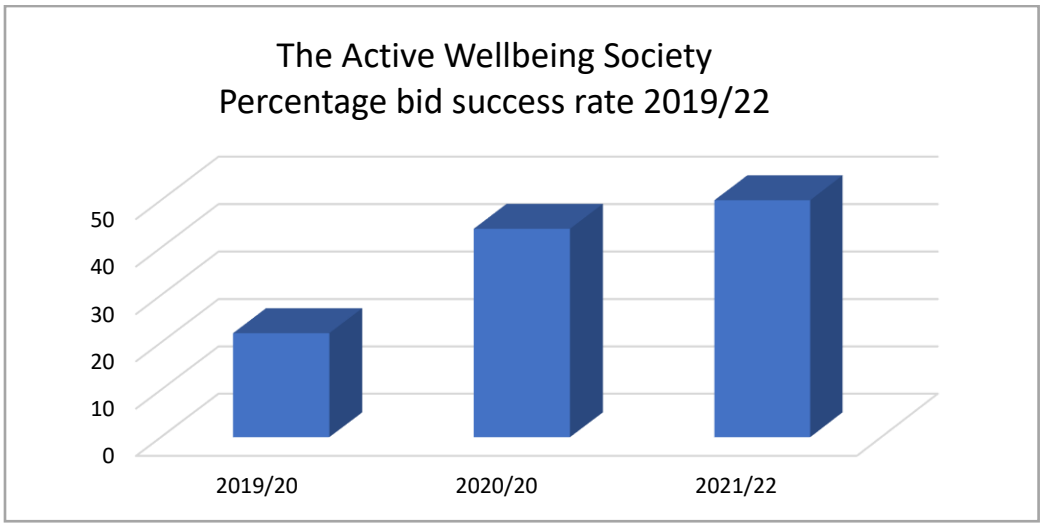
We have also secured an additional **£5 million of funding** for partners in the city in collaboration with us from a range of other sources including health, Department for Transport, Department for Education, Food for Life, DEFRA, NLCF, Direct Line, Cycling UK, and NHSE.

This trend has continued during the current financial year. From March to September 2022 we have secured an additional £587,644 with a further £101,939 still in the process of evaluation. We also have a number of large opportunities in the pipeline that we are confident will make this year another successful year for the charity.

Along with amount of funding we have secured we have built a strong and effective funding team whose success rate has increased dramatically over the last three years. This year we will extending this expertise to other local partners as we expect to lead more consortia bids that will bring additional funding to TAWs /or to the City.



TAWS is not only bidding for more funding , we are securing a greater percentage of the opportunities we bid for. Our bid success rate has more than doubled in three years and is now above the average success rate for charities of a similar size.



Finally in terms of qualitative added value TAWS brings strategic added value to Birmingham's reputation by undertaking consultancy and advisory work in other parts of the country. This has spread our strategic reach and made Birmingham a national centre of expertise for active wellbeing.

Looking Ahead: Making the Case for Future Funding

We are very aware that covid recovery and impact continues, and for many, the impact has been long-lasting and has exacerbated inequalities, and new challenges emerge with the cost-of-living crisis. Recent results from the Census 2021 shows that Birmingham continues to experience high levels of deprivation, with 59.6% of households in Birmingham were deprived in at least one of the four dimensions of deprivation, compared to 51.7% for England and Wales (households are considered to be deprived if they met one or more of four dimensions of deprivation based on employment, education, health and disability and housing conditions).

At a local level, four of the top ten middle super output areas (MSOAs) with the highest percentage of households deprived in at least one dimension are in Birmingham, with Sparkbrook North in Birmingham having the highest proportion of deprived households across all MSOAs in England and Wales (78.7%). This is followed closely by Saltley East (77.8%) and Washwood Heath (77.2%) – and all three of these areas are in the east of Birmingham.

We have been heartened to see the many ways the communities we work with have demonstrated their resilience during times of uncertainty and great change. We continue to provide the support to encourage and motivate our communities, recognising that it is important to stay with them where they are at, and still provide services such as telephone support and virtual sessions, alongside our increasing in-person physical activity and social groups offer.

Food and Fuel Poverty

TAWS is already looking to the challenges of the future. The most immediate challenge we face will be the food and fuel crisis coming this winter. We already have community food projects in place to distribute both sit down and takeaway meals to deprived communities across Birmingham. TAWS have community venues in areas such as Ladywood and Tyesley which are available for use as heat banks in the winter for the most deprived and isolated citizens. TAWS are working closely with the city and the Financial Inclusion Partnership on the development of the **Warm Welcome Hubs** and the management of the network. TAWS are also working closely with Public Health colleagues about an emerging waste food initiative across the city this winter.

Continuing to demonstrate a pathway to activity

Building on the work of the Active Communities programme to date, TAWS would like to continue its work with BCC to demonstrate a pathway from inactivity into physical and social activity that would help to mitigate the impact of Covid and the Cost of Living Crisis on those in the most need and reverse the current trend in a downturn on inactivity for those in the most need.

We have capitalised on new funding streams, having demonstrated networked, fast paced and responsive solutions to need as it emerges in our communities. We have also demonstrated continued, considerable influence and impact in the wider system that we work within.

We've built some incredible partnerships and worked together to achieve significant system change and impact. We will continue to work with partners to show how the sharing and distribution of power and leadership, with priorities determined from the bottom-up, can really work to ensure that communities are supported, and that resilience is built.

During the Covid-19 pandemic, we showed up and pitched in – negotiating this period of crisis and heightened anxiety with bravery and integrity. It would have been easy to turn away but instead we embraced our principles of staying with communities and responding to need.

Evidence base that drives what TAWS should deliver under the new agreement

When the original business case was put together for The Active Wellbeing Society, it accompanied the Cabinet Report that sought agreement for the establishment of the new organisation and the TUPE of existing services from within the Council. At that time, there had been a move from Sport Development to an understanding of the contribution that Sport and Physical Activity contribute to solving some of the structural health and social inequalities. Work had been underway to reimagine the Sport and Leisure Service as a Wellbeing Service, one that spoke to the Five Ways to Wellbeing.

Working with citizens to get them more active does much to contribute to tackling health inequalities and improving both overall life expectancy as well as life lived in health. More physically active citizens are more efficient in terms of health, social care, and employability. Initially the work around wellbeing centred on a health lens, but this soon opened out and to wider wellbeing focus and includes mental health, active citizenship, and increasingly now, system shift.

As a result of the work we have undertaken in Birmingham and increasingly in other places over the last 5 years, we now have a body of evidence that shows the efficacy of the interventions we undertake with

citizens and communities, as well as confirming the approaches that we take to the interventions, the **how** being as important as the **what**.

Our evidence, cleaned over the last 15 years now shows that:

- **Civic and physical activity are closely aligned -** there is now clear evidence to show that there is a translation between civic and physical activity that is mutually beneficial and that works both ways. Civic activity can lead on to greater levels of physical activity, and being physically active can lead onto greater levels of civic activity. There is also evidence to show that working in this way, to co-produce greater physical and civic activity has a beneficial impact on the resilience in the communities where this is happening. There is also early evidence to show that this can also lead to system shift in accountable public bodies working with them.
- **Place based working**, undertaken through the lens of distributive leadership and co creation **delivers great results on the ground** for those in the most need, both qualitatively and also quantitively.
- **People engage with what they help to create –** where services have been delivered in cocreation and coproduction with communities, there has been greater engagement and retention than in services delivered top down.
- **By working in this way, we are consistently getting in those that are in the most need**- demographic data from those participating confirms an over representation of those in the most need, those from the most marginalised communities.

Increasingly we are seeing that the journey to physical activity has got harder (for those in the most need) since COVID started - we have been able to demonstrate a pathway from contact to physical activity intervention that doesn't start, but does end up with, physical activity and that this is more successful in its outcomes than more traditional forms of sport development approaches.

We have demonstrated that by working closely with those in the communities in the most need, by understanding their journey to activity and the barriers that they will face along the way, by working with them to remove or mitigate those barriers, starting where they are at, we have been able to significantly increase the levels of physical activity in communities that would usually have experienced very low levels. We have been able to show how physical activity is a possible problem solver for a wide range of social issues, and we have been able to demonstrate how physical activity can be delivered in ways that repairs some of the fractures in communities, enhancing community cohesion and also provoking system shift in the sectors around those communities.

What else should/ could be delivered above and beyond the current agreement and within the proposed grant amount

While not within the original brief for the outsourcing of the Wellbeing Service, TAWS is clear that we could also be commissioned to work in a number of related ways to support the work of the Council or in fact to increase the scope and depth of the current contract. Areas for further potential commissioning, or an extension to the contract, could include:

- Place based working support for those communities in need. The BCC approach around some of its placed based working links Locally Trusted Organisations (LTOs) together through the Neighbourhood Network Scheme (NNS) structure. TAWS would be able to work collaboratively with the NNS LTOs to ensure that there were consistent and systematic approaches to the work of the NNS organisations, as well as a suite of city wide interventions that we know work, in addition to the including how we engage with the NNS structure given that we work across whole city and beyond that. We are able to support system shift work, as well as link the work of the NNS LTOs to best practice around routes to Physical Activity.
- LTN and active travel – how do we help BCC to do more of this strategically, especially related to some of the community engagement and behaviour shift that is necessary. We now have significant expertise in shifting views and behaviour in communities that experience scarcity.
- Civic engagement and research – increasingly we have developed significant expertise in this area, and would welcome the opportunity to do more of this with the Council to inform policy development and approaches
- There is also scope for ongoing IT and platform support for BCC, including Direct debits, Be Active plus referrals, consultancy and so on.

Summary

As we look ahead, with more uncertainty to come, we will continue the journey with communities, responding to their needs and working together to become more active and connected. We are determined and focused on continuously building on our learning and play our role in supporting and working with our communities, to empower them to be active citizens, and amplify their voices and lived experiences.

We are continuing to support communities in most need and experiencing the highest levels of health inequalities and barriers across the city, to access free physical and social activity. At the same time, we have also stepped into new areas of work that both continue our overall aim to support our communities to co create wellbeing solutions that improve lives and tackle inequalities, and also to influence the wider system from within. We have shown that we listen to our communities and learn and adapt what we do according to need.

Going forward we hope to grow our services to further address the challenges faced by Birmingham citizens. We offer a unique delivery pathway based on Co-design and Co-production of services with our beneficiaries/communities. We believe we can expand this service further to look at areas such as employability, learning, and youth support. We are hoping to provide opportunities for young people, particularly in East Birmingham, around employment, training, mental health support. However, this will not be at the expense of the core values we hold. TAWS start where people are at and work *with* them to identify and tackle the barriers that stop them from being physically, socially and civically active, and take a whole system approach that supports a shift of power to communities.

Ultimately the work that TAWS does for the Council could be scaled up to deliver more widely and deeply, with additional funds allocated in line with the additional delivery. We would be very happy to discuss this further at any point in the anticipated future contract.

Title of proposed EIA	Grant Extension to The Active Wellbeing Society (TAWS) for Future PA Interventions
Reference No	EQUA1031
EA is in support of	Amended Service
Review Frequency	Annually
Date of first review	01/03/2024
Directorate	City Operations
Division	Neighbourhoods
Service Area	Sports Service
Responsible Officer(s)	☐ Paul Walls
Quality Control Officer(s)	☐ Leroy Pearce
Accountable Officer(s)	☐ Dave Wagg
Purpose of proposal	To extend grant funding to TAWS for future PA Interventions
Data sources	relevant reports/strategies; relevant research
Please include any other sources of data	
ASSESS THE IMPACT AGAINST THE PROTECTED CHARACTERISTICS	
Protected characteristic: Age	Not Applicable
Age details:	
Protected characteristic: Disability	Not Applicable
Disability details:	
Protected characteristic: Sex	Not Applicable
Gender details:	
Protected characteristics: Gender Reassignment	Not Applicable
Gender reassignment details:	
Protected characteristics: Marriage and Civil Partnership	Not Applicable
Marriage and civil partnership details:	
Protected characteristics: Pregnancy and Maternity	Not Applicable
Pregnancy and maternity details:	
Protected characteristics: Race	Not Applicable
Race details:	
Protected characteristics: Religion or Beliefs	Not Applicable
Religion or beliefs details:	
Protected characteristics: Sexual Orientation	Not Applicable
Sexual orientation details:	

Socio-economic impacts	Non
Please indicate any actions arising from completing this screening exercise.	Non
Please indicate whether a full impact assessment is recommended	NO
What data has been collected to facilitate the assessment of this policy/proposal?	
Consultation analysis	Public Health have been engaged in and assisted with the review.
Adverse impact on any people with protected characteristics.	There is no adverse impact as a result of this proposal on any people with protected characteristics. The proposal is to continue grant funding TAWS in order to sustain delivery as previously agreed and assessed for equality impact purposes.
Could the policy/proposal be modified to reduce or eliminate any adverse impact?	No. Conversely, failing to continue to grant fund TAWS could lead to a reduction in physical activity intervensions being delivered which would have an adverse impact.
How will the effect(s) of this policy/proposal on equality be monitored?	While no effect(s) are anticipated this proposal will be monitored as per the frequency outlined above.
What data is required in the future?	Non
Are there any adverse impacts on any particular group(s)	No
If yes, please explain your reasons for going ahead.	
Initial equality impact assessment of your proposal	
Consulted People or Groups	
Informed People or Groups	
Summary and evidence of findings from your EIA	There will be no negative impacts as a result of implementing the recommendations to continue grant funding TAWS to deliver physical activity intervensions on behalf of the Council. It will serve to sustain delivery as previoulsy agreed and assessed for equality impact purposes.
QUALITY CONTORL SECTION	
Submit to the Quality Control Officer for reviewing?	No
Quality Control Officer comments	No negative impacts to those with protected characteristics identified

	protected characteristics identified. This has been passed to the Accountable Officer for final approval.
Decision by Quality Control Officer	Proceed for final approval
Submit draft to Accountable Officer?	Yes
Decision by Accountable Officer	
Date approved / rejected by the Accountable Officer	
Reasons for approval or rejection	
Please print and save a PDF copy for your records	Yes

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Last modified at 12/12/2022 01:01 PM by Workflow on behalf of Leroy Pearce

Close

Birmingham City Council
Report to Cabinet
14 February 2023

Subject:	**MARKET SUSTAINABILITY AND FAIR COST OF CARE FUND DISTRIBUTION**
Report of:	**Professor Graeme Betts, CBE** **Strategic Director, Adult Social Care**
Relevant Cabinet Member:	**Cllr Mariam Khan, Health & Social Care** **Cllr Yvonne Mosquito, Finance and Resources**
Relevant O &S Chair(s):	**Cllr Mick Brown, Health & Social Care** **Cllr Akhlaq Ahmed, Resources**
Report author:	**Alison Malik,** **Head of Commissioning, Adult Social Care** **Alison.Malik@birmingham.gov.uk**

Are specific wards affected? If yes, name(s) of ward(s):	☐ Yes	☒ No – All wards affected
Is this a key decision? If relevant, add Forward Plan Reference: 010985/2023	☒ Yes	☐ No
Is the decision eligible for call-in?	☒ Yes	☐ No
Does the report contain confidential or exempt information? If relevant, state which appendix is exempt, and provide exempt information paragraph number or reason if confidential:	☐ Yes	☒ No

1 Executive Summary

1.1 To confirm the allocations of elements of the Market Sustainability and Fair Cost of Care Fund grant in accordance with the Grant Determination and Conditions 2022 to 2023 issued by the Minister of State for Care.

1.2 To approve the Final Market Sustainability Plan 2023.

2 Recommendations

That the Cabinet; -

2.1 Approves the allocation of £3,615,699.35 Market Sustainability and Fair Cost of Care Fund grant funding to Birmingham adult social care providers. The details of these allocations are in accordance with the Grant Conditions and are set out in 7.3.1 and **Appendix 1**.

2.2 Approves the Final Market Sustainability Plan 2023 as set out in **Appendix 2**.

3 Background

3.1 In September 2021, the Government set out plans to reform adult social care in England. It said that £5.4 billion would be used to fund these reforms between 2022/23 and 2024/25:

3.1.1 £3.6 billion would be used to reform how people pay for social care (charging reforms). This included £1.4 billion to help local authorities move towards paying a "fair cost of care" to providers.

3.1.2 £1.7 billion would be used to support wider system reform.

3.2 The Government originally proposed that the adult social care charging reforms would be implemented from October 2023. However, at the Autumn Statement 2022, delivered on 17 November 2022, the Chancellor announced that the reforms would be delayed for two years, with the funding allocated "to allow local authorities to provide more care packages."

3.3 The Market Sustainability and Fair Cost of Care Fund ("the Fund") is a Section 31 ringfenced Grant to support Local Authorities with their Section 5 (of the Care Act 2014) duty to promote the efficient and effective operation of the care market. The Fund's primary purpose is to; help Local Authorities' prepare markets for wider reforms; and support Local Authorities' to move towards paying a fair cost of care.

3.4 Local Authorities can use their position as a large purchaser of social care to obtain lower fee rates from care providers, which can be less than the cost of providing the care. To compensate, providers often attempt to cross-subsidise by charging more to people who fund their own care. The Government said this leads to market failure and announced two measures to address the issue:

3.4.1 Provisions in the Care Act 2014 (section 18(3)) being brought fully into force, enabling self-funders to ask their local authority to arrange their care in a care home for them so that they can benefit from lower rates.

3.4.2 £1.4 billion being provided to local authorities to support them to increase the rates they pay to providers where necessary (move towards paying a "fair cost of care").

3.5 Prior to the Autumn Statement announcement delaying the charging reforms, the Government had announced the Market Sustainability and Fair Cost of Care element of the reforms would be implemented in stages from October 2023 to April 2025 at the latest.

3.6 Since the Autumn Statement, Local Authorities have been awaiting further clarification and guidance on the previously issued Market Sustainability and Fair Cost of Care Grant Conditions. Whilst these have yet to be published (as at 17 January 2022), confirmation was recently received that Local Authorities are expected to distribute Grant funding for 2022/23. This needs

to be progressed in accordance with Local Authority draft Market Sustainability Plans and associated submissions made to the Department for Health and Social Care.

3.7 The Fund and associated requirements only apply to care homes for over 65's, domiciliary care/home support for 18+ and extra care. However, these services do operate in a wider market, including care homes for younger adults. Therefore, any increase in fees can only be applied to a portion of the Birmingham adult social care market under the current Grant Conditions.

3.8 It is now expected the Grant will be split over three years following confirmed/estimated allocations for Birmingham as follows:

	22/23	**23/24**	**24/25**
Market Sustainability and Fair Cost of Care National Total	£162m	£162m	£162m
Birmingham Allocation/Estimate	£3.78m (actual)	See Market Sustainability and Improvement Fund below.	See Market Sustainability and Improvement Fund below.
Market Sustainability and Improvement Fund National Total	N/A	£400m	£400m
Birmingham Allocation/Estimate	N/A	£13.11m (estimate)	£13.11m (estimate)

3.9 The Government proposes to maintain the current levels of Market Sustainability and Fair Cost of Care funding for local authorities for 2023/24 at £162 million. This is to continue to support the progress made this year on fees and cost of care exercises. It also reflects that elements of the Adult Social Care Reform programme have been delayed for two years (until October 2025), as well as feedback that underpayment is only one issue facing the sector.

3.10 As announced at the Autumn Statement, in 2023/24 there will be an additional £400 million available for Local Authorities for adult social care (the Market Sustainability and Improvement Fund). The government expects this new grant funding will enable Council's to make tangible improvements to adult social care and, in particular, to address discharge delays, social care waiting times, low fee rates, workforce pressures, and to promote technological innovation in the sector. This will be combined with the existing £162 million in Fair Cost of Care funding to reflect the shared goal of improving market sustainability. The government proposes to distribute this funding using the existing ASC Relative Needs Formula.

3.11 The Government are expected to announce further details on the Grant Conditions for the Market Sustainability and Improvement Fund in due course.

3.12 The Council complied with the current Fund requirements that all Local Authorities' by 14 October 2022:

3.12.1 Complete Cost of Care exercises for the 18+ domiciliary care and 65+ care homes markets – setting out the median cost of care

3.12.2 Submit a Cost of Care report

3.12.3 Submit a provisional market sustainability plan (final version due Feb 2023)

3.12.4 Prepare a Spend Report – showing how the Fund has been spent/allocated

3.13 The Council's submissions to Department for Health and Social Care (DHSC) above set out an approach to distribution of the associated Year 1 Fund which must be distributed by 31 March 2023. However, the Council has been awaiting confirmation of the change in Grant Conditions and future years funding since the Autumn Statement. As this has not been fully confirmed, the Council now needs to distribute the 2022/23 Fund to care providers as set out below and in our Spend Report submitted to the DHSC on 14 October 2022.

3.14 As the Fund arrangements for 23/24 and 24/25 have still to be fully confirmed, the Council cannot incorporate any increases into our normal fee structure at this time. There is also no provision made in the Fund for any such increases to be inflated in future years. Therefore, Grant payments will need to be made as one-off non-consolidated payments, equivalent to the percentages summarised in **Appendix 1**.

3.15 The Council is now required to make arrangements to distribute these funds to contracted care providers in line with our agreed submissions prior to 31 March 2023.

3.16 The proposal is therefore to distribute this funding as set out in **Appendix 1**, having considered the information in section 4.

3.17 We are also seeking approval of the final Market Sustainability Plan (in **Appendix 2**) which it is anticipated will be required for submission to the DHSC in March 2023.

4 Options considered and Recommended Proposal

4.1 The Grant Conditions summarise the scope of the Fund and there are limited options available to the Council.

4.2 However, Officers carefully considered these options in light of the data obtained from the mandated Fair Cost of Care exercise and as set out in the Market Sustainability Plan in **Appendix 2** which confirmed that:

4.2.1 The Council intends to spend 48% of the Fund on increasing fees paid to care homes with and without nursing. This will result in a proposed payment equivalent to a fee increase of 2.0% in 2022/23. We believe this reflects that:

- While there is a significant gap between the Fair Cost of Care exercise output and current fees there are no changes to funding streams proposed for care homes until November 2023 at the earliest.
- There is current oversupply of care home beds in the market.
- Workforce risks are significant but not as acute as those within the home support market, due to factors such as travel costs.

4.2.2 The Council intends to spend 52% of the Fund on increasing fees paid to 18+ home support providers This will result in a proposed payment equivalent to a fee increase of 3.5% in 2022/23. We believe this reflects that:

- There is a significant gap between the Fair Cost of Care exercise output and current fee. Self-funders are already able to approach the Council to purchase care on their behalf, so providers may face an immediate pressure to income.
- There is a strong chance that demand will outstrip supply again this winter and in future years.
- Workforce risks are more acute in the home support market and there is increased vulnerability to inflation and fuel cost increases.
- The home support market is of key strategic value in promoting independence and preventing admissions to hospital and care homes.

4.3 The proposed approach is therefore to distribute funds to care providers in accordance with section 4.2, **Appendix 1** and **Appendix 2**.

5 Consultation

5.1.1 The draft submissions to DHSC were discussed at Informal Cabinet on 14 September 2022 and feedback incorporated into the submission made on 14 October 2022.

5.1.2 The Cabinet Member for Health and Social Care was further consulted on 6 October 2022 and had no further comments on the draft submissions.

5.1.3 The Chief Executive was updated again by way of an Information Briefing on 17 October 2022.

5.1.4 The Council has not received any feedback from the DHSC since 14 October 2022 and the DHSC have confirmed as at 22 December that we can proceed with distribution of the Fund.

6 Risk Management

6.1 The following risks have been identified in relation to this decision and have been mitigated as follows:

6.1.1 The Council is required to distribute the Fund to care providers before 31 March 2023 and this decision is therefore being brought forward at the earliest opportunity to allow this take place.

6.1.2 The Council has been unable to distribute these funds sooner due to the confirmed delays in implementing the Adult Social Care Reforms and awaited changes to the Fund conditions and guidance. It has now been confirmed these funds can be distributed.

6.1.3 This decision will allow the Council to demonstrate compliance with the Grant Conditions.

6.1.4 This decision will allow funds to be distributed to care providers, who continue to report underfunding in a sector in financial crisis and support our most vulnerable citizens.

6.1.5 As the ongoing impact of the pandemic and winter pressures for the NHS and care providers continue, these funds will provide essential financial support to care sector.

6.1.6 The Grant has been widely publicised by Government and a number of providers have already requested funding. Any delays in distribution may have a negative reputational impact on Birmingham City Council.

6.1.7 The Council is required by Government to operate this Grant in accordance with the Grant Conditions. The Council will passport funds on a one-off non-consolidated basis to contracted care providers. As the Fund does not need to be spent on any specific measures by the care provider, but is to contribute towards overall costs, there are limited financial risks.

7 Compliance Issues:

7.1 How are the recommended decisions consistent with the City Council's priorities, plans and strategies?

7.1.1 The proposed approach will allow the Council to comply with the Market Sustainability and Fair Cost of Care Fund Grant Conditions.

7.1.2 The proposed approach is aligned to the Adult Social Care Vision and Priorities.

7.1.3 The proposed approach will support the wider social care and health system, including supporting care providers to continue to support the Council and our citizens.

7.2 Legal Implications

7.2.1 The Adult Social Care Discharge Fund is a grant made under Section 31 of the Local Government Act 2003 that is ring-fenced exclusively for actions which prepare their markets for reform of the adult social care system and to support local authorities to move towards paying providers a 'fair cost of care'.

7.3 Financial Implications

7.3.1 The Grant funding has been provided to the Council as part of Local Government Finance Settlement Allocations 2022 to 2023. However, the Council could not spend the Grant until the required submissions were made to DHSC on 14 October 2022 at the earliest. Further changes were then announced in the Autumn Statement 2022 2023 and Officers have been awaiting updated guidance since this time. The DHSC confirmed on 22 December 2022 that the Fund should now be distributed, and that further guidance will follow.

7.3.2 Having taken account of the key considerations set out in section 4 above, the Council will distribute funding to care providers in accordance with **Appendix 1**.

7.4 Procurement Implications

7.4.1 There are no direct procurement implications associated with this decision as this is being issued as a one-off non-consolidated Grant payment.

7.5 Human Resources Implications

7.5.1 There are no BCC Human Resources implications associated with this decision.

7.6 Public Sector Equality Duty

7.6.1 An Equality Impact Assessment has not been carried out as duties contained in the Equality Act 2010 do not apply to care providers as registered companies.

7.7 Environmental and Sustainability Implications

7.7.1 There are no Environmental and Sustainability implications associated with this decision.

8 Appendices

8.1 **Appendix 1** – Detailed breakdown of funding allocations

8.2 **Appendix 2** – Final Market Sustainability Plan

9 Background Documents

9.1 The following background documents were used to compile this report:

- Market sustainability and Fair Cost of Care Fund 2022 to 2023: guidance
- Grant Determination and Conditions 2022 to 2023
- Annex A: example grant template
- Annex B: cost of care reports contents
- Annex C: market sustainability plan template
- Annex D: recommended functionality for the data collection tools
- Annex E: further detail on return on capital and return on operations
- Annex F: analytical principles

Appendix 1 – Detailed breakdown of funding allocations for the Market Sustainability and Fair Cost of Care Fund

Spend Area	Amount	Comments
Total Fund	**£3,780,199.35**	
Implementation Costs	£164,500	These include external support in conducting and analysing the Fair Cost of Care exercise and preparing the Draft Market Sustainability Plan. Grant Conditions state implementation costs cannot exceed 25% of the total Fund. Implementation costs for Birmingham were only 4.4% of total Grant.
Total to be allocated to care providers	**£3,615,699.35**	
Spending associated with fee increases for 18+ domiciliary care	£1,867,773	This equates to the equivalent of a 3.50% increase for eligible care providers
Spending associated with fee increases for 65+ care home places without nursing	£905,963	This equates to the equivalent of a 2.02% increase for eligible care providers
Spending associated with fee increases for 65+ care home places with nursing	£841,094	This equates to the equivalent of a 2.02% increase for eligible care providers

Please note that the individual care provider allocation amounts and percentages set out above are indicative and based on modelling carried out in September 2022. Actual allocations may vary by fractions of a percentage point when calculations are based on current care packages. Payments will be maximised to ensure full distribution of grant monies to care providers.

Funds will be allocated to providers based on a percentage increases to active packages of care between 1 April 2022 and 31 December 2022.

Increases will only be applied to those providers within scope of the Fund i.e. older adults care home packages and adults domiciliary care and extra care packages.

Section 1: Assessment of the current sustainability of local care markets

a) Assessment of current sustainability of the 65+ care home market

Sufficiency:

- **The Birmingham located care home market for over 65s has a bed capacity of 5,996** across 130 care homes. This accounts for 1.4% of the total capacity in England.
- **14.1% of beds are available for new service users.** Currently 84.4% (4,748 beds) of beds are occupied and a further 1.5% (86 beds) of these beds are unavailable or reserved.
- **Spare capacity varies across the geography**, highest capacity is in Edgbaston where 20.5% (128 beds) of beds are vacant (N.B. quality in the area is also low – see Quality section), the lowest capacity is in Perry Barr where 7.9% (25 beds) of beds are vacant. Evidence suggests demand may outstrip supply in some areas - Ladywood, Hall Green and Erdington.
- **Care Home demand has had a slow decline in the last three years**, and Birmingham's projections are demand will decline further by 1 to 2% over the next three years.
- **Conclusion:** While capacity varies across the region, the Council have not experienced issues brokering placements for service users in their preferred care home, indicating capacity is appropriate to the needs and choices of citizens. Occupancy rates indicate strong and sufficient supply in the market to meet both current and forecast demand levels in the next three years.

Diversity

- **The compositional structure of the Birmingham Care Home market** is dominated by small, single suppliers. 91 suppliers operate the 130 care homes; of these suppliers 71 (78.0%) run one home within the region, 18 (19.8%) run 2 to 4 homes and 2 (2.2%) run over 5 homes.
- **Care homes in Birmingham are long established** with 73 of the 130 (56.2%) being established over 10 years. 23 (17.7%) were established less than 4 years ago and of these 15 were nursing homes, suggesting that demand for and investment in nursing homes is greater.
- **The size of care home operating within Birmingham reflects England averages** with most homes having capacity for 25-50 service users (Birmingham 43.8%, England 39.9%). Birmingham have a lower proportion of homes with 0-24 beds (20.8% vs 31.9%) and a higher percentage of homes with capacity for between 74-99 beds (13.8% vs 6.2%).
- **Conclusion**: A market with a high concentration of small providers demonstrates both resilience and choice; where provider exits occur these affect less citizens, and the market typically has good geographic coverage. However, smaller providers are less financially resilient in a high inflation context; less able to spread costs across their bed capacity, or cope with demand fluctuations. There is a risk cost pressures reduce investment on innovation, or worse, force small providers to exit the market, weakening both local sufficiency and diversity.

Quality

- **Of the 130 65+ care homes, four (3.1%) received a CQC rating of Outstanding, 93 (71.5%) Good**, and 25 (19.2%) were rated as requiring improvement. This means 203 (3.4%) beds are in Outstanding care homes, 4,386 (73.1%) are Good and 1,093 (18.2%) Require Improvement. Positively, no care homes are rated Inadequate, and 8 (6.2%) care homes await a rating.
- **The % of citizens whose care is commissioned by the Council** in Good/Outstanding homes has risen from 50% in 2017/18 (prior to 2018 contracts) to 72.1% in 2022/23
- **There are differences in quality across wards**; all care homes in Hodge Hill are rated Outstanding or Good compared to Edgbaston where 54.5% meet equivalent standards.

- **Conclusion**: 1 in 5 care homes Require Improvement, similar levels to England. These quality challenges become more acute in particular wards across Birmingham.

Workforce

- **There are 7,424 employees working across the 130 homes.** Of these 7,044 are permanent staff, with 4,731 (67.2%) of these permanent staff being care workers, 551 (7.8%) being nurses and 1,762 (25.0%) non-care workers. There are 380 agency workers employed.

- **A high variability exists between the ratio of employees to service users** and the reliance of Care Homes on agencies to fill gaps in the permanent workforce, indicating care homes are not adopting similar operating models, and emphasising permanent recruitment issues.

- **Analysis conducted on the relationship between staffing levels and quality in Birmingham** evidences a higher ratio of employees to service users correlates with higher quality levels. Where care homes have higher agency reliance this correlates to higher costs.

- **As a region the West Midland labour market benefits** from the second lowest levels of employee turnover nationally. New starter and vacancy rates for social care workers are also lower, however the social care sector compares poorly against other sectors and the NHS. Recent provider feedback indicates homes are struggling to compete on pay with other sectors.

- **Conclusion:** A combination of high inflation and low relative pay in the care sector are leading to emerging issues in what has historically been a robust care labour market. Birmingham expects pressures to continue to disrupt resulting in higher staff vacancies and higher staff turnover rates. This is likely to have negative cost and quality implications, as well as subsequent sufficiency impacts where providers are then forced to reduce capacity.

Cost

- **Current Position:** The projected 2022/23 Fair Cost of Care exercise output is significantly higher than the current fee rates. For nursing homes, the 22/23 modelled costs are projected to be £1,137 for 22/23, 31% above the current fee rate of £867 (inc. FNC). For non-nursing homes 22/23 costs are projected to be £934, 63% above the 22/23 fee rate of £572.

- **Conclusion:** The Fair Cost of Care exercise has illustrated a significant gap between the provider view on costs and the Council's existing fee rates. Providers have been supported with over £50m in grants through the Covid period, alongside free access to PPE and other support that is being withdrawn over 2022 posing further financial risks. Macro challenges on pay and inflation are not addressed through the FCoC funding and rates submitted by providers therefore reflect additional financial pressures. Any social care reforms impacting the market must be fully funded by government as the Council's budget is not sufficient to address these.

b) Assessment of current sustainability of the 18+ domiciliary care market

Sufficiency:

- **The 18+ domiciliary care market in Birmingham has capacity for 8,806 users,** split over 224 suppliers, equivalent to 2.2% of total capacity in the England 18+ domiciliary care market.

- **67.2% of suppliers have indicated they could offer additional capacity hours** whilst 32.8% indicated they could not (Capacity Tracker Aug 2022). However, when measuring spare capacity by number of hours available, it is concentrated in a handful of suppliers.

- **For the first time in Winter 21/22** Commissioners struggled to broker domiciliary care packages, indicating capacity issues as demand spiked. This eased over Spring and Summer.

- **Conclusion:** While a large portion of suppliers indicated that they could offer additional hours, they also indicated that to deliver these they would require additional FTEs. The ability to offer additional hours, does not therefore accurately reflect useable spare capacity in the market. Sufficiency of supply is therefore likely to be constrained by the appropriate availability of labour

within the market. There is a strong expectation that the demand and supply issues experienced in 2021/22 will arise again in Winter 2022/23 and subsequent years.

Diversity

- **Birmingham domiciliary care market is composed of a large number of small suppliers** and is not dominated by a small number of large firms. 74.4% of providers in the market support less than 50 service users and only 5% of providers work with over 200 service users. This high concentration of small providers promotes market sustainability and competition.

- **Conclusion:** Birmingham has shaped a market where supply is not monopolised by a few large suppliers, however in a market where barriers to entry are low there is a risk smaller firms are poorly capitalised & more susceptible to financial, macro-economic & workforce challenges.

Quality

- **Of the 224 suppliers, 137 (61.6%) have a CQC quality rating of Good** and 2 are Inadequate. 40 suppliers Require Improvement (17.9%) & 44 yet to be inspected. This equates to 6,583 (76.5%) citizens receiving Good care & 1,776 (20.6%) whose care Requires Improvement.

- **The % of citizens whose care is commissioned by the Council** in Good or Outstanding provision has risen from 72% in 2017/18 (prior to the current 2017 Commissioning Strategy and 2019 contracting arrangements) to 79% in 2022/23.

- **Conclusion:** While the Council's Commissioning Strategy awards work to suppliers with higher quality ratings, issues remain with some commissioned suppliers Requiring Improvement.

Workforce

- As noted in Section 1A. the social care labour market within the West Midlands appears to have lower rates of turnover compared with national averages.

- **Conclusion:** The domiciliary care market faces similar labour market challenges to care homes as a result of low relative pay levels and continuing national inflationary pressures, for example Care England identified 8 in 10 care providers across England have increased Agency use in the last 3 months. Capacity levels in domiciliary care are even more acutely intertwined with labour supply, and its exposure to other pressures such as fuel costs/Clean Air Zone means the market will continue to face staffing shortages and supply issues. These constraints could reduce hiring standards, lower average experience levels and ultimately impact quality.

Cost

- **Current position: For Home Support the 22/23 median reported cost in the FCoC exercise is £20.95 which is 28% higher than the 22/23 fee rate of £16.43.**

- **Conclusion:** The Fair Cost of Care exercise has illustrated a significant gap between the provider view on costs & the Council's existing fee rates. Providers have been supported with over £50m in grants through the Covid period, alongside free access to PPE and other support that is being withdrawn over 2022 posing further financial risks. Macro challenges on pay & inflation are not addressed through the Fair Cost of Care grant funding & rates submitted by providers therefore reflect additional pressures. Any social care reforms impacting the market must be fully funded by government as the Council's budget is insufficient to address these.

Section 2: Assessment of the impact of future market changes (including funding reform) over the next 1-3 years, for each of the service markets

Social Care Charging Reform

The delay to the proposed Social Care Reforms until at least 2025 has been announced and so will not directly impact in the next 1-3 years, however should the reforms be implemented at a later date then we have assessed the impact as follows:

Impact of the Older Adults Means Test & Cap

- **Birmingham has a lower distribution of the Over 65 Care population in higher chargeable asset brackets** than both the West Midlands and England. Whilst positive against regional

comparators, the reform will mean significant new volumes of individuals falling between the lower and upper capital limits leading to an increased cost. Birmingham has estimated this at £11.6m annually for change in Upper and Lower thresholds, and £26.1m annually for the introduction of the cap on personal care costs.

- **Conclusion**: With precept benefits negated by inflation and demand, the charging reform poses an extensive unfunded financial risk in a challenging budgetary context where the Council is already grappling with balancing escalating costs and demand against restricted funding opportunities.

Impact of Reform on Operational Staffing Expenditure

- **The reform significantly increases the number of Social Care Assessments** and Financial Assessments to be conducted, and for those who require care - additional volumes of packages to be brokered and potentially providers to be managed by commissioners. The Council has calculated this could require an additional £8.0m of staffing related spend.

- **Conclusion:** Reform will place significant additional care and financial assessment pressures on the ASC service that will require further resource and expertise to manage effectively.

Observation on Risks to Market Sustainability

- **The proposed reform with the most extensive financial implications for Market Sustainability is that of self-funders requesting Birmingham to broker care**. However, provider FCoC exercise submissions demonstrate significant subsidisation of LA placements by the self-funder market. The size of the current gap between fees and costs identified in the FCoC exercise for Birmingham is estimated to be between £56m and £59m.

- **Conclusions**: Charging Reform poses significant risks to the Council & provider financial sustainability. If Fair Cost of Care rates were implemented in full, taken in combination with the Means Test and Cap & Operational Spend pressures the reforms could place £104.7m of additional annual costs on the Council. Further, when cost pressures emerge a trade-off is likely where spend on strategic transformation, innovation & technology investment reduces.

People at the Heart of Care Reform

- **The broader signals within the Care Sector are of a fragile,** disengaged and underdeveloped workforce: Skills for Care identified monthly vacancy rates in May 2022 of 10% & 31% of staff indicated their desire to remain in the sector had decreased in the prior year.

- **Providers reported an additional 1,327,192 staff hours and 2,917 new recruits** as a result of Workforce Recruitment and Retention Fund spend, illustrating the effect of new investment.

- **Anecdotal evidence in Birmingham identifies pay within the sector as a major influence on workforce turnover** and recent analysis by the Kings Fund identifies that moving to major logistics firms or supermarkets from the care sector could lead to a 6.7% increase in pay.

- **While Birmingham recognises the importance of the UK wide £500m Social Care Workforce training and qualifications fund,** with an estimated UK requirement of 5,000 additional new staff through the Social Care Charging Reform alone, set against a significant training deficit following the pandemic, Birmingham's concern is the level of funding would only be sufficient to close existing training need gaps, and will not address the increased acuity of need associated with an ageing population people entering the care system later in life.

- **The Key Strategic Risk across home support, and older adult residential and nursing care is the availability of sufficient, well-trained staff** and the vulnerability of the labour market to current volatility in inflation and wage pressures.

Section 3: Plans for each market to address sustainability issues identified, including how fair cost of care funding will be used to address these issues over the next 1 to 3 years

(a) 65+ care homes market

Spend of MS & FCoC grant

The Council intends to spend **48%** of the grant on increasing fees paid to care homes with and without nursing. This will result in a proposed payment equivalent to a fee increase of **2.02%** in 2022/23. We believe this reflects that:

- While there is a significant gap between the FCoC exercise output and current fees there are no changes to funding streams proposed for care homes until November 2023 at the earliest.
- There is current oversupply of care home beds in the market.
- Workforce risks are significant but not as acute as those within the home support market due to factor such as travel costs.

Any final decisions on spend and distribution of funds to providers are subject to confirmation of actual funding from government in 2023/24 and 2024/25 and approval of this MS Plan.

Sufficiency and Diversity

- Undertake an assessment of provider investment and exit plans across the next 5 years, and employ technology and market intelligence solutions that monitor Care market resilience.
- Further exploration of demand/supply mismatch in Ladywood, Erdington and Hall Green to determine scale/impact of the issue.
- Further exploration of spare capacity in market/occupancy and FCoC identified non-correlation with cost as well as identification of provider development plans.
- Review market position statements and develop a joint approach to market shaping with NHS.
- Continued use of contractual annual fee review and uplift methodology to address costs within available revenue resources.
- Continue regular market dialogue and forums to shape and explore the issues, including regular engagement with large market share providers regarding their business intentions.

Quality

- The Council will not award contracts to Inadequate rated care providers and will support any providers subsequently rated as Inadequate to either improve services or be decommissioned.
- Continued application of Council's quality monitoring process to drive up quality in the market - including implementation of an enhanced Integrated Quality Assurance Framework with the NHS from 2023 onwards.

Workforce

- The Council is currently developing a joint workforce plan with local ICS including to address integrated career pathways and ways in which the system can support the wider sector.
- Exploration of how low pay in the sector can be addressed as a system, including how to deliver on political aspirations to pay Real Living Wage.
- Develop a support offer that focuses on upskilling the workforce, sharing of best practice and sharing of expertise from across the system to develop and retain the workforce.

Cost

- Further exploration of numbers of self-funders, charging rates and other sources of care home income, inc. top ups to allow further assessment of the impact of social care reforms.
- Exploration with the care market and local trade associations of opportunities for skill/knowledge/cost sharing/pooling of purchasing resources, such as PPE, back-office costs.

- Further exploration of ROO and ROC and other high variability costs in FCoC to support clarification of Council's understanding and approach.
- Exploration of non-correlation of standard & enhanced costs identified by FCoC exercise.
- Further work with market to promote use of technology and consider how the Digital Social Care grants can be used to support efficiencies.

(b) 18+ domiciliary care market

Spend of MS &FCoC grant

The Council intends to spend **52%** of the grant on increasing fees paid to 18+ home support providers This will result in a proposed payment equivalent to a fee increase of **3.5%** in 2022/23. We believe this reflects that:

- There is a significant gap between the FCoC exercise output and current fee. Self-funders are already able to approach the Council to purchase care on their behalf, so providers may face an immediate pressure to income.
- There is a strong chance that demand will outstrip supply again this winter and in future years.
- Workforce risks are more acute in the home support market and there is increased vulnerability to inflation and fuel cost increases.
- The home support market is of key strategic value in promoting independence and preventing admissions to hospital and care homes

Any final decisions on spend and distribution of funds to providers are subject to confirmation of actual funding from government in 2023/24 and 2024/25 and approval of this MS Plan.

Sufficiency and Diversity

- Assessment of provider investment / exit plans over the next 5 years and building of intelligence bank to monitor provider resilience risks.
- Further exploration of winter demand/supply risks & development of plans to address this.
- Review of market position statement & development of joint approach to market shaping with NHS.
- Continued use of contractual annual fee review and uplift methodology to address cost changes within available revenue resources
- Further assessment of declared spare capacity in the market to determine if this is real or would require additional workforce to mobilise and consider how this can be utilised through future commissioning strategies.
- Continue regular market dialogue and forums to shape and explore the issues, including regular engagement with large market share providers regarding their business intentions.

Quality

- The Council will not award contracts to Inadequate rated providers and offer support any providers subsequently rated as Inadequate to improve services, or decommission.
- Continued application of Council's quality monitoring process to drive up quality in the market - including implementation of an enhanced Integrated Quality Assurance Framework with the NHS from 2023 onwards.

Workforce

- The Council is currently developing a joint workforce plan with local ICS including to address integrated career pathways and ways in which the system can support the wider sector.

- Exploration of how low pay in the sector can be addressed as a system, including how to deliver on political aspirations to pay Real Living Wage.
- Develop a support offer that focuses on upskilling the workforce, sharing of best practice and sharing of expertise from across the system to develop and retain the workforce.

Cost

- Exploration of options to improve cashflow to suppliers, including potential changes to current system of invoicing.
- Further exploration of rates to reflect variable visit durations (30/45 minutes).
- Further exploration of numbers of self-funders and charging rates to allow further assessment of the impact of social care reforms.
- Exploration with the care market and local trade associations of opportunities for skill/knowledge/cost sharing/pooling of purchasing resources, such as PPE, back-office costs.
- Further exploration of ROO, travel, back office and other high variability costs in FCoC exercise to support clarification of the Council's understanding and approach.
- Further work with the market to promote use of technology and consider how the Digital Social Care grants can be used to support efficiencies.

Birmingham City Council

Report to Cabinet

14 February 2023

Subject:	**FULL BUSINESS CASE AND RECOMMENDED CONTRACT AWARD FOR NORTH BIRMINGHAM ACADEMY - EXPANSION OF EXISTING ACADEMY WITH A NEW THREE STOREY TEACHING BLOCK**
Report of:	**Sue Harrison** **Strategic Director for Children & Families**
Relevant Cabinet Member:	**Cllr Karen McCarthy- Children Young People and Families** **Cllr Yvonne Mosquito - Finance & Resources**
Relevant O &S Chair(s):	**Cllr Kerry Jenkins - Education and Children Social Care** **Cllr Akhlaq Ahmed - Resources**
Report author:	**Zahid Mahmood** **Capital Programme Manager** **Education Infrastructure** **Email: zahid.mahmood@birmingham.gov.uk**

Are specific wards affected? If yes, name(s) of ward(s): Perry Barr	☒ Yes	☐ No – All wards affected
Is this a key decision? If relevant, add Forward Plan Reference: 010920/2023	☒ Yes	☐ No
Is the decision eligible for call-in?	☒ Yes	☐ No
Does the report contain confidential or exempt information? If relevant, state which appendix is exempt, and provide exempt information paragraph number or reason if confidential:	☐ Yes	☒ No

1 Executive Summary

1.1 To seek approval for the Full Business Case and note the contract award for the capital scheme at North Birmingham Academy as described in **Appendix A.** The capital costs of the scheme will not exceed £11,663,163

1.2 A separate commitment of £414,156 has been approved as part of the development costs for this project. Further details can be found under section 7.

1.3 The procurement route for the works is to use the Constructing West Midlands 2 Framework Agreement by direct award.

2 Recommendations

That Cabinet:

2.1 Notes that the decisions in this report are contingent upon the Regional Director approving North Birmingham Academy's proposal to expand the Academy.

2.2 Approves the Full Business Case (**Appendix A**) for the capital works at North Birmingham Academy at a total project cost of up to £11,663,163 including Education Infrastructure Capitalisation of £339,703, £57,500 fixtures and fittings and the contingency as detailed below.

2.3 Approves the award of a contract to Morgan Sindall by direct award using Constructing West Midlands 2 (CWM2) Framework Agreement up to the value of £10,089,207 for works to commence, and to release contingencies and place further orders up to £542,000 if required.

2.4 Authorises the Director of Children & Families to place orders to the value of £634,753 to Acivico Ltd for professional services.

2.5 Authorises the City Solicitor & Monitoring Officer to execute and complete all necessary documents to give effect to the above recommendations.

3 Background

3.1 The Local Authority has a statutory duty to ensure there are sufficient pupil places, secure diversity in the provision of schools and increase opportunities for parental choice through planning and securing additional provision (Section 14, Education Act 1996).

3.2 Birmingham City Council, as the local authority for Birmingham, has a statutory duty to ensure sufficient school places. The City has a growing population with one of the youngest populations in Europe. Following the growth of numbers in our primary schools, additional secondary places are required to meet incoming demand. The Local Authority is keen to ensure that future places are provided in the areas that they are needed; helping children to attend a school nearer to home and as part of their local community. North Birmingham Academy is in the

right location to support the Local Authority in meeting some of the required need for additional places.

3.3 North Birmingham Academy is a large, co-educational secondary school and sixth form located in the Perry Common area of the City. The school currently has 1150 pupils on roll, however there are plans to increase this number over the next five years by 300 extra pupils to 1450. The current admission number is 180, although there are plans to increase this to 240, with an additional 60 pupils being added to Year 7 from September 2023 until September 2027. Should the Regional School's Commissioner approve the expansion, future admissions consultations will seek approval to the increased PAN. As part of DfE requirements, the City is broken down into planning areas in order to assess and address sufficiency issues. The Local Authority have identified a shortfall of Secondary School places in the Erdington area for September 2023 and beyond due to larger cohorts moving from primary schools in that area. Of the four schools in closest proximity to the Erdington Area, North Birmingham Academy was deemed most appropriate due to being rated Good and having suitable space to expand. Two of the other schools in this area also have an inadequate Ofsted rating, so would not be considered, while it was decided that the final school, a catholic school would not be expanded as another catholic school in the north side of the City is already going through this process.

3.4 A Planning application for the scheme was submitted on the 10 November 2022 and is due for determination on the 9 February 2023. Subject to FBC and statutory approvals (including RSC approval to the business case) the main works are due to commence on 3 April 2023 with a proposed completion of 5 July 2024.

4 Options considered and Recommended Proposal

4.1 The option of doing nothing would mean that the Local Authority fails to meet its statutory obligation to ensure that there are sufficient pupil places, promote diversity and increase parental choice through planning and securing additional provision.

4.2 The recommended option is to build a new teaching block with remodelling of some areas of the existing building and provide a link to the existing building to accommodate the additional 2 forms of entry.

5 Consultation

5.1 The Governing Body at North Birmingham Academy supports the proposed improvements to the school, and it is fully welcomed by the parent/carer community for children attending the school. E-ACT conducted public consultation on the proposal to *enlarge North Birmingham Academy by creating a three-storey expansion and increase pupil places offered by the school*, as required by the statutory guidance, "Department for Education 'Making significant

changes to an open academy – Department guidance for all types of academy trust (January 2022)." The consultation period for this project ran from 27 June 2022 to 24 July 2022. The fast-track business case will be submitted to the Regional School Commissioner for decision in early Jan 23.

5.2 Birmingham City Council Officers (Education Infrastructure) shared the Academy Trust's proposal and consultation with Birmingham Councillors and relevant Birmingham City Council officers, departments and partner organisations. In the case of all types of academy trust, the Regional Schools Commissioner is the decision maker for then proposal by the E-ACT (interdependent and conditional to all relevant approvals, including those contained in this report) The Leader and Ward Members for Perry Barr have been consulted in relation to the proposals and are supportive of the proposals proceeding to an executive decision (to be undertaken).

6 Risk Management

6.1 Availability of materials and labour. With the impact of Brexit, Covid-19 and the situation in Eastern Europe, there is a risk of shortage of materials and labour. As a result, cost increases from materials and delay to programme could occur. Project meetings are held to ensure that all parties are informed of progress and that any issues and concerns are picked up at the earliest opportunity and resolution is sought to ensure the project meets the required timescales.

6.2 Regular 2 – 4 weekly project meetings will be held to ensure that all parties are informed of progress and that any issues and concerns are picked up at the earliest opportunity and resolution is sought to ensure the project meets the required timescales. Regular meetings between Education Infrastructure and Acivico Ltd will also be held to closely monitor financial budgets to ensure that costs do not exceed the approved budget.

6.3 Working in a live school building and ensuring Health & Safety is maintained, Acivico Ltd has many years of experience delivering expansion projects of this nature and will manage and co-ordinate the works with the principal contractor, overseen by the Local Authority.

6.4 A project risk register will be maintained and managed by Acivico Ltd. The risks will be observed and apportioned between the Local Authority and Acivico Ltd.

7 Compliance Issues:

7.1 How are the recommended decisions consistent with the City Council's priorities, plans and strategies?

7.1.1 These works are to ensure that all pupils at North Birmingham Academy are provided with a safe and secure learning environment. The spending priorities proposed are in accordance with the Schools' Basic Need

Programme 2022-23 approved by Cabinet on 26th April 2022, and the Council's Vision and Forward Plan priorities for Children, particularly 'A great place to grow up in by providing an environment where children have the best start in life and are able to realise their full potential through great education'.

7.1.2 Birmingham Business Charter for Social Responsibility (BBC4SR)

Morgan Sindall Construction Limited are a certified signatory to the BBC4SR, achieving a social value rating of 9.60% out of 10.00% and has produced an action plan with commitments relevant to the contract. These actions will be monitored and managed during the contract period.

The social value outcomes to be delivered include:

- Creating at least one new full time work placement with sustained training opportunities, including work experience during the life of the project
- Undertaking a least one engagement activity to support and benefit the school.
- Ensure 100% of all persons employed on the project will be paid above the Real Living Wage
- Positively supporting the local infrastructure by advertising all vacancies locally
- Active contribution/donation to Community Investment Projects
- 96% commitment to the recycling of construction waste

7.2 Legal Implications

7.2.1 The recommendations in this report facilitate the discharge of functions contained within section 14 of the Education Act 1996 whereby the local authority has a duty to ensure that there are sufficient school places to provide all pupils the opportunity of appropriate education.

7.2.2 The arrangements set out in this report comply with the powers of general competence as set out in Section 1 of the Localism Act 2011.

7.3 Financial Implications

7.3.1 The capital costs of the proposed works at North Birmingham Academy are detailed in the attached FBC (**Appendix A**). The capital costs will not exceed £11,663,163 and will be funded from the 2021/22 Schools Capital Programme.

7.3.2 In addition to the £11,663,163 a Pre-Construction Services Agreement (PCSA) has been drawn up, approved and committed for the value of

£414,156. This payment was approved via a FoA on 18 May 2022 by the Director of Children & Families.

7.3.3 This PCSA was approved in advance as per the new Constructing West Midlands 2 procurement framework requirement. In order to have a chance of making the timescales to complete this project for September 2024, this payment of £414,156 has been committed at risk.

7.3.4 This payment is to be funded from the allocation of £2.000m of Basic Need Grant for the development of Feasibility Studies to inform Full Business Cases in order to deliver the Basic Need and High Needs Provision Programme (approved by Cabinet 28th April 2022). Without this approval, the contractors couldn't progress the design and orders, and the project wouldn't be able to progress over Summer 2023.

7.3.5 Consequential revenue costs arising including additional staffing, utility and any on-going day to day repair and maintenance of the asset will be the responsibility of North Birmingham Academy and will be funded via the school's budget.

7.4 Procurement Implications (if required)

7.4.1 The Local Authority's primary route for schemes of this type and proposed for this project is to use the CWM2 Framework Agreement Lot 2 (projects valued generally in excess of £5,000,000). The Local Authority is entitled to access this Framework Agreement. The Local Authority, in collaboration with Acivico Ltd, has been involved in selecting the most appropriate contractor for the project based on the Framework evaluation methodology. The Council has amended and added clauses to the call off contract specific to this project.

7.4.2 The procurement strategy was not previously reported to Cabinet and therefore this award has not been delegated.

7.4.3 The rules for calling off the Framework Agreement are to either undertake a further competition exercise or a direct award. The direct award route was selected to ensure that the programme timescales could be met. First phase expansion would need to ensure that classrooms were in place for occupation for the additional pupil intake in time for September 2023. Confirmation that direct award was approved by the Procurement Department for this project on 2 March 2022. Undertaking a further competition exercise would have added 8 weeks to the programme, which would have meant that the project would fall out of timescale and the risk of the necessary expansion work not being completed on time. This would have deferred the project for another year which is not acceptable.

7.4.4 Value for money is demonstrated by:

- A cost quality appraisal of the four CWM Lot 2 Contractors was undertaken based on the Framework's Direct Award Set Criteria. This utilises pre-set criteria with a fixed percentage ratio of 70% Cost 30% Quality.

- Under the Framework Set Criteria for Direct Awards, cost is based on the default rates taken from the Framework Pricing Schedules. This includes the respective contractors' preliminaries rates, utilisation factors, design fees, pre-construction fees and rates for Overheads & Profit.

- Quality was assessed using the quality scores awarded to the respective Contractors at Framework ITT stage which included Social Value as a key component of the evaluation matrix.

- Based on the evaluation methodology outlined above, Morgan Sindall was identified as the most economically advantageous contractor for this particular project.

7.4.5 Acivico Ltd has advised of a contingency figure of £542,000 to cover the project due to the unknowns which may be uncovered during the construction process as included in recommendation 2.1.

7.5 Human Resources Implications (if required)

7.5.1 N/A

7.6 Public Sector Equality Duty

7.6.1 A Full Equality Analysis EQUA650 was carried out in 2022 for Education Infrastructure's Schools' Capital Programme 2022-23. The outcomes from consultation demonstrate that proposed capital developments support positive outcomes for children, young people, their families and carers. No negative impact on people with Protected Characteristics was identified. It was concluded that sufficiency of educational places and opportunities for all children and young people contributes to providing positive life chances and supports a positive approach to Safeguarding in Birmingham: actively reducing the number of children and young people out of school helps to mitigate risk to their safety and wellbeing. We have assessed the content and can confirm that it is still relevant to the proposed expansion works referred to in this report by having a positive impact.

7.7 Environmental and Sustainability Implications

7.7.1 An Environment & Sustainability Assessment has been completed as attached (**Appendix B).**

8 List of Appendices

8.1 **Appendix A** - Full Business Case

8.2 **Appendix B** – Environment & Sustainability Assessment

9 Background Documents

9.1 Schools' Capital Programme –School Condition Allocation, Basic Need Allocation 2022-23+ Future Years Cabinet Report (Approved at Cabinet 26th April 2022)

APPENDIX A

FULL BUSINESS CASE (FBC)

A. GENERAL INFORMATION

A1. General

Project Title *(as per Voyager)*	**FULL BUSINESS CASE AND RECOMMENDED CONTRACT AWARD FOR NORTH BIRMINGHAM ACADEMY - EXPANSION OF EXISTING ACADEMY WITH A NEW THREE STOREY TEACHING BLOCK**		
Oracle code			
Portfolio /Committee	Children Young People and Families	**Directorate**	Children and Families
Approved by Project Sponsor	Jaswinder Didially	**Approved by Finance Business Partner**	Clare Sandland

A2. Outline Business Case approval *(Date and approving body)*

Schools Capital programme, Basic Need Allocation 2022-23 Future Years Cabinet Report was approved by Cabinet on 26th April 2022.

A3. Project Description

The project involves the expansion of the existing academy by 2 forms of entry from 6FE to 8FE with the construction of a new 3 storey teaching block linked to the existing building and internal alterations & remodelling to the existing school to accommodate 300 additional pupils between the ages of 11 and 19 years from September 2023 through to September 2027.

A4. Scope

This scheme involves works as described in the above project description

A5. Scope exclusions

No works outside this scope will be undertaken

B. STRATEGIC CASE

This sets out the case for change and the project's fit to the Council Plan objectives

B1. Project objectives and outcomes

The case for change including the contribution to Council Plan objectives and outcomes

- Birmingham is an aspirational city to grow up in
- Birmingham is a great city to live in
- Birmingham is an entrepreneurial city to learn, work and invest in
- Enjoy and achieve by attending school;
- Schools Capital Programme
- Compliance with the requirement of the 'Birmingham Business Charter for Social Responsibility'.

B2. Project Deliverables

These are the outputs from the project e.g. a new building with xm2 of internal space, xm of new road, etc

To expand the existing academy with a new three storey teaching block extension, linked to the existing building and remodel areas of the existing building.

The new extension will provide teaching and ancillary space to accommodate the additional intake of 300 pupils providing 2305.4 m2 of teaching and ancillary space.

Internal remodelling/refurbishment will create new servery, dining and food technology teaching space to support the existing and new pupil intake.

B3. Project Benefits

These are the social benefits and outcomes from the project, e.g. additional school places or economic benefits.

Measure	Impact
*List at least one measure associated with **each** of the objectives and outcomes in B1 above*	*What the estimated impact of the project will be on the measure identified – please quantify where practicable (e.g. for economic and transportation benefits)*
To allow continuation of education operations for North Birmingham Academy	Completing the extension and remodelling works will minimise disruption to pupils at North Birmingham Academy in the long-term, and it allows the Council to meet its statutory obligations for basic needs allocation
Support and enrich learning opportunities for children and young people.	On completion of the programme of works, pupils will have a fully functional safe, warm and dry environment before, during and after school hours.
Promoting designs which support Birmingham's Education Vision.	The extension and remodelling works will enhance the teaching and learning environment that are suitable for delivering education.

B4. Benefits Realisation Plan

Set out here how you will ensure the planned benefits will be delivered

The planned benefits will be delivered following completion of the new three storey teaching block extension and the remodelling works within the existing building by Acivico Ltd ensuring that Morgan Sindall as the successful contractor delivering the full programme of works to time and budget to provide a state of-the-art provision, successfully satisfying the City's drive towards net carbon zero emissions and a BREEM Rating of very good or better.

B5. Stakeholders

A stakeholder analysis is set out at G4 below.

C. ECONOMIC CASE AND OPTIONS APPRAISAL

This sets out the options that have been considered to determine the best value for money in achieving the Council's priorities

C1. Summary of options reviewed at Outline Business Case

(including reasons for the preferred option which has been developed to FBC)
If options have been further developed since the OBC, provide the updated Price quality matrix and recommended option with reasons.

- Doing nothing would mean the City Council would fail to meet its statutory obligation to provide sufficient Secondary School places for pupils of secondary school age within north Birmingham and the wider catchment area.
- Further resources could be allocated to other schools in other areas of the City however this is not the most effective use of Birmingham City Council funds and does not resolve the issue on increased Secondary pupil numbers in the north of the City.
- The recommended option is to expand the existing teaching site at the North Birmingham Academy and carry out the remedial works needed to the existing building so that it can

provide the proposed increased pupil intake of 300 extra pupils over the next 5 Years with a highly efficient, sustainable and safe teaching and learning environment.

C2. Evaluation of key risks and issues

The full risks and issues register is included at the end of this FBC

- Risks have been considered as part of the design process and a contingency sum of £542,000 has been allocated to the project.
- Regular two weekly meetings are held to ensure that all parties are informed of progress to ensure any concerns are picked up at the earliest opportunity and resolved to ensure that the programme stays on track.
- Working in a live site and ensuring Health & Safety is maintained. As the designated project manager, Acivico have many years' experience delivering large scale refurbishment projects of this nature and will safely co-ordinate the works in consultation with the North Birmingham Academy, and EDI.
- A project risk register will be maintained.

C3. Other impacts of the preferred option

Describe other significant impacts, both positive and negative

- Completion of the expansion and remodelling project will ensure pupils are not disrupted from their education needs and that the additional increase in pupil numbers is sufficiently catered for.

D. COMMERCIAL CASE

This considers whether realistic and commercial arrangements for the project can be made

D1. Partnership, Joint venture and accountable body working

Describe how the project will be controlled, managed and delivered if using these arrangements

Scheme will be delivered by Project Team as follows:

- Client for the project is Birmingham City Council.
- Project Manager services will be provided and carried out by Acivico.
- The End User will be North Birmingham Academy.
- Regular 2 – 4 weekly meetings will be held with the project team, including client and the end user.
- Programme will be monitored and developed to ensure that required timescales are achieved.
- Scheme costs are to be continually assessed, developed and monitored.

D2. Procurement implications and Contract Strategy:

What is the proposed procurement contract strategy and route? Which Framework, or OJEU? This should generally discharge the requirement to approve a Contract Strategy (with a recommendation in the report).

The procurement of this contract has been undertaken via the Constructing West Midlands Framework.

Due to the challenging timescales for the project to meet the new school academic year, a Pre-Construction Services Agreement (PCSA) for the value of £414,156 has been entered into with the recommended contractor to commence the detailed design and to place orders with their sub-contractors to provide a firm commitment. This covers RIBA stages 0-2. The total cost, inclusive of EDI fees of £414,516, is to be funded from the allocation of £2.000m of Basic Need Grant for the development of Feasibility Studies and has been approved under Chief Officer delegated authority by the Director of Children and Families.

Morgan Sindall Contractors were successfully selected via direct allocation through the Construction West Midlands (CWM) Framework Agreement Lot 2 utilising a set, previously approved criteria to achieve best value for money based on current DfE education space guidelines and industry benchmark rates, adopting a 70% to 30% Cost/Quality ratio to determine the most economically advantageous contractor through the weighting matrix. Through this selection process, Morgan Sindall came out as the most value for money, achieving an over weighting matrix

of 98.21%. Morgan Sindall will work with Acivico Ltd, who will act as the Project Manager to ensure value for money is achieved throughout Delivery.
D3. Staffing and TUPE implications:
None

Capital Costs & Funding	*Oracle Code (VFM) CONTRACTOR + CONTINGENCY*	Financial Year				Totals
		2022/23	**2023/24**	**2024/25**	**2025/26**	
Expenditure						
North Birmingham Academy						
Construction costs, incl. Surveys, Investigations, & Statutory Fees and contingency		£ 297,907	£ 7,225,800	£2,400,000	£165,500	£10,089,207
Acivico Fees		£ 218,445	£ 291,132	£ 107,712	£17,464	£634,753
FFE and other costs				£ 57,500		£57,500
Contingency			£ 442,000	£ 100,000		£542,000
EDSI Capitalisation		£ 15,490	£ 238,768	£ 79,956	£5,489	£339,703
Total Project Cost Excluding VAT		£ 531,842	£ 8,197,700	£ 2,745,168	£ 188,453	£11,663,163
Funding sources						
Resources Approved as per 2021/22 Capital Programme		£ 531,842	£ 8,197,700	£ 2,745,168	£ 188,453	£11,663,163
Totals		£ 531,842	£ 8,197,700	£ 2,745,168	£ 188,453	£11,663,163

APPENDIX A

E2. Evaluation and comment on financial implications:

The current costs for the project are based on costs received by 21/10/2022. In addition to the £11,663,163, a Pre-Construction Services Agreement (PCSA) has been drawn up, as per the new Constructing West Midlands 2 procurement framework requirement. In order to have a chance of making the timescales to complete this project for September 2024, £414,156 (inclusive of 3% EDI fees) has been committed at risk. This cost is to be funded from the allocation of £2.000m of Basic

Need Grant for the development of Feasibility Studies to inform Full Business Cases in order to deliver the Basic Need and High Needs Provision Programme (approved by Cabinet 26th April 2022). Without this approval, the contractors couldn't progress the design and orders, and the project wouldn't be able to progress over Summer 2023.
E3. Approach to optimism bias and provision of contingency
Contingency of £542,000 has been afforded and included in the total project cost, if required.
E4. Taxation *Describe any tax implications and how they will be managed, including VAT*
N/A

F. PROJECT MANAGEMENT CASE ***This considers how project delivery plans are robust and realistic***	
F1. Key Project Milestones *The summary Project Plan and milestones is attached at G1 below*	**Planned Delivery Dates**
Cabinet Approval	**February 2023**
Main Construction works	**April/May 2023 – July 2024**
Practical completion	**August 2024**

F2. Achievability
Describe how the project can be delivered given the organisational skills and capacity available

- Scope of work identified as in the project description.
- Extensive site investigation carried out.
- Project programme and costs have been developed.
- Funding is in place.
- Contractors have considerable previous experience.
- Similar projects have been delivered on budget and to time by the project team.

F3. Dependencies on other projects or activities

- Landlord Approval has been granted for the project.

F4. Officer support

Project Manager:	Zahid Mahmood 07860906126	Capital Programme Manager, Education Infrastructure zahid.mahmood@birmingham.gov.uk
Project Accountant:	Jaspal Madahar 07766922478	Finance & Resources Manager jaspal.madahar@birmingham.gov.uk
Project Sponsor:	Jaswinder Didially 07825 117334	Head of Education Infrastructure jaswinder.didially@birmingham.gov.uk

F5. Project Management
Describe how the project will be managed, including the responsible Project Board and who its members are

G. SUPPORTING INFORMATION
(Please adapt or replace the formats as appropriate to the project)

G1. PROJECT PLAN

Detailed Project Plan supporting the key milestones in section F1 above

1. Enter into PCSA – 18/05/2022
2. Planning approval – Feb 2023
3. Cabinet Member approval – Feb 2023
4. Start on site – April 2023
5. Completion – August 2024

The project plan will be outlined by Acivico who are operating as the project manager and the chosen contractor Morgan Sindall prior to the works starting to minimise disruption to the school and to ensure the project is completed within the estimated completion time of 03-04-2023 to 05-07-2024 (subject to pre-contract meeting and receiving order in time to meet timescales).

G2. SUMMARY OF RISKS AND ISSUES REGISTER

Risks should include Optimism Bias, and risks during the development to FBC
Grading of severity and likelihood: High – Significant – Medium – Low

		Risk after mitigation:	
Risk or issue	Mitigation	Severity	Likelihood
Delayed start date due to approval process	Attempts will be made to progress the Cabinet Report and FBC in time for a planned start date of April 2022 and completion date of July 2024	High	High
Building costs escalate	The project team will closely monitor the schedule of works and build costs. Cost schedules include contingency sums. Any increases in materials and labour will be mitigated by a fixed price contract with robust contract management by the Council's technical advisor, Acivico Ltd.	Medium	High
Building works fall behind	The project team will closely monitor schemes on site and liaise with Contractor Partners to identify action required.	Medium	Medium
Impact of the Covid-19 pandemic and war in Ukraine on the delivery of the construction project.	Regarding availability of materials and labour. The impact of Brexit, Covid-19 and the situation in Eastern Europe may result in an increased risk of a shortage of materials.	High	Medium

G3. EXTERNAL FUNDING AND OTHER FINANCIAL DETAILS

Description of external funding arrangements and conditions, and other financial details supporting the financial implications in section E1 above (if appropriate)

N/A

G4. STAKEHOLDER ANALYSIS

Stakeholder	Stake in project	Potential impact on project	What does the project expect from stakeholder	Perceived attitudes and/or risks	Stakeholder management strategy	Responsibility
Cabinet Members for ES&C and F&R	Strategic Overview of DGCF expenditure	High	Approval of Cabinet Member report and expenditure for project.	Strategy not approved	Early Consultation and Regular Briefing on all aspects of Basic Need	BCC / EDI
EDI's Consultant Partners (Acivico)	Design and Delivery	High	To support delivery and programme management.	Unable to design to budget Unable to deliver to timescales	Close working with other stakeholders Regular feedback	BCC/EDI /Acivico
School Leadership Team / Governors	Governing Body Agreement and End Users	High	Compliance with GBA Ongoing Revenue costs for R&M once works complete	N/A	Governing Body Agreement signed and regular project meetings	School Leadership Team/Academy Trust/ Governing Body EDI Project Officer
Pupils	End user	Low	Consultation	Nil	Through school's council	School Leadership Team

G5. BENEFITS REGISTER ***For major projects and programmes over £20m, this sets out in more detail the planned benefits. Benefits should be monetised where it is proportionate and possible to do so, to support the calculation of a BCR and NPSV (please adapt this template as appropriate)***			
Measure	**Annual value**	**Start date**	**Impact**
*List at least one measure associated with **each** of the outcomes in B1 above*			*What the estimated impact of the project will be on the measure identified*
(A) Monetised benefits:	£		
(B) Other quantified benefits:			
(C) Non-quantified benefits:	n/a		

Other Attachments *provide as appropriate*	
•	

Birmingham City Council

Environment and Sustainability Assessment

Birmingham City Council is required to assess any positive or negative impacts that any policy/strategy/ decision/development proposal is likely to have on the environment. This assessment must be completed for CLT and Cabinet reports where appropriate. It is the responsibility of the Service Director signing off the report to ensure that the assessment is complete.

To complete the assessment, you should consider whether the proposal will have a positive or a negative impact on each of the key themes by placing a (√) for positive, (x) for negative and (?) for unclear impact, and (N/A) for non-applicable impact. Further guidance on the completion of the template is available on page 3 below.

Project Title:	**North Birmingham Academy –** Erection of extension to main school building with associated landscaping	
Directorate:	**Team: Children & Families**	**Person Responsible for assessment:**
Date of assessment: 15/12/22	**Is it a new or existing proposal? New proposal**	
Brief description of the proposal: Construct a 3 storey teaching block, linked into the existing school building. Remodelling to existing building at the North Birmingham Academy site. Significant expansion on the site with the creation of additional dining & servery and teaching space including general classrooms, specialist science, food technology and library/resource space. This project will create an additional 300 student places at the North Birmingham Academy from September 2023 – September 2027		

Potential impacts of the policy/development/ decision on:	**Positive Impact**	**Negative Impact**	**No Specific Impact**	**What will the impact be? If the impact is negative, how can it be mitigated, what action will be taken?**
Natural Resources - including water, soil, air			✓	Neutral impact – no significant change of use or demolition; remaining as Education Buildings.
Energy use and CO_2 emissions	✓			Sustainability, in the form of energy demand reduction and carbon dioxide (CO2) mitigation is high on the agenda for this project. As the existing school building was completed in 2013, the existing building thermal envelope is already at a high standard and the existing services are relatively new (including a low carbon energy system in the form of a biomass boiler and site wide BMS & energy monitoring system).

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010920/2023

				In summary: • Installation of a new low carbon heating system (Air Source Heat Pump). • Excellent thermal envelope performance (betterment over Part L2 values). • Ultra-low SFP Hybrid Natural with Heat Recovery Ventilation Systems. • High efficiency LED lighting with intelligent controls and daylight harvesting. With robust design, the target proposed for the new-build section of the building is 5.00m3 /m2 /hr @ 50Pa. This compares to the current Part L Building Regulations standard of 8m3 /m2 /hr @ 50Pa and hence represents an improvement of 38%
Quality of environment	✓			Quality of the expansion will be to match the specific needs of the students to be in occupation better than the standard of the existing accommodation. E.g more daylighting, more modern teaching spaces.
Impact on local green and open spaces and biodiversity	✓			The proposals will increase the biodiversity of the site by 14.4% introducing more habitats to the space. The existing football pitch is to be refurbished and a plan is being developed with the school to make all of the facilities more accessible to the public.
Use of sustainable products and equipment	✓			By retaining existing structures and repurposing, continued use of the existing materials is optimised which reduces the scale of the new building. Heat pumps are being used as the primary source of heat and there will be no gas to the new building. A sustainable temporary haul road is being used to minimise vehicle movements, use of raw materials and waste to landfill.

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Minimising waste		✓		The project will use recycled materials where possible and details will be developed to reduce waste in the manufacturing process. Segregated waste skips will be used on site for recycling and reduction of landfill.
Council plan priority: a city that takes a leading role in tackling climate change	✓			The plans represent a betterment over the minimum requirements for Building Regulations, in terms of insulation values and energy use. The project is also targeting a BREEAM rating of Very Good. The new scheme will encourage staff to car share and dedicated parking spaces will be provided for those that take up this challenge. Electric vehicle charging points are also being installed to encourage the use of EVs.
Overall conclusion on the environmental and sustainability impacts of the proposal	By selecting materials with improved life expectancy and improved recyclability, the sustainability of the site will be improved, and by significantly over-specifying insulation, air tightness and heating and ventilation system performance through targeted upgrade with more efficient and lower energy consumption units, there will be a reduction in the demand on natural resources and carbon emissions associated with the buildings when compared to a standard building. Measures are also being taken to improve travel arrangements for students and staff alike, through the Travel Plan and car share promotion. Electric vehicle charge points are also being provided by the scheme.			

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Birmingham City Council

Guidance for completing the template

Theme	Example
Natural Resources - Impact on natural resources including water, soil, air.	Does the decision increase water use? Does the decision have an impact on air quality? Does the decision discourage the use of the most polluting vehicles (private and public) and promote sustainable modes of transport or working from home to reduce air pollution? Does the decision impact on soil? For example, development will typically use water for carrying out various operations and, once complete, water will be needed to service the development. Providing water to development and treating affluent water requires energy and contributes to climate change. Some of the activities including construction or disposal of waste may lead to soil pollution. The decisions may lead to more journeys thereby deteriorating air quality and thus contribution to climate change and greenhouse gases.
Energy use and CO_2 emissions.	Will the decision have an impact on energy use? Will the decision impact on carbon emissions? Most day-to-day activities use energy. The main environmental impact of producing and using energy such as electricity, gas, and fuel (unless it is from a renewable source) is the emission of carbon dioxide.
Quality of environment.	Does the decision impact on the overall quality of the built environment? Decisions may have an impact on the overall setting, character and distinctiveness in the area. For example, if development involves ground digging and excavations etc. it may have an impact on the local archaeology.
Impact on local green and open spaces and biodiversity	The proposal may lead to localised impacts on the local green and open spaces which may have an impact on local biodiversity, trees and other vegetation in the area. Will the proposal lead to loss (or creation) of green and blue infrastructure? For example, selling an open space may reduce access to open space within an area and lead to a loss of biodiversity. However, creating a new open space would have positive effects.
Use of environmentally sustainable products, equipment and packaging'	Will the decision present opportunities to incorporate the use of environmentally sustainable products (such as compostable bags, paper straws etc.), recycled materials (i.e. Forest Stewardship Council (FSC) Timber/wood), non-polluting vehicles, avoid the use of single use plastics and packaging.
Minimising waste	Will the decision minimise waste creation and the maximise recycling during the construction and operation of the development/programme/project?

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	Will the decision provide opportunities to improve recycling? For example, if the proposal involves the demolition of a building or a structure, could some of the construction materials be reused in the new development or recycled back into the construction industry for use on another project?
Council plan priority: a city that takes a leading role in tackling climate change and deliver Route to Zero.	How does the proposal or decision contribute to tackling and showing leadership in tackling climate change and deliver Route to Zero aspirations?

If you require further assistance with completing this template, please contact: ESAGuidance@birmingham.gov.uk

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Birmingham City Council

Report to Cabinet

14th February 2023

Subject:	**ADMISSION ARRANGEMENTS AND PUBLISHED ADMISSION NUMBERS FOR MAINTAINED AND VOLUNTARY CONTROLLED SCHOOLS AND THE LOCAL AUTHORITY CO-ORDINATED SCHEME 2024/2025**
Report of:	**Sue Harrison, Director Children and Families**
Relevant Cabinet Member:	**Cllr Karen McCarthy – Children Young People and Families**
Relevant O&S Chair(s):	**TBC**
Report author:	**Lisa Fraser AD - Education and Early Years, Education and Skills** **Tel: 0121 675 8521 / MS Teams** **Email:** lisa.fraser@birmingham.gov.uk

Are specific wards affected? If yes, name(s) of ward(s):	☐ Yes	☒ No – All wards affected
Is this a key decision? If relevant, add Forward Plan Reference: 010921/2023	☒ Yes	☐ No
Is the decision eligible for call-in?	☒ Yes	☐ No
Does the report contain confidential or exempt information? If relevant, state which appendix is exempt, and provide exempt information paragraph number or reason if confidential:	☐ Yes	☒ No

1 Executive Summary

1.1 All admission authorities, of which Birmingham City Council is one, are required to set ('determine') admission arrangements annually by 28 February. The arrangements so determined will apply to the next-but-one academic year (i.e., arrangements determined on 28 February 2023 will apply to the academic year 2024/25). Where changes are proposed to admission arrangements, the admission authority must first publicly consult on those arrangements by 31 January each year. If no changes are made to admission arrangements, they must be consulted on at least every seven years. The Local Authority is also required to determine, on an annual basis, a Co-ordinated Admissions Scheme which is to apply to the next-but- one academic year, and to inform the Secretary of State that such a scheme has been adopted by no later than 28 February each year. Where substantial changes are proposed to the Co-ordinated Scheme from that adopted from the previous academic year, the Local Authority must consult the other admission authorities in the area.

1.2 Substantial changes are not proposed to the Co-ordinated Scheme for 2024/2025.

1.3 The decision to consult on the local authority's admission arrangements was due to the proposed changes to the Published Admission Numbers of fifteen schools (other related changes are minor).

1.4 The purpose of this document is to report the outcome of the consultation on the proposed admission arrangements, including Published Admission Numbers, for maintained schools (also referred to as community schools) and voluntary controlled schools for the academic year 2024/2025; agree the admission arrangements for maintained and voluntary controlled schools, including Published Admission Numbers, as detailed in **Appendix 1A** and **Appendix 1B** respectively; and agree the proposed Co-ordinated Scheme for admissions to schools (**Appendix 2**) for the academic year 2024/2025.

2 Recommendations

2.1 That Cabinet approves the:

2.1.1 Proposed admission arrangements, including Published Admission Numbers, for maintained and voluntary controlled schools for the academic year 2024/2025, as set out in **Appendices 1A** and **1B**.

2.1.2 Proposed scheme for co-ordinated admissions to schools for the academic year 2024/2025, as set out in **Appendix 2**.

3 Background

3.1 Admission authorities must set (determine) admission arrangements annually. Where changes are proposed to admission arrangements, it is a statutory requirement that the admission authority must first publicly consult on those arrangements. The proposed admission arrangements for maintained (also referred to as community schools). and voluntary controlled schools include the criteria by which school places are allocated when a school receives more applications than places.

3.2 The Local Authority is also required to determine, on an annual basis, a Co-ordinated Admissions Scheme which is to apply to the next-but-one academic year, and to inform the Secretary of State that such a scheme has been adopted by no later than 28 February each year. Where substantial changes are proposed to the Co-ordinated Scheme from that adopted from the previous academic year, the local authority must consult the other admission authorities in the area.

3.3 The Co-ordinated Admissions Scheme includes key dates for co-ordinating admissions with other admission authorities for the normal secondary transfers, entry to reception class, year 2-3 and year 14-19 rounds, as well as appeals and waiting list arrangements.

3.4 All admission authorities, aside from those for 14-19 schools/University Technical Colleges, who are able to opt out, must participate in co-ordination and provide the local authority with the information it needs to co-ordinate admissions by the dates agreed within the scheme.

3.5 The number of pupils admitted to resource bases is not included in a school's overall Published Admission Number (PAN). Resource bases are units at mainstream schools with specially resourced provision (staff and facilities) to support children with an Education, Health and Care Plan (EHCP).

3.6 The consultation process included the proposals to reduce the PAN of fourteen maintained and voluntary controlled schools and to increase the PAN of one maintained school for September 2024. Following the consultation with schools and governing bodies, the table below confirms the recommended reductions at seven primary schools and one secondary school and increases at one secondary school. Feedback received from schools regarding a proposed reduction has focused on the implications of reductions to PAN including any impact on staffing or finances in light of forecast falling roll. In addition, and in line with conversations happening with admission authorities across the city, a

number of academy schools and Voluntary Aided schools are also seeking to reduce their PAN through the relevant decision maker.

DfE	School Name	Phase	Type	Intake	PAN 2023	PAN 2024	Change	Comments
2435	Benson Maintained School	Primary	Maintained School	Reception	60	45	-15	Proposed reduction as a result of forecast local surplus places.
2079	George Dixon Primary School	Primary	Maintained School	Reception	60	30	-30	Proposed reduction as a result of forecast local surplus places
2441	Kingsthorne Primary School	Primary	Maintained School	Reception	60	45	-15	Proposed reduction as a result of forecast local surplus places
2189	Ladypool Primary School	Primary	Maintained School	Reception	60	30	-30	Proposed reduction as a result of forecast local surplus places
2150	Park Hill Primary School	Primary	Maintained School	Reception	60	30	-30	Proposed reduction as a result of forecast local surplus places
2183	St Benedict's Primary School	Primary	Maintained School	Reception	60	30	-30	Proposed reduction as a result of forecast local surplus places
2246	The Meadows Primary School	Primary	Maintained School	Reception	90	60	-30	Proposed reduction as a result of forecast local surplus places
4063	Kings Heath Boys	Secondary	Maintained School	Year 7	120	168	+48	Additional places to support local demand as part of ongoing expansion programme.
4193	Wheelers Lane Technology College	Secondary	Maintained School	Year 7	134	130	-4	Return to original PAN as a result of building constraints.

4 Timeline for consultation and determining admission arrangements and the Local Authority Co-ordinated Scheme

4.1 5th December 2022 - 23rd January 2023 Consultation on proposed admission arrangements, including PANs for maintained and voluntary controlled schools, was published on the Council's website: www.schooladmissions@birmingham.gov.uk and comments can be made at Birmingham BeHeard: www.birminghambeheard.org.uk

4.2 **28th February 2023**: Admission arrangements, including PANs for maintained and voluntary controlled schools and the Local Authority Co-ordinated Scheme, must be formally agreed (determined) by this date.

4.3 **15th March 2023:** Admission arrangements, including PANs for maintained and voluntary controlled schools, as well as all own authority schools in Birmingham and the Local Authority Co-ordinated Scheme, will be published on the Council's website: www.birmingham.gov.uk/schooladmissions.

5 Options considered and recommended proposal

5.1 It is not a viable option for the Council to not determine the relevant school admission arrangements or a co-ordinated scheme. To comply with the Local Authority's duties to determine primary and secondary admission numbers and admission arrangements, and to have a single scheme for co-ordinating admissions to schools for 2024/2025, it is proposed that Cabinet approves the admission arrangements including PANs for maintained and voluntary controlled schools for the academic year 2024/2025 (September 2024 entry) as set out in **Appendices 1A and 1B**, and approves the Scheme for Co-ordinated Admissions to schools for the academic year 2024/2025, as set out in **Appendix 2**.

5.2 The admission arrangements are proposed after due consideration of all related consultation feedback. The approval of these arrangements and the Co-ordinated Scheme will support the Corporate Plan, particularly outcome 2, 'Birmingham is an aspirational city to grow up in', and its related priorities:

- 'We will improve protection of vulnerable children and young people.'
- 'We will work with Early Years and schools to improve educational attainment and standards.'
- 'We will inspire our children and young people to be ambitious and achieve their full potential.'

6 Consultation

5.2.1 External

- Governing bodies of maintained and voluntary controlled primary and secondary schools in Birmingham.

- Governing bodies of academies, voluntary aided and foundation primary and secondary schools (admission authorities) in Birmingham.

- Neighbouring local authorities (admission authorities that share a boundary with Birmingham).

- An email was sent to all Birmingham schools asking them to include in their newsletters details of where parents could view the proposed admission arrangements.

- An email was sent to Birmingham nurseries.

- Information regarding the consultation was included on the School Noticeboard on 1st December 2022.

- Information regarding the consultation was published on Birmingham City Council's social media sites (Twitter, Facebook and Linked In) on 5 December 2022.

- The consultation was published on the Birmingham City Council website to ensure all Birmingham residents and parents of all children aged between 2 and 18 had the opportunity to contribute to it.

- Consultation with the religious bodies representing schools of a religious denomination took place via email.

- The consultation was published on the 'BeHeard' website. Consultation was based on the proposed admission arrangements for maintained and voluntary controlled schools (**Appendix 1A**), including the proposed Published Admission Numbers set out in **Appendix 1B**.

- The fifteen schools whose PANs are proposed to change have been consulted on the proposed reductions or increases in their respective Published Admission Numbers.

5.2.2 <u>Internal</u>

- An email was sent to all Councillors on 1 December 2022 inviting comments on the on the proposed admission arrangements for maintained and voluntary controlled schools including the proposed Published Admission Numbers.

- Senior Council Officers from Special Educational Needs Assessment and Review (SENAR), School Organisation, Early Years, Alternative Provision, SENDIASS, Access 2 Education and Birmingham Children's Trust were consulted.

5.2.3 Four consultation responses were received during the consultation. Respondents

could have potentially responded to one or more areas of the consultation.

5.2.4 The first respondent was in relation to the proposed reduction in the published admission number at Summerfield Primary School from someone claiming to work at the school. The response was: 'The proposed admission number will have no impact upon the staffing levels but will impact the revenue the pupils bring into school which will impact the school as a whole'.

5.2.5 The second respondent was in relation to a different consultation taking place so was submitted in error and is therefore not relevant.

5.2.6 The third respondent was from a parent that was happy with the sibling priority. The response was: Good priority is given to siblings as parents cannot physically drop two children to different schools so this should remain a priority.

5.2.7 The fourth respondent commented on the measuring points for schools. The response was: The point on a school site admissions distances are measured from varies school by school. How can this make the admissions process fair?

5.2.8 To confirm in relation to the fourth respondent's comment, all measuring points for Birmingham maintained and voluntary controlled schools are in accordance with 1.13 of the School Admissions Code (1 September 2021).

7 Risk Management

7.1 The Council is legally required to determine the admission arrangements for maintained and voluntary controlled schools, to determine a co-ordinated scheme which explains the co-ordination of arrangements for all publicly funded schools in the Birmingham area, and to consult as appropriate.

7.2 The approach outlined in this report is designed to ensure that the Council meets its related statutory requirements.

7.3 The proposed decreases and increase in the Published Admission Numbers of the listed schools (see **Appendix 1B**) supports the Council in meeting its statutory requirements to provide sufficient school places.

8 Compliance Issues:

8.1 How are the recommended decisions consistent with the City Council's priorities, plans and strategies?

8.1.1 The determining of the admission arrangements and the Local Authority Co-ordinated Scheme for 2024/2025 will support the Council Plan, particularly outcome 2, 'Birmingham is an aspirational city to grow up in', and its related priorities: -

- 'We will improve protection of vulnerable children and young people.'

- ‘We will work with Early Years and schools to improve educational attainment and standards.’
- ‘We will inspire our children and young people to be ambitious and achieve their full potential.’

8.2 Legal Implications

8.2.1 The Council has duties under Part III of the School Standards and Framework Act 1998, in particular sections 88C and 88M, the School Admissions (Admission Arrangements and Co-ordination of Admission Arrangements) (England) Regulations 2012, the statutory School Admissions Code, September 2021, and statutory School Admissions Appeals Code, October 2022, to determine the admission arrangements for maintained schools for which the authority is the admission authority, and to formulate a qualifying scheme for co-ordinating the arrangements for the admission of pupils to maintained schools and academies in the authority’s area.

8.3 Financial Implications

8.3.1 The direct costs associated with managing these admission arrangements are funded from the School Admissions, Attendance, Exclusions and Pupil Tracking Service budget, Children and Families Directorate. Revenue costs associated with pupil places in schools are funded directly from the Dedicated Schools Grant. Any changes to pupil numbers will result in either a reduction or increase to this Dedicated Schools Grant.

8.4 Procurement Implications (if required)

8.4.1 There are no direct procurement issues.

8.5 Human Resources Implications (if required)

8.5.1 There are sufficient officers in place in Schools Admissions and Fair Access Team to ensure that the proposals set out in this Cabinet report can be successfully delivered. There are no other human resources implications resulting from this report.

8.6 Public Sector Equality Duty

8.6.1 The Local Authority has a statutory duty to co-ordinate centrally the admission arrangements of all schools in its area. The admission arrangements for maintained and voluntary controlled schools aim to provide for equality of access by parents and their children. The authority’s admission criteria do not disadvantage particular social groups or those with special educational needs. There is no anticipated adverse impact on those individuals with protected

characteristics. The admission arrangements and Co-ordinated Scheme are designed to ensure a fair and transparent system for school admissions and consider the needs of vulnerable groups including children with Education, Health and Care Plans and Looked After and Previously Looked After Children.

8.7 Environmental and Sustainability Implications

8.7.1 There are no direct environmental and sustainability implications.

9 Appendices

1A - Proposed Admission Arrangements for maintained and Voluntary Controlled Schools September 2024-25.

1B - Proposed Published Admission Numbers for maintained and Voluntary Controlled Schools September 2024-25.

2 - Proposed Scheme for Co-ordinated Admissions to Schools September 2024- 25.

10 Background Documents

- School Standards and Framework Act 1998.
- School Admissions (Admission Arrangements and Co-ordination of Admission Arrangements) (England) Regulations 2012.
- School Admissions Code statutory guidance issued by DfE – September 2021.
- School Admission Appeals Code statutory guidance issued by the DfE – October 2022.

Birmingham City Council

PROPOSED ADMISSION ARRANGEMENTS FOR MAINTAINED AND VOLUNTARY CONTROLLED SCHOOLS FOR 2024 / 2025 ACADEMIC YEAR FOR THE YEAR OF ENTRY AND IN-YEAR ADMISSIONS

1. Birmingham Local Authority (maintained and voluntary controlled infant, primary and secondary schools)

1.1. Any child with an Education, Health and Care Plan is required to be admitted to the school that is named in the plan. This gives such children overall priority for admission to the named school. **This is not an oversubscription criterion and applies to all rounds of admission.**

1.2. Oversubscription criteria

The local authority is the admission authority for maintained and voluntary controlled schools. Children are admitted to schools in accordance with parental preference as far as possible. However, where there are more applications than there are places available, places at maintained and voluntary controlled schools will be offered based on the following order of priority (except those schools set out in paragraphs 2, 3, 4 and 5 below):

1.3. Looked after children or children who were previously looked after (including previously looked after children from outside England).

1.4. Children with a brother or sister already at the school who will still be in attendance at the time the child enters the school, excluding those children attending nursery or a sixth form (and excludes those in year 6 at the time of the application).

1.5. In the case of voluntary controlled Church of England primary schools, children whose parents have made applications on denominational grounds. This will be confirmed by the parent/carer by filling in the supplementary information form and getting section B completed by the Priest/Minister of the relevant church. Details of schools that use denominational criteria can be viewed in section 6.

1.6. Children who live nearest to the school.

1.7. Within each of the categories above, priority is given to those who live nearest to the school, measured in a straight line from the child's home address to a designated point on the school premises (see 11).

1.8. Admission to a nursery school or nursery class does not give the child any priority or additional right to transfer to the Reception year of the primary or infant school to which the nursery is linked or attached. A separate application must be made.

2. Oversubscription criteria for Year 2 to Year 3 Transfers

2.1. Looked after or previously looked after children (including previously looked after children from outside England).

2.2. Linked Schools: Children who will be attending the linked Infant School at the time of application and will still be in attendance at the end of Year 2. (A list of linked infant and junior schools is available in the primary prospectus and on the School Admissions webpage.

2.3. Children with a sibling already at the Infant or Junior School who will still be in attendance at the time the child enters the school.

2.4. Children who live nearest to the school.

2.5. Within each of the categories above, priority is given to those who live nearest to the school, measured in a straight line from the child's home address to a designated point on the school premises.

3. Chilcote Primary, Hall Green Infant and Hall Green Junior schools

3.1. Chilcote Primary, Hall Green Infant and Hall Green Junior schools each have catchment areas. At these schools, the order of priority for admission is as follows:

3.1.1. Looked after or previously looked after children (including previously looked after children from outside England).

3.1.2. Children living within the catchment area of the school who will have a sibling in attendance at the school at the time the child enters the school.

3.1.3. Children living within the catchment area of the school who live nearest to the school.

3.1.4. Children living outside the catchment area of the school who will have a sibling in attendance at the school at the time the child enters the school.

3.1.5. Children living outside the catchment area who live nearest to the school.

3.1.6. Within each of the categories above, priority is given to those who live nearest to the school.

4. Over-subscription criteria for Year 2 to Year 3 Transfer - Hall Green Junior

4.1. Looked after or previously looked after children (including previously looked after children from outside England).

4.2. Children attending Hall Green Infant School.

4.3. Children who are attending the school at the time of the application and will still be in attendance at the end of Year 2.

4.4. Children living within the catchment area of the school who will have a sibling in attendance at the Infant or Junior school at the time the child enters the school.

4.5. Children living within the catchment area of the school who live nearest to the school.

4.6. Children living outside the catchment area of the school who will have a sibling in attendance at the Infant or Junior school at the time the child enters the school.

4.7. Children living outside the catchment area who live nearest to the school.

4.8. Within each of the categories above, priority is given to those who live nearest to the school.

5. Sixth Form entry requirements for Maintained Schools

5.1. Mainstream sixth form places for year 12 and above are not coordinated by the Local Authority, and applications should be made directly to the school(s) concerned. Children with an Education, Health and Care Plan will have a SENAR Post 16 preference form sent to their current school for them to complete.

5.2. Each school that admits pupils into Year 12 is required to publish in the school prospectus the minimum academic criteria for entry into the sixth form. This is the same for both external and internal places. Details of the academic requirements for each course can be obtained by contacting the school.

5.3. Children and their parents applying for sixth form places may use the Local Authority Preference Form, although if they are already on roll at the school they are not required to do so in order to transfer into year 12. Internal applicants who meet the minimum academic entrance requirements will be offered a place automatically.

5.4. The following oversubscription criteria will be used for external applicants who meet the minimum academic entry criteria when there are more applications than places available:

a) Looked after or previously looked after child (including previously looked after children from outside England).
b) Proximity of the child's home to the school, with those living nearer accorded the higher priority.

5.5. Applicants refused a place in Year 12 are entitled to appeal to an independent appeal panel.

5.6. The secondary maintained schools listed below will admit the following number of children externally into Year 12:

Bordesley Green Girls' School: 10
Holte Visual and Performing Arts College: 20
Swanshurst School: 20

6. Voluntary controlled Church of England denominational criteria

6.1. Christ Church CE Primary School

Any child whose parent/carer regularly attends the local Church of England Parish Church (Christ Church, Farm Road, B11). Regular is defined as meaning once a month for the twelve-month period prior to the date of the application. This will be confirmed by the parent/carer filling in the supplementary information form and getting section B completed by the local minister.

In the event that during the period specified for attendance the church has been closed for public worship and has not provided alternative premises, the requirements of these admissions arrangements in relation to attendance will only apply to the period when the church or alternative premises have been available for public worship.

A Supplementary Information Form is used at Christ Church CE Primary School. Please see section 6.5 below.

6.2. St James CE Primary School

Any child whose parent/carer regularly attends St James' Church, Handsworth. Regular is defined as meaning once a month for the twelve-month period prior to the date of the application. This will be confirmed by the parent/carer filling in the supplementary information form and getting section B completed by the Parish Priest.

In the event that during the period specified for attendance the church has been closed for public worship and has not provided alternative premises, the requirements of these admissions arrangements in relation to attendance will only apply to the period when the church or alternative premises have been available for public worship.

A Supplementary Information Form is used at St James CE Primary School. Please see section 6.5 below.

6.3. St Matthew's CE Primary School

Any child whose parent/carer regularly attends any Church of England church. Regular is defined as meaning once a month for the twelve-month period prior to the date of the application. This will be confirmed by the parent/carer filling in the supplementary information form and getting section B completed by the local minister.

Any child whose parent/carer regularly attends any other Christian church. 'Any other Christian church' is defined as a church which is Designated under the Ecumenical Relations Measure 2018, nationally by the Archbishops of Canterbury and York, or locally by the diocesan bishop, or which is a member of Churches Together in England, or affiliated to the Evangelical Alliance or a Partner Church of Affinity. The list of nationally Designated churches can be found at: List of designated churches Regular is defined as meaning once a month for the twelve-month period prior to the date of the application. This will be confirmed by the parent/carer filling in the supplementary information form and getting section B completed by the local minister.

In the event that during the period specified for attendance the church has been closed for public worship and has not provided alternative premises, the requirements of these

admissions arrangements in relation to attendance will only apply to the period when the church or alternative premises have been available for public worship.

A Supplementary Information Form is used at St Matthew's CE Primary School. Please see section 6.5 below.

6.4. St Saviour's CE Primary School

Any child whose parent/carer regularly attends the local Church of England Parish Church (St Saviour's, St Saviour's Road). Regular is defined as meaning once a month for the twelve-month period prior to the date of the application. This will be confirmed by the parent/carer filling in the supplementary information form and getting section B completed by the local minister.

Any child whose parent/carer regularly attends any other Church of England church. Regular is defined as meaning once a month for the twelve-month period prior to the date of the application. This will be confirmed by the parent/carer filling in the supplementary information form and getting section B completed by the local minister.

Any child whose parent/carer regularly attends any other Christian church. 'Any other Christian church' is defined as a church which is Designated under the Ecumenical Relations Measure 2018, nationally by the Archbishops of Canterbury and York, or locally by the diocesan bishop, or which is a member of Churches Together in England, or affiliated to the Evangelical Alliance or a Partner Church of Affinity. The list of nationally Designated churches can be found at: List of designated churches Regular is defined as meaning once a month for the twelve-month period prior to the date of the application. This will be confirmed by the parent/carer filling in the supplementary information form and getting section B completed by the local minister.

In the event that during the period specified for attendance the church has been closed for public worship and has not provided alternative premises, the requirements of these admissions arrangements in relation to attendance will only apply to the period when the church or alternative premises have been available for public worship.

A Supplementary Information Form is used at St Saviours' CE Primary School. Please see section 6.5 below.

6.5. Supplementary Information Form for Birmingham City Council's Voluntary Controlled Schools

This form is only to be completed if applying under denominational grounds criteria for Christ Church CE Primary School, St James CE Primary School, St Matthew's CE Primary School and St Saviour's CE Primary School

Section A: Must be completed by the parent/carer.

Section B: Must be completed by the Priest/Minister from the relevant Church/Faith centre.

Notes for Parents:

1. Please make sure **both** section A and B are **completed and return the completed form directly to the school.** One form needs to be completed for each school.

For Reception entry applications for September 2024, this form must be returned directly to the relevant school by 15 January 2024.

2. This form is only a part of your application for a place at the school.

For September 2024 admissions, you **must** also complete your home Local Authority's Common Application form by 15 January 2024. For Birmingham residents, details of how to make your online application can be found at: www.birmingham.gov.uk/schooladmissions.

For in-year admissions, you **must** also submit an application directly to the schools. You can ask the school for a form, or you can use the Birmingham in-year application form, available at: In-Year Application

Section A

Name of School: _____

Child's Surname: _____

Child's First name(s): _____

Date of Birth: _____

Parent/carer's name(s): _____

Home Address: _____

Postcode: _____

Section B (To be completed by the Priest/Minister/Faith leader)

I confirm that the parent named above has attended:

_____**Church/Faith centre**

For public worship, at least once a month for the twelve month period prior to the date of application*****

*****In the event that during the period specified for attendance the church has been closed for public worship and has not provided alternative premises, the requirements of these admissions arrangements in relation to attendance will only apply to the period when the church or alternative premises have been available for public worship.

Signature of Priest/Minister/Faith leader: _____

Date: _____

Name of Priest/Minister/Faith leader: _____

Please return this completed form directly to the relevant school(s) by email or post on the details below.

Christ Church CE Primary School
Email address: enquiry@christch.com
School address: Claremont Road, Sparkbrook, Birmingham B11 1LF

St James CE Primary School
Email address: enquiry@stjamesce.bham.sch.uk
School address: Sandwell Road, Handsworth, Birmingham B21 8NH

St Matthew's CE Primary School
Email address: enquiry@st-matthews.bham.sch.uk
School address: Duddeston Manor Road, Nechells, Birmingham B7 4JR

St Saviour's CE Primary School
Email address: enquiry@stsav.bham.sch.uk
School address: Alum Rock Road, Saltley, Birmingham B8 1JB

Please note that as well as completing this Supplementary Application Form and returning it directly to the school, you must also complete your home Local Authority's Common Application Form for entry into Reception, or an In-Year Application Form if applying for an in-year place. If you fail to do this, your application will be deemed incomplete and therefore invalid.

7. Waiting lists

7.1. Parents whose children have not been offered a place at one or more of their higher preference schools will be informed of their right of appeal and will be added to their preferred schools' waiting lists. Parents will be advised that inclusion on a school's waiting list does not mean a place will eventually become available there.

7.2. Waiting lists will be created following the refusal of places and are subject to change. Any new applicants to whom it is not possible to offer a place will be added to each school's waiting list in accordance with the relevant oversubscription criteria. This means that a child's waiting list position during the year could go up or down. Places will not normally be allocated from waiting lists until after the time for refusal of offers has expired and the number of places offered and accepted has been confirmed. This process will normally take approximately 3 weeks.

7.3. The School Admissions and Fair Access Service, on behalf of the Local Authority, will maintain waiting lists for maintained and voluntary controlled schools for the summer term of the academic year.

7.4. At the start of the autumn term each year, the School Admissions and Fair Access Service will give maintained and voluntary controlled schools their waiting lists to maintain following the end of the normal round of admissions. Waiting lists will be maintained until the end of the academic year in July 2025. Waiting lists will be disbanded after the end of the academic year. Parent/carers that wish to remain on a school's waiting list will need to make an In-Year Application for a place at the school from start of term in September 2025.

7.5. Waiting lists for voluntary aided and foundation schools, academies and free schools in Birmingham will be maintained by the schools and Academies on behalf of their Governing Bodies. The Local Authority may require sight of the waiting lists at these schools, in order to determine that the co-ordinated scheme is operating effectively.

8. Appeals

8.1. Where parents are refused a place at a school that they have expressed a preference for/applied for, arrangements exist for appeals to be heard by an appeals panel that is independent of the admission authority for the school.

8.2. Parents can only appeal for schools for which they have expressed a preference for/applied for and where their application has been refused.

8.3. In the case of appeals for Reception, Year 1 and Year 2, because infant classes have a legal limit of 30, appeal panels are limited regarding the circumstances they can take into account. In this type of appeal, a panel can only uphold an appeal if it is satisfied that:

- the admission of additional children would not breach the infant class size limit; or
- the child would have been offered a place if the arrangements had been correctly and impartially applied; or
- the child would have been offered a place if the arrangements had not been contrary to the School Admissions Code and legislation; or the decision to refuse admission was not one which a reasonable admission authority would have made in the circumstances of the case.

8.4. Appeals in respect of maintained, voluntary controlled schools and those academies who have delegated responsibility for the administration of appeals to Birmingham Local Authority should be sent to Birmingham's School Admissions and Fair Access Service. Appeals in respect of voluntary aided and foundation schools, the King Edward VI schools, Ninestiles and Holyhead School should be sent to the Governing Body of the school(s) concerned. A comprehensive list of which schools administer their own appeals is available on the School Admissions webpages.

9. Definitions

9.1. **Looked After and previously looked after children**

Children who are looked after or immediately after being looked after became subject to an adoption, child arrangement order or special guardianship order. This includes any child / young person who is subject to a Full Care Order, an interim Care Order, accommodated under Section 22(1) of the Children Act 1989, is remanded or detained into Local Authority accommodation under Criminal Law, or who has been placed for adoption. Birmingham Local Authority's School Admissions and Fair Access Service will obtain names of all children who are looked after, or will verify details for those applicants who indicate that their child was previously looked after, within the appropriate age range. Places for these children will be considered in accordance with each school's admission criteria. **However, evidence may be requested from carers whose children are looked after or were previously looked after by another Local Authority.**

Children adopted from state care outside England

Children who appear (to the admission authority) to have been in state care outside England and ceased to be in state care as a result of being adopted will be given equal first priority in

admission arrangements, alongside looked after children (LAC) and children who were previously looked after by English local authorities (PLAC). These children are referred to as internationally adopted previously looked after children, “IAPLAC”.

Evidence will be required from the carer confirming that their child meets the above criteria in accordance with the DfE’s non-statutory guidance on the admission of IAPLAC. The School Admissions and Fair Access Service may be required to check with colleagues from the Birmingham Virtual School the acceptability of any evidence provided by the carer of an IAPLAC before considering their child’s application under this criterion.

9.2. **Siblings**

Siblings (brothers or sisters) are considered to be those children who live at the same address and either:

i have one or both natural parents in common;
or ii are related by a parent’s marriage;
or iii are adopted or fostered by a common parent.

Unrelated children living at the same address, whose parents are living as partners, are also considered to be siblings.

Children not adopted or fostered or related by a parents’ marriage, or with one natural parent in common, who are brought together as a family by a same sex civil partnership and who are living at the same address, are also considered to be siblings.

Children who attend either a linked infant or junior school and will still be in attendance at the time of admission are considered as sibling claims.

Separate boys’ and girls’ schools are not considered to be linked for the purposes of sibling claims. All siblings must still be attending the preferred school at the time the child enters the school. For example, for the September 2024 intake the sibling must still be attending in September 2024. **Therefore, for entry into Reception Class siblings currently attending nursery class or attending Year 6 are not classed as meeting the sibling criteria. For secondary transfers siblings in Year 11 or the Sixth Form are not classed as meeting the sibling criteria.**

9.3. **Distance measurements to schools**

Distances are calculated on the basis of a straight-line measurement between the applicant’s home address and a point decided by the school (usually the front gates). The Local Authority uses a computerised system, which measures all distances in metres. Ordnance Survey supplies the co-ordinates that are used to plot an applicant’s home address and the address of the school. The measuring point for each school is specified below in section 11.

9.4. **Tie-Breaker**

In a very small number of cases where a school is oversubscribed, it may not be possible to decide between the applications of those pupils who are the final qualifiers for a place when applying the published admission criteria.

For example, this may occur when children in the same year group live at the same address, or if the distance between the home and school is exactly the same, for example, blocks of flats. If there is no other way of separating the application according

to the admissions criteria and to admit both or all of the children would cause the Published Admission Number for the child's year group to be exceeded, the Local Authority will use a computerised system to randomly select the child to be offered the final place.

9.5. **Home Address**

A pupil's home address is considered to be a residential property that is the child's only or main residence and is either;

- Owned by the child's parent(s), or the person with parental responsibility for the child;
- Leased to or rented by the child's parent(s), or the person with parental responsibility under lease or written rental agreement of not less than twelve months duration.

Evidence of ownership or rental agreement may be required, plus proof of permanent residence at the property concerned.

Parents who are unable to provide proof of permanent residence should contact a member of School Admissions and Fair Access Service to discuss providing other acceptable proof of address.

Where parents have shared responsibility for a child, and the child lives with both parents for part of the week, then the main residence will be determined as the address where the child lives the majority of the week. Parents may be requested to supply documentary evidence to satisfy the authority that the child lives at the address put forward. If a school is offered on the basis of an address that is subsequently found to be different from a child's normal and permanent home address, then that place may be withdrawn.

10. **Deferred Entry**

By law, parents must ensure that their children are receiving suitable full-time education at the beginning of the term after their 5th birthday. However, in Birmingham, children are admitted to Reception Class in the September at the start of the academic year in which they reach five years of age.

Parents may, however, defer their child's admission to primary or infant school until later in the school year, but not beyond the beginning of the first academic term after the child's fifth birthday (the time when the child reaches compulsory school age) and not beyond the beginning of the final term of the school year of which the offer was made. Alternatively, a parent has the right for their child to be admitted on a part-time basis during Reception year but not beyond the point when they reach compulsory school age. In both cases above a school place is held for the child until they take it up.

A child who reaches the age of five during the 2024/2025 summer term would reach compulsory school age in September 2025. However, it is not possible to accept a place in Reception for September 2024 but defer the child's admission until the beginning of the 2025/2026 academic year, and if a child did not take up their place in a Reception class in 2024/2025, a separate in-year application would need to be made for the child to enter the school in Year 1.

Parents of children who reach the age of five during the summer term of the 2024/2025 academic year who are considering deferring their child's admission to primary or infant

school until the beginning of the 2025/2026 academic year should note that, as the overwhelming majority of children in Birmingham start school at the start of the academic year in which they reach the age of five, it is likely that some or all of the parents' preferred schools will not have vacancies in their child's year group if they apply for a place in Year 1 (these places having been allocated to children who started school the previous year).

For children born in the summer, parents/carers may believe it to be in their child's best interests to be admitted to Reception in September 2025, rather than year 1, outside their child's normal age group. These requests will be considered by the admission authority of the school(s) and a decision made on the basis of the circumstances of each case and also in the best interests of the child concerned. **Parents do not have the right to insist that their child is admitted to a particular age group, including Reception.**

Where a parent wishes to request admission out of the normal age group for their child, they should still make an application for their child's normal age group at the usual time. At the same time, the parent should submit their request for their child to be admitted out of their normal age group to the relevant admission authority, (for all maintained and voluntary controlled schools this is Birmingham City Council), together with supporting evidence.

Admission authorities must make decisions on the basis of the circumstances of each case and in the best interests of the child concerned. This will include taking into account the parent's views; information about the child's academic, social and emotional development; where relevant, their medical history and the views of a medical professional; whether they have previously been educated out of their normal age group; and whether they may naturally have fallen into a lower age group if they had not been born prematurely. They must also take into account the views of the head teacher of the school concerned. When informing a parent of their decision on the year group the child should be admitted to, the admission authority must set out clearly the reasons for their decision. The admission authority must ensure that the parent receives the response to their request before primary national offer day.

If the request is agreed, the application for the normal age group may be withdrawn and the parent must make a new application for a place in Reception as part of the main admissions round the following year. If the request is refused, the parent must decide whether to accept the offer of a place for the normal age group, or to refuse it and make an in year application for admission to Year 1 for the September following the child's fifth birthday.

One admission authority cannot be required to honour a decision made by another admission authority on admission out of the normal age group. Parents, therefore, should consider whether to request admission out of the normal year group at all their preferred schools, rather than just their first preference schools.

Parents have the right to appeal against the refusal of a place at a school for which they have applied but cannot appeal if they are offered a place but not in their preferred age group.

Deferred entry to Year 7

The below process only applies to children who had deferred entry agreed at the point they were due to start Reception in September 2016 and started Reception in September 2017 instead.

Parent/carers whose children are due to transfer to Secondary School in September 2024 as they were born between 01/09/2012-31/08/2013, but who wish to defer transfer until September 2025, **are required to make an application for their child's transfer to secondary school in September 2024 by 31 October 2023**.

Parent/carers must contact the relevant admission authority directly to request deferment, for schools where Birmingham Local Authority is not the admission authority (non-maintained/voluntary controlled schools). Parents will be required to provide evidence that they have requested and had deferment approved by the admission authority for that school. Parents do not have the right to insist that their child is admitted to a particular age group including Year 7.

If the admission authority refuses to agree to deferment until September 2025, then the parent/carer will need to make an in-year application for a place in Year 8 in September 2025, and then request via the school for their child to be taught outside their normal chronological year group.

Implications of deferred entry to school

Placement outside a child's chronological year group must be considered to be in the best interests of the child. The decision could potentially have long-term effects and it is therefore important to establish the reasons for the request to delay starting school. It is also important to anticipate what will happen when your child is old enough to transfer to secondary school, to leave statutory education, and the timing of any consequent examinations. Some points to consider:

- Your preferred school may not have space in the following year to accommodate your child.
- As your child matures they may realise that the rest of their class are of a different age, causing adverse emotional impact.
- Admission authorities (e.g. academies) will be the decision makers and, as they are independent of the local authority, may choose to decline a deferral request.
- As the law currently stands, a child who starts Reception a year behind cohort will need to request a formal deferral to progress through each phase of education with their adopted cohort (for example to apply for a deferral to secondary phase when a child is in year 5.)
- A child applying for a selective school (e.g. grammar school) may be subject to a weighting in their selective test due to being older than other children in their cohort.
- If your child reaches school-leaving age before they have completed their Key Stage 4 curriculum, they may decide to leave school without completing formal examinations.

11. **Measuring Points**

Establishment Name	Measuring point
Adderley Primary School	Main entrance on Arden Road
Allens Croft Primary School	Main entrance to the school building
Anderton Park Primary School	Main entrance to the school building
Anglesey Primary School	Main entrance to the school building
Arden Primary School	Main entrance to the school building
Barford Primary School	Centre point of the school building
Beeches Infant School	Main gate of the Perry Beeches site

Establishment Name	Measuring point
Beeches Junior School	Main gate of the Perry Beeches site
Bellfield Infant School (NC)	Main entrance to the school building
Bellfield Junior School	Main entrance to the school building
Bells Farm Primary School	Main entrance to the school building
Benson Maintained School	Main entrance to the school building
Blakesley Hall Primary School	Main entrance to the school building
Boldmere Infant School and Nursery	School gate on Cofield Road
Boldmere Junior School	School gate on Cofield Road
Bordesley Green Girls' School & Sixth Form	School gate on Bordesley Green Road
Bordesley Green Primary School	School gate on Drummond Road
Broadmeadow Infant School	Main entrance to the school building
Broadmeadow Junior School	Main entrance to the school building
Calshot Primary School	Main entrance to the school building
Chad Vale Primary School	Main entrance to the school building
Cherry Orchard Primary School	Main entrance to the school building
Chilcote Primary School	Centre point of the school site
Christ Church CofE Controlled Primary School and Nursery	School gate on Claremont Road
Clifton Primary School	Main entrance to the school building
Colebourne Primary School	School gate on Stechford Road
Colmore Infant and Nursery School	Entrance to the school building
Colmore Junior School	Entrance to the main school building
Cotteridge Primary School	School gate on Breedon Road
Court Farm Primary School	Entrance to the school building
Deykin Avenue Junior and Infant School	Entrance to the school building
Elms Farm Maintained Primary School	Entrance to the school building
Featherstone Primary School	School gate on Glenville Drive
Forestdale Primary School	Entrance to the school building
George Dixon Primary School	Entrance to the school building
Gilbertstone Primary School	Main entrance to the school building
Glenmead Primary School	Entrance to the school building
Grendon Junior and Infant School (NC)	Entrance to the school building
Grove School	Centre of the school building
Gunter Primary School	School gate
Hall Green Infant School	Centre of the building
Hall Green Junior School	Main school gate
Harborne Primary School	Main entrance to the school building
	on Station Road
Hawthorn Primary School	Main entrance to the school building
Highters Heath Maintained School	Centre point of the school building
Hodge Hill College	A point within the main school building
Hodge Hill Girls' School	Entrance to the school building
Holland House Infant School and Nursery	Main entrance to the school building
Hollywood Primary School	Main school gate
Holte School	Centre of the school grounds

Establishment Name	Measuring point
James Watt Primary School	Main entrance to the school building
Kings Heath Boys	School building
Kings Heath Primary School	Main entrance to the school building
Kingsland Primary School (NC)	Centre of the school building
Kingsthorne Primary School	Main entrance to the school building
Kitwell Primary School and Nursery Class	Centre of the school building
Ladypool Primary School	Main entrance to the school building
Lakey Lane Junior and Infant School	Main gate of the school
Lozells Junior and Infant School and Nursery	Main entrance of the school
Lyndon Green Infant School	Main entrance of the school building
Lyndon Green Junior School	Main entrance to the school building
Maney Hill Primary School	Main school gate
Mapledene Primary School	Main gate of the school
Marsh Hill Primary School	Main gate to the school
Minworth Junior and Infant School	Main entrance to the school
Nelson Junior and Infant School	Main entrance to the school
Nelson Mandela School	Main entrance to the school
New Hall Primary School	Centre of the school building
New Oscott Primary School	School gate
Paganel Primary School	Main entrance to the school
Paget Primary School	Centre of the school building
Park Hill Primary School	Main school gate
Penns Primary School	Main entrance to the school
Raddlebarn Primary School	Main school gate
Redhill Junior and Infant School	Main entrance of the school
Rednal Hill Infant School	Main entrance of the school
Rednal Hill Junior School	Main entrance to the school
Regents Park Maintained Primary School	Main entrance to the school
Selly Park Girls' School	Centre of the main school building
Severne Junior Infant and Nursery School	Main entrance to the school building
Shaw Hill Primary School	Main school gate
Sladefield Infant School	Main entrance of the school
Somerville Primary (NC) School	Centre point of the school
St Benedict's Primary School	Main entrance of the school
St James Church of England Primary School, Handsworth	Main entrance of the school
St Matthew's CofE Primary School	Centre point of the school
St Saviour's C of E Primary School	Main gate of the school
Stanville Primary School	Main entrance of the school
Stechford Primary School	Main entrance of the school
Story Wood School	Centre point of the school
Summerfield Junior and Infant School	Centre of the school
Sundridge Primary School	Main entrance to the school
Swanshurst School	School gate on Brook Lane
The Meadows Primary School	Main entrance to the school building

Establishment Name	Measuring point
The Oaks Primary School	Main entrance to the school
Thornton Primary School	Centre of the school
Ward End Primary School	School gate
Water Mill Primary School	Main entrance to the school
Wattville Primary School	Main entrance of the school
Welford Primary School	Main school gate
Welsh House Farm Maintained School	Main school gate
West Heath Primary School	Main entrance of the school
Wheelers Lane Primary School	Centre of the school site
Wheelers Lane Technology College	Centre of the school
William Murdoch Primary School	Centre point of the school
Woodcock Hill Primary School	Main entrance of the school
Woodgate Primary School	Main entrance of the school
Woodthorpe Junior and Infant School	Main entrance of the school
World's End Infant and Nursery School	Main school gate
World's End Junior School	Main entrance of the school
Wylde Green Primary School	Main school gate
Yardley Primary School	Main entrance to the school
Yardley Wood Maintained Primary School	Centre point of the school
Yorkmead Junior and Infant School	Main school gate

Note: Distances are calculated on the basis of a straight-line measurement (as the crow flies) between the applicant's home address (coordinates provided by ordinance survey data) and to the measuring point stated above.

DfE	Establishment Name	Phase	Type	Entry	PAN 2023	PAN 2024	Change 2023 to 2024	Comments
2010	Adderley Primary School	Primary	Maintained School	R	60	60	0	Ongoing reduction as a result of local surplus places.
2153	Allens Croft Primary School	Primary	Maintained School	R	60	60	0	
2062	Anderton Park Primary School	Primary	Maintained School	R	60	60	0	
2479	Anglesey Primary School	Primary	Maintained School	R	90	90	0	
2300	Arden Primary School	Primary	Maintained School	R	90	90	0	
2014	Barford Primary School	Primary	Maintained School	R	60	60	0	
2017	Beeches Infant School	Infants	Maintained School	R	90	90	0	
2239	Bellfield Infant School (NC)	Infants	Maintained School	R	60	60	0	
2456	Bells Farm Primary School	Primary	Maintained School	R	30	30	0	
2435	Benson Community School	Primary	Maintained School	R	60	45	-15	Proposed reduction as a result of local surplus places.
2254	Blakesley Hall Primary School	Primary	Maintained School	R	60	60	0	
2402	Boldmere Infant School and Nursery	Infants	Maintained School	R	90	90	0	
2030	Bordesley Green Primary School	Primary	Maintained School	R	90	90	0	
2238	Broadmeadow Infant School	Infants	Maintained School	R	60	60	0	
2465	Calshot Primary School	Primary	Maintained School	R	60	60	0	
2312	Chad Vale Primary School	Primary	Maintained School	R	60	60	0	
2040	Cherry Orchard Primary School	Primary	Maintained School	R	60	60	0	
2251	Chilcote Primary School	Primary	Maintained School	R	60	60	0	
3002	Christ Church CofE Controlled Primary School and Nur	Primary	Voluntary Controlled School	R	30	30	0	
3432	Clifton Primary School	Primary	Maintained School	R	120	120	0	
2185	Colebourne Primary School	Primary	Maintained School	R	60	60	0	
2054	Colmore Infant and Nursery School	Infants	Maintained School	R	120	120	0	
2055	Cotteridge Primary School	Primary	Maintained School	R	60	60	0	
2191	Court Farm Primary School	Primary	Maintained School	R	30	30	0	
2284	Deykin Avenue Junior and Infant School	Primary	Maintained School	R	30	30	0	
2454	Elms Farm Community Primary School	Primary	Maintained School	R	60	60	0	
2294	Featherstone Primary School	Primary	Maintained School	R	60	60	0	
2486	Forestdale Primary School	Primary	Maintained School	R	30	30	0	
2079	George Dixon Primary School	Primary	Maintained School	R	60	30	-30	Proposed reduction as a result of local surplus places. Also seeking variation for 2023.
2081	Gilbertstone Primary School	Primary	Maintained School	R	60	60	0	
2296	Glenmead Primary School	Primary	Maintained School	R	30	30	0	Ongoing reduction as a result of local surplus places.
2087	Grendon Primary School	Primary	Maintained School	R	30	30	0	Ongoing reduction as a result of local surplus places.
2466	Grove School	Primary	Maintained School	R	90	90	0	
2091	Gunter Primary School	Primary	Maintained School	R	30	30	0	
2093	Hall Green Infant School	Infants	Maintained School	R	120	120	0	
2477	Harborne Primary School	Primary	Maintained School	R	120	120	0	
2099	Hawthorn Primary School	Primary	Maintained School	R	30	30	0	
2429	Holland House Infant School and Nursery	Infants	Maintained School	R	60	60	0	
2288	Hollywood Primary School	Primary	Maintained School	R	60	60	0	
2015	James Watt Primary School	Primary	Maintained School	R	60	60	0	
2005	Kings Heath Primary School	Primary	Maintained School	R	90	90	0	
2115	Kingsland Primary School (NC)	Primary	Maintained School	R	45	45	0	
2441	Kingsthorne Primary School	Primary	Maintained School	R	60	45	-15	Proposed reduction as a result of local surplus places.
2321	Kitwell Primary School	Primary	Maintained School	R	30	30	0	
2189	Ladypool Primary School	Primary	Maintained School	R	60	30	-30	Proposed reduction as a result of local surplus places. Also seeking variation for 2023.
2119	Lakey Lane Junior and Infant School	Primary	Maintained School	R	60	60	0	
2127	Lozells Junior and Infant School and Nursery	Primary	Maintained School	R	60	60	0	
2129	Lyndon Green Infant School	Infants	Maintained School	R	90	90	0	
2420	Maney Hill Primary School	Primary	Maintained School	R	60	60	0	
2004	Mapledene Primary School	Primary	Maintained School	R	45	45	0	
2133	Marsh Hill Primary School	Primary	Maintained School	R	60	60	0	
2406	Minworth Junior and Infant School	Primary	Maintained School	R	30	30	0	
2457	Nelson Mandela School	Primary	Maintained School	R	60	60	0	
2142	Nelson Primary School	Primary	Maintained School	R	60	60	0	
2469	New Hall Primary School	Primary	Maintained School	R	45	45	0	
3431	New Oscott Primary School	Primary	Maintained School	R	90	90	0	
2021	Paganel Primary School	Primary	Maintained School	R	60	60	0	
2149	Paget Primary School	Primary	Maintained School	R	45	45	0	
2150	Park Hill Primary School	Primary	Maintained School	R	60	30	-30	Proposed reduction as a result of local surplus places. Also seeking variation for 2023.
2425	Penns Primary School	Primary	Maintained School	R	30	30	0	
2157	Raddlebarn Primary School	Primary	Maintained School	R	60	60	0	
2159	Redhill Primary School	Primary	Maintained School	R	30	30	0	
2161	Rednal Hill Infant School	Infants	Maintained School	R	90	90	0	
2063	Regents Park Community Primary School	Primary	Maintained School	R	60	60	0	
2169	Severne Junior Infant and Nursery School	Primary	Maintained School	R	60	60	0	
2008	Shaw Hill Primary School	Primary	Maintained School	R	60	60	0	
2174	Sladefield Infant School	Infants	Maintained School	R	120	120	0	
2176	Somerville Primary (NC) School	Primary	Maintained School	R	90	90	0	
2183	St Benedict's Primary School	Primary	Maintained School	R	60	30	-30	Proposed reduction as a result of local surplus places.
3010	St James Church of England Primary School, Handswo	Primary	Voluntary Controlled School	R	60	60	0	
3016	St Matthew's CofE Primary School	Primary	Voluntary Controlled School	R	30	30	0	
3019	St Saviour's C of E Primary School	Primary	Voluntary Controlled School	R	60	60	0	
2178	Stanville Primary School	Primary	Maintained School	R	30	30	0	
2184	Stechford Primary School	Primary	Maintained School	R	60	60	0	
2097	Story Wood School	Primary	Maintained School	R	30	30	0	
2067	Summerfield School	Primary	Maintained School	R	60	60	0	
2190	Sundridge Primary School	Primary	Maintained School	R	30	30	0	
2246	The Meadows Primary School	Primary	Maintained School	R	90	60	-30	Proposed reduction as a result of local surplus places. Also seeking variation for 2023.
2018	The Oaks Primary School	Primary	Maintained School	R	60	60	0	
2108	Ward End Primary School	Primary	Maintained School	R	120	120	0	
2306	Water Mill Primary School	Primary	Maintained School	R	30	30	0	
2482	Wattville Primary School	Primary	Maintained School	R	60	60	0	
2308	Welford Primary School	Primary	Maintained School	R	60	60	0	
2245	Welsh House Farm Community School and Special Ne	Primary	Maintained School	R	30	30	0	
2019	West Heath Primary School	Primary	Maintained School	R	60	60	0	
2011	Wheelers Lane Primary School	Primary	Maintained School	R	90	90	0	
2293	William Murdoch Primary School	Primary	Maintained School	R	90	90	0	
2445	Woodcock Hill Primary School	Primary	Maintained School	R	30	30	0	
2278	Woodgate Primary School	Primary	Maintained School	R	60	60	0	
2314	Woodthorpe Junior and Infant School	Primary	Maintained School	R	30	30	0	
2317	World's End Infant and Nursery School	Infants	Maintained School	R	90	90	0	
2412	Wylde Green Primary School	Primary	Maintained School	R	60	60	0	
3421	Yardley Primary School	Primary	Maintained School	R	120	120	0	
2227	Yardley Wood Community Primary School	Primary	Maintained School	R	60	60	0	
2231	Yorkmead Junior and Infant School	Primary	Maintained School	R	60	60	0	
2016	Beeches Junior School	Juniors	Maintained School	3	90	90	0	
2241	Bellfield Junior School	Juniors	Maintained School	3	60	60	0	
2401	Boldmere Junior School	Juniors	Maintained School	3	90	90	0	
2236	Broadmeadow Junior School	Juniors	Maintained School	3	60	60	0	
2053	Colmore Junior School	Juniors	Maintained School	3	120	120	0	
2092	Hall Green Junior School	Juniors	Maintained School	3	120	120	0	
2128	Lyndon Green Junior School	Juniors	Maintained School	3	90	90	0	
2160	Rednal Hill Junior School	Juniors	Maintained School	3	90	90	0	
2192	Thornton Primary School	Juniors	Maintained School	3	120	120	0	
2225	World's End Junior School	Juniors	Maintained School	3	90	90	0	
4115	Bordesley Green Girls' School & Sixth Form	Secondary	Maintained School	7	125	125	0	
4201	Hodge Hill College	Secondary	Maintained School	7	240	240	0	
4015	Hodge Hill Girls' School	Secondary	Maintained School	7	150	150	0	
4223	Holte School	Secondary	Maintained School	7	192	192	0	
4063	Kings Heath Boys	Secondary	Maintained School	7	120	168	48	Additional places to support local demand as part of ongoing expansion.
4177	Selly Park Girls' School	Secondary	Maintained School	7	160	160	0	
4237	Swanshurst School	Secondary	Maintained School	7	300	300	0	School is supporting with additional places above PAN for Year 7 2023 only.
4193	Wheelers Lane Technology College	Secondary	Maintained School	7	134	130	-4	Return to original PAN as a result of building constraints.
				R	**5880**	**5565**		
				3	**930**	**930**		
				7	**1421**	**1465**		

Item 13

DETERMINED SCHEME FOR THE CO-ORDINATED ADMISSIONS TO SCHOOLS AND ACADEMIES – SEPTEMBER 2024/2025

Contents

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1. Relevant area

1.1 In accordance with The Education (Relevant Areas for Consultation on Admission Arrangements) Regulations 1999, Birmingham Local Authority has determined its relevant area as that contained within the administrative area of the City of Birmingham. It is proposed that this arrangement will continue for 2024/2025 academic year.

2. Background

2.1 This scheme applies to all primary and secondary maintained schools, academies, free schools, university technical colleges, foundation, voluntary aided (excluding special schools) in Birmingham for the academic year 2024/2025 and is made under the provisions of the School Standards and Framework Act 1998, as amended by the Education Act 2002, and The School Admissions (Co-ordination of Admission Arrangements) (England) Regulations 2012.

2.2 The School Admissions and Fair Access Service, on behalf of the Local Authority and other admission authorities in Birmingham, will co-ordinate applications made during the normal admissions round (i.e. applications for Reception Year, Year 3 at a Junior School, Year 7 and, in the case of selected 14-19 Academies, Year 10). Parents/carers resident in Birmingham who are applying for a place for their child in September 2024 will make a single application to the Local Authority (School Admissions and Fair Access Service) for any Birmingham maintained school, academy or free school or any such school or academy in a neighbouring authority.

2.3 For the academic year 2024/2025 and subsequent years, subject to any review, applications made outside the normal admissions round (i.e. in-year applications) will be made directly to individual schools.

2.4 Birmingham City Council is the relevant admission authority for all maintained and voluntary controlled schools within the City.

2.5 For academies and free schools (including Trust schools), their Trust or board of directors is the admissions authority. For voluntary aided and foundation schools, governing bodies of such schools are the admissions authority.

2.6 Co-ordination schemes do not affect the rights and duties of the governing bodies of academies, free schools, university technical colleges, foundation, voluntary aided schools to set and apply their own admission arrangements and oversubscription criteria, but they must ensure that their own arrangements are compatible with the Local Authority's admission arrangements and co-ordinated scheme.

3. Admission Authority for each type of school in Birmingham

3.1 There are a number of different school types in Birmingham:

Type of School	Who is the admission authority?
Academies (inc. Free Schools)	Academy Trust
Maintained Schools	Local Authority
Foundation Schools	Governing Body
Voluntary Aided Schools	Governing Body
Voluntary Controlled Schools	Local Authority

4. Parents' right to apply for a school

4.1 Birmingham City Council, as a Local Authority, must enable parents and carers to say where they would prefer their child to go to school. The law does not give parents a right to "choose" which school their child will attend.

4.2 Subject to certain exceptions an admission authority must comply with any preference expressed by a parent/carer as to the school at which their child should be educated.

Exceptions

4.3 The law recognises that it may not always be possible to carry out parents' wishes, for a number of reasons:

- because this would "prejudice the provision of efficient education or the efficient use of resources", e.g., because a particular school may be full (i.e., it has already admitted pupils up to the Published Admission Number for the child's year group).
- because it is a selective (grammar) school and the child has not reached the required academic standard for entry to a selective school;
- because the child has been permanently excluded from two or more schools and the most recent of the exclusions took place within the last two years;
- because the school's statutory infant class size limit of 30 has been reached.

5. The application process for primary and secondary normal admission rounds

All rounds

5.1 Applications made on behalf of children with an Education Health and Care Plan will be considered by the Special Educational Needs Assessment and Review Service (SENAR), in accordance with parental preference and each child's individual needs, taking account of Birmingham City Council's inclusion policy and any consultation required with school governing bodies.

5.2 Birmingham Local Authority's School Admissions and Fair Access Service will obtain names of children who are looked after by Birmingham and will verify details for those applicants who indicate that their child was previously looked after but has not subsequently been adopted (or became subject to a child arrangements or special guardianship order) within the appropriate age range. Places for these children will be considered in accordance with each school's admission criteria. Evidence will be required from carer's whose children were previously adopted. We may require evidence from carers whose child was looked after or was previously looked after by another Local Authority.

Children adopted from state care outside of England
Children who appear (to the admission authority) to have been in state care outside of England and ceased to be in state care as a result of being adopted will be given equal first priority in admission arrangements, alongside looked after children (LAC) and children who were previously looked after by English local authorities (PLAC). These children are referred to as internationally adopted previously looked after children (IAPLAC).

Evidence will be required from the carer confirming that their child meets the above criteria in accordance with the DfE's non-statutory guidance on the admission of IAPLAC. The School Admissions and Fair Access Service may be required to check with colleagues from the Birmingham Virtual School about the acceptability of any evidence provided by the carer of an IAPLAC before considering their child's application under this criterion.

Starting Reception Class

5.3 If a child attends a nursery class, this does not mean that he or she will automatically get a place in the primary or infant school to which the nursery is linked or attached. Parents with children in a nursery class must apply for a Reception Class place at the school in the same way as other parents.

5.4 By law, parents must ensure that their children are receiving suitable full-time education at the beginning of the term after their 5th birthday. However, in Birmingham, children are admitted to Reception Class in the September at the start of the academic year in which they reach five years of age.

5.5 Parents may, however, defer their child's admission to primary or infant school until later in the school year, but not beyond the beginning of the first academic term after the child's fifth birthday (the time when the child reaches compulsory school age) and not beyond the beginning of the final term of the school year of which the offer was made. Alternatively, a parent has the right for their child to be admitted on a part-time basis during the Reception Class year but not beyond the point that they reach compulsory school age. In both cases above a school place is held for the child until they take it up.

5.6 A child who reaches the age of five during the 2024/2025 summer term would reach compulsory school age in September 2025. However, it is not possible to accept a place in the Reception Class for September 2024 but defer the child's admission until the beginning of the 2025/2026 academic year, and if a child

did not take up their place in a Reception Class in 2024/2025 a separate in-year application would need to be made for the child to enter the school in Year 1.

5.7 Parents of children who reach the age of five during the summer term of the 2024/2025 academic year, who are considering deferring their child's admission to primary or infant school until the beginning of the 2025/2026 academic year, should note that as the overwhelming majority of children in Birmingham start school at the start of the academic year in which they reach the age of five, it is likely that some or all of the parents' preferred schools will not have vacancies in their child's year group if they apply for a place in Year 1 (these places having been allocated to children who started school the previous year).

5.8 For children born in the summer, parents/carers may believe it to be in their child's best interests to be admitted to Reception Class rather than Year 1, outside their child's normal age group. These requests will be considered by the admission authority of the school(s) and a decision made on the basis of the circumstances of each case and also in the best interests of the child concerned. Parent/carers must contact the relevant admission authority directly to request deferment, for schools where Birmingham Local Authority is not the admission authority (non-maintained/voluntary controlled schools). Parents will be required to provide evidence that they have requested and had deferment approved by the admission authority for that school. Parents do not have the right to insist that their child is admitted to a particular age group including Reception.

5.9 Deferred entry Year 7

The process outlined below only applies to children that had deferred entry agreed at the point their child was due to start Reception Class in September 2016 and was agreed for them to start Reception Class in September 2017 instead.

Parent/carers whose children are due to transfer to Secondary School in September 2024 (children born between 01/09/2012-31/08/2013) but wish to defer entry until September 2025 are required to make an application for their child's transfer to Secondary School in September 2024 by 31 October 2023.

5.10 Parent/carers must contact the relevant admission authority directly to request deferment, for schools where Birmingham Local Authority is not the admission authority (non-maintained/voluntary controlled schools). Parents will be required to provide evidence that they have requested and had deferment approved by the admission authority for that school. Parents do not have the right to insist that their child is admitted to a particular age group including Year 7.

5.11 If the admission authority refuses to agree for deferment until September 2025, then the parent/carer will need to make an in-year application for a place in Year 8 in September 2025 and then make a request to the school for their child to be taught outside their normal chronological year group.

5.12 **Implications of deferred entry to school**

Placement outside a child's chronological year group must be considered to be in the best interests of the child. The decision could potentially have long-term effects and it is therefore important to establish the reasons for the request to delay starting school. It is also important to anticipate what will happen when your child would be old enough to transfer to secondary school, to leave statutory education and the timing of any consequent examinations. Some points to consider:

- Your preferred school may not have space in the following year to accommodate your child.
- As your child matures, they may realise that the rest of their class are of a different age, causing adverse emotional impact.
- Admission authorities (e.g., academies) will be the decision makers and as they are independent of the local authority may choose to decline a deferral request.
- As the law currently stands, a child who starts Reception a year behind cohort will need to request a formal deferral to progress through each phase of education with their adopted cohort (for example to apply for a deferral to secondary phase when a child is in year 5.)
- A child applying for a selective school (e.g., grammar school) may be subject to a weighting in their selective test due to being older than other children in their cohort.
- If your child reaches school-leaving age before they have completed their Key Stage 4 curriculum, they may decide to leave school without completing formal examinations.

5.13 Where a parent wishes to request admission out of the normal age group for their child, they should still make an application for their child's normal age group at the usual time. At the same time, the parent should submit their request for their child to be admitted out of their normal age group to the relevant admission authority, (this is BCC for all maintained and voluntary controlled schools), together with supporting evidence.

5.14 Admission authorities (the school in question, not the Local Authority) must make decisions on the basis of the circumstances of each case and in the best interests of the child concerned. This will include taking into account the parent's views; information about the child's academic, social and emotional development; where relevant, their medical history and the views of a medical professional; whether they have previously been educated out of their normal age group; and whether they may naturally have fallen into a lower age group if were not for being born prematurely. They must also take into account the views of the head teacher of the school concerned. When informing a parent of their decision on the year group the child should be admitted to, the admission authority must set out clearly the reasons for their decision. The admission authority must ensure that the parent receives the response to their request before primary national offer day.

5.15 If the request is agreed, the application for the normal age group may be withdrawn and the parent must make a new application for a place in Reception Class as part of the main admissions round the following year. If the request is refused, the parent must decide whether to accept the offer of a place for the normal age group, or to refuse it and make an in-year application for admission to Year 1 for the September following the child's fifth birthday.

5.16 One admission authority cannot be required to honour a decision made by another admission authority on admission out of the normal age group. Parents should therefore consider whether to request admission out of the normal year group at all their preferred schools, rather than just their first preference schools.

5.17 Parents have the right to appeal against the refusal of a place at a school for which they have applied but cannot appeal if they are offered a place but not in their preferred age group.

5.18 In October 2023, the local authority will write or make arrangements to inform parents/carers of children who are on roll at a maintained or private nursery via the nursery advising them of how to apply for a Reception Class place online and of where to view the primary prospectus.

5.19 The statutory closing date is 15 January 2024. Applications received after this date will be treated in accordance with the procedure for late applications. Proof of address may be required to be provided to the School Admissions and Fair Access Service.

5.20 Parents will be allowed to express up to three preferences for their child to be admitted to any maintained primary or infant school or academy or free school inside or outside the Birmingham Local Authority area.

5.21 Applications made online will receive an immediate email confirmation when the application is submitted as long as an email address is provided.

5.22 Data will be exchanged with other admission authorities and other local authorities as detailed in Section 7.

5.23 The School Admissions and Fair Access Service will send details of any siblings included in a parent's application to schools and academies for verification.

5.24 The School Admissions and Fair Access Service will compare ranked parental preferences for each school. All ranked preferences will be given equal consideration against schools' admission criteria. If the child ranks sufficiently highly within the admission criteria for two or more schools and could therefore potentially be offered a place at either school, the school the parent ranked highest as a preference will be offered.

5.25 Children who live in Birmingham that have not been offered one of their parents' three preferences, following consultation with another admission authority if appropriate, will be offered a place at one of their closest Birmingham all state

funded primary or infant schools with a vacancy.

5.26 Primary/infant schools will verify the child's date of birth at either the time of acceptance of the offer or at the school's induction day. Offers will be conditional on providing valid proof of date of birth.

Transfer from Infant School to Junior School (Year 2 to Year 3)

5.27 If a child attends an infant school, it is necessary for the child to transfer to a different school for his/her junior education.

5.28 In October 2023, parents/carers with a child in Year 2 at an infant school will be sent a letter via the school advising them how to apply online for a Year 3 place at a junior school or any other junior school. The same timetable and process as Reception Class admissions above will be used. Parent/carers can express up to three preferences in total, however they must consider that applying for a junior school other than the school that is linked to their child's current infant school, means that their child is less likely to be offered a place at that school, as children that already attend the linked infant school get higher priority for a place at that junior school.

5.29 Applications made online will receive an immediate email confirmation when the application is submitted as long as an email address is provided.

5.30 If a child attends a primary school (rather than an infant school) it is not necessary to apply for him / her to transfer at the end of Year 2.

Transfer from Year 6 to Secondary School

5.31 At the end of the Summer Term 2023, Birmingham Local Authority will invite parents of children who will transfer to secondary education in September 2024 to complete an online application form. The online system will be available from September 2023.

5.32 All parents will be required to make an application to the Local Authority in which they live. By the second week in July 2023, all maintained primary and junior schools, academies and free schools and, where possible, the majority of independent primary schools in Birmingham, will be forwarded a letter for them to distribute to their Year 5 children living in Birmingham, inviting their parents/carers to make their application for a secondary school place online. Birmingham Local Authority's prospectus will be available to view on the Birmingham City Council's website.

5.33 Parents of children who live in Birmingham but whose children attend a primary school outside Birmingham will be advised to make their application online by 31 October 2023.

5.34 Online applications will be accepted up until 31 October 2023, which is the statutory deadline for the submission of applications. Applications received after this date will be treated in accordance with the procedures for late applications

as detailed in Section 8.

5.35 Applications to sit any selective or assessment tests are to be made via separate forms, to be returned by dates specified by the admission authority for the school concerned (i.e., the governing body of a foundation or voluntary aided school or Academy Trust for academies and free schools). No other separate application form will be required by admission authorities in Birmingham; however, some voluntary controlled schools (particularly those with a religious character) have a Supplementary Information Form, which needs to be completed to determine which category a child should be placed in. These schools will be listed in Birmingham Local Authority's prospectus on the School Admissions website.

5.36 Parents may express up to six preferences for their child to be admitted to any maintained school, Academy or Free School inside or outside Birmingham Local Authority.

5.37 Applications made online will receive an immediate email confirmation when the application is submitted as long as an email address provided.

5.38 Data will be exchanged with other admission authorities and other local authorities as detailed in Section 7.

5.39 The School Admissions and Fair Access Service will compare ranked parental preferences for each school. All ranked preferences will be given equal consideration against schools' admission criteria. If the child meets the admission criteria for two or more schools and could therefore potentially be offered a place at either school, the school the parent ranked highest as a preference will be offered.

5.40 Children who live in Birmingham who have not been offered one of their parents' six preferences, following consultation with another admission authority if appropriate, will be offered a place at one of their closest Birmingham Local Authority maintained secondary schools or academies or free schools with a vacancy.

<u>Year 10 (in the case of 14-19 academies)</u>

5.41 At the start of the Autumn Term 2023, parents who wish to make an application for their child to transfer to Year 10 at selected 14 -19 Academies in September 2024 will be able to make their application online. The online system will be available from September 2023.

5.42 Some 14-19 Academies in Birmingham will not be part of the co-ordinated scheme, details of which academies this affects will be published in Birmingham's composite prospectus. For these academies parent/carers will need to apply directly to them.

5.43 Applications to sit any selective or aptitude tests are to be made via separate forms, to be returned by dates specified by the Academy concerned.

5.44 Parents may express up to three preferences for their child to be admitted to any 14 - 19 Academy inside or outside of the Birmingham Local Authority area.

5.45 Applications made online will receive an immediate email confirmation when the application is submitted as long as an email address provided.

5.46 Data will be exchanged with other admission authorities and other local authorities as detailed in Section 7.

5.47 The School Admissions and Fair Access Service will compare ranked parental preferences for each Academy. All ranked preferences will be given equal consideration against Academies' admission criteria. If the child meets the admission criteria for two or more 14 - 19 Academies and could therefore potentially be offered a place at either Academy, the Academy the parent ranked highest will be offered.

5.48 Children who live in Birmingham who have not been offered one of their parents' three preferences will continue to have a place at their current school and they will be added to the Academies' waiting lists and their parents/carers informed of their right of appeal.

6. Determining the offer of school places

6.1 In determining applications for school places admission authorities must usually comply with parental preference.

6.2 In accordance with Section 86 of the School Standards and Framework Act 1998, with the exception of designated grammar schools, all maintained schools and Academies that have enough places available must offer a place to every child that has applied for one, without condition or the use of any criteria.

Children with challenging behaviour and those who have been excluded twice

6.3 Admission authorities must not refuse to admit children in the normal admissions round on the basis of their poor behaviour elsewhere. Where a child has been permanently excluded from two or more schools there is no need for an admission authority to comply with parental preference for a period of two years from the last exclusion. The twice excluded rule does not apply to children who were below compulsory school age at the time of the exclusion, children who have been re-instated following a permanent exclusion (or would have been had it been practicable to do so), and EHC plans.

7. Timetable for primary and secondary normal admissions rounds for 2024/2025

Admissions Round	Reception	Junior (Yr 2 – 3)	Secondary (Yr 6 – 7)	Year 10 (14-19 academies)
Birth range	01/09/19 – 31/08/20	01/09/16 – 31/08/17	01/09/12 – 31/08/13	01/09/09 – 31/08/10
Rounds open	1 October 2023	1 October 2023	1 September 2023	1 September 2023
Final closing date for receipt of applications	15 January 2024	15 January 2024	31 October 2023	31 October 2023
Rounds close (Applications will need to be made via the in-year process after this date)	31 July 2024	31 July 2024	31 July 2024	31 July 2024
Data exchange with other Local Authorities	26 January 2024	26 January 2024	13 November 2023	13 November 2023
Unranked preferences forwarded to Birmingham Admission Authorities	9 February 2024	9 February 2024	24 November 2023	24 November 2023
Sibling reports sent to schools and academies	9 February 2024	9 February 2024	24 November 2023	24 November 2023
Ranked preferences from Birmingham Admission Authorities and sibling reports from maintained schools / academies to be returned to Birmingham LA	29 February 2024	29 February 2024	18 December 2023	18 December 2023
Offer exchange with other Local Authorities	11 March 2024 22 March 2024 29 March 2024	11 March 2024 22 March 2024 29 March 2024	15 January 2024 26 January 2024 5 February 2024 19 February 2024	19 February 2024
Offer day – Notifications sent	16 April 2024	16 April 2024	1 March 2024	1 March 2024

Admissions Round	Reception	Junior (Yr 2 – 3)	Secondary (Yr 6 – 7)	Year 10 (14-19 academies)
Refusal of any offer should be made by this date	30 April 2024	30 April 2024	16 March 2024	16 March 2024
Any appeal should be received by this date *(20 school days following notification that application was unsuccessful).*	15 May 2024	15 May 2024	12 April 2024	12 April 2024
Appeals received on-time should be considered by this date (40 school days).	17 July 2024	17 July 2024	17 June 2024	17 June 2024

8. Late applications

8.1 Applications received after the statutory closing dates (31 October 2023 for Secondary and 14-19 Transfers and 15 January 2024 for Reception and Year 2-3 Transfers will only be considered after applications received on time.

8.2 Birmingham City Council is unable to consider any late applications with exceptional circumstances as on time after the 9 November 2023 for Secondary and 14-19 Transfers and after 22 January 2024 for Reception and Year 2-3 Transfers, as the council will be exchanging data with other admission authorities, including neighbouring councils, as part of the coordinated admissions scheme. Birmingham City Council will only consider applications received after the closing date as on time if there were exceptional reasons which prevented the parent/carer from applying by the closing date:

- A child and the person with parental responsibility have moved home.
- Where the local authority has contacted that parent/carer regarding the information contained within their application, for example, an incomplete application or potentially misleading information requiring further investigation.

8.3 If you feel you meet the exceptional circumstances as above, you must submit your late application together with evidence/documentation supporting your exceptional circumstances to Birmingham Local Authority for Secondary and 14-19 Transfers between 1 November 2023 and 9 November 2023 and for Reception and Year 2-3 Transfers between 16 January 2024 and 22 January 2024.

8.4 Important your evidence must be marked Exceptional Circumstances along with your online application reference number e.g. 330-2024-09-E-001875 and you must explain your exceptional reasons and attach any relevant documents/evidence, if applicable. We can only consider applications submitted as late but with exceptional circumstances if the above process is fully adhered to. Evidence/documentation will not be requested by Birmingham Local Authority to support late applications (further to the above). Evidence/documentation must be sent in with the email as stated above by the parent/carer.

8.5 Parent/carers that fully adhere to 8.3 and 8.4 above will have their late applications considered by Birmingham Local Authority on a case-by-case basis. Those that we do consider as having exceptional circumstances preventing them applying on time will be processed as on time applications, those that are not considered exceptional will be treated as late applications. Parent/carers will be informed by email of our decision and that decision is final.

8.6 If parents/carers submit subsequent application(s) after their original application and after the final closing dates (see 8.3 above), they will be restricted to a maximum of six live preferences for secondary and a maximum of three live preferences for reception at any one time. This does not impact parents/carers' right to express changes in preference for other schools, however if they do

wish to do so, they must carefully consider which preferences they wish to keep and which they wish to remove. Parent/carers must be aware that if they remove a preference for a school where their child has been offered a place they will not have their offer at this school withdrawn. Parents/carers must also consider the impact on waiting lists and appeals for any schools that they remove as preferences, as they will also be removed from those schools' waiting lists and the appeals will be withdrawn. The maximum of six preferences for secondary schools also includes grammar schools. When places are offered in March (secondary) and April (reception), Birmingham City Council will make one offer of a school place for each child. If parents/carers then make changes to their live preferences and these changes overwrite the school place offered, this offer will be withdrawn and no further offer will be made at an alternative school unless a place can subsequently be offered at one of their preferred schools due to waiting list movement. However, inclusion on a school's waiting list is not a guarantee of a place becoming available. Any changes made to live preferences that overwrite the schools a child is currently on the waiting list for will cause the child to be removed from that waiting list. Changes to live preferences that overwrite schools that parents/carers have previously submitted an appeal for will cause the appeal to be withdrawn.

8.7 Following the offer of places if parent/carers submit a change of order for preferences for the same schools that they have already applied for, that these changes in order will be disregarded. All preferences are treated as equal first preferences and their order is only important prior to the offer of places in March (Secondary) April (Reception). If a child does not get offered one of the preferences a parent/carer has ranked higher in their order of preferences following the offer of places, they will be added to those waiting lists when waiting lists are created (The only exception is grammar schools that have a final qualifying score that a child must achieve to be included on those waiting lists).

8.8 All applications made on or after 31 July 2024 will need to be submitted to their preferred school as in-year applications.

9. Foundation, trust and voluntary aided schools

9.1 For each voluntary aided and foundation school (including Trust schools), the Governing Body is the admission authority and decides its own published oversubscription admission criteria.

10. Academies and Free Schools

10.1 Admission arrangements for academies and free schools are approved by the Secretary of State for the Department for Education as part of an Academy's Funding Agreement, which requires compliance with admissions legislation and relevant Codes.

11. Selective schools

11.1 The selection of children for admission to grammar schools in Birmingham is by reference to ability and for this purpose there are tests held in the Autumn

Term of the 2023/2024 academic year for admission to these selective secondary schools in September 2024.

11.2 Arrangements relating to selective testing for admission to Bishop Vesey's Grammar School and Sutton Coldfield Grammar School for Girls are made jointly with The Schools of King Edward the Sixth in Birmingham. This will be known as "The Grammar Schools in Birmingham"

11.3 The Grammar Schools in Birmingham shall consist of the following schools:

Bishop Vesey's Grammar School
King Edward VI Aston School
King Edward VI Camp Hill School for Boys
King Edward VI Camp Hill School for Girls
King Edward VI Five Ways School
King Edward VI Handsworth School for Girls
King Edward VI Handsworth Grammar School for Boys
Sutton Coldfield Grammar School for Girls

11.4 Parents will be required to complete a test registration form to sit the selective test for a school that forms part of The Grammar Schools in Birmingham.

11.5 Pupils will only be required to sit one test to be considered for a place at a school that forms part of The Grammar Schools in Birmingham. Parents must also name any school(s) in The Grammar Schools in Birmingham on their Local Authority Preference Form to be considered for a place there.

11.6 Details and application dates will usually be publicised widely within the City from May each year. The closing date for applications to sit the test is 30 June 2023 at 4PM. No late applications to sit the test will be accepted. The test will take place in early September 2023.

11.7 Admission authorities for grammar schools must inform parents of the outcome of selection tests prior to the final closing date for applications each year, so that parents can make an informed decision as to whether they should name a selective school as one of their preferences.

12. The application process for in-year admissions

12.1 In-Year applications may arise for a number of reasons, for example, where a family has moved to Birmingham or if a parent/carer wishes to move their child from one school to another at a time outside the normal admissions round.

12.2 The local authority and all schools will work together to manage the process of in-year applications.

12.3 The local authority will enable parents to complete an application for a school place and will provide details of schools with places available.

12.4 In the first instance, parents will be requested to make applications directly to

the school(s) concerned. Outside the normal admissions round, parents/carers can apply for a place for their child at any time and to any school.

12.5 The law relevant to admissions to state schools and academies provides that on receipt of an in-year application, they must notify the local authority of every application and its outcome as soon as reasonably practicable but should aim to be within 2 school days. This will also allow the local authority to keep up to date with figures on the availability of school places in Birmingham.

12.6 The admission authority should aim to notify the parents of the outcome of their application in writing within 10 school days, but they must be notified within 15 school days.

12.7 Parent/carers who live in Birmingham who have not been offered their preferred school will be advised of their right of appeal and be added to the schools waiting list. In-Year waiting lists for maintained, voluntary controlled, voluntary aided, foundation schools, academies and free schools in Birmingham will be maintained by the schools. The Local Authority may require sight of the waiting lists at these schools, in order to determine that the process is operating effectively.

12.8 Children who are not offered a place at any of their preferred schools, will be offered a place at a Birmingham Local Authority maintained school, academy or free school near to the child's home address, that has a vacancy.

12.9 The Local Authority will be informed by schools and academies of any child who has not taken up a school place so that appropriate action can be taken.

12.10 Children who live in Birmingham whose parents have refused the school place offered may be issued with a formal notice advising of their legal requirement to ensure that their child is in receipt of a suitable education whether in school or otherwise.

12.11 Where a child is not receiving suitable education, further action may be taken against a parent under Birmingham Local Authority's School Attendance process.

13. <u>Fair Access Protocol</u>

13.1 The operation of the Fair Access Protocol is outside the arrangements for the coordination of the normal admissions rounds and is only triggered when an eligible child has not secured a school place under in-year admission procedures.

13.2 Fair Access Protocols exist to ensure that unplaced children outside the normal admissions round, especially the most vulnerable, are offered a suitable school as quickly as possible and to ensure that all schools in an area admit their fair share of children with challenging behaviour.

13.3 In the event of a governing body refusing to admit a pupil with challenging

behaviour outside the normal admissions round, even though places are available, a referral will be made to the Local Authority for action under the Fair Access Protocol.

13.4 This provision will not apply to a looked after child or child with an Education Health and Care Plan naming the school in question, as these children must be admitted. Previously Looked after Children (including previously looked after children from outside of England) must be admitted promptly. If for any reason they are not admitted promptly they would be considered under the Fair Access Protocol.

13.5 All admission authorities must participate in the Fair Access Protocol in order to ensure that unplaced children are allocated a school place quickly. There is no duty for local authorities or admission authorities to comply with parental preference when allocating places through the Fair Access Protocol.

14. Applications for a School Place from those living outside of England

14.1 Applications for a place in Reception Class, Year 2-3, Secondary Transfers and those 14-19 Academies that are part of Birmingham's coordinated Admission Scheme for Entry in September 2024 can all be made by parent/carers from their current address if it is outside of England in accordance with the relevant timescales and sections as outlined above.

14.2 If your child is unsuccessful in meeting the criteria for a place at one of your preferred schools in Reception Class, Year 2-3, Secondary Transfers and 14-19 Academies for entry in September 2024 you will have the right of appeal against that decision to refuse to admit your child.

14.3 If your child is offered a place at one of your preferred schools in Reception Class, Year 2-3, Secondary Transfers and 14-19 Academies for entry in September 2024, they will be expected to take up the place at the start of term in September 2024. If your child does not attend on the first day of term you risk triggering the school's attendance processes which may result in the place eventually being withdrawn.

14.4 Applications for a place In-Year can be made by parent/carers from their current address outside of England. Please refer to the In-year section above for details on how to apply.

14.5 If your child is unsuccessful in meeting the criteria for an In-Year place at one of your preferred schools, you will have the right of appeal against that decision to refuse to admit your child.

14.6 Birmingham School Admissions and Fair Access Service will not place your child at an alternative school if your child was unsuccessful in meeting the criteria at one of your preferred schools until you have moved into Birmingham and can provided acceptable proof of address of this.

14.7 If your child is successful in gaining an In-Year place at one of your preferred

schools, they will be expected to start at the school within a reasonable time frame to be agreed with the school, otherwise you risk triggering the school's attendance processes which may result in the place eventually being withdrawn.

15. Applications from UK Crown Servants and UK Military Families

15.1 Birmingham School Admissions will process applications from UK crown servants or UK military families with evidence from their employers or commanding officers that they are returning to the area ahead of any move. We will accept any posting or quartering address as a 'home' address in the absence of any actual home address.

Birmingham City Council

Report to Cabinet

14th February 2023

Subject:	**CHILDREN'S TRAVEL SERVICE TRANSPORT PROCUREMENT STRATEGY**
Report of:	**Sue Harrison,** **Strategic Director for Children and Families**
Relevant Cabinet Member:	**Cllr Karen McCarthy, Children Young People & Families** **Cllr Yvonne Mosquito, Finance & Resources**
Relevant O &S Chair(s):	**Cllr Kerry Jenkins, Education and Children Social Care** **Cllr Akhlaq Ahmed, Resources**
Report author:	**Edward Harper (Contracts and Commercial Workstream Lead)** **Email Address: edward.harper@birmingham.gov.uk**

Are specific wards affected? If yes, name(s) of ward(s):	☐ Yes	☒ No – All wards affected
Is this a key decision? Forward Plan Reference: 010980/2023	☒ Yes	☐ No
Is the decision eligible for call-in?	☒ Yes	☐ No
Does the report contain confidential or exempt information?	☐ Yes	☒ No
If relevant, state which appendix is exempt, and provide exempt information paragraph number or reason if confidential: n/a		

1 Executive Summary

1.1 This report provides an overview of the current contractual arrangements and recommendations for the procurement of transport services (vehicles, drivers and guides) used within the front-line Birmingham City Council ("BCC") Children's Travel Service.

1.2 This report sets the strategic direction for the procurement of these services, focusing on the recommended process for their required re-procurement and the high-level timescales for implementation. The recommendations enable a stronger financial grip on this demand led service, in addition to supporting more effective management of the market.

1.3 The report details the options explored and the recommendations to meet the key imperatives which will be to establish a sustainable mechanism for the ongoing, compliant procurement of quality transport services (vehicles, drivers and guides), with the required number of providers to meet the demands of the service, in the most cost-effective manner.

1.4 These recommendations support what is a critical front line service. Acknowledging the current budgetary overspend, driving increased value for money to help reduce the overspend and moving the service towards a balanced budget are key criteria.

1.5 These recommendations support contract flexibility, deliver robust contract management mechanisms, and the ability to deliver an agile, child centred and responsive transport services in line with the needs of the children and young people in a timely and efficient manner.

1.6 The recommended procurement process of a Framework will provide BCC with clear service pricing for the next 4 years, moving away from the current "reactive" pricing mechanism and is suitably flexible to recognise other transformation projects underway and any future service delivery models. In respect of implementation, the recommended option provides both the service and the market alike sufficient time to plan and mobilise and ensure the continued operational success of the Service.

2 Recommendations

That Cabinet

2.1 Approves the procurement of a Council framework for a four-year period commencing 1st August 2023 with expiry date of 31st July 2027.

2.2 Authorises the Director for Children and Families (or their delegate), in conjunction with the Strategic Director of Council Management (or their delegate) and the City Solicitor & Monitoring Officer (or their delegate) to:

1. Approve the procurement strategy report prior to publication of the opportunity for a Council framework.

2. Approve the award of contract to providers to be admitted to the Council framework; and

3. Approve any call off contract relating to the Council framework.

3 Background

3.1 Local authorities must meet the statutory requirements relating to home to school transport and sustainable travel. The Birmingham City Council ("BCC") Children's Travel Service is the largest service of its kind in the country providing transport services to support over 4,500 children and young people with Special Educational Needs and Disabilities ("SEND"). There are over 1,200 transport routes operated each day and, as at early September 2022, approximately 920 of these routes require guides to support the needs of these children and young people.

3.2 At the latest forecast, BCC utilises 17 external providers to provide transport services (vehicles and guides) spending £42.1m per year (£38.7m vehicles & £3.4m guides). This cost of transport provision plays a significant part in the forecast overspend and therefore any recommendations need to help address this issue. The recommendations in this report form a key part of the overall budget management strategy for the Children's Travel Service.

3.3 BCC must have a legally compliant mechanism for the ongoing procurement of transport services for its children and young people. BCC must also have a commercially viable route to market that delivers value for money and a quality service to its children and young people, parents and schools.

3.4 The current mechanism for awarding transport services contracts, the current Dynamic Purchasing System ("DPS"), commenced on 1st November 2019 and is due to expire on 31 October 2023.

3.5 The majority of contracts, which cover approximately 850 routes, from the DPS are due to expire either on 31st July 2023 (at the end of this academic year) or expire at the same time as the DPS on 31 October 2023[1]. However there exists the opportunity to extend these until 31st July 2024 with the option of a further year (until 31st July 2025) with revised terms and conditions. The remaining (c350) route contracts were reprocured as a separate exercise for 4 years in September 2022 following on from a short-term, one year, procurement in 2021 after a supplier failure where the contractual breaches could not be remedied.

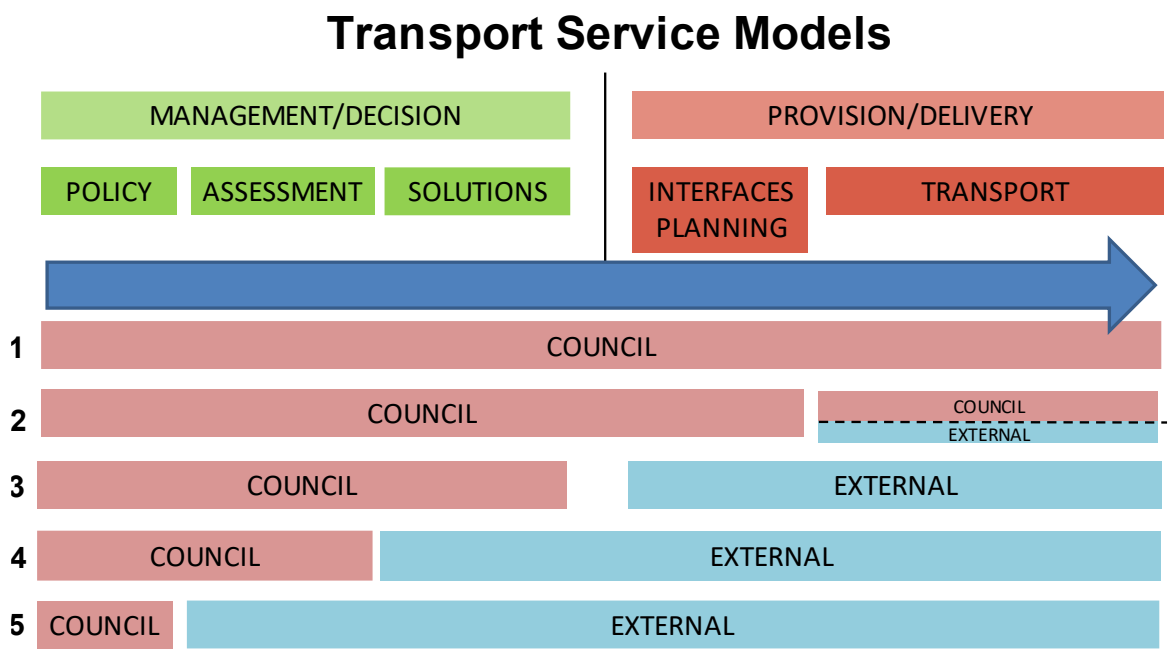
3.6 BCC therefore must have a compliant mechanism for procurement of transport provision before the current DPS expires on 31 October 2023 to accommodate any new transport requirements not covered by the contract extensions referred to in paragraph 3.5 above.

3.7 As part of the Children's Travel Service transformation programme a contracts and commissioning workstream was established. Part of their remit was to

[1] The exact expiry dates of all contracts are to be confirmed.

support the service by project managing the re-procurement of the transport services. A project team and project board were therefore established comprised of officers representing the operational service, contracts, commercial and compliance management, procurement, commissioning and finance.

3.8 It was important to define the scope of the project and consideration was given to the organisational / operational "breadth" of the project. In summary, should BCC be looking for providers to deliver more elements of the service than at present. To achieve this, analysis was undertaken in respect of the various transport service models and the breadth of control options available to the Council. This can be expressed diagrammatically as follows:

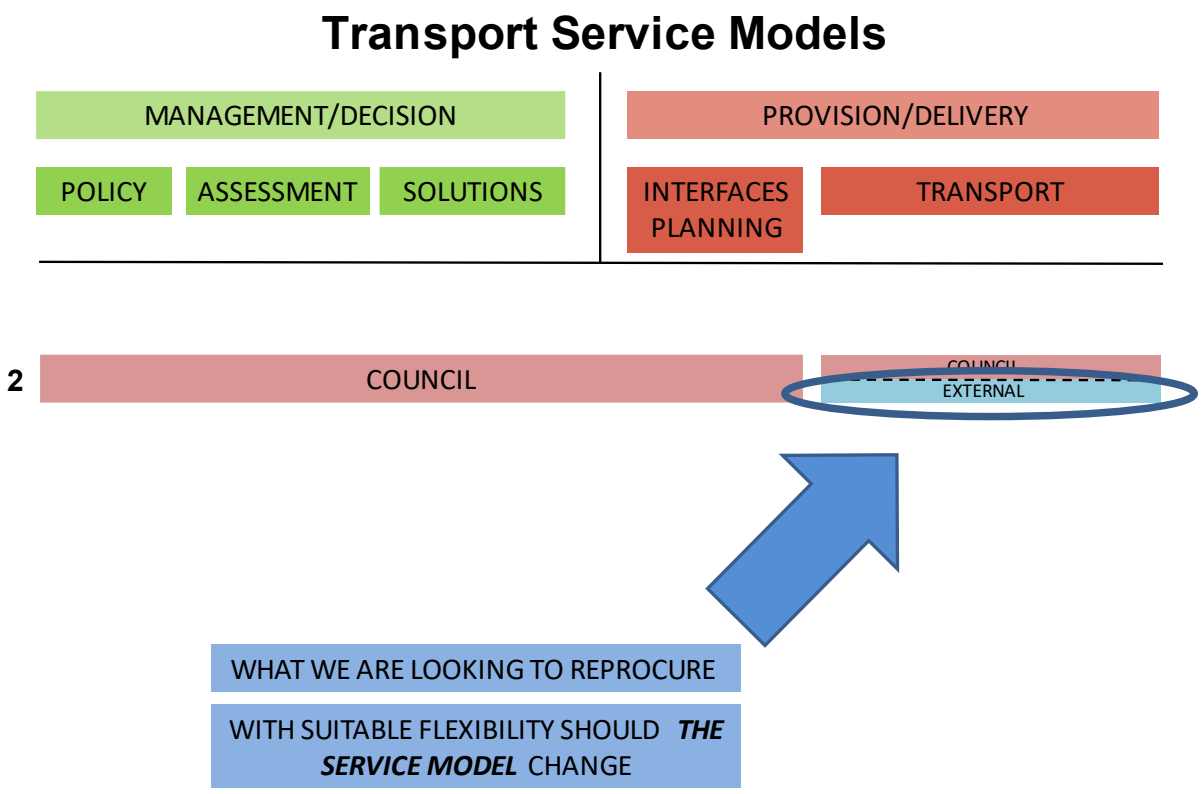


1 Fully In -House Model
2 Council Managed Model – Transport External or Mix of Council/External
3 Council Client Model - External Managed Service Delivery
4 Council Client Model - External Managed Service plus Solutions
5 Council Client Model - External Managed Service plus Solutions plus Assessment

3.9 Analysis (expressed diagrammatically above) shows that transport service functions are carried out by the Council or externally according to different models. These models are not exhaustive and there are variations including some elements potentially delivered in partnership or via joint venture. Councils cannot 'externalise' ultimate responsibility for delivery and the Policy elements has to be legally retained by the Council. The more functions that are external the greater the degree of 'trust' and 'monitoring' that are required, arguably increasing risk to Councils.

3.10 Clarification on the scope of this project was achieved by engaging with Commissioning colleagues and understanding the work that was being undertaken in respect of the new structure for the Children's Travel Service which

focused on the continued external delivery of transport with the planning interfaces continuing to being controlled by the Council. Despite this clear direction of travel, it was also agreed that the design of any new solution should also be suitably flexible to reflect any changes in the future to the service model and any future growth in Birmingham's own in-house fleet. The focus of this project can be expressed diagrammatically as follows:



3.11 Once agreed that the focus should be on procuring the external provision of transport services it was then important to determine an appropriate route to market.

3.12 Market Research demonstrated a concentration of awards using either a Framework or a Dynamic Purchasing System (DPS). The ATCO (Association of Transport Co-ordinating Officers) 2021 survey of 53 Local Authorities set out: *"Methods or processes used to procure SEND transport services included dynamic purchasing (36); framework agreements (8); DPS and frameworks (2); open tendering and quotations (2); moving to DPS (2); whilst 3 authorities did not answer the question."*

3.13 Procurement colleagues supported either of these two legally viable procurement options (DPS and Framework) and helped discount any alternatives.

3.14 The report in Part 1 weighs up the options between DPS and Framework and sets out a recommendation which is supported by the incoming new Assistant Director for the Children's Travel Service.

3.15 The report in Part 2 then goes onto explore implementation options and make a recommendation where the objectives (in addition to reprocuring a new Framework) are to:

- conduct a successful call off process;
- award contract to suppliers for circa 850 routes; and
- safely mobilise the new service whilst working alongside our key stakeholders (schools, children and young people and parents).

3.16 These recommendations support what is a critical front line service. Driving increased value for money to help move the service towards a balanced budget is a key criteria; alongside contract flexibility, robust contract management mechanisms, and the ability to deliver transport services in line with the needs of the children and young people in a timely and efficient manner. The plan is suitably flexible to recognise other transformation projects underway, notably the project in relation to the future target operating model for the Service.

4 Part 1 – Dynamic Purchasing System or Framework?

4.1 Introduction

4.1.1 Before undertaking any analysis, it was important to have a common understanding of the definition of a Dynamic Purchasing System and that of a Framework. A qualitative and quantitative framework of success criteria was then developed to assist with the decision-making before a recommendation was presented to both the Project Board and to the incoming new Assistant Director for the Service. This recommendation is now presented here in this Report.

4.2 Definitions

4.2.1 A procurement Framework is an agreement where an Authority selects a list of suppliers whilst also setting the terms, prices and conditions for a period of time in advance – normally 4 years. With specific pertinence to the provision of transport it is anticipated that as part of any framework, price per mile information by vehicle type would be obtained from suppliers so that there would be absolute clarity on pricing from the outset and providers can be "called off" through direct award as well as mini-competition.

A Dynamic Purchasing System (DPS) is similar to a framework agreement, but new suppliers can apply to join at any time. Whilst DPS' are also run as a two-stage process, prices will be latterly obtained (only) through mini-competition. DPS can run up to a maximum period of 10 years.

4.3 Key Criteria

4.3.1 In order to help make a decision, the stakeholders within the project team expressed during the course their meetings what the success factors would be from the perspective of the service, finance, procurement and commissioning. As advised by procurement colleagues, these "success factors" were then distilled into a set of criteria summarised by the project manager. These were as follows:

Criteria	**Service Context**
Speed of call-off / mini comp to mobilise service delivery as soon as possible. Delivering faster turnaround / more efficient / maximising time for mobilisation / communication and quicker outcomes to children and young people	Current arrangements require a mini-competition process involving Corporate Procurement colleagues which can take 4-6 weeks which is not conducive to operational requirements.
Clear specification of routing – to be able to, as exactly as possible, specify route requirements & obtain accurate pricing	Having a clear relationship between price and the Council's requirements – not paying "over the odds".
Clear specification of standards – to maintain (improve?) standards	There is a desire to have a clear, standalone, service specification that can be actively monitored and managed. Stakeholders may want the opportunity to improve current standards.
Cost transparency to manage variations & control controls (incl. managing inflationary demands). This will also permit more accurate forecasting	Current arrangements do not provide robust controls when variations (change in vehicle, route length etc) are required. At present this in the control of the provider, not the Council.
Clear KPIs / robust contract management	These both need to be established from the outset.
New arrangements in place on time (high level timetable)	BCC must have a compliant mechanism for procurement of transport provision before the current DPS expires on 31 October 2023 to accommodate any new transport requirements.
We need to deliver cost reductions & as soon as possible	The Service is overspending on their budget by £16.05m therefore delivering a reduction in current costs as soon as possible is very important.
Ability for Children's Travel Service operations staff to undertake call-offs / mini competition	The proposed new structure does not include specific contract management staff but rather this being part of the operational staff's responsibilities.
Good supply of providers	As of November 2022, there were 36 transport providers admitted onto the current Dynamic Purchasing System although only 17 were actively being contracted with. 12 of these have worked with BCC since the outset of the current

	DPS in 2019; and 5 have joined the DPS since then. There will be a requirement for supply levels of this size to meet BCC's needs.
Contingency arrangements if a provider goes out of business	The transport market has seen companies go out of business in recent years therefore arrangements need to be in place to address these scenarios.
Meeting ad-hoc (short term or particularly fast turnaround) requirements	The increase in demand for transport in emergency or respite scenarios means that it is a regular occurrence for transport to need to be organised extremely quickly.
Flexible contracts (to reflect optimisation / service changes / including non-default termination)	It will be critical that should BCC no longer need a vehicle then this can be terminated with a reasonable notice period without financial penalty.

4.4 Scoring against the criteria

4.4.1 There were eight members of the project team which included an Education and Skills procurement transformation lead, a Contract and Commissioning Manager; an Assistant Category Manager from Corporate Procurement (Finance and Governance); the Interim Deputy Operations Manager for the Children's Travel Service; the Manager of the Children's Travel Service Contracts, Commercial and Compliance team, one of the Travel Assist Supervisors for the Children's Travel Service, the Project Lead and a Project Manager.

4.4.2 Seven members of the project team (the Assistant Category Manager from Corporate Procurement (Finance and Governance) abstained as both options were compliant from a procurement perspective) independently voted on either 1) the DPS had clear advantages (over a framework) or 2) whether the framework had clear advantages (over the DPS); or 3) that neither option provided any benefit over the other.

4.4.3 The results can be seen in the table below. Scoring 27 to 14; or "winning" 9 criteria to 2, the framework was the recommended option.

Service Demands / Criteria	DPS	Framework	Both/No preference
Speed of call-off / mini comp to mobilise service delivery ASAP. Delivering faster turnaround / more efficient / maximising time for mobilisation / communication and quicker outcomes to children	0	5	2
Clear specification of routing – to be able to, as exactly as possible, specify route requirements & obtain accurate pricing	2	3	2
Clear specification of standards – to maintain (improve?) standards	1	2	4
Cost transparency to manage variations & control controls (incl. managing inflationary demands). This will also permit more accurate forecasting	0	4	3
Clear KPIs / robust contract management	0	1	6
New arrangements in place on time (high level timetable)	0	2	5
We need to deliver savings & ASAP	0	1	6
Ability for HTST operations staff to undertake call-offs / mini competition	0	5	2
Good supply of providers	4	0	3
Contingency arrangements if a provider goes out of business	6	0	1
Meeting ad-hoc (short term or particularly fast turnaround) requirements	1	4	2
Flexible contracts (to reflect optimisation / service changes / incl non-default termination)	0	0	7
TOTALS	**14**	**27**	**43**

4.4.4 The Framework scored particularly strongly in respect of costs transparency to manage variations and cost controls. As the Framework would require the Council to be very clear from the outset on its requirements, prices can then be allocated from the outset. Up front price per mile information by vehicle type and split by whether or not a guide would be required would give absolute clarity on costs and variations. The current arrangements, which utilise a DPS, struggle to accommodate the operational requirements of the service or the desired cost & compliance controls of the Council.

4.4.5 An example of this is in circumstances where the Council wishes to add or remove a child from a transport route but also wants to maintain continuity of provider so that those children/young people who will stay on the route stay with the same crew (driver and possibly also guide). Under the DPS arrangements, there should be a requirement to put these new requirements out to those on the DPS in the form of mini-competition; however this would mean that there could be a change of provider, therefore undermining the desired outcome of continuity of service. The desire to maintain continuity of service therefore can result in the mini-competition process not taking place and price variations being a matter of local negotiation where providers hold the power. So, by using a Framework, where prices are allocated from the outset, using a price per mile pricing mechanism, changes such as the one outlined above can be financially controlled whist also delivering the desired continuity of service. To provide a “real world” scenario, if we know that, from our Framework costs allocated from the outset of the procurement exercise, a 5-seater taxi will be £2.00 per mile, and we want to add a child to that taxi resulting in an additional mileage on the journey of 2 miles; then we know that the additional cost of that journey will be £4.00. The same controls would be in place for any required reduction in route mileage should a

child need to be removed from that vehicle. Up front price per mile information by vehicle type and categorised by whether or not a guide would be required would give absolute clarity on initial costs and also for variations. These clear controls are seen as vital to the ability to control this significant area of expenditure, and a clear advantage of the Framework over DPS.

4.4.6 The ability to undertake mini-competitions would be built into this model so that exceptionally, and at its discretion, the Council may award particular requirements following a mini-competition amongst all the providers awarded to the Framework Agreement on a 'best price' basis. This may be pertinent to longer-distance journeys where extrapolation of the 'per-mile' pricing may be disadvantageous to the Council.

4.4.7 It is anticipated that the Framework prices set from the outset will have a clearly contractually established annual price review mechanism based around agreed inflationary indices, which will permit the Council to forecast more accurately than if a DPS were to be used. Prices will therefore only be permitted to increase on the basis of pre-agreed indices, rather than the desires of the market at the point of mini-competition, where the market may make a determination on the urgency of the requirement from the Council and/or the prevailing economic conditions and price accordingly.

4.4.8 The Framework also scored particularly strongly in relation to the speed of call off in order to mobilise the service delivery as soon as possible. Delivering a faster turnaround would be not only more efficient for the Council but also would deliver quicker outcomes to the supported children and young people. This is because of the ability of the Framework not to have to require a separate procurement “stage” to obtain pricing; but rather to undertake a direct award to the highest placed provider on the Framework. Direct Award would generally be the ‘default.’ Presently this second “stage” of mini-competition takes between 4-6 weeks and requires the specialist input of Corporate Procurement colleagues.

4.4.9 It was also the case that the Framework was the strong “winner” when it came to equipping the operational staff with the ability to undertake the call-offs because of the ability to undertake a direct award to the highest placed provider on the Framework. A standard operating procedure will be established for operational staff to undertake these call-offs without the need for intervention or support from Corporate Procurement colleagues; therefore this is a more efficient methodology requiring reduced officer intervention and time than is the case at present.

4.4.10 In the scenarios where the DPS scored more strongly than the Framework, these scenarios will be explored and addressed as best as possible in the development of the procurement strategy. A prime example will be to clearly address a scenario where a provider goes out of business and the resulting approach taken.

4.4.11 The main risk in adopting a framework arrangement as opposed to a DPS, is that the Council will not have the flexibility to add additional providers during the lifetime of the framework. This risk is mitigated by our knowledge of the market

and confidence in being able to award sufficient quality and quantity of providers onto the framework. A dedicated market day will be held to generate interest in the Framework opportunity. Market feedback via the Contracts, Commercial and Compliance team is that the current DPS is proving prohibitive to entry for a number of providers because of the present requirement for all providers to have a vehicle storage depot within the City's geographical area. It is anticipated that as long as providers can demonstrate their ability to deliver the service it should not be a requirement to have a physical vehicle storage depot within the City's geographical area. The Council has also been approached by a major national provider of travel services who is presently not on the DPS, expressing their interest in any future arrangements.

4.5 Recommendation

4.5.1 The above rationale and recommendation for the utilisation of a Procurement Framework was shared with the incoming Assistant Director. The rationale was understood, and the recommendation supported to be presented here to Cabinet.

5 Part 2 – Implementation

5.1 Introduction

5.1.1 In addition to the work undertaken and subsequently recommended in relation to the route to market, that being a new procurement Framework, work was undertaken in parallel to explore the implementation of any such recommendation.

5.1.2 The objectives of the project were therefore to not only reprocure a new Framework but also to:

- conduct a successful call off process;
- award contract to suppliers for circa 850 routes; and
- safely mobilise the new service whilst working alongside our key stakeholders (schools, children and young people & parents).

5.1.3 Establishing a new Framework would not, on its own, deliver the desired outcomes particularly in relation to delivering cost reductions. Unless the Service was given enough time to undertake the above objectives bullet-pointed above then cost reductions would not be delivered and, at worst, new arrangements would not be in place, putting the entire service provision at risk.

5.1.4 The recommendations established in this Cabinet Report will be further developed within a subsequent procurement strategy report which will be agreed and issued prior to publication of the opportunity for a Council framework.

5.2 Summary of Options

5.2.1 The options explored can be summarised as per the table below:

	"Single Year" 2023	**"Single Year" 2024**	**"Multiple Years"**
Establish New Framework	Option 2	Option 3	Option 5
Utilise Current DPS	Option 1	Not an option because action has to be taken prior to expiry of current DPS (before 31 October 2023)	Option 4

5.2.2 The term "Single Year" was utilised by the Project Team as a common terminology for making a wholesale change to the routes in one or two project increments in one academic year. The term "Multiple Years" explored options where changes were made in a phased manner, with multiple increments, specifically 50% of change in one year and then another 50% the following year.

5.2.3 Whilst the options involving the extension of the current DPS (Options 1 and 4) were explored, once the decision had been taken by the Project Board to move to the establishment of a new Framework, these two options became null and void. BCC had to act boldly to deliver the required cost reductions and the desired robust pricing mechanism and increased financial controls.

5.2.4 For the sake of simplicity for this report, because Options 1 and 4 were discounted on this basis, these are therefore not explored further in this report.

5.2.5 The remaining options, Options 2, 3 and 5 are however explored within this report. Considerations needed to be given to parallel transformation projects and key dependencies as well as the complexity of this project and the critical time duration of certain elements, importantly the required governance process and the procurement process which had to comply with 2015 Procurement Regulations.

5.3 Key Criteria

5.3.1 Stakeholders within the project team expressed during the course of the meetings what was important to them, and these were summarised by the project manager. Whilst one option, Option Three, developed into the most strongly preferred option through the discussions, in order to help make and quantitively evaluate a decision, the stakeholders within the project team expressed during the course of their meetings what was important to them, and these were distilled into a set

of criteria summarised by the project manager. Five of these criteria were identified to be “key” criteria to a successful implementation. These were as follows:

Key Criteria	**Service Context**
Time for Market to respond and mobilise post call-off / mini-competition (contract award)	With particular relevance to the minibus market, once they have been awarded contracts, providers may need time to purchase or lease vehicles and all providers certainly need time to plan and mobilise resources. It would be unreasonable to expect providers to have “spare” capacity of vehicles and crews on standby to deliver at short notice.
Clarity on costs / cost reductions – best ability to forecast	Pertinent to comparing multiple vs single year implementation options, important to have the time to plan arrangements and know as soon as possible the revised costs to provide a strong forecasting base.
Amount/scale of potential cost reductions	The Service is overspending on their budget by £16.05m therefore delivering a reduction in current costs as soon as possible is very important. Ensuring time to drive competition in the marketplace will deliver maximum cost reductions.
Time for BCC HTST Operations to plan routes (to maximise benefits of procurement)	Ensuring time for the Service to plan and optimise routes before undertaking contract call-offs will deliver maximum cost reduction.
Minimise risk of service failure	With c850 routes to potentially change it will be important to allow sufficient time for the service to carefully plan, communicate and deliver implementation to minimise the risk of service failure.

5.3.2 A scoring system was developed for the above criteria and the project team independently scored each option against the criteria. These independent scores were then moderated to identify a majority score. The scoring system was as follows:

0 = No benefit

1 = Low benefits

2 = Medium benefits

3 = Good benefits

4 = Excellent benefits

5.4 Detailed Options Appraisal

5.4.1 As stated above, whilst the options involving the extension of the current DPS (Options 1 and 4) were explored, once the decision had been taken by the Project Board to move to the establishment of a new Framework, these two options became null and void. The options involving the establishment of a new Framework, Options 2, 3 and 5, are detailed below.

5.5 Option 2 – Single Year 2023 - "Full speed ahead" for 2023

5.5.1 Option 2 Summary

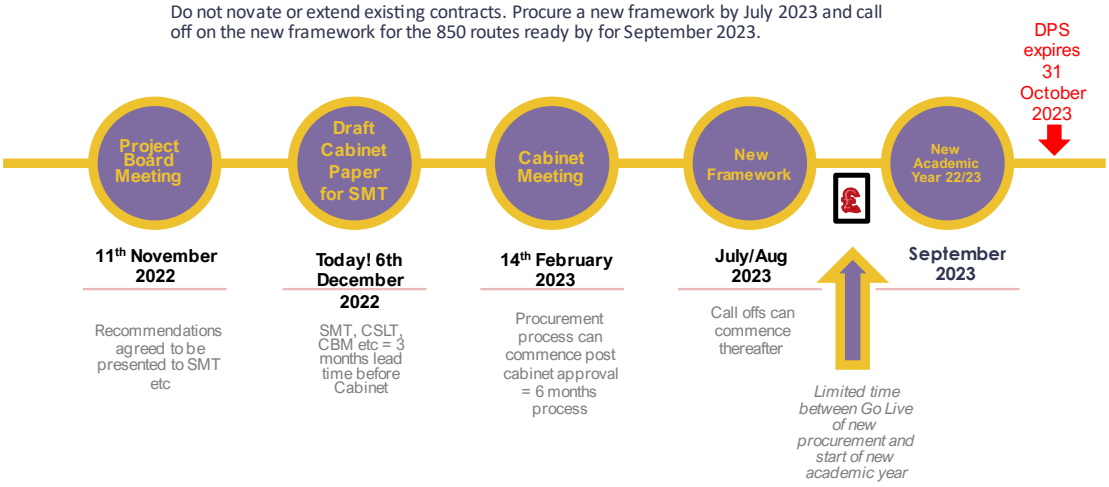
5.5.1.1. This option would see the establishment of a new Framework as soon as possible. After the Governance requirements leading into this report being presented at Cabinet on 14th February 2023, the procurement process could potentially commence. Given the desire to generate interest in the marketplace and the value of the contract it is anticipated that this process will take approximately 6 months. This would result in the new Framework being available from July/August 2023.

5.5.1.2. Under this Option, all (c850) contract call-offs would be undertaken as soon as possible after the Framework becoming available i.e. as soon as possible after July/August 2023.

5.5.1.3. This option can be expressed diagrammatically using the slide below which was used at the Procurement Project Board meeting on 11th November 2022. The '£' symbol represents the opportunity to start delivering cost reductions from the point of new contracts being called off from the framework at this time. It would mean the new framework would be established and contracts called off prior to the expiry of the current DPS on 31st October 2023.

Option 2 – Full speed ahead for 2023

Do not novate or extend existing contracts. Procure a new framework by July 2023 and call off on the new framework for the 850 routes ready by for September 2023.



5.5.2 Option 2 Commentary and Scores

5.5.2.1. It is entirely possible to establish a new Framework for July/August 2023 ensuring the robust governance arrangements of the Council are followed as well as following a procurement process in line with the 2015 Procurement Regulations for a competitive process of this kind and value.

5.5.2.2. However, and this is reflected in the scores in the table below, there is a fundamental problem with this approach which carries significant risk to the service. That is, that there is insufficient time between the availability of the new Framework and the start of the new academic year. It has been assessed that there is insufficient time between July/August 2023 and the start of the new academic year to undertake the contract call-offs, for the change of provider to be notified, for the new provider to mobilise and for the change to be effectively communicated with parents, carers, schools and the children and young people themselves.

Option 2 – "Full speed ahead for 2023" - Evaluation

Criteria	Option 2 (Big Bang using new DPS in 2023) Score & Comments
Time for Market to respond and mobilise post call-off / mini-comp	2
Clarity on costs / savings – best ability to forecast	2
Amount/scale of potential savings	1
Time for BCC Operations to plan routes (to maximise benefits of procurement)	0
Minimise risk of service failure	1
TOTAL SCORE (Max 20)	6

0 = No benefit
1 = Low benefits
2 = Medium benefits
3 = Good benefits
4 = Excellent benefits

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5.5.3 Option 2 Conclusions

5.5.3.1. Despite objectively appearing to deliver cost reductions as quickly as possible, by seeking to undertake contract call-offs as soon as possible; given the lack of time to undertake the required elements of the contract call-offs, this is somewhat of a "false economy".

5.5.3.2. This Option is not recommended given the extreme risk of service failure trying to make this significant change in an insufficiently long period of time.

5.6 <u>Option 3 – Single Year 2024 – Establish new framework/DPS in 2023 with new contracts in 2024</u>

5.6.1 Option 3 Summary

5.6.1.1. This option would see the establishment of a new Framework as soon as possible. After the Governance requirements leading into this report being presented at Cabinet on 14th February 2023, the procurement process could potentially commence. Given the desire to generate interest in the marketplace and the value of the contract it is anticipated that this process will take approximately 6 months. This would result in the new Framework being available from July/August 2023.

5.6.1.2. Under this Option, current contracts* would be extended on the basis of 1 year plus the option of an additional year (to protect against any delay in the framework procurement and implementation) with the contracts containing non-default termination clauses which would provide BCC with the flexibility it requires should there be opportunities to optimise or reduce routes during the academic year 2023. The offer of contract

extension would also be the opportunity to talk to providers about price reductions, symbolised by the first "£" symbol on the diagram below. (*In terms of precise contractual detail, the current 'contracts' are actually, presently, specified as 'Individual Service Agreements' (ISAs) and these would be varied specifically into Call-Off contracts). It should be noted that this contract extension would involve negotiating with the current providers regarding any changes to the terms and conditions. This may jeopardise the extension if a "for convenience" termination clause is included and any other variations which the providers are not prepared to agree to or agree to at a premium price.

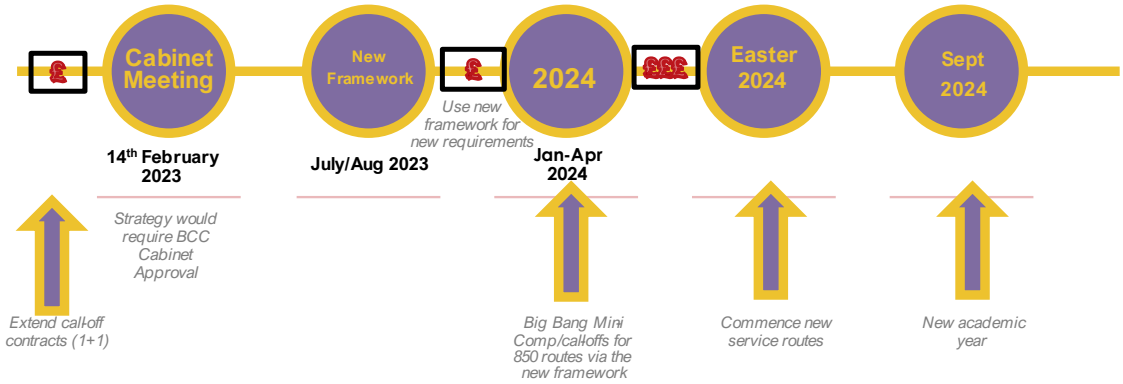
5.6.1.3. The new framework would be available from July/August 2023 and therefore any new contractual requirements could be met from the new framework from this point in time onwards. As it is anticipated that the new Framework will deliver lower prices than present, this point in time is also denoted by the second "£" symbol on the diagram below.

5.6.1.4. Under this option the Service would undertake the major change of contracts in one or two project increments, in one academic year, from Easter 2024 having spent the time from January to Easter reviewing the current routes and producing a more optimised solution; undertaking the call-offs, notifying the providers of the change so they can prepare to mobilise and for the change to be effectively communicated with parents, carers, schools and the children and young people themselves. This point in time is denoted by a "£££" symbol as this represents the moment when most cost reductions can be delivered through a combination of both a change of provider and the effect of route optimisation.

5.6.1.5. The option would ensure compliance because the new framework would be established prior to the expiry of the current DPS on 31st October 2023.

Recommended Option 3 – Establish new framework in 2023 with new contracts in 2024

Vary the existing ISAs to call-off contracts (including desired DoVs) and extend for 1 + 1 years. New Framework available for new requirements from August 2023. Wait until quieter /more "static" operational time Jan-April 2024 to undertake contract call-offs via the new framework. Commence new service/routes at Easter 2024.



5.6.2 Option 3 Commentary and Scores

5.6.2.1. Option 3 scores most highly (against all other options) as it provides a new Framework as soon as the processes allow but then additionally allows time for both the Service to internally plan routes to maximise the benefits of the procurement alongside giving the market time to mobilise.

5.6.2.2. There are 3 opportunities to drive cost reductions; firstly at the point of offering contract extensions; secondly the ability to use the new Framework to meet any new requirements in the lead up to and the early months of the new academic year; and then thirdly, and of most significance, to make the major change from Easter 2024 benefitting from the Service having had time to internally plan and optimise the routes. This option can be summarised as delivering the maximum cost reductions at the earliest opportunity without putting the service at risk.

5.6.2.3. By allowing the time between the establishment of the new Framework and the contractual call-off process, this option reduces significantly the amount of risk in relation to service failure resulting from this major procurement exercise.

Option 3 – Establish new framework/DPS in 2023 with new contracts in 2024 - Evaluation

Criteria	Option 3 (Big Bang with new contracts in 2024)
Time for Market to respond and mobilise post call-off / mini-comp	3
Clarity on costs / savings – best ability to forecast	3
Amount/scale of potential savings	2
Time for BCC Operations to plan routes (to maximise benefits of procurement)	3
Minimise risk of service failure	2
TOTAL SCORE (Max 20)	13

0 = No benefit
1 = Low benefits
2 = Medium benefits
3 = Good benefits
4 = Excellent benefits

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5.6.3 Option 3 Conclusions

5.6.3.1. Through the discussion at the dedicated project team Option 3 was the preferred option and indeed scored most highly when it came to the independent scoring.

5.6.3.2. The option aligns with the incoming Assistant Director's experience and desire to implement provider and route changes at Easter time.

5.6.3.3. This Option, Option 3, is the recommended option.

5.7 <u>Option 5 – (Multiple Years) – Establish new DPS/framework & take phased approach to contract call-offs</u>

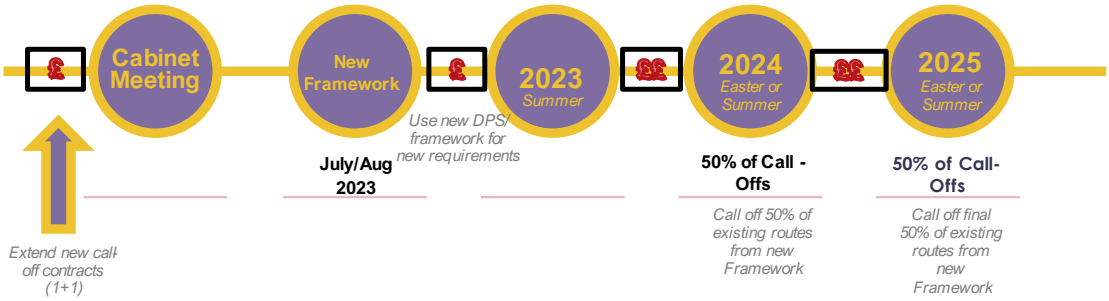
5.7.1 Option 5 Summary

5.7.1.1. Option 5 can be most easily summarised as being the same as Option 3 however rather than taking a "singular" approach to making the change in one academic year, it phases the delivery of the change and therefore the potential cost reductions over a two-year period; undertaking 50% of the change in 2024 and the remaining 50% in 2025.

5.7.1.2. This option can be expressed diagrammatically below:

Option 5 (Multiple Years) – Establish new Framework & take phased approach to contract call-offs

Vary the existing ISAs to call-off contracts (including desired DoVs) and extend 50% to Easter or Summer 2024 and 50% to Easter or Summer 2025 (or alternative profile) and then at these points in time call these off from the new framework



5.7.2 Option 5 Commentary and Scores

5.7.2.1. Whilst sharing many of the benefits of Option 3, Option 5 scores lower in respect of the clarity of costs/cost reductions as it delivers change over a two-year period, making forecasting more complicated.

5.7.2.2. Whilst objectively it may appear to give BCC Operational staff more time to plan routes, the Service had a desire to make these changes in one increment to maximise the benefits of the procurement as soon as possible and to benefit from taking a "one council" approach to route planning, rather than splitting this task into two increments.

Option 5 (Multiple Years) – Do not extend current DPS, establish new framework/DPS & take phased approach to contract call -offs - Evaluation

Criteria	Option 5 (New framework/DPS and phased implementation of contracts)
Time for Market to respond and mobilise post call -off / mini-comp	3
Clarity on costs / savings – best ability to forecast	2
Amount/scale of potential savings	2
Time for BCC Operations to plan routes (to maximise benefits of procurement)	2
Minimise risk of service failure	2
TOTAL SCORE (Max 20)	11

0 = No benefit
1 = Low benefits
2 = Medium benefits
3 = Good benefits
4 = Excellent benefits

5.7.3 Option 5 Conclusions

5.7.3.1. Particularly because of the budgetary pressures this option was viewed as sub-optimal as it would not deliver the maximum level of cost reductions at the earliest opportunity (without putting the service at risk).

5.8 <u>Recommended Proposal</u>

5.8.1 Option 3 is the recommended Option. Whilst Options 1 and 4 were discounted because they relied upon the existing DPS, for full visibility, these options were assessed, and the table below shows the full set of scores:

Implementation Options - Summary Matrix & Scores

	Single Year 2023	Single Year 2024	Multiple Years
Establish New Framework / DPS	Option 2 Score – 6 / 20	Option 3 Score – 13 / 20	Option 5 Score – 11 / 20
Current DPS	Option 1 Score – 6 / 20	Not an option because have to do something with current DPS before 31 October 2023	Option 4 Score – 10 / 20

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5.8.2 Option 3 provides the time for BCC to establish its own Framework, compliant with Public Contracts Regulations 2015, tailored to the requirements of the Service. It will also allow new providers entry to provide increased competition. There will be consistent pre-negotiated terms and conditions and transparency of costs. A new, detailed, specification will be constructed and consulted on with stakeholders including the Parent Carer Forum which will set out the standards BCC expects of its providers and mechanisms for addressing any poor performance.

5.8.3 When exploring the implications of the recommended option in respect of implementation; it is important to set out the opportunities, through this recommendation, to undertake activity which will help reduce the overspend and support the strategy to move back towards a balanced budget. Three main opportunities have been identified.

5.8.4 Under the recommended option the first opportunity to reduce costs will already have been derived from meetings that will have taken place prior to the presentation of this Cabinet Report. These tactical meetings led by the Contracts, Commercial and Compliance team will focus on providers offering a reduction in

their costs and their agreement to revised terms and conditions in return for the offer of an extension of their contracts until 2024. “Outlier” prices, i.e. those significantly above the average cost of provision, will also be challenged. These current contracts would be extended on the basis of 1 year plus the option of an additional year (to protect against any delay in the framework procurement and implementation) with the contracts containing non-default termination clauses which would provide BCC with the flexibility it requires should there be opportunities to optimise or reduce routes during the academic year 2023. This opportunity should result in a reduction in current costs.

5.8.5 Secondly, the new framework would be available from July/August 2023 and therefore any new contractual requirements (outside of those contracts agreed & extended above) could be met from the new framework from this point in time onwards. New contractual requirements may include new routes to existing schools and colleges or new routes to new schools and colleges, for example. It is anticipated that the new framework will deliver lower prices than present, however because these are new requirements, this opportunity would not result in a reduction in current costs, but would represent “cost avoidance” in the sense of purchasing at a lower cost than would have been the case should this project have not gone ahead.

5.8.6 Thirdly, finally and most importantly to the delivery of cost reductions, under this option the Service would undertake the major change of contracts in one academic year (rather than two) from Easter 2024 having spent the time from January to Easter reviewing the current routes and producing a more optimised solution; undertaking the call-offs, notifying the providers of the change so they can prepare to mobilise and for the change to be effectively communicated with parents, carers, schools and the children and young people themselves. This point in time represents the moment when most cost reductions can be delivered through a combination of both a change of provider and the effect of route optimisation.

5.8.7 Through the proposed Option, clear call-off procedures will be established thereby providing a fully auditable and transparent approach to future expenditure. Internal Audit will be engaged with the design of the call-off and variation procedures.

5.8.8 The Option provides all flexibility to reflect any future changes in service provision and, in particular, any growth in the in-house service provision.

5.8.9 The recommended Option set out in this Cabinet Report will be further developed within a subsequent procurement strategy report which will be agreed and issued prior to publication of the opportunity for a Council framework.

6 Consultation

6.1 The new Assistant Director for the Children’s Travel Service held a meeting with the Parent Carer Forum in January 2023 who understood the recommendations

and were supportive of the planned outcomes, particularly of having better controls in place to ensure a more consistent service.

6.2 Meetings have been established with the new Assistant Director for the Children's Travel Service and all current providers in early February 2023 to assess their interest in the new Framework. Once completed, their feedback will then be included into the full Procurement Strategy.

6.3 Consultation has also been undertaken with the Director of Place, Prosperity and Sustainability who is supportive of these proposals.

6.4 There is also planned consultation to be undertaken by the new Assistant Director for the Children's Travel Service with the key Special Schools in the City. They, and all other schools, will then subsequently be engaged at the point of planning and communicating the implementation of the new Framework.

7 Risk Management

7.1 The provision of transport services (vehicles, drivers and guides) is, arguably, the most integral part of service delivery for the Children's Travel Service. The requirement to re-procure provides the most significant opportunity for change but therefore the high potential for service failure.

7.2 This report, and the work leading up to its presentation, has therefore focused as much on the implementation of the proposed procurement process as the process itself. Time will need to therefore be needed to deliver a change of this significance and the recommended implementation option supports this requirement.

7.3 Changes to providers and therefore personnel can lead to some children and young people having greater difficulties accessing transport services. Many children and young people with additional needs struggle to adapt with change and therefore unnecessary or frequent changes are often detrimental to an individual's mental wellbeing and ability to learn. This change cannot be pre-determined, but it can be well communicated, and it will be the intention of the Service to deeply engage with stakeholders throughout the procurement process.

8 Compliance Issues:

8.1 How are the recommended decisions consistent with the City Council's priorities, plans and strategies?

8.1.1 The recommended decision supports the delivery of Birmingham as an aspirational city to grow up in as this will aim to continue to support the SEND offer to Birmingham's children and families; modernising, safeguarding and improving outcomes for children and young people.

8.2 Legal Implications

8.2.1 Sections 508B and 508C of the Education Act 1996 make provision for local authorities to ensure that suitable travel arrangements are made, where

necessary, to facilitate a child's attendance at school. Suitable travel arrangements may include the provision of guides to support eligible children and young people to get to school.

8.2.2 Under Section 1 of the 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 under Sections 2 and 4 of the Localism Act 2011.

8.3 **Financial Implications**

In terms of the recommendation to progress with a Framework, rather than a Dynamic Purchasing System ("DPS"), the analysis undertaken by the Project Team clearly demonstrated the advantages of the Framework in respect of cost transparency as detailed in the table over.

Framework	Dynamic Purchasing System (DPS)
Financial Risks/Benefits • Pending approval, new Framework can be available from July/August 2023 and is expected to reduce the service overspend through improved cost transparency. • Framework based on set price per mile by vehicle type for all awards/routes. • Better cost transparency and establishes clear relation between mileage and cost, improving ability to control/forecast service costs based on changes in mileage/children & young people on transport. • Framework also allows for mini competitions (like DPS), enhancing the Council's ability to award particular requirements following a mini competition amongst all the providers awarded to the Framework Agreement on a 'best price' basis. The ability to undertake both direct call-offs as well as mini-competition strengthen the Council's power to negotiate on pricing.	**Financial Risks/Benefits** • Current DPS expires in October 2023 exposing Council to ongoing price volatility and ongoing budget overspend. • Variable pricing – based on type of vehicle and dependant on outcome of mandatory DPS mini competition for new awards/routes. • Poor cost transparency with no relationship between cost and mileage resulting in unpredictable price variations– difficult to forecast and control service costs.
Service Operations • The Framework agreement allows for changes in transport provision to occur within the agreed pricing framework enabling both flexing of number of children & young people on transport and mileage at a set cost enhancing continuity of provider, drivers and guides for vulnerable service users. Overall achieving desired cost control while maintaining a child centric service. • It is expected that significant cost reductions will be realised (the actual benefit is difficult to establish given the prevailing volatility in pricing) post Easter 2024 having spent the time from January to Easter reviewing the current routes and producing a more optimised solution; undertaking the call-offs, notifying the providers of the change so they can prepare to mobilise and for the change to be effectively communicated with parents, carers, schools and the children & young people themselves.	**Service Operations** • The requirement to go to mini competition for any changes to transport provision (number of children/young people or mileage) can disrupt continuity of providers and staff (Drivers & Guides) associated with a route, placing pressure on the Council to negotiate expensive local agreements with providers to maintain continuity for service users. • Continuing with current DPS is not currently viewed as a viable option.

8.3.1 The recommended option of a Framework with the majority of routes changed from Easter 2024 will provide the ability to control/forecast service costs and deliver the maximum cost reductions at the earliest opportunity **without putting the service at risk**. The detailed appraisal can be found in paragraphs 4.4.4 to 4.4.7 and paragraphs 5.8.3 to 5.8.7 above.

8.4 **Procurement Implications**

8.4.1 The procurement of the framework will follow the Open tender route and will be fully compliant with the Public Contract Regulations 2015. A full Procurement Strategy will be submitted to those officers identified in para 2.2 above for their approval prior to commencing the procurement.

8.5 **Human Resources Implications**

8.5.1 There are no human resource implications identified in the report at this moment in time. In the event there is a need to review, reduce, recruit or transfer any City Council employees – existing or new - linked to the proposals set out in this report, then Birmingham City Council policy and procedure will prevail and must be adhered to. In the event, advice should be sought from the Directorate People Partner on the approach to be taken.

8.6 **Public Sector Equality Duty**

8.6.1 An Equality Impact Assessment has been undertaken, reviewed for quality assurance and signed off. There are no negative implications associated with these recommendations.

8.7 **Environmental and Sustainability Implications**

8.7.1 An Environmental and Sustainability Assessment has been completed and signed off.

8.7.2 Whilst there are no environmental or sustainability implications resulting from the change, we will ensure the providers meet the standards sets by Birmingham through a robust specification, including the current clean air zone (CAZ).

8.7.3 Colleagues from the Route to Net Zero team will be engaged in the development of the specification to ensure alignment with the Council's priorities around climate change.

9 Appendices

9.1 Appendix 1 - Equality Impact Assessment.

9.2 Appendix 2 – Environment and Sustainability Impact Assessment.

10 Background Documents

None.

Title of proposed EIA	Children's Travel Service Transport Procurement Strategy
Reference No	EQUA1040
EA is in support of	Amended Service
Review Frequency	Two Years
Date of first review	01/12/2024
Directorate	Education and Skills
Division	Children's Services
Service Area	Children's Travel Service
Responsible Officer(s)	☐ Edward Harper
Quality Control Officer(s)	☐ Stephen J Hughes
Accountable Officer(s)	☐ John Elsegood
Purpose of proposal	To fufil Public Sector Equality Duties in relation to the Cabinet Report for the Transport Procurement Strategy
Data sources	Other (please specify)
Please include any other sources of data	Service-based workshops and interviews

ASSESS THE IMPACT AGAINST THE PROTECTED CHARACTERISTICS

Protected characteristic: Age	Service Users / Stakeholders
Age details:	The service is one accessed by children and young people. They will be engaged with in the development of the procurement specification. The quality of service to this group will be maintained through this procurement via the establishment of a robust specification. This procurement may lead to a change of provider for some service users and so the Parent Carer Forum will be engaged to support with the implementation planning and communication. This cabinet report is about the mechanism for procurement rather than any change in service provision.
Protected characteristic: Disability	Service Users / Stakeholders
Disability details:	The service is one accessed by children and young people with physical and learning disabilities. They will be

	engaged with in the development of the procurement specification. The quality of service to this group will be maintained through this procurement via the establishment of a robust specification. This procurement may lead to a change of provider for some service users and so the Parent Carer Forum will be engaged to support with the implementation planning and communication. This cabinet report is about the mechanism for procurement rather than any change in service provision.
Protected characteristic: Sex	Not Applicable
Gender details:	
Protected characteristics: Gender Reassignment	Service Users / Stakeholders
Gender reassignment details:	The service is one accessed by children and young people, some of who may have undertaken gender reassignment. The quality of service to this group will be maintained through this procurement via the establishment of a robust specification. This procurement may lead to a change of provider for some service users and so the Parent Carer Forum will be engaged to support with the implementation planning and communication. This cabinet report is about the mechanism for procurement rather than any change in service provision.
Protected characteristics: Marriage and Civil Partnership	Not Applicable
Marriage and civil partnership details:	
Protected characteristics: Pregnancy and Maternity	Not Applicable
Pregnancy and maternity details:	
Protected characteristics: Race	Service Users / Stakeholders
Race details:	The service is one accessed by children and young people whose race will be representative of Birmingham City Council's diverse racial population. They will be engaged with in the development of the procurement specification. The quality of service to

this group will be maintained through this procurement via the establishment of a robust specification. This procurement may lead to a change of provider for some service users and so the Parent Carer Forum will be engaged to support with the implementation planning and communication. This cabinet report is about the mechanism for procurement rather than any change in service provision.

Protected characteristics: Religion or Beliefs

Religion or beliefs details:

Service Users / Stakeholders

The service is one accessed by children and young people whose race will be representative of Birmingham City Council's diverse religious population. They will be engaged with in the development of the procurement specification. The quality of service to this group will be maintained through this procurement via the establishment of a robust specification. This procurement may lead to a change of provider for some service users and so the Parent Carer Forum will be engaged to support with the implementation planning and communication. This cabinet report is about the mechanism for procurement rather than any change in service provision.

Protected characteristics: Sexual Orientation

Sexual orientation details:

Service Users / Stakeholders

The service is one accessed by children and young people whose race will be representative of the sexual orentation of Birmingham City Council's population. They will be engaged with in the development of the procurement specification. The quality of service to this group will be maintained through this procurement via the establishment of a robust specification. This procurement may lead to a change of provider for some service users and so the Parent Carer Forum will be engaged to support with the implementation planning and

communication. This cabinet report is about the mechanism for procurement rather than any change in service provision.

Socio-economic impacts	
Please indicate any actions arising from completing this screening exercise.	
Please indicate whether a full impact assessment is recommended	NO
What data has been collected to facilitate the assessment of this policy/proposal?	
Consultation analysis	
Adverse impact on any people with protected characteristics.	
Could the policy/proposal be modified to reduce or eliminate any adverse impact?	
How will the effect(s) of this policy/proposal on equality be monitored?	
What data is required in the future?	
Are there any adverse impacts on any particular group(s)	No
If yes, please explain your reasons for going ahead.	
Initial equality impact assessment of your proposal	
Consulted People or Groups	
Informed People or Groups	
Summary and evidence of findings from your EIA	The planned procurement strategy, whilst impacting on a number of groups, will not adversely impact any as this cabinet report is about the mechanism for procurement rather than any change in service provision.

QUALITY CONTORL SECTION

Submit to the Quality Control Officer for reviewing?	No
Quality Control Officer comments	I have checked the summary, I am happy to approve this document.
Decision by Quality Control Officer	Proceed for final approval
Submit draft to Accountable Officer?	Yes
Decision by Accountable Officer	Approve
Date approved / rejected by the Accountable Officer	03/01/2023
Reasons for approval or rejection	I have checked the summary and am happy that groups are not adversely impacted, due to this report specifying the mechanism for procurement
Please print and save a PDF copy for your records	Yes

Content Type: Item
Version: 61.0
Created at 20/12/2022 03:03 PM by Edward Harper

Close

Environment and Sustainability Assessment

Birmingham City Council is required to assess any positive or negative impacts that any policy/strategy/ decision/development proposal is likely to have on the environment. This assessment must be completed for CLT and Cabinet reports where appropriate. It is the responsibility of the Service Director signing off the report to ensure that the assessment is complete.

To complete the assessment, you should consider whether the proposal will have a positive or a negative impact on each of the key themes by placing a (√) for positive, (x) for negative and (?) for unclear impact, and (N/A) for non-applicable impact. Further guidance on the completion of the template is available on page 3 below.

Project Title:	**Children's Travel Service Transport Procurement**	
Directorate: Children's Services	**Team:** Children's Travel Service	**Person Responsible for assessment:** Ed Harper
Date of assessment: 08/12/22	**Is it a new or existing proposal?** New	
Brief description of the proposal: There is a requirement to reprocure a council framework for four-year period commencing 1st August 2023 with expiry date of 31st July 2027. This will replace the current DPS which is due to expire in October 2023. This service will allow us to procure vehicle routes, drivers and guides in order to transport children to school.		

Potential impacts of the policy/development/ decision on:	**Positive Impact**	**Negative Impact**	**No Specific Impact**	**What will the impact be? If the impact is negative, how can it be mitigated, what action will be taken?**
Natural Resources - including water, soil, air			X	
Energy use and CO_2 emissions			X	No impact from the change, we will ensure the providers meet the standards sets by Birmingham through a robust specification; including the current clean air zone (CAZ).
Quality of environment			X	
Impact on local green and open spaces and biodiversity			X	

Use of sustainable products and equipment			X	
Minimising waste			X	
Council plan priority: a city that takes a leading role in tackling climate change			X	
Overall conclusion on the environmental and sustainability impacts of the proposal	There are no environmental or sustainability impacts of the proposal.			

Guidance for completing the template

Theme	Example
Natural Resources - Impact on natural resources including water, soil, air.	Does the decision increase water use? Does the decision have an impact on air quality? Does the decision discourage the use of the most polluting vehicles (private and public) and promote sustainable modes of transport or working from home to reduce air pollution? Does the decision impact on soil? For example, development will typically use water for carrying out various operations and, once complete, water will be needed to service the development. Providing water to development and treating affluent water requires energy and contributes to climate change. Some of the activities including construction or disposal of waste may lead to soil pollution. The decisions may lead to more journeys thereby deteriorating air quality and thus contribution to climate change and greenhouse gases.
Energy use and CO_2 emissions.	Will the decision have an impact on energy use? Will the decision impact on carbon emissions? Most day-to-day activities use energy. The main environmental impact of producing and using energy such as electricity, gas, and fuel (unless it is from a renewable source) is the emission of carbon dioxide.
Quality of environment.	Does the decision impact on the overall quality of the built environment? Decisions may have an impact on the overall setting, character and distinctiveness in the area. For example, if development involves ground digging and excavations etc. it may have an impact on the local archaeology.
Impact on local green and open spaces and biodiversity	The proposal may lead to localised impacts on the local green and open spaces which may have an impact on local biodiversity, trees and other vegetation in the area. Will the proposal lead to loss (or creation) of green and blue infrastructure? For example, selling an open space may reduce access to open space within an area and lead to a loss of biodiversity. However, creating a new open space would have positive effects.
Use of environmentally sustainable products, equipment and packaging'	Will the decision present opportunities to incorporate the use of environmentally sustainable products (such as compostable bags, paper straws etc.), recycled materials (i.e. Forest Stewardship Council (FSC) Timber/wood), non-polluting vehicles, avoid the use of single use plastics and packaging.

Minimising waste	Will the decision minimise waste creation and the maximise recycling during the construction and operation of the development/programme/project? Will the decision provide opportunities to improve recycling? For example, if the proposal involves the demolition of a building or a structure, could some of the construction materials be reused in the new development or recycled back into the construction industry for use on another project?
Council plan priority: a city that takes a leading role in tackling climate change and deliver Route to Zero.	How does the proposal or decision contribute to tackling and showing leadership in tackling climate change and deliver Route to Zero aspirations?

If you require further assistance with completing this template, please contact: ESAGuidance@birmingham.gov.uk

Birmingham City Council
Report to Cabinet
14 February 2023

Subject:	Housing Revenue Account – Rent Setting 2023-2024
Report of:	Paul Langford, Acting Strategic Director - City Housing
Relevant Cabinet Member:	Cllr Sharon Thompson - Cabinet Member for Housing and Homelessness Cllr Yvonne Mosquito – Cabinet Member Finance and Resources
Relevant O &S Chair(s):	Councillor Mohammed Idrees, Housing and Neighbourhoods Councillor Akhlaq Ahmed, Resources
Report author:	Naomi Morris, Senior Modernisation and Strategy Manager Naomi.Morris@birmingham.gov.uk

Are specific wards affected? If yes, name(s) of ward(s):	☐ Yes	☒ No – All wards affected
Is this a key decision? If relevant, add Forward Plan Reference: 010914/2023	☒ Yes	☐ No
Is the decision eligible for call-in?	☒ Yes	☐ No
Does the report contain confidential or exempt information? If relevant, provide exempt information paragraph number or reason if confidential:	☐ Yes	☒ No

1. Executive Summary

1.1 This report sets out how Birmingham City Council seeks to manage its Housing Revenue Account over the 2023/2024 period. The plan provides an updated position on the Council's housing portfolio and the Council's priorities for investing in homes and services to meet the needs of our customers across the city and ensure compliance with current and future legislation.

1.2 As a Council we are mirroring government objectives and are refining our focus towards our services.

1.3 Part of that work involves delivering a robust business plan in relation to how we strategically invest in our stock through the Housing Revenue Account (HRA). As the largest social landlord in Europe, Birmingham City Council face significant challenge navigating and an ever-changing landscape and implementing the recommendations of the Social Housing Regulation Bill.

1.4 The Social Housing Regulation Bill has confirmed the intention for government to adopt a more rigorous regulatory approach towards housing management, particularly in relation to high-rise blocks and high-risk properties.

1.5 Further changes to existing regulatory frameworks, such as the proposed enhanced Decent Homes Standard, including dealing with damp and mould issues, and a revision of the existing Housing Health and Safety Rating System are also likely to impact the way in which we manage our stock and require significant future investment from the HRA fund.

1.6 As a Council, we are also responding to global and national issues such as the cost-of-living crisis, ongoing financial and political instability, and delivering on the Council's wider commitments around the route to zero target.

1.7 This plan presents an expansion on our current processes in relation to the HRA and how it is used, whilst setting out the longer-term strategic priorities and the pressures that these will place on the existing HRA fund. The Business Plan is a response to the broader challenges facing the social housing sector which demonstrates an ongoing need for planned investment and a clear understanding of what lies ahead for the organisation.

1.8 A rent increase of 7% is recommended, in line with the government cap on social housing rent. This is below nationally forecast inflation, so does not keep up with rising costs of development, maintenance and servicing, but does allow the Council to meet its ongoing obligations. Service charge increases are recommended at 5% with a similar impact.

1.9 The report also recommends increases to our Temporary Accommodation charges for tenants in hostels (7% increase) and dispersed accommodation (equivalent to 3.5% increase), to counter part of the increased costs of providing this form of accommodation.

2 Recommendations

That Cabinet:

2.1 Endorses the approach to deliver a 12-month Investment Plan, directly responding to a change in priorities.

2.2 Notes and supports the strategic priorities for investment proposed as part of the HRA Business Plan in the longer term.

2.3 Agrees the following proposed approach to rents and service charges, improving contribution to the long-term investment programme and enabling the Council to support the HRA Business Plan:

2.1.1. Social Housing rent increases: +7%,

2.1.2. Social Housing service charges: (varied by provision) +5% to +7%

2.1.3. Temporary Accommodation Hostel rent increases: +7%

2.1.4. Temporary Accommodation Dispersed property rent increases: (equivalent to) +3.5%

2.4 Notes the new regulatory requirements set out in the Social Housing Regulation Bill.

2.5 Endorses the proposed Capital Investment programme, supporting the continued investment and improving our stock for our customers.

3 Background

3.1 The Council remains the largest landlord in Europe, with responsibility for just under 60,000 units of stock across the city. The Council's operation and management of its housing stock has a vital role to play in delivering the Council's six priority outcomes, reaching far beyond its statutory housing responsibilities.

3.2 Between 2004-2011, BCC invested over £700m through the Decent Homes programme. With this level of investment, BCC was able to achieve 99% decency (as measured by the standard) by 2011.

3.3 Following the Decent Homes programme, investment in the stock portfolio began to reduce and since 2016, investment in our stock has been significantly lower in real terms than that of other comparable stock retained Local Authorities.

3.4 The stock is ageing, and numbers have continued to reduce because of the Right to Buy initiative and rate of sales. Our 60,000 units are made up of traditional properties, non-traditional properties, sheltered schemes and 213 high rise tower blocks which have been the focus of significant development following the Grenfell disaster in 2017.

3.5 Reducing investment over the last decade, particularly in comparison to comparative urban authorities has led to a significant increase in the number of repairs required to maintain properties at their current standard.

3.6 Birmingham's housing stock currently receives an average of 4.4 repairs per year, per property, against a national average of 3.3 repairs per year, per property.

3.7 The deteriorating condition of our stock and the increase in repairs have had a knock-on effect on tenant satisfaction. In preparation for the Social Housing Regulation Bill a survey was conducted with 25,000 current tenants, with around 11% responding.

3.8 Of these respondents, only 49% felt that their homes were well-maintained and there were 108 individual comments regarding failure to invest in stock. This was the highest area of interest to tenants across all the assessed standards.

3.9 A further consequence of the lack of investment has been that the Council's compliance with the existing Decent Homes Standard has fallen from 99% in 2011 to 61% currently.

3.10 Comparator authorities (Bristol and Leeds) report current compliance more than 95%. The estimated investment required to bring the Council's stock back to 100% compliance with the existing Decent Homes Standard is more than £370m.

3.11 Rental income is a vital component when seeking to deliver an appropriate investment programme across the stock portfolio. From 2020-21, government lifted the rent freeze, enabling authorities to increase rents by CPI+1%.

3.12 In 2022-23 Birmingham chose to implement a rent increase of CPI only, which amounted to 3.1%. Whilst this decision was taken in recognition of the financial hardship faced by many households during the pandemic, in real terms this limited the available funds to invest in tenants' homes.

3.13 The above factors have worked in conjunction with one another to limit and restrict investment in one of the most important assets the Council is responsible for. Affordable housing makes up 24% of all tenure types across the city, significantly above the national average.

4 Options considered and Recommended Proposal

4.1 There are several drivers that have prompted City Housing to revise their approach to management of the HRA.

4.2 The Social Housing Regulation Bill (SHRB) was published in 2022 and is currently progressing through parliament. The SHRB sets out proposals to revise the current Decent Homes Standard (further clarification will follow in late 2022) and a review of the current Housing Health and Safety Rating System.

4.3 The SHRB also places greater emphasis on the regulation of landlords and the voice of tenants in the delivery of housing service. In response, the Housing Ombudsman has also updated their Complaint Handling Code, placing further enhanced responsibilities on Local Authorities to manage complaints more proactively.

4.4 Damp and mould issues are covered by Decency Standards, and the investment in this area will ensure Birmingham's long-term solution to this issue, as will investment in repairs and maintenance, new property development and decarbonisation work.

4.5 The implementation of the Fire Safety Act 2021 and the Building Safety Bill have already prompted significant investment in fire safety, which is ongoing.

4.6 This is particularly prevalent in high-rise blocks where regulatory focus is likely to focus most keenly post-Grenfell. The Council is responsible for 213 high-rise

blocks and it is likely that additional regulation in this area will be directed towards those landlords with significant high-rise stock.

4.7 Birmingham has made significant commitments towards the route to zero agenda; to meet an accelerated timescale for meeting these targets by 2030, as opposed to government targets of 78% compliance by 2035 and full compliance by 2050.

4.8 At present, around 26% of emissions come from homes and the Council's target of achieving net zero by 2030 will therefore require significant investment into our stock.

4.9 Legislative change is not the only consideration; the cost-of-living crisis, exacerbated by the war in Ukraine, coupled with the ongoing effects of the pandemic, has created a perfect storm.

4.10 Birmingham is already one of the most deprived core cities, with 90% of its wards facing greater deprivation than the national average. The HRA must be balanced to ensure that the need to invest in properties through rental income and give long-term benefits around energy efficiency and healthier homes is measured against the financial difficulties that many of our tenants are currently facing.

5 Local Context

5.1 The commitment made in the Council's Strategy must include the quality of affordable housing, particularly as BMHT make up 45% of development within the city. This includes the physical spaces in which people live and the Council should act as an example to landlords in other sectors, particularly given that the provision is in the main directed towards low-income households.

5.2 City Housing are also progressing their own Housing Transformation programme, looking to provide the best housing services. This is being supported through the implementation of a new Target Operating Model (TOM), and it is anticipated that HRA investment will be required to support the mobilisation.

5.3 Birmingham aspires to be bold; this should include the way in which the HRA is managed, to provide the best possible offer for our tenants. Historically, Birmingham has taken a pragmatic approach to paying off borrowing against the HRA, which whilst prudent and appropriate has had the effect of limiting the investment that can be delivered going forward.

5.4 In the longer term and in keeping with the Council's aspirations to be a bold and brave authority and landlord, consideration will need to be given to the Council's approach to debt if the strategic priorities are to be met.

6 Strategic Priorities

6.1 To support the delivery of a 12-month investment plan for 2023-24, a set of strategic priorities have been identified.

6.2 Based on the identified priorities, our primary focus is to ensure the homes of existing tenants are safe, sustainable and of high quality. Whilst there is a myriad

of more aspirational initiatives that could be undertaken decency and tenant safety must be the overriding considerations.

6.3 Building and Fire Safety

Post-Grenfell, there has understandably been significant focus on building and fire safety, particularly in high-rise buildings. The Council is responsible for 213 such blocks, which is one of the largest high-rise stock levels in the country.

£33m has already been invested in fitting sprinklers alone and there is significant further work already anticipated in relation to fire doors, signage, Digital Fire Risk Assessments etc.

There is also a significant amount of work required in other high-risk but less high-profile property types such as low-rise blocks which have received minimal investment in building and fire safety given the urgency of need to prioritise high-rise blocks.

Pre-Grenfell, HRA funded fire safety works amounted to around £2m per annum; since then the spend has been in the region of £20m per annum.

Projected expenditure from 2022-29 is an additional £58m. There has been no additional government expenditure provided for these works, which has been a significant and previously un-budgeted pressure on the HRA.

6.4 Decent Homes

It is evident that a lack of investment in recent years has left the Council well below the current decency standards. This not only places the Council under significant pressure given the imminent enhanced regulation from the SHRB but has also had a significant negative effect on tenant satisfaction.

Tenants do not feel that their homes have been invested in, which leads to increased complaints into the service as well as the resources expended on managing repeat repairs within our properties to maintain them at a minimum standard which still does not meet decency levels.

Given that the Decent Homes Standard is due for review and the likelihood that any new Decency Standard will be of an enhanced level when compared to the existing standard, and when considering both the significant levels of non-decency with our stock and the significant investment required to merely bring stock back up to this standard (£370m), this is a strategic priority going forward.

6.5 Route to Zero and SHDF

The route to zero commitment does not serve only the overarching ambition nationally to move towards a carbon neutral environment. The aftermath of the pandemic and the ongoing cost-of-living crisis had impacted on the ability of low-income households who rely on the lower running costs of affordable housing to be able to manage financially.

The ability to retrofit our homes means that the running costs for our tenants reduce, as the cost-of-living rises, provided much-needed flexibility in a worrying financial climate.

The SHDF offers the Council an opportunity to deliver the retrofit programme at an accelerated pace, having a greater impact on a greater number of our tenants in a shorter period. As detailed above, the total investment towards SHDF works will be around £100m, however the bulk of this investment will come from match funding from the HRA or additional Capital Borrowing.

6.6 Supporting Wider Regeneration Opportunities

The business planning process provides real opportunity to identify where they HRA can support kick starting key large scale regeneration opportunities such as Druids Heath.

6.7 Alternative Rent Scenarios

The government have recently imposed a 7% rent cap; preventing social housing providers from increasing rents for more than 7%.

This decision has been made following the rise in inflation and the impact of the cost-of-living crisis. Whilst this is supported in principle to protect tenants who are likely to be on a lower income, it does impact the level of investment that can be made into BCC properties.

The table below sets out the cumulative income forgone with a 7% rent cap, and any further reduced rents. The recommendation for approving a 7% rent cap (the highest available value), links to the cost of the strategic priorities above.

BCC believe that the strategic priorities identified are required to provide our tenants with the necessities around a warm and comfortable home. Failure to invest at an appropriate level means that the ability to deliver on our strategic priorities will be compromised.

	Cumulative rent foregone							
2023/24 rent increase	**Year 1**	**Year 2**	**Year 3**	**Year 4**	**Year 5**	**Year 10**	**Year 20**	**Year 30**
	£m	£m	£m	£m	£m	£m	£m	£m
7%	0	0	0	0	0	0	0	0
6%	-2.6	-5.4	-8.2	-11.1	-14.1	-29.8	-66.6	-111.5
5%	-5.3	-10.8	-16.4	-22.2	-28.1	-59.6	-133.6	-224.0
4%	-7.9	-16.2	-24.7	-33.4	-42.3	-89.8	-200.8	-336.2
3%	-10.6	-21.6	-33.0	-44.6	-56.5	-120.0	-268.4	-449.9

Each 1% reduction in 2023/24 rent increase would mean a permanent loss in income of £2.6m p.a., or £111.5m over 30 years, which is the equivalent of:

- 740 less bathrooms each year – 21,500 over the 30-year business plan; or
- 400 less kitchens each year – 11,600 over the 30-year business plan; or
- 370 less roofs each year – 10,770 over the 30-year business plan

7 Consultation

7.1 City Housing Liaison Board have been consulted as a representative of the full tenant cohort. City Housing Liaison Board were supportive overall, understanding the need for property investment. Some concerns were raised regarding increasing rents during a cost-of-living crisis but understand this is proportionate given CPI increases across the rest of the market.

7.2 In July 2022, a pilot satisfaction survey was undertaken with 27,000 tenants, receiving a 10% response rate. 64% of tenants raised concerns about the condition of their property and when the responses were analysed, most of these concerns relate to investment into Decent Homes. Whilst any rent increase must be considered carefully in the context of a cost-of-living crisis, we know it is a priority for our tenants to improve the standard of their homes. Investment from rents is a vital vehicle for this.

8 Risk Management

8.1 There are several risks which may impact HRA resources and affect our ability to meet the strategic priorities set out at section 6.

8.2 Whilst legislative changes cannot always be anticipated, it is vital that the Council continue to establish strong relationships with policy makers and actively consult around any proposed changes to prepare for these in advance where possible. We continue to engage with the Department for Levelling Up, Housing and Communities (DLUHC) to ensure we remain proactive

8.3 If the proposed approach is not endorsed, continuing to invest in our stock in the way we have is likely to lead to greater scrutiny from the Regulator of Social Housing and may lead to significant fines or other enforcement measures, given the age and level of deterioration of our stock portfolio. This will also continue to drive significant demand for repairs.

8.4 Given the implementation of the SHRB, it also is imperative that we communicate with tenants to advise how investment will be managed long-term. Current levels of tenant satisfaction are not where they should be and this will impact the overall reputation of City Housing and Birmingham City Council.

8.5 Government have not yet provided any additional funding to assist local authorities with the expenditure of meeting the imminent proposed regulatory changes. Any costs of meeting these changes will fall on the Council and again, the current rate of investment is unlikely to meet these changes.

8.6 Investment priorities are likely to change over time and this is not reflected in the HRA Business Plan. The business plan will undergo a thorough review in Spring 2023 to ensure ongoing affordability and robustness considering a constantly changing economic environment. This will come forward during 2023 as a separate Cabinet report.

9 Compliance Issues

9.1 This report positions Birmingham City Council as a forward thinking, proactive organisation, utilising the HRA in the most shrewd and efficient way.

9.2 We will play our part in strengthening Birmingham's position as a thriving, young and diverse global city. Our ambitious approach is based heavily on the priorities set out in our Corporate Plan, moving towards a Bolder, Brighter Birmingham:

- A Bold Prosperous Birmingham
- A Bold Green Birmingham
- A Bold Inclusive Birmingham
- A Bold Healthy Birmingham
- A Bold Safe Birmingham

9.3 This plan is developed in conjunction with several other key documents:

- Birmingham's Strategy
- Birmingham Council Plan (2019 update)
- Birmingham City Corporate Plan 2023-2028
- Medium Term Financial Plan 2023/2028
- Housing Transformation Programme
- Housing Strategy 2023-2028

10 Legal Implications

The Local Government and Housing Act 1989, Part 6 sets out the obligations for keeping of the HRA and how to manage annual reviews of rent and service charges and to ensure that there is a balanced budget for the ring-fenced HRA. This is supplemented by the national rent restructuring policy and the HRA Self-Financing Determination.

11. Financial Implications

11.1 The purpose of the Financial Plan is to detail the level of resource available to deliver the priorities outlined in this Business Plan. The HRA includes all expenditure and income incurred in managing the Council's housing stock and, in accordance with government legislation, operates as a self-financed, ring-fenced account.

11.2 Investing in the Housing Stock remains a priority, ensuring our tenants live in properties that are high quality. The Council remains committed to prioritising resources and to replace homes lost through Right to Buy. The Council aims to maintain a consistent level of capital expenditure with a view to improving the

condition of stock and investing in decarbonisation. Appendix 1 shows the ongoing planned investment within the HRA.

11.3 The proposals within this report are consistent with the budget position and Medium-Term Financial Plan (MTFP) as presented within the Budget Report 2023/24. Income generated through the HRA proposals are factored into the HRA Business Plan alongside corresponding spend commitments delivering a sustainable and affordable HRA.

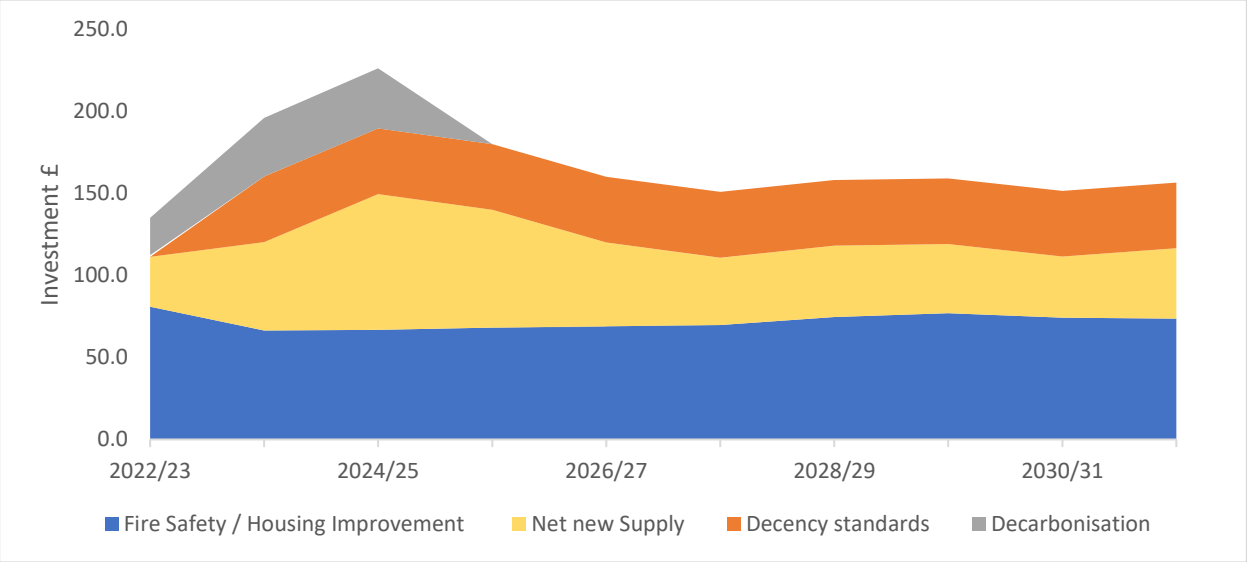
11.4 The spending proposals in the HRA Business Plan have been financially evaluated to consider value for money and financial sustainability. The proposed use of the funding available to the HRA from rents/service charges, right to buy income and borrowing is considered value for money in that it has prioritised statutory compliance and local objectives, while allowing an operationally effective provision of services to social tenants. The plan is considered financially robust through its ability to balance spend and debt servicing with collectable income, while also paying off borrowed funds within a 30-year timeframe.

12 Capital Investment Resource

12.1 Appendix 1 details the draft capital investment resource plan for 2023/2024 and provides a forecast to 2033.

12.2 One of the key objectives of this HRA Business Plan is to provide a framework within which the Council's capital investment and financing decisions can be aligned with the Council's corporate priorities over the medium term. The investment set out in Appendix 1 demonstrates our commitment to investing in our customers and making sure the homes they live in are looked after.

12.3 Investment across the key priorities over the next 10 years are illustrated in the table below:



13 Rents and Service Charges

13.1 In November 2017 the government announced its intention to set a rent cap for 2023/24 at 7%.

13.2 Cabinet is recommended to increase social and affordable rents by 7%, to counter some of the impacts of high inflation and borrowing costs and make available the income to both continue delivery of effective housing services to social tenants and fund borrowing for the capital investment laid out in the plan (summarised in 8.4).

13.3 The average weekly rent to be implemented because of this revision will be £100.18 (representing the weekly rent payable over a 48-week cycle, with 4 weeks rent payment holidays, 2 weeks in each of December 2023 and March 2024).

13.4 This weekly rent over 48 weeks is equivalent to an annualised average rent over 52 weeks of £92.49. It is further proposed that social rents for new tenants are set at formula rents as set out in the "Policy statement on rents for social housing" (February 2019).

13.5 It is proposed that rents charged for properties let at affordable rents continue to be calculated by reference to formula rents, as set out in the "Policy statement on rents for social housing" (February 2019), with an uplift on a 52-week basis of £3.02 per week (representing an increase of 7% from 2022/23), with the overall rent charged representing approximately 70% of market rents in Birmingham.

13.6 It is proposed that service charges are increased to reflect changes in costs of service delivery because of pay and price inflation. The Low-Rise Cleaning service charge has moved to a Citywide charge to reflect the provision of a standard service across the City.

13.7 The implementation of the change to a standard Citywide charge will be introduced over 2 years. Service Charges will be levied over a 48-week cycle alongside the weekly rent, with the major average charges on a 52-week basis as follows.

Service Charge	**April 2022 Average Charge**	**April 2023 Average Charge**	**Change from 22/23**
Door Entry / Night-time Security	£10.56	£11.09	+5%
Traditional Concierge / Night-time Security (Bloomsbury EMB only)	£22.18	£23.29	+5%
Cleaning	£2.89	£3.03	+5%
Multi-Storey Communal Areas	£7.07	£7.56	+7%
Caretaking	£9.88	£10.37	+5%
Careline	£2.87	£3.01	+5%
CAT 1 / High Rise	£8.18	£8.59	+5%
CAT 2 / Extra Care	£10.79	£11.33	+5%

Sustainable Drainage Scheme	£55.00	£62.43	+13.5%

13.8 Other Rents are recommended for increase as below

	22/23	23/24	
Garage rent (excl VAT)	£10.25	£10.51	2.5%
Parking Spaces	£2.76	£2.90	5.0%
Equity Parking Spaces A	£1.37	£1.44	5.0%
Equity Parking Spaces B	£1.94	£2.04	5.0%
Sundry Parking	£2.55	£2.68	5.0%

14 Charges in Temporary Accommodation

14.1 Most of the TA accommodation provided in discharge of the Council's statutory duty is accommodation leased from private sector landlords, the Council's own dispersed properties, homeless hostels and use of Bed and Breakfast to manage peaks in demand.

14.2 The current Temporary Accommodation charging policy has been in place for several years and is signed off annually by Benefits Service. Rents are based on a cost recovery basis as set out in 2014/15 charging methodology.

14.3 For the Bed and Breakfast and Private sector leased properties these are fixed rates, capped at Local Housing Allowance level 2011 and therefore are not subject to any changes.

14.4 Cabinet is recommended to approve a 7% increase on homeless centres, in line with Social Housing rent increase. This will counter some of the impact of high inflation rates in 2023/24.

14.5 The impact of any rent increase in Temporary Accommodation on tenants will be minimal; any tenant that has some entitlement to either Universal Credit or Housing Benefit, will not be impacted as the full increase will be covered by benefits. This is only applicable where the tenant is claiming the benefits they are entitled to. It is proposed that the Housing Solutions and Support Service undertake some targeted support to households who are not claiming the right benefits, to ensure income is maximised prior to the increase.

14.6 Cabinet is recommended to increase rent on our dispersed properties by only the equivalent increase in the rent paid to the Housing Revenue Account for the use of these properties. This is equivalent to a 3.5% rent increase.

14.7 See below table for figures:

2022/23 Current Charge	2023/24 Proposed Charge	£ Change	% Change

Homeless Centres		£	£		
Flat	0 bedroom	168.82	174.83	6.01	3.6
	1 bedroom	176.66	183.26	6.60	3.7
	2 bedroom	201.17	208.21	7.04	3.5
	3 bedroom	221.47	229.38	7.91	3.6
	4 bedroom	230.68	239.46	8.78	3.8
Bungalow	0 bedroom	158.28	163.40	5.12	3.2
	1 bedroom	166.29	172.00	5.71	3.4
	2 bedroom	173.11	179.19	6.08	3.5
House	1 bedroom	166.72	172.60	5.88	3.5
	2 bedroom	181.81	188.19	6.38	3.5
	3 bedroom	201.55	208.66	7.11	3.5
	4 bedroom	228.22	235.35	7.13	3.1
Maisonette	2 bedroom	176.88	183.05	6.17	3.5
	3 bedroom	193.02	199.65	6.63	3.4
	4 bedroom	207.25	214.50	7.25	3.5

		2022/23 Current Charge £	**2023/24 Proposed Charge £**		**7% Increase £**
Hostels	1 Room	241.95	258.89		16.94
	2 Rooms	287.17	307.27		20.10
	3 Rooms	332.58	355.86		23.28
	4 Rooms	377.88	404.33		26.45

15. Procurement Implications (if required)

None

16. Human Resources Implications (if required)

None

17. Public Sector Equality Duty

17.1 There are no specific issues identified, as the changes will be implemented for all tenants of the Council and all service users. It is estimated that 77% of council tenants will be insulated from the full impact of the revised charges from 4th April 2023 as they are eligible for support towards their housing costs through housing benefit or universal credit.

17.2 Those tenants who require assistance will continue to be offered additional financial planning advice through the Central Housing Rents Team and Debt Advice Services to reassess and maximise benefit entitlement, and to help tenants to budget effectively.

List of appendices accompanying this report:

Housing Revenue Account 10 Year Business Plan – Appendix 1

Equality Assessment – Appendix 2

Appendix 1: Housing Revenue Account 10 Year Business Plan

	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7	Year 8	Year 9	Year 10	Year 1 to 10	Year 30	Year 1 to 30
	2023/24	2024/25	2025/26	2026/27	2027/28	2028/29	2029/30	2030/31	2031/32	2032/33	Total	2051/52	Total
	£m	£m	£m	£m	£m	£m	£m	£m	£m	£m	£m	£m	£m
HOUSING REVENUE ACCOUNT													
Income													
Rental Income	(280.515)	(293.055)	(300.971)	(308.738)	(316.135)	(323.386)	(330.624)	(337.812)	(345.114)	(352.579)	(3,188.929)	(525.766)	(11,969.934)
Voids	4.637	4.848	5.004	5.163	5.291	5.425	5.554	5.685	5.819	5.957	53.383	9.382	206.044
Net Rental Income	**(275.878)**	**(288.207)**	**(295.967)**	**(303.575)**	**(310.844)**	**(317.961)**	**(325.070)**	**(332.127)**	**(339.295)**	**(346.622)**	**(3,135.546)**	**(516.384)**	**(11,763.890)**
Service Charges / Other Income	(27.716)	(28.460)	(29.016)	(29.505)	(29.974)	(30.328)	(30.216)	(30.673)	(31.481)	(28.225)	(295.594)	(36.825)	(936.326)
Total Revenue Income	**(303.594)**	**(316.667)**	**(324.983)**	**(333.080)**	**(340.818)**	**(348.289)**	**(355.286)**	**(362.800)**	**(370.776)**	**(374.847)**	**(3,431.140)**	**(553.209)**	**(12,700.216)**
Expenditure													
Repairs	79.093	81.363	82.611	83.825	85.044	86.071	87.448	88.841	90.266	91.695	856.257	104.596	3,002.102
Management	80.793	81.934	83.270	85.321	87.254	89.232	91.254	93.323	95.439	97.603	885.423	153.021	3,377.653
Bad Debt Provision	5.558	5.635	5.259	3.973	4.185	4.408	4.645	4.896	5.161	5.441	49.161	13.034	246.976
Estate Costs	24.497	25.393	26.083	26.740	27.345	27.963	28.595	29.242	29.903	30.580	276.341	47.899	1,056.761
Capital Financing - Loan Redemption	0.000	0.000	0.000	5.693	10.290	11.549	11.381	21.214	20.279	20.764	101.170	70.723	957.674
Capital Financing - Interest and Other Costs	50.273	55.501	58.254	60.414	62.444	64.248	67.257	61.338	62.704	56.118	598.551	42.615	1,806.582
Contribution to Capital	63.380	66.841	69.506	67.114	64.256	64.818	64.706	63.946	67.024	72.646	664.237	121.321	2,252.468
Total Revenue Expenditure	**303.594**	**316.667**	**324.983**	**333.080**	**340.818**	**348.289**	**355.286**	**362.800**	**370.776**	**374.847**	**3,431.140**	**553.209**	**12,700.216**
Net (Surplus) / Deficit	**0.000**	**0.000**	**0.000**	**0.000**	**0.000**	**0.000**	**0.000**	**0.000**	**0.000**	**0.000**	**0.000**	**0.000**	**0.000**
CAPITAL ACCOUNT													
Investment													
Housing Improvement Programme	179.678	145.463	101.199	101.942	102.689	103.497	104.236	105.115	105.941	106.840	1,156.600	86.828	2,696.869
Redevelopment / Clearance	57.351	85.061	74.480	51.359	39.779	46.251	35.955	31.047	35.913	40.095	497.291	52.543	1,361.489
Adaptations and Other Investment	4.000	6.350	6.927	7.005	7.085	7.167	7.500	7.585	7.672	7.825	69.116	20.755	226.535
Total Investment	**241.029**	**236.874**	**182.606**	**160.306**	**149.553**	**156.915**	**147.691**	**143.747**	**149.526**	**154.760**	**1,723.007**	**160.126**	**4,284.893**
Financing													
Receipts / Grants / Other	(82.550)	(62.244)	(48.815)	(49.978)	(37.675)	(29.171)	(11.130)	(19.315)	(26.192)	(27.115)	(394.185)	(29.837)	(1,156.835)
New Borrowing	(95.099)	(107.789)	(64.285)	(43.214)	(47.622)	(62.926)	(71.855)	(60.486)	(56.310)	(54.999)	(664.585)	(8.968)	(875.590)
Contribution from Revenue	(63.380)	(66.841)	(69.506)	(67.114)	(64.256)	(64.818)	(64.706)	(63.946)	(67.024)	(72.646)	(664.237)	(121.321)	(2,252.468)
Total Financing	**(241.029)**	**(236.874)**	**(182.606)**	**(160.306)**	**(149.553)**	**(156.915)**	**(147.691)**	**(143.747)**	**(149.526)**	**(154.760)**	**(1,723.007)**	**(160.126)**	**(4,284.893)**
Net (Surplus) / Deficit	**0.000**	**0.000**	**0.000**	**0.000**	**0.000**	**0.000**	**0.000**	**0.000**	**0.000**	**0.000**	**0.000**	**0.000**	**0.000**

Title of proposed EIA	Rent Setting 2023/2024
Reference No	EQUA1044
EA is in support of	Amended Policy
Review Frequency	Annually
Date of first review	29/12/2022
Directorate	Neighbourhoods
Division	City Housing
Service Area	Strategic Enabling
Responsible Officer(s)	☐ Naomi Morris
Quality Control Officer(s)	☐ Kieran Cronin
Accountable Officer(s)	☐ Paul Langford
Purpose of proposal	To agree the rent setting policy for 2023/2024
Data sources	Consultation Results; relevant reports/strategies; Statistical Database (please specify); relevant research
Please include any other sources of data	Government policy and consultation on the implemented 7% rent cap
ASSESS THE IMPACT AGAINST THE PROTECTED CHARACTERISTICS	N
Protected characteristic: Age	Not Applicable
Age details:	
Protected characteristic: Disability	Not Applicable
Disability details:	
Protected characteristic: Sex	Not Applicable
Gender details:	
Protected characteristics: Gender Reassignment	Not Applicable

Protected characteristics: Gender Reassignment	Not Applicable
Gender reassignment details:	
Protected characteristics: Marriage and Civil Partnership	Not Applicable
Marriage and civil partnership details:	
Protected characteristics: Pregnancy and Maternity	Not Applicable
Pregnancy and maternity details:	
Protected characteristics: Race	Not Applicable
Race details:	
Protected characteristics: Religion or Beliefs	Not Applicable
Religion or beliefs details:	
Protected characteristics: Sexual Orientation	Not Applicable
Sexual orientation details:	
Socio-economic impacts	The cost-of-living crisis will undoubtedly make any rent increase more difficult for social housing tenants, given likelihood of low income. This has been mitigated by a 7% cap imposed by government, preventing the increase from reaching current rates of inflation.
Please indicate any actions arising from completing this screening exercise.	None
Please indicate whether a full impact assessment is recommended	NO
What data has been collected to facilitate the assessment of this policy/proposal?	As instructed by government policy
Consultation analysis	Consultation due to take place on the 26th January with CHLB
Adverse impact on any people with protected characteristics.	None
Could the policy/proposal be modified to reduce or eliminate any adverse impact?	No

How will the effect(s) of this policy/proposal on equality be monitored?	None
What data is required in the future?	None
Are there any adverse impacts on any particular group(s)	No
If yes, please explain your reasons for going ahead.	None
Initial equality impact assessment of your proposal	None
Consulted People or Groups	None
Informed People or Groups	None
Summary and evidence of findings from your EIA	None

QUALITY CONTORL SECTION

Submit to the Quality Control Officer for reviewing?	No
Quality Control Officer comments	Reviewed and approved
Decision by Quality Control Officer	Proceed for final approval
Submit draft to Accountable Officer?	No
Decision by Accountable Officer	Approve
Date approved / rejected by the Accountable Officer	03/01/2023
Reasons for approval or rejection	Approved by QCO as agreed in email by PL 03/01
Please print and save a PDF copy for your records	Yes

Content Type: Item
Version: 13.0
Created at 29/12/2022 07:13 PM by Naomi Morris
Last modified at 03/01/2023 04:05 PM by Workflow on behalf of Kieran Cronin

Close

Birmingham City Council
Report to Cabinet
14th February 2023

Subject:	**Homelessness Prevention Grant Winter 2022-23**
Report of:	**Paul Langford, Acting Strategic Director, City Housing**
Relevant Cabinet Member:	**Cllr Sharon Thompson, Housing & Homelessness** **Cllr Mosquito, Finance & Resources**
Relevant O&S Chair(s):	**Cllr Mohammed Idrees, Housing and Neighbourhoods** **Cllr Akhlaq Ahmed, Resources**
Report author:	**Stephen Philpott, Acting Head, Housing Solutions and Support** stephen.philpott@birmingham.gov.uk

Are specific wards affected? If yes, name(s) of ward(s):	☐ Yes	☒ No – All wards affected
Is this a key decision? If relevant, add Forward Plan Reference: 010925/2023	☒ Yes	☐ No
Is the decision eligible for call-in?	☒ Yes	☐ No
Does the report contain confidential or exempt information? If relevant, provide exempt information paragraph number or reason if confidential :	☐ Yes	☒ No

1 Executive Summary

1.1 On 30th November 2022, the Department for Levelling Up, Housing & Communities (DLUHC) announced a £50m top-up of Homelessness Prevention Grant (HPG) in order to address homelessness pressures over winter. Birmingham's allocation is £1,156,671.

1.2 7th June 2022 Cabinet approved the receipt and expenditure of £2.632,759 New Burdens Grant, the non-core part of the annual Homelessness Prevention Grant.

Additional homelessness pressures mean that this will be fully utilised so the additional £1,156,671 is welcomed.

1.3 Expenditure must take place by 31st March 2023 and be in line with HPG criteria "ringfenced for homelessness to target those most in need and to ensure local authorities are resourced to take action to prevent homelessness and continue to implement the Homelessness Reduction Act 2017".

1.4 It is proposed to utilise the additional funding to – further resource Housing Solutions case work for prevention activity at point of presentation; to increase resources for the Accommodation Finding Team (AFT) in order to enable access to the private rented sector for homeless households; and to target those in temporary accommodation who are 'stuck' bringing resources to secure move-on, enable access to accommodation, relieve rent arrears that are a barrier to move-on, and fund staffing to enable this work.

2 Recommendations

2.1 That Cabinet retrospectively: -

2.1.1 Authorises the acceptance of the Homelessness Prevention Grant Top-Up Winter 2022-23 of £1,156,671 for the financial year 2022-2023.

2.1.2 Authorises the expenditure programme set out in 7.3.2 which focuses upon homeless prevention activities.

2.1.3 Delegates authority to the Acting Director, Housing Solutions and Support Service following consultation with the Cabinet Member for Housing & Homelessness, to use any unallocated Grant as permitted under any grant conditions to make further adjustments as necessary to ensure full utilisation of this grant.

2.1.4 Delegates the approval of procurement strategies for any projects arising from the recommendations in this report above the procurement threshold of £177,897 and also delegates the award of any contracts to the Acting Strategic Director for City Housing in conjunction with the Assistant Director, Procurement (or their delegate), the Strategic Director, Council Management (or their delegate) and the City Solicitor and Monitoring Officer (or their delegate).

2.1.5 Authorises the City Solicitor (or their delegate) to negotiate and complete any agreements to give effect to the above decisions.

3 Background

3.1 Annually Birmingham City Council receives government grant to prevent and relieve homelessness. This reflects the statutory duties upon the Local Authority, primarily set out in the Homelessness Reduction Act 2017. For 2022-23 Birmingham's allocation was £7,307,394 made up of £7,171,359 Homelessness Prevention Grant and £136,035 Domestic Abuse New Burdens.

3.2 On 30th November 2022, without prior notification, DLUHC announced an additional £50m for Homelessness Prevention Grant for winter pressures. Birmingham's allocation is £1,156,671, funds that must be spent by 31st March 2023. As the grant is greater than £500,000 revenue, decisions are subject to Cabinet approval. Officers have pursued the quickest available timetable to bring this to Cabinet for approval. Officers have with Cabinet Member and Director approval mobilised resources to expend the grant by 31st March 2023. Not doing this would have resulted in the grant not being fully utilised. This report is therefore seeking retrospective approval of these recommendations.

3.3 Pressures upon homelessness services within the city have increased. Average weekly presentations to Housing Solutions are in 2022, 30% higher than 2020 and 20% higher than 2021. There are currently (15th December 2022) 4448 households in temporary accommodation, of which 715 are in B&B/hotels and 466 households with dependents have been in B&B/hotel for more than 6 weeks. It is a business priority to reduce the number of households in B&B/hotel accommodation due to the impact upon households and the cost to the Local Authority. A B&B elimination plan focuses upon the prevention of homelessness, better temporary accommodation provision and greater move-on options.

3.4 Homelessness Prevention Grant is used to fund a wide range of interventions, including – prevention hubs, landlord incentives, mediation services, private sector leasing, contact centre cover and prevention of eviction interventions.

3.5 The additional Homelessness Prevention Grant will be used according to grant requirements. Indicatively it is proposed to target £200,000 towards the work of the Accommodation Finding Team (AFT) securing homes in the private rented sector for homeless households at either prevention or move-on stages, this will increase temporary staff administration support as well as the number of landlord incentives available. A further £56,671 will be available to Housing Solutions Case Workers undertaking Housing Needs Assessments and Personal Housing Plans, investing in any prevention opportunities that present.

3.6 The remaining £900,000 will be utilised to enable move-on out of temporary accommodation, to unblock households stuck in forms of temporary accommodation and free up capacity within temporary accommodation. This will support the work of the Complex Case Team within temporary accommodation. Funds will be used to enable accommodation access for move-on, secure furniture, deal with debt, address arrears that exclude from move-on and support direct offers for those with exceptional needs in temporary accommodation. This will include the use of additional staffing via overtime and agency cover to accelerate work for the limited available time period.

3.7 This approach is in line with the overall work to eliminate the use of B&B accommodation as temporary accommodation and ultimately reduce the level of temporary accommodation. Housing Solutions & Support has been through a redesign process in the last 2 years resulting in a focus upon prevention. This has

been added to through the more recent Target Operating Model (TOM) work and further through the new Temporary Accommodation Strategy.

4 Options considered and Recommended Proposal

4.1 The options that have been considered are:

4.1.1 Do nothing:

This option would risk the Council not meeting its statutory duties to those threatened with homelessness and those who are experiencing homelessness including those placed in Temporary Accommodation under the Homeless provisions of the Housing Act 1996 (as amended). It would also require the Council to decline £1,156,671 of grant funding.

This option is not recommended.

4.1.2 Accept grant allocation and expend as proposed:

Enable prevention of homelessness as well as securing move-on for households in temporary accommodation.

This option is recommended.

4.2 There are no equalities implications arising as a result of this report.

5 Consultation

5.1 Consultation has been embedded in Birmingham's Homeless Prevention Strategy 2017+ with the Homelessness Partnership Board. This focuses on preventing people from becoming homeless in the first place and supporting those who are homeless to build a more positive future.

6 Risk Management

6.1 Homelessness and housing need present a significant risk to the Council. The Council has statutory duties to prevent and relieve homelessness. These duties are under pressure, made more explicit with cost of living pressures.

6.2 Homelessness Prevention Grant is used to undertake statutory duties including the provision prevention services, access to temporary accommodation and the means to secure a permanent home. Additional winter pressures funding supports this work to manage homelessness and the risks homelessness brings, including harm to households and cost to the Council.

7 Compliance Issues:

7.1 **How are the recommended decisions consistent with the City Council's priorities, plans and strategies?**

The proposal supports the delivery of the following Council Priorities as set out in the Corporate Plan 2022 – 2026; -.

- An Inclusive Birmingham: through a focus on tackling poverty and inequality, empowering citizens, promoting diversity and civic pride, and supporting and enabling all children and young people to thrive.

- A Safe Birmingham: through a focus on making the city safer, safeguarding vulnerable citizens, increasing affordable housing, and tackling homelessness.

In addition, the proposal is aligned to the 2017 Homelessness Prevention Strategy.

7.2 **Legal Implications**

7.2.1 The Homelessness Reduction Act 2017 amends the Housing Act 1996 Part VII and it places new duties on English LHAs. It came in to force in April 2018, although the DLUHC introduced one of the more significant provisions in October 2018. The Act requires local authorities to carry out additional duties to prevent and relieve homelessness and to intervene earlier when it is likely that an applicant will become homeless with 56 days.

7.3 **Financial Implications**

7.3.1 The additional £1.1m grant allocation for 2022/23 and the homelessness prevention activities proposed by the service will help reduce the budgetary pressures currently reported in temporary accommodation.

7.3.2 The funding will be put towards initiatives which reduce the pressure on Temporary Accommodation, either existing or new, but will not in itself cause any financial commitment beyond the value of the grant.

7.4 **Procurement Implications (if required)**

7.4.1 There are no procurement implications with the recommendations in this report. Any procurement required as a result of the proposed spend will be subject to separate reports and will be compliant with the Council's Procurement and Contract Governance Rules.

7.5 **Human Resources Implications (if required)**

7.5.1 Any recruitment processes will be undertaken in accordance with the Council's Recruitment and Selection policy. Any overtime or agency use will be undertaking in accordance with relevant policies and procedures.

7.6 **Public Sector Equality Duty**

7.6.1 An initial equality assessment has been prepared based upon available knowledge and information. There is no adverse impact. A copy is appended to the Report, signed and dated.

8 Environment Sustainability Assessment

8.1 An Environmental Sustainability Assessment is not required.

9 Background Documents

9.1 Letter to Local Authority Chief Executives, 30th November 2022 from Penny Hobman, Director of Homelessness and Rough Sleeping

List of appendices accompanying this report:

Appendix 1 Equality Impact Assessment

Title of proposed EIA	Homelessness Prevention Grant Top-Up Winter 2022-23
Reference No	EQUA1042
EA is in support of	Amended Service
Review Frequency	No preference
Date of first review	01/04/2024
Directorate	City Housing
Division	Housing Solutions and Support Service
Service Area	Housing Solutions and Support Case Worker Service
Responsible Officer(s)	Debbie Parkes
Quality Control Officer(s)	Kieran Cronin
Accountable Officer(s)	Stephen Philpott
Purpose of proposal	To obtain Cabinet approval to accept the allocation of Homelessness Prevention funding offered by the Department of Levelling Up, Housing and Communities for winter 2022/2023
Data sources	relevant reports/strategies
Please include any other sources of data	Birmingham Homelessness Strategy 2017 Council Plan 2018-2022 Homelessness Reduction Act 2017 Housing Birmingham Partnership Strategy Gov.uk/data

ASSESS THE IMPACT AGAINST THE PROTECTED CHARACTERISTICS

Protected characteristic: Age	Service Users / Stakeholders
Age details:	No negative impact of this proposal has been identified. The acceptance of this funding with strengthen the assistance available to people who are homeless or threatened with homelessness irrespective of age. Young people are most disadvantaged by the housing market, are likely to have low income and can be regarded as high risk. There are 5325 young people facing homelessness in this city most of whom have been made homeless from the family home.
Protected characteristic: Disability	Service Users / Stakeholders
Disability details:	No negative impact of this proposal has been identified. 14% of all households owed a homelessness duty in England have physical ill health or disability. The extra funding will ensure that these

vulnerable households can be supported to stay in their homes rather than face eviction.

Protected characteristic: Sex

Service Users / Stakeholders

Gender details:

No negative impact of this proposal has been identified.

It is recognised that the majority of people sleeping rough in Birmingham are male and aged over 25. Working with partners our aim is to support this group to be able to access accommodation by providing rent deposits and rent in advance to secure accommodation. Current rough sleeper count identifies 28 rough sleepers a number reduced since the introduction of funding to support this group.

Protected characteristics: Gender Reassignment

Service Users / Stakeholders

Gender reassignment details:

No negative impact of this proposal has been identified. The extra funding will ensure that these vulnerable households can be supported to stay in their homes rather than face eviction and to be supported into accommodation.
A quarter of trans people (25 per cent) have experienced homelessness LGBT in Britain - Trans Report is Stonewall's new research, based on research with 871 trans and non-binary people by YouGov and highlighting the profound levels of discrimination and hate crime faced by trans people in Britain today.
One in four (25 per cent) were discriminated against when looking for a house or flat to rent or buy in the last year. One in five non-binary people (20 per cent) have experienced discrimination while looking

Protected characteristics: Marriage and Civil Partnership

Not Applicable

Marriage and civil partnership details:

Not applicable

Protected characteristics: Pregnancy and Maternity

Service Users / Stakeholders

Pregnancy and maternity details:

No negative impact of this proposal has been identified. The acceptance of this grant will strengthen the assistance available to prevent pregnant women becoming homeless.
Pregnant women have a priority need for accommodation under the main homelessness duty.

Protected characteristics: Race

Service Users / Stakeholders

Race details:

No negative impact of this proposal has been identified.
Ethnic minority households are around three times more likely to become statutorily homeless than are the majority White population. In every region in England, ethnic minority households

	are over-represented amongst those accepted as homeless by local housing authorities. Government data for Jan to March 2022, shows that 50% of the applicants owed a prevention or relief duty where Black/Asian/other
Protected characteristics: Religion or Beliefs	Not Applicable
Religion or beliefs details:	
Protected characteristics: Sexual Orientation	Not Applicable
Sexual orientation details:	
Socio-economic impacts	
	Birmingham suffers from high levels of multiple deprivation. The scale of deprivation in the City reveals that Birmingham is: · The 6th most deprived authority nationally. · The most deprived authority in the West Midlands metropolitan area; · The most deprived of all the greater Birmingham and Solihull LEP local authorities; · The third most deprived of the Core Cities after Liverpool and Manchester. · Just under 40% of the population live in areas described as in the most deprived 10% in the country; · Almost a third of all children in Birmingham experience child poverty. Homelessness both causes and is caused by many aspects of poverty, including financial pressures and unemployment. Birmingham is ranked the most deprived city for numbers of people who are income or employment deprived – this is largely influenced by the size of the authority compared to other major cities.
Please indicate any actions arising from completing this screening exercise.	None
Please indicate whether a full impact assessment is recommended	NO
What data has been collected to facilitate the assessment of this policy/proposal?	Government Statistics Shelter Data Service Level Data The main finding concludes that those with a protected characteristic are more likely to experience homelessness and therefore are more likely to be helped by this funding to prevent homelessness.
Consultation analysis	None

Adverse impact on any people with protected characteristics.	None
Could the policy/proposal be modified to reduce or eliminate any adverse impact?	Not applicable
How will the effect(s) of this policy/proposal on equality be monitored?	All individuals accessing this grant funding will have had a full Housing Needs Assessment, and we will be able to profile the percentage of households where homelessness has been prevented
What data is required in the future?	None
Are there any adverse impacts on any particular group(s)	No
If yes, please explain your reasons for going ahead.	
Initial equality impact assessment of your proposal	
Consulted People or Groups	
Informed People or Groups	
Summary and evidence of findings from your EIA	This grant will provide an opportunity to intervene, prevent and tackle homelessness for the people of Birmingham by developing an effective tailored response to individual needs and protected characteristics.
QUALITY CONTORL SECTION	
Submit to the Quality Control Officer for reviewing?	No
Quality Control Officer comments	Reviewed and approved
Decision by Quality Control Officer	Proceed for final approval
Submit draft to Accountable Officer?	Yes
Decision by Accountable Officer	Approve
Date approved / rejected by the Accountable Officer	19/01/2023
Reasons for approval or rejection	all correct and in line with grant
Please print and save a PDF copy for your records	Yes

Birmingham City Council
Report to Cabinet
14th February 2023

Subject:	**Local Authority Housing Fund (LAHF) Grant to Support Acquisition of Accommodation for Afghan Citizens and Ukrainian Guests**
Report of:	Paul Langford, Acting Strategic Director, City Housing
Relevant Cabinet Member:	Councillor Sharon Thompson, Cabinet Member for Housing & Homelessness Councillor John Cotton, Cabinet Member for Social Justice, Community Safety & Equalities Councillor Yvonne Mosquito, Cabinet Member Finance and Resources
Relevant O &S Chair(s):	Councillor Mohammed Idrees, Housing and Neighbourhoods Councillor Sir Albert Bore, Co-ordinating Councillor Akhlaq Ahmed, Resources
Report author:	Tim Gray, tim.gray@birmingham.gov.uk 07533 347316

Are specific wards affected? If yes, name(s) of ward(s):	☐ Yes	☒ No – All wards affected
Is this a key decision? If relevant, add Forward Plan Reference: 010998/2023	☒ Yes	☐ No
Is the decision eligible for call-in?	☒ Yes	☐ No
Does the report contain confidential or exempt information? If relevant, provide exempt information paragraph number or reason if confidential :	☐ Yes	☒ No

1 Executive Summary

1.1 The Council has been approached by the Department for Levelling Up, Housing and Communities (DLUHC) with an invitation to bid for Capital grant to support the

acquisition of properties for Afghan citizens and guests from Ukraine, according to a predetermined funding allocation.

1.2 It is recommended that the Council accepts this offer and commits to the purchase of an agreed number of properties through the Council's existing homelessness property acquisition scheme. This will provide savings to the Council compared to operating the acquisitions scheme without grant whilst also providing additional good quality accommodation for families from Ukraine and Afghanistan.

1.3 As stipulated by the Department for Levelling Up, Housing and Communities (DLUHC), this would require an increase in resettlement pledges by Birmingham City Council to include those accommodated by properties acquired through the "bridging element" of this funding. This may be in the region of 80-120 people in total over 2023/24 and 2024/25.

1.4 Participation in this programme will have a number of benefits for Birmingham. It will provide additional capital funding to support the purchase of good quality accommodation which will help meet housing need for the citizens of Birmingham over the next 50 years or more.

1.5 Accommodation will be provided as temporary accommodation for homelessness households, with no additional priority for access to settled accommodation for the families accommodated through this programme compared to other families experiencing homelessness.

2 Recommendations

That Cabinet:

2.1 Agrees to bid to and accept the Department for Levelling Up, Housing and Communities (DLUHC) for Capital funding from the Local Authority Housing Fund (LAHF) to support the acquisition of 20 family sized properties from the LAHF Main Programme and 10 large family sized properties from the LAHF Bridging Programme.

2.2 If additional funding is available beyond the published allocation, agrees to bid for and accept grant for up to a further 20 family sized properties from the Main Programme.

2.3 Authorises the Strategic Director for City Housing to enter into a Memorandum of Understanding with DLUHC setting out DLUHC's commitments and the Council's commitments to deliver the LAHF programme, alongside the associated monitoring arrangements.

2.4 Agrees to extend Birmingham City Council's pledge towards Government refugee resettlement schemes (namely, the Afghan Citizens Resettlement Scheme) to include any individuals accommodated by properties acquired through this funding. This cannot be specified at this stage but could be in the region of 80-120 additional individuals.

2.5 Accepts the integration funding associated with refugee resettlement at a per capita rate of £20,520 per individual minimum. The total value will depend on the number of bed spaces procured by the Bridging element of the Housing Fund but based on 80-120 individuals this would be £1,641,600 to £2,462,400.

2.6 Authorises the City Solicitor (or their delegate) to negotiate and agree all legal documents to give effect to the above recommendations.

3 Background

3.1 DLUHC wrote to the Chief Executive of Birmingham City Council (BCC) inviting the Council to participate in the £500m LAHF capital grant programme to support the acquisition of properties to accommodate guests from Ukraine and Afghan citizens. The letter was received by officers in Housing on 6th January 2023 and is shown at **Appendix 1.** The prospectus for the LAHF programme is shown at **Appendix 2.**

3.2 The LAHF programme is based on participating councils acquiring or developing properties by the end of 2023/24 to accommodate refugee families and/or guests from Afghanistan and Ukraine.

3.3 The programme is split into a 'Main Programme' to accommodate families who would otherwise be homeless and eligible for assistance from the Council, and a 'Bridging Programme', to accommodate families currently in Home Office Bridging accommodation. The Bridging Programme requires an increase in the council's existing commitment to accommodate such families equal to the number of properties acquired.

3.4 The proposed BCC allocation from the fund is for 20 x family sized properties for the Main Programme and 10 x 4 bed or larger properties for the Bridging Programme. This is the capped level for any authority i.e. no other council has a higher proposed allocation than BCC.

3.5 The available grant levels are:

- £1.72m for the Main Programme, notionally based on an average 40% grant per property + £20k per property.
- £1.90m for the Bridging Programme, notionally based on and average 50% grant per 4-bed or larger property + £20k per property.

3.6 Our analysis suggests that, based on the Council's existing property acquisitions scheme, the Main Programme grant would, in reality cover less than 30% of purchase costs and the Bridging Programme grant less than 50%.

3.7 In order to participate in the programme, the Council is required to agree to the terms of the Memorandum of Understanding (MoU), which sets out the Council's commitment to deliver an agreed number of properties in return for the DLUHC grant funding, and the monitoring arrangements involved. The MoU template is shown at **Appendix 3.**

3.8 The terms of the MoU are non-negotiable, but it is for the Council to determine how many properties it will commit to acquire. This could be the full allocation of 30 properties or a smaller number. It is not permitted to bid only for the Main Programme funding.

3.9 There is an option to request to deliver more properties than the allocation in return for more funding, if any funding remains unallocated.

3.10 30% of the agreed funding is to be paid in 2022/23, following the agreement of the MoU. The remaining 70% funding is to be paid in 2023/24 once 60% of the sum paid in 2022/23 has been spent. There is no requirement to spend funding received in 2022/23 within the 2022/23 financial year.

3.11 Councils are required to commit to attempt acquire the agreed number of properties by the end of November 2023, but DLUHC will fund any properties purchased by the end of March 2024.

3.12 Birmingham City Council already welcomes refugees via the Afghan resettlement schemes (Afghan Assistance & Relocation Policy – ARAP and the Afghan Citizens Resettlement Scheme – ACRS) and guests via the Ukraine scheme (Homes for Ukraine).

3.13 BCC's existing commitment to Afghan resettlement, made by Cabinet in July and December 2021, is to welcome a total of 300 individuals across 2021/22, 2022/23 and 2023/24. Around 150 people have already arrived or are imminently arriving in Birmingham. These individuals attract a minimum local authority per capita tariff of £20,520 to support their resettlement and integration. All new arrivals are accommodated in the Private Rented Sector and are assisted by BCC commissioned providers.

3.14 The Government has established 2 main routes of entry for Ukraine nationals – the Family visa scheme and Homes for Ukraine Sponsorship Scheme. Data on the numbers of Ukrainians arriving via the family visa scheme is not available at LA level. Homes for Ukraine is an uncapped visa scheme and does not have a specific pledge. Ukraine nationals arrive into Birmingham on visas with 3 years leave to remain. BCC estimated and planned for 1,000 arrivals up to 31st March 2023 and circa 700 have arrived to date. They do not have refugee status and are termed "guests" by the UK government.

3.15 Ukrainian guests in Birmingham are initially accommodated by Sponsoring hosts in private hosting arrangements (for between 6-12 months or longer) but can enter homelessness pathways and be eligible for assistance from the council when and if those arrangements end, breakdown or if the Local authority removes guests following safeguarding concerns and where re-matching to a new host is not possible.

4 Options considered and Recommended Proposal

4.1 The LAHF programme is intended to deliver accommodation which will be available to the Council in the long term and can be used to meet housing need beyond the

initial period where they are required to accommodate Ukrainian guests and Afghan citizens.

4.2 In the initial period, the 10 units of accommodation for the Bridging Programme will involve providing accommodation for large families who the Council would not otherwise have been required to accommodate, but in the longer term the accommodation would be available to meet the needs of a wider range of families.

4.3 The 20 units of Main Programme accommodation can be used to meet the needs of Afghan citizens and Ukrainian guests in housing need and the Council would have been required to assist anyway through the homelessness legislation. There are already 15 such families in the Council's temporary accommodation and this number is expected to grow significantly as some of the hosting arrangements for Ukrainian guests in particular, end or break down.

4.4 The LAHF does not stipulate if accommodation is to be held in the Council's general fund, the housing revenue account, owned by a housing association or owned by a local authority housing company.

4.5 It would be possible to deliver through any of these routes, but the simplest and most straightforward way to proceed would be to add these properties to those acquired through the £60m property acquisition programme already operating in the general fund, which is currently purchasing good quality properties to accommodate homeless families and is set to deliver significant savings to the council through reduced use of Bed & Breakfast accommodation.

4.6 These properties are currently let as temporary accommodation (TA), but there is an option in the future to bring them within the HRA if the Council wished to do so.

4.7 By 13th January 2023, the property acquisition programme had purchased 24 properties at a cost of £6.6m with a further 78 properties with offers accepted and going through the purchase process making 102 in total at a projected total cost of £24.0m if they all complete.

4.8 It is proposed that the LAHF properties would be purchased through the same mechanism and within the agreed £60m funding envelope for council spend. The DLUHC grant will aid with the viability of the programme, whilst ensuring that Ukrainian guests and Afghan citizens are accommodated in the numbers required to meet the Council's agreed LAHF quota.

4.9 Properties would be let as TA in the same way as for the existing programme. Families accommodated through the Main Programme would be owed a homelessness duty and would have the priority in the Council's allocations scheme which is available to households in TA who are owed a homelessness duty.

4.10 This would mean that guests and citizens accommodated through LAHF would not be jumping the queue for long term social housing compared to families who become homeless for other reasons.

5 Consultation

5.1 No consultation has been carried out with members of the public or temporary accommodation residents in preparing this report.

Discussion has taken place between officers in Housing Solutions and officers in Adult Social Care responsible for working with refuges and asylum seekers to establish the best way forward. Funding is available from existing DLUHC programmes to provide support for the families accommodated through the LAHF programme.

6 Risk Management

6.1 Key risks and mitigations are set out in the table below:

Key Risk	**Impact** (low/medium/high)	**Likelihood** (low/medium/high)	**Mitigation**
The Council is not able to purchase the required number of properties in the time available	High	Low	The existing property acquisition scheme is established an already buying properties in greater numbers than required to meet the need of the LAHF programme.
The Council makes a financial loss compared to business as usual	Medium	Low	The funding would support the existing property acquisition programme, by providing additional grant. There would be a short term loss on the Bridging Programme, based on the premise that this is accommodating families the Council would not otherwise have helped, but this is more than offset by the gains from the Main Programme. In the longer term, both programmes generate significant savings compared to buying properties without grant.
DLUHC does not agree to the funding requested	Medium	Low	If not fully funded, the Council would purchase fewer properties for the programme. Because the existing acquisitions scheme is being utilised, there are no set up costs.
DLUHC attempts to insist on the properties being used for guests and/or refugees in the long term	Medium	Medium	There will always be a need to accommodate refugees and guests, but beyond the initial requirements of an increased Bridging Programme quota, there should be no obligation to accommodate anyone the council would not otherwise have owed a homelessness duty to.

7 Compliance Issues:

How are the recommended decisions consistent with the City Council's priorities, plans and strategies?

7.1 The proposal is in compliance with the priorities in the Corporate Plan 2022/26, notably the priorities to tackle poverty and inequality, to support and enable all children and young people to thrive, and to tackle homelessness.

7.2 The proposal is in compliance with the Council's City of Sanctuary policies and strategy documents as well as its recent Local Authority of Sanctuary award.

7.3 **Legal Implications**

7.3.1 Section 1 of the Localism Act 2011 confers a general power of competence on the Council that permits the Council to enter into the funding arrangements set out in this report.

7.3.2 Sections 120 - 123 of the Local Government Act 1972 authorise the City Council to acquire, appropriate and dispose of land for the purpose of any of their functions. Section 111 of the Local Government Act 1972 contains the Council's subsidiary powers to do anything, including acquiring and disposing of land and incurring expenditure, which is calculated to facilitate, or is conducive or incidental to, the discharge of any of the Council's functions.

Under Section 9 of the Housing Act 1985 the Council may provide housing accommodation by acquiring houses and Under Section 17 of that Act the Council may acquire houses, or buildings which may be made suitable as houses, for the purposes of providing housing accommodation.

7.4 **Financial Implications**

7.4.1 The report seeks approval to bid and accept DLUHC capital grant of £3.6m to support the acquisition of properties for Afghan citizens and guests from Ukraine. Properties will be provided through the existing temporary accommodation Property Acquisition Programme which was approved by Cabinet on 8th February 2022, report titled Acceleration of City Housing Transformation to enable reduction in Temporary Accommodation – update. Service funded prudential borrowing of £60m was agreed to fund the capital allocation funded via rental income.

7.4.2 The £3.6m grant funding which is the subject of this report is split in two elements (see paragraph 3.3) with £1.7m for the Main Programme and £1.9m for the Bridging Programme. Grant funding for the Main Programme element provides up to 40% of the capital cost covering 20 properties and up to 50% for the Bridging Programme covering 10 properties.

7.4.3 The total estimated capital cost to acquire the portfolio of 30 properties is £9.2m, however will depend on the mix of accommodation acquired. Properties acquired will be held in the General Fund for temporary accommodation purposes. The DLUHC grant will cover £3.6m of this cost, with the remaining £5.6m met by borrowing previously approved through the existing Acquisition Programme authorisation. Provision of this grant funding

will result in a lower cost of borrowing to the Council compared to funding 100% of the capital cost for these properties.

7.4.4 In addition, the report seeks approval to accept Government integration funding associated with refugee resettlement in respect of the individuals resettled into these properties . This is based on £20,520 per capita with the total value depending on the number of bed spaces acquired and family compositions, but based on 80-120 bed spaces, this would be £1,641,600 to £2,462,400. This amount includes £870,120 to procure services to support individuals arriving into these properties for the first 12 months.

7.5 **Procurement Implications (if required)**

7.5.1 For the provision of Year 1 Accommodation, Orientation & Support services, the total cost of procuring services for the additional refugees accommodated in properties acquired via the Housing Fund is not expected to exceed £870,120 – but this will depend on the final number of bedspaces acquired. Procurement of this service will be via the Refugee Integration & Support Services Flexible Contracting Agreement which will be in place by the end of January 2023.

7.6 **Human Resources Implications (if required)**

7.6.1 None

7.7 **Public Sector Equality Duty**

7.6.1 An Equality Assessment is shown at **Appendix 4**.

8 Environment Sustainability Assessment

8.1 An Environmental Sustainability Assessment is shown at **Appendix 5.**

9 Background Documents

July 2021 Afghan resettlement ARAP

December 2021 Afghan resettlement ACRS

July 2022 Flexible Contracting Agreement / Framework

List of appendices accompanying this report:

Appendix 1. Letter to Chief Executive with BCC's allocation

Appendix 2. DLUHC scheme prospectus

Appendix 3. MoU template

Appendix 4. Equality Assessment

Appendix 5. Environmental Sustainability Assessment

Dear Deborah

We are writing to you today following the announcement of the Department for Levelling Up, Housing, and Communities new £500m Local Authority Housing Fund (LAHF) which will run over financial years 2022-23 and 2023-24.

The UK has welcomed over 150,000 people from Ukraine through the Ukraine Family Scheme and Homes for Ukraine Scheme. With support from central government, local authorities and communities have worked tirelessly to provide safe refuge for people at their hour of need. These efforts come after welcoming around 23,000 Afghans who worked alongside the British Government, of whom c. 9,200 are living in bridging hotel accommodation.

We are introducing a £500 million capital fund to support the local authorities who we assess will be facing the greatest challenges in providing move on and settled accommodation for these cohorts.

As well as helping to fulfil the UK's humanitarian duties to assist those fleeing war, the fund will create a lasting legacy for UK nationals by providing a new and permanent supply of accommodation for local authorities to help address local housing and homelessness pressures.

We are grateful to those councils and representative organisations who have helped shape the fund.

The fund prospectus, setting out more detail on what it is for and how it works, can be found here:

https://delta.communities.gov.uk/document-repository/public/download?uri=/document-repository/Local-Authority-Housing-Fund-Prospectus-Final.pdf.

Your Allocation

Birmingham has provisionally been identified as eligible for capital grant funding (under section 31 of the Local Government Act 2003), with the following indicative allocation:

Main element: £1720000 in funding. With this funding we expect you to provide a minimum of 20 homes.

Bridging element: £1899239 in additional funding. With this funding we expect you to provide a minimum of 10 larger 4+ bed home(s) to be allocated to households currently residing in bridging accommodation.

As with other affordable housing provision, we expect you to part fund or finance some of the required capital. For 'main element' housing, government funding equates to 40% of total capital costs (Average £66000 grant per property) plus £20,000 per property. For 'bridging element' housing, government funding equates to 50% of total capital costs (Average £169924 grant per property) plus £20,000 per property.

30% of the funding provided by DLUHC will be paid in Q4 2022/23 and 70% in 2023/24 (the 2023/24 funding is paid once the LA has spent 60% of their 2022/23 funding – further details are provided in the prospectus). For example, if you agree to deliver the number of units outlined above, the funding split would be as follows:

Main element: properties for households that meet the eligibility criteria for this Programme
Year 1 Allocation £516000
Year 2 Allocation £1204000
Total Grant £1720000

4+ bed properties for households currently in bridging accommodation
Year 1 Allocation £569772
Year 2 Allocation £1329467
Total Grant £1899239

Total Grant
Year 1 £1085772
Year 2 £2533467
Total Funding £3619239

We are inviting you to submit your proposals for how you would use the funding in line with the scheme's objectives, namely to:

- Ensure recent humanitarian schemes (Afghan and Ukraine schemes) which offer sanctuary, via an organised safe and legal entry route to those fleeing conflict, provide sufficient longer term accommodation to those they support.

- Support areas with housing pressures which have generously welcomed substantial numbers of Ukrainian refugees so that these areas are not disadvantaged by increased pressures from these arrivals on the existing housing and homelessness systems.

- Mitigate the expected increased pressures on local authority homelessness and social housing resources which arise from the eligible cohort (as defined in the programme prospectus) as sponsorship/family placements/bridging accommodation arrangements come to an end by increasing the provision of affordable housing to those in the cohort who are homeless, at risk of homelessness, or in bridging accommodation;

- Utilise accommodation solutions to enable effective resettlement and economic integration of the eligible cohort;

- Reduce emergency, temporary and bridging accommodation costs;

- Deliver accommodation that as far as possible allows for the future conversion of housing units to support wider local authority housing and homelessness responsibilities to UK nationals (i.e. after usage by this cohort ends);

- Reduce impacts on the existing housing and homelessness systems and those waiting for social housing.

Within the framework of the objectives of the fund set out above, we want to provide as much flexibility to local authorities as possible to shape local delivery according to local circumstances. While we assume most delivery will

be via stock acquisition, local authorities will have the flexibility to choose their delivery route. This could include refurbishment or conversion of buildings, acquiring new build properties from developers, building new homes, or passing on the funding to enable housing association delivery.

While local authorities will take the lead in their areas, we would like you to work closely with your partners, particularly neighbouring local authorities and housing associations, who stand ready to assist, and in some cases may be the most appropriate delivery vehicle.

Bridging Element

Supporting local authorities to help move households out of Home Office bridging accommodation is an integral part of the aims of this fund.

Therefore, as a condition of receiving this funding, local authorities are expected to increase their number of pledges and provide additional homes for those in bridging accommodation.

A specific element (the 'bridging element') of the funding will be provided to support local authorities to do this.

Validation Process

With increasing pressures on homelessness services and many people due to leave sponsorship accommodation arrangements in the coming months, action is needed now. Accordingly, we have sought to make the process for taking part in this programme as simple as possible.

You are requested to complete a validation form which provides basic details on your proposal. We will expect your proposal to be supported by your Section 151 officer. The validation form can be found here:

https://consult.levellingup.gov.uk/funding/2fe6e65e

You can use this form to let us know if you are not able to deliver the full number of units set out or whether you could deliver more. We will not be able

to consider proposals which breach the grant rates set out above. We will redistribute any residual funding from within the £500m programme as appropriate.

After submitting your validation form, please send your completed and signed Memorandum of Understanding by email to the Local Authority Housing Fund Team via LAHF@levellingup.gov.uk. A blank copy of the Memorandum of Understanding is included which has the standard terms that will be agreed with every local authority, and the text of which is non-negotiable.

https://delta.communities.gov.uk/document-repository/public/download?uri=/document-repository/LAHF-MOU-Template.docx

If you are agreeing to deliver your full allocation, the numbers needed to complete the MoU are included in the table above. If you are agreeing to deliver a lower number of units than your allocation, to complete your MoU, calculate the funding amount for your specified number of units, using the Grant Per Property set out above – further detail is included in the blank MoU

Next Steps

The accompanying prospectus
outlines the fund in more detail and the process for completing your validation form by 25 January 2023. We encourage you to return your validation form and MoU as soon as you are able to as we may be able to work faster with those who agree to the terms of the programme and return their validation forms and MoU earlier.

We will be hosting online webinars to provide you with an opportunity to ask any questions about the fund.

These webinars will be held via MS Teams which you can sign up to via Eventbrite:

9 January:

https://www.eventbrite.com/e/lahf-webinar-tickets-487557586867

12 January:

https://www.eventbrite.com/e/lahf-webinar-tickets-493598635807

If you have questions which were not answered by the prospectus or webinar, you can contact the team on LAHF@levellingup.gov.uk

Thank you for everything your local authority is doing to support those fleeing war and to help them adjust to their lives in the UK. We look forward to continuing to work with you in the coming weeks and months.

Yours sincerely,

Emma Fraser and Melanie Montanari
Directors, Housing Supply and Markets
Department for Levelling Up, Housing and Communities

cc LAHF

Department for Levelling Up, Housing & Communities

Local Authority Housing Fund

Prospectus and Guidance

December 2022
Department for Levelling Up, Housing and Communities

1. Introduction

Earlier this year the United Kingdom took the historic decision to welcome tens of thousands of Ukrainians fleeing the invasion of their homeland. Since then, and thanks to the generosity of the British public, more than 150,000 Ukrainians have been welcomed into homes and communities under the Homes for Ukraine and Ukraine Family schemes. We have also welcomed around 23,000 Afghans who worked alongside the UK Government and risked their lives alongside our Armed Forces, as well as people who assisted UK efforts in Afghanistan.

Local authorities play a vital and integral role in welcoming and integrating recent visa-scheme arrivals to the UK. It is thanks to the hard work of so many in local government, and the wider public sector, across all parts of our country that we have been able to welcome so many people to safety. The Government is introducing further support to help our guests from Ukraine and those who arrived from Afghanistan to find their feet, including local help to find suitable private rented accommodation; assistance via the Department of Work and Pensions to access benefits, skills training and gain employment; and signposting and access to charities and mental health providers. This is backed up by the tariff that authorities receive for each Homes for Ukraine guest arriving in their area; the Afghan Resettlement Schemes to support integration; and additional funding specifically for education and healthcare in the first year of arrival on the Homes for Ukraine scheme.

To assist local authorities further, the Department for Levelling Up, Housing and Communities (DLUHC) is introducing a £500 million capital fund – the Local Authority Housing Fund (LAHF) – for local authorities in England to provide accommodation to families with housing needs who have arrived in the UK via Ukrainian and Afghan resettlement and relocation schemes. Local authorities who have welcomed arrivals are facing challenges in securing settled accommodation for these households, which unless alleviated will further impact existing housing pressures. LAHF will help them to address these immediate pressures as well as build a sustainable stock of affordable housing for the future.

This prospectus sets out the objectives for the fund, what local authorities can spend the grant on, defines the cohort eligible, and the process we will follow for allocating grants to local authorities.

2. Purpose of the fund

The Local Authority Housing Fund is a £500m capital grant fund in financial years 2022/2023 and 2023/2024 to support selected local authorities in England to obtain and refurbish property in order to provide sustainable housing for those unable to secure their own accommodation who are here under the following schemes: Afghan Citizen Resettlement Scheme (ACRS), Afghan Relocations and Assistance Policy (ARAP) (collectively referred to as the Afghan Schemes), Ukraine Family Scheme, the Homes for Ukraine and the Ukraine Extension Scheme (collectively referred to as Ukraine schemes). A full definition of the eligible cohort is at section 3.2.

As well as helping to fulfil the UK's humanitarian duties to assist those fleeing war, this fund will reduce the impact of new arrivals on existing housing pressures and ultimately create a lasting legacy for domestic households by providing a new and permanent supply of accommodation for local authorities to help address local housing and homelessness pressures. We expect up to 4,000 properties would be provided through this fund.

Local authorities will be allocated capital funding under section 31 of the Local Government Act 2003 on the basis of a formula. Delivery targets will be based upon this funding allocation, estimated by a blended grant per property model. Local authorities will determine the most effective means to deliver the fund objectives in their area.

The grants will be non-ringfenced and we will sign Memoranda of Understanding with all local authorities receiving funding to set out our shared expectations for how the fund should be delivered.

Local authorities in scope of the funding formula for this fund will be contacted with their indicative allocation and asked to return a proposal on how they would deliver this accommodation in line with fund objectives outlined below.

2.1 Fund Objectives

The fund aims to alleviate housing pressures on local authorities arising from recent and unforeseen conflicts in Afghanistan and Ukraine. As part of this government's humanitarian response to these crises, we have welcomed over 170,000 people to the United Kingdom. This act of generosity has unavoidably created additional demand for housing at a time when local authorities are already under strain.

The objectives of the fund are to:

- Ensure recent humanitarian schemes (Afghan and Ukraine schemes) which offer sanctuary, via an organised safe and legal entry route, to those fleeing conflict, provide sufficient longer term accommodation to those they support.
- Support areas with housing pressures which have generously welcomed substantial numbers of Ukrainian refugees so that these areas are not disadvantaged by increased pressures from these arrivals on the existing housing and homelessness systems.
- Mitigate the expected increased pressures on local authority homelessness and social housing resources which arise from the eligible cohort (as defined at section 3.2 of the fund's prospectus) as sponsorship/family placements/bridging accommodation arrangements come to an end by increasing the provision of affordable housing available to local authorities to support those in the cohort who are homeless, at risk of homelessness, or in bridging accommodation;
- Reduce emergency, temporary and bridging accommodation costs;

- Deliver accommodation that as far as possible allows for the future conversion of housing units to support wider local authority housing and homelessness responsibilities to UK nationals (i.e. after usage by this cohort ends);
- Utilise accommodation solutions to enable effective resettlement and economic integration of the eligible cohort.
- Reduce impacts on the existing housing and homelessness systems and those waiting for social housing.

3. What the funding can be used for

Within the framework of the purpose and objectives of the fund set out above, we want to provide local authorities with as much flexibility as possible to shape local delivery according to circumstances in each area. The guidance provided in this document is intended to support this. Local authorities will need to be satisfied that their specific plans are lawful and deliverable.

This fund will pay capital funding in two tranches, to be spent in financial years 2022/23 and 2023/24. Local authorities cannot combine this fund with the Affordable Homes Programme or Right to Buy receipts. There is no revenue funding available. Local authorities will have their own processes in place to determine the accounting treatment of revenue costs directly attributable to capital works. It is for local authorities to determine whether it is appropriate to capitalise any revenue costs and their accounting teams should ensure that the accounting treatment adopted is deemed compliant with the code of Practice for Local Authority Accounting.

The basic model assumes stock acquisition. In practice this could include, but is not limited to:

- Refurbishing and/or converting local authority-owned residential or non-residential buildings, including defunct sheltered accommodation;
- Acquiring, refurbishing and/or converting non-local authority owned residential or non-residential buildings, including bringing empty or dilapidated properties back into use;
- Acquiring new build properties ‘off-the-shelf’, including acquiring and converting shared ownership properties;
- Developing new properties, including developing modular housing on council-owned sites, and;
- Working with and supporting other organisations who want to offer accommodation for this cohort.

Ultimately, local authorities may choose the most appropriate delivery mechanism to achieve the fund’s objectives, and to bring on stream the accommodation as quickly as possible.

While local authorities will take the lead in their areas, this does not mean the above activities must be all be undertaken by local authorities. We expect local authorities to work closely with their housing association partners who stand ready to assist and, in

some cases, may be the most appropriate delivery vehicle to achieve the fund objectives. Housing association stock, development, and disposals pipelines could be instrumental in assisting local authorities to deliver this fund, as could their expertise and capacity for stock purchase, management and wraparound support.

Local authorities may choose to acquire properties in their own area or work with neighbouring authorities to acquire properties in their region; it is left to each local authorities' discretion whether collaboration of this kind would be an appropriate route although we would encourage collaboration where possible.

Local authorities should consider the needs of the cohort in their area when determining the size of properties to acquire. Our expectation is that the vast majority of properties acquired will be family sized homes (2-4+ bedrooms).

There are 182 local authorities, plus the Greater London Authority (GLA), eligible for funding. Eligible local authorities will receive an allocation email, which will set out the funding amount and the minimum number of units the LA needs to deliver with this funding. Local authorities or their partners are expected to fund the remainder of the costs, examples include but are not limited to funding from capital receipts, revenue, borrowing or funding by a partner.

Local authorities will be expected to manage this fund within their normal budgetary guidelines, with confidence that any budgeting decisions can be justified to their auditors. We will ask Section 151 officers to agree this with the department via a Memorandum of Understanding (MOU); further details can be found at section 4.

It is expected that all homes delivered through this fund will be affordable/low-cost housing to support wider local authority housing and homelessness responsibilities for the remainder of their lifetime. If properties are disposed of, they will be subject to the Recycled Capital Grant regulations. Funding provided under this fund is for whole-life housing costs and local authorities are expected to use the funding in line with the fund objectives outlined in 2.1. It is up to local authorities to determine the precise rent level and tenure of homes in line with the fund objectives. This could include social rent, Affordable Rent, or a discounted private rent.

3.1 Ambition for housing those in bridging accommodation

There are around 9,200 people currently living in Home Office bridging accommodation who are being resettled via the Afghan Relocations and Assistance Policy and the Afghan Citizens Resettlement Scheme. This fund aims to support local authorities to help move more households out of bridging accommodation. Each of the 182 local authorities, plus the Greater London Authority on behalf of London boroughs, in scope for grant funding will be expected to increase their number of pledges to support people under the Afghan resettlement schemes through the usual process (by notifying their Strategic Migration Partnerships) and will be set an ambition for the number of homes to acquire specifically for housing those currently in bridging accommodation. This will be for larger homes (four or more bedrooms), given the average family size of those in bridging accommodation, and the number of properties will be determined by the population size of the local authority. The funding allocation

includes a specific element for the acquisition of larger properties for this cohort. However, local authorities can also use the main element of their funding allocation to move smaller families out of bridging accommodation into smaller homes with fewer than 4 bedrooms in addition to their allotted target for larger homes.

For this fund, we expect all local authorities in scope for funding to deliver their allocation of 4+ bedroom homes for those in bridging accommodation, and local authorities will be asked as part of the validation process whether they are able to deliver those additional units.

If local authorities do not increase their pledges and do not commit to provide sufficient larger homes to this cohort (or if the GLA commits to provide fewer than its targeted amount within London), then their provisional allocation (both the bridging and main element) will be reallocated.

3.2 Cohort Definition and Eligibility

Given the objectives of the fund, those eligible for the housing are those who are homeless, at risk of homelessness or who live in unsuitable Temporary Accommodation (including bridging accommodation) and who also meet the below definition.

Those on the:

- Afghan Citizen Resettlement Scheme (including eligible British Nationals under this scheme) (ACRS),
- Afghan Relocations and Assistance Policy (ARAP)
- Ukraine Family Scheme (UFS),
- Homes for Ukraine (HFU),
- Ukraine Extension Scheme (UES)

For those not in bridging accommodation, the local authority does not have to have accepted a Housing Act 1996 Part 7 homelessness duty in respect of the household for the household to be eligible, but the local authority should satisfy themselves that the household is already or would otherwise be homeless or at risk of homelessness if this accommodation was not available.

3.3 Matching households with properties

It will be up to local authorities to decide how to deliver and manage this fund locally. The accommodation funded through this fund should increase the housing available for the cohort outlined in section 3.2.

In addition to the eligibility criteria above, the local authority should make reasonable endeavours to prioritise households based on who is most in need when matching eligible households with properties. Beyond this, local authorities may use any lawful route that allows them to deliver this fund to cater for the needs of their area. They may wish to use their experience from the Rough Sleepers Accommodation Fund or use the same assessment and prioritisation process as for mainstream social housing stock.

Some examples of options for matching eligible households to properties include:

- Using, amending or putting in place a Local Lettings Policy to allow homes to be allocated by local authorities, or nominated to housing associations, to eligible applicants of a particular description. This is allowed under the Housing Act 1996 (section 166A(6)(b))
- Letting accommodation through a local authority owned housing company.

This is not exhaustive and depending on how local authorities are delivering the fund, they may identify other legal ways for matching households with properties.

For the larger homes acquired to enable households to move out of Home Office bridging accommodation, we would encourage local authorities to use their relationships with each other, their Strategic Migration Partnerships and with staff in bridging hotels to identify and match families to suitable properties. This is to increase the chances of successful matches, as we recognise that local resettlement leads are well-placed to use local intelligence on households in their regions to identify suitable matches and reduce the chances of refusals as much as possible. Local authorities can indicate a preference for a specific family to be matched to a property they have acquired on the ARAP/ACRS property offer form. Alternatively, if a local authority is unable to identify a specific family in a bridging hotel, the local authority can put forward properties (via their Strategic Migration Partnership) to be centrally matched by the Home Office. As mentioned above, we expect local authorities to increase their pledges for the Afghan resettlement schemes beyond their existing pledge amount to reflect the acquisition of these new properties.

3.4 Tenancy Duration and social housing legacy

Given this fund aims to create a lasting supply of affordable housing for the general population (see fund objectives at section 2.1), we expect this stock to become available to support wider local authority general housing and homelessness responsibilities after the immediate needs of the eligible cohort have been addressed.

As the housing landscape in each area and the circumstances of eligible households vary, we will not mandate local authorities to apply a fixed tenancy duration for housing funded through the fund, though in many cases this may be appropriate.

4. Funding Allocations and Delivery

4.1 Initial allocation of funding

The initial funding offer will be determined and offered to the 182 local authorities and Greater London Authority in England, who are deemed to have the greatest need for this funding based on a formula. A formula will be used to identify the total allocation to those local authorities in scope for funding across the duration of the fund.

Local authorities are given an overall ranking based on several sets of data. This combines their relative ranking in terms of the number of Ukrainian arrivals per 1000 population and their relative ranking in terms of the level of housing pressure (which includes Private Rented Sector rents in relation to income, unemployment rate, number of households in Temporary Accommodation (TA) per 1000 households and

number of households on local authority waiting lists per 1000). This data is used because in the areas of highest housing pressure, it will be most difficult for refugees/arrivals to find housing, and therefore the risk of homelessness will be higher. The capacity of local authorities to respond in these areas will also be more limited because of the shortage of housing and associated higher housing costs. The Ukrainian arrivals data is used in this ranking to reflect the sudden and additional pressure from a rapid increase in the number of arrivals of people fleeing war, which is a different magnitude to the number of refugee arrivals in recent years. Numbers in bridging accommodation in each local authority is not used because of the policy objective to move Afghans out of bridging accommodation into local authorities across the country.

An initial indicative allocation will then be offered to each local authority, working from the most pressured local authority down, on the basis of:

- A fair share requirement to accommodate families in bridging accommodation, based on a per capita distribution for those local authorities in scope of funding and a grant per property set at 50% of the estimated average lower quartile 4+ bed property price plus an allocation of £20k per property (to allow for refurbishment/other costs)
- Distributing the remaining budget based on a ratio of 1 home per 20 Ukrainian arrivals, which is then costed at a grant per property of 40% of the estimated average lower quartile property price (plus £20k per property for refurbishment/other costs)
- The model distributes funding down the list of local authorities (ranked based on Ukrainian arrivals and housing pressure) until the budget is expended, resulting in 182 local authorities (plus the GLA) being in scope for funding.

In addition, several caps are put in place for the initial allocation to help support deliverability, to minimise inflationary impacts and to ensure all parts of the country receive some support. These are:

a. constraining the initial London allocation to reflect an achievable delivery target in the capital's highly constrained housing market;

b. capping the allocation per region at 25% of the total fund spend; and

c. capping the allocation to any single local authority at 30 homes.

4.2 Funding split between financial years

The local authorities who are identified by the formula as eligible for funding will be contacted directly with an indicative offer of their total allocation. Authorities will be asked whether they will be able to spend this allocation to deliver the outlined number of homes, in accordance with the details set out in this prospectus (and if not, what they could deliver). Local authorities will also be asked whether they can deliver more than the allocation using the same grant per property (detailed at 4.3).

Funding will be paid in two tranches representing 30% and 70% of the local authority's allocation agreed in the MOU. We expect that the first tranche of funding will be paid in February/March 2023 – depending on when the MoU is agreed.

The second tranche of funding will pay 'the balance' of the local authority's allocation. There will be two predetermined tranche payment dates; the first at three months and the second at five months from the tranche one payment. Dates will be confirmed as part of the MOU process. To receive the second tranche payment the local authority must have spent at least 60% of the tranche one payment delivering on the objectives of the fund, which we will ask the local authority to declare to us at progress 'checkpoints'. Local authorities do not need to wait until receiving the second tranche of payment before spending more than their tranche one payment given 'the balance' will be paid following the checkpoint when they have spent 60% of their tranche one payment.

We will also ask local authorities about the number of property purchase offers they have made, how many of those offers have been accepted, and how many contracts they have exchanged, for example. To monitor delivery, we will ask for these progress updates at each funding checkpoint, regardless of whether the local authority has reached the 60% spending threshold.

We anticipate that any additional funding agreed via the reallocations process will be paid at the same time as the second tranche payment, with an update to the MOU following the reallocations process to reflect this additional funding. Where there is no direct allocation already in place (eg London councils) new MoU arrangements may be created.

4.3 Grant Rate and Eligible Spend

Allocations to each council have been calculated as follows:

- For the "main element", the amount of grant per property is calculated as 40% of the average lower quartile property price in the council area (or for London, 40% of the average lower quartile property price in Greater London). A further £20k per property is then added to account for other costs (including refurbishment).
- For the "bridging element" (i.e. 4+ bedroom houses) the amount of grant per property is calculated as 50% of the estimated lower quartile property price for a 4+ bedroom property in the council area (or for London, 50% of the estimated lower quartile property price for a 4+ bedroom property in Greater London). A further £20k per property is then added to account for other costs, including refurbishment.

Grant rates and Eligible Expenditure for Main and Bridging Elements

It is expected that councils will use their best endeavours to acquire the target number of units and to achieve value for money. The average grant per property rate should not exceed the maximum described below but the grant per property for individual

purchases can be higher. It is recognised that the grant will not meet all of the acquisition costs and so there is an expectation that the council, or its partners, will provide the remainder of the funding required.

The maximum average grant per property rate (for the portfolio of properties, not individual purchases) for the "main element" is 40% of the costs the council charges to its capital budget plus £20k per property. Eligible costs funded by the 40% and the 20k per property could include the purchase price, stamp duty, surveying, legal and other fees, refurbishments, energy efficiency measures, decoration, furnishings, or otherwise preparing the property for rent and potentially irrecoverable VAT incurred on these items. Councils should ensure they comply with the Code of Practice for Local Authority Accounting when deciding eligible costs.

The maximum average grant per property rate (for the portfolio of properties, not individual purchases) for the "bridging element" is 50% of the costs the council charges to its capital budget plus £20k per property. Eligible costs funded by the 50% and the 20k per property could include the purchase price, stamp duty, surveying, legal and other fees, refurbishments, energy efficiency measures, decoration, furnishings, or otherwise preparing the property for rent and potentially irrecoverable VAT incurred on these items. Councils should ensure they comply with the Code of Practice for Local Authority Accounting.

In some cases, the amount of money provided by the grant per property may equate to an intervention rate higher than the maximum set out above - for example if the local authority is focussing on smaller homes, such as 2 bedrooms, because these better suit the needs of the eligible cohort in the area or constitute the majority of the available stock to purchase. If this means the grant rate equates to more than the maximum, the local authority is expected to acquire more units with this funding than the estimated minimum (or outline in the MOU process that less funding is needed to deliver the number of units outlined in their allocation) in order to ensure value for money and not exceed the maximum grant rate.

During the validation process, if local authorities ask to deliver fewer units than allocated, then their funding allocation will be reduced, maintaining the same grant per property rate.

Eligible Expenditure for Improvement Budget

The costs of obtaining a property are not the only costs councils may incur. They may also need to fund things like refurbishments, energy efficiency measures, legal costs, decoration, furnishings, or otherwise preparing the property for rent. We have included an un-ringfenced capital budget of £20,000 per property to account for this. This is a notional amount for the purposes of allowing for these costs in our formula. Councils can choose how much of the grant is to be spent on each individual property. For instance, it may choose to spend £10,000 on one property and £30,000 on another.

Example "main element" allocation
A local authority is allocated £380,000 to deliver 5 main element units plus £20k per unit nominally for refurbishment costs. In total it receives £480,000.

The local authority identifies 5 properties and the costs of obtaining and preparing them for rent:
Property 1: £220,000 capital cost
Property 2: £220,000 capital cost
Property 3: £240,000 capital cost
Property 4: £190,000 capital cost
Property 5: £230,000 capital cost
Total price: £1,100,000
The local authority uses the £100,000 it received nominally for refurbishment costs, leaving £1,000,000.
The £380,000 main element allocation equates to 38% of the remaining capital cost and is therefore within the 40% maximum average grant rate.
The council funds the remaining costs from other sources.

4.4 Validation forms

Eligible local authorities will have been emailed an indicative allocation offer email, a draft MOU, and a validation form. This email outlines the local authority's indicative allocation. Receipt of the initial indicative allocation email and completion the validation form is not a commitment to providing funding or a commitment by a local authority to receive and spend funding. Final allocations will be confirmed in writing following the department's review of the form(s) as outlined in this section. This does not prejudice a local authorities' right to not sign a Memorandum of Understanding.

We will ask all local authorities to submit the validation form no later than 25 January 2023 to confirm if they are willing and able to participate. This helps us understand which local authorities do not wish to take up this funding, how many units local authorities are willing to deliver and allows us to begin reallocating funding.

The validation form will ask local authorities to cover the key details of their delivery proposal; this will then be assessed and validated by the department.

In the validation form we will ask for information on:

- The number of homes that the local authority plans to acquire as part of this fund including the number of 4+ bedroom homes for families in bridging accommodation
- Delivery approach
- Project milestones
- Risks and barriers to delivery

A copy of the validation form questions is attached at Annex A. Validation forms must be submitted via this page no later than midday 25 January 2023. These will be reviewed and responded to as they are received, and we intend to respond to all forms by 15 February 2023.

After submitting your validation form, please send your completed and signed Memorandum of Understanding by email to the Local Authority Housing Fund Team via LAHF@levellingup.gov.ukmailto:LAHF@levellingup.gov.uk. The template MOU is here, which are the standard terms that will be agreed with every local authority, and

the text of which is non-negotiable. If you are delivering the full allocation, complete the MOU using the numbers from your allocation email. If you are agreeing to deliver a lower number of units than your allocation, to complete your MOU, calculate the funding amount for your specified number of units, using the grant per property rate set out in your allocation email – further detail is included in the blank MOU.

We encourage local authorities to return their validation form and MOU as soon as they can as we may be able to work faster with those who agree to the terms of the programme and return their validation forms and MOU earlier. Any reallocations will be calculated and communicated by the end of March 2023.

Given that this is not a bid-based fund, proposals will be assessed acknowledging that accountability for delivery rests with the local authority. The questions have been designed to identify local authorities who would be unwilling or unable to deliver the fund. The assessed section of the validation form will consider responses regarding:

- The proposed scale of delivery relative to the indicative allocation
- Whether delivery plans meet fund objectives
- Confirmation that the local authority is content with formal reporting requests every 2 months
- Confirmation that the Section 151 Officer or Deputy Section 151 Officer has signed off the proposal

We will confirm by end of March 2023 any additional funding available to the local authority following a reallocations process based on validation form data.

If we have any queries on the answers provided in the validation form, we will contact the local authority directly.

4.5 Reallocation

During the validation process, local authorities will be asked whether they can deliver more than their initial allocation.

If in the validation form stage local authorities state they are unable to deliver the units allocated to them across the duration of the fund, the funding for the units they say they will be unable to deliver will be reallocated to other local authorities (including directly to London councils). This reallocation will be based on a process aligned with the fund objectives in 2.1, taking into account need and deliverability. If additional funding is available for local authorities who have told us they can deliver more than their initial allocation, we will contact them to confirm any further funding offer and to agree an update to the MOU to reflect this additional funding.

If a local authority misses the deadline for submitting their validation forms, they are unlikely to receive funding at tranche one. Whether it is still possible to provide them with any funding will depend on when we receive the necessary details from them and the progress of the reallocations process (including the amount of money left to reallocate). We ask that local authorities who foresee a difficulty in working to the

communicated deadlines get in touch with the Local Authority Housing Fund Team as soon as possible.

If money remains after allocating additional funding to the local authorities that have said they can deliver more across the two years of the fund, then the list of local authorities may be expanded beyond those in receipt of initial allocations.

If a local authority is allocated additional funding as part of the reallocation process, this will be paid together with the baseline funding amount for year two (agreed as in the original signed Memorandum of Understanding). As with the tranche two payment, this additional funding will be subject to the local authority having spent at least 60% of their tranche one payment at the 'checkpoint' before the tranche two payment. Where there is no pre-existing direct agreement (as would be the case with individual London councils), new agreements would be made.

The allocations for the "main element" and "bridging element" will be treated separately for reallocations, and so "bridging element" funding will not be reallocated to deliver more 'main element' properties. This is to avoid undermining the number of properties delivered for those in bridging accommodation.

4.6 How grants will be delivered

This fund will operate only in England and funding will be allocated direct to local authorities under section 31 of the Local Government Act 2003.

The funding will be allocated to the appropriate district council or unitary authority. Initial allocations for London will be made via the Greater London Authority. Further allocations may be made directly to London councils.

We will contact local authorities directly with their indicative allocation based on the formula outlined above.

4.7 Payment process

Payments will be made in the form of grants under Section 31 of the Local Government Act 2003 and paid as two instalments, on agreement of an MOU between the local authority and the Department for Levelling Up, Housing and Communities.

Once we have contacted local authorities to confirm their final allocation, we expect local authorities to obtain any further necessary clearances to enter into a MOU with the Department based on the information they provided in the validation form. Funding will then be distributed to the local authority following the signing of the MOU.

For local authorities allocated any additional funding via the reallocations process, prior to payment of any additional funding there will be an update to the MOU agreed to reflect this additional amount, and this will be paid alongside the tranche two funding.

Tranche one payments will be made in February/March 2023 depending on the date the MOU is agreed. Payments for tranche two will be paid in May and July 2023 respectively, dependent on when the local authority's spending on this fund surpasses 60% of their tranche one payment.

Given the urgency of delivery we expect all local authorities to show flexibility in how they apply their approvals processes in order to participate in this fund. All MOUs should be signed ahead of the first tranche of payments. Local authorities will ultimately be responsible for delivery and ensuring value for money of the allocation they have received.

4.8 Fraud Risk Assessments

Local authorities shall be responsible for ensuring that fraud is a key consideration in all spend activity and that the following minimum standards are met:

- Follow the Grants Functional Standards on Fraud Risk Assessment (FRA) – pages 15-19;
- Undertake FRAs at an appropriate level to each individual project dependent on risk;
- Ensure that this spend is undertaken in accordance with effective authority fraud prevention policy and procedure, and via engagement with your organisations' specialists in this area;
- Ensure that relevant evidence and data to prevent fraud is gathered as part of due diligence undertaken ahead of releasing funds;
- Implement reporting and monitoring requirements that will identify irregularities or issues in use of funds which can be investigated further;
- Store and file all work undertaken on FRA in the event of any issues or audit requirements.

4.9 Due Diligence

Local authorities shall be responsible for ensuring that proportional due diligence is applied to all this fund spend and that the following minimum standards are met:

- Follow the Grants Functional Standards on Due Diligence – pages 20-24;
- Undertake due diligence at an appropriate level to each individual project dependent on risk;
- Ensure that due diligence is undertaken in accordance with effective authority rules and procedures through authorities' teams specialising in this area;
- Ensure that key areas of due diligence identified for projects in which local authorities invest are reported on and monitored throughout the term of delivery;
- Store and file all work undertaken on due diligence in the event of any issues or audit requirements.

4.10 How we will monitor performance and delivery

Key Performance Indicators (KPIs) will be detailed in MOUs with local authorities and will be based on the fund objectives outlined at section 2.1.

Every two months, local authorities will provide a mix of quantitative and qualitative summary updates to the Department for Levelling Up, Housing and Communities to track against agreed delivery milestones. The reports will be due every two months until delivery is completed, with the dates specified in the MOU.

We will ask for the following information either as part of ongoing monitoring and/or as part of evaluation of the fund:

- Offers accepted, including bedroom size and whether these are part of the "main" or "bridging" element of the funding;
- Number of properties where contracts exchanged, including bedroom size;
- Number of properties occupied, including bedroom size;
- Number of families housed, including which resettlement programme they belong to;
- Number of individuals housed, including which resettlement programme they belong to;
- Total expenditure (including grant and other funding);
- Total committed spend (including grant and other funding);
- Government grant used;
- Overall assessment (RAG rated) of whether delivery is on track.

Future evaluation requests

We will conduct an evaluation of the fund near the end of the monitoring period. To understand how the fund is being delivered in further detail, we will ask local authorities for the following information:

- How properties have been sourced (e.g. through stock acquisition or another delivery route);
- Breakdown of households housed by previous housing situation, e.g. emergency accommodation/temporary accommodation;
- Tenancy duration;
- Rent levels;
- Number of additional pledges made to provide housing for those in bridging accommodation;
- Number of properties obtained outside the local authority's area, if applicable, and where these are located.

We expect that local authorities will respond to any reasonable additional requests from the Department for Levelling Up, Housing and Communities to support any retrospective assessment or evaluation as to the impact or value for money of the fund. We will expect the authority to, at minimum, monitor spend, outputs and outcomes against agreed indicators and keep this information for at least 5 years.

We may also ask for details about how the acquired properties are being used, for example if they are still publicly owned and if they have become part of the social housing or affordable stock. This will require local authorities to maintain address-level data. This is for us to examine the legacy impacts of the fund.

4.11 Next steps and important dates

- Local authorities who have been identified as eligible for funding will be sent a link to a validation form, to confirm their interest in participating, and to set out how they intend to deliver this fund. Submissions will be reviewed as they are received and therefore forms submitted earlier may receive an earlier response.
- Local authorities must submit their validation form by 25 January 2023 via this link. Forms will only be accepted submitted by the link above. After submitting their validation forms, we encourage local authorities to email their signed MOU as soon as possible.
- In the event we have any clarification questions about the contents of a validation form, we will contact the local authority directly for further detail.
- If a validation form is accepted, we will make best endeavours to contact the local authority to confirm their allocation by 15 February 2023. We will be prepared to sign a Memorandum of Understanding with local authorities as soon as they have received the appropriate internal clearances. We expect local authorities to have signed this no later than 1 March 2023 but will work flexibly with local authorities.
- Tranche one of funding is due to happen in February/March 2023 (depending on the date the MOU is agreed), tranche two is due to happen in May or July 2023, dependent on when the local authority's spending on this fund surpasses 60% of their tranche one payment as reported during the monitoring and evaluation windows.
- Local authorities will be asked to complete a monitoring return every two months on the basis as set out in the Memorandum of Understanding and we will discuss any concerns about delivery with local authorities directly. The final monitoring return is scheduled to take place in November 2023, however we will expect monitoring returns to be completed until delivery is complete. We expect to carry out an evaluation from December 2023.
- For any questions about this fund please contact LAHF@levellingup.gov.uk.

Annex A – Validation Questions

Overview

The Local Authority Housing Fund will provide up to £500 million in capital grants to help councils obtain additional housing to accommodate the defined eligible cohort at risk of homelessness or living in bridging accommodation.

Councils' funding offer has been allocated on the basis of a formula, taking into account housing pressures and the number of recent Ukrainian arrivals.

This form applies to eligible councils in England only.

The validation form will be split into two parts, assessed and non assessed additional questions.

If you need to edit or revisit any sections of the validation form you will need to use the browser back button. Be aware that if you use the browser back button, the screen that you are currently viewing will not be saved.

Once you have submitted your validation form you will not be able to edit your response.

Please keep a copy of your answers for future reference.

After submitting your validation form, please send your completed and signed Memorandum of Understanding by email to the Local Authority Housing Fund Team via LAHF@levellingup.gov.uk.

Validation Questions

1. Are you willing and able to participate in the Local Authority Housing Fund programme?
   - Yes (form proceeds to question 3)
   - No (form proceeds to question 2)

2. Please provide further details of why you are not willing or able to participate in the programme (form proceeds to end).

3. Does the proposal you outline in this form meet the fund objectives outlined below? (Please note this is requirement of the fund and if not agreed you will not be able to participate in the fund.)

4. For the "main element" of the fund, how many homes can you acquire by 30th November 2023 (this is a target date, payments will be honoured assuming delivery within financial years 2022/23 and 2023/24)?
   Note: if you can deliver fewer than your initial allocation, your funding will be scaled down proportionally to reflect the number of homes, based on the grant per property outlined in your allocation email. If you state you can deliver more homes at this grant rate than your initial allocation, we will progress with the MoU using your initial allocation and following reallocation process, we will

confirm whether any additional funding is available to enable you to deliver more than your initial allocation.

All delivery proposals in this section should be based on the policy in section 2.1 of the prospectus and the grant per property set out in your allocation email.

5. For the "bridging element" of the fund, how many 4+ bedroom homes can you acquire by 30th November 2023 (this is a target date, payments will be honoured assuming delivery within financial years 2022/23 and 2023/24)?

   Note: if you can deliver fewer than your initial allocation, your funding will be scaled down proportionally to reflect the number of homes, based on the grant per property outlined in your allocation email. If you state you can deliver more homes at this grant rate than your initial allocation, we will progress with the MoU using your initial allocation and following reallocation process, we will confirm whether any additional funding is available to enable you to deliver more than your initial allocation.

   All delivery proposals in this section should be based on the policy in section 2.1 of the prospectus and the grant per property set out in your allocation email.

6. Do you agree to provide progress reports every 2 months until delivery is completed including Management Information (MI) and reporting against Key Performance Indicators (KPIs) as detailed in the prospectus?

   (Please note this is requirement of the fund and if not agreed you will not be able to participate in the fund.)

7. Has your Section 151 Officer or Deputy S151 Officer approved this submission?

   (Please note this is requirement of the fund and if not agreed you will not be able to participate in the fund.)

Additional non-assessed questions

The next set of questions are not assessed and will be used by the department to aid policy development and evaluation design only.

1. If the number of “main element” properties you can deliver is fewer than your allocated number, please outline the reasons for this.

2. If the number of 4+ bedroom “bridging element” properties you can deliver is fewer than your allocated number, please outline the reasons for this.

3. How do you plan on delivering your proposed/target number of homes? Please provide details of the type of stock you plan to acquire, noting the non-exhaustive list of examples provided in section 3 of the programme prospectus.

4. If your chosen delivery plan will add to existing housing in your area, please provide an estimate of the number of new homes.

5. Please provide your key milestones for delivery, including decision making timelines.

6. Based on the indicative approach(es) identified in your delivery plan above, please provide a brief overview that shows a financial projection of how and when the budget will be spent versus the timescales / number of homes to be acquired.

7. How do you intend to fund your contributory share required to secure your proposed/target number of homes? (e.g. from capital receipts, revenue, borrowing or funded by a partner?)

8. What are the key risks for delivery and how do you intend to mitigate them?

9. If this programme continued into future years using the same or a similar approach, (e.g. assuming launch in late 2023 and running for the following 12 months), how many homes could you deliver in this time period?

Guidance for completing the MOU – please delete before submitting your MOU

After submitting your validation form, please use this template to return a signed and completed MOU to us via email so that we can progress with your MOU and funding as soon as your validation form has been approved.

Please send your signed and completed MOU to: LAHF@levellingup.gov.uk

If you are agreeing to deliver the full allocation, complete the MOU using the numbers you received in your allocation email on 21 December.

If you state you can deliver *more* homes at this grant rate than your initial allocation, please complete the MOU using the numbers from your allocation email. Following the reallocation process (outlined in Sections 4.4 and 4.5 in the Prospectus), we will confirm whether any additional funding is available to enable you to deliver more than your initial allocation. We will update the MOU accordingly following the reallocations process to reflect this additional funding.

If you are agreeing to deliver a *lower* number of units than your allocation, to complete your MOU, calculate the funding amount for your specified number of units, using the average Grant per Property set out in your allocation letter – more detail is set out below on how to calculate this.

You will have received details of your LAHF allocation in an email from DLUHC on 21 December. If you would like more clarity about which number corresponds to which part of the MOU, the spaces for numbers in the MoU are labelled with letters and we have labelled the below extract of the email you received to show where these numbers can be found:

‘ *[Your Local Authority]* has provisionally been identified as eligible for capital grant funding (under section 31 of the Local Government Act 2003), with the following indicative allocation:
Main element: **(G)** in funding. With this funding we expect you to provide a minimum of **(C)** homes.
Bridging element: **(J)** in additional funding. With this funding we expect you to provide a minimum of **(D)** larger 4+ bed home(s) to be allocated to households currently residing in bridging accommodation.

[…]

Main element: properties for households that meet the eligibility criteria for this Programme
Year 1 Allocation **(E)**

Year 2 Allocation **(F)**
Total Grant **(G)**

4+ bed properties for households currently in bridging accommodation

Year 1 Allocation **(H)**

Year 2 Allocation **(I)**

Total Grant **(J)**

Total Grant

Year 1 **(K)**

Year 2 **(L)**

Total Funding **(B)** **'**

Total Units (A) can be calculated by adding together **(C)** and **(D).**

<u>Calculating funding to deliver a lower number of units than your allocation</u>
The average grant per property cannot be increased, and therefore the funding amount is based on the number of units you agree to deliver and the grant per property set out in your allocation email. The Grant per Property can be found in this section of the allocation email:
'For 'main element' housing, government funding equates to 40% of total capital costs (average **£(M)** grant per property) plus £20,000 per property. For 'bridging element' housing, government funding equates to 50% of total capital costs (average **£(N)** grant per property) plus £20,000 per property.'

Please email us if you have further questions. We will also cross check the numbers when we receive the signed MOU.

<u>Calculating funding for main element units</u>
(G) = (£20,000 plus **M**) multiplied by the number of main element units you are willing to deliver
(E) = 30% of (**G)**
(F)= 70% of (**G)**

<u>Calculating funding for bridging element units</u>
J = (£20,000 plus **N**) multiplied by the number of bridging element units you are willing to deliver
H = 30% of **J**
I = 70% of **J**

MEMORANDUM OF UNDERSTANDING

Between

Department for Levelling Up, Housing and Communities

-and-

Insert Local Authority Name

1. Purpose

1.1. This Memorandum of Understanding ('MOU') sets out the terms that will apply to the working relationship between the Department for Levelling Up, Housing and Communities ('DLUHC') and Insert Local Authority Name ('the Council') regarding the administration and delivery of the Local Authority Housing Fund ('LAHF').

1.2. This MOU will be for the period Q4 2022/23 and 2023/24. It will be reviewed and updated only where either of the signatories deem it necessary, in which case it will require joint agreement. Further detail on changing the MOU is set out in Paragraph 4.4.

1.3. This MOU sets out both the universal fund wide conditions and expectations for appropriate spend of LAHF.

1.4. This MOU is not intended to create legal or binding obligations. It describes the understanding between both parties for the use of funding specified in Section 3 of this agreement.

2. Background

2.1. The LAHF was launched on 14 December 2022. The details of the fund were shared on that date with the Council in the document 'Local Authority Housing Fund – Prospectus and Guidance' ('the Prospectus').

2.2. LAHF is a £500m capital grant fund to support local authorities in England to provide sustainable housing for those unable to secure their own accommodation that meet the eligibility criteria outlined in Section 3.2 of the Prospectus.

2.3. The objectives of LAHF are to:

- Ensure recent humanitarian schemes (Afghan and Ukraine schemes) which offer sanctuary, via an organised safe and legal entry route, to those fleeing conflict, provide sufficient longer term accommodation to those they support.

- Support areas with housing pressures which have generously welcomed substantial numbers of Ukrainian refugees so that these areas are not disadvantaged by increased pressures from these arrivals on the existing housing and homelessness systems.

- Mitigate the expected increased pressures on local authority homelessness and social housing resources which arise from the eligible cohort (as defined at section 3.2 of the Prospectus) as sponsorship/family placements/bridging accommodation arrangements come to an end by increasing the provision of affordable housing available to local authorities to support those in the cohort who are homeless, at risk of homelessness, or in bridging accommodation;

- Reduce emergency, temporary and bridging accommodation costs;

- Deliver accommodation that as far as possible allows for the future conversion of housing units to support wider local authority housing and homelessness responsibilities to UK nationals (i.e. after usage by this cohort ends);

- Utilise accommodation solutions to enable effective resettlement and economic integration of the eligible cohort;

- Reduce pressures on the existing housing and homelessness systems and those waiting for social housing.

2.4. DLUHC has accepted the Council's plan to provide TOTAL UNITS (A) homes ('the delivery target') under LAHF, and DLUHC will provide a grant of TOTAL ALLOCATION (B) ('the total allocation'). The Council agrees the following targets to deliver at least:

- MAIN ELEMENT TOTAL UNITS (C) properties for households that meet the eligibility criteria outlined in section 3.2 of the Prospectus ('the main element');
- BRIDGING ELEMENT TOTAL UNITS (D) 4+ bed properties to be allocated to households currently in bridging accommodation ('the bridging element');

2.5. This MOU covers the funding commitments from DLUHC and the delivery, financial expenditure, agreed milestones, reporting and evaluation, and communications between the Parties. It also sets out the steps DLUHC could take in the event of underperformance if required.

3. Purpose of the Funding

3.1. LAHF funding has been provided specifically for spending on LAHF priorities and the Council agrees to spend LAHF funding on activity set out

in this MOU as agreed by DLUHC or subsequently agreed by DLUHC as per Paragraph 4.4.

3.2. DLUHC will part fund the cost of the Council obtaining properties for use by households that meet the eligibility criteria. The Council will use its best endeavours to meet the delivery target and to achieve value for money. DLUHC's contributory share of funding ('the average grant rate per unit') should not exceed the maximum described below but the grant per unit for individual properties can be higher.

3.3. The maximum average grant rate per unit (for the portfolio of properties, not individual purchases) for the main element is 40% of the costs the council charges to its capital budget plus £20,000 per property. Eligible costs funded by the 40% and the £20,000 per property could include the purchase price, stamp duty, surveying, legal and other fees, refurbishments, energy efficiency measures, decoration, furnishings, or otherwise preparing the property for rent and potentially irrecoverable VAT incurred on these items. The Council should ensure it complies with the Code of Practice for Local Authority Accounting.

3.4. The maximum average grant rate per unit (for the portfolio of properties, not individual purchases) for the bridging element is 50% of the costs the council charges to its capital budget plus £20,000 per property. Eligible costs funded by the 50% and the £20,000 per property could include the purchase price, stamp duty, surveying, legal and other fees, refurbishments, energy efficiency measures, decoration, furnishings, or otherwise preparing the property for rent and potentially irrecoverable VAT incurred on these items. The Council should ensure it complies with the Code of Practice for Local Authority Accounting.

3.5. The Council can determine how it uses the £20,000 per property and can choose how much of the grant is to be spent on each individual property.

3.6. The Council or its delivery partner(s) will fund the outstanding share for each property.

3.7. The funding provided by DLUHC in Q4 2022/23 ('the Year 1 allocation') is 30% of the total allocation. The funding provided by DLUHC in 2023/24 ('the Year 2 allocation') is 70% of the total allocation. Both are set out in Table 1.

	Year 1 allocation £ (million)	**Year 2 allocation £ (million)**	**Total allocation £ (million)**
Properties for households that meet the eligibility criteria for this Programme	INSERT MAIN ELEMENT GRANT COST YEAR 1 (E)	INSERT MAIN ELEMENT GRANT COST YEAR 2 (F)	INSERT MAIN ELEMENT COST TOTAL (G)

4+ bed properties for households currently in bridging accommodation	INSERT BRIDGING GRANT COST YEAR 1 (H)	INSERT BRIDGING GRANT COST YEAR 2 (I)	INSERT BRIDGING COST TOTAL (J)
Total funding	**INSERT YEAR 1 ALLOCATION (K)**	**INSERT YEAR 2 ALLOCATION (L)**	**INSERT TOTAL ALLOCATION (B)**

Table 1 – Funding allocation

4. Delivery Profile

4.1. Delivery of the fund will be measured on the basis of exchange of contracts, or equivalent milestone where exchange of contract will not occur, and number of families housed. Any variations to this, and necessary changes to the MOU will need to be agreed by the parties and an amendment to this MOU made.

4.2. Funding outlined in Table 1 is provided to deliver the delivery target. The Council agrees to make best endeavours to deliver the delivery target by 30 November 2023. DLUHC is committed to funding any contract the Council enters into, even if completion occurs after this date.

4.3. This MOU is for the full term of the total allocation unless signatories agree to change as per Paragraph 4.4. A further Grant Determination Letter (GDL) will be provided following confirmation of the annual payment for each year.

4.4. DLUHC and the Council both have the right to request a change to the MOU. With regards to changing the target amount of units, the Council may ask for either a higher or lower target. Any proposed change will impact the amount of funding received (as set out in the Prospectus) unless the Council is seeking to deliver more units for the same amount of money. Requests will be considered based on the progress of the reallocations process as outlined in Sections 4.4 and 4.5 of the Prospectus and confirmed in writing.

5. Financial Arrangements

5.1. The agreed funds will be issued to the Council as grant payments under section 31 of the Local Government Act 2003. The Council may pass on the funding to a third party (e.g. Registered Providers) as appropriate to deliver the delivery target, complying with the Subsidy Control Act 2022.

5.2. Table 2 sets out the timetable for payments to be made to the Council. Payment of the Year 1 allocation will be made in February 2023. The Year 2 allocation will be paid once the Council has demonstrated that at least 60% of the Year 1 allocation has been committed ('the spend requirement'). This will be paid in line with timings outlined in Table 2.

5.3. Should the Council not meet the spend requirement in time for payment in May 2023, the payment for the Year 2 allocation may then be made in July 2023 should the Council meet the spend requirement in time for that payment date as set out in Table 2. DLUHC will put in place further payment dates should the Council not meet the spend requirement for payment in July 2023 and will confirm any further dates in writing. The Council may wish to return unspent monies to the Department.

Payment month	**February 2023**	**May 2023**	**July 2023 (if applicable)**
MI from the Council to support payment	• Signature of this MOU before the date below.	• April MI Touchpoint • S151 officer statement of grant usage in April	• June MI Touchpoint • S151 officer statement of grant usage in June
DLUHC confirm payment latest by	15 February	10 April	8 June
DLUHC make payment	By the last working day in February	By the last working day in May	By the last working day in July

Table 2 – Payments timetable

6. Roles and Responsibilities

DLUHC Responsibilities

6.1. DLUHC is responsible for setting national housing policy, providing grant(s) to the Council and monitoring the delivery of homes.

Council Responsibilities

6.2. The Council will make housing investment decisions, review existing housing policies and products, maximise leverage of this public sector investment and ensure that funds provide value for money and are deliverable within the timescale of the fund. The Council may work in partnership with private Registered Providers and local authority housing companies to deliver homes. The Council will also report on the fund by providing Management Information (MI) as set out in **Annex A** of this MOU and will work with DLUHC to ensure they have the capability to deliver the fund and provide MI within the set timescales.

6.3. The Council is expected to have the necessary governance and assurance arrangements in place and that all legal and other statutory obligations and consents will be adhered to, which may include, but not solely:

- **subsidy control**, at all levels e.g. the funding the Council allocates to project deliverers and subsidies that project deliverers provide to third parties.

- **equalities duties**, the Council must ensure that all LAHF funded activity is delivered in accordance with its obligations under the public sector equality duty (PSED)

- **procurement**, the Council must ensure that the allocation of funding to project deliverers that constitutes a procurement is managed in compliance with the public contract regulations

- **fraud**, the Council must ensure that robust arrangements are in place to manage fraud risk, including ensuring that project deliverers have robust fraud risk management process and paying particular attention to projects that involve the payment of grants to beneficiaries e.g. businesses.

6.4. The Council's Section 151 Officer is expected to ensure that these legal duties and all other relevant duties are considered and that delivery of LAHF investment is carried out with propriety, regularity and value for money.

7. Monitoring Arrangements and Accountability

7.1. The Council will put in place appropriate governance and oversight arrangements to ensure that delivery of housing is on track and that plans remain ambitious and provide value for money.

Reporting Arrangements

7.2. The Council has agreed toprovide reporting information to DLUHC on fund allocations and delivery. The Council will be asked to provide a mix of quantitative and qualitative summary updates to DLUHC; a full list of MI can be found in **Annex A**.

7.3. The first report will be due in April 2023 and then every two months thereafter, until the Council's programme has completed. The schedule for monitoring reports is outlined in **Annex B**.

7.4. Spend outturn and forecast should be signed off by the S151 officer or deputy S151 officer.

7.5. The Council also agrees to work with the department to provide any reasonable additional MI as and when requested by the DLUHC Senior

Reporting Officer (SRO). DLUHC will provide an appropriate amount of time to return any additional MI requests.

7.6. The Council agrees to work collaboratively with any requests from DLUHC to support any retrospective assessment or evaluation as to the impact or value for money of LAHF. As a minimum, the Council is expected to monitor spend, outputs and outcomes against agreed indicators and keep this information for at least 5 years.

8. Governance & Assurance

8.1. The Council is expected to ensure that all legal and other statutory obligations and consents will be adhered to, which may include, but not solely, state aid / subsidy control, equalities duties, procurement, health and safety, and fraud prevention. The Council has prerogative to establish internal governance and assurance arrangements as they see fit to achieve this.

8.2. The Council will ensure data can be shared for the prevention and detection of fraud by including the following clause in all agreements with companies or external entities in relation to LAHF – including, but not limited to, property contracts, professional services contracts, construction contracts and lease agreements:

"Data may be shared with other enforcement agencies for the prevention and detection of crime."

Signed for and on behalf of DLUHC

Signature:

Name:
Position: Date:

Signed for and on behalf of Insert Local Authority Name

Signature:

Name:
Position: Date:

Annex A – Reporting and Monitoring Arrangements

Scope and Purpose

1. This annex sets out the agreed reporting and monitoring arrangements for LAHF, including the expected frequency and content of the regular reports that the Council will provide to DLUHC.

DLUHC Role

2. DLUHC will support the running of the fund and maintain a national picture of delivery by putting in place a proportionate monitoring and governance framework. This will include a fund governance board(s) attended by the DLUHC Senior Reporting Officer (SRO) and other relevant stakeholders. Wherever possible DLUHC will avoid duplication of requests towards the Council.

Council Role

3. Day-to-day project monitoring and delivery responsibilities will be delegated to the Council. The Council will submit reports to DLUHC in accordance with the agreed timescales and frequency set out in the MoU. The Council will also work with DLUHC to provide any reasonable additional MI required as and when requested by the DLUHC Senior Reporting Officer. DLUHC will provide an appropriate amount of time to return any additional MI requests.

Management Information (MI)

4. The list of MI is split between operational data – required for monitoring the ongoing fund delivery (Table 3) and evaluation data (Table 4) required to assess the strategy-level success of the fund and inform future policy development. Tables 4 and 5 present the required routine MI and is subject to change, with agreement by DLUHC and the Council. For MI purposes, “committed spend” is considered funding which has been allocated to a property where there has been an exchange of contracts or equivalent milestone where exchange of contract will not occur.

Item	Frequency
No. of offers accepted, including bedroom size and whether these are part of the ‘main’ or ‘bridging’ element of funding	Every 2 months
No. of properties where contracts exchanged, including bedroom size	Every 2 months
No. of properties occupied, including bedroom size	Every 2 months
Number of families housed, including which resettlement programme they belong to	Every 2 months
Number of individuals housed, including which resettlement programme they belong to	Every 2 months
Total expenditure (incl grant and other funding)	Every 2 months
Total committed spend (incl grant and other funding)	Every 2 months
DLUHC grant used	Every 2 months
Overall assessment (RAG rated) of whether delivery is on track as determined by the responsible Council officer	Every 2 months

Table 3 – Monitoring Data

Item	Frequency
How properties have been sourced (e.g. through stock acquisition or another delivery route)	In December 2023 and thereafter upon request to aid with evaluation of the fund
How the Council has funded its contributory share	
Breakdown of households housed by previous housing situation, e.g. emergency accommodation/temporary accommodation	
Tenancy duration	
Rent levels	
Number of additional pledges made to provide housing for those in bridging accommodation	
Number of properties obtained outside the local authority's area, if applicable, and where these are located.	
Evaluation of additional pledges, number of individuals houses, number of properties occupied.	

Table 4 – Evaluation Data

5. In addition, to enable the assessment of relative value for money and to assist with future spending reviews, we may occasionally ask for additional information including details of how the fund is delivered and housing market conditions. This will provide important data to support future policy developments and will also support engagement with HM Treasury. This information will be provided to agreed timeframes when requested by DLUHC.

6. Should the Council wish to amend and/or not collect any of these proposed data points, they should submit a proposal to DLUHC for agreement.

Frequency of Reporting

7. The Council will be asked to provide reports every two months. The schedule for monitoring reports is outlined in Annex B.

Data Consistency

8. DLUHC and the Council have a shared commitment to ensure that, for clarity and transparency purposes, consistent methods of recording outputs are maintained. It is expected that the provided reporting will be robust, accurate and quality assured to a high standard. As such minimal revisions would be expected – although, where these are required, DLUHC should be advised as soon as practical.

Use of Material Provided

9. DLUHC will use the provided material to monitor delivery nationally.

Annex B – Monitoring Milestones

Date	Milestone
February 2023	Payment of the Year 1 allocation
April 2023	MI touchpoint
May 2023	Payment of the Year 2 allocation
June 2023	MI touchpoint
July 2023	Payment of the Year 2 allocation if the spend requirement for payment in May was not met.
August 2023	MI touchpoint
October 2023	MI touchpoint
30 November 2023	The Council agrees to make best endeavours to deliver the delivery target by 30 November 2023.
December 2023	Final MI touchpoint following 30 November 2023. DLUHC-led evaluation of LAHF begins.

Title of proposed EIA	Local Authority Housing Fund (LAHF) Grant to Support Acquisition of Accommodation for Refugees from Ukraine and Afghanistan
Reference No	EQUA1047
EA is in support of	Amended Service
Review Frequency	No preference
Date of first review	30/11/2023
Directorate	City Housing
Division	Housing Solutions and Support
Service Area	Homelessness Property Acqusistions
Responsible Officer(s)	☐ Tim Gray
Quality Control Officer(s)	☐ Kieran Cronin
Accountable Officer(s)	☐ Gary Messenger
Purpose of proposal	To obtain cabinet approval to bid for and accept grant to support acquisition of properties to accommodate Ukrainian and Afghan refugees
Data sources	relevant reports/strategies; relevant research
Please include any other sources of data	
ASSESS THE IMPACT AGAINST THE PROTECTED CHARACTERISTICS	
Protected characteristic: Age	Service Users / Stakeholders
Age details:	No negative impact identified. Provision of better quality, more settled accommodation for refugee families will improve the life chances of the children within those families
Protected characteristic: Disability	Service Users / Stakeholders
Disability details:	No negative impact identified. Some members of the

	families accommmodated will have disabilties. Provision of better quality, more settled accommodation for refugee families will improve the life chances of people with disabilities within those families, especially where it is possible to make appropriate adaptations.
Protected characteristic: Sex	Service Users / Stakeholders
Gender details:	It is likely that many of the families accommodated will be single parent families led by women, especially those who have left Ukraine. Provision of better quality, more settled accommodation for refugee families will improve the life chances of women within those families.
Protected characteristics: Gender Reassignment	Not Applicable
Gender reassignment details:	No impact identified
Protected characteristics: Marriage and Civil Partnership	Not Applicable
Marriage and civil partnership details:	No impact identified
Protected characteristics: Pregnancy and Maternity	Not Applicable
Pregnancy and maternity details:	
Protected characteristics: Race	Service Users / Stakeholders
Race details:	This programme is specifically targeted at refugees from Afghanistan and Ukraine and will have a positive impact on those communities through provsion of better quality, more settled accommodation
Protected characteristics: Religion or Beliefs	Not Applicable
Religion or beliefs details:	
Protected characteristics: Sexual Orientation	Not Applicable
Sexual orientation details:	

Socio-economic impacts	Purchasing accommodation to accommodate homeless families from Ukraine and Afghanistan will enable those families to move on from B&B, Homelessness Centres or Home Office Bridging Accommodation into good quality self contained family sized accommodation, improving coditions and life chances for all family members.
Please indicate any actions arising from completing this screening exercise.	None
Please indicate whether a full impact assessment is recommended	NO
What data has been collected to facilitate the assessment of this policy/proposal?	
Consultation analysis	
Adverse impact on any people with protected characteristics.	
Could the policy/proposal be modified to reduce or eliminate any adverse impact?	
How will the effect(s) of this policy/proposal on equality be monitored?	
What data is required in the future?	
Are there any adverse impacts on any particular group(s)	No
If yes, please explain your reasons for going ahead.	
Initial equality impact assessment of your proposal	
Consulted People or Groups	
Informed People or Groups	
Summary and evidence of findings from your EIA	Purchasing accommodation to accommodate homeless families from Ukraine and Afghanistan will enable those families to move on from B&B, Homelessness Centres or Home Office Bridging Accommodation into good quality self contained family sized accommodation, improving coditions and life chances for all family members.

QUALITY CONTORL SECTION

Submit to the Quality Control Officer for reviewing?	No
Quality Control Officer comments	Reviewed and approved - minor typos corrected
Decision by Quality Control Officer	Proceed for final approval
Submit draft to Accountable Officer?	Yes
Decision by Accountable Officer	Approve
Date approved / rejected by the Accountable Officer	16/01/2023
Reasons for approval or rejection	
Please print and save a PDF copy for your records	Yes

Content Type: Item
Version: 30.0
Created at 16/01/2023 03:47 PM by Tim Gray
Last modified at 16/01/2023 04:37 PM by Workflow on behalf of Gary Messenger

Close

Environment and Sustainability Assessment

Project Title: Local Authority Housing Fund (LAHF) Grant to Support Acquisition of Accommodation for Afghan Citizens and Ukrainian Guests				
Department: City Housing	**Team:** Housing Solutions		**Person Responsible for assessment:** Tim Gray	
Date of assessment: 16/1/2023	**Is it a new or existing proposal?** New, but relates to existing homelessness property acquisition scheme			
Brief description of the proposal: DLUHC Capital Grant to subsidise acquisition of street properties to accommodate Afghan citizens and Ukrainian guests				
Potential impacts of the policy/development decision/procedure/ on:	**Positive Impact**	**Negative Impact**	**No Specific Impact**	**What will the impact be? If the impact is negative, how can it be mitigated, what action will be taken?**
Natural Resources- Impact on natural resources including water, soil, air			x	
Energy use and CO_2 emissions	x			Some acquired properties will have works done to improve energy efficiency prior to letting. All properties will be brought up to at least an EPC C rating. Works to achieve this may include replacement of single glazed windows with double glazed, replacement UPVC windows, replacement of old boilers with ASHP or AAA boilers, replacement of radiators, roof repairs.
Impact on local green and open spaces and biodiversity			x	
Use of sustainable products and equipment			x	
Minimising waste			x	

Council plan priority: a city that takes a leading role in tackling climate change			x	
Overall conclusion on the environmental and sustainability impacts of the proposal	The proposal involves purchase and, if necessary, renovation and repair of existing properties, which will then be let as temporary accommodation. Environmental impact will either be neutral or positive where the energy efficiency of properties is improved.			

If you require assistance in completing this assessment, then please contact: ESAGuidance@birmingham.gov.uk

Birmingham City Council
Report to Cabinet

14 February 2023

Subject:	Hackney Carriage and Private Hire Policy
Report of:	Mark Wiltshire, Interim Strategic Director of City Operations
Relevant Cabinet Member:	Councillor Liz Clements, Transportation
Relevant O &S Chair(s):	Councillor Akhlaq Ahmed -, Resources Overview and Scrutiny Committee
Report author:	Emma Rohomon Licensing Manager Telephone No: 0121 303 9780 Email Address: emma.rohomon@birmingham.gov.uk

Are specific wards affected?	☐ Yes	☒ No – All wards affected
Is this a key decision? If relevant, add Forward Plan Reference: 010701/2023	☒ Yes	☐ No
Is the decision eligible for call-in?	☒ Yes	☐ No
Does the report contain confidential or exempt information?	☐ Yes	☒ No

1. Executive Summary

1.1 The Department for Transport Statutory Taxi and Private Hire Vehicle Standards require the City Council to publish a standalone Hackney Carriage and Private Hire Policy.

1.2 This Policy is the result of a consolidation of existing policies and a regularisation of those policies with the statutory requirements.

2. Recommendations

2.1 That Cabinet consider and approve the Policy, including the new paragraph, as outlined in paragraph 4.4 below.

3. Background

3.1 In July 2020 the Department for Transport published the Statutory Taxi and Private Hire Vehicle Standards document.

3.2 The document sets out certain standards which Licensing Authorities are expected to comply with. These standards have been drawn up as a result of discussions with the trade, regulators and safety campaign groups. They focus on protecting children and vulnerable adults.

3.3 Paragraph 1.3 of the document clearly states: "The Department…expects these recommendations to be implemented unless there is a compelling reason not to do so."

3.4 One of the main recommendations is the implementation of a standalone policy which can be subject to regular review. Other recommendations have required a change in internal processes within the licensing service and others will require amendments to licence conditions.

3.5 In previous years, policies regarding hackney carriage and private hire matters have been incorporated into the body of the Policies Procedures and Delegations report, which is presented to Licensing and Public Protection Committee annually.

4. The Policy

4.1 This draft policy (Appendix 1) has been produced by consolidating the pre-existing policies into a single document, incorporating links to the relevant web pages and other information to provide a practical and useful means of demonstrating the Council's approach to the licensing of the hackney carriage and private hire trade.

4.2 The document consolidates existing policies and makes the necessary updates to ensure compliance with the statutory guidance, recent legislation and to reflect the new licensing system.

4.3 Incorporating this information into a single document allows for greater transparency and clarity for the trade and the public. The document will be published on the website and will be subject to regular review.

4.4 Following the '*Electric Hackney Carriage Vehicle Conversions'* report presented to Licensing and Public Protection Committee on 21 September 2022, an additional paragraph to section 3.11 of the policy is proposed to address these issues:

TX type hackney carriage full conversions (complete power-train replacement to fully electric) will be licensed up to a maximum of 18 years from the date of conversion (rather than date of first registration)

4.5 In recognition of the significant cost incurred, and the inherent longevity of design of the vehicles, in cases where a purpose built (TX type) hackney carriage vehicle has had a complete replacement power-train to become a fully electric vehicle, the vehicle age will be taken to be that of its conversion rather than the date of first registration.

4.6 The MOT and supplementary tests are designed to address any issues concerning mechanical and cosmetic standards.

4.7 The supplementary test includes (but is not limited to) the following reasons for failure:

- Corrosion or damage to the vehicle body or structure, which adversely affects the appearance and / or safety of the vehicle.
- Generally poor damaged paintwork to the vehicle.
- Two-tone paintwork, which is not to manufacturers specification.
- Paintwork dirty/dull/ /faded/mismatched/crazed/
- Peeling or badly re-sprayed
- Visible rust/bubbled paintwork
- Visible dents/creasing/scratches
- Unrepaired, or poorly repaired damage
- Exterior trim missing, damaged or mismatched

- Upholstery dirty/stained/badly worn
- Upholstery holed/ripped/poorly repaired
- Carpets/mats improperly fitted/loose/danger of trip hazard
- Carpets/mats dirty/stained/ badly worn
- Carpets/mats holed/ripped/poorly repaired
- Headlining holed/ripped/poorly repaired
- Headlining dirty/stained
- Arm rests missing/damaged/mismatched
- Interior trim/door panels missing/damaged/mismatched
- Evidence of damp or strong, or unpleasant odours
- Faulty interior light fitting, faulty interior light switch, or faulty door switch

4.8 As this amendment relates to a fully electric replacement power train it will have no detrimental impact on the Clean Air Zone.

4.9 The final version of the Policy document will be formatted in a manner suitable for online publication, with appropriate links to appendices rather than reproducing the documents in their entirety within the document.

5.0 **Consultation**

5.1 As stated above, the draft document consolidates existing policies and makes the necessary updates to ensure compliance with the statutory guidance, recent legislation.

5.2 In Spring 2022 a consultation was carried out via Be Heard on the changes required to bring policies in line with the DfT Statutory Guidance. This consultation presented no compelling reasons to deviate from the statutory requirements.

5.3 Future amendments will require further reports to be brought before the Committee, Cabinet Member or to City Council and will be subject to appropriate consultation.

5.4 The draft policy was presented to Licensing and Public Protection Committee on 17th November 2022 for consideration and noting. No amendments were proposed.

6. Risk Management

6.1 In July 2020 the Department for Transport published the Statutory Taxi and Private Hire Vehicle Standards document.

6.2 This Statutory Guidance sets out certain standards which Licensing Authorities are expected to comply with. These standards have been drawn up as a result of discussions with the trade, regulators, and safety campaign groups. They focus on protecting children and vulnerable adults.

6.3 Paragraph 1.3 of the document clearly states: "The Department…expects these recommendations to be implemented unless there is a compelling reason not to do so." (emphasis added).

6.4 Failure to implement the Statutory Guidance could lead to challenge to the existing policies in place.

7.0 Compliance Issues

7.1 How are the recommended decisions consistent with the Council's policies, plans and strategies?

7.1.1 Council Plan

7.1.2 The Council's vision is that we will help make Birmingham **a city where all citizens share in the creation and benefits of sustainable economic growth and can live longer, healthier, and happier lives.**

This vision underpins everything we do, whether that's setting our priorities, making decisions or delivering services. There are five outcomes to achieve that vision.

- *A Bold Prosperous Birmingham*
- *A Bold Inclusive Birmingham*

• *A Bold Safe Birmingham*
• *A Bold Healthy Birmingham*
• *A Bold Green Birmingham*

7.1.3 The provision of hackney carriage and private hire transport offers reduced personal car use and employment of people who support delivery of this service. Use of hackney carriages and private hires increases the safety of lone travelers especially at night. This policy therefore contributes to a bold prosperous, safe, healthy and green Birmingham.

7.2 **Legal Implications**

7.2.1 As per paragraph 8 above,-failure to implement the Statutory Guidance could lead to challenge to the existing policies in place

7.3 **Financial Implications**

7.3.1 There are no financial implications for the Council. The work is undertaken by existing officer resource and no additional budget is required for this. The cost of administering the hackney carriage and private hire licence service is funded through licence fee income on a cost recovery basis.

7.4 **Procurement Implications**

7.4.1 No procurement issues have been identified

7.5 **Human Resources Implications**

7.5.1 All human resource issues will be within existing officer resource.

7.6 **Public Sector Equality Duty**

7.6.1 Under the Duty we must have regard to the need to:

- Eliminate unlawful discrimination, harassment, and victimisation and other conduct prohibited by the Act.
- Advance equality of opportunity between people who share a protected characteristic and those who do not.
- Foster good relations between people who share a protected characteristic and those who do not.

7.6.2 The recommendations contained in this report will not have any effect on any of our duties under the Equality Act 2010. Any future changes to policy will be subject to separate consideration of this duty.

7.6.3 For the reasons set out in paragraph 4, it is considered an initial Equality Analysis is not deemed appropriate or necessary.

Appendices

Appendix 1 – Draft Policy Document
Appendix 2 - Environment and Sustainability Assessment
Appendix 3 – EIA

(Draft) Hackney Carriage and Private Hire Licensing Policy.

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0.1. Purpose and scope

As the Licensing Authority Birmingham City Council is responsible for regulating the hackney carriage and private hire trades ('the trade') operating in the district under both the Town Police Clauses Act 1847 and the Local Government (Miscellaneous Provisions) Act 1976.

Over the years the council has developed various bylaws, policies, conditions and guidelines all relating to these subject areas. The purpose of this document is to unify all elements relating to the hackney carriage and private hire trade into a single document.

Subjects covered by this document include: the suitability of applicants (vehicles and people); the application process; requirements such as training and medicals; licence conditions and bylaws; the expectations we have in terms of the standards demonstrated by licence holders and dealing with any matters arising during the course of the licence.

This policy does not seek to replicate or supersede the primary or secondary legislation, it has been devised with reference to existing policies conditions and bylaws as well as the applicable statutory guidance and other best practise guidance available.

The primary objective of the licensing authority is to ensure public safety. By consistent, fair, and transparent procedures and processes, the licensing authority endeavours to ensure that the public can feel confident and safe when using either a hackney carriage or a private hire vehicle.

Every application every decision and every decision regarding enforcement action will be considered on its own merits.

The licensing authority may depart from the policy but only following careful consideration of the circumstances and will provide clear and detailed reasons for any such departure.

Decisions of the licensing authority are made on the balance of probability, and in accordance with the Scheme of Delegations at Annex A.

This policy relates to the following licence types:

- Private hire driver
- Private hire vehicle
- Private hire operator
- Hackney carriage driver
- Hackney carriage vehicle

This Policy is the Council's Hackney Carriage and Private Hire of Licensing Policy. It will be reviewed, updated and modified as and when the Council considers appropriate.

Technical amendments to correct errors brought about by legislative or other administrative change (such as change of address details or references to Guidance), and to update document links will be effected by officers of the Licensing and Public Protection Committee and tracked by way of version control.

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0.2. Consultation

This initial document seeks to amalgamate a number of pre-existing policies and incorporate them into a single document. At this time no wider consultation has been carried out. However, when considering the implementation of future policies the licensing authority will seek to carry out meaningful consultation with interested parties. The question of who would be considered an interested party may vary according to the subject in issue. Those consulted would not be limited to licence holders but may also include representatives from customers the night-time economy disability access groups etc. Consultations will be posted on BeHeard[1], the Council's consultation hub.

0.3. The Licensing Function.

The licensing function of Birmingham City Council is delegated to the Licensing and Public Protection Committee through the constitution. The licensing and public protection committee comprises 15 members. The constitution delegates certain functions to the committee and also to the officers of the licensing service.

0.4. Public Sector Equality Duty.

Under this Duty, the council must, in exercising our functions, have due regard to the need to:

1.Eliminate discrimination, harassment, victimisation, and any other conduct that is prohibited under the Act.

2.Advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it.

3.Foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

It is important that the council considers how its decisions advance equality, inclusion, and diversity by removing or minimising disadvantages experienced by people because of their protected characteristics.

The protected characteristics covered by the Equality Act 2010 are: age, race, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, religion, or belief (including lack of belief), sex, sexual orientation.

1. Information Sharing

1.2 Sharing information - with the trade.

The licensing service has recently procured a new software system which will facilitate communications with licence holders and applicants via email, although it will take some time before email addresses are on file for all.

The email address an applicant/licence holder provides on their application will be used to communicate with them about all aspects of their licence/application. Those who do not have their own email address are advised to look at the many providers who can provide a free account such as

[1] www.birminghambeheard.org.uk/

Gmail, Outlook, AOL, or Yahoo. Applicants/ licence holders who change email address MUST let the licensing service know as soon as possible including their new and previous email addresses to enable the records to be updated.

The licensing service has a 'blog' page on the website, where updates and useful information can be found, Taxi and private hire bulletin[2] as well as a twitter account @BCCLicensing

1.3 Sharing information – Privacy Notice

The Council is the Data Controller of the information provided as part of the licence process and we have a statutory duty to collect and process this information to be compliant with the Local Government (Miscellaneous Provisions) Act 1976. This is as part of our obligations as a Local Authority to ensure whether a person is 'fit & proper' to hold a taxi and/ or private hire licence. This also includes processing information on medical checks, DBS checks and DVLA and HMRC checks etc. If necessary, the Council may pass details to the Home Office in order to make further enquiries regarding your immigration status and right to work in the UK. In addition, the Home Office may request that we supply them with copies of your documentation in relation to immigration and right to work enquiries. Applicants who cannot produce the necessary evidence should be aware that their details may be passed to the Home Office and that the Home Office may also pass your details to other Government bodies such as the DVLA in relation to immigration matters. We may also share information with other third parties where required by law for the detection and prevention of crime. The personal information you provide will be held for the duration of your licence from the date of receipt, after which it will be securely destroyed 6 years after the expiry, surrender or revocation of your final licence, in line with our retention policy (except in the event of an appeal or judicial inquiry, in which case it will be retained for as long as is required to determine these matters). The Council's corporate privacy notice[3], includes details of the authority's Data Protection Officer, and your Information Rights.

Certain information is required by law to be published in a PUBLIC REGISTER. The registers will be available either by publication online, or upon request. The public registers can be found online[4].

1.4 Sharing information – disclosures by the applicant/licensee

The application process requires the applicant to make disclosures concerning previous convictions, cautions or fixed penalty notices, as well as demonstrating their medical fitness, right to work, tax compliance and evidence of suitably completing certain pre-requisite tests.

The purpose of these declarations is to assist the licensing authority in their duty to ensure any person to whom they grant a taxi or private hire vehicle driver's licence is a 'fit and proper' person to be a licensee.

All existing licence holders shall notify the licensing authority of any motoring or criminal convictions or cautions received during their licence period by submitting a report within 72 hours.

[2] www.birmingham.gov.uk/blog/tph-bulletin
[3] www.birmingham.gov.uk/privacy
[4] https://licensing.birmingham.gov.uk/

Failure to inform the licensing authority of any convictions, cautions and fixed penalty notices during the licensing period may result in suspension or revocation of the licence.

2 People (Drivers and Operators)

2.1 Previous convictions/relevant information

In considering an individual's criminal record, licensing authorities must consider each case on its merits, but they should take a particularly cautious view of any offences against individuals with special needs, children, and other vulnerable groups, particularly those involving violence, those of a sexual nature and those linked to organised crime. To achieve consistency, and to mitigate the risk of successful legal challenge, licensing authorities should have a clear policy for the consideration of criminal records. This should include, for example, which offences would prevent an applicant from being licenced regardless of the period elapsed in all but truly exceptional circumstances. In the case of lesser offences, a policy should consider the number of years the authority will require to have elapsed since the commission of particular kinds of offences before they will grant a licence. (DfT Statutory Taxi and Private Hire and Vehicle Standards 2020[5], para 5.15)

Licensing authorities must make difficult decisions but (subject to the points made in paragraph 5.4) the safeguarding of the public is paramount. All decisions on the suitability of an applicant or licensee should be made on the balance of probability. This means that an applicant or licensee should not be 'given the benefit of doubt'. If the committee or delegated officer is only "50/50" as to whether the applicant or licensee is 'fit and proper', they should not hold a licence. The threshold used here is lower than for a criminal conviction (that being beyond reasonable doubt) and can take into consideration conduct that has not resulted in a criminal conviction. (DfT Statutory Taxi and Private Hire and Vehicle Standards 2020, para 5.15)

The Rehabilitation of Offenders Act 1974 (as amended) does not apply to hackney carriage and private hire drivers in terms of considering offences to be 'spent'. However, there will be certain offences which will become 'protected' convictions. These include certain older or minor offences.

Protected convictions cannot be considered by the Licensing Authority when determining suitability. Further information on protected convictions can be found on gov.uk[6]

Existence of a conviction or other information does not automatically lead to a determination an applicant is not 'fit and proper'. The Licensing Authority must be satisfied that a person is fit and proper – but, similarly, there must be a justifiable reason as to why someone would be determined unsuitable. If a person fails to provide satisfactory evidence they are 'a fit and proper person' or if there is good reason to question or doubt the evidence provided, then this can amount to good reason to refuse, revoke, or suspend a licence.

Where a licence is revoked, suspended or refused renewal, the licensing service will inform any Operator of this change in status. The REASON for any status change will NOT be disclosed.

The licensing authority may share personal information internally (including the Birmingham Children's Trust) and to check the information an individual provides for accuracy and to detect

[5] www.gov.uk/government/publications/statutory-taxi-and-private-hire-vehicle-standards
[6] www.gov.uk/government/publications/dbs-filtering-guidance/dbs-filtering-guide.gov.uk

criminal activity. The licensing authority may share personal information with other statutory/regulated authorities or if it is required by law. Other parties may include the Department for Work and Pensions, Home Office, Police, National Crime Agency, DVLA, HM Revenues and Customs, and other local authorities.

The licensing authority reserve the right to use any information available to assist in reaching a decision whether to grant or renew a licence, this includes previous complaints or concerns as to conduct dealt with by the enforcement team.

The convictions policy is attached at Appendix 1

2.2 National Register of Refusals and Revocations (NR3)

NR3 was commissioned by the Local Government Association (LGA) as a voluntary register. Licensing authorities are responsible for adding basic details of drivers who have had applications for a licence either refused, revoked, or suspended.

When a licensing authority receives an application for a licence, the applicant's details will be checked on the register to confirm that there is no record of them having been revoked or refused elsewhere. Details contained on the register will be limited to information that will help to identify an individual to a certain degree of accuracy but will not give a reason why actions were taken. It will be up to individual authorities to follow up on any searches they make which come back with a match.

Birmingham City Council Licensing Service is committed to engaging with the NR3 system (subject to relevant data protection considerations). Information received through this system will be considered as part of an applicant/licence holder's suitability determination.

2.3 Police Disclosures – Common Law Police Disclosures (CLPD)

Where the police determine there is a 'pressing social need' they will disclose information to a licensing authority. This may be information relating to an arrest, a charge, conviction, or any other information deemed to be relevant for the consideration of the person's fitness to hold a licence.

Upon receipt of this information, the Licensing Authority will take urgent steps to ensure the information is followed up appropriately.

2.4 Disclosure and Barring Service Checks (DBS) etc

Hackney carriage and private hire drivers (and applicants) are required to have an ENHANCED DBS, carried out against the 'OTHER WORKFORCE taxi/ private hire driver ' workforce, including the CHILD and ADULT barred lists.

We cannot accept DBS checks carried out for any other purpose (such as those against the 'CHILD workforce'.

These disclosures include, not only all relevant convictions (live and spent - - subject to protected status as stated above) but also other non-conviction data as provided by the police.

An applicant for the grant of or renewal of an operator's licence will be asked to disclose details of any (non-protected) previous convictions and to provide a basic DBS. Applicants for the grant of an

operator's licence will also be asked for details of any previous experience working within the private hire industry including any other licences held, either currently or previously and whether any such licence has ever been revoked, refused, or suspended for any reason.

All applicants must subscribe to the DBS update service. The cost of subscribing is the responsibility of the applicant.

The licence holder must give permission for the licensing authority to undertake checks of their DBS status should the licensing authority consider it necessary to do so. The licensing authority uses the update service to monitor the criminal record of licence holders. The update service can be used when a licence is renewed – if there are no changes recorded on the DBS certificate then a full DBS check will not be required. In all other cases a full enhanced DBS check will be required before a licence is renewed.

Applicants who do not have the correct enhanced certificate that is less than 3 months old, or an automatic update certificate must go online[7] to complete the DBS application:

and click on Start Application, enter ORGANISATION REFERENCE…PHTAXIDRIVERS and ORGANISATION CODE taxi2017

All new applicants who have been resident abroad as adults must produce evidence of good conduct in that country or the equivalent of a DBS disclosure before their application can be considered. Any matters revealed will be dealt with in the same way as any revealed by the DBS check.

Information on how to obtain an overseas criminal record check can be found here[8]:

An applicant who has fled an oppressive regime or has other reasonable grounds to believe that obtaining such documentation would be impossible or dangerous may apply for an exemption and should support that application with a Statutory Declaration and a verifiable character reference from an individual employed in a Prominent 'Regulated Occupation'. Further details in this respect are available on request. Statutory Declaration List[9]

2.5 Driver and Vehicle Licensing Agency (DVLA)

The applicant must be authorised to drive a car in the UK (e.g., held a full driving licence issued by a state in the European Economic Area) for a minimum of two years.

Consideration of penalty points and driving offences will be made in accordance with the relevance of convictions/cautions in relation to current licensing policy. See Appendix 1.

As part of the grant and renewal application officers of the licensing authority will undertake an online DVLA check for the applicant's status and any endorsements. To this end, at application and on renewal, applicants are required produce their (valid) photocard AND a check code issued by DVLA. www.gov.uk/view-driving-licence[10]

[7] https://disclosure.capitarvs.co.uk/schoolshr/

[8] www.cpni.gov.uk/system/files/documents/71/a2/How_To_Obtain_An_Overseas_Criminal_Record_Check_May_2018.pdf

[9] www.birmingham.gov.uk/downloads/file/4215/statutory_declaration_list

[10] www.gov.uk/view-driving-licence

The licensing authority can request an additional DVLA check is performed at any point during the lifetime of the licence and failure to provide this permission may result in enforcement action being taken.

2.6 Right to Work

All applicants are required to produce a current UK or EU passport, a UK or EU birth certificate/identity card, or a valid certificate showing their status issued by the UK Border Agency.

They must also produce documentation to prove their National Insurance number.

Any document produced must be an original in an undamaged and unaltered condition.

2.7 Tax Compliance

Since April 2022 applicants for hackney carriage driver, private hire driver, or private hire operator licences must show they are aware of their tax responsibilities if a brand-new applicant or complete a tax check where they are renewing an existing licence or applying for an additional licence with another authority.

New applicants must confirm they are aware of their tax responsibilities[11] when they apply for a taxi driver, private hire driver, private hire vehicle operator licence for the first time.

Applicants must complete a tax check[12] when renewing their hackney carriage, private hire or operator licence, or to apply for the same type of licence with a different licensing authority.

A licence will not be granted/renewed without this requirement being satisfied.

2.8 Medicals

All drivers are required to undergo regular medical checks to ensure that they are safe to drive in what can sometimes be tiring and stressful conditions.

Birmingham City Council sets the standard as required by drivers of large goods and passenger carrying vehicles. This is known as Group 2[13] test.

A medical is required at first application, and then in accordance with the Group 2 frequency, in that, they must be renewed every 5 years or at age 45, whichever is the earlier, until the age of 65 when they are renewed annually without an upper age limit. Shorter licences may be issued for medical reasons.

In some circumstances, the medical examiner may require the applicant to undergo extra tests and or produce documentation about their condition from a consultant. This is done at the applicant's cost and is not included in the cost of the screening medical.

[11] www.gov.uk/view-driving-licenceuk
[12] www.gov.uk/view-driving-licence.UK
[13] www.gov.uk/guidance/general-information-assessing-fitness-to-drive

Qualified doctors at the council's occupational health department conduct all medical examinations. Applicants are advised not to pay for an independent examination or certificate unless specifically requested by a council official.

Further information on how to book a medical[14]:

2.9 Training

Appropriate training is essential to ensure drivers are up to date with relevant legislative changes and to serve as a regular reminder to drivers of their role and responsibilities with respect to the carriage of passengers with disabilities. Training will also ensure drivers understand their responsibilities with respect to safeguarding children and vulnerable adults, as well as making them aware of current issues.

All new applicants for the grant of a driver's licence must undergo the **initial** training appropriate to their licence type.

Fees covering the cost of all training are payable by the applicant to the training provider.

2.9.1 Driving test:

Applicants for a hackney carriage or private hire driver's licence must pass the approved driving test before a licence can be granted. The current test is arranged and conducted by qualified examiners based at the Birmingham City Council driving school. The driving test is only required for initial grant applications, but licence holders can be required to repeat the test in the event of concerns regarding their driving standards.

2.9.2 Knowledge tests:

The knowledge tests ensure any prospective driver can communicate in English to a reasonable standard and is aware of the rules governing how licensed drivers work.

> **Hackney Carriage**: applicants for a new hackney carriage (dual) driver licence must pass the Hackney Carriage Knowledge Test. See Appendix 2
>
> To book a hackney carriage test email licensing@birmingham.gov.uk
>
> **Private hire**: applicants for a private hire driver licence must pass the Private Hire Suitability Test (formerly known as the private hire knowledge test) See Appendix 3
>
> To book a private hire test – email birminghamcityprivatehire@ttc-uk.com

2.9.3 Disability and Safeguarding:

Applicants for a hackney carriage or private hire driver's licence must pass the approved Disability and Safeguarding Training before a licence can be granted.

Booking Form - Private Hire Disability Awareness Training[15]

[14] www.birmingham.gov.uk/xfp/form/728

[15] www.birmingham.gov.uk/downloads/file/826/booking_form_-_private_hire_disability_awareness_training

2.10 Applying for a different type of licence

If a driver already holding a private hire driver's licence applies for a dual hackney carriage and private hire driver's licence (dual licence), this is an application for a NEW licence, and as such the applicant must undergo all the relevant tests and checks, which were either not applicable, not in force, or which have been updated since the first licence was granted.

Where a medical or DBS check on the original licence is more than 12 months old, an applicant will be required to undertake another, the new check becoming current for both licences. This is the issue of a new licence under a different Act and the Licensing Service must take the appropriate steps to ensure the applicant is fit and proper to hold the licence.

2.11 Applicant/Licence Holder Conduct

Applicants (for both grant and renewal) are expected to comply fully with all aspects of the application process- completing forms, satisfying training requirements etc and making all relevant disclosures with absolute honesty.

Applicants found to be withholding information or providing misinformation will call into question their suitability to hold a licence.

Deliberately withholding or providing false information as part of the licence process may be a criminal offence, and any instances discovered will be referred to the Enforcement Team for investigation and consideration. (see also – compliance & enforcement section later)

2.12 Conditions attached to private hire driver licences

The licensing authority is empowered to impose such conditions as considered reasonably necessary in relation to the granting of a Private Hire Drivers licence. These are set out in Appendix 4 Private Hire Combined Driver & Vehicle Licence Conditions[16]

2.13 Hackney Carriage byelaws

Birmingham City Council has also made byelaws that are specifically applicable to hackney carriage drivers and or proprietors. The existing Hackney Carriage byelaws are set out in Appendix 5 Hackney Carriage Byelaws[17]

2.14 Grant of licences

This licensing authority issues both Dual (Hackney Carriage and Private Hire) Or Private Hire Only driver licences. These licences are issued for a standard period of **3 years**, although the licensing authority can grant licences for a lesser period if deemed appropriate. Driver licences and badges remain the property of the licensing authority and must not be transferred to another person.

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16 www.birmingham.gov.uk/downloads/file/821/private_hire_combined_driver_and_vehicle_licence_conditions

17 www.birmingham.gov.uk/downloads/file/818/hackney_carriage_byelaws

Applications for driver licences shall be made on the prescribed form, together with the appropriate fee.

It is the licence holder's responsibility to ensure all elements of their application are completed correctly and in good time.

If a driver licence expires before renewal, they will be unlicensed and cannot work as a licensed driver or drive a licensed vehicle.

If a licence has expired, a new application will be required, and all relevant tests, standards and fees for a new licence application must be met.

3. Vehicles

Licensing authorities have a wide range of discretion over the types of vehicle that they licence as hackney carriage or private hire vehicles. Upon both new and renewal applications for vehicles, proprietors will be expected to show that a vehicle meets the relevant requirements used by this authority and permitted by the Town Police Clauses Act 1847 and Local Government (Miscellaneous Provisions) Act 1976. Applications for vehicle licences shall be made on the prescribed form, together with the appropriate fee.

3.1 Vehicle Types:

Applicants must ensure any vehicle can meet the requirements **BEFORE** purchasing or attempting to licence a vehicle. There are a number of similar looking vehicles which have different specifications. Applicants should not assume a vehicle is suitable without having checked the specifications carefully.

Specific information relating to the type and specification of suitable vehicle and associated conditions can be found here:

- Approved Vehicle Types for Private Hire[18] (Appendix 6)
- Approved Vehicle Types for Hackney Carriage[19] (Appendix 7)
- Hackney Carriage Vehicle Licence Conditions[20] (Appendix 8)
- Private Hire Combined Driver & Vehicle Licence Conditions[21] (Appendix 4)

3.2 Private Hire Signage

All private hire vehicles must comply with the Signage Policy. (see Appendix 9)

3.3 Advertising

Restrictions on the type of advertising and the manner of display are set out in the relevant conditions. These must be checked before entering into any advertising agreements.

3.4 Grant of Vehicle Licences

A vehicle licence can only be granted for a maximum of 12 months.

[18] www.birmingham.gov.uk/downloads/file/817/approved_vehicle_types_for_private_hire
[19] www.birmingham.gov.uk/downloads/file/13692/approved_vehicle_types_for_hackney_carriage
[20] www.birmingham.gov.uk/downloads/file/820/hackney_carriage_vehicle_licence_conditions
[21] www.birmingham.gov.uk/downloads/file/821/private_hire_combined_driver_and_vehicle_licence_conditions

Incomplete applications will not be accepted. All the necessary information must be provided at the time of application. Applications for renewal must be submitted in plenty of time to ensure the transaction can be completed prior to the expiry of the licence. Failure to submit a complete application, or late submission of an application may result in a licence expiring before renewal can be completed.

It is the vehicle proprietor's responsibility to ensure all elements of the application are completed correctly and in good time.

If a vehicle licence expires before renewal, the vehicle will be unlicensed and cannot be used for hire and reward.

If a licence has expired, a new application will be required, and all relevant tests, standards and fees for a new licence application must be met.

3.5 Restrictions on Numbers

The main aim of the licensing authority's licensing of hackney carriage and private hire trade is the protection of the public. The licensing authority is aware that the public should have reasonable access to hackney carriage and private hire services because of the part they play in local transport provision. Disabled people are particularly reliant on hackney carriages as a means of transport.

The licensing authority is permitted to restrict the number of hackney carriage licence plates issued if satisfied that there is no significant unmet demand for taxi services in the district.

Historically, there has been a restriction on the issuance of new hackney carriage licences as there was no evidence of any unmet demand. At the time of drafting this report, there was no evidence to support the continuance of any moratorium on the issuing of new hackney carriage licences. The number of licensed hackney carriages has fallen considerably since the previous research survey was carried out.

There is no legal provision by which the number of private hire vehicles can be restricted. This branch of the trade relies on market forces to regulate the numbers.

3.6 Accessibility:

All hackney carriage vehicles are required to be wheelchair accessible. A list of wheelchair accessible vehicles is published on the website: Wheelchair accessible vehicles listing[22]

The licensing authority welcomes applications from private hire vehicle proprietors seeking to licence wheelchair accessible vehicles, although care must be taken to ensure after market modifications to vehicles have been done by a competent body accompanied by the required certification. Anyone seeking to licence a non-standard vehicle is advised to contact the licensing service before making any financial commitments

3.7 Duty to assist:

The Taxis and Private Hire Vehicles (Disabled Persons) Act 2022 amends the Equality Act 2010. The legislation extends the duty to carry disabled passengers to all Hackney carriage and private hire drivers, not just those driving a designated vehicle. The new act also places pre booked hackney carriage and private hire drivers under a duty to assist the passenger to identify the vehicle, provided they are aware that a passenger is disabled.

[22] www.birmingham.gov.uk/downloads/file/8616/wheelchair_accessible_vehicles_listing

Drivers who are unable to provide mobility assistance for medical reasons will be able to apply for an exemption certificate however the exemption will only relate to the providing of assistance it is not an exemption from carrying a disabled passenger in their vehicle.

Drivers are also able to apply for an exemption certificate if they are unable to carry assistance dogs due to an allergy.

Such medical exemption certificates will be provided upon confirmation from the occupational health service.

3.8 Vehicles registered to another keeper

Where an applicant for a vehicle licence provides a registration document indicating that the registered keeper is another individual, or legal entity, the applicant will be required to provide a letter from the registered keeper indicating that use of the vehicle as a hackney carriage or private hire vehicle by the applicant, is done with their full knowledge and consent.

Where an applicant for a vehicle licence provides a registration document indicating that the registered keeper is another individual, or legal entity, the applicant will be required to provide a letter from the insurers indicating that they are aware of the arrangement and content to provide appropriate insurance cover in those circumstances.

3.9 Vehicles licensed by other licensing authorities.

We will not licence vehicles already holding a licence from another licensing authority (this includes suspended licences). Applicants wishing to licence a vehicle which is already licensed elsewhere will be required to surrender the other licence, and provide evidence, before any will be issued by Birmingham City Council.

3.10 Clean Air Zone (CAZ) and Age Limits

A Clean Air Zone is an area where targeted action is taken to improve air quality, in particular by discouraging the most polluting vehicles from entering the zone. No vehicle is banned in the zone, but vehicles that do not meet the emission standards for the zone are subject to a daily fee. Various funding packages have been made available to encourage the replacement of high emission and high pollution vehicles with ULEVs.

As part of the process of improving the fleet of hackney carriage and private hire vehicles, the age limits for new and renewal licences were reduced, from 1 January 2020.

Imposing an age policy not only improves the emissions profile of the fleet, but also ensures the vehicles are able to maintain an acceptable standard of interior and fittings, ensuring passengers can continue to travel in comfort.

3.11 Age Limits

No hackney carriage vehicle over the age of 15 years will be granted a licence.

No hackney carriage vehicle over the age of 15 years will have its licence renewed

ULEV hackney carriages will be licensed until they are 18 years old (This was agreed in April 2019 with effect from 2020)

TX type hackney carriage full conversions (complete power-train replacement to fully electric) will be licensed up to a maximum of 18 years from the date of conversion (rather than date of first registration)

No private hire vehicle over the age of 8 years will be granted a licence.

No private hire vehicle over the age of 12 years will have its licence renewed

3.12 Hackney Carriage Meters

The taximeter fitted to the vehicle shall be of an approved type, and shall be subject to an annual test to be carried out by the Council to ensure that it is calibrated to the fare table currently in force at the time.

The current fare table can be found online[23], and at Appendix 11.

3.13 Vehicle Inspections

All vehicles are subject to a standard MOT test to determine mechanical fitness and a more stringent supplementary test dealing with the vehicle's condition, appearance(internally and externally), and suitability prior to licensing.

An MOT certificate presented for the purpose of licensing a vehicle, or the renewal of a licence must be less than ten weeks old at the time of the transaction. Such time period to be calculated from the date of inspection.

The law provides that a private hire vehicle cannot, in its type, design or identification, lead anyone to believe that it is a hackney carriage.

Proprietors are encouraged to keep vehicles well maintained and serviced throughout the year.

The MOT stations authorised to undertake this testing for hackney carriage and private hire can be found on the licensing web page[24]. .

Where a licensed vehicle fails an authorised inspection and is deemed unsafe and or unsuitable as a passenger vehicle by the vehicle examiner, the vehicle proprietor or driver may be issued with a suspension notice to prevent the vehicle being used to carry passengers until the defect(s) is/are remedied. Statutory legislation permits the licensing authority to inspect a vehicle at most three times in any 12-month period.

3.14 Accidents/ Damage to vehicles

Proprietors and drivers of licensed vehicles must inform this licensing authority as soon as possible, and in any event within 72 hours, of any accident or road collision that causes damage which materially affects the safety, performance or appearance of the vehicle or the comfort or convenience of passengers. Failure to report an accident or road collision may result in suspension or revocation of both vehicle and driver licences.

[23] https://www.birmingham.gov.uk/downloads/file/11462/hackney_carriage_fare_table

[24] www.birmingham.gov.uk/downloads/file/816/approved_mot_station_list_for_hackney_carriage_and_private_hire

The driver involved in the accident or road collision must provide details to the Licensing service of how, where and when the collision occurred. The damage to the vehicle may be required to be assessed by a vehicle examiner, the vehicle and/or evidence of the damage and/or repair work must be presented to this licensing authority on request. If it is felt necessary, a vehicle suspension notice will be issued.

3.15 Suspension of licences

Once a vehicle licence is granted, the vehicle is deemed to be licensed until such time as it expires, is revoked, or is suspended , and the licence plate must be securely affixed to the vehicle. Only the licensing authority and the police can suspend a vehicle licence.

3.16 CCTV

CCTV in licensed vehicles could act as a deterrent against possible problems and a source of evidence in the case of disputes between drivers and passengers, other incidents, and accidents.

Properly installed and operated CCTV can be a valuable tool in the prevention and detection of crime and can provide valuable evidence.

Drivers, proprietors, and operators are advised to gain the approval of this licensing authority prior to installation of any CCTV system. They **must** be registered with the ICO (Information Commissioners Office) if required and comply with all aspects of data protection and CCTV Codes of Practice, including clear signage that the vehicle uses CCTV.

Further information can be found on the ICO website[25]

Internal facing dashcams **CANNOT** be used as a substitute for CCTV.

3.17 Security Screens/ partitions

If drivers wish to install a partition or safety screen, vehicles will need to comply to government and industry regulations and the city council's requirements as the licensing authority. This means home-made screens, non-approved screens and temporary plastic sheeting are not acceptable.

If partitions or screens are used, they should be cleaned regularly, including between passenger journeys and changes of driver. Details of approved installers can be found on the website[26]. Any alterations to the vehicle by a non approved supplier would require prior approval. Anyone seeking to make **any** modification to their vehicle should seek advice from the licensing team prior to committing to any works or purchases.

[25] https://ico.org.uk/for-organisations/sme-web-hub/whats-new/blogs/installing-cctv-things-you-need-to-do-first/

[26] www.birmingham.gov.uk/blog/tph-bulletin/post/461/security-screens-covid-19

4. Private Hire Operators

Applications for Operator licences shall be made on the prescribed form, together with the appropriate fee. The licensing authority will then decide if the applicant is a 'fit and proper person' to hold an Operator licence.

Standard conditions which relate to the granting of a Private Hire Operator's licence can be found in Appendix 10

This licensing authority will grant Private Hire Operator licences for a period of 5 years, this remains the property of the licensing authority and must not be transferred until the licensing authority is satisfied.

All Birmingham licensed operators must operate from premises within the City boundaries.

Operators' fares are not regulated but each operator is required to ensure that their particular charges are displayed or available on request to each person travelling in a private hire vehicle.

An applicant for the grant of or renewal of an operator's licence will be asked to disclose details of any previous convictions and to provide a basic DBS. Applicants for the grant of an operator's licence will also be asked for details of any previous experience working within the private hire industry including any other licences held, either currently or previously and whether any such licence has ever been revoked, refused or suspended for any reason.

Planning permission must be obtained for the premises where the operation is to be based, unless the applicant can provide confirmation from the Planning Department that such permission is not required.

The records to be maintained include records of all journeys undertaken, and information and documentation relating to the vehicles and drivers operated, together with their "call signs".

The fee payable for an operator's licence reflects the structure of the operation and the number of drivers and vehicles managed, in that it is set according to the officer time afforded to the licence. This fee is payable at the time the application is submitted.

Where a licensed operator increases the size of their fleet to a point where it falls into a new charging bracket, then the operator must contact the licensing service to discuss how to process the variation.

Renewal applications for operator licences must be submitted to the Licensing Office **at least** 14 days before expiry, fully completed and with all necessary accompanying paperwork

Failure to comply with this requirement may prevent a new licence from being issued on or before the expiry of the old licence.

4.1 Operator Door Signs

Operators must provide a pair of appropriate door signs for each vehicle operated by their company and take steps to ensure drivers fix the signs in the centre of the front doors of their private hire vehicles, whenever employed on a job or available for dispatch.

Operator Door signs may be of such design as the operator deems appropriate, subject to compliance with the following requirements.

- The sign must include the company name as displayed on the licence certificate.
- The sign must include the phrase BE BOOKED, BE INSURED, in block capital letters using as a minimum 120 point Arial font (30mm in height) in a contrasting colour, so as to be easily seen.
- The sign must not be designed either in colour or style, to mimic the sign used by another operator in Birmingham or any surrounding authority
- Any new sign must be approved by in accordance with the delegations before being issued for use on vehicles. As such it is recommended a draft copy be submitted for approval before signs are printed.
- A sign considered inappropriate by officers, will not be approved, and must not be issued to drivers.

Before an application for a Private Hire Operator's licence is issued, the applicant must produce evidence they have appropriate public liability insurance for the premises to be licensed. Where necessary, Operators must also hold Employers Liability insurance

The operator is responsible for all vehicles and people employed, contracted, or otherwise working as part of their business. To that end the operator must undertake sufficient checks to satisfy themselves that only suitable drivers, administrative staff and vehicles are used (and continue to be used) during their business. The failure of an operator to ensure appropriate checks are carried out may call into question the operator's fitness and propriety. In addition, a failure to take appropriate action in relation to drivers that persistently breach licence conditions will also be detrimental to the continued fitness and propriety of the operator.

5. Enforcement and Compliance

A well-directed, risk-based approach to enforcement activity by the licensing authority benefits not only the public but also the responsible members of the hackney carriage and private hire trades.

Legislation relating to a licensing regime and the conditions of licence designed to protect public safety are of no value unless they are correctly enforced by the licensing authority. In pursuance of the objective to encourage responsible hackney carriage and private hire businesses, the licensing authority operates a firm but fair disciplinary and enforcement regime. To balance the promotion of public safety with the need to permit individuals to safeguard their livelihood without undue interference, the licensing authority only intervenes where it is necessary and proportionate to do so. Where defects are such that a vehicle or driver's licence needs to be suspended, interference with livelihood is unavoidable.

5.1 Enforcement policy

The licensing authority has adopted an enforcement policy as part of the wider Regulation and Enforcement Directorate in line with the Government's Better Regulation Unit Enforcement Concordat and Regulators Code of Practice. This policy is available on our website[27].

The licensing authority shares information with other agencies in respect of potential illegal activities and enter joint enforcement operations with other agencies and authorities.

[27] www.birmingham.gov.uk/downloads/file/405/regulation_and_enforcement_-_enforcement_policy

5.2 Enforcement Action

The licensing authority may take informal action to secure compliance with legislation, conditions and policy which include offering written advice, verbal advice, guidance notes, the use of written instructions or notices and the undertaking of inspections.

Formal action to secure compliance with a breach of any condition, law or byelaw will be exercised in accordance with the enforcement policy.

The licensing authority may take any of the steps below upon receipt of evidence that an offence has been committed in relation to a Hackney Carriage or Private Hire Licence. A breach of condition amounts to an offence in this context:

- Suspension of the Licence.
- Revocation of the Licence.
- Refusal to Renew.
- Issuing of Warnings.

In relation to an offence committed for breach of a statutory obligation, the licensing authority may take one of the following steps in addition to the above:

- Issuing of Simple Cautions.
- Prosecution of offenders
- Requirement to undertake additional training.

5.3 Authorised Officers

Officers of this licensing authority are authorised to fulfil the statutory enforcement and compliance duties for the day-to-day operation of the Hackney Carriage and Private Hire Vehicle licensing policy, and enforcement of conditions which derive from the 1847 and 1976 Acts.

'Authorised officers' have the right to do the following:

- Require drivers to produce licences and insurance certificates.
- Require operators to produce records.
- To remove plates and other signage from vehicles.
- Suspend vehicles from use.

Obstruction of an authorised officer is a criminal offence.

5.4 Immediate Action on the grounds of Public Safety:

Where information is received regarding a licensed driver which indicates there may be an **immediate risk to public safety**, that information will be shared with the Chair of the Licensing and Public Protection Committee to consider the immediate suspension or revocation of the driver's licence.

Such action to be reported to the next available Licensing and Public Protection Committee as part of the Actions Taken by the Chair between Meetings report.

Any decision to suspend or revoke will be communicated to the driver as soon as is reasonably practicable by way of a letter, ordinarily hand delivered by Enforcement Officer(s).

It is not possible to reinstate a licence after revocation without a successful appeal. In the event that the allegations are found to be completely unproven, i.e. a case of mistaken identity or other verified information which exonerates the driver completely, the matter will be put forward as a 'fast-track' grant application, in order to grant a 'new' licence, for the duration of the remainder of the previous licence, and negating the requirement for additional tests etc. This negates the need for a costly and time-consuming appeal, and enables the driver to be back on the road in the shortest possible time. Matters which are less definitive will be referred for consideration in accordance with the scheme of delegations, notwithstanding the driver's right to appeal to the courts.

6. Complaints

Members of the public who wish to make a complaint or comment or submit a compliment about licensed drivers and operators can do so directly to the licensing service[28] .

The licensing authority uses a clear and systematic process by which members of the public can seek redress for any failures in service provision by members of the hackney carriage or private hire trade.

Complaints identifying or alleging sexually inappropriate behaviour, violence, theft, drugs, or alcohol will be treated as a high priority.

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[28] https://www.birmingham.gov.uk/hcphcomplaint

Annex A : SCHEME OF DELEGATIONS

Hackney Carriage / Private Hire	Decision to be made by:		
Matter to be dealt with:	Full Committee	Sub-Committee	Officers (Senior Licensing Officer or above)
Setting of Fees and charges	All Cases		
Agree standard conditions i.e. vehicle / driver/operator etc.	All Cases		Individual requests for exemption or deviation from standard conditions may be considered by an officer panel
When a hackney carriage vehicle licence has expired and more than one calendar month has elapsed			any attempt to re-licence the vehicle
Where a private hire vehicle is converted to LPG (Liquid Petroleum Gas)			Providing the installation is conducted by a UKLPG approved installer or has been inspected and approved by a UKLPG installer, so that the vehicle details are listed on the UKLPG Register.
AUTHORITY TO SUSPEND, REVOKE OR REFUSE TO RENEW OR REFUSE TO GRANT ANY LICENCE OR APPLICATION:			
in the case of a licensed vehicle being found to be in contravention of legislation,			Officers delegated this authority are those authorised for the purpose of the LGMPA 76 and TPCA 1847
if the officer is not satisfied as to the fitness of the vehicle, or			Officers delegated this authority are those authorised for the purpose of the LGMPA 76 and TPCA 1847
if the officer is not satisfied as to the accuracy of the taximeter, or			Officers delegated this authority are those authorised for the purpose of the LGMPA 76 and TPCA 1847
if the vehicle does not have adequate insurance cover, or			Officers delegated this authority are those authorised for the purpose of the LGMPA 76 and TPCA 1847
if the vehicle is unroadworthy or in a dangerous condition.			Officers delegated this authority are those authorised for the purpose of the LGMPA 76 and TPCA 1847
if an officer is not satisfied as to the fitness of a driver following a medical report from the Occupational Health Service.			Officers delegated this authority are those authorised for the purpose of the LGMPA 76 and TPCA 1847. Where appropriate, such decision will be with immediate effect

Hackney Carriage / Private Hire	Decision to be made by:		
Matter to be dealt with:	Full Committee	Sub-Committee	Officers (Senior Licensing Officer or above)
Where the applicant has11 points on their DVLA licence or a conviction or caution for an offence that does not fall within the category of drugs, violence, dishonesty or of a sexual nature.			All
Where an applicant has cautions over two years old, such application will be granted.			All Cases
Where an applicant has a conviction(s) for dishonesty, whatever the sentence, including a prison sentence, then such application will be granted provided at least ten years has lapsed since the last conviction for dishonesty.			All Cases
Where an applicant has an absolute discharge for any offence, with no other offences, such application will be granted.			All Cases
Where an applicant has previously been refused or his/her licence revoked, whether by Birmingham City Council or another Local Authority, any further application will be refused within a 12 month period starting from the date of the refusal/revocation of the previous licence.			Ops Manager Panel
Where a private hire driver is convicted for plying for hire (first offence), then their private hire driver's licence will normally be suspended for a minimum period of 6 months.			Ops Manager Panel
Where a private hire driver is convicted for plying for hire and no insurance, then their private hire driver's licence will normally be revoked.			Ops Manager Panel
Grant/renewal of a licence where a driver is convicted of a drink/drug related driving offence or has been subject to a driving ban			Ops Manager Panel
Renewal of a drivers licence after the late renewal period where the circumstances for the lateness are on medical grounds only. (late renewal fee applies)			All cases

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Hackney Carriage / Private Hire	Decision to be made by:		
Matter to be dealt with:	Full Committee	Sub-Committee	Officers (Senior Licensing Officer or above)
When confirmation is received to the effect that the holder of the licence has been banned from driving by a Court of Law and is no longer in possession of a valid DVLA driving licence.			All Cases
Approval of the installation of safety screens in private hire vehicles, where MIRA testing and approval, or an equivalent European test certificate can be produced for the proposed screen			All Cases
Approval of certain standard exemptions to the current licence conditions for private hire operators and vehicles, where the applicant can demonstrate that the exemption is justified (limousines, stretched and special event vehicles carrying out private hire work within the city)			All Cases
Grant of licence where the applicant has 6 points on their DVLA licence or a conviction or caution for an offence that does not fall within the category of drugs, violence, dishonesty or of a sexual nature.			Licensing officer and above
Consideration of suitability of evidence as to good character where applicant is from a failed state and cannot comply with requirement to provide a DBS.			All cases
Approval of operator door signs			Principal LO or above

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Appendices

Appendix 1- DFT Convictions Policy

Annex – Assessment of Previous Convictions

Legislation specifically identifies offences involving dishonesty, indecency or violence as a concern when assessing whether an individual is 'fit and proper' to hold a taxi or private hire vehicle licence. The following recommendations to licensing authorities on previous convictions reflect this.

Authorities must consider each case on its own merits, and applicants/licensees are entitled to a fair and impartial consideration of their application. Where a period is given below, it should be taken to be a minimum in considering whether a licence should be granted or renewed in most cases. The Department's view is that this places passenger safety as the priority while enabling past offenders to sufficiently evidence that they have been successfully rehabilitated so that they might obtain or retain a licence.

Crimes resulting in death

Where an applicant or licensee has been convicted of a crime which resulted in the death of another person or was intended to cause the death or serious injury of another person they will not be licensed.

Exploitation

Where an applicant or licensee has been convicted of a crime involving, related to, or has any connection with abuse, exploitation, use or treatment of another individual irrespective of whether the victim or victims were adults or children, they will not be licensed. This includes slavery, child sexual abuse, exploitation, grooming, psychological, emotional or financial abuse, but this is not an exhaustive list.

Offences involving violence against the person

Where an applicant has a conviction for an offence of violence against the person, or connected with any offence of violence, a licence will not be granted until at least 10 years have elapsed since the completion of any sentence imposed.

Possession of a weapon

Where an applicant has a conviction for possession of a weapon or any other weapon related offence, a licence will not be granted until at least seven years have elapsed since the completion of any sentence imposed.

Sexual offences

Where an applicant has a conviction for any offence involving or connected with illegal sexual activity, a licence will not be granted.

In addition to the above, the licensing authority will not grant a licence to any applicant who is currently on the Sex Offenders Register or on any barred list.

Dishonesty

Where an applicant has a conviction for any offence where dishonesty is an element of the offence, a licence will not be granted until at least seven years have elapsed since the completion of any sentence imposed.

Drugs

Where an applicant has any conviction for, or related to, the supply of drugs, or possession with intent to supply or connected with possession with intent to supply, a licence will not be granted until at least 10 years have elapsed since the completion of any sentence imposed.

Where an applicant has a conviction for possession of drugs, or related to the possession of drugs, a licence will not be granted until at least five years have elapsed since the completion of any sentence imposed. In these circumstances, any applicant may also have to undergo drugs testing for a period at their own expense to demonstrate that they are not using controlled drugs.

Discrimination

Where an applicant has a conviction involving or connected with discrimination in any form, a licence will not be granted until at least seven years have elapsed since the completion of any sentence imposed.

Motoring convictions

Hackney carriage and private hire drivers are professional drivers charged with the responsibility of carrying the public. It is accepted that offences can be committed unintentionally, and a single occurrence of a minor traffic offence would not prohibit the granting of a licence. However, applicants with multiple motoring convictions may indicate that an applicant does not exhibit the behaviours of a safe road user and one that is suitable to drive professionally.

Any motoring conviction while a licensed driver demonstrates that the licensee may not take their professional responsibilities seriously. However, it is accepted that offences can be committed unintentionally, and a single occurrence of a minor traffic offence may not necessitate the revocation of a taxi or private hire vehicle driver licence providing the authority considers that the licensee remains a fit and proper person to retain a licence.

Drink driving/driving under the influence of drugs

Where an applicant has a conviction for drink driving or driving under the influence of drugs, a licence will not be granted until at least seven years have elapsed since the completion of any sentence or driving ban imposed. In the case of driving under the influence of drugs, any applicant may also have to undergo drugs testing at their own expense to demonstrate that they are not using controlled drugs.

Using a hand-held device whilst driving

Where an applicant has a conviction for using a held-hand mobile telephone or a hand-held device whilst driving, a licence will not be granted until at least five years have elapsed since the conviction or completion of any sentence or driving ban imposed, whichever is the later.

Appendix 2 – Hackney Carriage Knowledge Test

The knowledge test ensures that any prospective driver can communicate in English to a reasonable standard and is aware of the rules governing how licensed drivers work.

You are allowed 2 hours for a verbal test, which most successful candidates complete with time to spare, or 3 hours for a written test. Statistically about 50% of candidates fail to complete the written test and about 10% fail to gain marks because their handwriting is illegible.
If you take a written test, you must also complete a verbal communication test.
An average of 65% of candidates pass the test on the first attempt with an average study time of 18 months.

Legal questions

Hackney carriage drivers are required to answer in detail six questions about the law and conditions of licence. The questions are drawn randomly from a bank of questions in the knowledge folder.
All six questions must be answered correctly.

Geographical questions

To pass the test, you must answer at least 90 of the 100 questions selected.
The test can be taken verbally, where the examiner asks the questions and records the answers, or in a written form where you are required to write out all the questions and answers.

Route questions

You will be asked to describe in detail from memory, the shortest possible route between two locations in or near the city. The route must be the shortest distance route, not the quickest or easiest to follow.
Twenty routes will be selected randomly from a bank of 342 contained in the folder.

Two-point location questions

You will be required to describe in detail 80 premises in or near the city, from memory, and giving a minimum of two points of reference. These are known as 'two-point locations.'
The questions will be drawn randomly from a bank of 1680 contained in the knowledge folder.

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Appendix 3 Private Hire Suitability Test

The private hire test consists of three elements.
Please note: the A-to-Z element of the test was removed as of 20 June 2018.

1. Legal questions

You will be asked six questions about private hire driver and vehicle legislation. You must answer the questions accurately, especially where numbers or time limits are involved. You will be given the option of four answers in a multiple-choice format. The answers to all the questions are included in the private hire legal information document.

2. Licence conditions

You will be asked six questions about conditions imposed on private hire drivers by the council. The questions must be answered accurately, especially regarding time limits. You will be given the option of four answers in a multiple-choice format. The answers to all the questions are included in the text of the documents:

- Private hire combined driver & vehicle licence conditions

3. Plying for hire questions

You will be asked six questions where you have the opportunity to demonstrate to the tester that you have a sound, in-depth knowledge of the consequences of carrying out work that has not been properly booked and passed to you by your operator. You will be given the option of four answers in a multiple-choice format.

You must answer all these questions correctly. The answers to these questions are contained in the documents you will have used to answer the first two sets of questions.

You may make up to four mistakes in sections 1 and 2 provided you do not get more than two wrong in any one section.

How do I book a Private Hire Knowledge Test?

Private hire knowledge tests are now being organised and conducted by TTC Driver Solutions. To book a private hire knowledge test, please contact TTC Driver Solutions by e-mail: birminghamcityprivatehire@ttc-uk.com

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Appendix 4 PRIVATE HIRE DRIVER AND VEHICLE CONDITIONS OF LICENCE

This licence is granted subject to the following conditions. Failure to comply with these conditions could lead to a criminal prosecution and/or your licence being suspended, revoked or not renewed.

If you are aggrieved by any of the conditions attached to this licence you may make an application for exemption from them and attend a hearing before the Licensing Sub Committee, alternatively you can appeal to a Magistrates Court within 21 days of the service of this licence on you.

If you have any difficulty in understanding or complying with of any of the conditions below, please let the Licensing Office know immediately so that arrangements can be made to assist you in that respect.

These conditions are attached to your licence in addition to any other legal requirements to which you are required to comply. These include, but are not restricted to, the Local Government (Miscellaneous Provisions) Act 1976, the Health and Safety at Work etc. Act 1974

GENERAL CONDITIONS

DETAILS TO BE REPORTED

1. You must notify the Licensing Office, in writing, within **7 days** if you,

a) are convicted of any criminal or motoring offence

b) are cautioned for any criminal or motoring offence (by the Police or any other agency)

c) receive a Magistrates' Court summons

d) receive a fixed penalty notice for any criminal or motoring offence

e) receive a police warning or court order in relation to harassment or any other form of anti-social behaviour

f) receive a civil or family law injunction

g) are arrested for any offence (whether or not charged)

h) are charged with any criminal offence.

i) are refused any type of licence by any other regulatory authority or any such licence is suspended, revoked or not renewed and provide the following information:

a. The name of the council.

b. The licence number(s) of the licence(s) suspended or revoked.

c. The date of the decision.

d. A copy of the decision notice issued by the other council giving the grounds for the action taken.

j) change your home address

k) keep the vehicle when it is not in use at an address that is not specified on your licence

2. If any of your vehicle's identity plates are lost or stolen you must report the loss or theft in writing to the Licensing Office within **3 days**.

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3. Mobile phones are not allowed to be used, installed, fitted to or carried in any private hire vehicle for the purpose of inviting or accepting bookings for that vehicle.
The only exception to this is where a phone is installed specifically to host an app. designed for the acceptance of bookings from your operator.

LOST PROPERTY

4. You must immediately after the termination of any hiring, or as soon as practicable thereafter, carefully search the private hire vehicle for any property which may have been accidentally left therein.
5. Any property accidentally left in a private hire vehicle must be handed in to a West Midlands Police Station as soon as possible, and in any event, within 72 hours of the property being found and a receipt for such property obtained. A copy of the receipt must be provided to the Licensing Office within 3 days of its issue.

CONDITIONS SPECIFIC TO DRIVERS

6. If you have any illness or medical condition that prevents you from driving or requires you to notify the DVLA, you must notify the Licensing Office, in writing, within **3 days**.
7. If you decide to work for an operator different from that supplied at the time of your licence application, then before commencing work with the new operator, you must notify the Licensing Office, in writing, with details of your previous operator, new operator, new call sign and start date and provide a valid signed operators form.
8. Your private hire driver's badge remains the property of the Council and should your licence expire, be suspended, revoked or not renewed, you must return your private hire driver’s badge within **7 days**.
9. You must not wilfully obstruct or refuse any person from viewing your private hire badge or taking the number of your badge.
10. If your private hire driver’s badge is lost or stolen, you must inform the Police and obtain a Police report number, which must be reported to the Licensing Office within **3 days**.
11. The operator identification door signs must be displayed on the two front doors of the vehicle.
12. Your private hire vehicle must **display** the Fare Table issued by the private hire operator in a prominent position inside the vehicle so as to be clearly visible to any passenger.
13. You must not respond to any booking from your operator unless you are given:
a) The passenger's name.
b) The time and point of pick up.
c) The destination.
d) The fare (if applicable).
14. You must not, via any means, pass details of any booking or passenger you have agreed to carry to your operator.
15. You must not accept a return booking directly from a passenger. COMBINED PRIVATE HIRE

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16. You must not park in such a position or location to be in the vicinity of premises such as bars, restaurants, takeaways, public houses, clubs, hotels, hospitals, casino's, gaming and amusement arcades, which could give the appearance of being available for hire unless you have been allocated a booking by your operator.
17. You must:-
a) Have a good standard of personal hygiene, be clean and respectable in your appearance and behave in a civil and orderly manner at all times whilst your vehicle is in use or available for hire.
b) Not congregate with more than 2 other private hire drivers/vehicles in residential areas and cause a nuisance by your parking, noise or activities whilst waiting to be allocated a booking.
c) Convey a reasonable quantity of luggage and afford reasonable assistance in loading and unloading, including assistance in moving luggage to and from the entrance of any premises where you collect or set down your passenger(s).
d) Take all reasonable steps to assist with and ensure the safety of your passenger(s) when entering, being conveyed in and alighting from your vehicle.
e) Unless otherwise directed by your passenger(s), proceed to the destination by the shortest possible route.
f) Not eat or drink in your vehicle whilst carrying a passenger.
g) Not without the express consent of your passenger(s) play any radio or sound producing instrument or equipment in the vehicle other than for the purpose of sending or receiving messages in connection with the operation of the vehicle.
h) Not cause or permit the noise emitted by any radio or previously mentioned equipment in the vehicle which you are driving to be a source of nuisance or annoyance to any person, whether inside or outside the vehicle.
i) Not demand a fare in excess of any previously agreed for that hiring. If no fare has been previously agreed then you must not demand a fare in excess of that prescribed by your operator's fare table displayed in the vehicle. If the vehicle is fitted with a meter and no fare has been previously agreed then you must not demand a fare in excess of that shown on the meter.
j) If requested to do so by your passenger(s), provide a written receipt for any fare paid, on stationery bearing the name of your operator, which includes your call sign, details of the journey and the fare paid.

CONDITIONS SPECIFIC TO VEHICLES

VEHICLE IDENTITY PLATES & SIGNAGE

18. The only plates and signs that may be displayed on or in a private hire vehicle are those prescribed by the City Council's Vehicle Signage Policy
19. Vehicles granted exemption not to display an identification plate or sign must carry and be able to produce the letter confirming the exemption and the licence plate issued by the Licensing Office to an authorised officer of the Licensing Authority or a Police Constable on request.
20. The rear identity plate must be fitted externally on the rear of the vehicle in such a place and manner to ensure that all of the information displayed on the identity plate is clearly visible at all times.

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21. The rear identity plate must be securely attached to the vehicle in such a manner so that it cannot be removed without the use of tools. It must not be affixed using string, tape, magnets, Velcro or any other similar material. If a securing bracket is not used the identity plate must be fixed to the vehicle using bolts, rivets or screws.

MAINTENANCE OF VEHICLES

22. The vehicle and all its fittings and equipment shall at all times when the vehicle is in use or available for hire be kept in an efficient, safe, tidy and clean condition. In particular all data boxes, radios, PDA's or any other equipment installed in the vehicle must be affixed to the vehicle by use of secure fittings so they cannot be easily removed, to prevent injury or harm to the driver or passengers.

23. Once a vehicle has been inspected by one of the Licensing Office's approved MOT stations and a licence has been granted it must be maintained in that form and condition. No change in the specification, design or appearance of the vehicle or addition of any body work accessories shall be made within the duration of the licence without the prior written approval from the Licensing Office.

24. Only tinted and anti-glare windows fitted by the vehicle's manufacturer are acceptable.

25. No private hire vehicle licensed by this authority may be licensed in any other authority as a private hire or hackney carriage vehicle.

DOCUMENTATION TO BE MAINTAINED FOR VEHICLE & DRIVER(S)

26. Only a licensed private hire driver can drive a licensed private hire vehicle. If you propose to allow someone else to drive your vehicle at any time, before doing so you must obtain from the driver the following documents:

a) A copy of their current Birmingham City Council Private Hire Driver's Licence, and

b) A copy of their insurance documentation covering them to use the vehicle for the purpose of private hire.

You must ensure that the driver's Private Hire Driver's Licence and insurance remain current for the duration of the period they have your vehicle.

27. If there are exceptional reasons which prevent you from maintaining or ensuring continuous insurance cover, for whatever reason, throughout the duration of the licence you must attend and notify the Licensing Office, in writing, within 72 hours following the insurance cover expiring or lapsing. At the same time you must return the vehicle identification plates as the vehicle will be liable to suspension until insurance cover is produced.

28. You must retain the above documents for a period of 12 months following their expiry and these documents must be available for inspection at any time to an authorised officer.

TAXIMETERS

29. Should a taximeter be fitted to any private hire vehicle, you must ensure that it has been tested, sealed and certified to have been calibrated and set to your operator's tariff(s) before it can be used for calculating fares for passengers.

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30. A copy of the taximeter calibration certificate shall be kept in the vehicle at all times and shall be made available for inspection on request by an authorised officer of the Licensing Authority or a Police Constable

31. If technology is provided by the operator to enable route planning and fare calculation they should ensure that drivers proceed to the destination by shortest possible route, through the programming of any technology provided by the operator, which is designed to assist drivers in route planning and calculation of fares.

Deviating from the shortest possible route is only allowed when the driver obtains the agreement of the passenger to do so.

32. You must not tamper with or permit any other person to tamper with the meter, its fittings, connections or seal without the written approval of the Licensing Office.

ADVERTISING

33. No advertisement may be placed upon a private hire vehicle unless in accordance with Birmingham City Council's Vehicle Signage Policy.

MISCELLANEOUS

34. A copy of these conditions must be kept in the vehicle at ALL times and shall be made available for inspection on request by an authorised officer of the Licensing Authority or a Police Constable.

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Appendix 5 Hackney Carriage Byelaws

BYELAWS

Made under Section 68 of the Town Police Clauses Act 1847 and Section 171 of the Public Health Act 1875, by the Council of the City of Birmingham with respect to hackney carriages in the City of Birmingham.

INTERPRETATION

1. Throughout these Byelaws:

"authorised officer" means any officer of the Council authorised in writing by the Council for the purposes of the Town Police Clauses Act 1847 (the Act of 1847).

"the Council" means Birmingham City Council.

"driver's badge" means the badge issued to a driver by the Council in exercise of its powers under section 68 of the Act of 1847.

"driver's licence" means the licence issued under section 46 of the Act of 1847.

"hackney carriage" has the same meaning as in the Act of 1847.

"Licensing Office" means the Council Office from where the hackney carriage driver and vehicle licences are issued.

"proprietor" includes a part-proprietor and, in relation to a vehicle which is the subject of a hiring agreement or hire-purchase agreement, means the person in possession of the vehicle under that agreement.

"stand" means a taxi rank, this being an area of carriageway appointed for use by hackney carriages to wait and pick up passengers.

"taximeter" means a device for calculating the fare to be charged in respect of any journey in a hackney carriage by reference to the distance travelled or time elapsed since the start of the journey, or a combination of both.

"vehicle identity plate" means the plate issued to a proprietor by the Council and referred to in section 38 of the Act of 1847.

"vehicle licence" means the hackney carriage licence issued by the Council in exercise of its powers under section 37 of the Act of 1847.

DRIVERS' BADGES

2. When issued with a driver's badge by the Council, the driver of a hackney carriage shall at all times when standing, plying for hire or when hired, either wear or display their driver's badge in such a position and manner so that it would be plainly and distinctly visible.

3. The driver of a hackney carriage when standing, plying for hire or when hired, shall not wilfully obstruct any person from taking the number of their badge.

VEHICLE IDENTITY PLATE

4. a) The proprietor of a hackney carriage shall cause the vehicle identity plate issued to him by the Council to be affixed on the outside at the rear of the carriage so as to be plainly and distinctly visible with legible particulars at all times.

   b) A proprietor or driver of a hackney carriage shall:

      i) not wilfully or negligently cause or suffer the concealment or removal of the vehicle identity plate; and
      ii) not cause or permit the vehicle identity plate to be defaced, altered or obliterated.

5. A proprietor or driver of a hackney carriage shall not retain, sell, transfer or otherwise dispose of the vehicle identity plate separately from the carriage in respect of which it has been issued, nor permit such plate to be retained, sold, transferred or otherwise disposed of.

TAXIMETERS

6. The proprietor of a hackney carriage shall ensure:

a) that the vehicle is fitted with a taximeter, which has been tested, sealed and certified by an authorised officer;

b) that when the machinery of the taximeter is in action there shall be recorded on the face of the taximeter in clearly legible figures, a fare not exceeding the rate or fare which the proprietor or driver is entitled to demand and take for the hire of the carriage as prescribed by the Council and displayed on the current fare table, and

c) that the taximeter shall be so placed that all letters and figures on the face thereof may be at all times plainly and distinctly visible to any person being conveyed in such carriage, and for that purpose the said letters and figures shall be capable of being suitably illuminated during any period of hiring.

7. a) Subject to the provisions of paragraph (b) of this byelaw, the proprietor or driver of a hackney carriage:

i) shall not tamper with or permit any other person to tamper with the taximeter or its fittings or connections after it has been fitted to the carriage and sealed by an authorised officer; and

ii) shall not wilfully break or tamper or permit any other person to break or tamper with any seal or mark placed on the taximeter or its connections.

b) If a taximeter affixed to a hackney carriage is found to be defective or inaccurate the proprietor of the carriage may (or may authorise another person to) break the seals of the taximeter for the purpose of effecting the necessary repairs, provided that:

i) the proprietor shall within 72 hours after breaking the seals give or cause to be given notice of the action taken in writing to the Council's Licensing Office (specifying the number of the licence of the carriage, the maker's name and number of the taximeter); and

ii) nothing in this byelaw shall be deemed to authorise a hackney carriage to be used or continue in use as such after the seals on any taximeter with which the hackney carriage is provided have been broken as aforesaid and before the taximeter has again been tested, sealed and certified as correct by an authorised officer.

8. The driver of a hackney carriage shall only set the taximeter in action when the carriage is hired. Immediately on the completion of a hiring the driver shall cause the taximeter or apparatus to cease recording, but to continue to show the fare recorded until the hirer has had a reasonable opportunity of seeing that fare.

9. The proprietor of a hackney carriage shall not cause or suffer such carriage to be used for the purpose of standing, plying or driving for hire and a driver of a hackney carriage shall not stand, ply or drive for hire if the seal on the taximeter is broken.

FARE TABLE

10. The proprietor of a hackney carriage shall ensure that the Fare Table provided by the Council, bearing a number corresponding with the number of the licence of such carriage setting forth the rate or fare fixed for the use of such carriage by the Council, is displayed in a prominent position within the vehicle so as to be plainly and distinctly visible and the particulars legible.

11. The proprietor or driver of a hackney carriage shall not wilfully or negligently cause or suffer the concealment or removal of the Fare Table, nor alter or obliterate any letters or figures on the Fare Table.

HIRING OF A HACKNEY CARRIAGE

12. a) The proprietor of a hackney carriage shall ensure the vehicle is fitted with a roof sign at the front of the vehicle bearing the word "TAXI" in plain letters and such a sign shall be capable of being suitably illuminated indicating that the vehicle is available for hire.

b) The driver of a hackney carriage shall ensure that the roof sign bearing the word "TAXI" is illuminated when the vehicle is available for hire and extinguished whilst a hiring is taking place or if the vehicle is not available for hire.

13. The proprietor or driver of a hackney carriage shall be entitled to demand and take for the hire of the carriage the rate or fare prescribed by the Council, the rate or fare being calculated by a combination of distance and time unless the hirer express at the commencement of the hiring his desire to engage by time.

14. Where a hackney carriage furnished with a taximeter is hired by distance and time the proprietor or driver thereof shall not be entitled to demand and take a fare greater than that recorded on the taximeter, save for any extra charges authorised by the Council, which it may not be possible to record on the face of the taximeter.

CARRIAGE OF PASSENGERS

15. The proprietor or driver of a hackney carriage shall not suffer or allow any person to ride in the front of the carriage, if the design does not permit such use.

16. A proprietor or driver of a hackney carriage shall not convey or permit to be conveyed in such carriage any greater number of persons than the number of persons specified on the vehicle identity plate displayed at the rear of the carriage.

CARRIAGE OF LUGGAGE

17. The driver of a hackney carriage so constructed as to carry luggage shall, when requested by any person hiring or seeking to hire the carriage -

a) convey a reasonable quantity of luggage;

b) afford reasonable assistance in loading and unloading; and

c) afford reasonable assistance in removing it to or from the entrance of any building, station or place at which he may take up or set down such person.

REPORTING CONVICTIONS, CAUTIONS & ENDORSEMENTS

18. If a proprietor or driver of a hackney carriage is found guilty, cautioned or convicted of any offence, or he receives an endorsement for a motoring offence, including a fixed penalty, he must report the details, in writing to the Licensing Office within 7 days. In case of a motoring endorsement he does not need to wait for the return of his licence from the DVLA, Swansea.

PUNCTUAL ATTENDANCE WHEN PREVIOUSLY HIRED

19. The proprietor or driver of a hackney carriage who has agreed or has been hired to be in attendance with the carriage at an appointed time and place shall, unless he has reasonable excuse, punctually attend with such carriage at such appointed time and place.

HACKNEY CARRIAGES TO BE KEPT IN GOOD ORDER

20. The proprietor of a hackney carriage shall:

a) provide sufficient means by which any person in the carriage may communicate with the driver;

b) cause the roof or covering to be kept watertight;

c) provide any necessary windows and means of opening and closing not less than one window on each side;

d) cause the seats to be properly cushioned or covered;

e) cause the floor to be provided with a proper carpet, mat or other suitable covering;

f) cause the fittings and furniture generally to be kept in a clean condition, well maintained and in every way fit for public service;

g) provide means for securing luggage if the carriage is so constructed as to carry luggage;

h) provide an efficient fire extinguisher, which shall be carried in such a position as to be readily available for use; and

i) provide at least two doors for the use of persons conveyed in such carriage and a separate means of ingress and egress for the driver.

APPOINTED STANDS AND ORDER OF WORKING.

21. A driver of a hackney carriage shall, when plying for hire and not actually hired:

a) proceed to and station the carriage on one of the stands appointed by the Council;

b) if a stand, at the time of his arrival, is occupied by the full number of carriages authorised to occupy it, proceed to another stand;

c) on arriving at a stand not already occupied by the full number of carriages to occupy it, station the carriage immediately behind the carriage(s) on the stand and so as to face in the same direction; and

d) when the carriage(s) immediately in front drive off or move forward cause his carriage to be moved forward so as to fill the place previously occupied by the carriage driven off or moved forward.

LOST PROPERTY TO BE SEARCHED FOR

22. The proprietor or driver of a hackney carriage shall immediately after the termination of any hiring, or as soon as practicable

thereafter, carefully search the carriage for any property which may have been accidentally left therein.

23. The proprietor or driver of a hackney carriage shall, if any property accidentally left therein be found by or handed to him, as soon as possible and in any event within 72 hours either -

a) return the property to its owner or someone acting on behalf of the owner and obtain a receipt for such property; or

b) deposit the property at a West Midlands police station and obtain a receipt for such property.

COMPLIANCE WITH AND THE PRODUCTION OF THE BYELAWS

24. The driver of a hackney carriage shall not knowingly or recklessly drive a hackney carriage for hire which does not comply with any of the requirements of these byelaws.

25. The driver of a hackney carriage shall at all times have a clean copy of these byelaws in good order ready to produce and upon request produce the same for perusal and inspection to any person who shall hire such carriage or to any authorised officer or Police Officer.

PENALTIES

26. Every proprietor or driver of a hackney carriage vehicle who shall offend against any of the foregoing byelaws shall be liable upon summary conviction for every such offence to a fine not exceeding level 2 of the standard scale and in the case of a continuing offence to a further fine not exceeding two pounds for each day during which the offence continues after conviction therefor.

REPEAL

27. These Byelaws shall be known as the Birmingham City Council Hackney Carriage Byelaws 2008 and shall repeal:

a) The Byelaws relating to Motor Hackney Carriages, which were made by the Council on the third day of July 1925 and confirmed by the Minister of Health on the eighth day of September 1925, and

b) the Byelaws relating to Motor Hackney Carriages, which were made by the Council on the twentieth day of March 1951 and confirmed by one of His Majesty's Principal Secretaries of State on the twenty-fifth day of May 1951.

THE COMMON SEAL of)
BIRMINGHAM CITY COUNCIL)
Was hereunto affixed in the)
presence of)

Authorised signatory

90606

The foregoing byelaws are hereby confirmed by the Secretary of State and shall come into force on the 26 day of June 200[illegible]

29/5/08

Signed [illegible] Authority of the Secretary of State.

Appendix 6 - Approved Vehicle Types – Private Hire

Approved Vehicle Types – Private Hire	LGMPA 76 s48(1)
The private hire licensing provisions apply to a variety of vehicles ranging from four-door saloon vehicles to people carriers, however, those vehicles should be:	
• built to M1 specification.	Policy PHVSpec1
• be capable of carrying a minimum of four average sized adults in comfort.	Policy PHVSpec3
• All vehicles must be right hand drive and must not have fewer than four road wheels.	Policy PHVSpec4
• Cars must have a minimum of four doors giving adequate access to and egress from the vehicle. The design of the car can be saloon, hatchback or estate.	Policy PHVSpec5
• Larger vehicles (MPV, minibus, or people mover types) must have sufficient doors of sufficient size to allow passengers to get in and out quickly and safely.	Policy PHVSpec6
• Where exit from the rear seats in vehicles equipped with three rows of seats requires operation of a tip seat mechanism, passengers must be able to exit from either side of the vehicle and the tip seats at either end of the middle row must be capable of independent operation.	Policy PHVSpec7
• Where a vehicle is equipped with pop-up, or auxiliary seats intended for occasional use only, those seats must not be included in the licensed capacity of the vehicle.	Policy PHVSpec8
• Where the vehicle configuration requires a whole bench seat to slide and/or tip for access/egress to the rear seats, the rear seats should not be included in the seating capacity and should be removed to avoid pressure from passengers to carry numbers in excess of the licensed capacity.	Policy PHVSpec9
• All vehicles must have a wheelbase (when measured from the centre of the front wheel to the centre of the rear wheel) of at least 2540mm (100 inches).	Policy PHVSpec10
• Cars must have a back seat width (when measured in a continuous line from edge to edge) of at least 1220mm (48 inches).	Policy PHVSpec11
• Larger capacity vehicles (MPV, minibus, or people mover types) which are fitted with individual seats, or which do not have full width bench seats, must have a minimum 407mm (16 inches) of seat space per passenger across the width of the seat.	Policy PHVSpec12
• Seat belts must be provided for all passengers according to the licensed capacity of the vehicle.	Policy PHVSpec13
• Vehicles equipped with soft tops, removable hard tops and people carriers (MPV types) described as black on the log book, will not be licensed for the purpose of private hire.	Policy PHVSpec14
• Vehicles fitted with darker tints and privacy glass can be licensed where the glass is to factory standard and vehicles are presented to licensing in an unmodified state, vehicles fitted with films, foils, or any other aftermarket tinting will be refused a licence, unless the tinting is removed and the vehicle returned to the manufacturer's standard specification.	Policy PHVSpec15

Revised Sept 2018 – Engine size restriction removed by Committee 19/09/2018 Policy PHVSpec2

Appendix 7 Approved Vehicle Types – Hackney Carriage

CITY OF BIRMINGHAM
SPECIFICATIONS FOR VEHICLES TO BE LICENSED AS WHEELCHAIR ACCESSIBLE HACKNEY CARRIAGES

1. Vehicle Type
1.1 Any vehicle that has been modified to accommodate a wheelchair user shall have been tested, or retested after modification, to meet the European Community Whole Vehicle Type Approval standards in the M1 category. As evidence of this, upon first licensing of any new type of vehicle, the manufacturer must supply an entire copy of the European Community Whole Vehicle Type Approval Certificate and the first vehicle, and all future vehicles of that type, must carry a second stage manufacturers VIN plate displaying the number shown on the certificate. Vehicle registration documents must also show the same type approval number, the vehicle category must be shown as M1 and the body type must be shown as TAXI.
1.2 All vehicles shall be subject to the following additional requirements:

a. 4 doors (excluding rear doors/tailgate unless accessible without the need to move seats);
b. right hand drive;
c. vehicles must conform to the Council livery scheme;
d. vehicles with seating for more than 5 passengers will only be accepted for licensing following prior inspection of the actual vehicle for compliance and for suitability of seating layout and access.

1.3. Once a vehicle has been approved it must remain in that form and no change in the specification, design, condition or appearance of the vehicle shall be made throughout its licensing life without prior written approval from the Council.
1.4. Not withstanding that the requirements of 1.1 and 1.2 above are fulfilled, the vehicle may not be approved for licensing by the Council until it has been inspected by individuals/groups nominated from time to time by the Council to comment on accessibility of the vehicle by wheelchair users and those with other disabilities.

2. Seating Capacity
2.1 The vehicle shall have a minimum seating capacity of 5 passengers up to a maximum of 8 passengers to be accommodated in the rear compartment and be capable of accommodating at least 1 wheelchair user. A vehicle where a wheelchair user reduces the overall capacity shall be permitted, subject to fulfilling all other requirements.
2.2 Only forward and/or rearward facing passenger seats shall be fitted.
2.3 All passenger seats and the devices used to secure them to the vehicle shall comply with the relevant M1 standards contained in European Directive 74/408 EC (as amended).
2.4. All passenger seats shall be permanently fixed to the vehicle. Demountable seats that are capable of being removed for the purpose of providing space for wheelchair user shall not be allowed. Fold-away tip-up type seats, shall be permitted providing they remain attached to the vehicle and comply with the requirements of 2.3 above.
2.5 All seats shall have a minimum cushion size of 350mm front to rear and 400mm side to side.
2.6. Every passenger seat should preferably have the forward edge highlighted in a contrasting colour so as to assist passengers with visual impairment.
2.7 The front passenger seat area shall be reserved for the carriage of luggage. Where a seat is fitted, it will not be considered suitable for passenger use and will not be taken

into account when determining the maximum passenger capacity of the vehicle for licensing purposes.

3. Seat Belts
3.1 All passenger seats shall be provided with a lap and diagonal 3 point seat belt appropriate to the type and position of the seat which complies with the strength requirements specified in European Directive 77/541/ EC as amended and Regulations 46 and 47 of the Road Vehicle (Construction and Use) Regulations 1986, whether or not those Directives or Regulations apply to that particular seat or the vehicle.
3.2. Each wheelchair user shall be provided with a disabled persons seat belt which fastens to the structure of the vehicle either permanently or temporarily by use of approved fixings appropriate to the position of the wheelchair as laid down in European Directive 76/115 EC as amended and Regulations 46 and 47 of the Road Vehicle (Construction and Use) Regulations 1986, whether or not those Directives or Regulations apply to that particular seat or the vehicle.
3.3 All seat belts fitted and available for use shall comply with European Directive 77/541/EC (as amended).
3.4 All seat belts shall be fitted to the vehicle with the number of anchorage points appropriate to the type of seat belt. All anchorage points shall comply with M1 standards laid down in European Directive 76/115 EC (as amended by Directive 96/38 EC) or ECE Regulation 14 whether or not those requirements apply to that particular anchorage or vehicle.

4. Wheelchair Restraint(s)/Passenger Safety Equipment
4.1 A system for the effective anchoring of wheelchairs shall be provided within the vehicle for all spaces designated as wheelchair spaces. The system and the devices used to secure the wheelchair to the vehicle shall comply with the strength requirements for M1 standards laid down in European Directive 76/115 EC whether or not those directives apply to those devices or vehicle. Wheelchair(s) must only face forward or rearward when the vehicle is in motion.
4.2. A full set of restraints shall be available in the vehicle for each wheelchair capable of being carried as permitted by the vehicle license.

5. Wheelchair Space
5.1 The vehicle shall have a designated space capable of accepting a reference wheelchair, of at least 1200mm by 700mm (measured front to back and side to side) with a minimum headroom of 1300mm measured from the floor of the vehicle for each wheelchair user. The space(s) shall be immediately adjacent to a vehicle door fitted with the wheelchair access equipment (see 6 below) so as to allow the wheelchair user to board the vehicle and use the anchoring equipment with the minimum of manoeuvring.

6. Wheelchair Access Equipment
6.1 The vehicle shall be fitted with the following form of wheelchair access equipment.
RAMP: A purpose-designed wheelchair single-plate access ramp which must be permanently installed in the vehicle and be lightweight and easy to deploy, An add-on removable section would be deemed to meet this requirement. The ramp must provide a continuous surface of not less than 700mm in width and shall not exceed 1900mm in length when fully deployed. On level ground the ramp shall have a maximum gradient of no more than 33% in the fully deployed position. The installed ramp must have a minimum safe working load of 300kgs and shall be tested to 25% overload and a certificate obtained from the manufacturer installer. By 2010 all new vehicles with ramps and fittings must comply with British Standards 6109.

6.2 The wheelchair access equipment shall be fitted such that it terminates at the interior floor level so as to allow for smooth ingress/egress without the need to negotiate any step etc.
6.3. The aperture of the door into which the access equipment is fitted shall have minimum clear headroom in its central third of 1200mm. The measurement shall be taken from the upper centre of the aperture to a point directly below on the floor of the vehicle.
6.4 The aperture of the door into which the access equipment is fitted shall have a minimum width of 750mm at and below window height so as to allow the easy ingress/egress of a wheelchair.
6.5 A mechanism shall be fitted that positively holds the access door in the open position whilst in use and that requires a deliberate effort to close.

7. Bulkhead/Drivers Safety Screen
7.1 All vehicles shall have a bulkhead/drivers safety screen fitted, it shall be a full width, and full height screen fitted in the vehicle directly behind the driver's seat. The upper section of the bulkhead/safety screen shall consist of a clear vision panel sufficient for the driver to be able to see a substantial amount of the passenger compartment which must include vision of all access doors. A means of passing payment shall be incorporated into the screen to enable payment to be made from within the vehicle.
7.2 The vision panel section of the bulkhead/safety screen shall be constructed of safety glass without tint to the standard required for windscreens laid down in Regulations 30, 31 & 32 of The Road Vehicles (Construction and Use) Regulations 1986 or any clear material with at least the same impact resistance and safety qualities as that of safety glass.
7.3 Any bulkhead/safety screen system must allow verbal communication between the driver and passenger by way of an intercom system which can be operated by the passenger.

8. Hearing facility
8.1 An induction loop facility must be installed and clearly signed for the use of passengers with hearing aids.

9. General Entry and Exit Requirements
9.1 The vehicle shall have a minimum of 2 means of exit from the passenger compartment behind the driver for use in emergency situations. The means of exit shall be free of any obstructions, reachable from all parts of the rear passenger compartment. Any gap through which a passenger can be expected to pass shall be of a minimum width of 400mm through which an adult can pass freely in a normal manner without undue difficulty.
9.2 Where a tailgate/rear door(s) are included as an exit, they shall be clearly marked "Emergency Exit" together with clear instructions relating to the means of opening. All markings shall be on the inside of the vehicle in a minimum lettering size of 25mm.
9.3 All vehicles must be side passenger loading. Rear passenger loading vehicles are not permitted.

10. Floor Height, Steps and Handrails
10.1 At the main access door into the passenger area of the vehicle, steps shall be provided to aid ingress/egress as follows:
a. Where the internal floor height of the vehicle exceeds 380mm an intermediate step shall be fitted every 300mm from road level up to the internal floor height. All steps must be capable of supporting a minimum weight of 150kg.

b. The tread area of all steps must have a minimum depth of 150mm and shall have a slip / resistant surface. All steps, both internally and externally, shall have all open edges highlighted in a contrasting high-visibility colour to match handrails and seat markings.
c. Handrails must be fitted in appropriate positions in all passenger access doors so as to assist (intending) passengers and to facilitate the use of steps where provided. All handrails fitted shall be highlighted in a contrasting high-visibility colour to match seat markings as shown at 2.6 above and be of a non-slip finish.

11. Windows/Ventilation
11.1 The vehicle shall have windows fitted throughout on both sides of the vehicle and to the rear of the passenger compartment. A minimum of one window on each side shall be capable of being opened for the purpose of ventilation and passenger comfort.
11.2 All windows shall comply with European Directive 92J22/EC (as amended).
11.3 Only original manufacturers approved glazing shall be permitted. No aftermarket additions, e.g. film or spray coatings, shall be permitted other than clear additions which are intended to improve driver/passenger safety. All windows and glazing with or without additions designed to improve driver/passenger safety must achieve a minimum of 70% light transmission except where otherwise required by the Road Vehicle (Construction and Use) Regulations 1986.

12. Floors and Passageways
12.1 All floor areas and passageways between seats through which passengers may be expected to pass shall be free of all steps, encumbrances or trip hazards and shall have a slip resistant surface securely fitted to the floor. Integral step(s) at doorways will not count towards this requirement.
12.2 Any gap through which a passenger can be expected to pass shall be of a minimum width of 400mm through which an adult can pass freely in a normal manner without undue difficulty.

13. Interior Lighting
13.1 The vehicle shall have interior lighting fitted in the passenger compartment sufficient to illuminate the whole of that compartment. The light(s) shall be switched such that they may be turned on and off from both the driving and passenger compartments and shall operate automatically when a door is opened.
13.2 A means of illuminating the entrance steps at all access doors into the passenger compartment shall be fitted and switched such that they operate automatically when a door is opened.

14. Luggage Space
14.1 There shall be a luggage compartment situated at the front or rear of the vehicle. If at the front it must be forward of a bulkhead/safety screen and on the opposite side of the driving compartment. The luggage compartment must be divided off by a barrier capable of preventing any luggage from entering the driving compartment or rear passenger compartment.
14.2 The luggage compartment shall have sufficient capacity to accommodate a reasonable amount of luggage for each of the maximum number of passengers that can be carried.
14.3 Unoccupied wheelchairs etc carried as luggage shall be securely loaded outside of the main passenger compartment.
14.4 A suitable restraint system shall be provided so as to minimise any movement of luggage whilst in transit.

14.5 The luggage compartment shall have a permanently fitted light for illumination which operates automatically on opening the door boot lid.

15. Taximeter and Fare Card
15.1 The vehicle shall be equipped with a taximeter of an approved type that is fully activated and calibrated to the current fare card (as amended) so as to be capable of charging no more than the permitted rate of fare at anytime.
15.2 The taximeter shall be securely fitted in a position such that the fare can be easily and clearly read by any passenger inside the vehicle.
15.3 The current fare card shall be displayed in the vehicle so as to be easily and clearly read by any passenger. Where a bulkhead is fitted, an additional fare card shall be displayed in the rear passenger compartment so as to be easily and clearly read by any passenger.
15.4 Proper provision shall be made for the display of the fare card to accommodate at least an A5 size fare table.
15.5 Proper provision shall be made for the display of the vehicle license plate on the rear of the vehicle.

NOTES:
Any vehicle approved and licensed by the Council, in addition to the above requirements, will also be subject to conditions attached to licences (as amended) and to byelaws in respect to hackney carriages (as amended).

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Appendix 8 – Hackney carriage vehicle conditions.

The Hackney Carriage Vehicle Licence is granted subject to the following conditions. Failure to comply with these conditions could lead to a criminal prosecution and/or your licence being suspended, revoked or not renewed.
If you are aggrieved by any of the conditions attached to this licence you may make an application for exemption from them and attend a hearing before the Licensing Sub Committee, alternatively you can appeal to a Magistrates Court within 21 days of the service of this licence on you.
If you have any difficulty in understanding or complying with of any of the conditions below, please let the Licensing Office know immediately so that arrangements can be made to assist you in that respect.
These conditions are attached to your licence in addition to any other legal requirements to which you are required to comply. These include, but are not restricted to, the Local Government (Miscellaneous Provisions) Act 1976, the Health and Safety at Work etc. Act 1974

CONDITIONS
No front seat passengers are permitted to travel in any Hackney Carriage Vehicle
DETAILS TO BE REPORTED
1. You must notify the Licensing Office, in writing, within **7 days** if you,
a) are convicted of any criminal or motoring offence
b) are cautioned for any criminal or motoring offence (by the Police or any other agency)
c) receive a Magistrates' Court summons
d) receive a fixed penalty notice for any criminal or motoring offence
e) receive a police warning or court order in relation to harassment or any other form of anti-social behaviour
f) receive a civil or family law injunction
g) are arrested for any offence (whether or not charged)
h) are charged with any criminal offence.
i) are refused any type of licence by any other regulatory authority or any such licence is suspended, revoked or not renewed and provide the following information:
i. The name of the council.
ii. The licence number(s) of the licence(s) suspended or revoked.
iii. The date of the decision.
iv. A copy of the decision notice issued by the other council giving the grounds for the action taken.
j) change your home address
k) keep the vehicle when it is not in use at an address that is not specified on your licence

2. If any of your vehicle's identity plates are lost or stolen you must report the loss or theft in writing to the Licensing Office within **3 days**.

DOCUMENTATION TO BE MAINTAINED FOR VEHICLE & DRIVER(S)

3. Only a licensed hackney Carriage driver can drive a licensed Hackney Carriage vehicle. If you propose to allow someone else to drive your vehicle at any time, before doing so you must obtain from the driver the following documents:

a) A copy of their current Birmingham City Council Hackney Carriage Driver's Licence, and

b) A copy of their insurance documentation covering them to use the vehicle for the purpose of public hire.

You must ensure that the driver's Hackney Carriage Driver's Licence and insurance remain current for the duration of the period they have your vehicle.

4. You must retain the above documents for a period of 12 months following their expiry and these documents must be available for inspection at any time to an authorised officer. If you let the vehicle to a driver you must ensure that the driver's licence is deposited with you first. The vehicle cannot ply for hire in Birmingham unless it is driven by a Birmingham licensed Hackney Carriage Driver.

5. If the driver(s) details change at any time from the details notified at the time of application, in addition to the preceding condition, you must notify the Licensing Section, in writing within 7 days and forward a copy of the revised insurance documentation at the same time.

6. You must ensure that there is a current certificate or policy of insurance in force for the vehicle throughout the duration of the licence, whether it is being driven or not at the time.

7. If there are exceptional reasons which prevent you from maintaining or ensuring continuous insurance cover, for whatever reason, throughout the duration of the licence you must attend and notify the Licensing Office, in writing, within 72 hours following the insurance cover expiring or lapsing. At the same time you must return the vehicle identification plates as the vehicle will be liable to suspension until insurance cover is produced.

LOST PROPERTY

8. You must immediately after the termination of any hiring, or as soon as practicable thereafter, carefully search the Hackney Carriage vehicle for any property which may have been accidentally left therein.

9. Any property accidentally left in a Hackney Carriage Vehicle must be handed in to the nearest West Midlands Police Station as soon as possible, and, in any event, within 3 days of the property being found.

VEHICLE IDENTIFICATION PLATES & SIGNAGE

10. The vehicle identification plate issued to you remains the property of the Council and must not be sold or transferred separately from the Hackney Carriage.

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11. Should your Hackney Carriage Vehicle Licence expire, you must return the vehicle identification plate to the Licensing Office within 7 days.
12. The rear identity plate must be fitted externally on the rear of the vehicle in such a place and manner to ensure that all of the information displayed on the identity plate is clearly visible at all times.
13. The rear identity plate must be securely attached to the vehicle in such a manner so that it cannot be removed without the use of tools. It must not be affixed using string, tape, magnets, Velcro or any other similar material. If a securing bracket is not used the identity plate must be fixed to the vehicle using bolts, rivets or screws.
14. You must ensure that the vehicle licence number and a copy of the approved fare table are displayed in a prominent position within the vehicle so as to be clearly visible to passengers at all times.

ADVERTISING

15. No advertisement shall be displayed upon the interior or exterior of a Hackney Carriage which contains, promotes or involves drugs, alcoholic drinks, politics, nudity (partial or otherwise) or sex (including articles or products associated with birth control) without the permission of the City Council.
16. No advertisement which has been prohibited by the Advertising Standards Agency shall be displayed upon the exterior or interior of any Hackney Carriage.
17. No advertisement shall be displayed in such a manner so as to contravene the Road Traffic Acts or the Road Vehicle (Construction and Use) Regulations.
18. Any advertisement displayed upon the exterior of a Hackney Carriage shall be located either upon:-
a) The whole vehicle (whole livery);

b) Each side of the vehicle;
c) The rear windscreen provided that an advertisement shall only be displayed upon the rear windscreen if the advertisement is printed upon a transparent screen which does not obscure the driver's view.

d) The roof of the vehicle as an approved “taxitop” installation

e) With the exception of c) above, advertisements on windows are not allowed.

19. Only those companies approved by Birmingham City Council may install “taxitop” advertising units and installation or removal of units, must be carried out by the company’s nominated installer.
20. No additional advertising media of any description is to be displayed or installed in or on the vehicle, at the same time as the roof top advertising unit. Taxi radio circuit or app booking service logos may be displayed in a single location on both sides of the vehicle, but must not be larger than 30 cm^2.

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NB - Only one advertisement is allowed in any one location on the vehicle. For this purpose, both doors on each side of the vehicle constitute one location.
21. The proprietor shall maintain the advertisement in a clean and tidy condition and shall remove any advertisement, which is damaged, defaced or out-dated.
22. No advertisement shall be displayed within the interior of the vehicle unless it is located upon the underside of the tip-up seat within the vehicle or displayed via an electronic media system with the prior approval of the Licensing Committee.
23. Any advertisement, which, in the absolute discretion of the City Council, is considered to contravene these conditions shall be removed forthwith.
The following condition only relates to licences issued in respect of van derived vehicles e.g. Mercedes Eurocab, Peugeot Euro 7 Taxi and Fiat Eurocab:
24. The licence is granted on condition that the vehicle will not be allowed to carry whole livery or "taxi top" advertisements and that the colour of the vehicle must remain black throughout the period of the licence.

TAXIMETERS

25. The taximeter fitted to the vehicle shall be of an approved type, and shall be subject to an annual test to be carried out by the Council to ensure that it is calibrated to the fare table currently in force at the time.
26. The seal on the taximeter will not be tampered with at any time.

MAINTENANCE OF VEHICLES

27. The interior of the vehicle shall be kept clean and tidy at all times when in use as a Hackney Carriage Vehicle.
28. The exterior of the vehicle to be clean at all such times, having due regard to the weather conditions on the day.
29. The vehicle and all its fittings and equipment shall at all times when the vehicle is in use or available for hire be kept in an efficient, safe, tidy and clean condition. In particular all data boxes, radios, PDA's or any other equipment installed in the vehicle must be affixed to the vehicle by use of secure fittings so they cannot be easily removed, to prevent injury or harm to the driver or passengers.
30. Once a vehicle has been inspected by one of the Licensing Office's approved MOT stations and a licence has been granted it must be maintained in that form and condition. No change in the specification, design or appearance of the vehicle or addition of any body work accessories shall be made within the duration of the licence without the prior written approval from the Licensing Office.
31. Only tinted and anti-glare windows fitted by the vehicle's manufacturer are acceptable

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MISCELLANEOUS

32. A copy of these conditions must be kept in the vehicle at ALL times and shall be made available for inspection on request by an authorised officer of the Licensing Authority or a Police Constable.

33. From 01/01/2020 no Birmingham licensed hackney carriage vehicle shall be used to carry passengers on a hire and reward basis, unless the means to process credit, debit and pre-loaded payment card transactions is carried on board.

GUIDANCE

The Equality Act 2010 brings together a number of existing laws into one place so that it is easier to use. It sets out the personal characteristics that are protected by the law and the behaviour that is unlawful.

Under the Act people are not allowed to discriminate, harass or victimise another person because they have any of the protected characteristics including disability. The act gives examples of unacceptable behaviour whilst the Equality Commission web site (www.equalityhumanrights.com) gives examples of best practice.

Smoke Free Legislation

Private Hire Vehicles and 'Taxis' are smoke free vehicles and nobody may smoke within these vehicles. Appropriate 'No Smoking' signage must be displayed in the vehicle. Furthermore, any enclosed premise that is used as a workplace or is used by the public, for example, making bookings, must be smoke-free. Failing to prevent smoking in a smoke free place can lead to prosecution and a maximum fine of £2,500 being imposed on whoever manages or controls the smoke-free premises or vehicle. For further advice and guidance on this matter please go to www.smokefreengland.co.uk

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Appendix 9 Private Hire Signage Policy

- Unless specifically granted exemption to all or part of the private hire vehicle signage policy, all licensed private hire vehicles must display the full range of prescribed signage throughout the duration of the licence.
- The rear licence plate must be fixed to the exterior rear of the vehicle, in such a position as to be clearly visible. The plate should be attached using a purpose made bracket, or other appropriate fixing in order to render it impossible to remove without the use of tools.
- The Semi-permanent door signs must be applied to the centre of both rear passenger doors and must remain in place for the duration of the licence
- The double-sided front windscreen sign must be fixed inside the nearside bottom corner of the windscreen, in a position where it is visible to an observer outside the vehicle and to a front seat passenger.
- A Call Sign number, to be issued by the Licensed Operator, must be displayed in the upper nearside corner of the rear window and the upper nearside corner of the front windscreen.
- All plates and signage displayed on the vehicle must be kept clean, unobstructed and must not be altered or tampered with in any way.
- A private hire vehicle must not be driven or operated, unless it is displaying in the manner prescribed, the vehicle identification plates, which must remain continuously attached throughout the duration of the licence, unless the licence is surrendered, suspended, or revoked.
- No Smoking signage must be displayed in the vehicle and comply with current smoke free legislation.
- Private Hire Operator Door Signs must be displayed on the front doors of the vehicle whenever the vehicle is employed on a job or available for dispatch. Vehicles MUST display the door sign appropriate to the job on which they are employed and MUST NOT display more than one door sign at the same time or display the door sign for one operator, when undertaking work on behalf of another.
- The plates and signage may only be displayed on the Birmingham City Council licensed private hire vehicles for which they were issued. No one may cause or permit the plates or signs to be placed on any other vehicle.
- If a Private Hire Vehicle Licence expires, is suspended, revoked, or refused renewal, the vehicle identity plates issued by the Licensing Authority, must be returned to the Licensing Office within 7 days.
- Vehicles granted exemption from any of the requirements of the Private Hire Vehicle Signage Policy must carry the exemption letter at all times and it must be produced on request to a Police Officer or an authorised officer of Birmingham City Council or any other local licensing authority.

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Appendix 10 Private Hire Operator Conditions

This licence is granted subject to the following conditions. Failure to comply with these conditions could lead to a criminal prosecution and/or your licence being suspended, revoked or not renewed.

If you are aggrieved by any of the conditions attached to this licence you may make an application for exemption from them and attend a hearing before the Licensing Sub Committee, alternatively you can appeal to a Magistrates Court within 21 days of the service of this licence on you.

If you have any difficulty in understanding or complying with of any of the conditions below, please let the Licensing Office know immediately so that arrangements can be made to assist you in that respect.

These conditions are attached to your licence in addition to any other legal requirements to which you are required to comply. These include, but are not restricted to, the Local Government (Miscellaneous Provisions) Act 1976, the Health and Safety at Work etc. Act 1974

CONDITIONS

INFORMATION TO BE REPORTED TO THE LICENSING OFFICE

1. You must notify the Licensing Office, in writing, of the name and details of any individual to be nominated as a Responsible Person for managing your business in your absence at least **7 days** prior to their commencement in that role.

2. You must notify the Licensing Office, in writing, within **7 days** if you, or any individual or company named on the application form or a currently appointed Responsible Person

a) is convicted of any criminal or motoring offence

b) is cautioned for any criminal or motoring offence (by the Police or any other agency)

c) receives a Magistrates' Court summons

d) receives a fixed penalty notice for any criminal or motoring offence

e) receives a police warning or court order in relation to harassment or any other form of anti-social behaviour

f) receives a civil or family law injunction

g) is arrested for any offence (whether or not charged)

h) is charged with any criminal offence.

i) is refused any type of licence by any other regulatory authority or any such licence is suspended, revoked or not renewed

j) changes home address

k) if any company or limited liability partnership changes its registered office

l) if any changes are made in the ownership/management/partnership of the operation as specified in your application form.

m) If a Responsible Person ceases to be employed in this capacity

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3. When notifying the Licensing Office of any matters required by Condition 2. You must provide full details of any such matter and if asked, provide any further information that might reasonably be asked for by an authorised officer.
4. You must provide the Licensing Office an updated Driver and Vehicle List on the first of every month. This list should include **all** drivers and vehicles operated by you for the purposes of private hire and their call signs.
5. When supplying information to the Licensing Office this MUST be in writing but can be provided by post, in person or via email.

DISPLAY OR PROVISION OF A COPY OF THE LICENCE

6. If the public have access to your premises your licence and the conditions attached to it must be prominently displayed in a position that is clearly visible.
7. If the public do not have access to your premises then upon request you must either provide a copy or permit any member of the public to view a copy of your licence and conditions attached to it.
8. If you have a website a copy of your licence and conditions attached to it must be available on your website.
9. In respect of these copies of your licence either on display, on request or online you may redact your personal address if shown on the licence.

STAFF

10. No person other than a director, partner, employee or contractor shall be engaged in any aspect of the business.
11. You must keep and maintain at the licensed premises a register of all such persons, which shall include
(a) their full name
(b) date of birth
(c) home address
(d) national insurance number
(e) contact telephone number
(f) any call sign/codes they are allocated
(g) the dates their employment commenced/terminated
(h) documentary proof of identification
(i) documentary proof that each has been registered with HMRC as an employee
(j) documentary proof of their right to work in the UK

12. Either you or a Responsible Person over the age of 18 and notified by you in writing to the Licensing Office pursuant to Condition 1 must be in charge of the operation and immediately contactable by an authorised officer or police constable at any time during the hours of operation.
13. You must ensure that any Responsible Person left in charge of the premises in your absence is fully aware of these conditions of licence, the need to comply with them and be able to produce the records to an authorised officer or police constable on request.

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14. The aforementioned register must be retained at the premises and be made available to an authorised officer or police constable for inspection at any time during the hours of operation.

STATIONERY & ADVERTISEMENTS

15. You must not advertise your private hire business or use stationery
(a) with a trading name that is not included in your Private Hire Operator's licence
(b) showing your trading name in a different style/format of letters, numbers or logos
(c) which includes any references or information which may be misleading to the public

without obtaining the prior written approval of the Licensing Office

16. You must not advertise your private hire business in a manner which gives rise to confusion with another private hire operator licensed by this Council or any other neighbouring council.

17. No notice, sign or advertisement seeking to advertise or promote your business of a private hire operator, wherever it is displayed, shall consist of or include the words "TAXI" or "CAB" or "For Hire" whether in the singular or plural, or any words or devices which give any indication that the service to which the notice, sign or advertisement relates is that which can only be provided by a licensed Hackney Carriage.

18. You must ensure that staff answering your private hire telephone number(s) does so by using your trading name only.

19. If you do not issue an electronic receipt to the customer, you must provide drivers with stationery that they can use for issuing receipts. Electronic receipts shall include your trading name, details of the driver, the journey and fare paid. Stationery shall include your trading name and have spaces for the driver's call sign, details of the journey and fare paid to be recorded.

DRIVERS AND VEHICLES

20. Private Hire Operators in the City of Birmingham shall only operate with vehicles and drivers licensed by the Birmingham City Council and shall operate only from premises within the City boundary.

21. Mobile phones or smart phones are not allowed to be used, installed, fitted to or carried in any private hire vehicle for the purpose of inviting, passing or accepting bookings for that vehicle.
The only exception to this is where a smart phone is installed specifically to host an app. designed for the acceptance of bookings from you.

22. Should a taximeter be fitted to any private hire vehicle operated by you, you must ensure that it has been tested, sealed and certified to have been calibrated and set to your tariff(s) before it can be used for calculating fares for passengers.

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23. If technology is provided by the operator to enable route planning and fare calculation they should ensure that drivers proceed to the destination by shortest possible route, through the programming of any technology provided by the operator, which is designed to assist drivers in route planning and calculation of fares.
Deviating from the shortest possible route is only allowed when the driver obtains the agreement of the passenger to do so.

VEHICLE IDENTITY PLATES & SIGNAGE

24. You must ensure that every private hire vehicle operated by you is issued with such operator signs and notices as may be required for the vehicle to be compliant with the requirements of the City Councils Vehicle Signage Policy and approved in writing by the Licensing Office. No other signage is permitted.
25. You must not change the design of your operator signs without obtaining the prior written approval from the Licensing Office.
26. Only one approved door sign design is to be in use at any one time. All previous versions must be removed from circulation within 14 Days of a new approved sign being introduced.

RECORDS OF BOOKINGS

27. You must keep a record of every private hire booking either in writing in a suitable hard back book which has consecutive page numbers or a proprietary computerised booking and dispatch system.
28. If you use a book you must ensure the entries are clearly and easily legible, with no line spaces or blank pages.
29. Should you wish to use change your computerised system, then you must first notify, in writing, the Licensing Office.
30. If you have a computerised booking system, you must ensure it is able to produce a print out of any records requested by an authorised officer or police constable at all times.
31. At the time of accepting each booking an entry shall be made in the record book or computerised booking and dispatch system that shall include:
ai) The name and signature of the person making the record and the radio operator for each period of duty - Record Book only
aii) The code for the person making the record - Computerised system only
b) The date on which the booking is made and, if different, the date of the proposed journey
c) The name of the person for whom the booking is made or, if more than one person, the name of one of them
d) The agreed time and place of collection, or, if more than one, the agreed time and place of the first place of collection
e) The destination
f) The time a vehicle was allocated to the booking
g) The driver’s call sign or registration number of the vehicle allocated the booking
h) The fare agreed for the journey (where appropriate)
i) If applicable, the name of the other operator from whom a booking was received and / or to whom the booking was subcontracted.

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32. Recording destinations - The very minimum you should record is the street and postal area of the main destination (e.g. Stratford Road, Hall Green) or the place (e.g. The Robin Hood, Stratford Road). At best it should be the full postal address (e.g. 1456 Stratford Road, Hall Green, B28 9ES). It is not sufficient to record just the postal area (e.g. Hall Green) as that would cover too wide an area. However where you know the full postcode (e.g. B28 9ES) that will suffice, as it would identify the street destination.
33. When allocating a booking to a driver, you must provide them with all of the following details:
a) the name of the person for whom the booking is made
b) the agreed time and place of collection
c) the destination
d) the fare agreed (if applicable).
34. You must not accept or record details of any booking passed to you by a driver.
35. Your records of all private hire bookings, whether retained in a book or on a computerised system, must be kept at your licensed premises for at least 12 months and be readily available for production to an authorised officer or police constable for inspection at any time during the hours of operation.

DRIVER AND VEHICLE RECORDS AND DOCUMENTS

36. You must keep and maintain an up to date record of **all** the drivers and vehicles operated by you for the purposes of private hire on a Driver and Vehicle List, which must include:
a) the call sign allocated to the driver/vehicle
b) the driver's name and private hire badge number
c) the vehicle's registration and private hire plate numbers
d) the date the driver joined you and, if applicable, ceased working for you.
37. You must obtain and retain the following documentation in respect of every vehicle and driver you operate prior to allocating them any bookings, namely:
a) a copy of the driver's current private hire driver's licence or badge
b) a copy of the vehicle's current private hire vehicle licence or front identity plate
c) a copy of the vehicle's current MOT certificate
d) a copy of the vehicle's current insurance certificate or cover note in respect of the driver using the vehicle.
e) a copy of the Taximeter Calibration Certificate, where appropriate
38. The above documentation relating to vehicles and drivers must be retained at your licensed premises for at least 12 months after a vehicle or driver ceases to undertake work for you and be readily available for production to an authorised officer or police constable for inspection at any time during the hours of operation.

COMPLAINTS

39. You must establish a complaints procedure and take all reasonable steps to fully investigate any complaints, ensuring a record is kept of the following information:

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a) the name, contact details of complainant and date complaint received
b) the date, time and details/nature of the complaint
c) the name of the driver (and Badge number) or member of staff, to which the complaint relates
d) details of the investigation carried out and any action taken.
40. Upon receiving a complaint or allegation concerning:
a) sexual misconduct, sexual harassment or inappropriate sexual attention
b) racist behaviour
c) violence
d) dishonesty such as overcharging, theft or retention of lost property
e) breach of equality legislation, such as refusing to carry an assistance dog

regarding any person licensed by Birmingham City Council you must report it immediately when the licensing office is open, and in any other event immediately upon the Licensing Office next opening.
41. Your records of complaints, whether retained in a book or on a computerised system, must be kept for at least 12 months at your licensed premises and be readily available for production to an authorised officer or police constable for inspection at any time during the hours of operation.

Passenger Service Vehicles

42. Where a PHV operator also holds a PSV operator's licence, PSV's should not be used to fulfil bookings except with the informed consent of the hirer. This consent shall be recorded as part of the booking record.
For example, if a member of the public contacts a PHV operator and seeks a booking for a party of fewer than nine passengers it cannot be reasonable to assume a PSV is required unless there are other factors, e.g. a large amount of baggage, or a need for a wheelchair accessible vehicle which would not otherwise be available. If there is no good reason to use a PSV for a booking for fewer than nine passengers, the difference in licensing requirements should be explained and explicit consent obtained.

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Appendix 11 Hackney Carriage Fare Table

BIRMINGHAM CITY COUNCIL

HACKNEY CARRIAGE - TABLE of FARES

It is a criminal offence NOT TO PAY THE TAXI FARE, which is covered by The Theft Act 1968, The Theft Act 1978 and The Fraud Act 2006.

The taximeter is programmed to select the correct tariff automatically, from the tariffs as detailed below, depending on the date, day and time of day that the Hackney Carriage is being hired using real time clock tariff changes in hired mode.

TARIFF ONE: STANDARD DAY RATE Applicable Monday to Friday From 04.00hrs to 22.00hrs AND on Saturday - From 07.00hrs to 22.00hrs (EXCEPT for those days and times as specified in Tariffs Two, Three and Four)	***TARIFF TWO:*** WEEKDAY NIGHT RATE Applicable Sunday to Thursday – From 22.00hrs to 04.00hrs the next day AND on Sunday - From 07.00hrs to 22.00hrs AND All Bank Holidays - From 00.00hrs to 22.00hrs. (EXCEPT for those days and times as specified in Tariffs Three & Four)
TARIFF THREE: WEEKEND NIGHT RATE Applicable Friday and Saturday – From 22.00hrs to 07.00hrs the next day AND on Boxing Day - From 00.00hrs to 24.00hrs AND on Christmas Eve - From 19.00hrs to 24.00hrs AND on New Year's Eve - From 19.00hrs to 24.00hrs	***TARIFF FOUR:*** CHRISTMAS & NEW YEAR SEASON Applicable on Christmas Day and New Year's Day On Christmas Day - From 00.00hrs to 24.00hrs A N D On New Year's Day - From 00.00hrs to 07.00hrs

	TARIFF ONE	***TARIFF TWO***	***TARIFF THREE***	***TARIFF FOUR***
INITIAL CHARGES:				
A charge of	£3.20	£3.20	£3.20	£4.20
For the first	187.5 yards	195.6 yards	180.5 yards	220 yards
or part thereof				
MILEAGE CHARGES:				
A charge of	20p	20p	20p	30p
For each subsequent	125.0 yards	97.8 yards	90.3 yards	110 yards
or part thereof until	1062.5 yards	684.6 yards	632 yards	770 yards
have been travelled.				
Thereafter:				
A charge of	20p	20p	20p	30p
For each subsequent	183.3 yards	172.5 yards	159.3 yards	176 yards
or part thereof				
Equivalent to a rate per mile of	£1.92	£2.04	£2.21	£3.00
WAITING & TIME CHARGES:				
A charge of	20p	20p	20p	30p
For each	42.8 secs	40.0 secs	36.9 secs	45.0 secs
or part thereof				
Equivalent to an hourly rate of	£16.82	£18.00	£19.50	£24.00
SOILAGE CHARGES:				
An additional charge may be made in the event of SOILAGE OR FOULING OF THE VEHICLE	£40.00	£40.00	£40.00	£60.00

EXTRA CHARGES:	
For every person in excess of one	20p
For every article of luggage carried outside the passenger compartment	20p
Any road toll or barrier charge incurred in the execution of the hiring	

COMPLAINTS

Any complaint of overcharging, or about this taxi or taxi driver, should be sent in writing to The Enforcement Section, Birmingham City Council, Phoenix House, Garretts Green Trading Estate, Valepits Road Birmingham B33 0TD, or by telephoning 0121 303 9611, quoting the number of the taxi and the number of the driver's badge. Enquiries regarding property accidentally left in a taxi should be made at the nearest West Midlands Police Station.

H00000

Birmingham Fare Table 30/09/2022

DRAFT

DRAFT

Environment and Sustainability Assessment

Project Title:	**Hackney Carriage & Private Hire Policy**			
Department: Licensing	**Team:** Licensing			**Person Responsible for assessment:** Emma Rohomon
Date of assessment: 28/11/22		**Is it a new or existing policy/strategy/decision/development proposal?** New document consolidating existing policies		
Brief description of the proposal: New document consolidating existing policies relating to hackney carriage and private hire matters				
Potential impacts of the policy/development decision/procedure/ on:	**Positive Impact**	**Negative Impact**	**No Specific Impact**	**What will the impact be? If the impact is negative, how can it be mitigated, what action will be taken?**
Natural Resources- Impact on natural resources including water, soil, air			x	The use of petrol/diesel driven taxis has an impact on air quality, there is no legislation which allows the Council to prohibit petrol/diesel vehicles being used, but officers are working closely with taxi firms to encourage the use of low/zero emission vehicles.
Energy use and CO_2 emissions	x			encouraging low/zero emission vehicles to be used will have impact on reducing CO2 emissions and NOX.
Quality of environment			x	
Impact on biodiversity			x	
Use of sustainable products and equipment			x	
Council plan priority: a city that takes a leading role in tackling climate change	x			officers are actively working with taxi firms to encourage the use of low/zero emission vehicles
Overall conclusion on the	The document consolidates existing policies into a single document. Policies within include age policy			

environmental and sustainability impacts of the proposal’	/ vehicle standards requirements to encourage as much as possible the use of low/zero emission vehicles.

Appendix 3

Title of proposed EIA	Hackney Carriage & Private Hire Policy
Reference No	EQUA1041
EA is in support of	Amended Policy
Review Frequency	No preference
Date of first review	21/12/2022
Directorate	City Operations
Division	Regulation and Enforcement
Service Area	Licensing
Responsible Officer(s)	☐ Emma Rohomon
Quality Control Officer(s)	☐ Rehana Kosar
Accountable Officer(s)	☐ Sajeela Naseer
Purpose of proposal	Revised format for taxiPolicies
Data sources	Other (please specify)
Please include any other sources of data	Re-statement of existing policies
ASSESS THE IMPACT AGAINST THE PROTECTED CHARACTERISTICS	
Protected characteristic: Age	Not Applicable
Age details:	
Protected characteristic: Disability	Not Applicable
Disability details:	
Protected characteristic: Sex	Not Applicable
Gender details:	
Protected characteristics: Gender Reassignment	Not Applicable
Gender reassignment details:	
Protected characteristics: Marriage and Civil Partnership	Not Applicable
Marriage and civil partnership details:	
Protected characteristics: Pregnancy and Maternity	Not Applicable
Pregnancy and maternity details:	
Protected characteristics: Race	Not Applicable
Race details:	
Protected characteristics: Religion or Beliefs	Not Applicable
Religion or beliefs details:	
Protected characteristics: Sexual Orientation	Not Applicable
Sexual orientation details:	
Socio-economic impacts	Revised format of the policy seeks to make the exisiting policies easier to understand and comprehend, for the trade and the public alike.
Please indicate any actions arising from completing this screening exercise.	
Please indicate whether a full impact assessment is recommended	NO
What data has been collected to facilitate the assessment of this policy/proposal?	n/a
Consultation analysis	Report submitted to the Licensing and Public Protection Committee (LPPC) - no comments received.
Adverse impact on any people with protected characteristics.	Nil

Could the policy/proposal be modified to reduce or eliminate any adverse impact?	n/a
How will the effect(s) of this policy/proposal on equality be monitored?	Will be considered at every policy review or amendment stage.
What data is required in the future?	n/a
Are there any adverse impacts on any particular group(s)	No
If yes, please explain your reasons for going ahead.	
Initial equality impact assessment of your proposal	No impact. The document is a restatement of existing policies into a new format to satisfy the requirements of the Department For Transport Guidance.
Consulted People or Groups	
Informed People or Groups	
Summary and evidence of findings from your EIA	NO adverse impacts identified.
QUALITY CONTORL SECTION	
Submit to the Quality Control Officer for reviewing?	No
Quality Control Officer comments	No negative impacts to those with protected characteristics identified. This has been passed to the Accountable Officer for final approval.
Decision by Quality Control Officer	Proceed for final approval
Submit draft to Accountable Officer?	No
Decision by Accountable Officer	Approve
Date approved / rejected by the Accountable Officer	21/12/2022
Reasons for approval or rejection	No issues have been raised that need further analysis. EA is appropriate and satisfactory. No adverse impact on protected groups.
Please print and save a PDF copy for your records	Yes

Content Type: Item
Version: 57.0
Created at 21/12/2022 12:20 PM by Emma Rohomon
Last modified at 21/12/2022 03:51 PM by Workflow on behalf of Rehana Kosar

Close

Birmingham City Council
Report to Cabinet
14th February 2023

Subject:	**MIDLAND ARTS CENTRE**
Report of:	**Rebecca Hellard,** **Director Council Management**
Relevant Cabinet Member:	**Cllr Ian Ward - Leader** **Cllr Jayne Francis - Culture, Heritage and Tourism**
Relevant O &S Chair:	**Cllr Jack Deakin - Commonwealth Games, Culture and Physical Activity**
Report authors:	**Alison Jarrett,** **Director Group & Capital Finance, Council Management** **Email Alison.Jarrett@birmingham.gov.uk**

Are specific wards affected? If yes, name(s) of ward(s):	☒ Yes	☐ No – All wards affected
Is this a key decision? If relevant, add Forward Plan Reference: 011061/2023	☐ Yes	☒ No
Is the decision eligible for call-in?	☐ Yes	☒ No
Does the report contain confidential or exempt information?	☐ Yes	☒ No

1 Executive Summary

1.1 This report presents the details of a request by the Midland Arts Centre (MAC) in pursuance of the agreement with the Council to request permission to use the capital element of the managed endowment funded granted to the MAC by the Council in 2020.

1.2 The report updates and asks Cabinet to note the request and the agreement of the Portfolio Holder to the proposed use, which is expected to deliver an improved financial position to the MAC. The Council will maintain a positive relationship

with the MAC and seek ways in which together the park and the arts centre can deliver future services and experiences for users.

2 Recommendations:

2.1 Cabinet note the content of the report and the approval of the Portfolio Holder to the request of the MAC to use the majority of endowment fund to exit an historic pension scheme.

2.2 Note that a letter to the Trustees of the MAC will request confirmation and process by which the anticipated financial benefit to the MAC from the pension buy-out will, together with the remaining endowment fund, contribute to financial sustainability of the centre and Trust.

2.3 Note that through this arrangement and the benefit of car park income share, the Council continues to support and endorse the work of MAC in adding to the cultural contribution for the city.

2.4 Authorises the City Solicitor to negotiate, execute and complete all necessary documentation to give effect to the above recommendations.

3 Background

3.1 On 17th March 2020 Cabinet approved a Capital Endowment Fund for Arts Organisations of which the proposed MAC Fund would be £1.440m. This cash was to be retained by the MAC and set up by them as a managed endowment fund where interest earned from the principal is in lieu of all future grant payments. This would be subject to the following broad principles:

- The capital fund being invested, and all investment income earned would be income to the MAC (the Council will want to assure itself that those investments are ethical).

- The principal element of the capital fund could not be utilised by the MAC without the prior consent of the Council, and that the Council would be the first legal charge on the fund. In the event of MAC ceasing to operate the funds would be repatriated to the Council.

3.2 The MAC does continue to benefit from a revenue stream generated from car parking operations at Cannon Hill Park, estimated to be around £47k to £100k.

3.3 In return for the endowment arrangement there would be no further public subsidy in future years to MAC from the Support to the Arts grant distribution or other Council resources.

3.4 Since May 2022, the MAC Trustees have taken steps to determine the best use of the £1.44m fund. Following a tender process, they identified a preferred investment manager to work with however they are not yet appointed. Setting a moderate risk profile of investment it was expected that in the market at the time of the report (Q4 2022) the investment return may be of the order of 2.8% after

costs. This return may improve should inflation reduce as predicted by economists to an expected return of 4%. The risk profile downside also means a potential 25% risk of reduction in the capital value.

3.5 MAC is currently a member of the PSATSA (Pension Scheme for Administration and Technical Staff in the Arts). This is a defined benefit scheme, set up by the Arts Council but from 2009 was no longer offered to new employees. The fund has been actuarially valued in deficit for a number of years and all of its remaining employer bodies have been paying a recovery amount. Exit of this scheme as an employer will not affect the rights of those already in the scheme and receiving pension benefits.

3.6 In October 2022 the MAC Trustees received a draft pension buy-out valuation from the fund actuary. Taking this buy-out option would secure the benefits for the existing members and place the fund with an insurance company. The MAC appointed independent legal and actuarial advisors and in November 2022 wrote to the Council setting out the intention to buy-out the liability to the pension fund and seeking the view of the Council to its use of circa £1m of the endowment fund to do so.

3.7 The recovery plan to deal with the deficit from 1 April 2023 is anticipated to cost c. £110,000 p.a. for at least the next eight years, providing a net benefit over the anticipated investment income of c.£80k. Whilst this net saving may fall in future years, it may also rise at each triennial valuation. In addition, as the fund deficit is shared between the employers, should others choose to exit the fund then the liability and risk falls only to those remaining.

3.8 The actual cost of exit will be calculated but the actuary on a date set by the Trustees.

3.9 There will be a balance remaining on the Endowment Fund and the Leader and Portfolio holder will write to the MAC Trustees seeking assurance that these funds will be retained under the original endowment terms and enquiring how the net saving from the exit from the pension fund will contribute towards financial sustainability of the Trust and its services. The letter will reiterate the Council's continuing support to the MAC and the commitment to maintaining this relationship into the future.

4 Options considered and Recommended Proposal

4.1 This report is for noting only. The MAC Trustees do not require the Cabinet permission to use the endowment fund in this way but have set out to members and officers how such a move is expected to financially benefit the MAC and improve its business sustainability.

5 Consultation

5.1 No external consultation is required in respect of this report, the request has been received from the MAC Trustees who themselves have consulted within their

Trust and have sought independent professional advice. Internally, the Leader and senior officers have been party to discussion with the Portfolio Holder.

6 Risk Management

6.1 The actions of the MAC will not impact the risk profile of the Council. The Council no longer provides public subsidy by way of annual grant to the MAC and in approving the endowment fund creation in 2020, made clear that no further annual grants would be made.

6.2 Should the final buy-out price not be affordable to the MAC there is no recourse to the Council and the endowment will remain in place.

7 Compliance Issues:

7.1 How are the recommended decisions consistent with the City Council's priorities, plans and strategies?

7.1.1 The proposals contained within the report are consistent with the priorities, plans and strategies in the City Council's Plan 2018-2022 (2019 update) to achieve existing six outcomes for Birmingham to be:

- An entrepreneurial city to learn, work and invest in
- An aspirational city to grow up in
- A fulfilling city to age well in
- A great city to live in
- A city whose residents gain the most from hosting the 2022 Commonwealth Games
- A city that takes a leading role in tackling climate change.

7.1.2 The proposed pension fund buy-out is to provide annual financial benefit to the MAC and contribute to its sustainable future as a culture venue.

7.2 Legal Implications

7.2.1 The relevant powers for leisure, theatre and recreational activities are contained in:

- Section 144 Local Government Act 1972: Gives the Council the power to encourage visitors and provide conference and other facilities.
- S145 of the Local Government Act 1972 gives the Council the power to arrange/stage and/or contribute to entertainments.
- Section 19 of the Local Government Act (Miscellaneous Provisions) 1976: the Council has the power to provide such recreational facilities as it thinks fit in its area.

7.2.2 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.

7.3 Financial Implications

7.3.1 There are no direct financial implications for the Council arising from this report. All implications from the granting of the endowment fund are contained in the Cabinet report of 17th March 2020.

7.4 Procurement Implications (if required)

7.4.1 There are no procurement implications falling directly to the Council as a consequence of the recommendations of this report.

7.5 Human Resources Implications (if required)

7.5.1 There are no human resources implications arising for the Council from this report. Existing members of the PSATSA will be unaffected.

7.6 Public Sector Equality Duty

7.6.1 Whilst the Equality Act 2010 came in to force after the mac project was approved by Cabinet in 2008, the organisation has substantially improved its offer to the public, including many of the Protected Characteristic groups. This not only includes the more obvious physical access improvements to the building but also improvements to the facility that enables activities to be programmed and targeted at these groups. The Equality Assessment (EQUA445) covering funding for Birmingham's arts organisations prescribes that all funded organisations are required to have Equality policies. Organisations must also meet minimum safeguarding standards for work with children and vulnerable adults. All funded organisations must pay a "Living Wage" and comply with the Birmingham Business Charter for Social Responsibility.

7.7 Environmental and Sustainability Implications

7.7.1 Not applicable – report for noting and of a financial nature

8 Appendices

8.1 None

9 Background Documents

9.1 None

Birmingham City Council

Report to Cabinet

14 February 2023

Subject:	**APPOINTMENTS TO OUTSIDE BODIES**
Report of:	**City Solicitor**
Relevant Cabinet Member:	**Cllr Ian Ward, Leader of the Council**
Relevant O &S Chair(s):	**Cllr Sir Albert Bore, Chairman of Co-ordinating Overview and Scrutiny Committee**
Report author:	**Errol Wilson, Committee Services** Tel: 0121 675 0955 e-mail: errol.wilson@birmingham.gov.uk

Are specific wards affected? If yes, name(s) of ward(s):	☐ Yes	☑ No – All wards affected
Is this a key decision? If relevant, add Forward Plan Reference:	☐ Yes	☑ No
Is the decision eligible for call-in?	☐ Yes	☑ No
Does the report contain confidential or exempt information? If relevant, provide exempt information paragraph number or reason if confidential :	☐ Yes	☑ No

1 Executive Summary

1.1 The report seeks the approval of the Cabinet to the appointment of representatives to serve on outside bodies detailed in the appendix to this report.

2 Recommendations

2.1 That Cabinet agrees to appoint representatives to serve on the Outside Bodies detailed in the appendix to this report.

3 Background

3.1 At a meeting of all Councillors on 11 July 2017, the City Council approved changes to the Constitution that set out those appointments that are reserved to the full City Council to determine. All other appointments of Members and officers to outside bodies shall be within the remit of Cabinet to determine and the proportionality rules will not automatically apply.

4 Options considered and Recommended Proposal

4.1 These appointments are a matter for the Cabinet to determine, in accordance with the City Council's current Constitution.

5 Consultation

For appropriate items, the Secretaries to the Political Groups represented on the Council.

6 Risk Management

6.1 The main risk of not making appointments might lead to the City Council not being represented at meetings of the bodies concerned. It is always important in making appointments to have regard to the City Council's equal opportunities policies.

7 Compliance Issues:

7.1 How are the recommended decisions consistent with the City Council's priorities, plans and strategies?

7.1.1 The appointments are consistent with the legal and constitutional requirements of the City Council.

7.2 Legal Implications

7.2.1 As set out in paragraph 7.1.1 above.

7.3 Financial Implications

7.3.1 There are no additional resource implications. Where applicable, those implications arise at the time that the relevant body, or a grant to it, is established.

7.4 Procurement Implications (if required)

7.4.1 Not applicable.

7.5 Human Resources Implications (if required)

7.5.1 Not applicable.

7.6 Public Sector Equality Duty

7.6.1 As set out in paragraph 6.1 above.

8 Background Documents

8.1 Report of the Council Business Management Committee to City Council on

11 July 2017 “Revised City Council Constitution”; along with relevant e-mails/ file(s)/correspondence on such appointments.

Attached: Appendix to Report to Cabinet – 14 February 2023 - Appointments to Outside Bodies

APPENDIX 1

APPENDIX TO REPORT TO CABINET 14 February 2023
APPOINTMENTS TO OUTSIDE BODIES

1. Summary of Decisions

On 15 August 2017, Cabinet resolved under decision number 004096/2017 that the practice be continued of contacting each representative when their term of office is due to expire to ascertain whether they are willing to be re-appointed and that, unless indicated otherwise in the report to Cabinet, it will be understood that such representatives are not willing to be re-appointed.

2. Annual Appointment

Further to the meeting on the 28 June 2022:-

Birmingham Wholesale Market Management Company

Paul Kitson, Strategic Director of Place, Prosperity and Sustainability to fill the vacancy on the Birmingham Wholesale Market Management Company as one of the Directors following Robert James' retirement from the City Council.

Therefore, it is

RECOMMENDED:-

That Cabinet agrees the appointment of Paul Kitson, Strategic Director of Place, Prosperity and Sustainability as one of the Directors for Birmingham Wholesale Market Management Company for the remainder of the term i.e. 14 February 2023 until 27 June 2023.

2. Non - Annual Appointment

Kings Norton United Charities

Councillor Debbie Clancy (Con) three-year term on the Kings Norton United Charities expired on the 16 December 2022, but she has agreed to continue to serve for a further three years following the approval of the Charity and the Conservative Group Secretary.

Therefore, it is

RECOMMENDED:-

That Cabinet agrees the continuation of Councillor Debbie Clancy as nominative trustees for a further 3 year-term on Kings Norton United Charities expiring on the 13 February 2026.

Birmingham City Council

Report to Cabinet

Date: 14th February 2023

Subject:	**KEY DECISION PLANNED PROCUREMENT ACTIVITIES (MARCH 2023 – MAY 2023) AND QUARTERLY CONTRACT AWARDS (OCTOBER – DECEMBER 2022)**
Report of:	**ASSISTANT DIRECTOR – PROCUREMENT**
Relevant Cabinet Member:	**Councillor Yvonne Mosquito, Finance and Resources**
Relevant O &S Chair(s):	**Councillor Akhlaq Ahmed, Chair of Resources O & S**
Report author:	Steve Sandercock, Assistant Director, Procurement Email Address: steve.sandercock@birmingham.gov.uk

Are specific wards affected? If yes, name(s) of ward(s):	☐ Yes	☒ No – All wards affected
Is this a key decision? If relevant, add Forward Plan Reference: 010953/2023	☒ Yes	☐ No
Is the decision eligible for call-in?	☒ Yes	☐ No
Does the report contain confidential or exempt information?	☒ Yes	☐ No
If relevant, provide exempt information paragraph number or reason if confidential : 3. Information relating to the financial or business affairs of any particular person (including the council)		

1 Executive Summary

1.1 This report provides details of the planned procurement activity for the period March 2023 – May 2023 which are key decisions and all contract award decisions made under Chief Officer's delegation during the previous quarter. Planned procurement activities reported previously are not repeated in this report .

1.2 The report enables Cabinet to identify whether any reports for procurement activities should be brought to this meeting for specific executive decision, otherwise they will be dealt with under Chief Officer delegations up to the value of £10m, unless TUPE applies to current Council staff.

1.3 Appendix 4 informs Cabinet of the contract award decisions made under Chief Officers delegation during the period October 2022 – December 2022.

2 Recommendations

2.1 To approve the planned procurement activities as set out in Appendix 1 and approve Chief Officer delegations, set out in the Constitution, for the subsequent decisions around procurement strategy.

2.2 Notes the contract award decisions made under Chief Officers delegation during the period October 2022 – December 2022 as detailed in Appendix 4.

3 Background

3.1 The report approved by Council Business Management Committee on 16 February 2016 set out the case for introducing this process.

3.2 At the 12th July 2022 meeting of Council changes to procurement governance were agreed which gives Chief Officers the delegated authority to approve procurement contracts up to the value of £10m for key decisions over the life of the contract. Where it is likely that the award of a contract will result in staff employed by the Council transferring to the successful contract under TUPE, the contract award decision has to be made by Cabinet.

3.3 In line with the Procurement and Contract Governance Rules that form part of the Council's Constitution, this report acts as the process to consult with and take soundings from Cabinet Members and the Resources Overview & Scrutiny Committee.

3.4 This report sets out the planned procurement activity over the next few months where the contract value is between the procurement threshold £177,897.50 (excluding VAT) and £10m (excluding VAT) for key decisions. This will give members visibility of all procurement activity within these thresholds and the opportunity to identify whether any procurement reports should be brought to Cabinet for approval even though they are below the £10m delegation threshold.

3.5 It should be noted that the procurement threshold has changed from £189,330 to £177,897.50 (excluding VAT) and applies from 1st January 2022 for a period of 2 years.

3.6 Individual procurements may be referred to Cabinet for an executive decision at the request of Cabinet, a Cabinet Member or the Chair of Resources Overview & Scrutiny Committee where there are sensitivities or requirements that necessitate a decision being made by Cabinet.

3.7 Procurements below £10m contract value that are not listed on this or subsequent monthly reports can only be delegated to Chief Officers if specific approval is sought from Cabinet. Procurements above £10m contract value will still require

an individual report to Cabinet in order for the award decision to be delegated to Chief Officers if appropriate.

3.8 A briefing note with details for each item to be procured is listed in Appendix 2. The financial information for each item is detailed in Appendix 3 – Exempt Information.

4 Options considered and Recommended Proposal

4.1 The options considered are:

- To identify specific individual procurements as listed in appendix 1 for further consideration, along with clear reason(s) for such additional consideration, to Cabinet around the procurement strategy and contract award .

- To approve the planned procurement activities for all the projects listed in appendix 1 and approve Chief Officer delegations as set out in the Constitution, for the subsequent decisions around procurement strategy and contract awards.– this is the recommended option

5 Consultation / Engagement

5.1 This report to Cabinet is copied to Cabinet Support Officers and to Resources Overview & Scrutiny Committee and therefore is the process for consulting with relevant cabinet and scrutiny members. At the point of submitting this report Cabinet Members/ Resources Overview & Scrutiny Committee Chair have not indicated that any of the planned procurement activity needs to be brought back to Cabinet for executive decision.

6 Risk Management

6.1 Members should note that in respect of any procurement projects which are sought to be referred back to Cabinet for further considerations these may impact on timescales around the delivery of those projects.

6.2 Details of Risk Management, Community Cohesion and Equality Act requirements will be set out in the individual reports.

7 Compliance Issues:

7.1 How are the recommended decisions consistent with the City Council's priorities, plans and strategies?

7.1.1 Details of how the contracts listed in Appendix 1 and Appendix 2 support relevant Council policies, plans or strategies, will be set out in the individual reports.

7.2 Legal Implications

7.2.1 Members are reminded that as a Local Authority the Council has specific duties under public sector procurement, specifically the Public Contract Regulations 2015.

7.2.2 Specific details of any implications related to public sector procurement Regulations are set out- in the individual reports appended to this report.

7.3 Financial Implications

7.3.1 Specific details of how decisions will be carried out within existing finances and resources will be set out in the individual reports.

7.3.2 Any cashable savings generated as a result of the procurement exercises are detailed in Appendix 2 to the delivery of procurement related savings and be removed from Directorate where identified in addition to the existing service area savings target as set out in the Medium-Term Financial Plan (MTFP) in line with the principles to treatment of identified savings against third party contracts as agreed by CLT on 24th January 2022.

7.4 Procurement Implications (if required)

7.4.1 As noted under the Legal Implications the Council has a duty to ensure that public sector procurement activity is in line with public sector legislation, specifically the Public Contracts Regulations 2015.

7.4.2 For each of the individual projects the specific procurement implications associated to the legislation are set out and detailed in the appendices

7.5 Human Resources Implications (if required)

7.5.1 None.

7.6 Public Sector Equality Duty

7.6.1 Details of Risk Management, Community Cohesion and Equality Act requirements will be set out in the individual reports which should also give consideration to application of Equality Impact Assessments in line with Council Policy

8 Background Documents

8.1 List of Appendices accompanying this Report (if any):

- 1. Appendix 1 - Planned Procurement Activity March 2023 – May 2023
- 2. Appendix 2 – Background Briefing Paper
- 3. Appendix 3 – Exempt Information
- 4. Appendix 4 – Quarterly Awards Schedule (October 2022 – December 2022)

APPENDIX 1 – PLANNED PROCUREMENT ACTIVITIES (MARCH 2023 – MAY 2023)

No.	Type of Report	Title of Procurement	Ref	Brief Description	Contract Duration	Directorate	Portfolio Finance and Resources Plus	Finance Officer	Contact Name	Planned CO Decision Date
1	Strategy / Award	Refurbishment Works for the Relocation of the Control Centre	TBC	To facilitate the move for the Control Centre which contains the Close Circuit Television, Emergency Planning and Urban Traffic Control equipment and offices from Lancaster Circus to Priestley Wharf, there is a requirement for the refurbishment of the facilities and moving of the equipment and re-installation.	Up to 6 months	Digital and Customer Services	Deputy Leader	Lee Bickerton	Juliana Clark / Charlie Short	13/03/2023
2	Strategy / Award	A managed service provider to support transformation of BCC and deliver savings efficiencies and opportunities	TBC	To support the scoping, planning and development of transformation and improvement architecture. This contract seeks to establish a more efficient and effective way of sourcing support, specialist resources and expertise over a number of years. It will enhance delivery capacity and allow the Council to have a coherent overview of all the resources engaged on transformation and improvement. It will further ensure the resources are managed accordingly, whilst ensuring value for money and successful achievement of deliverables and outcomes.	4 years	Council Management	Finance and Resources	Lee Bickerton	Gemma Malhi / Stuart Follows	13/03/2023
3	Approval to Tender Strategy	Landscape Construction Framework Agreement 2023 - 2027	TBC	The provision of landscape construction works in parks and on land owned by the Council. The type of works will include construction of new paths and resurfacing of existing paths; planting trees, hedges and shrubs; construction of play areas and multi-use games areas; installation of drainage, street furniture, signage and fencing. Repair and maintenance of playground equipment.	4 years	City Operations	Environment	Carl Tomlinson	Cigdem Jains / Charlie Short	01/04/2023
4	Strategy / Award	Technical Professional Services for the HS2 Readiness Programme	TBC	The requirement is for the technical professional services to support with the development of the HS2 Readiness Programme (the Moor Street and One Station public realm, active travel and public transport enhancements) including; •Business Case and Consultation Support •Preliminary and Detailed Design •Principal Designer role under CDM regulations •Surveys, Inspections and Testing •Contract documents and Procurement Support	2 years	Place, Prosperity & Sustainability	Transport	Azhar Rafiq	Hannah Willetts / Charlie Short	27/03/2023
5	Strategy / Award	Neighbourhood Integration – Programme Support	TBC	To support the continued development and implementation of multi-agency neighbourhood working in the local health and social care system. This will include: •Project management for the NI programme; •Working with 5 existing neighbourhood test teams to design and iterate new ways of integrated working across health and social care; •Managing the change process across multi-agency teams; •Managing stakeholder relationships; •Ensuring reporting and accountability through to Integrated Care System Place governance arrangements; •Establishing baselines and measuring impact and benefits of new ways of working.	6 months	Adult Social Care	Health and Social Care	Yusef Shaibu	Michael Walsh / Mike Smith	13/03/2023
6	Strategy / Award	Provision of waste sacs and associated services	TBC	For the provision of various refuse sacs.	4 years	City Operations	Environment	Carl Tomlinson	Leslie Williams / Marta Peka	13/03/2023
7	Strategy / Award	Provision of Street Cleaning Machines	TBC	For the provision of street cleaning machines hire, maintenance and associated services.	3 years	City Operations	Environment	Carl Tomlinson	Leslie Williams / Marta Peka	13/03/2023
8	Strategy / Award	Provision of Rateable Value identification data to maximise Business Rate Retention and forecast business rates income	P0415	The provision of data to generate additional business rates income; maximising revenue for the local authority by identifying new and altered properties onto the Valuation Office rating list. In addition, the provision of rating list analysis and ad-hoc NNDR consultancy.	4 years	Digital and Customer Services	Deputy Leader	Lee Bickerton	Jonathan Woodward / Stewart Loundes / Richard Tibbatts	13/03/2023
9	Strategy / Award	New Ways of Working (NWOW) – Procurement of collaboration and specialist supply furniture, delivery, installation and removal of excess office furniture	TBC	The New Ways of Working Programme (NWOW) is the means to bring together, build upon, and accelerate existing work on developing agile working and a modern workplace. As part of this programme, we will seek to maximise property assets and reimage the office spaces to meet the need for collaboration and innovation in our remaining estate. This initiative is seeking to procure collaboration and specialist furniture as BCC do not have in our estate and the sustainable removal of excess furniture as a result of exit from Lancaster Circus and remodelling of Woodcock Street. Also, this will support the relocation of critical services CCTV, Emergency planning and UTC to new location.	1 year	Digital and Customer Services	Deputy Leader	Lee Bickerton	Juliana Clark / Jose Vitoria	13/03/2023
10	Strategy / Award	UI Path Delivery Partner	TBC	Robotic Process Automation (RPA) enables a business process to be configured and scripted to emulate human actions (such as keystrokes/ extraction of data etc) to drive efficiency in the business and allow staff to focus on more value-adding activities.	4 years	Digital and Customer Services	Deputy Leader	Lee Bickerton	Gary Hurdman / Jamie Parris	13/03/2023

APPENDIX 2

BRIEFING NOTE ON PLANNED PROCUREMENT ACTIVITIES
CABINET – 14th February 2023

Title of Contract	**Refurbishment Works for the Relocation of the Control Centre**
Contact Officers	**Director / Assistant Director:** Peter Bishop, Director, Digital & Customer Services **Client Officer:** Juliana Clark, Programme Manager, New Ways of Working **Procurement Officer:** Charlie Short, Procurement Manager
Briefly describe the service required	To facilitate the move for the Control Centre which contains the Close Circuit Television, Emergency Planning and Urban Traffic Control equipment and offices from Lancaster Circus to Priestley Wharf, there is a requirement for the refurbishment of the facilities and moving of the equipment and re-installation.
What is the proposed procurement route?	A call off using the AEC Neutral Vendor Framework for Multi-Specialism Services in accordance with its protocol.
What are the existing arrangements? Is there an existing contract? If so when does that expire?	This is a one-off requirement.
Will any savings be generated?	No savings will be generated from this procurement process for a one-off works project.
Has the In-House Preferred Test been carried out?	Yes, and the test demonstrated this is not suitable to be carried out in-house for a construction project.
How will this service assist with the Council's commitments to Route to Zero?	The works will be undertaken using the most up-to-date sustainable materials.
How do these activities assist the Council with Everybody's Battle; Everybody's Business?	The refurbishment of the offices will be inclusive available to all sections of the community.
Is the Council under a statutory duty to provide this service? If not, what is the justification for providing it?	There is not a statutory duty to provide this service. However, the works support the relocation of the Control Centre (Close Circuit Television, Emergency Planning and Urban Traffic Control services with 24/7 operation) as Lancaster Circus is not an operational building for the Council.
What budget is the funding from for this service?	The scheme is funded from the New Ways of Working budget approved by Cabinet in July 2021.
Proposed start date and duration of the new contract	The proposed start date is March 2023 for a construction period of up to 6 months.

Title of Contract	**A managed service provider to support transformation of BCC and deliver savings efficiencies and opportunities**
Contact Officers	**Director / Assistant Director:** Rebecca Hellard, Strategic Director Council Management **Client Officer:** Meena Kishinani Interim Transformation Director, Nic Fell, Interim Portfolio Lead and Alison Jarrett, Assistant Director Commercialism **Procurement Officer:** Stuart Follows, Assistant Category Manager
Briefly describe the service required	To support the scoping, planning and development of transformation and improvement architecture. This contract seeks to establish a more efficient and effective way of sourcing support, specialist resources and expertise over a number of years. It will enhance delivery capacity and allow the Council to have a coherent overview of all the resources engaged on transformation and improvement. It will further ensure the resources are managed accordingly, whilst ensuring value for money and successful achievement of deliverables and outcomes.
What is the proposed procurement route?	The proposed route to market will be a direct award via a compliant national managed service provider framework agreement dependent on the best fit for the purposes of the requirements. The Council would contract with a managed service provider and via them decide the most effective range of delivery partners to use. The choice of supplier will involve social value for the period of the contract.
What are the existing arrangements? Is there an existing contract? If so when does that expire?	This is a new requirement.
Will any savings be generated?	The various delivery suppliers that will be sourced through this contract will be supporting and driving delivery of savings through the transformation programme and MTFP. The work undertaken by the various delivery suppliers has the potential to identify additional savings.
Has the In-House Preferred Test been carried out?	Yes, and the test demonstrated this is not suitable to be carried out in-house as there is not the resources within the Council to provide these services
How will this service assist with the Council's commitments to Route to Zero?	The managed service provider and supporting suppliers will be required to demonstrate how their proposed solution will assist in reducing their carbon footprint in their submission to be evaluated as part of the process.
How do these activities assist the Council with Everybody's Battle; Everybody's Business?	Work delivered as part of this contract will support and impact on EBEB as this is a programme within the transformation programme. Delivery of the EBEB action plan is part of the wider transformation programme that this contract will support. In addition, new work packages delivered using this contract will be aligned with the principles of EBEB.
Is the Council under a statutory duty to provide this service? If not, what is the justification for providing it?	There is not a statutory duty to provide this service. However, the contract seeks to establish a more efficient and effective way of sourcing support, specialist resources and expertise over a number of years. It will enhance delivery capacity and allow the Council to have a coherent overview of all the resources engaged on transformation and improvement. It will further ensure the resources are managed accordingly, whilst ensuring value for money and successful achievement of deliverables and outcomes.
What budget is the funding from for this service?	This is funded from Delivery Plan Reserve.
Proposed start date and duration of the new contract	The proposed start date is March 2023 for a period of 4 years.

Title of Contract	**Landscape Construction Framework Agreement 2023 - 2027**
Contact Officers	**Director / Assistant Director:** Mark Wiltshire, Interim Strategic Director of City Operations **Client Officer:** Robert Churn, Head of Landscape and Development **Procurement Officer:** Charlie Short, Procurement Manager
Briefly describe the service required	The provision of landscape construction works on land owned by the Council and repairs and maintenance works in parks, playgrounds and allotments. The type of landscape construction works include construction of new paths and resurfacing of existing paths; planting trees, hedges and shrubs; construction of play areas and multi-use games areas; installation of drainage, street furniture, signage and fencing. The repairs and maintenance works include small scale surfacing repairs, replacement of play equipment, repairing park boundaries and drainage works. The framework agreement will be made available for other public sector bodies to access.
What is the proposed procurement route?	An open procurement process will be undertaken advertised in the Find a Tender, Contracts Finder and www.finditinbirmingham.com.
What are the existing arrangements? Is there an existing contract? If so when does that expire?	The existing framework agreement commenced on 25th November 2019 for a period of 4 years expiring on 24th November 2023.
Will any savings be generated?	No cashable savings will be generated from this procurement process.
Has the In-House Preferred Test been carried out?	Yes, and the test demonstrated this is not suitable to be carried out in-house as capacity is not available in house.
How will this service assist with the Council's commitments to Route to Zero?	The provision of landscape improvement works with new tree planting and biodiversity enhancement will help to deliver the ambitions set out in the Carbon Roadmap, where the City Council is committed to a 60% carbon reduction by 2027. The proposals will help to deliver the Birmingham and Black Country Nature Improvement Area action plan targets and help meet the policy commitments in Birmingham's emerging City of Nature Strategy and its global Biophilic City commitments.
How do these activities assist the Council with Everybody's Battle; Everybody's Business?	The design of the landscape improvement schemes will create an inclusive environment where people from all backgrounds and abilities can access and enjoy within their local environment. Repairs and maintenance to local parks and allotments will ensure that all users can access and enjoy the existing facilities.
Is the Council under a statutory duty to provide this service? If not, what is the justification for providing it?	There is not a statutory duty to provide this service. However, the works support the statutory duty to provide and maintain existing green spaces to a high and safe standard.
What budget is the funding from for this service?	Each individual landscape construction called off the framework agreement will be funded from capital budgets held by individual service directorates. The repair and maintenance work called off from the framework agreement will be funded from Parks Repairs and Maintenance Budget.
Proposed start date and duration of the new contract	The proposed start date is 25th November 2023 for a duration of 4 years.

Title of Contract	**Technical Professional Services for the HS2 Readiness Programme**
Contact Officers	**Director / Assistant Director:** Paul Kitson, Strategic Director, Place, Prosperity & Sustainability **Client Officer:** Hannah Willetts, Enterprise Zone Programme Officer **Procurement Officer:** Charlie Short, Procurement Manager
Briefly describe the service required	The requirement is for the technical professional services to support with the development of the HS2 Readiness Programme (the Moor Street and One Station public realm, active travel and public transport enhancements) including; • Business Case and Consultation Support • Preliminary and Detailed Design • Principal Designer role under CDM regulations • Surveys, Inspections and Testing • Contract documents and Procurement Support
What is the proposed procurement route?	A further competition exercise will be undertaken using the Council's Transport and Development Professional Services Framework Agreement, Lot 2a – Multi Disciplinary - Highways and Infrastructure.
What are the existing arrangements? Is there an existing contract? If so when does that expire?	This is a one-off requirement.
Will any savings be generated?	No savings will be generated from this procurement process for a one-off project. However, modernised public realm should realise revenue saving for future maintenance.
Has the In-House Preferred Test been carried out?	Yes, and the test demonstrated this is not suitable to be carried out in-house as capacity is not available in house.
How will this service assist with the Council's commitments to Route to Zero?	The designs and proposals will align with the Birmingham Transport Plan 2031 and aim to further reduce private vehicles in the city centre and enhance the environment for public transport and active travel users. New tree planting to provide localised environmental and air quality benefits in the street scene.
How do these activities assist the Council with Everybody's Battle; Everybody's Business?	The design of this project will create an inclusive environment, linking active travel such as walking and cycling with key transport hubs at HS2, New Street and Moor Street and provide additional, less expensive and safer options for travel across the city. Crucially providing better links to some of the more deprived areas of the city.
Is the Council under a statutory duty to provide this service? If not, what is the justification for providing it?	There is not a statutory duty to provide this service. However, the proposed programme supports the delivery of the core objectives that are set-out within the Birmingham Transport Plan 2031 and the Enterprise Investment Plan (2019).
What budget is the funding from for this service?	The scheme is funded from CRSTS and GBSLEP EZ budget.
Proposed start date and duration of the new contract	The proposed start date is May 2023 for a duration of 2 years.

Title of Contract	Neighbourhood Integration (NI) – Programme Support
Contact Officers	**Director / Assistant Director:** Professor Graeme Betts, Strategic Director Adult Social Care **Client Officer:** Mike Walsh, Head of Service - Commissioning **Procurement Officer:** Mike Smith, Head of Category - People
Briefly describe the service required	To support the continued development and implementation of multi-agency neighbourhood working in the local health and social care system. This will include: • Project management for the NI programme; • Working with 5 existing neighbourhood test teams to design and iterate new ways of integrated working across health and social care; • Managing the change process across multi-agency teams; • Managing stakeholder relationships; • Ensuring reporting and accountability through to Integrated Care System Place governance arrangements; • Establishing baselines and measuring impact and benefits of new ways of working.
What is the proposed procurement route?	Direct Award through Crown Commercial Service Management Consultancy Framework 3 – Lot 7: Health, Social Care and Community. Direct Awards through this framework are permitted where compelling reasons exist. In this instance the reasons are: • The preferred supplier has already developed a strong knowledge of the local system through past work and would be able to rapidly mobilise and have impact. This is important as the 5 test teams have already been established; • There is a need to accelerate this work in response to the unprecedented pressure currently being experienced in the local health and social care system. BCHC as an organisation does not have the capacity to accelerate delivery of the programme; • The preferred supplier is a credible and trusted partner and have good connections with the various parties involved in delivering the programme; • They can deliver the programme to the tight timescales we require; • As the system lead, BCHC have confidence that the preferred supplier will deliver to quality and time.
What are the existing arrangements? Is there an existing contract? If so when does that expire?	This is a one-off requirement.
Will any savings be generated?	No direct savings will be generated from this procurement process. In the longer term it is anticipated that the benefits delivered through better integrated health and social care at a neighbourhood level will return system savings and cost avoidance as a result of better prevention activity, earlier intervention and “getting it right” first time.
Has the In-House Preferred Test been carried out?	Yes, and the test demonstrated this is not suitable to be carried out in-house for a multi-partner transformation programme.
How will this service assist with the Council’s commitments to Route to Zero?	Any commissioning specification will require the Council’s commitments to Route to Zero to be considered.
How do these activities assist the Council with Everybody’s Battle; Everybody’s Business?	Any commissioning specification will require the Council’s commitments to Everybody’s Battle; Everybody’s Business to be considered. In particular the objectives of integrated working across health and social care are to address inequalities in health and well-being through improved access to support for marginalised places and communities.
Is the Council under a statutory duty to provide this service? If not, what is the justification for providing it?	There is not a statutory duty to provide this service. However, the service is required in order to develop more effective integrated approaches to delivery of statutory health and social care services
What budget is the funding from for this service?	The scheme is funded from the NHS contribution to the Better Care Fund. This is a shared LA/NHS budget for improving integration between health and social care.

Proposed start date and duration of the new contract	The proposed start date is March 2023 for a period of 6 months.

Title of Contract	**Provision of waste sacs and associated services**
Contact Officers	**Director / Assistant Director:** Darren Share, Assistant Director Street Scene **Client Officer:** Leslie Williams, Principal Operations Manager **Procurement Officer:** Marta Peka, IT Category Manager
Briefly describe the service required	For the provision of various refuse sacs (trade sacks, community sacs, garden sacs etc) with specific capacity, dimension and thickness.
What is the proposed procurement route?	The proposed route to market will be via a compliant national framework agreement, CCS, ESPO, KCS, HTE or YPO dependent on the appropriateness of the framework, the lot and the best fit for the purposes of the requirement. Where requirements are not suitable to be procured via this contract, an open procurement process will be undertaken advertised on www.finditinbirmingham.com, Find a Tender and Contracts Finder.
What are the existing arrangements? Is there an existing contract? If so when does that expire?	Currently no formal arrangement in place. Currently this service is provided by KB Extruders on ad hoc basis.
Will any savings be generated?	There are no cashable savings expected by this project.
Has the In-House Preferred Test been carried out?	Yes, the Council cannot provide this service.
How will this service assist with the Council's commitments to Route to Zero?	As part of the tender process, Tenderers will be asked to put proposals for low carbon emissions. The specifications will include vehicles compliant with the Route to Zero council commitment.
How do these activities assist the Council with Everybody's Battle; Everybody's Business?	Once approved, consideration will be taken into Everybody's Battle; Everybody's Business when writing the invitations to the tender for this contract.
Is the Council under a statutory duty to provide this service? If not, what is the justification for providing it?	There is a statutory duty to provide waste management service to citizens. This contract will support waste management services.
What budget is the funding from for this service?	This is funded from Waste budget.
Proposed start date and duration of the new contract	The proposed start date is March 2023 for a period of 4 years.

Title of Contract	Provision of Street Cleaning Machines
Contact Officers	**Director / Assistant Director:** Darren Share, Assistant Director Street Scene **Client Officer:** Leslie Williams, Principal Operations Manager **Procurement Officer:** Marta Peka, IT Category Manager
Briefly describe the service required	For the provision of street cleaning machines hire, maintenance and associated services.
What is the proposed procurement route?	The proposed route to market will be a direct award via ESPO FWC 218_21) framework agreement.
What are the existing arrangements? Is there an existing contract? If so when does that expire?	Currently no formal arrangement in place. Currently this service is provided by Gluttons on ad hoc basis.
Will any savings be generated?	There are no cashable savings expected by this project.
Has the In-House Preferred Test been carried out?	Yes, the Council cannot provide this service.
How will this service assist with the Council's commitments to Route to Zero?	As part of the tender process, Tenderers will be asked to put proposals for low carbon emissions. The specifications will include vehicles compliant with the Route to Zero council commitment.
How do these activities assist the Council with Everybody's Battle; Everybody's Business?	Once approved, consideration will be taken into Everybody's Battle; Everybody's Business when writing the invitations to the tender for this contract.
Is the Council under a statutory duty to provide this service? If not, what is the justification for providing it?	There is not a statutory duty to provide this service. However, the service is required to keep the streets clean.
What budget is the funding from for this service?	This is funded from Waste budget.
Proposed start date and duration of the new contract	The proposed start date is March 2023 for a period of 3 years.

Title of Contract	**Provision of Rateable Value identification data to maximise Business Rate Retention and forecast business rates income (P0415)**
Contact Officers	**Director / Assistant Director:** Peter Bishop/Tim Savill **Client Officer:** Jonathan Woodward / Stewart Loundes **Procurement Officer:** Richard Tibbatts, Head of Category - Corporate
Briefly describe the service required	The provision of data to generate additional business rates income; maximising revenue for the local authority by identifying new and altered properties onto the Valuation Office rating list. In addition, the provision of rating list analysis and ad-hoc NNDR consultancy. This will assist with the improved data quality and accuracy of business rates income in year and increase the business rates tax base particularly in relation to new and undervalued properties.
What is the proposed procurement route?	The Crown Commercial Services G-Cloud 13 framework will be utilised.
What are the existing arrangements? Is there an existing contract? If so when does that expire?	The existing contract expired on 31st January 2023.
Will any savings be generated?	No cashable savings will be made by this project however addition income generation will be generated and have been included in the MTFP.
Has the In-House Preferred Test been carried out?	N/A – the Authority does not have the ability to carry out this service in house.
How will this service assist with the Council's commitments to Route to Zero?	The specification will require the service to be delivered in a way that reduces or eliminate their carbon footprint, in particular with regard to transport.
How do these activities assist the Council with Everybody's Battle; Everybody's Business?	N\A
Is the Council under a statutory duty to provide this service? If not, what is the justification for providing it?	The Council does not have a statutory duty to provide this service, however it is an urgent requirement to maximise the tax base and hence increase future income forecasts for the benefit of the Council's overall budget position.
What budget is the funding from for this service?	This is funded through Invest to Save and is included in the Mid Term Financial Plan.
Proposed start date and duration of the new contract	The proposed start date is 1st April 2023 for a period of 4 years.

Title of Contract	**New Ways of Working (NWOW) – Procurement of collaboration and specialist supply furniture, delivery, installation and removal of excess office furniture**
Contact Officers	**Director / Assistant Director:** Peter Bishop – Director Digital and Customer Services **Client Officer:** Juliana Clark, Programme Manager **Procurement Officer:** Jose Vitoria, Assistant Category Manager
Briefly describe the service required	The New Ways of Working Programme (NWOW) is the means to bring together, build upon, and accelerate existing work on developing agile working and a modern workplace. As part of this programme, we will seek to maximise property assets and reimage the office spaces to meet the need for collaboration and innovation in our remaining estate. This initiative is seeking to procure collaboration and specialist furniture as BCC do not have in our estate and the sustainable removal of excess furniture as a result of exit from Lancaster Circus and remodelling of Woodcock Street. Also, this will support the relocation of critical services CCTV, Emergency planning and UTC to new location.
What is the proposed procurement route?	The proposed route to market will be via a further competition from ESPO Framework 87_22 Leisure and Residential Furniture.
What are the existing arrangements? Is there an existing contract? If so when does that expire?	The Council does not have an existing contract with an office furniture supplier.
Will any savings be generated?	Any cashable savings generated will contribute to the existing savings target as set out in the MTFP CM009 23+.
Has the In-House Preferred Test been carried out?	Unable to carry out the In-House Preferred Test, as the Council are unable to perform this activity in-house. Most of the office furniture within the estate will be retained and only procure the collaboration or specialist furniture to create a modern workplace.
How will this service assist with the Council's commitments to Route to Zero?	Hybrid Working means reducing the need for staff to commute and rationalising the estate footprint to further reduce the energy consumption within our property portfolio. And the decommission of Lancaster Circus and retaining a small proportion of Woodcock Street will reduce the carbon footprint. Within the validity of the tender process, we will require documentation from the suppliers to prove that their end-to-end life-cycle of the manufacturing process meets certain route to zero requirements.
How do these activities assist the Council with Everybody's Battle; Everybody's Business?	The Council is committed to eliminating discrimination and encouraging diversity amongst our workforce. Our aim is that our workforce will be truly representative of all sections of society and that each employee feels respected and able to give of their best. The NWOW programme will seek to reduce inequalities in the workplace, for example ensuring those with caring responsibilities can work more flexibly so they can build their careers while balancing the needs of those at home. Through the Focus Groups we will involve our staff in decisions that shape our future ways of working; stimulate discussion and involvement; and develop "bottom up" solutions to resolve the every-day problems and barriers experienced by them.
Is the Council under a statutory duty to provide this service? If not, what is the justification for providing it?	There is not a statutory duty to provide this service, however the activity is required to transform the workplace and our central City office estate to meet the need for collaboration and innovation. We will do this by redesigning our buildings and by creating a workplace that encourages people to come together to collaborate, engage and innovate.
What budget is the funding from for this service?	This is funded from the New Ways of Working budget already approved by Cabinet in July 2021.
Proposed start date and duration of the new contract	The proposed start date is March 2023 for a period of 1 year.

Title of Contract	UI Path Delivery Partner
Contact Officers	**Director / Assistant Director:** Cheryl Doran, CIO & Assistant Director, Information Technology & Digital Services **Client Officers:** Gary Hurdman, Development Manager **Procurement Officer:** Jamie Parris, IT Lead Commissioning Manager
Briefly describe the service required	Robotic Process Automation (RPA) enables a business process to be configured and scripted to emulate human actions (such as keystrokes/ extraction of data etc) to drive efficiency in the business and allow staff to focus on more value-adding activities. BCC Currently use UiPath as the strategic platform for delivering RPA and have successfully delivered automation in-house through IT&D. To contribute towards the council's wider savings targets for 2023/24 and beyond, the scale at which the automation is delivered to the business will need to increase substantially. As such, a delivery partner that specialises in UI Path will be sought to increase the roll-out speed to Service Areas within the council by providing the following: ▪ Delivery Management ▪ Analysis & Design ▪ Development ▪ Test ▪ Roll Out
What is the proposed procurement route?	The route to market will be via a compliant national or regional framework.
What are the existing arrangements? Is there an existing contract? If so, when does that expire?	While there is currently a reseller licencing contract for UiPath, BCC does not currently have a contract for a Delivery Partner to expedite the roll-out of services at the pace required by the council to meet savings initiatives.
Will any savings be generated?	Yes – savings of £5.4M per annum by 26/27 are targeted.
Has the In-House Preferred Test been carried out?	Yes – this service cannot be delivered in-house
How will this service assist the council's commitments to Route to Zero?	The automation of services will allow support more efficient working practices which in turn helps to contribute to potential reductions in travel, power usage and wider property rationalisation objectives.
How do these activities assist the Council with Everybody's Battle; Everybody's Business (EBEB)?	Using automation on non-value-adding processes will allow staff to focus on more rewarding value-adding activities for the residenle while supporting the following EBEB elements from the action plan: EBEB (Appendices 1-3) Refreshed Everyone's Battle Everyone's Business Equality Action Plan 2022-23 Section 4.2 → Bullet Point 4 - Deliver responsive services and customer care that is accessible, inclusive to individual's needs and respects faith, beliefs, and cultural differences Section 4.2 → Bullet Point 5 - Encourage and build a skilled and diverse workforce to build a culture of equity and inclusion in everything we do
Is the council under a statutory duty to provide this service? If not, what is the justification for providing it?	There is not a statutory duty to provide this service. However, the service will be used to automate processes and improve service delivery which is the council's statutory duty.
What budget is the funding from for this service?	The funding for the delivery will come from the budget smoothing reserve for any costs incurred in 22/23. From 23/24 the request for investment will be built into the Medium-Term Financial Strategy (MTFS).
Proposed start date and duration of the new contract	The proposed start date is March 2023 for a period of 4 years.

APPENDIX 4 - QUARTERLY CONTRACT AWARD SCHEDULE (OCTOBER 2022 – DECEMBER 2022)

Type of Rep	Title of Procurement	Ref	Brief Description	Contract Duratic	Directorate	Portfolio Finance and Resources	Finance Officer	Contact Nam	Comments - including any request from Cabinet Members for more details	Contractor(s) Awarded to	Value of Contracts	Value w Option to Extend	Chief Office	Actual Gc Live date
Delegated Extension Award	Harborne Pool & Fitness centre (operation, maintenance & management)	S0036	Operation, maintenance & management of Harborne Pool & Fitness centre.	5 years	City Operations	Health and Social Care	Carl Tomlinson	Paul Walls	Cabinet approved the full business case for the construction of a replacement Harborne Pool and Fitness Centre & commencement of tendering activity October 2009. Cabinet approved the award report in November 2011 of a 10 year contract and delegated the extension to CO. Delegated Extension Aware Report signed 07/10/2022.	People Leisure Management Ltd	£1,000,000		Rebecca Hellard / Steve Sandercock	03/01/2023
Delegated Award Report	Design Services for the Refurbishment of Moseley Road Baths	P0910	There is a requirement for design services to support the latest capital renovation programme for the baths. The services include the conservation architect, cost control, health & safety, engineering and clerk of works.	2 years, 4 months	City Operations	Leader	Carl Tomlinson	Dave Wagg / Charlie Short	Presented to Cabinet for info 26/04/2022. Approval to Tender Strategy Report on 21/07/2022 and delegated the award to CO. Delegated Contract Award Report signed 07/10/2022.	Donald Insall Associates	£1,193,390		Rob James / Steve Sandercock	10/10/2022
Strategy / Award	Fitout works to Plots 7 of the Perry Barr Regeneration Scheme (PBRS)	P426-3	For the delivery of the additional fitout works to Plots 7 of the Perry Barr Regeneration Scheme (PBRS) called off under Acivico Ltd's Constructing West Midlands 2 Framework Agreement in accordance with its protocol.	Up to 3 months	Place, Prosperity and Sustainability	Leader	Guy Olivant	Mumtaz Mohammed / Charlie Short	The Birmingham 2022 – Update on the Perry Barr Regeneration Scheme FBC report to Cabinet dated 27th July 2021 delegated authority to develop a strategy including the procurement route in consultation with the Cabinet Member for Finance and Resources and then to award contracts for the delivery of the additional fitout works to Plots 6, 7, 8 and 9 to CO. Delegated Award Report signed 19/10/2022.	Lovell Partnerships Limited	£4,293,000		Paul Kitson / Steve Sandercock	24/10/2022
Delegated Award Report	Afghan Refugee Resettlement Schemes: Provision of Orientation, Accommodation & Support Services for Year 1	P0980	Provision of Orientation, Accommodation & Support Services for first 12 months for 190 Afghan refugees arriving under the combined Afghan Citizens Resettlement Scheme (ACRS) and Afghan Relocations and Assistance Policy (ARAP).	3 years	Adult Social Care	Health and Social Care	Andrew Healey	Natasha Bhandal / Marie Kennedy	Presented to Cabinet for info 28/06/2022. Approval to Tender Strategy Report on 21/07/2022 and delegated the award to CO. Delegated Contract Award Report signed 07/10/2022.	Refugee Action	£1,377,696		Graeme Betts / Steve Sandercock	04/11/2022
Strategy / Award	Financial Viability Assessments	P0496_2022	Provision of Independent Assessment of Financial Viability Appraisals Submitted in Support of Planning Applications and Appeals.	4 years	Planning, Transport & Sustainability	Transport	Carl Tomlinson	Nicholas Jackson / Andrea Webster	Presented to Cabinet for info 07/06/2022. Strategy / Award Report signed 31/10/2022.	Lambert Smith Hampton Group Limited	£600,000		Ian MacLeod / Steve Sandercock	22/11/2022
Strategy / Award	Supply of Bulk Fuel	U63A_2020	For the purchase of bulk fuels via the Eastern Shires Purchasing Organisation (ESPO) Liquid Fuels Framework Agreement (301_22).	2 years	Council Management	Finance and Resources	Lee Bickerton	Jose Vitoria	Cabinet approved the Approval to Tender Strategy Report in 08/09/2020 and delegates the award to CO. Strategy / Award Report signed 07/11/2022.	1) Certas Energy UK Limited 2) Standard Fuel Oils Limited	£7,800,000		Rebecca Hellard / Steve Sandercock	07/11/2022
Delegated Extension Award	Vulnerable Adults Housing and Wellbeing Support	P0577	For the provision of Vulnerable Adults Housing and Wellbeing Support services.	2 years	Adults Social Care	Health and Social Care	Yusef Shaibu	Kalvinder Kohli / John Hardy / Marie Kennedy	Cabinet approved Vulnerable Adults Housing and Wellbeing Support 16/04/2019.and delegated the strategy to CO Delegated Contract Award Report signed 24/09/2019. Delegated Extension Award Report signed 07/11/2022.	**LOT 1 - YOUNG PEOPLE (AGED 18-24yrs)** 1.1 - Advice & Welfare Hub - St Basils 1.2 - Lead Worker - St Basils and Trident Reach the People Charity 1.3 - Emergency Provision- St Basils 1.4 - Complex Needs - St Basils 1.5 - Long Term Supported - Accord Housing Association, Spring Housing Association, St Basils and Trident Reach the People Charity **LOT 2 - ADULTS (SINGLES AND COUPLES)** 2.1 - Advice & Welfare Hubs - SIFA Fireside 2.2 - Lead Workers - Cranstoun and Trident Reach the People Charity 2.3 - Emergency Provision - Trident Reach the People Charity 2.4 - Complex Needs - Trident Reach the People Charity 2.5 - Long Term Supported - Birmingham YMCA, Sanctuary, Spring Housing Association, The Salvation Army and Trident Reach the People Charity 2.6 - Rough Sleepers - Trident Reach the People Charity **LOT 3 - VICTIMS OF DOMESTIC ABUSE** 3.2 - Lead Workers - Birmingham and Solihull Women's Aid and Cranstoun 3.3 - Refuge Emergency - Accord Housing Association, Birmingham and Solihull Women's Aid, Birmingham Crisis Centre, Gilgal Birmingham, The Salvation Army and Trident Reach the People Charity 3.4 - Complex Needs - No bids submitted 3.5 - Long Term Supported - Trident Reach the People Charity	£4,383,656 £6,274,821 £2,863,623		Graeme Betts / Steve Sandercock	01/12/2022
										LOT 4 - HOUSEHOLDS IN TEMPORATY ACCOMMODATION 4.2 - Lead Workers - Cranstoun **LOT 5 - OFFENDERS** 5.1 - Advice & Welfare - Spring Housing Association 5.2 - Lead Workers - Accord Housing Association and Nacro 5.5 - Long Term Supported - Accord Housing Association, Nacro and Spring Housing Association	£342,998 £1,557,552 Total annual value £15,422,650 x 3 years £46,267,950	£32,890,000 for 2 year extension		
Delegated Award Report	Highways PFI Legal Advice	P0989	Specialist external advocacy, legal advice and support for resolution of settlement issues, expert advice (including technical and commercial expert advice) and contract restructuring and litigation advice in relation to potential disputes.	1 year, 8 months	City Operations	Transport	Carl Tomlinson	Domenic De Bechi / Andrea Webster	Presented to Cabinet for info 06/09/2022. Approval to Tender Strategy Report on 09/09/2022 and delegated the award to CO. Delegated Contract Award Report signed 24/11/2022.	DLA Piper UK LLP	£4,100,000		Rob James / Steve Sandercock	12/12/2022
Delegated Award Report	Birmingham Carers Hub	P0905	The services will include information advice and guidance, advocacy, emergency and planned response services wellbeing assessments and payments, wellbeing breaks, carers cards, specialist dementia support, health liaison projects, small grants, a transition service for younger adult carers, support for parent carers and statutory carer assessments.	5 years	Adult Social Care	Health and Social Care	Yusef Shaibu	Gordon Strachan / Marie Kennedy	Cabinet for Birmingham Carers Hub: Commissioning Plans and Procurement Strategy for Adult Carer Services approved on 06/09/2022 and delegated the award to CO. Delegated Award Report signed 01/12/2022.	Forward Carers	£15,427,000		Graeme Betts / Steve Sandercock	01/04/2023
Delegated Award Report	Administration and Resources for Department of Works and Pensions Initiatives	P0983	There is an unprecedented amount of demand on the Benefit Service in the number of applications for housing benefit and council tax support, applications for Local Welfare Provision (400% increase), isolation payments and crisis applications due to the impact of the cost of living fuel prices, impact from covid and DWP initiatives.	3 years with an option to extend for 1 year	Council Management	Finance and Resources	Lee Bickerton	David Kinnair / Stuart Follows	Presented to Cabinet for info 27/07/2022. Approval to Tender Strategy signed 25/08/2022 and delegated the award to CO. Delegated Award Report signed 12/12/2022.	Capita Business Services Limited	£999,745	£200,255	Peter Bishop / Steve Sandercock	01/02/2023

Type of Report	Title of Procurement	Ref	Brief Description	Contract Duratic	Directorate	Portfolio Finance and Resources	Finance Officer	Contact Nam	Comments - including any request from Cabinet Members for more details	Contractor(s) Awarded to	Value of Contracts	Chief Officer	Actual Go Live date
Strategy / Award	Valuations of the Council's Assets	P0176	There is a requirement for the Council to value its assets by a Royal Institute of Charter Surveyors (RICS) registered valuer primarily for a five-year rolling programme to enable the annual accounts to be completed and also other reasons including insurance purposes and viability of ownership. The assets to be valued are the land and buildings.	5 years	Planning, Transport and Sustainability	Leader	Carl Tomlinson	Allyson-Marke Wilson / Charlie Short	Presented to Cabinet for info 18/01/2022. Strategy / Award Report signed 14/12/2022.	Sanderson Weatherall LLP	£1,200,000	Paul Kitson / Steve Sandercock	16/12/2022
Delegated Extension Award	Extension of Birmingham Community Equipment Loans Service	P0567	Supports Adult Social Care / Education and the NHS aims and objectives to enable citizens to remain independent in their own homes aided by equipment for as long as possible.	2 years	Adult Social Care	Health and Social Care	Yusef Shaibu	Kamran Mahmood	Cabinet approved the Approval to Tender Strategy Report **09/10/2018** and delegated the award to CO. Delegated Award Report signed **12/12/1019**. Delegated Extension Award Report signed 16/12/2022.	Medequip Ltd	£16,000,000	Graeme Betts / Steve Sandercock	01/04/2023
Strategy / Award	Microsoft Licenses and Associated Services		Microsoft Enterprise Agreement which provide access to Microsoft Licensed products; A agreement which provides a list of licenses already in use and access to new licensing in line with recommendations made in the cabinet report and technology roadmap.	3 years	Digital and Customer Services	Digital, Culture, Heritage and Tourism	Lee Bickerton	Dan Gaiger	Cabinet approved the report on 08/11/2022 and delegated the award to CO. Delegated Award Report signed 16/12/2022.	Bytes Software Services (Bytes)	£13,225,177	Peter Bishop / Steve Sandercock	01/04/2023

Birmingham City Council

Report to Cabinet

Date: 14th February 2023

Subject:	**NON-KEY DECISION PLANNED PROCUREMENT ACTIVITIES AND QUARTERLY CONTRACT AWARDS (OCTOBER 2022– DECEMBER 2022)**
Report of:	**ASSISTANT DIRECTOR – PROCUREMENT**
Relevant Cabinet Member:	**Councillor Yvonne Mosquito, Finance and Resources**
Relevant O &S Chair(s):	**Councillor Akhlaq Ahmed, Chair of Resources O & S**
Report author:	Steve Sandercock, Assistant Director, Procurement Email Address: steve.sandercock@birmingham.gov.uk

Are specific wards affected? If yes, name(s) of ward(s):	☐ Yes	☒ No – All wards affected
Is this a key decision? If relevant, add Forward Plan Reference:	☐ Yes	☒ No
Is the decision eligible for call-in?	☒ Yes	☐ No
Does the report contain confidential or exempt information? If relevant, provide exempt information paragraph number or reason if confidential :	☐ Yes	☒ No

1 Executive Summary

1.1 This report provides details of the contract award decisions made under Chief Officer's delegation during the previous quarter. Planned procurement activities reported previously are not repeated in this report.

1.2 The report enables Cabinet to identify whether any reports for procurement activities should be brought to this meeting for specific executive decision,

otherwise they will be dealt with under Chief Officer delegations up to the value of £500,000, unless TUPE applies to current Council staff.

1.3 Appendix 1 informs Cabinet of the contract award decisions made under Chief Officers delegation during the period October 2022 – December 2022.

2 Recommendations

2.1 To note there are no non-key decisions planned procurement activities for this month.

2.2 Notes the contract award decisions made under Chief Officers delegation during the period October 2022 – December 2022 as detailed in Appendix 1.

3 Background

3.1 The report approved by Council Business Management Committee on 16 February 2016 set out the case for introducing this process.

3.2 At the 12th July 2022 meeting of Council changes to procurement governance were agreed which gives Chief Officers the delegated authority to approve procurement contracts up to the value of £500,000 for non-key decisions over the life of the contract. Where it is likely that the award of a contract will result in staff employed by the Council transferring to the successful contract under TUPE, the contract award decision has to be made by Cabinet.

3.3 In line with the Procurement and Contract Governance Rules that form part of the Council's Constitution, this report acts as the process to consult with and take soundings from Cabinet Members and the Resources Overview & Scrutiny Committee.

3.4 This report sets out the planned procurement activity over the next few months where the contract value is between the procurement threshold £177,897.50 (excluding VAT) and £500,000 (excluding VAT) for non-key decisions. This will give members visibility of all procurement activity within these thresholds and the opportunity to identify whether any procurement reports should be brought to Cabinet for approval even though they are below the £10m delegation threshold.

3.5 It should be noted that the procurement threshold has changed from £189,330 to £177,897.50 (excluding VAT) and applies from 1st January 2022 for a period of 2 years.

3.6 Individual procurements may be referred to Cabinet for an executive decision at the request of Cabinet, a Cabinet Member or the Chair of Resources Overview & Scrutiny Committee where there are sensitivities or requirements that necessitate a decision being made by Cabinet.

3.7 Procurements below £500,000 contract value that are not listed on this or subsequent monthly reports can only be delegated to Chief Officers if specific approval is sought from Cabinet. Procurements above £10m contract value will still require an individual report to Cabinet in order for the award decision to be delegated to Chief Officers if appropriate.

4 Options considered and Recommended Proposal

4.1 The options considered are:

- To note the planned procurement activities for all the projects listed in Appendix 1 and the Chief Officer delegations as set out in the Constitution, for the subsequent decisions around procurement strategy and contract awards.– this is the recommended option.

5 Consultation / Engagement

5.1 This report to Cabinet is copied to Cabinet Support Officers and to Resources Overview & Scrutiny Committee and therefore is the process for consulting with relevant cabinet and scrutiny members. At the point of submitting this report Cabinet Members/ Resources Overview & Scrutiny Committee Chair have not indicated that any of the planned procurement activity needs to be brought back to Cabinet for executive decision.

6 Risk Management

6.1 Members should note that in respect of any procurement projects which are sought to be referred back to Cabinet for further considerations these may impact on timescales around the delivery of those projects.

6.2 Details of Risk Management, Community Cohesion and Equality Act requirements will be set out in the individual reports.

7 Compliance Issues:

7.1 How are the recommended decisions consistent with the City Council's priorities, plans and strategies?

7.1.1 Details of how the contracts support relevant Council policies, plans or strategies, will be set out in the individual reports.

7.2 Legal Implications

7.2.1 Members are reminded that as a Local Authority the Council has specific duties under public sector procurement, specifically the Public Contract Regulations 2015.

7.2.2 Specific details of any implications related to public sector procurement Regulations are set out- in the individual reports appended to this report.

7.3 Financial Implications

7.3.1 Specific details of how decisions will be carried out within existing finances and resources will be set out in the individual reports.

7.4 Procurement Implications (if required)

7.4.1 As noted under the Legal Implications the Council has a duty to ensure that public sector procurement activity is in line with public sector legislation, specifically the Public Contracts Regulations 2015.

7.4.2 For each of the individual projects the specific procurement implications associated to the legislation are set out and detailed in the appendices

7.5 Human Resources Implications (if required)

7.5.1 None.

7.6 Public Sector Equality Duty

7.6.1 Details of Risk Management, Community Cohesion and Equality Act requirements will be set out in the individual reports which should also give consideration to application of Equality Impact Assessments in line with Council Policy

8 Background Documents

8.1 List of Appendices accompanying this Report (if any):

APPENDIX 1 - QUARTERLY CONTRACT AWARD SCHEDULE (OCTOBER 2022 – DECEMBER 2022)

Type of Rep	Title of Procurement	Ref	Brief Description	Contract Durati	Directorate	Portfolio Finance and Resources	Finance Officer	Contact Nam	Comments - including any request from Cabinet Members for more details	Contractor(s) Awarded to	Value of Contracts	Value w Option to Extend	Chief Office	Actual Go Live date
Delegated Award Report	Demolition of the Tower Ballroom	13309R	•provision for some salvaging of internal materials •mitigation of adjacent works under a party wall procedure •additional works and necessary monitoring adjacent to a known fresh water supply on behalf of the Canal & Rivers Trust.	14 weeks	Place, Prosperity and Sustainability	Leader	Carl Tomlinson	Andrew Cox / Charlie Short	Presented to Cabinet for info 28/06/2022. Approval to Tender signed 07/05/2021 and delegated the award to CO. Delegated Award Report signed 09/09/2022.	PBM Contractors Limited	£254,150		Paul Kitson / Steve Sandercock	10/10/2022
Strategy / Award	Perry Barr 2040 Regeneration Programme: Commercial and Development Advice for the Delivery of the Perry Barr 2040: A Vision for Legacy Masterplan	N/A	Commercial and development advice to support the delivery of the Perry Barr 2040 Programme (PB2040) called off under the Crown Commercial Services Management Consultancy 3 Framework Agreement by direct award in accordance with its protocol.	Up to 24 months	Place, Prosperity and Sustainability	Carl Tomlinson	Guy Olivant	Gloria Ighodaro / Charlie Short	Presented to Cabinet for info 07/06/2022. Delegated Award Report signed 19/10/2022.	Ove Arup & Partners Limited	£300,000		Paul Kitson / Steve Sandercock	24/10/2022
Delegated Award Report	Demolition and associated works of various residential properties at Barratts Road, Sisefield Road, Little Hill Grove and Hillmead Road	13227	The demolition & associated works of various residential properties at Barratts Road, Sisefield Road, Little Hill Grove and Hillmead Road.	1 year	Place, Prosperity and Sustainability	Housing	Carl Tomlinson	Joseff Mcalinden	Presented to Cabinet for info 13/11/2018. Approval to Tender Strategy Report on 07/08/2019 and delegated the award to CO. Delegated Contract Award Report signed 19/10/2022.	PBM Contractors Limited	£452,375		Paul Kitson / Steve Sandercock	19/10/2022
Strategy / Award	Construction Professional Services for the Alexander Stadium	P1094	To support the reinstatement of the Alexander Stadium site to operate as a functional community and events facility to support the legacy from the Commonwealth Games 2022, there is a requirement for construction professional services for the works.	2 years	City Operations	Leader	Guy Olivant	Dave Wagg / Charlie Short	Presented to Cabinet for info 27/07/2022. Strategy / Award Report signed 25/10/2022.	Mace Consult Limited	£398,530		Rob James / Steve Sandercock	28/10/2022
Delegated Award Report	Virtual School Tuition Programme	P0885	To provide an alternative education service for young people in the absence of a school place or while awaiting allocation of a school place. Tuition will be delivered through a hybrid model; face to face and remote learning. There will be some face to face tuition based on child's learning needs. Where the young person can access learning remotely and would value doing so and it will not slow progress, lessons may be virtual for the following lots: Lot 1 - Standard face to face delivery Lot 2 - Standard remote delivery Lot 3 - Specialist face to face delivery Lot 4 - Specialist remote delivery	4-years with a break clause in Years 2 and 3	Education and Skills	Education, Skills and Culture	Clare Sandland	Sandra Asiedu / Lisa Marie Smith	Presented to Cabinet for info 09/11/2021. Approval to Tender Strategy Report on 13/04/2022 and delegated the award to CO. Delegated Contract Award Report signed 04/11/2022.	a) Academy21 for Lot 2 services b) Equal Education for Lots 1, Lot 2, Lot 3 and Lot 4 services c) Five Rivers for Lot 2 and Lot 4 services d) Fleet Tutors for Lots 1, Lot 2, Lot 3 and Lot 4 services e) Targeted Provision for Lots 1, Lot 2, Lot 3 and Lot 4 services f) Teaching Personnel for Lots 1, Lot 2, Lot 3 and Lot 4 services g) Tute Education for Lots 2 and Lot 4 Services	£500,000		Sue Harrison /Steve Sandercock	07/11/2022
Delegated Award Report	Increase the expenditure of the contract - Our Future City Plan Framework and Delivery Plan	N/A	Our Future City Plan – Central Birmingham Framework 2040' will replace the existing Big City Plan with a new vision for the central area of the city to help deliver new homes, jobs and commercial development. The Draft Central Framework 2040 is now being produced and expert advice is required.	8 months	Planning, Transport & Sustainability	Transport and Environment	Carl Tomlinson	Simon Delahunty-Forrest / Charlie Short	Presented to Cabinet for info 27/07/2021. Strategy / Award Report signed 24/11/2021. Additional Increase Report signed 17/11/2022. This increase is due to unforeseen extra works and delays required during the delivery period that were not identified as part of the original procurement process and contract award. Increase from £593,349 to £712,019	Arcadis UK Ltd	£118,670		Paul Kitson / Steve Sandercock	21/11/2022
Delegated Award Report	Technology Enabled Care (TEC) Consultative Support Service Specification	P0979	To support the creation and development of a transformational TEC service for Birmingham. The service required will involve working closely with Council colleagues and experts by experience and includes revising the TEC commissioning strategy, undertaking market engagement and the creation of a robust service specification that is ready to share with the market to procure a transformational TEC service for Birmingham, if this is the preferred option and will include key deliverables such as a robust culture change programme and the model to identify the benefits of deploying technology.	1 year, plus 1 year option to extend	Adult Social Care	Health and Social Care	Yusef Shaibu	Julie Harrison / Marie Kennedy / Manjit Samrai	Presented to Cabinet for info 06/09/2022. Approval to Tender Strategy Report on 09/09/2022 and delegated the award to CO. Delegated Contract Award Report signed 23/11/2022.	Rethink Partners Limited	£250,000		Graeme Betts / Steve Sandercock	05/12/2022
Strategy / Award	Corporate telephony – Operator Connect		The new platform (MS Teams with Operator Connect) that will replace Cisco, tightly integrates into MS Teams, which is currently used by the majority of council staff and will create a more seamless user experience when making external calls and online meetings (conference calls) from within the MS Teams platform. The platform will also support the NWOW programme's and simplify the administration for IT&D and the wider user base through the consolidation into MS Teams.	3 years, 6 months	Digital and Customer Services	Digital, Culture, Heritage and Tourism	Lee Bickerton	Ben Sawyer	Presented to Cabinet for info 11/10/2022. Strategy / Award Report signed 05/12/2022.	Gamma Telecom Limited	£469,838	£497,340	Peter Bishop / Steve Sandercock	09/12/2022
Strategy / Award	Increase in contract value - Non-PFI Lighting Assets on Housing Land	P0428	Provision of lighting maintenance and replacement services to around 3,000 non-PFI lighting assets, which are located City-wide on Housing land.		City Housing	Housing	Andrew Healey	Paul Laythorpe / Charlie Short	Presented to Cabinet for info 12/12/2018. Approval to Tender Strategy Report signed **13/04/2018** and delegated the award to CO. Delegated Award Report signed **29/11/2018**. Increase additional report signed 07/12/2022. From the original value of £3,800,000 to £4,150,000. This increase is for the unforeseen extra works and delays required during the installation period that were not identified as part of the original procurement process and contract award.	McCann Ltd	£350,000		Paul Langford / Steve Sandercock	
Strategy / Award	Pre-Employment Checks		An outsourced digitalised pre-employment check service provided by a third party. This includes Right To Work, References, DBS and all associated checks required for employment with BCC.	2 years	Council Management	Finance and Resources	Lee Bickerton	Sherrie Watkins / Richard Tibbatts	Presented to Cabinet for info 11/10/2022. Strategy / Award Report signed 08/12/2022.	Security Watchdog (part of Capita plc)	£240,000		Darren Hockaday / Steve Sandercock	12/12/2022

Birmingham City Council
Report to Cabinet
14th February 2023

Subject:	**RESPONSE TO INDEPENDENT REVIEW OF BIRMINGHAM SPECIAL EDUCATIONAL NEEDS AND DISABILITY INFORMATION, ADVICE AND SUPPORT SERVICE (SENDIASS)**
Report of:	**Sue Harrison, Director Children and Families**
Relevant Cabinet Member:	**Cllr Karen McCarthy, Children, Young People and Families** **Cllr Yvonne Mosquito, Finance and Resources**
Relevant O &S Chair(s):	**Cllr Kerry Jenkins, Education & Children's Social Care** **Cllr Akhlaq Ahmed, Resources**
Report author:	**Helen Price,** **Director Commissioning, Strategy and Transformation** **helen.x.price@birmingham.gov.uk**

Are specific wards affected? If yes, name(s) of ward(s):	☐ Yes	☒ No – All wards affected
Is this a key decision? If relevant, add Forward Plan Reference: **010978/2023**	☒ Yes	☐ No
Is the decision eligible for call-in?	☒ Yes	☐ No
Does the report contain confidential or exempt information? If relevant, state which appendix is exempt, and provide exempt information paragraph number or reason if confidential :	☐ Yes	☒ No

1 Executive Summary

1.1 An independent review of Birmingham SENDIASS was undertaken by the National Children's Bureau in spring 2022. This review found a number of issues within the SENDIASS service which needed to be addressed by the Council.

1.2 One of the main concerns arising from the independent review is the failure of the service to comply with 18 out of 21 of the national minimum standards.

1.3 The Council is committed to delivering a compliant SENDIASS service and has been exploring options for future delivery of the service to ensure that it complies with the national minimum standards.

1.4 This report sets out the options appraisal that has been undertaken, how the options were assessed and seeks Cabinet's approval for the recommended option.

2 Recommendations

2.1 That Cabinet:

2.1.1 Notes the report produced by the National Children's Bureau following its independent review of Birmingham SENDIASS (**Appendix A**).

2.1.2 Agrees the recommendation that the Council seeks to secure an alternative, external, experienced provider with a strong track record of providing SENDIASS through a compliant competitive tender exercise without the further requirement of including in a Planned Procurement Activity Report.

2.1.3 Agrees to delegate authority for the contract award to any successful provider to the Director Children and Families, in consultation with the Cabinet Member for Children, Young People and Families and the Cabinet Member for Finance and Resources.

2.1.4 Authorises the City Solicitor to negotiate, execute and complete all necessary documents to give effect to the above recommendations.

3 Background

3.1 All local authorities are required under the Children and Families Act 2014 to provide free impartial, confidential and accurate information, advice and support about education, health and social care for children, young people and their parents and carers on matters relating to special educational needs and disability. In Birmingham this is provided by SENDIASS, a Council department.

3.2 All SENDIASS services are required to comply with a set of minimum standards that were developed by IASS managers, parents and Councils in consultation with the Department for Education. They are based on the law, the SEND Code of Practice and relevant quality standards.

3.3 In October 2021 the Secretary of State for Education issued a statutory direction to Birmingham City Council requiring the Council to take steps to improve its

SEND services, including co-operating with the DfE appointed SEND Commissioner, John Coughlan.

3.4 In February 2022, the SEND Commissioner published his first report to the Secretary of State for Education. In this report, the Commissioner made 18 recommendations. The report and its recommendations have been accepted in full by the leadership of the Council, as noted by Cabinet in November 2022.

3.5 One of the recommendations made by the SEND Commissioner was; *'The SENDIASS service in Birmingham should be externally reviewed with recommendations brought back to the IB (SEND Improvement Board) in due course'*.

3.6 The National Children's Bureau was asked to undertake an independent review of SENDIASS. This review commenced in March 2022 and considered how Birmingham SENDIASS was meeting the national minimum standards.

3.7 A report setting out the findings from the independent review was shared with the SEND Improvement Board in July 2022 and is appended to this report (**Appendix A**). The Council and the SEND Improvement Board have accepted the findings of this review.

3.8 The review concluded that Birmingham SENDIASS was non-compliant with 18 out of 21 of the national minimum standards and required significant and rapid improvement.

3.9 The review also found that Birmingham SENDIASS was not sufficiently focussed on its core statutory functions. In addition to its statutory role, Birmingham SENDIASS has developed a 'Front Door' project in recent years that has provided a different service for families.

3.10 The 'Front Door' project has taken a social care approach and has been staffed by agency workers and social work students on placement. The review found significant crossover with the statutory SENDIASS work and a lack of engagement with Birmingham Children's Trust, the commissioned provider of Children's Services.

3.11 This model of family support needs to align with the Early Help services provided by Birmingham Children's Trust, as commissioned by the Council

3.12 Family support will be provided through an appropriate provider, Birmingham Children's Trust, enabling the SENDIASS service to focus on delivering its statutory functions to support families.

3.13 Birmingham Children's Trust does not have the necessary experience or expertise to deliver the core SENDIASS service.

3.14 These statutory functions have not been provided in compliance with national minimum standards for some time and need to become compliant as soon as possible.

3.15 The local SEND system cannot operate effectively without a functioning statutory SENDIASS service.

3.16 Commissioning this service from an independent provider would be consistent with the approach employed elsewhere in the Council. Services currently commissioned from not for profit providers include the Council's Care Act Advisory Services, Youth Homelessness Hub, Domestic Abuse Homelessness Hub, and money, benefit and debt advice services across the city.

4 Options considered and Recommended Proposal

4.1 An options appraisal has been carried out, with the following options being considered:

4.1.1 Continue with the current service and work towards compliance with the national minimum standards.

4.1.2 Secure an alternative, external, experienced provider with a strong track record of providing a family centred, legally compliant SENDIASS service, through carrying out a compliant competitive tender exercise.

4.2 These options were assessed against the extent to which they would enable the delivery of a fully compliant SENDIASS and address the non-compliance identified by the National Children's Bureau without delay.

4.3 The following five appraisal criteria have been used to assess the options:

4.3.1 **Improvement and compliance** - Enables the service to quickly improve and to become compliant with the required minimum standards.

4.3.2 **Impartiality** - Provides a service that is sufficiently independent and arm's length that will enable parents and children to have confidence that the service is impartial, and its advice is seen as such. Appropriate distance from the Council and Children's Trust's front door arrangements is essential.

4.3.3 **Understands its strengths and weaknesses** - Develops a service that is outward looking, knows its strengths and weakness and is supported by good quality data which is uses to drive improvement

4.3.4 **Constructive problem-solving approach** - Develops a service that promotes constructive problem-solving approaches to resolving differences and enabling services to correct mistakes and get the right support for parents and children at an early stage and at appropriate levels.

4.3.5 **Promotes best practice** - Enables the service to become consistent with more positive practice that is evident in other SENDIASS services.

4.4 The option to continue with the current service was assessed against the criteria and the following was found:

4.4.1 **Improvement and compliance** – The current service has had sight of the improvement plan and report since July 2022. To date, insufficient improvement against the minimum standards has been evidenced.

4.4.2 **Impartiality** – The review report details that the current arrangements do not offer sufficient impartiality and distance from the Council and Children's Trust's front door. The arrangements are not sufficiently distanced to allow families to have confidence in the advice being sufficiently independent and impartial. The NCB's review of SENDIASS (p12) described the service's Impartiality Policy as *'not robust enough as it doesn't explain how the service delivers or maintains impartiality.*'

4.4.3 **Understands its strengths and weaknesses** – The service as it is currently organised and operates has not had a good understanding of its strengths and weaknesses, as demonstrated by the service's lack of acceptance of the findings of the independent review. This could improve but would require a strong focus on developing robust systems and policies to support them. To date, the expertise to develop this has not been evidenced.

4.4.4 **Constructive problem-solving approach** – The review report details the high number of escalations and tribunals that the service is involved in as well as little evidence of attempting to resolve issues in a more constructive way. This approach could be developed but would require a significant cultural and practice shift within the team.

4.4.5 **Promotes best practice** – Currently best practice is not evident within the team. Best practice could be adopted but would take time and a significant cultural shift to achieve.

4.5 Examining this option against the appraisal criteria indicates that it is unlikely to achieve sufficient improvement in a timely way. Option 1 is therefore not a recommended option.

4.6 As part of this options appraisal, the Council considered how other Councils secure their SENDIASS services. Some Councils outsource these services with third sector providers and there are several not-for-profit providers with significant expertise of providing good quality, compliant services. This allows for a body of expertise in this type of advice service to be developed and shared.

4.7 The option to secure an alternative, external, experienced provider with a strong track record of providing SENDIASS through a compliant competitive tender exercise was considered against the appraisal criteria:

4.7.1 **Improvement and compliance** – Securing an experienced provider with significant experience of delivering fully compliant, good quality SENDIASS would offer good potential for achieving rapid improvement when the process is complete. The process to complete a compliant competitive tender following a key decision will take three months with a further three months to mobilise the service. Improvement could begin during the mobilisation period.

4.7.2 **Impartiality** – This option would ensure the service was fully independent of the Council and offered information advice and guidance that is impartial. Appropriate distance from the Council and the Children's Trust's front door arrangements would be achieved.

4.7.3 **Understands its strengths and weaknesses** – Any tender process would seek evidence that appropriate policies, improvement arrangements, data and information would be in place. Becoming part of a larger family of SENDIASS services would allow for proven ways of applying data and quality assurance processes to be applied. These would be evaluated during any tender processes.

4.7.4 **Constructive problem-solving approach** – This option would allow best practice in terms of mediation, problem solving and early rectification of mistakes to be shared from other SENDIASS any successful provider currently manages. Evidence of doing this will be examined during the tender process.

4.7.5 **Promotes best practice** – This option would allow for consistency to be achieved and close comparison and sharing of good practice from other SENDIASS any successful provider manages.

4.8 Option 2 is the preferred option as it would allow for improvement to be achieved within a realistic timescale, offers improved impartiality and distance from the Council. It allows for best practice to be applied from services that have a good track record of delivering SENDIASS elsewhere. The service could have more resilience as part of an organisation that delivers this service over a number of Councils with a larger pool of staff to call on.

5 Consultation

5.1 The National Children's Bureau's report was taken to the SEND Improvement Board in July 2022 where its findings were discussed.

5.2 Engagement has taken place on the review, the options appraisal and the recommended option with the Cabinet Member for Children, Young People and Families and the Corporate Leadership Team (CLT).

5.3 The Education and Children's Social Care Overview and Scrutiny Committee considered a redacted version (to remove individuals' personal information) of the National Children's Bureau's report at its reconvened meeting on 25 January 2023.

5.4 At that meeting, the Committee agreed three recommendations:

5.4.1 That the Director of Children's Services ensures that all planning, commissioning and reviewing of services in her Directorate complies with the SEND Code of Practice by ensuring it seeks to engage and hear the voices of children and young people, and their parents.

5.4.2 That the appropriate and adequate funding and resourcing was put in place for SENDIASS as a matter of urgency; that the service remains in-house; and that an agreement for joint commissioning work with the NHS was sought as a priority. This path offers the most effective future arrangement for a SENDIASS in Birmingham reflecting the national pattern of SENDIASS delivery across the country.

5.4.3 The Chair together with the Scrutiny Officer to confirm outstanding questions that would be submitted to the report author based on the discussion during the meeting, with a request these were answered by the meeting of Cabinet on 14 February 2023.

5.5 The Committee's first recommendation has been accepted.

5.6 The Committee's second recommendation has been partially accepted.

5.6.1 The Council is committed to ensuring that Birmingham SENDIASS has the funding and resources it needs to ensure this statutory service can be delivered.

5.6.2 The Committee's recommendation that SENDIASS remains in-house was not accepted. As set out in this paper, the preferred option recommended to Cabinet is that an alternative, external, experienced provider with a strong track record of providing SENDIASS is secured through a compliant competitive tender exercise.

5.6.3 Officers will discuss the recommendation to undertake joint commissioning work with the NHS.

5.7 In relation to the third recommendation, the Chair and the Scrutiny Officer confirmed outstanding questions will be submitted to the report author, with a request these were answered by the meeting of Cabinet on 14 February 2023. However, it was not possible for the independent author to be compelled to respond by a particular date.

5.8 The Council has received feedback from SENDIASS staff, some elected members and a limited number of families opposing any changes to the method of delivering the SENDIASS service.

5.9 A petition, signed by over 1,000 people, asks Birmingham MPs to raise the 'threats to Birmingham SENDIASS' with the Government Minister responsible for SEND. At the time of writing, this petition has not been addressed to or submitted to the Council.

5.10 If the recommended option is approved, the specification and evaluation of tender bids will be co-produced with Birmingham Parent Carer Forum. The Forum will ensure a wide range of parents contribute to this process. SENDIASS is a service to support and provide expert advice to parents, children and young people so their views and expertise will be central.

5.11 Families' close involvement in specifying the service and selecting any successful provider should begin to build confidence in a service that should be offering good quality, impartial and expert advice.

6 Risk Management

6.1 Risks in delivering against the recommendations made by the SEND Commissioner are identified, evaluated and controlled through the SEND Improvement Board.

6.2 We are aware that we need to make rapid improvements to this service to ensure compliance with the national minimum standards. Any delay to this means families are continuing to receive a non-compliant service.

7 Compliance Issues:

7.1 How are the recommended decisions consistent with the City Council's priorities, plans and strategies?

7.1.1 The recommended option supports the delivery of the Council's priorities as set out in the Birmingham City Council Plan 2022:

- Birmingham is an aspirational city to grow up in - we will improve protection of vulnerable children and young people (including those with Special Educational Needs and Disability).
- Birmingham is an aspirational city to grow up in - we will inspire our children and young people to be ambitious and achieve their full potential.

7.2 Legal Implications

7.2.1 On 15 October 2021 the Secretary of State for Education issued a statutory direction under section 497A(4B) of the Education Act 1996, directing the Council to take a number of steps including complying *'with any instructions of the Secretary of State or the SEND Commissioner in relation to the improvement of the Council's exercise of its SEND functions and provide such assistance as either the Secretary of State or the SEND Commissioner may require'*.

7.2.2 The Council is therefore required to act upon the recommendations set out in the SEND Commissioner's Report dated February 2022, one of which was that there should be an external review of Birmingham SENDIASS with recommendations brought to the SEND Improvement Board.

7.2.3 Section 32 of the Children and Families Act 2014 places a duty on the Council to "…*arrange for children and young people for whom it is responsible, and the parents of children for whom it is responsible, to be provided with advice and information about matters relating to the special educational needs of the children or young people concerned…".* Part 2 of the statutory guidance 'the SEND Code of Practice January 2015' sets out further requirements for

operating Information and Advice Services, including the requirement that they be impartial and provided ‘at arms’ length’ from the Local Authority and ICB.

7.2.4 Under S.111 Local Government Act 1972 the Council has power to do anything (whether or not involving the expenditure, borrowing or lending of money or the acquisition or disposal of any property or rights) which is calculated to facilitate, or is conducive or incidental to, the discharge of any of its functions.

7.3 Financial Implications

7.3.1 The SENDIASS net budget for 2022/23 is £308,151.

7.3.2 The proposed 2023/24 net budget is between £419,348 and £519,348. This includes the Pay Award and other adjustments.

7.3.3 A review into historical financial governance of the service is currently in progress.

7.3.4 The scope of the review includes the historical and current year budget setting and monitoring processes, expenditure on agency staffing, and wider compliance with the Authority’s financial and governance controls. Work on budget setting and monitoring is complete, whilst the review of agency staff recruitment and expenditure, as well as financial and governance control compliance is on-going as further investigation is undertaken off the back of initial findings.

7.4 Procurement Implications

7.4.1 If the recommended option is approved, the specification and evaluation of tender bids will be co-produced with Birmingham Parent Carer Forum. The Forum will ensure a wide range of parents contribute to this process.

7.4.2 Families’ close involvement in specifying the service and selecting any successful provider should begin to build confidence in a service that should be offering good quality, impartial and expert advice.

7.4.3 Should the recommended option be approved (to undertake a tender for a new provider), a compliant competitive tender exercise will be conducted in line with the Council’s Procurement and Contract Governance Rules.

7.4.4 When conducting the tender the Council will ensure that bidders from the not-for-profit / Voluntary Community and Social Enterprise (VCSE) sector are provided with an equal opportunity to compete and will face no `barriers as part of the process.

7.5 Human Resources Implications

7.5.1 By tendering the service to an experienced provider, TUPE will apply to permanent staff in the service as the work is continuing and not ceasing.

7.5.2 Any TUPE exercise will be conducted in line with the City Council's policy and procedure which includes formal consultation with the recognised trade unions and affected staff.

7.6 **Public Sector Equality Duty**

7.6.1 Inspections of Birmingham's services for children and young people with SEND by Ofsted and the Care Quality Commission (CQC) have identified areas of weakness that needed to be addressed.

7.6.2 The Council has had regard to the Public Sector Equality Duty and in particular notes that the functions carried out by the Council's SEND services, including SENDIASS, are designed to support the aims set out in section 149 of the Equality Act 2010, particularly for those with the protected characteristics of disability and age.

7.6.3 An Equality Assessment has been completed for this report (**Appendix B**).

7.7 **Environmental and Sustainability Implications**

7.7.1 There are no direct environmental and sustainability implications.

8 Appendices

8.1 **Appendix A** - National Children's Bureau review of Birmingham SENDIASS.

8.2 **Appendix B** – Initial Equality Assessment.

9 Background documents

9.1 Local area SEND inspection (May 2021)
https://files.ofsted.gov.uk/v1/file/50166306

9.2 Statutory Direction to Birmingham City Council in relation to its Special Educational Needs and Disability (SEND) service provision, under Section 497a(4b) of The Education Act 1996 (October 2021)
https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/1026624/Statutory_Direction_-_Birmingham_City_Council.pdf

9.3 First Report to the Secretary of State for Education by John Coughlan CBE, Commissioner for SEND Services in Birmingham (February 2022)
https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/1076725/Final_Improving_Special_Educational_Needs_and_Disability__SEND__Services_in_Birmingham.pdf

NATIONAL CHILDREN'S BUREAU

National Children's Bureau
23 Mentmore Terrace, London E8 3PN
020 7843 6000 enquiries@ncb.org.uk

INDEPENDENT REVIEW OF BIMINGHAM SENDIASS: NCB REPORT

Date:31st May 2022

Part 1.

1.1 Executive Summary

Birmingham City Council (BCC) commissioned the National Children's Bureau (NCB) to conduct an independent review of its current Information, Advice and Support Service (IASS) to ensure the service design and offer was fully meeting its statutory obligations as described in the Minimum Standards (MS). This review aimed to illustrate the strengths of Birmingham SENDIASS whilst identifying areas for service improvements when non-compliance is identified.

This review commenced in March and concluded in May 2022 and is based on detailed discussions with key individuals and a review of the management information available. The review concludes that Birmingham SENDIASS is 85% non-compliant when assessed against the MS. This means the service is only compliant with 3 out of the 20 standards with 55% RAG rated red. These findings are a direct contrast to the information provided by the SENDIASS to the Information Advice and Support Programme in January 2022, where the service self-evaluation return reported it was fully compliant (100%) when assessed against the MS and the management information provided to this review in April 2022 where the service self-assessment return was 80%, when assessed against the MS.

The review found some inadequacies in the SENDIASS infrastructure, including weak policies, lack of a service development plan, an "exclusive" steering group, poor data collection and associated analysis and reporting that is essential to reliably fulfil annual national benchmarking activities (although it does participate in these) and to inform service development and delivery. This could include key data, not asked for by anyone else but necessary to support for example new initiatives or exploring a suspected concern.

This review found the service presents as insular, with entrenched ways of working that do not routinely empower parents or YP and appears to be operating in a silo. Unhelpfully it is seemingly encouraging families to do the same by not promoting constructive or positive engagement with other council related services working with families with SEND. This is further exacerbated by routinely not allowing opportunities for services, particularly SENAR, to put things right in a non-confrontational way at an earlier stage. It reinforces this insular approach by in recent months creating its own YP Participation Group and a parents' group both of which have an unclear remit and, as far as I can ascertain are unknown outside of the service including by the LA, and the Parent Carer Forum (PCF) who have expressed keenness to engage and work in partnership with SENDIASS but to no avail. Understandably this approach and an apparent reluctance to change, also seems to have alienated other departments across BCC.

A fundamental requirement is, and always has been since their statutory status in 2001, for IAS services (previously known as Parent Partnership Services) to be a distinct service that operates at armslength from the LA. This is achieved in a range of ways and from a parent or young person (YP) being perceived in this way can be key to their success. This perception has to be wide reaching for it to be meaningful and true but it was reported to the review by a parent, that they and many other parents they "knew" via a FaceBook local SEND page, didn't trust the service and would never use it unless they were desperate. Birmingham SENDIASS may consider itself to be operating at armslength, but it needs to address the perception of potential service users. Being so intrinsically linked with Front Door appears to be blurring those lines considerably.

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Based on the past performance of the LA, particularly prior to May 2021 when OFSTED revisited, it's possible that SENDIASS thought there was little point in trying to get the LA to comply with the legal requirements of the C&FA 2014 and so used their legal knowledge to ensure parents and CYP's rights were protected and believed that appealing to the SEN and Disability Tribunal (SENDIST) was the most effective option. Based on a rather crude calculation (£253,000,000, reported widely since December 2021 as being spent by LAs defending appeals since 1.9.2014, divided by total number of nationally registered appeals = £6206.91 per appeal.) BCC has had approximately 1626 appeals registered since 1.9.2014 to 31.12.21 totalling an astonishing £10,092,435.70 which equates to half a new school. In 2019 Birmingham SENDIASS was the "named representative" in approximately 236 appeals (out of 295 appeals registered against BCC) or in 2020 in 209 (out of 261 appeals registered against BCC). To put this in context, the national average for a SENDIAS service's involvement in some capacity with tribunal cases is 40 a year, and attending and supporting a parent or young person directly is only 4. This latter figure may also include being the named representative. Please see appendices SE1a and SE1b. Even when taking into consideration the size of BCC, this requires significant attention by all departments including SENDIASS, to ensure all earlier options available to resolve issues are explored and exhausted, to avoid the SEN budget being used in such a negative and unproductive way.

The first and immediate decision to be made is how to enable SENDIASS to become a jointly commissioned, adequately funded, distinct and standalone service. There seem to be two options; restructure the existing service and this must include a significant staff training programme, or commission from a different supplier. The action plan is intended to act as a road map to get things on track so the service can deliver all it is required to do. Bringing about such change will bring challenges and will need accompanying support and resources, along with the backing of the SEND Improvement Board et al including HR, coupled with commitment and willingness by everyone, including SENDIASS, to agree a positive way forward Only when this happens will more families living in Birmingham affected by SEND, be able to have a fully functioning SENDIASS that is fully compliant with the minimum standards and that can be easily "found", as well as being able to access the full range of support it is required to provide and that might be needed.

1.2 Background

This independent review for BCC was conducted by [redacted] (NCB associate). Since 2014, [redacted] has worked extensively in writing and delivering training to support government funded programmes. [redacted] has also carried out similar reviews and investigations both independently and on behalf of NCB following an established format.

It focussed on looking for evidence and formalised processes being in place to support the MS. An extensive investigation was carried out initially remotely looking at management information and documents from 2018 - 2022 shared by CDC in relation to DfE funding through the Information Advice and Support programme (IASP). The review also took into account other reports provided by [redacted] and information available in the public domain including the SENDIASS page on BCC website. The purpose of going back to 2018 was to give some idea of progress within the service and also to give a fairer and more accurate picture due to the necessary changes and limitations on practice that arose from Covid restrictions commencing March 2020. The paper exercise was followed up with face-to-face meetings with key LA staff, the SENDIASS and the PCF. The conclusions reached in this report are based on the evidence both written and verbal provided during this review process, or where there is lack of supporting evidence to the contrary, particularly where it has been requested. It has required an exceptional level of due diligence for a variety of reasons, including some confused, contradictory and vague information of which clarity has been sought.

From what I have come to understand, including from Baron Robert Kerslake's review in 2014, Birmingham Council as a whole has been in various states of disarray for many years possibly back to 1.1.2000 when

SENDIASS in its original form as a Parent Partnership Service (PPS), was first established. It would seem that this chaotic backdrop without a fully functioning infrastructure, may have not been conducive to a more conventional PPS/SENDIASS to develop, resulting in the service as it is today. In general, it is not "performing" like any service nationally.

For many IASS nationally, some of what they do isn't formalised and is on an ad hoc basis. Although at times it may be necessary to work in this way, it can make it difficult to report or evidence. This means it may not be obvious to those outside of the service or possible to "prove" compliance with the MS rather than the service being non-compliant. Where this is thought to be the case, a recommendation for action to address this has been included as everything SENDIASS does, should be accurately recorded and reportable to measure success, progress and compliance, especially where nationally agreed processes exist. This in turn requires the service to have the correct infrastructure in place including for example an independent database; reliable, accurate and accessible information available easily found, usually on their own website; a current development plan; effective management structure; all staff trained and familiar with application of ALL aspects of C&FA 2014 in relation to SEND. As well as helping to "prove" compliance, all of this helps to improve transparency and supports how the service is armslength from the LA.

What should be a strength is that Birmingham SENDIASS has had the same manager since the service's inception on 1.1.2000 as a Parent Partnership Service. This means the manager will have had numerous opportunities to participate in training, alongside access to extensive resources relating to setting up and maintaining a compliant service etc. and ensure it has all the key elements in place.

SENDIAS services have a strong well established (predating the year 2000) support network consisting of quarterly or termly regional meetings and an eforum where tips and resources are frequently shared. They also have access to NCB dedicated staff who operate the IASS Network. Birmingham SENDIASS is able to access all or any of these to address service challenges they face should they need to.

Although Birmingham SENDIASS appears to be understaffed for such a large LA and is one of the more poorly funded services (see appendices IASSN 3 & SE 1b) ranging from £0.49 to £3.31 per head with an average of £1.20 and Birmingham SENDIASS being at only £0.53, this does not provide the full picture (as explained in 2.2E below).

In addition, Birmingham SENDIASS has received additional funding from the Information, Advice and Support Programme (IASP) administered by NCB on behalf of the DfE for the period 1.4.2018 to 31.3.22 totalling £115,792. No reference to this funding has been included in the annual reports covering these dates or the changes to the service that should have arisen. Given the combination of resources and training opportunities from 1.1.2000, it is not unrealistic to expect that Birmingham SENDIASS should be better placed to:

- comply with all legal requirements
- comply with majority if not all minimum standards (first introduced in SEN Code of Practice 2001)
- have a sound infrastructure including, policies, formalised practice and independent systems for effective recording, monitoring and reporting
- effective management structure to ensure armslength from LA and needs led.

Currently the service is not functioning in this way.

1.3 Agreed tasks

I. Audit and provide the local authority (Sue Harrison, DCS) with assurance as to the quality of their current SENDIASS offer against the Minimum Standards.
II. Identify for the LA good practice within current service delivery and where practice needs to improve.

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III. Review existing governance and quality assurance mechanisms and suggest improvements.
IV. Provide a systematic action plan in light of the audit process to help the LA address non-compliance where this has been identified, or where service improvement should be focused.

1.4. Schedule of meetings to support review process

28.4.22

Name	Position/role	How meeting was conducted
[redacted]	[redacted]	Face to face [redacted] home office)

26.4.22

Name	Position/role	How meeting was conducted
[redacted]	[redacted]	Telephone

10.5.22

Name	Position/role	How meeting was conducted
[redacted]	[redacted]	Face to face

30.3.22 & 11.5.22

Name	Position/role	How meeting was conducted
[redacted]	[redacted]	Teams (30/3) & Face to face (11/5)

12.5.22

Name	Position/role	How meeting was conducted
[redacted]	[redacted]	Face to face

As well as the above meetings a range of documents dating from 1.9.2014 to current day, provided by the IASS and CDC were reviewed as well as an extensive appraisal of the IASS web pages included on the LA website being carried out.

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1.5 Documents reviewed to inform this report

Document title & date	
IASP docs from NCB	
A	2018 Birmingham Task Order IASP.11072018
B	2018 Case Study - Assessment and provision of Need
C	2018 Case Study - Innovative Practice October 2018
D	2018 IASP self-review
E	2019 Birmingham IASP service operational plan docx
F	2019-20 Birmingham Task Order IASP TO SIGN
G	2019-21 operational plan
H	2020-21 Birmingham IASP contract variation SIGNED
I	2020-21 Birmingham IASP service operational plan
J	2021 B'ham Oct reporting
K	2021 Birmingham IASP service operational plan updated
L	2021 March report
M	2021-22 Birmingham IASP Task Order
N	2022 Bham contract check-in report form
From Parent Carer Forum	
O	bpcf-sendiass-partnership-agreement (1) (1)
From SENDIASS	
1	Appeal Rates Birmingham & Hampshire comparator **Data included 2014-19**
2	myth busters **created 18.2.21**
3	Staffing - SENDIASS Birmingham **April 2022**
4	1. Birmingham SENDIASS Board Remit **Undated**
5	4. SEND Statutory Process Training - PfA Team **16th Sept 2021**
6	5. SEND Statutory Process Training - CAMHS ST **4.10.21**
7	Agenda - Parents SENDIASS meeting **dated 20.9.21**
8	Birmingham SEND Multi-Agency Front Door **dated 3.1.22**
9	Birmingham SENDIASS Conference **30 Nov 2021**
10	Flyer SENDIASS Professionals Meeting Nov **19.11.21**
11	JD - SENDIASS Head of Service **Created 3.3.19 last updated 29.9.21**
12	Minimum Standards Self-assessment template with notes - SENDIASS Birmingham **23.4.22**
13	Parent Partnership Group **2022**
14	pg3(A) Allocation Sheet (EHC Needs Assessment)
15	pg3(B) Allocation Sheet (EHCP Progress)
16	pg3(C) Allocation Sheet (EHCP Content)
17	pg3(D) Allocation Sheet (Placement)
18	pg3(E) Allocation Sheet (School or Setting Meeting)
19	pg3(F) Allocation Sheet (Annual Review)
20	pg3(G) Allocation Sheet (Exclusion)
21	pg3(H) Allocation Sheet (Other)
22	pg4 Professionals involved
23	pg5 Family Targeted Assessment
24	pg6 Genogram
25	pg7 CYP Views & Details of Direct Work
26	pg8 Signs of Safety Form
27	pg9(i) Working with Parents & Carers
28	pg9(ii) Working with CYP
29	pg14(i) Quality Assurance Form Parent Carer
30	pg14(ii) Quality Assurance Form - Young Person
31	SEND Statutory Process Training - BCT Disabled Social Care Team **8.10.21**

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32	SENDIASS Board Agenda - Monday **17th January 2022**
33	SENDIASS Board Minutes **17th January 2022**
34	Young People's Particpation Charter **Undated** see line 35
35	Young Peoples Participation Charter **Created 2.12.21**
xSENDIASS - Information Pack (not dated for creation, review or update)	
36	1. SENDIASS Information Pack Contents Page
37	Leaflet SENDIASS
38	SENDIASS - Annual Review Process
39	SENDIASS - Annual Review Timescale Chart
40	SENDIASS - Appeals
41	SENDIASS - Areas of SEND
42	SENDIASS - Assessment Process
43	SENDIASS - Assessment Timescale
44	SENDIASS - Confidentiality Policy
45	SENDIASS - Definition of Advocacy
46	SENDIASS - Disability Discrimination
47	SENDIASS - EHCP 'Cease to Maintain'
48	SENDIASS - Exclusions
49	SENDIASS - Home to School Transport
50	SENDIASS - Impartiality Policy
51	SENDIASS - Information for Young People
52	SENDIASS - Issuing an EHCP
53	SENDIASS - Mediation
54	SENDIASS - Naming a Placement
55	SENDIASS - Personal Budget
56	SENDIASS - SEND Support & School Funding
57	SENDIASS - Tribunal Hearings
58	SENDIASS - What are Special Needs
59	SENDIASS - What is an EHCP
60	SENDIASS - Young People with SEND
SENDIASS Annual Report (6) (from SENDIASS)	
61	SENDIASS Annual Report (1) 1.9.14-31.8.15
62	SENDIASS Annual Report (2) 1.9.15-31.8.16
63	SENDIASS Annual Report (3) 1.9.16-31.8.17
64	SENDIASS Annual Report (4) 1.9.17-31.8.18
65	SENDIASS Annual Report (5) 1.9.18-31.8.19
66	SENDIASS Annual Report (6) 1.9.19-31.8.20
Joint Commissioning – 2021 (from SENDIASS)	
67	Item 1 - Covering Note **12th January 2021**
68	Item 2 - SENDIASS Joint Commissioning Paper **30th June 2020**
69	Item 3 - Schedule A SLA Joint Commissioning **Created 28.12.19**
70	Item 4 - Schedule B Joint funding SENDIASS **Created 27.6.20**
71	Item 5 - Schedule C Financial Overview SENDIASS **Created 26.12.19**
72	Item 6 - Schedule D data processing **Created 26.12.19**
73	Item 7 - Schedule E Joint Funding SLA SENDIASS **Created 26.12.19**
74	Item 8 - Minimum Standards with DfE DH sign off
75	Item 9 - Birmingham IASP contract variation 20-21 SIGNED **31.3.20**
76	Item 10 - Cat 2 Restrictions. Action Plan **Created 9.6.20**
77	Item 11 - SENDIASS Operational Plan **Created 27.6.20**
78	Item 12 - SENDIASS Leaflet
79	Item 13 - The Role of SENDIASS in the Community Family Educational Recovery Programme (2020) **Created 27.6.20**
80	Item 14 - Quality Assurance Form

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1.6 Documents created as additional supporting evidence

APPENDIX REF	TITLE OF DOCUMENT
App SE 1a	SENDIST data costs re B/Ham
App SE 1b	SENDIST Data comparisons re B/Ham
App SE 2	Summary of additional funding to IASS via IASP from NCB 2018-22 (ref 1.5 A-N above)
App SE 3	Summary re casework numbers from each annual report
App SE 4	B/Ham Quality Assurance Form Parent Carer (Evaluation form)
App SE 5	Summary user satisfaction stats from each annual report
App SE 6	Anonymised emails to SENAR
App SE 7	Minimum Standards final RAG rating
App SE 8	Notes of meetings with [redacted]
App SE 9	Documents reviewed to inform report with comments

1.7 SENDIASS – Overview (meetings with [redacted] 30.3.22 via Zoom and in person 11.5.22 in Birmingham City Council offices)

[redacted] expressed strong views that the LA really do not want a SENDIAS service or want to have anything to do with them. [redacted] feels they want to crush it because they "trample over their green shoots". [redacted] believes they are not liked because they "are too truthful" and honest.

Topics of discussion

- Annual reports/data recording; purpose, level of detail and availability
- Parents Group and Young People (YP) Participation Groups; membership, publicity and purpose
- Outsourcing; pros and cons
- Staffing; structure and roles
- SENDIASS website; content and status
- Tribunals; SENDIASS role
- Service evaluation; content, roll out and return rate
- Steering Group; membership and role
- Young People (YP); casework and consent
- PCF; relationship

See Appendix SE 8 for further details of discussions

Part 2. Review outcomes

2.1 Identified strengths in the service offer

A. It has an Access database – this means it will be easy to build in all the required elements of recording relating to casework.

B. All staff seem to have accessed and completed levels 1 to 3 of the IPSEA Legal Training programme.

C. The [redacted] speaks 5 community languages

D. Some families like the service they receive. National IASSN reporting in 2021 regarding feedback received, included the following quote attributed to Birmingham SENDIASS

Q5 Overall how satisfied are you with the service we gave?

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'We need you to continue doing what you do without barriers. Funding is an issue all round. You are a testimony of excellence considering funding struggles,'

2.2. Identified weaknesses in the service offer

A. **Data recording is unreliable, incomplete, insufficient, and not being reported or analysed effectively**

Poor data recording. The only data provided for this review, despite making several requests, is that which is included in the annual reports. However, this is very basic and relates mainly to gender, ethnicity, year group, postcode and breakdown of some types of cases. This is unusual and means that the service does not have the necessary evidence for the work it does, the work it is unable to do and the demand on the service/in Birmingham.

I asked [redacted] via email 25.4.22 for a breakdown of further information ([redacted] responses are in **blue**):

i. How many for each of the national intervention levels (1-4) or certainly a split between helpline one-off calls and casework. **All these are LEVEL 4 as the requirement was to only report on these.***

ii. How many cases relate to SEN Support vs EHCP related etc. **These are all EHCPs as the requirement was to only report on these as a comparator for the SEND EHCPs in the Department.**

iii. How many direct referrals are there from CYP. **None, the CYP area of work has only started since September 2021.** This is in contradiction to Annual Report 5; 2018-19 "A particular feature of this year's work has been providing information, advice and support to children and young people directly." Their stats since then include over 60 at one time of 16+ (>Y12).

iv. A breakdown re the route to the service i.e. how service is initially found. Again broken down to distinguish between parents and CYP. **This has not been captured as a reporting target previously and will begin from September 2021.**

v. The Annual Report for 2020/21. **This has not been produced as SENDIASS casework data and SEND Early Help Front Door data have not been kept separate.**

* A follow up email was sent 25.4.22 asking who had specified this requirement – no reply was received.

The "Allocation forms" (parent details and recording forms) currently in use, possibly introduced for Front Door (see Section 2.2E for further information), mention IMPULSE and as SENDIASS uses an Access database it would seem they have 2 recording systems in use. I can only conclude SENDIASS is also now recorded only on IMPULSE, the LA system because if it was still on Access it would be available. Birmingham did participate in the IASSN annual benchmarking activity (IASSN Funding, Casework and Staffing Data Report) for 2021. I am unclear what data was submitted in relation to casework.

There appears to be no data analysis. Usually this would be a minimum of termly or quarterly to monitor changes in trends so that service delivery can be adapted accordingly, including service delivery such as developing resources or providing training for professionals or parents/YP. This should be clearly reported in an annual report (available publicly) and reflected in the service development plan. It should also inform strategic work with the LA and is usually a requirement for commissioning, including joint commissioning purposes or for making a business case for extending the service to inform and support the narrative. Services are expected to follow the nationally agreed 4 levels of intervention (Appendix IASSN 2). The 4 levels distinguish between the level of complexity of cases and the SENDIASS staff time factor involved. This is important for the purposes of national reporting and benchmarking as well as for service development. Level 1 equates to one-off enquiries at the helpline stage and could include signposting to additional resources etc and level 4 is "Detailed and continuing assistance and guidance with preparation and support during: First Tier Tribunal (SEND), including DDA complaints to Tribunal, Complaints to Ombudsman, Judicial Review, Disputes about Child Protection". The guidance included in Appendix IASSN 2 makes it clear to services what

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is expected, including examples of casework for each level and when to send the evaluation form, an expectation for each of the 4 levels when the case is closed.
Statistical evidence is also helpful to demonstrate if the service doesn't have capacity to meet demand. This again would be a typical requirement to support a business case or commissioning. When asked if SENDIASS recorded service deficit (occasions when they could not provide support to families due to lack of staffing capacity), SENDIASS said (30.3.22) they didn't because such occasions never occurred as everyone gets support, including a same day service if needed. Unexpectedly the service manager still carries a caseload. When asked about other barriers that might prevent the service being able to offer support such as local geographical challenges or language, this was quickly dismissed as the [redacted] informed me [redacted] speaks 5 languages and they are perfectly located centrally with good transport links.

The "**Allocation forms"** being used have SENDIASS as their heading with no mention of Front Door. They have titles for different types of enquiry relating to elements of SENDIASS work such as EHC Needs Assessment, EHC Progress, Placement, Annual Review etc. with each form also stating: "Ensure you have obtained all the relevant information to complete the Family Targeted Assessment, Genogram, and Signs of Safety straight away." These additional forms are also cause for concern:

- "Family Targeted Assessment" this very much follows the medical model of disability and consequently not at all person centred as intended by the C&FA. All casework should be underpinned by the Section 19 Principles. There is no mention of aspirations or desired goals, interests etc. No reference to impact on home life or what family needs to be different and what that might look like. It does not reflect the values included in the YP charter which hold true for all CYP and their families. Not a typical or relevant approach for IASS to adopt.
- "Genogram" Most of this info is not relevant or required for IASS work and again is too intrusive. Could use person centred circles of support instead if relevant.
- "Signs of Safety" It is not standard or necessary for IASS to have such a form. It is not their role to identify signs of risk and try to intervene but to escalate appropriately whenever safeguarding might be an issue. This is another example of blurring the boundaries, compromising being armslength and also breaching the "impartiality policy" i.e. non-judgemental. Staff may not be "qualified" to make this judgement call, if they are it is not relevant to the role they are fulfilling in SENDIASS i.e. they are not employed as social workers.

NB. GDPR requires services to only have info that is relevant to the task in hand.

B. Poor infrastructure, weak unimplemented policies, failure to empower families or deliver casework or operate in line with typical practice of IAS services

i. Based on the evidence available it would appear that the service is focussing on, or prioritising cases that can be escalated to formal and publicly reportable redress namely SENDIST. Despite the review making several requests, including on 11.5.22 when it was agreed to provide full breakdown of casework by 5pm 13.5.22, there is no evidence to demonstrate what levels of casework exist apart from Level 4 intervention (Tribunals). What's more, during this review worrying examples have emerged where SENDIASS has not provided accurate information that would have meant situations raised with them could have been resolved at casework levels 1-3. This included where a simple telephone enquiry asking why Section I was left blank in the draft EHCP, resulted in being told "don't worry about that – go to Tribunal!". When the same parent spoke to other (Birmingham) parents about this, they all said they had received a similar response from SENDIASS. Furthermore, an example was provided of SENDIASS explaining to a parent "I am so sorry SENDIASS cannot help you as **we** do not have a Decision to Appeal – you should have received a response to the Annual Review by now." This clearly looked like a situation that "qualified" for SENDIASS to be offering information, advice and support and yet the parents, who from the content of the email appear to be really struggling and in desperate need for support, were refused any further assistance from SENDIASS.

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ii. **Not being armslength or operating within permitted and widely accepted SENDIASS boundaries** meaning it is unlikely to fulfil the armslength requirement all the time, therefore, it cannot be viewed as armslength per se. Impartiality and being armslength from the LA with regard to parents and YP usually comes down to perspective. It is important therefore, particularly for an in-house service to establish consistent and clear boundaries around the service to ensure it can maintain its distinct and unique position. This can in part be achieved by having strong impartiality and confidentiality policies, shared with parents or CYP from the outset and that are understood by everyone within SENDIASS and all stakeholders, and upheld to the letter (see "x" below). Neither of these things appear to be happening in Birmingham. [redacted] It is also acting at times as if it is the LA representative by directing or telling a school what it should do, or speaking with an authority to parents/carers that SENDIAS services do not have such as informing them they can take the child off role (parents do have this right) and the LA will provide 4 hours of home tuition each day (this is for the LA to decide and would usually be dependent on the individual circumstances). It is possible this is raising unrealistic expectations and is certainly not empowering families or making them aware of all their options.

iii. **Not respecting/recognising boundaries of others.** This includes sending emails on behalf of parents and/or cc'ing parents and numerous people within the LA, often at an inappropriate level. For example a situation that should be addressed at an operational level such as a SENAR caseworker in the first instance. SENDIASS recently contacted a senior LA officer requesting a copy of an EHCP on behalf of a school. They were refused – it is unclear why the school, if for example they had mislaid their copy, couldn't have made the request to the LA directly themself. SENDIASS then contacted an even more senior LA officer (DCS) with the same request, except this time it was reported as a safeguarding issue and was making the request under the guise of Front Door. It is still unclear why usual and established safeguarding protocols weren't implemented either by the school, SENDIASS or Front Door. This could have caused avoidable delay and unnecessary confusion. Given the recent high national profile arising from professional confusion leading to potentially avoidable tragedy, this approach should be avoided at all costs. Everyone should follow the LA existing protocols and policies regarding safeguarding without adding unnecessary additional levels.

iv. **Duplication and insular approach.** Although many SENDIASS have developed their own YP participation group and some a specific parent group, what is unusual about the Birmingham arrangements are that the already established PCF and those in the LA that I spoke to, knew nothing about their existence. Neither of the SENDIASS groups are "advertised" and it is unclear what their remit is, or visible/accessible to others who may want to join. It is also unclear if it is the YP or the parents themselves who are reaching out, or if SENDIASS staff are doing so in their name or on their behalf. This lack of transparency reinforces how the service is operating in a silo.

v. **Representing in all Tribunal appeals instead of making case by case decisions according to individual circumstances.** It is reported in all annual reports that the LA states that SENDIASS is representing (confirmed by LA this means acting as their representative not "supporting" or "involved with") 80% of all Birmingham Tribunals. This equates in 2019 to SENDIASS representing in approximately 236 appeals or in 2020 in 209. To put this in context with regard to the national picture, the IASSN Funding, Casework and Staffing Data Report 2021 reported, that *"Tribunal numbers continue to rise. Services are supporting an average of 40 tribunal cases a year in some form, and attending and supporting a parent or young person directly with 4"*. [redacted] IASSN, clarified that "directly" in this instance means attendance at the actual hearing or representing. [redacted] confirmed that SENDIASS details are on the Tribunal forms in the "representative" fields and the "representative" box is ticked for them to be the contact from SENDIST. This means that SENDIST communication is NOT going to parents at all but directly to SENDIASS. Usual practice would be to get the parent to get back in touch when they receive communication and forward it to SENDIASS not the other way round, unless there are exceptional circumstances requiring a representative. The requirement is stated in MS 3.5 as "The IASS provides

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information, advice and support before, during and following a SEND Tribunal appeal in a range of different ways, dependent on the needs of the parent or young person. This will include representation during the hearing if the parent or YP is unable to do so."
SENDistT guidance on this states:

> **Who can be a representative?**
>
> A representative is someone who will give advice on the issues in the appeal, prepare the paperwork and represent the person making an appeal to the Tribunal. They can also be an advocate. They could be a volunteer from a charity, a paid representative, a solicitor or barrister.
> **Most appeals to the Tribunal are made without a Representative. The Tribunal will support both parties through the process of making an appeal to ensure that it is decided fairly and justly.**

vi. **Casework for YP either over 16 or over 18s.** This is very confusing. The way that stats are reported in all the annual reports since 1.9.2014, illustrates casework for year groups from Y12 upwards i.e. YP. For period 1.9.2014 to 31.8.2020, 250 YP feature in stats, 127 of these are 18 or over. In report 5; 2018/19 it stated **"A particular feature of this year's work has been providing information, advice and support to children and young people directly."** Which implied that prior to that, the casework relating to YP was still carried out with their parents. It seems unlikely they all could be assumed as lacking capacity. Annual report 6 2019/20 noted a significant increase in referrals relating to YP i.e. 66 compared to 48 in previous year but didn't mention anything else about this during its report nor does it at any time include any stats relating to parents referrals compared to CYP directly contacting the service. I asked SENDIASS for clarification via email 25.4.22 "How many direct referrals are there from CYP?" The reply **"None, the CYP area of work has only started since September 2021."**
Nationally many services reported an increase in referrals from CYP during lockdown. This was down to a range of reasons e.g. they were at home and not in school so were around when their parents were contacting the service and they liked and were comfortable using various technology to contact the service. Unclear why the national pattern of contact with CYP wasn't replicated in Birmingham.
Although SENDIASS said they always explain they will need to speak directly with the YP to get their views if their parent contacts the service and always get written consent from YP before they engage with them, an anonymised email copying the LA in, dated Aug 2021, shows SENDIASS in contact with a parent re Post 16 placement for a YP described by the parent as "quite capable". It doesn't make any reference to speaking directly to the YP or requiring consent.
The vagueness regarding data recording and the mixed information provided when direct work actually started, unfortunately makes it very difficult to understand what exactly is going on.

vii. **Not all SENDIASS staff equipped with appropriate skills and knowledge to do the job including providing IAS to empower families.** It is fundamental that SENDIAS services do not take over but empower parents and YP in every way, not just with their rights but to enable them to engage and contribute including with all aspects relating to EHCPs. The SENDIASS "allocation sheet – EHC Needs Assessment" includes the following *guidance* "If the CYP is on roll at a school/setting, ask the parent to arrange a meeting for you and the parent to also attend to discuss the CYP's learning and for the parent/carer to discuss their concerns. (You can contact the school to ask for a meeting/more information if you feel that is more appropriate". This is potentially disempowering parent from the outset. It is unknown how schools respond to such a direct request from SENDIASS. It is hoped they would ask to see written permission before sharing information however, if the request is made under the guise of a qualified or student social worker, would a school realise they are only acting in the capacity of a member of SENDIASS and their professional qualifications are irrelevant and would go along with such a request. Another example of how confusion can arise and the boundaries being blurred.
The review has received worrying recollections from the LA and a parent. In a recent mediation meeting where a SENDIASS member of staff supporting a parent with a refusal to access appeared to have adopted an advocacy model of taking on the issue as if it was their own. The SENDIASS member

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of staff is described as insisting on a special school (assuming this is what the parent wanted) without understanding this is not even possible without an EHCP and the meeting was about refusal to assess. A parent reported how when she first contacted SENDIASS because she wanted some assistance requesting a statutory assessment. She was very surprised by the response she received when she phoned them – she was asked what exactly she expected them to do about it, they were too busy and expecting an important phone call and hung up. Mum made a complaint and received a response from [redacted]. (NB SENDIASS in their annual report state they do not receive any complaints).

viii. **Evaluations/feedback.** Although in annual reports since 2018, it states it requests feedback based on the QA form that CDC have produced (Appendix IASSN 4). It has changed Q2b completely. The national one is carried out anonymously and contact details are optional. They are sent out at the end of all enquiries when the case is closed. The Birmingham SENDIASS version (Appendix SE 4) requests contact details not offering this as optional. The forms are then added to case files. This is not in the spirit that is intended. According to feedback from a small sample from PCF recently involved with SENDIASS, none of them knew anything about a feedback form. In every annual report from 1.9.2014 to 31.8.2020 It includes similar wording "it is worthy of note, over the 4 years since the changes in legislation, the service has received no ranking below satisfactory;". Only Q5 has a "satisfaction" rating (0=Very unsatisfactory to 4=Very Satisfied) so this cannot be assumed they are positive about all aspects included in the other questions in the evaluation form.

ix. **Annual reports** are vague and repetitive from one year to the next, much of it cut and pasted without any changes. They do not include sufficient detail or include information relating to such as new initiatives or service development. There is also no reference to any of the service changes or projects being funded by IASP including the website development. There has not been an annual report since 31.8.2020. The reason for this is being given as because there's no separate data for SENDIASS as it's all mixed in with Front Door. The annual report should consist of several elements with stats being just one of them. I am unclear who the annual reports were shared with in the past, but they were not available in the public domain and they should be.

x. **Policies** available for the review were the Confidentiality Policy and Impartiality Policy. Neither are sufficiently detailed meaning they are weak. The Confidentiality Policy is far too vague and doesn't explain what confidentiality means and its boundaries or how it is applied operationally. The Impartiality Policy is also not robust enough as it doesn't explain how the service delivers or maintains impartiality. What it does correctly state it doesn't implement e.g.

- "We will help families with decisions regarding services and options in relation to schools and other service providers in a similar, open manner
- We will provide full information and advice distinguishing between guidance, legislation and local policy to assist families to fully explore all options and to come to their own decisions. We will avoid advising people 'what to do'"
- We will build good cooperative relationships with our colleagues throughout the local authority, Children's Trust and Health to ensure that our respective roles are well understood and respected.

Based on the written information shared via its web page and provided to this review, there is little to no evidence to suggest it delivers on these points.

C. **Poor quality, misleading and unclear information being provided.** The little information available on the SENDIASS web pages on the LA website is geared towards formal address and not early intervention or non-confrontational resolution. It also includes incorrect information biased towards the assumption the LA is wrong. It is not impartial meaning it should relate to the law and in context, clearly explaining any wider implications it may have. None of them are written in plain English and do not empower parents or YP by outlining what all their options might be or include any reference to how SENDIASS might be able to assist at all stages. None of the animations relating to EHCPs produced by CDC are included and there is no separate or accessible information for children or YP.

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D. **Service is virtually invisible - no website.** The service has minimal presence online and does not use social media and was not keen on my suggestion to use it as a quick way of disseminating information. The fact that a page on the LA website, containing only brief information and considerably less than the MS require, was seen by SENDIASS as sufficient for it to be considered compliant with the MS 3.3 is worrying. The web page also doesn't include any accessible or plain English information. It also doesn't have a complaints policy included as stated in the MS. A copy of a complaints policy has not been submitted to the review amongst key documents, so it is unclear if they do have one. The refusal to consider social media such as FaceBook when nationally, when managed well, it has been found to be a very effective way of disseminating information to parents and also easy for them to share to an even wider audience.

E. **Ineffective staffing structure breaching the requirement for the service to be armslength.** Birmingham SENDIASS is no longer a "distinct" standalone service due to the overlap with the "Front Door" project it created although it provides a different service to SENDIASS. Once again the boundaries between the two being blurred or non-existent. It was explained the Front Door project came into existence at the start of lockdown in March 2020 and was funded until 31.3.22. it is unclear if it currently has any official status within the LA as it seems to be a Social Care based approach but is not in the Children's Trust with the other Social Care departments and services. See appendix SE 8.
There is such confusion and crossover between SENDIASS and Front Door roles, as it seems to be the same staff, with over 30 agency staff, operating across both. They all appear to use SENDIASS in their job titles e.g. in emails or in attendance at meetings. The staff structure originally provided to the review on 13.4.22 included only 4 posts and makes no reference to vacant post(s) or volunteers, yet SENDIASS has for many years had 12 Social Work students at a time on placement (up to 60 in a year), who are unpaid with zero costs in terms of out-of-pocket expenses, who are supported by 2 agency staff also not included in that staffing structure. On 11.5.22 SENDIASS described their structure as much greater than the original document (up to 50 members of staff) and agreed to provide a full staff structure but didn't. It is impossible to understand the current staffing arrangements, which could provide useful evidence going forward in understanding the levels of staffing needed to meet the actual demands on SENDIASS. The review has been unable to ascertain what the overall budget for all this is or where/how the core SENDIASS funding is being applied. The review was told that an enquiry might start off as SENDIASS case but then becomes Front Door or possibly the other way round. No information has been offered regarding the referral pathway for Front Door in its own right.

[redacted]

F. **Ineffective management structure including Steering Group (SG).** The terms of reference, agenda and minutes from January 2022 meeting provided for the review raise some concerns, such as the agenda and minutes not making any reference to being updated by or monitoring SENDIASS performance or overview of a service development plan. SG minutes for a longer period of time might have given a different perspective but they were not provided as agreed. Although PCF are not on the SG because SENDIASS doesn't want to "add to their burden…" the PCF confirmed they had actually asked SENDIASS to be on SG but had been refused. They are prepared to be on it. They also confirmed there are no parents, YP or CVS on it. Given the profile of the current SG, minutes from 17.1.22, which was well attended, 13 attendees (excluding SENDIASS staff) included 8 "Independent Members" (described to the review as "those with an interest in SEND which could include parents" – but none of them are), with

apologies from a further 13 that included 3 more "Independent Members" and 2 city councillors, it could be quite an intimidating and overwhelming atmosphere for parents and YP to feel they have any voice never mind an equal voice. The current profile of the SG, although may look impressive on paper, means it does not fulfil the requirements of MS 1.7. [redacted]

G. **Non-compliance with majority of Minimum Standards**

The self-assessment completed by Birmingham SENDIASS for national reporting in January 2022 rated the service as fully (100%) compliant with the MS and on 25.4.22 for this review at 80%. The reason for the difference in the 3 months was attributed to the external review stalling the joint commissioning process.

Based on the evidence provided for this review it is considered to be non-compliant with 85% of the MS. This means it is only compliant with 3 out of the 20 standards and 55% are RAG rated red.

Examples of non-compliance that are not separately covered in A to F above are:

i. No Service Development Plan
ii. Not jointly commissioned – the one that the SENDIASS manager cites as being responsible for 3 of her 4 identified areas of non-compliance and was being championed because of the extra funding it is expected to bring
iii. No strategic work either within service or with stakeholders

2.3. Proposed aims to address weaknesses

Given the overall non-compliance with the minimum standards, there is a need for drastic action to be taken here.

1. SENDIASS to become a distinct and standalone service again with its own staff who are not employed in any other LA department or service. Consideration needs to be given whether this can be achieved by keeping the service in-house with a major restructure or whether it should be commissioned to a different supplier. If the latter, given the size of Birmingham Council and the low starting point of where the service currently is, there will be a need to consider restricting the tendering applications in terms of efficiency and reliability, to only coming from larger organisations with established systems in place and experience at running successful SENDIAS services, compliant with at least 85% of minimum standards, in larger size authorities.

The following points need to be factored in with either option in point **2.3:1** above.

2. Service to be restructured to include employing sufficient permanent staff and dedicated admin support, with JDs and grades to match the levels of responsibility to reduce reliance on student social workers (they can still be deployed within the service, if it appropriate to their placement requirements but e.g. in level 2 cases only). **All** staff, existing and new, will be required to participate in a prescribed "back to basics" training programme.

3. Effective management arrangements for staff, finances etc and a properly functioning steering group in accordance with MS.

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4. For the service to be jointly commissioned in line with MS 1.1. For a Service Level Agreement (SLA) to be produced, pinned tightly against MS, including management arrangements, quality assurance, monitoring and reporting requirements etc.

5. To ensure it has a sound infrastructure to include robust policies, formalised processes and sufficiently detailed data recording in place.

6. For the Birmingham SENDIAS Service to adopt a transparent, streamlined, methodical, evidence based and systematic approach across all aspects of their service underpinned by robust quality assurance and reliable data.

7. To be compliant with all of the MS e.g. website, development plan, armslength, impartial etc.

8. To improve and increase visibility and transparency of the Birmingham SENDIAS Service for all families entitled to receive a service and not just those with a right of appeal.

9. For the Birmingham SENDIAS Service to be proactively and constructively engaged strategically, informed by reliable evidence and data, to start to promote positive relations between the IASS and key LA partners/depts and for a culture of trust to start to grow. This should ultimately lead to achieving better outcomes for families by helping others "get it right" and reduce the need for IASS to be involved in a negative and reactive way.

2.4. Required action to deliver on the aims

Uncouple SENDIASS from Front Door with immediate effect i.e. each has its own staff without any crossover and distinct database.

Explore both options in point **2.3:1** above with agreement established for joint commissioning and the level of core funding required for the service to become and maintain full compliance, and meet the needs of the community it is required to serve effectively and efficiently. Whichever option is decided upon the following and all the actions outlined in the table 2.2A to 2.2G below still apply.

Ensure the service has a sound infrastructure, adopts typical approaches employed nationally and is compliant with the Minimum Standards

The time factor and the range of skills, knowledge and experience to effectively deliver the aims outlined in 2.3 above and the actions outlined in the table 2.2A to 2.2G below, are not to be underestimated and it is expected that a range of additional resources, including external support will be required to achieve it all.

This action plan below is expected to act as a road map to establish a fully functioning and compliant strong SENDIASS capable of meeting local needs across all levels of SEND and with the correct systems and processes in place to keep it so. This plan needs to be considered in the spirit it is intended and what mustn't happen is scrutinisation to seek out gaps to be exploited as an opportunity to derail any attempt to improve outcomes for SEND families living in Birmingham.

A relaunch of the service should be considered once all the basics are in place and new practice is established, to make it clear to all stakeholders it's an "out with the old and in with the new" approach.

2.5. List of appendices to support delivery of the aims

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APPENDIX REF	TITLE OF DOCUMENT	REPORT REF
App IASSN 1	IASS Minimum Standards	
App IASSN 2	Intervention levels for IASS August 16	**2.2.**A3
App IASSN 3	Funding, Casework and Staffing Data Report 2021	
App IASSN 4	IASS Service User Evaluation EXTENDED Oct 15	**2.2.**B5
App RK 5	Sample Initial Enquiry doc to illustrate key fields	**2.2.**A1; **2.2.**A2
App RK 6	Sample STATS CODING examples re nature of enquiry	**2.2.**A1; **2.2.**A2
App RK 7	Monitoring report template	**2.2.**A5; **2.2.**B10
App RK 8	Confidentiality policy suggested wording	**2.2.**B1
App RK 9	Impartiality Policy suggested wording	**2.2.**B1
App RK 10	EMPOWERMENT MODEL and evaluation 2022	**2.2.**B2; **2.2.**B8
App RK 11	Evaluation by professionals	**2.2.**B5
App RK 12	Complaints procedures and IASS	**2.2.**B9
App RK 13	Volunteer.JD or description	**2.2** E6
App RK 14	Volunteers advert	**2.2** E6
App RK 15	Steering Group TOR	**2.2** F2
App RK 16	SLA draft against MS - 2 appendices incl TOR and AR template	**2.2** G1
App RK 17	IASS Dev Plan re MS blank template	**2.2** G2
App RK 18	Section 19 principles	**2.2** B4

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NATIONAL CHILDREN'S BUREAU

National Children's Bureau
23 Mentmore Terrace, London E8 3PN
020 7843 6000 ✯ enquiries@ncb.org.uk

Proposed Action Plan

2.2 A	To establish reliable and sufficiently detailed data recording so it can be analysed effectively to inform strategic planning		
Action ref.	**Suggested actions to take**	**By who**	**completed by**
1	To update and maintain SENDIASS Access database to accommodate wider level of detail to support all aspects of service development and delivery and to fully support national benchmarking. (Sample Appendices RK 5 and RK 6 to illustrate level and type of detail to be considered). The database is to be exclusively used for recording SENDIASS work only. To clearly distinguish between direct contact with YP vs parents and record appropriate permissions received. Referral pathways are easily reported on		
2	To develop new referral forms to record appropriate personal details and key information relating to the casework issues to be recorded in line with GDPR requirements i.e. no "one size fits all" recording extraneous information not pertinent to the individual circumstances. (Sample Appendices RK 5 and RK 6 to illustrate level and type of detail to be considered).		
3	Service to adopt, apply and accurately record the nationally agreed 4 levels of intervention (Appendix IASSN 2).		
4	To ensure they ask and then record and date if parents give permission to speak to others stating exactly who e.g. school staff, EP, SEN case worker etc. and also to note anyone they refuse to give permission for (this may form part of a discussion). This needs to be routinely checked and updated. It is not to be assumed as an open-ended agreement.		
5	Data should be routinely "pulled off", ideally monthly but a maximum of termly, for analysis. All key data should be presented for a range of audiences including e.g. commissioners, steering group, etc and be included in regular public reports e.g. termly or annual reports (sample template for reports attached Appendix RK 7) made available e.g. on website. **See 2.2 B9 below**		
6	Database is exclusively accessed by SENDIASS employees and volunteers only. Ensure all staff within SENDIASS understand the recording requirements and establish system for database to be routinely and efficiently updated i.e. without unnecessary delay preferably by dedicated member of staff i.e. administrator post to reduce or avoid mishaps.		

2.2 B	All operational processes and procedures are formalised and policies are sufficiently detailed to be clear and watertight		
Action ref.	**Suggested actions to take**	**By who**	**completed by**
1	To update confidentiality and impartiality policies (Sample policies attached Appendices RK 8 & RK 9) to ensure they are watertight and improve transparency. To add dates re: created, amended and next review and make them widely available. Make sure all SENDIASS staff including temporary or volunteers, are fully briefed and understand how they are applied operationally. Make sure all stakeholders have a clear understanding of them.		
2	To adopt an empowerment model of service delivery supported by improved information being available. (See Appendix RK 10) See **2.2 B7** below Develop plain English step-by-step truly impartial resources to support parents/YP in understanding of what their rights are outlining **all** their options to implement them, promoting an engagement model and not a confrontational approach from the outset. Make available on website and everywhere else that is relevant. Can also be mailed out. (**See 2.2 D3** below) If appeal made to tribunal ensure it takes a "supporting" role and can explain any exceptional circumstances that requires it to "represent" i.e. representation will be the exception not the norm. Routinely provide training sessions for parents/YP on common themes such as SEN Support and reviews, Draft EHCPs, Annual Reviews, including how to get the most out of meetings. (NB encourage parents to identify who their natural supporter is i.e. within their family, friendship circle or community and invite them to training sessions with them.) offer via face to face or virtual and at different times to improve reach.		
3	For all staff to clearly understand and stick to the boundaries of their role and the SENDIASS remit. This includes when supporting parents in escalating a concern, it is done with respect, at the appropriate level, promotes and encourages partnership working. Only suitably trained and experienced staff should be dealing with level 4 interventions. Lesser inexperienced staff could joint work and shadow at meetings (with all party agreement) e.g. mediation to continue their professional development.		
4	Staff handbook to include step-by-step processes Accelerating completion of IPSEA legal training (levels 1-3) should be considered alongside the need to consolidate learning and application before taking next level. All casework should be underpinned by Section 19 Principles (See Appendix RK 18).		
5	The nationally agreed evaluations to be sent out at the end of each case (according to the guidance in Appendix IASSN 2) preferably the extended version (Appendix IASSN 4) The short version is the 6 questions in the yellow boxes only. These should be sent out in the spirit that is intended, that is anonymously and kept separately i.e. not attached to case file. These should be fully recorded, analysed e.g. service practice might need to adjusted, and included in the Annual Report in full i.e. all questions. Numbers sent out and percentage return should also be included. Evaluation forms should also be adopted for capturing professional feedback e.g. those attending a meeting with SENDIASS and parents. (Appendix RK 11 sample)		

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6	To consistently follow and apply at all times the impartiality policy. This includes being clear with all stakeholders that the service only accepts direct referrals from parents or CYP and only in exceptional circumstances will it deviate away from this principle. The service will not store or have access to reports without the consent of the parent/YP.		
7	Service development plan to address all areas of non-compliance. Consider involving permanent members of staff as each taking an area of responsibility e.g. website, resources, training, CYP, etc. to foster a collective ownership and pride in the service.		
8	Introduce a formalised triage system (when to ensure cases are consistently prioritised according to set criteria. Service deficit recording to be introduced and reported See 2.2 B 2 above. Appendix RK 10 NB this can only be piloted when range of step by step resources are available		
9	To have its own complaints procedure (Appendix RK 12 sample)		
10	To produce an annual report based on termly/quarterly reports. (Appendix RK7 suggested template) These should be available publicly e.g. website, LO, mailshot etc. It will include as a minimum: I. Self-assessment e.g. RAG rating of Minimum Standards with examples of evidence if green and explanations or actions if amber or red II. Full stats broken down re casework, referral pathways etc and analysis including comparison to previous reporting period(s) III. Reporting on evaluations/feedback received and any changes this has brought about to service practice IV. Relevant national and local issues or changes impacting on families in relation to their reason for contacting SENDIASS V. Pressures on service e.g. increase in referrals, staff sickness, office relocation, funding e.g. cut, new source, etc VI. Overview of service activity including breakdown of training sessions provided, themes, audience (parents, YP professionals – stating who e.g. SENCo, SEN governors, YOT. VII. Updates to policies or website VIII. New initiatives e.g. a volunteer programme, monthly drop-ins, weekly evening help-line IX. Training attended by staff X. Steering Group – how many times it met, changes or vacancies		

2.2 C	Establish stringent quality assurance processes across all aspects of service, with an external element (initially at least)		
Action ref.	**Suggested actions to take**	**By who**	**completed by**
1	Agree key principles of quality assurance e.g. accuracy, plain English, accessibility, relevant to the intended audience (especially those new to the "system"), truthful and in context. It should also include references/links to original source e.g. SEN Code of		

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	Practice, C&FA 2014, LA policy so they can be cross referenced by the reader if they wish to ensure transparency. They should also reflect PCP principles as the C&FA 2014 was built on these too.		
2	Establish quality assurance reviewing group (suitable for remote working). Members need to be selected for appropriateness for different aspects according to nature of materials. Ideally at least one member will not have any professional connection with SEN or education etc. for some of not all parent/YP targeted resources because if it makes sense to them it will likely make sense to others. For example training materials for professionals may need different input for sessions required for parents or CYP even if same topic e.g. Annual Reviews so the QA reviewing membership will need to be adjusted accordingly.		
3	All resources for parents and CYP will enable empowerment by clearly reflecting the law and associated rights and responsibilities, local (lawful) practice in context i.e. you have a right to appeal to tribunal but also clearly outline all the options to be taken to promote engagement and encourage a culture of trust between parents/CYP and the professionals they will be required to engage with, before it gets to the point of making an appeal. Resources will be step by step, to enable those unfamiliar with SEN terminology and processes, to be able to understand, be fully informed and follow them with minimal support but will also highlighting how SENDIASS might be able to assist at each step.		
4	Back to basics training programme, including person centred planning, to be created for **ALL** SENDIASS staff. This programme must be developed externally of any existing, or past staff or associates of Birmingham SENDIASS and could be commissioned externally.		

2.2 D	**To improve visibility of service including standalone website to include resources to support empowerment**		
Action ref.	**Suggested actions to take**	**By who**	**completed by**
1	In the interim and asap, upload all CDC animations to SENDIASS page on LA website and/or LO. Add links to external sources of support e.g. IPSEA, ACE Education Advice and Training, SOSSEN, Coram Children's Legal Centre		
2	Carry out an immediate review of all wording on SENDIASS information currently available with relevant others i.e. those external to SENDIASS e.g. PCF, NCB etc. Covert to plain English, make all required corrections and update asap.		
3	Develop a range of new step-by-step guides for parents for a range of common themes e.g. getting the most out of a meeting, requesting a statutory assessment, annual reviews etc. These should be added to SENDIASS page on LA website as soon as they become available until the new website is ready. **See 2.2 B2** above		
4	To develop standalone website (see MS 3.3) with ideally a dedicated section for CYP.		
5	Clear and distinct identifiable logo on all resources (MS 3.2), training e.g. Powerpoint slides. Materials and resources should also acknowledge original source where data is included from other sources.		
6	To implement social media e.g. FB especially to promote events or changes and is easy for parents to share and disseminate information.		

2.2 E	Effective staffing structure including an admin post, all appropriately trained		
Action ref.	Suggested actions to take	By who	completed by
1	Review staffing structure, hierarchy etc and introduce dedicated admin support post (with knowledge of Access or database) with a view to becoming main first point of contact i.e. operating helpline (included in JD and graded to reflect these anticipated additional responsibilities). Part of restructure should consider all roles within service and have relevant JDs and graded accordingly. This should be transparent so anyone outside of SENDIASS knows who they work for and their role		
2	Clear staffing structure included on website with photos e.g. "meet the team" Job titles for all SENDIASS staff should say the service and title in the first line to avoid confusion with other services e.g. SENDIASS Manager, SENDIASS support worker, SENDIASS caseworker depending on what titles are decided upon. SENDIASS Manager and staff do not have additional LA roles or responsibilities outside of SENDIASS to avoid conflict with confidentiality etc. All SENDIASS staff to conduct themselves according to their role and JD in SENDIASS and not to their previous, or future in case of students on placement, jobs i.e. they are not employed as social workers or teachers.		
3	To ensure all staff act professionally at all times including in all forms of communications and their engagement with others e.g. by understanding and respecting the boundaries of other services or individual professionals.		
4	Compulsory "back to basics" training to be developed for ALL staff, existing and new to reflect all new ways of working, including the role of carrying out casework, Person Centred Planning/Approaches and how this applies to all EHCP processes. Solution Focus training might also be useful.		
5	All staff to be provided with their own copy of the SEN Code of Practice and if possible extra copies to be available for volunteers or students to be able to have access to and how to access it electronically.		
6	Give careful consideration to deployment of student s/w and/or volunteers e.g. to be trained to support parents and CYP in writing their "report" for statutory assessment, to ensure all CYP receiving a casework service from SENDIASS have a One Page Profile, carry out level 2 casework only. Appendix RK 13 & RK 14		
7	Quarterly staff appraisals (careful consideration to be given regarding who should conduct these, initially at least). Objectives should reflect the changes of working practice within SENDIASS and be linked to service Development Plan.		

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2.2 F	Have an effective management structure in place		
Action ref.	Suggested actions to take	By who	completed by
1	Line management for Service Manager to be clear and at an appropriate level within directorate		
2	Current steering group to be disbanded and start afresh. The balance of new membership must be given careful consideration to enable parents and young people to be effectively involved without being overwhelmed. Membership (MS 1.7) to include e.g. PCF, parents, young people, max 2 head or deputy head teachers (primary and secondary), SENCo, one special school, EP, SEN dept, Health, Social Care, 1 elected member (if necessary – not usual for them to be included) etc. Service manager's line manager should not be part of SG to distinguish be line management of employee from managing service direction to help fulfil armslength requirement. Appendix RK 15 sample Terms of Reference Its role will be to oversee service direction etc.– TOR, membership, minutes, routine agenda items e.g. going through service report including data, review development plan. SG meetings need to ordinarily be maximum of quarterly or minimum of termly.		

2.2 G	Compliance with remaining Minimum Standards not addressed in 2.2A to 2.2F above		
Action ref.	Suggested actions to take	By who	completed by
1	Joint Commissioning in accordance with MS 1.1 against a tight SLA pegged against the MS. Appendix RK 16 sample document. including reviewing, monitoring and reporting arrangements.		
2	Development plan (MS 1.8) to address all areas of minimum standards to either address non-compliance or ensure continued compliance. Improvement targets should be informed by data and there should be a "thread" to link why everything is happening. Appendix RK 17 sample document.		
3	Constructive strategic involvement (MS 2.3) once the majority of the above (2.2 A – 2.2F) are underway or achieved based on evidence and data.		
4	Establish partnership working and agreement with PCF (MS 2.3)		
5	Develop a training programme (MS 3.6) to include stakeholders, parents and CYP once the majority of the above (2.2 A – 2.2F) are underway or achieved based on evidence and data.		

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2.2	Actions required by LA from issues arising during this review outside of SENDIASS		
Action ref.	Suggested actions to take	By who	completed by
1	**Front Door** – uncouple from SENDIASS with immediate effect and decide its purpose and where it "sits" i.e. in the LA or in Children's Trust.		
2	**Rename Parent Link** e.g. SENAR Gateway and reconsider description as it is misleading as sounds like SENDIASS. Ensure when parents contact "Parent Link" they know who exactly they are speaking to and what their role is.		
3	**Improve communication options in SENAR letters** – add contact name and details e.g. email and phone number so parents can directly and easily contact to try and resolve issues.		
4	**Improve content of EHCP letters** – explain in letters that are sent with draft EHCP that Section "I" must be left blank so parents can request the school they want named, reassure them they can stay at their existing placement (it is known to worry parents when it is blank that their current placement might be under threat) be honest and explain current situation e.g. pressure on school places particularly special school and reassure LA is willing to work with parents to come up with an acceptable solution e.g. an interim arrangement if appropriate.		
5	**Update parents/PCF/SENDIASS** – share good news as things are being introduced or changing e.g. all SENAR staff training, recruitment etc.		

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SENDIST data from 13/14 to 20/21

"£253 million wasted by LAs defending SENDIST Appeals" widely reported in December 2021 by Special Needs Jungle (SNJ) et al.

£253,000,000 = £6206.91 approx
40761

Official SENDIST appeals registered				Cost based on £6206.91 per appeal for B/ham
Date (academic year 1/9 to 31/8)	Official SENDIST appeals registered National	Per Calendar year	Birmingham	
14/15	3147	2015	144	£893,795.04
15/16	3712	2016	170	£1,055,174.70
16/17	4725	2017	237	£1,471,037.67
17/18	5679	2018	265	£1,644,831.15
18/19	7002	2019	295	£1,831,038.45
19/20	7917	2020	261	£1,620,003.51
20/21	8579	1.1.21-31.8.21	208	£1,291,037.28
totals	**40761**		**1580**	**£9,806,917.80**

*Appeals registered taken from monthly data from 1.1.21 to 31.12.21

Potentially this figure is over £10,000,000 as there is no data including for Birmingham for 1.9.2014 to 31.12.14. Birmingham had 138 appeals in calendar year 2014 – proportionally speaking this could equate to another 46 appeals =£285,517.86 bringing a grand total to **£10,092,435.70**

Annual Report 2014/15 stated the following
The new SEND Code of Practice introduces some changes in relation to disagreement resolution and appeals.
There is a requirement for SENDIASS to support "*children, young people and parents in managing mediation, appeals to the First-tier Tribunal (Special Educational Needs and Disability), exclusions and complaints on matters related to SEN and disability*" (CoP 2.19).
SENDIASS has a long tradition in supporting parents and carers through the appeal process with an emphasis on resolving appeals without the need for SENDIST Hearings
LAs and CCGs have a responsibility to establish an independent Disagreement Resolution Service (DRS) (CoP 11.6); to date there has been no information made available about this function.
In addition, for all SENDIST appeals (except those only relating to the placement named in an EHCP) there is a requirement to seek advice from independent Mediations Services. Given the success of SENDIASS in resolving appeals the need for the independent DRS and any external mediation service in Birmingham is questionable.*
The number of appeals that SENDIASS has been involved with in the year covered by this Annual Report is 110.
***** The law requires it regardless of SENDIASS and LA performance!

Annual Report 2015/16 stated the following
SENDIST register appeals on a January to December basis*. In 2016 SENDIASS have been involved with 137 appeals**.

* SENDIST actually report appeals quarterly and then annually but for the academic year not calendar year
**this equates to SENDIASS being involved with 95% of all appeals
Annual Report 2016/17 stated the following

SENDIST register appeals on a January to December basis. In 2016 SENDIASS has been involved with **171** appeals* – a significant increase of 25% compared with the 137 received last year. SENAR estimate that SENDIASS is the named representative in around 80% of all registered appeals. It is worthy of note that co-working results in a majority of these appeals being resolved in advance of the Appeal Hearing.

* 171 is one more than all those registered according to the document NH provided "*Appeal Rates Birmingham & Hampshire comparator*" which she presented as calendar years. Perhaps they are in fact academic years and this would explain the discrepancy here.

Annual Report 2017/18 stated the following
SENDIST register appeals on a January to December basis. From January to September 2018* SENDIASS has been involved with **189** appeals; this shows an increase compared to the 2017 period (171).SENAR estimate that SENDIASS is the name representative in around 80% of all registered appeals. It is worthy of note that co-working results in a majority of these appeals being resolved in advance of the Appeal Hearing.
* This isn't a full year, only 9 months!

Annual Report 2018/19 stated the following
For this year we have identified the appeals **(243)** that were lodged and resolved within the year September 2018 to August 2019. Care should be taken when comparing this year's data with the previous year, though proportions would be comparable.
SENAR estimate that SENDIASS is the name representative in around 80% of all registered appeals. It is worthy of note that co-working results in a majority of these appeals being resolved in advance of the Appeal Hearing.

Annual Report 2019/20 stated the following
SENDIST register appeals on a January to December basis. From January to September 2019* SENDIASS was involved with **161**(189) appeals.
SENAR estimate that SENDIASS is the named representative in around 80% of all registered appeals. It is worthy of note that co-working results in a majority of these appeals being resolved in advance of the Appeal Hearing.
* 9 month period again

Local Authority	2014			2015			2016			2017			2018			2019			SENDIASS funding and staffing taken from IASSN "Funding, Casework and Staffing Data Report 2021"		Population 2021	total funding 2021	FTE staff 2021	volunteers 2021	£ per head 2021	
	Appeals registered[5]	Total Appealable Decisions[1]	SEND Tribunal Appeal Rate[2]	Appeals registered[4]	Total Appealable Decisions[1]	SEND Tribunal Appeal Rate[2]	Appeals registered[4]	Total Appealable Decisions[1]	SEND Tribunal Appeal Rate[2]	Appeals registered[4]	Total Appealable Decisions[1]	SEND Tribunal Appeal Rate[2]	Appeals registered[4]	Total Appealable Decisions[1]	SEND Tribunal Appeal Rate[2]	Appeals registered[4]	Total Appealable Decisions[1]	SEND Tribunal Appeal Rate[2]								
Birmingham	**138**	**7,635**	**1.8%**	**144**	**7,771**	**1.9%**	**170**	**8,093**	**2.1%**	**237**	**9,470**	**2.5%**	**265**	**10,214**	**2.6%**	**295**	**9,793**	**3.0%**		**Birmingham**	**450047**	**£240,000**	**5**	**0**	**£0.53**	
The rows below (in yellow) represent 6 LAs with largest polulations																										
Lancashire	90	5,088	1.8%	67	5,350	1.3%	43	6,056	0.7%	73	6,837	1.1%	95	7,486	1.3%	138	7,539	1.8%		Lancashire	369944	£303,281	7	0	£0.83	
Essex	155	7,796	2.0%	85	7,737	1.1%	108	8,449	1.3%	178	9,079	2.0%	211	9,797	2.2%	315	10,356	3.0%		Essex	436955	£344,356	6.7	0	£0.79	
Hertfordshire	87	3,880	2.2%	98	4,647	2.1%	91	5,364	1.7%	126	6,079	2.1%	159	6,910	2.3%	160	7,654	2.1%		Hertfordshire	371328	£412,509	14.51	0	£1.11	
Hampshire	166	5,242	3.2%	113	5,917	1.9%	188	6,991	2.7%	188	7,879	2.4%	224	8,749	2.6%	163	9,309	1.8%		Hampshire	395904	£247,196	7	5	£0.62	
Kent	325	6,924	4.7%	160	7,339	2.2%	166	8,685	1.9%	242	10,294	2.4%	369	13,131	2.8%	513	14,599	3.5%		Kent	481475	**?**	**?**	**?**		
Surrey	196	5,855	3.3%	142	5,985	2.4%	188	7,623	2.5%	220	8,210	2.7%	213	9,293	2.3%	293	10,429	2.8%		Surrey	364541	£230,000	7	0	£0.63	average £0.75 per head
England Tota	**4,108**	**251,096**	**1.6%**	**3,126**	**269,565**	**1.2%**	**3,863**	**305,983**	**1.3%**	**4,988**	**338,866**	**1.5%**	**6,023**	**376,254**	**1.6%**	**7,385**	**413,131**	1.8%								

? = data not submitted by service

Statistical neighbour rating	Local Authority	2014			2015			2016			2017			2018			2019		
		Appeals registered[5]	Total Appealable Decisions[1]	SEND Tribunal Appeal Rate[2]	Appeals registered[4]	Total Appealable Decisions[1]	SEND Tribunal Appeal Rate[2]	Appeals registered[4]	Total Appealable Decisions[1]	SEND Tribunal Appeal Rate[2]	Appeals registered[4]	Total Appealable Decisions[1]	SEND Tribunal Appeal Rate[2]	Appeals registered[4]	Total Appealable Decisions[1]	SEND Tribunal Appeal Rate[2]	Appeals registered[4]	Total Appealable Decisions[1]	SEND Tribunal Appeal Rate[2]
	Birmingham	138	7,635	1.8%	144	7,771	1.9%	170	8,093	2.1%	237	9,470	2.5%	265	10,214	2.6%	295	9,793	3.0%
Very close	Luton	4	1,046	0.4%	7	1,284	0.5%	9	1,374	0.7%	11	1,485	0.7%	14	1,536	0.9%	9	1,764	0.5%
Close	Sandwell	31	1,438	2.2%	12	1,485	0.8%	15	1,698	0.9%	8	1,990	0.4%	12	2,190	0.5%	20	2,308	0.9%
Close	Nottingham	18	671	2.7%	10	814	1.2%	18	941	1.9%	40	1,072	3.7%	20	1,122	1.8%	19	1,205	1.6%
Close	Wolverhampton	5	1,358	0.4%	10	1,348	0.7%	3	1,405	0.2%	7	1,575	0.4%	6	1,789	0.3%	4	1,985	0.2%
Close	Enfield	13	1,467	0.9%	8	1,494	0.5%	8	2,097	0.4%	5	2,313	0.2%	9	2,579	0.3%	14	3,201	0.4%
Somewhat close	Waltham Forest	18	1,506	1.2%	7	1,442	0.5%	8	1,479	0.5%	14	1,894	0.7%	14	1,911	0.7%	12	2,162	0.6%
Somewhat close	Slough	2	882	0.2%	7	977	0.7%	4	1,425	0.3%	6	1,341	0.4%	10	1,387	0.7%	6	1,514	0.4%
Somewhat close	Manchester	44	2,460	1.8%	44	2,753	1.6%	33	3,349	1.0%	42	3,807	1.1%	36	4,268	0.8%	49	4,800	1.0%
Somewhat close	Walsall	25	1,325	1.9%	12	1,616	0.7%	18	1,571	1.1%	17	1,816	0.9%	22	2,204	1.0%	26	2,205	1.2%
Somewhat close	Derby	46	1,133	4.1%	18	1,356	1.3%	23	1,604	1.4%	63	1,810	3.5%	60	2,013	3.0%	71	2,396	3.0%
	England Total[4]	**4,108**	**251,096**	**1.6%**	**3,126**	**269,565**	**1.2%**	**3,863**	**305,983**	**1.3%**	**4,988**	**338,866**	**1.5%**	**6,023**	**376,254**	**1.6%**	**7,385**	**413,131**	1.8%

	SENDIASS funding and staffing taken from IASSN "Funding, Casework and Staffing Data Report 2021"	Population 2021	total funding 2021	FTE staff 2021	volunteers 2021	£ per head 2021	
	Birmingham	450047	£240,000	5	0	£0.53	
Very close	Luton	78711	?	?	?	?	
Close	Sandwell	112830	£125,000	4	0	£1.11	
Close	Nottingham	141372	?	?	?	?	
Close	Wolverhampton	86806	?	?	?	?	
Close	Enfield	115631	?	?	?	?	
Somewhat close	Waltham Forest	92544	£97,000	2.6	0	£1.05	
Somewhat close	Slough	54928	£146,000	1.5	2	£2.66	
Somewhat close	Manchester	221584	?	?	?	?	
Somewhat close	Walsall	94282	£130,000	2.8	0	£1.38	
Somewhat close	Derby	89259	£98,000	2.3	0	£1.10	not enough data provided to provide an accurate average

? = data not submitted by service

Local Authority	2014			2015			2016			2017			2018			2019			SENDIASS funding and staffing taken from IASSN "Funding, Casework and Staffing Data Report 2021"		Population 2021 aged 0-25	total funding 2021	FTE staff 2021	volunteers 2021	£ per head 2021	
	Appeals registered[4]	Total Appealable Decisions[1]	SEND Tribunal Appeal Rate[2]	Appeals registered[4]	Total Appealable Decisions[1]	SEND Tribunal Appeal Rate[2]	Appeals registered[4]	Total Appealable Decisions[1]	SEND Tribunal Appeal Rate[2]	Appeals registered[4]	Total Appealable Decisions[1]	SEND Tribunal Appeal Rate[2]	Appeals registered[4]	Total Appealable Decisions[1]	SEND Tribunal Appeal Rate[2]	Appeals registered[4]	Total Appealable Decisions[1]	SEND Tribunal Appeal Rate[2]								
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Surrey	196	5,855	3.3%	142	5,985	2.4%	188	7,623	2.5%	220	8,210	2.7%	213	9,293	2.3%	293	10,429	2.8%		Surrey	364541	£230,000	7	0	£0.63	average £0.75 per head
The rows below (in grey) represent LAs with appealable decisions over 5000 in 2019 although the yellow rows above are over 7500																										
Lincolnshire	29	3,520	0.8%	35	3,532	1.0%	59	4,133	1.4%	50	4,761	1.1%	52	4,829	1.1%	49	**5,268**	0.9%		Lincolnshire	213294	£178,798	6.4	0	£0.84	
Staffordshire	56	3,621	1.5%	63	3,936	1.6%	83	4,303	1.9%	97	4,838	2.0%	95	5,252	1.8%	78	**5,564**	1.4%		Staffordshire	247960	?	?	?	£1.05	
Suffolk	54	3,265	1.7%	63	3,092	2.0%	58	3,558	1.6%	58	4,437	1.3%	73	5,153	1.4%	104	**5,998**	1.7%		Suffolk	215262	£259,478	6	0	£1.21	
West Sussex	41	3,415	1.2%	22	4,015	0.5%	83	4,822	1.7%	85	5,279	1.6%	90	5,681	1.6%	114	**6,059**	1.9%		West Sussex	238340	£284,100	7.36	**7**	£1.19	
Devon	26	3,699	0.7%	17	3,624	0.5%	37	3,902	0.9%	55	4,360	1.3%	54	5,437	1.0%	63	**6,759**	0.9%		Devon	216113	£298,000	6.3	15	£1.38	not relevant in any menaingful respect to prov
England Total	**4,108**	**251,096**	**1.6%**	**3,126**	**269,565**	**1.2%**	**3,863**	**305,983**	**1.3%**	**4,988**	**338,866**	**1.5%**	**6,023**	**376,254**	**1.6%**	**7,385**	**413,131**	1.8%								

? = data not submitted by service

APPENDIX 2

IASS additional funding via IASP (NCB) provided to Birmingham SENDIASS

Some of the things that have been funded should be clearly provable e.g. the existence of a website (minimum standards require it to be a standalone website so IASP funding would have been for that), training materials and evidence that training sessions were held etc.

2018-19 **£32,000**

1. Conduct a detailed self-review of the IASS to establish its delivering on its responsibilities as required by the C&FA 2014 and SEN C of P
2. Develop a 2 year service-led IASS operational plan to seek compliance and service improvements benchmarked against the new minimum standards
3. Demonstrate a willingness to work closely with CDC and respect the disciplines of working close to Government policy on the IASP (this required the following:

Submit a statement to say:

- Your attendance and learning at IASS regional meetings during the year
- Submission of 3 case studies to inform and help other services (ongoing)
- Submission of data onto the IASSN national reporting hub (Nov 2018)
- Engagement with IASSN annual customer survey (Jan 2019)

2019-20 **£45,900**

1a. Support with staff costs / retention
1b. Appointment of CYP Lead
1c. Support work required to implement plans from 1 April 2019
1d. Capacity built into current Head of Service role to define project plan for implementation including specific Project Lead
2a. Joint commissioning arrangements with health and social care (this included:

- Links made at DMO level (SENDIASS is directly managed by the DCS0
- An SLA and funding model established with Health & Social Car

2b. Strengthening governance arrangements and management reporting (this included:

- Representation of Education, Health and Social Care on the SENDIASS Board (former Chair of Schools' Forum has expressed an interest in Chairing the SENDIASS Board and this will bring a high level of strategic expertise)

3a. Strengthening tribunal support - Protocols established with the SEND Department to resolve disputes
3b. **Website** development and promotional materials designed to link to the Local Offer - Website integral part of IASS offer & online helpline available
4a. Setting up and implementing a **volunteer development programme** (including a training programme) to support CYP and parents (aim was 10 CYP Support Volunteers trained & 10 Parent/Carer Volunteers trained)
4b. Creating better processes to receive regular feedback from service users which help refine and develop the service and the staff within it including:

- Accessible CYP feedback mechanism defined
- Accessible parental feedback mechanism defined
- Service User feedback on Website

5a. Strategic work with disadvantaged groups this included:

- Locality Based Groups set up to cover North/South/Central areas of city
- Local communities needs defined including language and cultural issues

5b. Supporting strategic participation of parents, CYP - Links with the Strategy for SEND made

UNFORSEEN COVID RESTRICTIONS IMPACTED ON DELIVERY FROM THIS POINT FORWARD

2020-21	**£27,882**	1. To have an SLA and joint commissioning arrangement for IASS signed and agreed with health and social care as per minimum standards. (Purpose – for process to be embedded and improve services locally) 2. To increase IASS reach and engagement with minority ethnic communities and hard to reach families across Birmingham to include: A communication and engagement action plan devised with ambitious targets and developed in partnership with YP and VCOs. 3. To develop an IASS easy read guide to improve inclusive Practice in Mainstream Secondary settings this included: Establishing an Operational Board (with terms of reference in place) in partnership with ACAMHS and other relevant organisations that can contribute to the aim. 4. Produce a service continuity and sustainability plan for the period April 2021 onwards
2021-22	**£10,000**	1. Ensure CYP and families receive ongoing impartial IAS within the wider service offer in line with the duties outlined in the Minimum Standards for SENDIASS. This included: A YP's Participation Group (YPG) is established with a defined work programme and creation of a YP participation charter 2. Ensure the IASS manager based solely within the IAS Service, continues to lead on strategic planning, delivery to ensure it has the capacity and resources to meet these Minimum Standards and local need - including a joint commissioning arrangement no later than March 2022, where such an arrangement is not yet in place. This included developing a training package and to provide training to Health and SC re role and work of SENDIASS 3a. Due to the changing environment, to develop new IASS digital resources on matters relating to the service and SEND – which increases current service uptake and engagement with CYP and families This included: Compiling Zoom ready training materials that are specific to parents and for CYP. (4 sessions to be delivered on all aspects of IASS work and SEND processes.) 3b. Due to the changing environment, to develop new IASS digital training resources aimed at external local education, health and social care professionals, CYP, families and volunteers - which increases knowledge of SEND law, guidance, local policy, issues and participation. This included: Compiling Zoom ready training materials that are specific to professionals across the disciplines and schools (4 sessions to be delivered).
Total	**£115,792**	

[redacted]

Take from Annual Reports – green highlighted text is my calculation and is not in the ARs
Note the initial reason for contacting the service across all reporting areas never changes.
"School meeting" says nothing about what the casework was about e.g. SEN Support, exclusion, behaviour etc
"Placement" sounds like it may mean naming school in EHCP but unlikely that starting or changing school hasn't arisen outside of naming in an EHCP.
"Other " should be broken down a bit more e.g. like 15/16 school transport was highlighted

14/15
There are presently over **7100** families and children known to SENDIASS*. Typically, at any one time around 400 families, children and young people will be receiving an in depth casework service**.
509 new referrals
At the initial point of referral a Case Objective type is given to each new case; these objectives include:

- EHC Needs Assessment
- Progress of EHCP
- Content of EHCP
- Placement
- School Meeting
- Annual Review Meeting
- Exclusion
- Attendance
- Other

However, it should be noted that many referrals are multi-faceted. Equally, it is not always clear at the point of referral what the case objectives are and these may only become apparent following a first more in depth assessment. Furthermore, objectives can change or be added throughout the progress of a case.

*Assume this is families on the database since the service began on 1.1.2000
** When SENDIASS were asked on 25.4.22 "How many for each of the national intervention levels (1-4) or certainly a split between helpline one-off calls and casework". The response was "**All these are LEVEL 4 as the requirement was to only report on these**." Therefore, the figures relating to in depth casework are all Level 4 intervention.
The box below is taken from the IASSN Funding, Casework and Staffing Data Report 2021. As you can see national average is 14% of all casework is Level 3 or 4 not just Level 4. (14% of 724 = 101).

To explore this, we asked services to submit their own helpline and casework numbers from three consecutive years. We found that on average:

- Helpline enquiries: up 48% since 2019- an average of 1291 enquiries being received per year per service
- Casework (non-helpline) up 52% since 2019- average 724 cases per year across the levels
- Tribunal numbers continue to rise. Services are supporting an average of 40 tribunal cases a year in some form, including attending and supporting a parent or young person directly with 4.

Complexity:

- 14% of cases reported to be level three or above by those that record levels, compared to 10% in 2019

15/16
There are presently over **7700** families and children known to SENDIASS. **(600 new families added)**
565 new cases. Same categories as bullet points for 2014/15.
[In the Summer of 2016 SENDIASS were contacted by over 50 parents – and other professionals – regarding decisions that had been made affecting children and young people's school transport. These are included in the 'Other' category]

16/17
There are presently over **8240** families and children known to SENDIASS. The range of support provided covers telephone advice, in depth case work support and workshop sessions*. **(540 new families added)**
During the year commencing 1 September 2016 SENDIASS delivered in depth casework** intervention to **637** new cases. Same categories as bullet points for 2014/15.

* These should not be added to database unless they receive individual support and numbers should be presented and reported separately including details of themes for the workshop
** This is clearer than in previous reports when just stated referrals but should also include separately number of one-off enquiries and their nature.

17/18
There are presently over **8745** families and children known to SENDIASS. The range of support provided covers telephone advice, in depth case work support and workshop sessions. **(505 new families added)**
During the year commencing 1 September 2017 SENDIASS delivered in depth casework intervention to 570 new cases. This is in addition to the continuing casework that is undertaken. Same categories as bullet points for 2014/15.

18/19
There are presently over **9500** families and children known to SENDIASS. The range of support provided covers telephone advice, in depth case work support and workshop sessions. **(755 new families added)**
During the year commencing 1 September 2018 SENDIASS delivered in depth casework intervention to **618** new cases. This is in addition to the continuing casework that is undertaken with the families that the service supports.
A particular feature of this year's work has been providing information, advice and support to CYP directly.* Same categories as bullet points for 2014/15.

* There is no reference in the stats to CYP vs parents re casework numbers or issues raised. According to table below there are 48 cases relating to YP = approx 23 16 & 17 yrs olds & 25 >18. unclear if this is parents of 16+ or YP directly contacting service and if parental consent was acquired. **On another occasion it was reported that direct work with CYP didn't commence to 1.9.21 i.e. more than 2 years later!**

19/20 (lockdown from March 2020)
There are presently over **10,200** families and children known to SENDIASS. The range of support provided covers telephone advice, in depth case work support and workshop sessions. **(700 new families added)**
During the year commencing 1 September 2019 SENDIASS delivered in depth casework intervention to **679** new cases. The six monthly split was **371/308.** As the March - August period covers the summer holiday, this may explain the difference, but there would be some effect from the lockdown. Same categories as bullet points for 2014/15.

APPENDIX 4

Birmingham SEND Information, Advice & Support Service

Quality Assurance Form - Parent/Carer

We try to provide the information, advice and support that you need.

Please take a few minutes to answer some questions for us.

We really do value your feedback.

Getting in touch with us

1	How easy was it to get in touch with us?	Not at all easy				Very easy
		0	1	2	3	4
1b	How quickly did we respond?	Very Slowly				Very quickly
		0	1	2	3	4
1c	How well do you think we understood your questions or concerns?	Not at all well				Very well
		0	1	2	3	4

1d How did you hear about us? (Tick all that apply)

Leaflet about the service	☐	Another parent or friend	☐	The internet	☐
The school, early years setting or college	☐	The Local Offer	☐	The Local Authority's SEND team	☐
An educational psychologist or Advisory Teacher	☐	A health professional	☐	Social Services	☐
None of these	☐	(if so, please tell us how you found out about the service)			

The support we offered you

2 How helpful was the information, advice and support we gave you?

Not at all helpful				Very helpful
0	1	2	3	4

2b Did we:

	YES	N/A
support you with the SEND statutory processes including EHC needs assessment/EHC Plan? (this may have included Appeal/Tribunal)		
help/advise with concerns you have relating to educational placement or provision? (this may be related to nursery, school or college)		
help/advise with any concerns you may have with the SEND delivery from the LA? (this may have included Home to School Transport)		
help/advise with any aspect of Health or Social Care?		
provide any other support (please detail)		

3 How neutral, fair and unbiased do you think we were?

Not at all				Very
0	1	2	3	4

4a What difference do you think our information, advice or support has made for you?

No difference at all				A great deal of difference
0	1	2	3	4

4b Can you tell us more about the difference(s) we made for you?

(Please tick any that apply)

I feel that my child's needs are better understood than they were ☐

I now have a better relationship with my child's school or setting ☐

I now have a better relationship with the Local Authority ☐

I feel more confident ☐

I have a greater understanding of the SEND Code of Practice and the arrangements that should be made for children and young people with SEN ☐

I feel more involved in decisions about my child's education ☐

I am happier/less worried about my child's future ☐

I feel my child has benefitted as a result of the service being involved ☐

Please tell us of any other differences that your contact with our service has made.

5 Overall how satisfied are you with the service we gave?

Very Unsatisfied				Very satisfied
0	1	2	3	4

5b Was there anything we could have done better?

The future

6 How likely is it that you would recommend the service to others?	Not at all likely				Extremely likely
	0	1	2	3	4
	○	○	○	○	○

6b Do you have any other comments about our service?

Thank you for your help.

Service User Contact Details:

Name:

Tel:

Email:

Child/YP name: **Date of Birth:**

Date Form Completed:

Office use only

Caseworker Name: Role:

APPENDIX 5

Comments re "User Satisfaction" taken from each Annual report

2014/15

It is worthy of note however, that the 'customer orientated' nature of our service frequently results in high levels of satisfaction being expressed by service users to their support officer in the natural course of an intervention.

At the time when cases are 'closed', Service users are invited to both rank their experience of the service and to raise any concerns. A large majority of our users rank the service as very good or excellent and during the year there have been no ranking below satisfactory. There have also been no issues of concern raised or any formal complaints from users regarding the service.

2015/16

At the time when cases are 'closed', Service users are invited to both rank their experience of the service and to raise any concerns.

There has been **no ranking below satisfactory** and there have been no issues of concern raised or any formal complaints from users regarding the service. This is in line with the 'customer-orientated' nature of the service, whereby in-depth casework intervention and support is provided in the most complex cases.

2016/17

At the time when cases are 'closed', Service users are invited to both rank their experience of the service and to raise any concerns.

It is worthy of note, over the 3 years since the changes in legislation, the service has received **no ranking below satisfactory**; service users have raised no issues of concern; and there have no formal complaints from users regarding the service. This reflects the 'customer-orientated' approach and nature of the service, whereby in-depth casework intervention and support is provided in the most complex cases based on and in discussion and agreement with families, children and young people.

2017/18

At the time when cases are 'closed' service users are invited to both rank their experience of the service and to raise any concerns.

It is worthy of note, over the 4 years since the changes in legislation, the service has received no ranking below satisfactory; service users have raised no issues of concern; and there have no formal complaints from users regarding the service. This reflects the 'customer-orientated' approach and nature of the service, whereby in-depth casework intervention and support is provided in the most complex cases based on and in discussion and agreement with families, children and young people.

2018/19

At the time when cases are 'closed' service users are invited to both rank their experience of the service and to raise any concerns.

It is worthy of note, over the 4 years* since the changes in legislation, the service has received no ranking below satisfactory; service users have raised no issues of concern; and there have no formal complaints from users regarding the service. This reflects the 'customer-orientated' approach and nature of the service, whereby in-depth casework intervention and support is provided in the most complex cases based on and in discussion and agreement with families, children and young people.

Feedback is sought from each case based on the good practice Quality Assurance form that the CDC have produced.** This seeks the experience of the service user from the outset of accessing the service through to the information, advice and support provided and the outcome achieved. This feedback is collated to ensure that the service remains accessible and responsive to the CYP and parents within the city. A significant issue that was identified by the service users had been that the 'telephone line is always busy'. The Duty system was changed to alleviate this by having two Duty Officers operating the helpline, one for the initial 'triage' of the incoming calls and the other to then undertake an initial assessment and complete the referral form.

* This should say 5 years but it has simply been cut and pasted from the previous year
** except it doesn't. It has changed Q2b completely(see below). The national one is carried out anonymously, Only if they wish are contact details added. and sent out at the end of all enquiries.
The Birmingham one requests contact detail – doesn't indicate as optional. The forms are then added to case files. They are only sent out to Level 4 enquiries (according to NH 11.5.22). According to feedback from PCF no one currently involved with SENDIASS knew anything about a feedback form.

Nationally agreed and widely used evaluation form

2b Did the IASS:

	YES	NO
Return your calls/emails promptly?	☐	☐
Keep in touch?	☐	☐
Explain why decisions were made and what was happening?	☐	☐
Listen to your views?	☐	☐
Treat you with respect?	☐	☐
Explain who they were and what their role was?	☐	☐
Provide a confidential service?	☐	☐
Give you information and advice that met your needs?	☐	☐

Birmingham's

2b Did we:

	YES	N/A
support you with the SEND statutory processes including EHC needs assessment/EHC Plan? (this may have included Appeal/Tribunal)	☐	☐
help/advise with concerns you have relating to educational placement or provision? (this may be related to nursery, school or college)	☐	☐
help/advise with any concerns you may have with the SEND delivery from the LA? (this may have included Home to School Transport)	☐	☐
help/advise with any aspect of Health or Social Care?	☐	☐
provide any other support (please detail)	☐	☐

2019/20

Identical to previous year

[redacted]

[redacted]

[redacted]

[redacted]

APPENDIX 7

Summary of minimum standards according to evidence found or provided

	[redacted]	[redacted]	RK	[redacted]	[redacted]	[redacted]
1. Commissioning, Governance and Monitoring Arrangements Standard	[redacted]	[redacted]	Based on evidence provided	[redacted]	[redacted]	[redacted]
1.1 The IASS is jointly commissioned by education, health and social care in accordance with the CFA 2014. A formal agreement is set out in writing which refers directly to these Minimum Standards, whilst also considering the need for continuity and stability of the service.	[redacted]	[redacted]		[redacted]	[redacted]	[redacted]
1.2 The IASS is designed and commissioned with children, young people and parents and has the capacity and resources to meet these Minimum Standards and local need. For smaller local authorities (LAs) this may involve commissioning across local areas.	[redacted]	[redacted]		[redacted]	[redacted]	[redacted]
1.3 The IASS provides an all year-round flexible service which is open during normal office hours and includes a direct helpline with 24-hour answer machine, call back and signposting service, including linking to the national SEND helpline.	[redacted]	[redacted]		[redacted]	[redacted]	[redacted]
1.4 There is a dedicated and ring-fenced budget held and managed by an IAS service manager located within an IASS.	[redacted]	[redacted]		[redacted]	[redacted]	[redacted]
1.5 The IASS is, and is seen by service users to be an arm's length, confidential, dedicated and easily identifiable service, separate from the LA, CCG and/or host organisation.	[redacted]	[redacted]		[redacted]	[redacted]	[redacted]

	[redacted]		[redacted]
1.6 LA and IASS ensure that potential service users, Head teachers, FE principals, SENCos, SEND Teams, children's and adult social care, health commissioners and providers are made aware of the IASS, its remit and who the service is for,	[redacted]		[redacted]
1.7 The Governance arrangements outline a clear management structure, encompassing a strategic manager within the IASS and a steering group or advisory body which includes representatives from service user groups and key stakeholders from education, social care and health.	[redacted]		[redacted]
1.8 The IASS has a development plan reviewed annually with the steering group/advisory body which includes specific actions and improvement targets.	[redacted]		[redacted]

	[redacted]	[redacted]	[redacted]
		RK	
2. Strategic functions Standard		Based on evidence provided	
2.1 Each IASS has a manager based solely within the service, without additional LA/CCG or host body roles. They have responsibility for strategic planning, service management and delivery, and quality assurance.		[redacted]	
2.2 The IASS engages with regional and national strategic planning and training and demonstrates effective working with other IASSs – to inform service development.		[redacted]	
2.3 The IASS works with local partners, including local parent and young people forums to inform and influence policy and practice in the local area.		[redacted]	

		RK
3. Operational Functions Standard		Based on evidence provided
3.1 The IASS provides; impartial information, advice and support (IAS) on the full range of education, health and social care as defined in the SEND Code of Practice to the following service users – (a) children (b) young people, and I parents This support is offered in a range of ways which includes face to face, a telephone helpline, email, website and social media.		
3.2 IASS provides branded information and promotional materials in a range of accessible formats.		
3.3 The IASS has a stand-alone service website that is accessible to all service users. The website includes; a. Contact details of the service b. Opening hours c. Response times		

d. Information on a range of SEND topics e. Signposting to other useful groups including parent groups and youth forums and national helplines f. Signpost to the Local Offer Key policies including a complaints procedure	[redacted]	[redacted]	[redacted]
3.4 The IASS provides advocacy support for individual children, young people, and parents that empowers them to express their views and wishes and helps them to understand and exercise their rights in matters including exclusion, complaints, SEND processes, and SEND appeals.	[redacted]	[redacted]	[redacted]
3.5 The IASS provides information, advice and support before, during and following a SEND Tribunal appeal in a range of different ways, dependent on the needs of the parent or young person. This will include representation during the hearing if the parent or YP is unable to do so.	[redacted]	[redacted]	[redacted]

	[redacted]		[redacted]
3.6 The IASS offers training to local education, health and social care professionals, children, young people and parents to increase knowledge of SEND law, guidance, local policy, issues and participation.	[redacted]		[redacted]
	NH	**NH comments provided**	**RK**
4. Professional development and training Standard	[redacted]		Based on evidence provided
4.1 All advice and support providing staff successfully complete all online IPSEA legal	[redacted]		[redacted]

training levels within 12 months of joining the service. Volunteers who provide advice and support should complete IPSEAs Level 1 online training within 12 months.	[redacted]	[redacted]	[redacted]
4.2 The service routinely requests feedback from service users and others, and **uses this to further develop the work and practices of the service.**	[redacted]	[redacted]	[redacted]
4.3 All IASS staff and volunteers have ongoing supervision and continuous professional development.	[redacted]	[redacted]	[redacted]
NB THE FOLLWING ARE SUPPLEMENTARY QUESTIONS AND ARE NOT PART OF THE NATIONAL MINIMUM STANDARDS			
	[redacted]	**RK**	[redacted]
5. Additional information for review purposes		Based on evidence provided	
5.1 What formalised Quality Assurance measures are in place re all external communication and information sharing e.g. training being delivered, service delivery processes, website, factsheets etc.	[redacted]	[redacted]	[redacted]

5.2 Is there evidence on the service website and in the service delivery model that an engagement and participation approach is being promoted with service users?			
5.3 Service Deficit is recorded and reported to Steering Group and used to inform service development and funding bids			
5.4. Relationship/interface with PCF. Is there a formalised agreement? Is there information for parents and professionals to help make it clear the difference in the PCF and IASS roles?			
5.5. Use of Social Media Use of virtual platforms			

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Document downloads

Related information

News

SENDIASS downloads

Review of education health and care plan >

Health advice and information form -Review of EHC plan	DOCX	49.6 KB
Social care advice and information form - Review of EHC plan	DOCX	49.13 KB
Agenda for EHC Plan Review Meeting EHC Plan Review Meeting Guidance for Schools and Institutions	PDF	173.09 KB
Checklist for the ehc plan review meeting - aug 15 1.0	PDF	209.74 KB
Checklist for the EHC Plan Review Process	DOCX	49.02 KB
Education advice and information - Review of EHC plan	DOCX	49.02 KB
Review of ehc plan - v1 1 version 2 issued jan 2016	DOCX	373.14 KB
Guidance for completing advice and information for review of ehc plan	DOC	143.5 KB
Review process for ehc plan (pathway) 23072015 v1.0	PDF	335.78 KB
Timeline on the Review Process for an Education, Health and Care Plan	PDF	240.15 KB
Guidance notes on completing review of education health and plan form - feb 2016	DOC	107.5 KB
Parentcarers views - Review of EHC plan	DOC	144 KB
Child and young persons views - Review of EHC plan	DOC	146.5 KB
Guidance on the Review Process for an Education, Health and Care Plan	PDF	190.62 KB

Only sent out for level 4 interventions.

Nationally agreed and widely used evaluation form

2b Did the IASS:

	YES	NO
Return your calls/emails promptly?	☐	☐
Keep in touch?	☐	☐
Explain why decisions were made and what was happening?	☐	☐

Listen to your views?	☐	☐
Treat you with respect?	☐	☐
Explain who they were and what their role was?	☐	☐
Provide a confidential service?	☐	☐
Give you information and advice that met your needs?	☐	☐

Birmingham's

2b Did we:

	YES	N/A
support you with the SEND statutory processes including EHC needs assessment/EHC Plan? (this may have included Appeal/Tribunal)	☐	☐
help/advise with concerns you have relating to educational placement or provision? (this may be related to nursery, school or college)	☐	☐
help/advise with any concerns you may have with the SEND delivery from the LA? (this may have included Home to School Transport)	☐	☐
help/advise with any aspect of Health or Social Care?	☐	☐
provide any other support (please detail)	☐	☐

1.7 SENDIASS – Overview (meetings with [redacted]

[redacted]

APPENDIX 9

1.5 Documents reviewed to inform this report [redacted]

Document title & date	
IASP docs from NCB	
A	2018 Birmingham Task Order IASP.11072018
B	2018 Case Study - Assessment and provision of Need
C	2018 Case Study - Innovative Practice October 2018
D	2018 IASP self-review
E	2019 Birmingham IASP service operational plan docx
F	2019-20 Birmingham Task Order IASP TO SIGN
G	2019-21 operational plan
H	2020-21 Birmingham IASP contract variation SIGNED
I	2020-21 Birmingham IASP service operational plan
J	2021 B'ham Oct reporting
K	2021 Birmingham IASP service operational plan updated
L	2021 March report
M	2021-22 Birmingham IASP Task Order
N	2022 Bham contract check-in report form
From Parent Carer Forum	
O	bpcf-sendiass-partnership-agreement (1) (1)
From SENDIASS	
1	Appeal Rates Birmingham & Hampshire comparator **Data included 2014-19**
2	myth busters **created 18.2.21**
3	Staffing - SENDIASS Birmingham **April 2022**
4	1. Birmingham SENDIASS Board Remit **Undated**
5	4. SEND Statutory Process Training - PfA Team **16th Sept 2021**
6	5. SEND Statutory Process Training - CAMHS ST **4.10.21**
7	Agenda - Parents SENDIASS meeting **dated 20.9.21**
8	Birmingham SEND Multi-Agency Front Door **dated 3.1.22**
9	Birmingham SENDIASS Conference **30 Nov 2021**
10	Flyer SENDIASS Professionals Meeting Nov **19.11.21**
11	JD - SENDIASS Head of Service **Created 3.3.19 last updated 29.9.21**
12	Minimum Standards Self-assessment template with notes - SENDIASS Birmingham **23.4.22**
13	Parent Partnership Group **2022**
14	pg3(A) Allocation Sheet (EHC Needs Assessment)
15	pg3(B) Allocation Sheet (EHCP Progress)
16	pg3(C) Allocation Sheet (EHCP Content)
17	pg3(D) Allocation Sheet (Placement)
18	pg3(E) Allocation Sheet (School or Setting Meeting)
19	pg3(F) Allocation Sheet (Annual Review)
20	pg3(G) Allocation Sheet (Exclusion)
21	pg3(H) Allocation Sheet (Other)
22	pg4 Professionals involved
23	pg5 Family Targeted Assessment
24	pg6 Genogram
25	pg7 CYP Views & Details of Direct Work
26	pg8 Signs of Safety Form

27	pg9(i) Working with Parents & Carers	[redacted]
28	pg9(ii) Working with CYP	
29	pg14(i) Quality Assurance Form Parent Carer	
30	pg14(ii) Quality Assurance Form - Young Person	
31	SEND Statutory Process Training - BCT Disabled Social Care Team **8.10.21**	
32	SENDIASS Board Agenda - Monday **17th January 2022**	
33	SENDIASS Board Minutes **17th January 2022**	
34	Young People's Particpation Charter **Undated** see line 35	
35	Young Peoples Participation Charter **Created 2.12.21**	
xSENDIASS - Information Pack (not dated for creation, review or update		
36	1. SENDIASS Information Pack Contents Page	
37	Leaflet SENDIASS	
38	SENDIASS - Annual Review Process	
39	SENDIASS - Annual Review Timescale Chart	
40	SENDIASS - Appeals	
41	SENDIASS - Areas of SEND	
42	SENDIASS - Assessment Process	
43	SENDIASS - Assessment Timescale	
44	SENDIASS - Confidentiality Policy	
45	SENDIASS - Definition of Advocacy	
46	SENDIASS - Disability Discrimination	
47	SENDIASS - EHCP 'Cease to Maintain'	
48	SENDIASS - Exclusions	
49	SENDIASS - Home to School Transport	
50	SENDIASS - Impartiality Policy	
51	SENDIASS - Information for Young People	
52	SENDIASS - Issuing an EHCP	
53	SENDIASS - Mediation	
54	SENDIASS - Naming a Placement	
55	SENDIASS - Personal Budget	
56	SENDIASS - SEND Support & School Funding	
57	SENDIASS - Tribunal Hearings	
58	SENDIASS - What are Special Needs	
59	SENDIASS - What is an EHCP	
60	SENDIASS - Young People with SEND	
SENDIASS Annual Report (6) (from SENDIASS)		
61	SENDIASS Annual Report (1) 1.9.14-31.8.15	
62	SENDIASS Annual Report (2) 1.9.15-31.8.16	
63	SENDIASS Annual Report (3) 1.9.16-31.8.17	
64	SENDIASS Annual Report (4) 1.9.17-31.8.18	
65	SENDIASS Annual Report (5) 1.9.18-31.8.19	
66	SENDIASS Annual Report (6) 1.9.19-31.8.20	
Joint Commissioning – 2021 (from SENDIASS)		

67	Item 1 - Covering Note **12th January 2021**	[redacted]
68	Item 2 - SENDIASS Joint Commissioning Paper **30th June 2020**	
69	Item 3 - Schedule A SLA Joint Commissioning **Created 28.12.19**	
70	Item 4 - Schedule B Joint funding SENDIASS **Created 27.6.20**	
71	Item 5 - Schedule C Financial Overview SENDIASS **created 26.12.19**	
72	Item 6 - Schedule D data processing **created 26.12.19**	
73	Item 7 - Schedule E Joint Funding SLA SENDIASS **created 26.12.19**	
74	Item 8 - Minimum Standards with DfE DH sign off	
75	Item 9 - Birmingham IASP contract variation 20-21 SIGNED **31.3.20**	
76	Item 10 - Cat 2 Restrictions. Action Plan **Created 9.6.20**	
77	Item 11 - SENDIASS Operational Plan **Created 27.6.20**	
78	*Item 12 - SENDIASS Leaflet*	
79	Item 13 - The Role of SENDIASS in the Community Family Educational Recovery Programme (2020) **Created 27.6.20**	
80	*Item 14 - Quality Assurance Form*	

Title of proposed EIA	Response to independent review of Birmingham Special Educational Needs and Disability Information, Advice and Support Service (SENDIASS)
Reference No	EQUA1058
EA is in support of	Amended Service
Review Frequency	No preference
Date of first review	27/01/2023
Directorate	Education and Skills
Division	Children and Families
Service Area	Birmingham Special Educational Needs and Disability Information, Advice and Support Service (SENDIASS)
Responsible Officer(s)	☐ Sue M Harrison
Quality Control Officer(s)	☐ Helen X Price
Accountable Officer(s)	☐ Sue M Harrison
Purpose of proposal	To respond to the findings of an independent review and recommend an option for improving the service.
Data sources	Statistical Database (please specify)
Please include any other sources of data	

ASSESS THE IMPACT AGAINST THE PROTECTED CHARACTERISTICS

Protected characteristic: Age	Service Users / Stakeholders; Employees
Age details:	

The SENDIASS service is specifically for children and young people aged 0-25 with SEND and their families. This is set out in the Children and Families Act.

Cabinet approval is being sought for the recommendation that an alternative, external, experienced provider with a strong track record of providing SENDIASS is sought through a compliant tender exercise.

This would ensure a SENDIASS service is provided to stakeholders that complies with the national minimum standards.

The service to all stakeholders would be improved.

Protected characteristics of the workforce would not be identified in the published Equality Assessment due to the small size of the permanent workforce and the potential for staff to be identified. Any protected characteristics will be considered as part of the tender exercise.

Protected characteristic: Disability

Service Users / Stakeholders; Employees

Disability details:

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Protected characteristic: Sex

Service Users / Stakeholders; Employees

Gender details:

In Birmingham 70.8% of pupils with SEN (as at January 2022) are boys, 29.2% are girls.

The SENDIASS service is specifically for children and young people aged 0-25

with SEND and their families. This is set out in the Children and Families Act. The service should be available to all children and young people with SEND and families, regardless of any other protected characteristic.

Cabinet approval is being sought for the recommendation that an alternative, external, experienced provider with a strong track record of providing SENDIASS is sought through a compliant tender exercise.

This would ensure a SENDIASS service is provided to stakeholders that complies with the national minimum standards. The service to all stakeholders would be improved.

Protected characteristics of the workforce would not be identified in the published Equality Assessment due to the small size of the permanent workforce and the potential for staff to be identified. Any protected characteristics will be considered as part of the tender exercise.

Protected characteristics: Gender Reassignment

Not Applicable

Gender reassignment details:

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This would ensure a SENDIASS service is provided to stakeholders that complies with the national minimum standards.

The service to all stakeholders would be improved.

Protected characteristics: Marriage and Civil Partnership	Not Applicable
Marriage and civil partnership details:	The SENDIASS service is specifically for children and young people aged 0-25 with SEND and their families. This is set out in the Children and Families Act. The service should be available to all children and young people with SEND and their families, regardless of any other protected characteristic. Cabinet approval is being sought for the recommendation that an alternative, external, experienced provider with a strong track record of providing SENDIASS is sought through a compliant tender exercise. This would ensure a SENDIASS service is provided to stakeholders that complies with the national minimum standards. The service to all stakeholders would be improved.
Protected characteristics: Pregnancy and Maternity	Not Applicable
Pregnancy and maternity details:	The SENDIASS service is specifically for children and young people aged 0-25 with SEND and their families. This is set out in the Children and Families Act. The service should be available to all children and young people with SEND and their families, regardless of any other protected characteristic. Cabinet approval is being sought for the recommendation that an alternative, external, experienced provider with a strong track record of providing SENDIASS is sought through a compliant tender exercise. This would ensure a SENDIASS service is provided to stakeholders that complies with the national minimum standards.

The service to all stakeholders would be improved.

Protected characteristics: Race

Service Users / Stakeholders; Employees

Race details:

Data as at January 2022

Pupil Ethnicity	Statement or EHC
White british	34.32%
Irish	0.32%
Other white_background	2.59%
Gypsy Roma	0.24%
Mixed	5.93%
Other_Mixed Background	3.77%
Indian	3.40%
Pakistani	22.90%
Bangladeshi	5.37%
Other_Asian background	1.41%
Black Caribbean	3.37%
Black_african	7.87%
Other_Black background	1.57%
Chinese	0.50%
Other_ethnic_group	6.44%

The SENDIASS service is specifically for children and young people aged 0-25 with SEND and their families. This is set out in the Children and Families Act. The service should be available to all children and young people with SEND and families, regardless of any other protected characteristic.

Cabinet approval is being sought for the recommendation that an alternative, external, experienced provider with a strong track record of providing SENDIASS is sought through a compliant tender exercise.

This would ensure a SENDIASS service is provided to stakeholders that complies with the national minimum

	standards. The service to all stakeholders would be improved. Protected characteristics of the workforce would not be identified in the published Equality Assessment due to the small size of the permanent workforce and the potential for staff to be identified. Any protected characteristics will be considered as part of the tender exercise.
Protected characteristics: Religion or Beliefs Religion or beliefs details:	Service Users / Stakeholders We don't collect this data for children, young people and families. The SENDIASS service is specifically for children and young people aged 0-25 with SEND and their families. This is set out in the Children and Families Act. The service should be available to all children and young people with SEND and families, regardless of any other protected characteristic. Cabinet approval is being sought for the recommendation that an alternative, external, experienced provider with a strong track record of providing SENDIASS is sought through a compliant tender exercise. This would ensure a SENDIASS service is provided to stakeholders that complies with the national minimum standards. The service to all stakeholders would be improved. Protected characteristics of the workforce would not be identified in the published Equality Assessment due to the small size of the permanent workforce and the potential for staff to be identified. Any protected characteristics will be considered as part of the tender exercise.
Protected characteristics: Sexual Orientation	Service Users / Stakeholders; Employees

Employees

Sexual orientation details:	We don't collect this data for children, young people and families. The SENDIASS service is specifically for children and young people aged 0-25 with SEND and their families. This is set out in the Children and Families Act. The service should be available to all children and young people with SEND and families, regardless of any other protected characteristic. Cabinet approval is being sought for the recommendation that an alternative, external, experienced provider with a strong track record of providing SENDIASS is sought through a compliant tender exercise. This would ensure a SENDIASS service is provided to stakeholders that complies with the national minimum standards. The service to all stakeholders would be improved. Protected characteristics of the workforce would not be identified in the published Equality Assessment due to the small size of the permanent workforce and the potential for staff to be identified. Any protected characteristics will be considered as part of the tender exercise.
Socio-economic impacts	The proposal being recommended to Cabinet, to ensure SENDIASS complies with national minimum standards, will help to balance the socio-economic burden on families of children and young people with SEND. By providing the right advice at the right time, it is intended to reduce or minimise as far as possible the impact that disability may have on a family.
Please indicate any actions arising from completing this screening exercise.	Local data on children, young people and families with SEND is collected by the local authority. These families would be eligible to receive support

	from SENDIASS. Data from the current service demonstrates that it would be beneficial to achieve a wider reach. A new provider of the service would be required to provide demographic data of clients.
Please indicate whether a full impact assessment is recommended	NO
What data has been collected to facilitate the assessment of this policy/proposal?	
Consultation analysis	
Adverse impact on any people with protected characteristics.	No adverse impact. The option being recommended to Cabinet seeks to ensure SENDIASS complies with the national minimum standards so the service provided to all stakeholders improves. The service will continue to be there to provide a positive impact to children and young people with SEND and their families.
Could the policy/proposal be modified to reduce or eliminate any adverse impact?	
How will the effect(s) of this policy/proposal on equality be monitored?	
What data is required in the future?	
Are there any adverse impacts on any particular group(s)	No
If yes, please explain your reasons for going ahead.	
Initial equality impact assessment of your proposal	No adverse impact. The option being recommended to Cabinet seeks to ensure SENDIASS complies with the national minimum standards so the service provided to all stakeholders improves. The service will continue to be there to provide a positive impact to children and young people with SEND and their families.
Consulted People or Groups	
Informed People or Groups	
Summary and evidence of findings from your EIA	No adverse impact. The option being recommended to Cabinet seeks to ensure SENDIASS complies with the national

minimum standards so the service provided to all stakeholders improves. The service will continue to be there to provide a positive impact to children and young people with SEND and their families.

QUALITY CONTORL SECTION	
Submit to the Quality Control Officer for reviewing?	No
Quality Control Officer comments	
Decision by Quality Control Officer	Proceed for final approval
Submit draft to Accountable Officer?	Yes
Decision by Accountable Officer	
Date approved / rejected by the Accountable Officer	
Reasons for approval or rejection	
Please print and save a PDF copy for your records	Yes

Content Type: Item
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