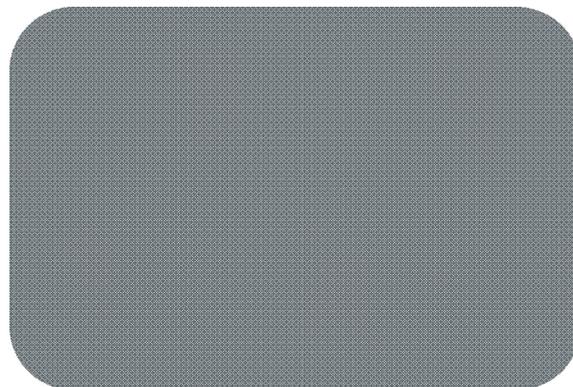


# Free Schools in 2013

## Application form

### Mainstream and 16-19 Free Schools

**The University of Birmingham School and Sixth  
Form Application**



## Completing your application

Before completing your application, please ensure that you have read the 'How to Apply' guidance carefully (which can be found [here](#)) and can provide all the information and documentation we have asked for – failure to do so may mean that we are unable to consider your application.

The Free School application is made up of nine sections as follows:

- **Section A:** Applicant details and declaration
- **Section B:** Outline of the school
- **Section C:** Education vision
- **Section D:** Education plan
- **Section E:** Evidence of demand and marketing
- **Section F:** Capacity and capability
- **Section G:** Initial costs and financial viability
- **Section H:** Premises
- **Section I:** Due diligence and other checks

In **Sections A-H** we are asking you to tell us about you and the school you want to establish and this template has been designed for this purpose. The boxes provided in each section will expand as you type.

**Section G** requires you to provide two financial plans. To achieve this you must fill out and submit the templates provided [here](#).

**Section I** is about your suitability to run a Free School. There is a separate downloadable form for this information. This is available [here](#)

**You need to submit all the information requested in order for your application to be assessed.**

**Sections A-H** and the **financial plans** need to be submitted to the Department for Education by the application deadline. You need to submit one copy (of each) by email to: [REDACTED].

If there is any additional information that you wish to submit as part of your application please add it to the annexes section at the end of this template.

Please bear in mind that your email must be smaller than 20MB. Please do not include photographs, images and logos in your application.

You also need to submit two hard copies (of **sections A-H** and the **financial plans**) by 'Recorded Signed For' post to:

[REDACTED]  
Department for Education  
[REDACTED]  
[REDACTED]  
[REDACTED]  
London [REDACTED]

**It is essential that the hard copies are identical to the version you email.**

**Section I** must be submitted in hard copy and sent by 'Recorded Signed For' post to:

[REDACTED]  
Department for Education  
[REDACTED]  
[REDACTED]  
[REDACTED] London  
[REDACTED]

### **Data Protection**

Personal data is collected on this form in order to consider an application to set up a Free School and will not be used for other purposes. For the purposes of the Data Protection Act, the Department for Education is the data controller for this personal information and for ensuring that it is processed in accordance with the terms of the Act. The Department will hold all personal information you supply securely and will only make it available to those who need to see it as part of the Free School application process. All personal information supplied in these forms will only be retained for as long as it is needed for this process.

## Application checklist

Checklist: Sections A-H of your application		
	Yes	No
1. You have established a company limited by guarantee	<input checked="" type="checkbox"/>	<input type="checkbox"/>
2. You have provided information to cover all of the following areas:		
<b>Section A:</b> Applicant details – including signed declaration	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<b>Section B:</b> Outline of the school	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<b>Section C:</b> Education vision	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<b>Section D:</b> Education plan	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<b>Section E:</b> Evidence of demand and marketing	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<b>Section F:</b> Capacity and capability	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<b>Section G:</b> Initial costs and financial viability	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<b>Section H:</b> Premises	<input checked="" type="checkbox"/>	<input type="checkbox"/>
3. This information is provided in A4 format using Arial font, minimum 12 font size	<input checked="" type="checkbox"/>	<input type="checkbox"/>
4. You have completed two financial plans using the financial template spreadsheet	<input checked="" type="checkbox"/>	<input type="checkbox"/>
5. <b>Independent schools only:</b> you have provided a link to the most recent inspection report	<input type="checkbox"/>	<input type="checkbox"/>
6. <b>Independent schools only:</b> you have provided a copy of the last two years' audited financial statements or equivalent	<input type="checkbox"/>	<input type="checkbox"/>
7. All relevant information relating to Sections A-H of your application has been emailed to [REDACTED] between 13 and 24 February 2012	<input checked="" type="checkbox"/>	<input type="checkbox"/>
8. Two hard copies of the application have been sent by 'Recorded Signed For' post to: [REDACTED], Department for Education, [REDACTED], [REDACTED], [REDACTED], London [REDACTED], between 13 and 24 February 2012	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Checklist: Section I of your application		
9. A copy of <b>Section A</b> of the form and as many copies of the Due Diligence form as there are members and directors have been sent by 'Recorded Signed For' post to: [REDACTED], Department for Education, [REDACTED], [REDACTED], [REDACTED], London [REDACTED], between 13 and 24 February 2012	<input checked="" type="checkbox"/>	<input type="checkbox"/>

## Section A: Applicant details

Main contact for this application	
1.	Name: [REDACTED]
2.	Address: [REDACTED] Edgbaston Birmingham [REDACTED]
3.	Email address: [REDACTED]
4.	Telephone number: [REDACTED]
About your group	
5.	<p>Please state how you would describe your group:</p> <p> <input type="checkbox"/> Parent/community group  <input type="checkbox"/> Teacher-led group  <input type="checkbox"/> Academy sponsor  <input type="checkbox"/> Independent school  <input type="checkbox"/> State maintained school  <input checked="" type="checkbox"/> Other                 </p>
6.	<p>If Other, please provide more details:</p> <p>The University of Birmingham</p>
7.	<p>Has your group submitted more than one Free School application in this round?</p> <p> <input type="checkbox"/> Yes  <input checked="" type="checkbox"/> No                 </p>
8.	<p>If Yes, please provide more details:</p>
9.	<p>In addition to any support/advice from the New Schools Network, did you put together this application with support from another company or organisation?</p> <p> <input checked="" type="checkbox"/> Yes  <input type="checkbox"/> No                 </p>

10.	<p>If Yes, please list the name(s) of the organisation(s) and describe clearly the role they played in developing your application. Please also describe the role (if any) you envisage for them in setting up and/or running the Free School if your application is successful:</p> <p>Accountancy firm [REDACTED] provided us with support in developing the financial plans and also in understanding demographics and demand for school places in the West Midlands. We would like to continue working with them on the financial aspects of the School and also on project managing the start-up if our application is successful but we understand that this would be subject to a full public procurement.</p>	
<b>Details of company limited by guarantee</b>		
11.	Company name: The University of Birmingham School and Sixth Form	
12.	<p>Company address:</p> <p>[REDACTED] Edgbaston Birmingham [REDACTED]</p>	
13.	Company registration number: 7960887	
14.	Does the company run any existing schools, including any Free Schools?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
15.	If Yes, please provide details:	
<b>Company members</b>		
<p>The members of the company are its legal owners. We require that there are a minimum of three members. The founding members are those that establish the company and sign the memorandum of association that is submitted (with the company's articles of association) when registering the company with Companies House. Further members may subsequently be appointed.</p>		

16.	Please confirm the total number of company members: 3
17.	Please provide the name of each member below (add more rows if necessary):
	1. Name: ██████████
	2. Name: ██████████
	3. Name: ██████████
	4. Name:

### Company directors

The company directors are appointed by the members and will eventually form the governing body that will oversee the management of the school. At the point of setting up the company, members are required to appoint at least one director – this may be one of the members. All directors at the point of application must complete a Section I personal information form. All individuals on the governing body must be formally appointed as directors of the company and registered with Companies House.

18.	Where directors have already been appointed please provide the name of each and the positions they will hold (add more rows if necessary):
	1. Name: The University of Birmingham
	2. Name: [REDACTED]
	3. Name: [REDACTED]
19.	Please provide the name of the proposed chair of the governing body, if known:

### Related organisations

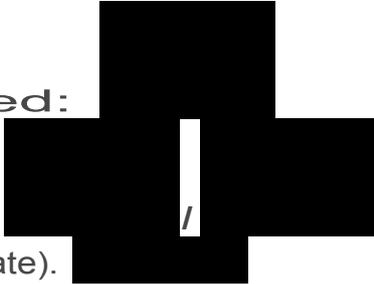
20.	Through its members, directors or otherwise, does the company limited by guarantee have any formal or informal links (eg. financial, philosophical or ideological) with any other organisations within the UK or overseas? These may include: other Free School groups; other institutions; charitable bodies; and/or commercial or non-commercial organisations.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
21.	If Yes, please provide the following information about each organisation: <ul style="list-style-type: none"><li>• their name;</li><li>• their Companies House and/or Charity Commission number, if appropriate; and</li><li>• the role that it is envisaged they will play in relation to the Free School.</li></ul>	

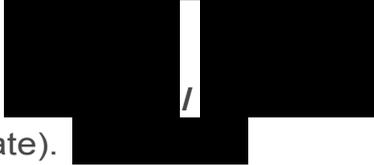
22.	<p>Please specify any religious organisations or institutions connected to your application (local, national and international). In particular, please describe in specific terms the religious affiliations of your group, including where appropriate any denomination or particular school of thought that influences your group (eg Pentecostalism, Deobandism, Reform Judaism, etc).</p> <p>NA</p>
<b>Existing providers</b>	
23.	<p>Is your organisation an existing independent school wishing to become a Free School?</p> <p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>
24.	<p>Is your organisation an existing independent school wishing to establish a new and separate Free School?</p> <p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>
25.	<p>Is your organisation an existing state maintained school or Academy wishing to establish a new and separate Free School?</p> <p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>
26.	<p>If Yes to any of the above three questions, please provide your six digit unique reference number here:</p>
27.	<p>If you are an existing independent or state maintained school or an Academy, please state the age range and current number of pupils on roll and your capacity:</p>
28.	<p>If you are an existing independent or state maintained school or an Academy, please provide the date of your most recent inspection and a link to the report on the Ofsted or other inspectorate website:</p>
29.	<p>If you are an existing independent or state maintained school or an Academy, please provide a link to your performance data for the last 3 years:</p>
30.	<p>If you are another type of organisation involved in education, eg an Academy sponsor, please describe that organisation. Please ensure you include your company registration number:</p>

Please tick to confirm that you have included all the items in the checklist.

### Declaration to be signed by a company member on behalf of the company

I confirm that the information provided in this application is correct to the best of my knowledge. I further confirm that if the application is successful the company will operate a Free School in accordance with the requirements outlined in the 'How to Apply' guidance and the funding agreement with the Secretary of State. I acknowledge that this application may be rejected should any information be deliberately withheld or misrepresented that is later found to be material in considering the application.

Signed: 

Position:  (please delete as appropriate).

Print name: 

Date:

22/2/2012

NB This declaration only needs to be signed in the two hard copy versions of your application. Please use black ink.

## Section B: Outline of the school

1.	Proposed school name:	The University of Birmingham School and Sixth Form
2.	Proposed academic year of opening:	2014/15
3.	Specify the proposed age range of the school:	<input type="checkbox"/> 4-11 <input type="checkbox"/> 4-16 <input type="checkbox"/> 4-19 <input checked="" type="checkbox"/> 11-16 <input type="checkbox"/> 11-19 <input type="checkbox"/> 14-19 <input checked="" type="checkbox"/> 16-19 <input type="checkbox"/> Other  If Other, please specify:
4.	Date proposed school will reach expected capacity in all year groups:	2018/19
5.	Will your proposed school be:	<input type="checkbox"/> Boys only <input type="checkbox"/> Girls only <input checked="" type="checkbox"/> Mixed
6.	Do you intend that your proposed school will be designated as having a religious character?  <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No  <b>NB Please refer to the glossary of terms in the 'How to Apply' guidance for more information about religious character/designation.</b>	
7.	If Yes, please specify the faith, denomination, etc of the proposed school:	

8.	<p>Do you intend your proposed school to have a faith ethos (but will not be designated as having a religious character)?</p> <p><input type="checkbox"/> Yes  <input checked="" type="checkbox"/> No</p>
9.	<p>If Yes, please specify the faith, denomination, etc of the proposed school:</p>
10.	<p>Postcode of the preferred site of the proposed school:</p> <p>██████████</p>
11.	<p>Local authority area in which the proposed school would be situated:</p> <p>Birmingham</p>
12.	<p>If the preferred site is near to a local authority boundary please specify the names of the neighbouring local authorities:</p>
13.	<p>This application form is designed to be used for mainstream applications and 16-19 applications (as defined at Annex A of the 'How to Apply' guidance). If the school you are proposing does not really fit the definition of a mainstream or 16-19 school but does not fit the definitions of special or alternative provision schools either, you need to use the template that is the closest fit and explain how your school would differ. If this applies to your application please briefly outline the main differences below. You will also need to address these differences in more detail in the relevant sections of the application.</p>

## Section C: Education vision

### Summary

The University of Birmingham School and Sixth Form (“University School”) will be a comprehensive, co-educational 11-16 School for children from across Birmingham and its surrounding communities, and an academically-selective Sixth Form. It will open in September 2014 with intakes into Years 7 and 12.

The University of Birmingham School and Sixth Form will be ground-breaking in many respects:

- A state-maintained comprehensive school enriched by a close relationship with one of the world’s top 100 universities with excellent STEMM (Science, Technology, Engineering, Mathematics, Medicine) provision and significant strengths in fields as diverse as music, sports, and languages;
- An ambitious school, meeting a need for more secondary places in Birmingham, accessible without examination and without reference to religious creed, seeking to bring together children from all over Birmingham and beyond into a single learning community and to create an environment that raises aspirations and in which all have the opportunity to excel;
- The UK’s first University Training School (UTS) outside of London, located in the UK’s second and most ethnically diverse city, which will embed teacher training and trainee teachers into every aspect of its activity and develop the next generation of outstanding teachers for the region and the nation;
- A centre for pedagogical innovation and world-class research in teaching and school improvement, working in partnership with other schools and networks to support high-quality education across Birmingham, nationally, and internationally.

The vision of the University of Birmingham School and Sixth Form will be to transform lives by raising its students’ aspirations and maximising their potential by accessing the widest possible range of educational opportunities.

It will do this by offering students an excellent academic curriculum and by supporting their development as well-rounded people of strong character, all benefiting from an excellent location, a diverse and comprehensive student body, and access to world-class facilities through the University.

Academic benefits:

- An academically-oriented, comprehensive, STEM-excellent curriculum that provides a foundation for success in higher education and the world of work, as well as opening other opportunities, backed by a highly successful Russell Group university with a strong civic mission;

- Experienced, highly motivated and qualified teachers dedicated to excellence and innovation in classroom teaching, informed by the School of Education's research and experience in school improvement and educational effectiveness;
- Access to world-class academic expertise through engagement with University of Birmingham academics, ranging from classroom teaching through laboratory visits to participation in research;
- Classroom experiences enriched by the presence of trainee teachers, who will bring energy and enthusiasm and who will push classroom teachers continually to reflect on and improve their teaching practices;
- An enhanced teacher-student ratio, made possible by the presence of teacher-trainers, trainee teachers and the involvement of University student mentors;
- Additional one-to-one and small group opportunities facilitated by an enhanced teacher-student ratio;
- International education enhanced by the University's international partnerships and the International Baccalaureate in the Sixth Form (from 2016).

#### Developmental benefits:

- Character education integrated into all aspects of school life to support students to become not just carriers of knowledge but people fully equipped to cope with the challenges of life;
- Caring and supportive pastoral care facilitated by the form tutor, who will support each form throughout their time in the 11-16 School;
- Support for those with Special Educational Needs informed by the University of Birmingham's noted international expertise in this area;
- Excellent careers support and advice tailored to each student throughout their secondary school career, benefiting from the University's links with employers and experience in supporting employability;
- Extracurricular activities as an integral and required part of the school's offering, challenging students in a different but equally important way as in the classroom;
- Support and mentoring from University of Birmingham students, in academic and extracurricular activities.

#### Facilities and environment:

- Access to world-class facilities at the University of Birmingham, including sports, library, and music facilities;
- An identified school site in a pleasant, green setting, benefitting from good transport routes and playing fields, owned by and close to the University, and available for development;

- A truly mixed and comprehensive student body drawn from across Birmingham and its surrounding communities.

The University School will be sponsored by the University of Birmingham and managed by an Academy Trust. The Trust and School will benefit from the expertise and services of the University. The University of Birmingham will be a corporate member of the Trust, which will have its own governance separate from that of the University.

The University School will be located near to the University of Birmingham, and a proposed site with many benefits has been identified in Selly Oak. This site is controlled by the University of Birmingham and is available for development, including building stock which may be suitable for conversion.

## **What are the vision and key features of the University of Birmingham School and Sixth Form?**

The **Vision** of the University School is to create a learning community that will raise the aspirations of a very diverse student population and maximise students' personal, character, and academic achievement so that they can fulfil their potential and access the widest possible range of opportunities.

The University School will be comprehensive and co-educational and will include a 11-16 School and a Sixth Form open to those meeting the academic selection criteria. It will open in September 2014.

The University School will be characterised by an

- An overarching framework of Character Education which will build students' confidence, resilience and personal qualities so that they are able to become self-organised and motivated learners able to make the most of their curriculum opportunities; and
- An academic discipline/subject-based curriculum which will use a carefully formulated blend of content and process to help students attain the highest possible outcomes.

This approach is shaped by our belief that maximising a student's potential is not just about giving them knowledge, but about shaping the whole person, including their personal capabilities and character through extracurricular activities, a thoughtful and engaged system of pastoral care, and a community including older students, teachers, trainee teachers, and mentors and coaches drawn from the University's own students and staff.

The School will have a diverse and geographically dispersed student body, reaching across both deprived and more affluent regions of Birmingham. Considerable attention has been given to how to recruit students who will benefit from this environment, how to support students through transitions (especially the transition from primary school), how to bring these students together into a single learning community, and how to ensure each student reaches their maximum potential and goes on to succeed in their chosen pathway through life.

The School will also be a University Training School, which means it will have a higher than normal teacher to student ratio, including the presence of trainee teachers in the classroom who can increase further the resources to support students and who bring enthusiasm, innovation, and a stimulus for continual improvement.

These aspects of our application are developed in more detail in Section D.

## **Who are we and why are we seeking to establish this school?**

This proposal is being sponsored and led by the University of Birmingham. The University School will be an opportunity for the University to make the richness of its research and educational expertise available to schoolchildren and sixth form students in Birmingham in a new way. The curriculum will be guided by research on pedagogy, character development, and school improvement, on the one hand, and informed by the latest subject-based advances, on the other.

The University has been training teachers since 1912. It currently graduates 120 primary and 219 secondary teachers each year, about half of whom stay in the West Midlands. As a University Training School, the University School will pioneer a new approach to training excellent teachers. It will have all the benefits of school-based teacher training whilst also drawing from the depth of research, expertise, and best practice developed at the University of Birmingham's School of Education, which has been recognised as one of only three A+ graded teacher-training providers in the UK. It is a leading trainer of teacher in strategically important and vulnerable subjects, including physics, chemistry, mathematics, and modern foreign languages.

The University's School of Education also provides a full range of continuing professional education programmes for teachers, often through partnerships with schools and other organisations. These include Special Educational Needs (SEN) specialisms in visual and hearing impairment, autism, dyslexia, inclusion, and severe and multiple learning difficulties. Other strengths lie in the areas of Early Professional Development, Bilingualism, English for Speakers of Other Languages, School Improvement, and Educational Leadership, with a growing number of programmes implemented in partnership with schools.

The University itself was founded over a century ago with a civic mission to transform the educational landscape in the West Midlands by providing local young people with the education they needed to succeed. The University School will be another way for the University to achieve this mission, making a tangible and sustainable contribution to the community through its continued active engagement with secondary education across the city and broader region.

In the century since its founding, the University has been a significant player in the West Midlands, nationally, and internationally, and its research and education have a major impact.

- The University now has 28,000 students, 6,000 staff, and over 155,000 alumni in 150 countries around the world. Its five academic colleges cover disciplines from engineering to education to modern languages.
- The University works closely with the Queen Elizabeth Hospital, Europe's largest general hospital. It is a centre for translational medicine, taking cutting-

edge scientific research from the lab bench to the bedside, developing new treatments for bladder cancer, non-invasive diagnostic tests for newborn heart conditions, and new means to fight antibiotic-resistant strains of tuberculosis.

- The University is the hub of the National STEM (Science, Technology, Engineering, Mathematics) Centre and is also the West Midland coordinating point for STEMNET. The National STEM Centre supports STEM education at university level, whilst STEMNET works with schools and colleges to increase young people's engagement with STEM.
- The University of Birmingham offered the first degree in business (the Bachelor of Commerce) in the UK, and the Birmingham MBA is one of the ten best in the UK, according to *The Economist*, and among the top 70 in the world.
- A partnership between the University and Birmingham's cultural organisations underpins the work of the Heritage and Cultural Learning Hub, which is pioneering new museum technologies to transform the public's access to our cultural assets, many of which are currently hidden in archives or stores.
- The University's commitment to widening participation in higher education is deep-rooted. It sits in the top quartile of English Russell Group universities for widening participation performance, with approximately 80% of its intake coming from state schools and 21% from lower socioeconomic groups. Over the past five years, almost 900 students have been admitted via the Access to Birmingham (A2B) programme, which reaches out to schools and students from the West Midlands who come from disadvantaged backgrounds. The University also engages in extensive Outreach activity in collaboration with primary and secondary schools in the region, much of it targeted on raising aspirations rather than recruiting students to Birmingham. The University's commitment to this work will continue.

The University School will take the partnership between higher education and secondary education to a new level, in the process enhancing aspiration, raising achievement, and creating opportunities for its students.

### **Why is there a need for this school?**

By creating new secondary places just at the time when under-capacity becomes a real issue in Birmingham, the University School will contribute to the solution to this demographic challenge in Birmingham's secondary sector.

Birmingham is a growing city, with an estimated 5% population increase between 2001 and 2010, and this upward trend is expected to continue. Birmingham is also a comparatively young city, and it has seen an increase in birth rate of 19.5% between the years 2000 and 2010, rising from a low of 14,426 to 17,240. Projections are that this higher birth rate will be maintained or even grow.

These population trends are putting increasing pressure on school places, especially since Birmingham had removed surplus school places following the previous peak in 1991 (at approximately 16,000 live births). Shortages at primary level are already emerging, and the city is expected to be under-capacity for secondary places as a whole by September 2014. The need for new school places now is more pressing than at any time since the 1950s and 1960s.

Year	Sep11	Sep12	Sep13	Sep14	Sep15	Sep16	Sep17	Sep18	Sep19
Projection	12094	12103	12603	12899	12988	13409	13767	14325	14642
Capacity	12792	12812	12812	12812	12812	12812	12812	12812	12812
Spare	698	709	209	-87	-176	-597	-955	-1513	-1830

*School Place Planning Memo, 5 July 2011, Birmingham City Council*

The University has identified and is able to make available a site in Selly Oak that has many advantages, not least its proximity to the University, facilitating synergies with the University (the benefits of these are explored in Section D). The south/south-west part of Birmingham, where this site is located, is currently an area of over-capacity in the city, but Birmingham City Council projects that this will change within a few years and predicts under-capacity in the south and south-west within a by 2017/8.

The University School will draw in part from south and south-west Birmingham, but it will have a much broader admissions strategy, seeking to draw from across the diversity of Birmingham and its region. Areas of immediate under-capacity will be considered in how the School draws up the detail of its admissions policy, which is spelled out in greater detail in Section D.

### **Why are we proposing this type of school?**

The University School's unapologetic focus on aspiration, academic achievement, and ultimately success in higher education is derived from its link to the University of Birmingham. Aspiration and frequently progression to higher education is a key and proven route to social mobility, and this School will seek to help less advantaged students raise their aspirations and achievement to promote social mobility.

Birmingham is a tremendously diverse city; more information about this is available towards the end of Section D. If trends continue it is set to become Britain's first city with a majority non-white population by 2024. It is also a city that suffers higher than average levels of deprivation, with 34% of children living in poverty overall compared to 20.9% nationally. Neighbouring Sandwell (31%) and Dudley (22%) are also above the national average for child poverty.

This creates challenges for schools. Different ethnic and religions groups have different attitudes to education and aspiration. Children growing up in poverty face

documented challenges accessing education, from lack of resources for transportation to unstable home lives to poor nutrition. Birmingham schools have achieved in the face of this, with GCSE success (measured by 5 GCSEs at A\*-C including English and Maths) matching the national average despite the more significantly challenging demography of the city and high added value (average 1015).

Nevertheless, there are pockets of low aspiration and low achievement, which the University School will explicitly seek to target and influence. Through its links to the University of Birmingham, its status as a University Training School, and the excellence of its teachers and facility, the University School will be able approach to the task of raising aspirations and achievement in an exciting and ground-breaking way.

The work done to date on demand underscores the attractiveness of this offer. In less than two months, we have been able to solicit two expressions of interest for each place in the proposed 2014 Year 7 cohort.

### **What is the need for a Sixth Form?**

The Sixth Form is the crucial link between the 11-16 School and higher education.

The University School needs to open with a Sixth Form from its beginning because the Sixth Form will play a number of key roles. These include involving University departments as soon as possible and thereby facilitating traction between the University and the School from the beginning, attracting the best teachers, and supporting the development of School-Centred Initial Teacher Training (SCITT) based at the University School with a school-led and work-based approach.

The demographic “wave” coming through Birmingham schools will not impact at sixth form level as quickly as it will at secondary, although by 2020 there will be significantly increased demand for sixth form places across the city.

We will be entering a very competitive sixth form market in Birmingham, where sixth form education is currently in the midst of significant evolution. A number of 11-16 schools have recently launched their own sixth form provision, either individually or in consortium with other schools, often around particular specialist statuses. Other sixth form providers are seeking to increase their intakes. We are also aspiring to run quite a large sixth form relative to others in the city, and we know that it will take time to develop a market for it, especially before we are “growing our own” through to sixth form.

Taking all these factors into account, we have posited an intake of 140 in 2014/15 in the financial plans. If further expressions of interest show greater demand, then we will seek to offer places up to our original planned intake of 200.

## How will the University School measure its achievement?

The goals of the University School will be shaped by a commitment to high aspirations and high achievement. As a University School, it will unapologetically encourage and promote aspiration into higher education, as higher education is proven to be one of the most effective tools of socioeconomic mobility.

However, we recognise that higher education, including selective higher education, might not be suited for every student, including every student at the University School. The approach will therefore be based on a plan for each student.

At a School level, the University School will focus on a limited number of quantitative measures of success. These have been derived from the School's stated goals.

Some are externally benchmarked against other Birmingham schools, whereas some are internally derived.

Goal	Measure	Key Performance Indicator
<b>11-16 School</b>		
Enable each student to achieve their maximum potential	Added-value	In the top quartile of schools in Birmingham for added-value ( $\geq 1032$ , 2011 data)
	Three levels progress – pupils to make 3 levels of progress from Key Stage 2 to 4.	Data on student progress and published in the Attainment and Achievement Tables to reflect this goal – aiming for top quartile but recognising that this is a new measure of achievement so meaningful benchmarks may take time to emerge.
Ensure each student gains the qualifications they need to succeed	Achievement of 5 GCSEs A*-C including English and Maths	In the top quartile of schools in Birmingham for GCSE achievement ( $\geq 70\%$ , 2011 data) – note that this is in the top 10% when grammar schools are removed from the

		consideration
	Achievement of EBacc	In the top quartile of schools in Birmingham for EBacc achievement (as this is a new measurement the KPI cannot yet meaningfully be defined)
Character education		Research is underway to define measures for character education
Extracurricular education	Engagement in extracurricular activities	Sustained participation in extracurricular activities
Transition to Sixth Form	Progression into Sixth Form	Two-thirds of 11-16 students transferring to University School Sixth Form
	Transfers into Sixth Form in the context of 11-16 School demography	Transfer to University School Sixth Form retaining demographic and geographic mix of 11-16 School  It might be possible to use Free School Meals as a proxy, benchmarked against other schools.
		Transfer of students who did not complete 11-16 at the University School into their first choice pathways
<b>Sixth Form</b>		
Support progression to higher education	HE Entrants per year	Percentage gaining entrance to higher education – work underway to identify an appropriate benchmark
		Percentage gaining entrance to Russell Group

		universities – work underway to identify an appropriate benchmark
Ensure each student gains the qualifications they need to succeed	Gaining three A-levels or equivalent	In the top quartile of schools in Birmingham for Key Stage 5 achievement ( $\geq 92\%$ , 2011 data) – note that this is in the top 10% when grammar schools are removed from the consideration

These are challenging goals given the diverse intake we seek (DCSF 2009), but we believe that the University School will be able to achieve them due to its excellent and innovative teaching, the enrichment activities available via the University, and the enhanced personal attention individual students can receive due to the trainee teachers' presence in the school.

### **How will the University School's curriculum support these goals?**

The **Curriculum** of the University School is the key mechanism through which to achieve the vision of the school.

The academic curriculum will be designed to provide students with an induction to the key disciplines through which we human beings have learned to investigate and make sense of our world and our lives. The University School will offer a comprehensive curriculum, including sciences, mathematics, humanities, social sciences, and foreign languages. These disciplines, or forms of knowledge, provide the basis for (National Curriculum and other) school subjects but, all too often, these school subjects become diluted and reliant on passive learning of content and technique reducing pupil engagement and learning to a minimum.

In the University School curriculum, there will be a combination of *subject content* (learning subject knowledge and understanding about the world) with *subject process* (learning how the subject investigates the world and thus develops subject knowledge and understanding and learning to practise this) using *specific learning and teaching strategies* so that students can gain high grades while also becoming learner mathematicians and physicists, etc., with excellent subject knowledge and an understanding of how the subject operates.

Students will inevitably enter the University School in Year 7 at very different levels of preparedness. Our curriculum at Key Stage 3 will aim to give each student the support they need to achieve to their maximum potential, within the framework of

ensuring all students receive the academic foundation that has been proven to support success in many careers.

At Key Stage 4 we will offer a curriculum that will facilitate maximum flexibility and credibility at university entrance and will also provide a firm foundation for other routes in life. Even if students eventually decide that university is not for them, we believe that having a firm foundation based on core disciplinary subjects and what are sometimes termed “facilitating subjects” (see the Russell Group publication *Informed Choices*) will open doors to a wide variety of pathways. At this stage of learning, it is important that students keep their options as wide as possible.

At Key Stage 4 the English Baccalaureate (EBacc) is a starting place that we fully endorse, but we aspire to exceed EBacc requirements. We will ensure STEM excellence across our curriculum and maintain an emphasis on foreign languages, in addition to the important focus on English and mathematics. In practice, this means that the majority of students will take three science subjects and a foreign language at GCSE, unless there are valid academic reasons otherwise, alongside the other EBacc subjects. This focus on strategically important and vulnerable subjects (such as foreign languages) and STEM subjects is also informed by our own character as a comprehensive University with strong commitment to these subjects. We anticipate that a significant number of the UTS’s trainee teachers will be in these subjects.

At Sixth Form, the emphasis will be on academic achievement at a high level, targeted towards university entry. We will offer a broad but focused range of A levels, emphasising the core disciplines preferred by Russell Group universities. This is the reason that there will be academic entry criteria to the Sixth Form, as we do not want to put any pupil into an environment where they cannot succeed according to the focus of the teaching and learning approach. We aspire to offer International Baccalaureate as an option for Sixth Formers, and we will begin the process of applying for accreditation in IB after the School has been opened.

Very significantly, Character Education will “wrap around” every aspect of the University School’s work with students, providing a unique means of supporting them as they grow personally as well as academically. Character Education is a well-researched and developed approach to enabling students to develop the characteristics and qualities they need to succeed in all walks of adult life. These include a sense of identity and purpose, including self-knowledge and self-reflection. They also include the characteristics of responsibility, honesty, self-reliance, reliability, generosity, self-discipline. We believe that academic excellence is complemented by character development, both in secondary school and at university. The University of Birmingham is a leading centre of research into Character Education, and we have brought this research to bear in shaping our approach to the University School’s curriculum.

Extracurricular opportunities will be an integral part of achieving the School's mission, complementing the curricular offering and forming an important component of character education. The School will have an extended school day, running from 8.30 to 4.30, to allow students to engage in extracurricular activities on some days and to participate in supervised study time on other days.

**Transitions and transfers** between educational stages are key points in any student's careers. We will focus particular attention on the transition from primary to secondary, the transition from Key Stage 4 to Sixth Form, and the transition from Sixth Form to higher education.

### **What does it mean that this is a University Training School?**

The University of Birmingham School and Sixth Form will also be a University Training School. This model of Initial Teacher Training (ITT) comes from Finland and has been introduced to the UK in the 2010 White Paper "The Importance of Teaching". UTSs are characterised by intensive "clinical-style" teacher training in the classroom, educational research and monitored innovation in teaching, and close ties with a university. In sponsoring this UTS, the University of Birmingham will draw lessons from its established clinical teaching arrangements in medicine with University Hospitals Birmingham. The University School will be a school-centred ITT provider (SCITT), distinctively work-based and innovative but seeded by and having clear synergies with the ITT programmes at the University of Birmingham.

The University Training School will support, complement, enrich, and inform the teacher education and research activities of the School of Education. Theory and practice will be viewed as being inseparable. Praxis, this integration of theory and practice, is seen as fundamental to promoting teacher autonomy, professionalism, and high quality outcomes for students.

Trainee teachers will be recruited through a rigorous selection process, as occurs now for the University of Birmingham's ITT programmes and on successful completion, they will fulfil and exceed the criteria for Qualified Teacher Status as outstanding trainee teachers. They will also be taught to engage critically with educational theory and practice, to become leaders of learning. They will leave the course creative, reflective and resilient practitioners ready to inspire the children and young people in their classes and to lead pedagogical improvement.

The majority of teaching staff at the School will be educated to at least Masters level and will all be trained on the University's ITT mentoring programme. In conjunction with academics from across the University they will make connections between research activity, teacher preparation and children's learning. Working closely together, a four-way partnership of trainee teacher, mentor, teacher educator, and academic will keep in clear focus the priority of providing opportunities for children and young people to achieve the best possible educational and personal development outcomes.

The School will have a particular relationship with the research expertise of staff within the School of Education who will work and conduct research within the school and support school staff in their own classroom-based and learning focused research activities.

### **What is the rationale for opening the school in 2014 and not 2013?**

There are several factors motivating a 2014 starting date.

- Demand for a new secondary school emerges quite quickly, with over-capacity shifting to under-capacity within a few years. The 2014 opening is perfectly timed to coincide with the "leading edge" of the demographic wave in Birmingham hitting Birmingham's secondary schools. An earlier opening would exacerbate over-capacity issues, whereas a 2014 opening positions the University School to become part of the solution.
- Both the University School model and the UTS model are new in the UK. It is important to launch the two together so that the School can function as a UTS and therefore build this function into its ethos and purpose from its inception. Co-ordinating these activities, recruiting the right staff, recruiting the students and trainee teachers, and engaging appropriately with the University will take time. It is more important to do this right than to do it quickly.
- To attract the mix of students proposed and needed for the School to achieve its mission will require an investment in relationship-building with primary schools and parents. A 2013 opening would not permit this to occur in advance of the crucial first year.
- The proposed site is currently being used for other purposes, and relocating these activities and also engaging in planning and construction will require a 2014 start date.

## Section D: Education plan – part 1

	Current number of pupils (if applicable)	2013	2014	2015	2016	2017	2018	2019
Reception								
Year 1								
Year 2								
Year 3								
Year 4								
Year 5								
Year 6								
Year 7			150	150	150	150	150	150
Year 8				150	150	150	150	150
Year 9					150	150	150	150
Year 10						150	150	150
Year 11							150	150
Year 12			140	200	200	200	200	200
Year 13				140	200	200	200	200
<b>Totals</b>			290	640	850	1000	1150	1150

## Section D: Education plan – part 2

### What makes an effective and improving school?

There is an extensive and contested body of research on what makes an effective and improving school, but four important dimensions are identifiable.

1. Schools can and should influence students' aspirations and understanding of their role in society. For instance, the work of Gorard (2009) and others has informed the central vision for the University School and the particular combination of academic and extra curricular elements and the University of Birmingham contributions which, together, seek to create a genuine learning community designed to maximise students' attainment and also to expand their horizons and ambitions.
2. How schools organise learning affects educational outcomes. There is a large and long established body of research that seeks to illuminate how the ways schools work and how their teachers work in their classrooms affects student attainment. This is summarised coherently in Reynolds et al 2011 and has informed the ways in which this proposal emphasises the need for excellence in leadership, management and organisation of the school, of the whole curriculum. This means the University School using the research to ensure that necessary characteristics of effective teaching across different subjects and contexts (p22) are addressed in all subjects, classrooms and in the extra curricular provision.
3. An “unrelenting” focus on learning can have a major impact in a short time. As Jopling (2011) notes, *“the need to focus ‘unrelentingly’ on learning, in Hopkins et al.’s (2011 p18) phrase, emerges as one of the central concerns of developing research in educational effectiveness and improvement. This has provided a vitally important element in the University School proposal – the carefully specified blend of learning subject content and subject process described earlier in this document and designed to provide students with excellent examination grades and equally excellent subject knowledge, understanding and skills.”* The recruitment of outstanding teachers and the provision of systematic opportunities for teaching improvements focused on planning and review lessons (Davies and Dunnill 2008, Pang and Marton 2003, 2005, Rockoff 2004, Stigler and Hiebert 1999) allows the “unrelenting” focus on learning to be created and sustained.
4. Character education is an important complementing factor to academic learning.  
Education is about formation, not just about knowledge accumulation. Character education is about shaping and forming young people, giving them the tools to handle life, not just the next set of examinations. (Arthur 2010).

The University School will address all four to provide students with the best possible learning experiences and outcomes.

### **How will the University School embed this evidence into its approach to education?**

What emerges from the research is that successful schools are focused on excellence in learning, both in the classroom and through excellence in everything else the school does. Schools are their own societies, and the implicit and explicit culture they create influence their students greatly. Maximising a student's potential is not just about giving them knowledge, but about developing the whole person – providing students with the capabilities to develop their own “plan for life”.

The University School will take account of all this to develop whole-school policies and thoughtful pedagogies to develop our students into the kind of people we would like them to become: that is, thoughtful, critical and informed people who, during their lives, will throw themselves wholeheartedly into thoughtful and absorbing relationships and activities of all sorts, intellectual and others. These are people who will be responsible, active, caring and engaged citizens, loving partners and parents, excellent friends and great work colleagues.

Practically, this means

- Providing a learning focused environment in which high expectations for behaviour, attitudes and learning are clear, embedded, and carefully monitored (Hopkins 2011),
- Offering the academic discipline/subject-based curriculum which will open doors, especially into higher education, rather than narrowing student options (Russell Group, 2010),
- Developing students' capacity to direct their own learning, which requires a focus not just on content but on process in the curriculum (Trautwein et al. 2007),
- Excellent teaching achieved through recruiting outstanding teachers and providing systematic opportunities for teaching improvements focused on planning lessons based on evidence of student learning (Davies and Dunnill 2008, Pang and Marton 2003, 2005, Rockoff 2004, Stigler and Hiebert 1999),
- Wrapping character education around all aspects of school life (Arthur, 2010), and
- Engaging parents and developing their capacity to support their child's learning (Gorard et al. 2011).

The curriculum is the key mechanism through which to achieve the mission of the school. The University School curriculum will therefore have two distinctive but integrated elements:

- An overarching framework of Character Education which will build students' confidence, resilience and personal qualities so that they are able to become self-organised and motivated learners able to make the most of their curriculum opportunities;
- An academic discipline/subject-based curriculum which will use a carefully formulated blend of content and process to help students attain the highest possible outcomes.

Character Education will “wrap around” every aspect of the University School’s work with students, providing a unique means of supporting them as they grow personally as well as academically. Character Education is a well-researched and developed approach to enabling students to develop the characteristics and qualities they need to succeed in all walks of adult life. These include a sense of identity and purpose, including self-knowledge and self-reflection. They also include the characteristics of responsibility, honesty, self-reliance, reliability, generosity, self-discipline. The University of Birmingham is a leading centre of research into Character Education, and we have brought this research to bear in shaping our approach to the University School’s curriculum.

The academic curriculum will be designed to provide students with an induction to the key disciplines through which we human beings have learned to investigate and make sense of our world and our lives. These disciplines, or forms of knowledge, provide the basis for (National Curriculum and other) school subjects. All too often, however, they become diluted and reliant on passive learning of content and technique, thereby reducing pupil engagement and learning to a minimum.

Therefore, in the University School curriculum, there will be a combination of subject content (learning subject knowledge and understanding about the world) with subject process (learning how the subject investigates the world and develops knowledge and understanding and practising this). These specific learning and teaching strategies will support students not only to attain high grades and but more importantly to become “learner” mathematicians and physicists, etc..

The opportunity for private study and extracurricular activities built into the school day is fundamental to the success of the school – both academically and in the broader formation of the students.

Learning, teaching and assessment strategies will be linked precisely to students’ intended subject and personal/character learning outcomes. This will mean students engaging with a full range of learning and assessment experiences, from the explicitly didactic to structured individual, team and whole class activities developing subject process skills and generic collaboration and communication abilities through to more open-ended exercises generating deeper subject skills and the gradual development of more independent learning capabilities.

Feedback will be continuous, require pupil involvement and be related to subject as well as personal and character progress, attainment and future targets.

Technology will be used to support these approaches to learning, teaching and assessment in and out of school allowing students, teachers and parents access to information, resources and communication facilities around the clock through the full range of devices and allowing for variation in fixed line and mobile broadband access and speeds.

Together, the character and academic elements of our curriculum will help our students grow in knowledge, understanding, and skills and gain the necessary qualifications for success whilst simultaneously developing their personal capabilities and character. They will learn how, when and why to use their knowledge, to identify the limits to such knowledge, and how to improve it, themselves, their families, communities and society continually.

### **What does this mean in terms of curriculum?**

In order to achieve each student's maximum potential, the curriculum will focus on

- Supporting students through transitions (e.g., from primary to secondary school; from KS3 to KS4; from 11-16 to sixth form or other educational pathways; and from sixth form to higher education);
- Stretching each student appropriately, not just academically but in extracurricular and character-building activities;
- Engaging students in their own learning with appropriate and targeted support from teachers, trainee teachers, and from coaches and mentors drawn from older students and undergraduates.

Key Stage 3 will comprise two year groups, Years 7 and 8, giving a three year GCSE programme in KS4, years 9, 10 and 11. This three year curriculum will ensure that students gain breadth and depth from their studies, allowing for personalisation of provision with opportunities for:

- accelerated courses;
- variety of length of course to suit individual students' needs;
- a wide choice of option subjects to serve the range of students' talents and aspirations.

This structure will enable students to follow different educational pathways to suit their learning needs.

### **Key Stage 3 (years 7 and 8) curriculum**

Students will inevitably enter the University School in Year 7 at very different levels of preparedness. The curriculum at Key Stage 3 (KS3) will aim to give each student the support they need to achieve to their maximum potential, within the framework of

ensuring all students receive the academic foundation that has been proven to support success in many careers.

All KS3 students will experience a broad, balanced and challenging curriculum that will induct them to the foundations of key disciplines within a framework of personal development and character education. Subjects involved will use conventional titles and start from the National Curriculum specifications to ease the transition. They will include:

- English;
- Mathematics;
- Science;
- Humanities (History, Geography, RE);
- Foreign language(s) including Latin;
- Technology including Computer Science;
- Creative and performing arts (Art, Music, Drama/Dance);
- PE, Dance and sport;
- Citizenship/PSHE;
- Character Education.

The **STEM-excellent** nature of the curriculum will mean that STEM subjects will be heavily weighted in the timetable. This will be further strengthened by the employment of excellently qualified specialist staff, the use of the discipline-based approach to schemes of work and lessons , and close links with the relevant University of Birmingham departments and staff.

As an example of how this will work, Computer Science will feature in the KS3 curriculum, supported by the University of Birmingham’s School of Computer Science, which is eager to instil in secondary students appreciation and knowledge of computer science, or an understanding of programming and how computers work, rather than simply ICT, which is about how to use computers. The School of Computer Science will work with the University School at all levels of the curriculum to support computing as a Technology subject.

**Language skills** will be developed through the study of both English and foreign languages. Taught well, foreign languages can assist students with understanding English grammar and vocabulary. The final choice of languages has yet to be decided, but a selection of languages will be taught, including probably French, German and Latin. Consideration will also be given to teaching Spanish and possibly Mandarin. Gaining a familiarity with Latin is often a foundational element to other European languages, including advanced English, and students who struggle with spoken languages can welcome the option to study Latin instead. All students in year 7 experience French, German and Latin. In year 8, students continue with all

three languages, with the option to take Classical Civilisation instead of Latin for those for whom language is not a strength.

The **Humanities and Arts** will benefit from interactions with the University, for instance through engaging with archival material at the Cadbury Research Library, fine art and history at the Barber Institute, industrial and social history at Winterbourne House, and music and performance in the brand-new Bramall Music Building (opening 2012).

**Citizenship and PSHE** will be taught within regular extended form periods, with opportunities for more innovative delivery during off-timetable days across the year (see below under enhanced curriculum). Non-academic (“extracurricular”) activities, scheduled for the afternoon, will also support these aspects of the curriculum.

**ICT** (defined as the capability to choose, use and evaluate the usefulness of major industry standard software, information and communications technologies) will form a part of the learning, teaching and assessment strategies used in every subject, rather than being a separately scheduled activity.

<b>KS3 Two Week Timetable</b>			
Subject	Hours/2 Weeks	Subject	Hours/2 Weeks
English	6/50	History	3/50
Mathematics	6/50	Geography	3/50
Sciences	6/50	Art	2/50
Languages	6/50	Drama	2/50
Technology	6/50	RE	2/50
PE/Sport/Dance	4/50	Music	2/50
		Computer Science	2/50
Supervised Private Study	6 in afternoons	Extracurricular	4 in afternoons

Extra support, as well as appropriately differentiated teaching, will address the needs of students who enter the school with Special Educational Needs, with English as an Additional Language, and those with below average literacy and numeracy levels.

There will be some additional staffing (funded through the ITE programme) to provide bridging support to accelerate the progress of students who have had

diverse experiences in primary schools in subjects such as MFL and Science so that they can meet expected standards.

### The learning experience at Key Stage 3

The learning experience for students at Key Stage 3 will typically involve a carefully balanced blend of whole class, small group and individual teaching approaches. The balance will be derived from the teacher's professional judgement with respect to the following three elements of learning and teaching:

1. The research and practice based learning characteristics and outcomes of the specialist subject, which will provide the basis for all students' learning;
2. Specific information about the learning needs of each student.
3. Professional judgement about contextual factors such as lesson length, position in the working week and working day, and the nature of the class in question.

Thus, for example, students' learning experiences in KS3 Science will involve them in a series of connected sessions including:

- Formal, didactic activities where core scientific knowledge and understanding is transmitted and manipulated through teacher modelling of scientific methodology;
- More investigative activities as small groups and as individuals where scientific methodology is practised; and
- More discursive activities with small groups and the whole class where critical and evaluative capabilities are developed and reflection on all this is encouraged.

Specific students' individual learning needs will inform the planned experiences for those students, underpinned by teachers' professional judgements, to ensure that all students' needs are met and that they are all able to both *learn the subject* and to *learn about the subject* (i.e., its ways of investigating and explaining the world).

The scheduled Private Study sessions will allow for the more information-processing aspects of the learning to take place whilst developing independent and self-organised learning capabilities. This will allow class time with all students and the specialist teacher to be devoted to helping students learn those aspects of the subject that require specialist teaching, specialist resources and social interaction in order to generate the highest possible learning outcomes.

Technology will ensure that learning resources, both static and interactive, are available to students, parents and teachers on demand. It will also draw on key

research insights to ensure that assessment and feedback is swift and designed to both identify each student's current effort, progress and attainment against the intended learning outcomes and show how they can make further progress.

#### Key Stage 4 (years 9, 10, 11) curriculum

The Key Stage 4 (KS4) curriculum will build on the foundations of Key Stage 3 whilst meeting the needs of GCSE specifications and of students on the way to becoming young adults. It is, therefore, constructed to meet the School's commitment to challenge, rigour and academic excellence, with strong provision for STEM subjects and Languages, while retaining breadth and balance in its range of opportunities for students' creative, expressive and sporting development and a core commitment to developing their character and personal qualities.

Key Stage 4 will start in Year 9 and encompass three years in order to maximise opportunities to combine GCSE requirements with the broader character and personal development needs of students and to support individual learning needs most effectively.

It is expected that the majority of students will follow a KS4 programme of study leading to between 8 and 11 GCSEs. This curriculum will adhere to the School's aims and support as many students as possible to achieve the English Baccalaureate (EBacc).

<b>Required (to achieve 5 GCSEs including English and Maths):</b>
<ol style="list-style-type: none"><li>1. English Language</li><li>2. Mathematics</li><li>3. A Humanities subject (History, Geography or RE)</li><li>4. PE</li><li>5. Character, Citizenship and RE</li><li>6. A Technology subject (Engineering, Product Design, Resistant Materials or Computer Science)</li></ol>
<b>Most (to achieve EBacc):</b>
<ol style="list-style-type: none"><li>1. English Literature</li><li>2. Modern Foreign Language</li><li>3. Three sciences (Physics, Chemistry, Biology) – for some, one or two sciences</li></ol>

will be more appropriate but General Sciences will not be offered

**Choice of additional subjects (most students to take two):**

1. Creative or Performing Arts subject (Drama, Art, Music, Dance)
2. GCSE PE/Sports Science;
3. An additional Humanities subject (History, Geography or RE);
4. An additional Foreign Language;
5. An additional Technology subject (Engineering, Product Design, Resistant Materials or Computer Science).

This curriculum is academic and rigorous. We recognise that as a comprehensive school, the University School will have students with a full range of ability, talents, and needs. Rather than diluting the academic nature of the School's offering, which is at the core of its identity, we have extended KS4 to three years, allowing for flexibility of learning pace and continuing additional provision to support literacy and numeracy needs.

Additionally, form tutors will provide careful and personalised guidance on option choices to ensure that each student follows a pathway suited to ability, aptitude and aspiration. This may mean studying a smaller number of core subjects over the three years, combining these with a range of other subjects linked to their specific needs and talents. Parents will be involved in this process, and the School will provide information about how the choice of GCSE courses can affect post-16 curriculum choices, University entrance and career options.

<b>KS4 Indicative Two Week Timetable</b>			
Subject	Hours/2 Weeks	Subject	Hours/2 Weeks
English	6/50	History or Geography	4/50
Mathematics	6/50	Option 1	4/50
Sciences (3 single)	9/50	Option 2	4/50
Language(s)	4/50	Citizenship/RE	2/50
Technology	4/50	Computer Science*	3/50

PE/Sport/Dance	4/50		
Supervised Private Study	6 in afternoons	Extracurricular	4 in afternoons

*\*Overall, the curriculum outlined in this timetable is STEM-heavy, which matches our vision. We are committed to computer science as an important subject and we have included in a separate place in this timetable, but it is currently a subject in transition. We recognise that it might better sit with other technology subjects, and that more time might be needed for English/humanities/arts.*

University engagement in curriculum delivery will continue, through guest lectures, laboratory visits, and special projects, such as history groups using the archival material at the Cadbury library to conduct primary research. These sessions will introduce students at a relatively early stage in their intellectual development to the uncertainty around knowledge and the excitement of research and debate. This will encourage their development as “proto” scientists, mathematicians, historians, etc., as described below.

The University’s networks and careers experience will also inform the type of guidance students receive as they reach the end of KS4. Form tutors will begin the process of discussing next steps with individual students during KS4, and special sessions with career advisers and representatives from the Sixth Form, other sixth forms and FE colleges, and employers will be arranged to introduce students in KS4 to the range of opportunities and to help them as they consider what is the right step for them.

#### The learning experience at Key Stage 4

During KS4, students are changing rapidly and fundamentally as they experience the full effects of adolescence. To support their learning, they need a unique mix of security and reassurance combined with challenge and adult/near adult expectations. KS4 teaching therefore must take students’ developmental needs into account whilst drawing on the same distinctive approach involving a carefully distilled blend of whole class, small group and individual teaching approaches as outlined above in relation to KS3.

For example, in KS4 Science students’ learning experiences will build explicitly on their methodological learning from KS3. They will learn to address the demands of individual GCSE Science subjects by becoming “proto” physicists, chemists and biologists. This approach will support them to attain the higher grades that require and recognise such learning.

This will, again, involve them in series of connected sessions including:

- Formal, didactic activities where GCSE level scientific knowledge and understanding is transmitted and manipulated through the teacher modelling physics, chemistry and biology methodology;
- More frequent and demanding investigative activities as small groups and as individuals where the required methodology is practised;
- More discursive activities with small groups and the whole class where critical and evaluative capabilities are developed and reflection on all this is emphasised and required since this is a differentiating criterion in both learning Science and in gaining the higher GCSE grades.

As previously, specific students' individual learning needs will inform the planned experiences for those students and teachers' professional judgements will underpin the whole thing.

Importantly, however, KS4 may be the last formal Science learning for some students if they specialise in other subjects post-16. It is therefore essential that they are able to both *learn the subject* and to *learn about the subject* and its ways of investigating and explaining the world. This will support them to achieve excellent GCSE grades while also giving them what they need so that they can bring their science learning to bear on their daily lives as active citizens.

Again as before, the scheduled Private Study sessions will allow for some of the more information-processing aspects of the learning to take place whilst emphasising the kinds of independent and self-organised learning capabilities that characterise scientists at work. This will continue to allow class time with all students and the specialist teacher to be devoted to helping students learn those aspects of the subject that require specialist teaching, specialist resources and social interaction in order to generate the highest possible learning outcomes.

Technology at KS4 will ensure that learning resources, both static and interactive, are available to students, parents and teachers on demand, hugely important for revision and reflection. It will again draw on key research insights to ensure that assessment and feedback is swift and designed to both identify each pupil's current effort, progress and attainment against the intended learning outcomes and show how they can make further progress towards gaining the highest grades and levels on learning.

### Sixth Form

The sixth form curriculum will meet the aims outlined earlier, but in a post-16 context and geared towards successful entry into selective universities. Thus, this will be an academically selective Sixth Form, providing a broad but targeted range of courses to support these goals. It will also continue to provide core character and personal development opportunities designed to help students to become the kinds of people the school aims to develop. Students who continue from the 11-16 School will

recognise the continuities, whilst new students joining at 16 will be integrated into the life of the school and supported in its ethos of personal and character development.

There will be expert guidance available to students and parents before choices of courses and subjects are made. The University School will work with careers and admissions experts from the University to advise rising Sixth Formers about subject choice, with the goal of supporting them to choose subjects that interest and excite them and that will open doors for them when they leave school, whether at university or in other forms of education or employment.

The Sixth Form will offer a range of A levels. The offering will be comprehensive, but defined by core academic disciplines and guided by the types of A levels that Russell Group universities advise make up a strong application for admission. The University School is committed to offering the full range of STEM disciplines and a selection of Modern and Ancient Foreign Languages. The final list of subjects will include:

- Mathematics, Further Mathematics
- Physics, Chemistry, Biology
- English Language, English Literature
- Modern Foreign Languages: French German, Spanish, and/or Chinese
- Ancient Foreign Language: Latin
- History, Geography, RE
- Technology: Engineering, Product Design, Graphic Design, Computing
- Art, Music, Drama
- Classics, Theology, Philosophy
- Economics, Politics, Psychology, Sociology

Most Sixth Form students will study four subjects to AS level, continuing with three or four to full A level. All subjects offered can be studied at A and AS level. Resits of GCSEs will not be possible, in keeping with the Sixth Form being academically selective.

A key characteristic of the sixth form experience will be the increasing involvement of the University.

“Masterclasses” delivered by the University will be an important part of the curriculum at this level, occurring regularly rather than periodically. At this level, many of them will be adapted from the University’s undergraduate syllabus, thus providing University School students experience of university-level teaching.

University School students will be encouraged to use the resources of the University (e.g., library, archives, art collections, etc.) to enhance their coursework. Specialist language activities, such as cultural days and specialist teaching sessions (for instance on French cinema), will also be integrated to those subjects. The University’s Theology and Religion department has networks throughout the city with

different faith groups, and the RE curriculum will be able to benefit from these links and from teaching adapted from the undergraduate syllabus. STEM students will benefit from University-sponsored competitions and challenges – for instance, Civil Engineering could sponsor a challenge day on bridge-building, tasking engineering students to build a bridge out of paper and sticky tape, and working with the teams to help them understand the engineering principles and why different approaches did and didn't work.

There are a number of exciting opportunities to enrich the RE curriculum at the University School, through teaching adapted from the undergraduate syllabus, guest lectures, and even placements.

University staff will be working

with School staff and students to enrich the curriculum and courses. University students and the Guild will be working with School students as mentors and coaches and on character and personal development activities. University specialist facilities will be used where appropriate. The University Careers and Employability team will support the provision of expert advice and guidance.

### *International Baccalaureate*

A levels continue to be the standard qualification required by Russell Group and other universities for entry, and based on experience elsewhere it is safe to assume that many parents and students will choose A levels as their preferred Key Stage 5 curriculum.

However, there is increasing interest nationally around the International Baccalaureate (IB) as a rigorous and intellectually challenging alternative to A levels. The IB curriculum offers a greater breadth than A levels, and it also develops a set of critical thinking and comparative skills employers value. At diploma (sixth form) level, IB students study six subjects (English, a second language, an experimental science, mathematics, a humanities subject, an art), as well as a module on theory of knowledge, an extended, independently-researched essay, and engagement in an activity which could be classified as creativity, action, and service.

To date, IB has been largely the preserve of independent and elite schools, limiting its access into the broader community. However, our research has shown that the majority of those interested in the Sixth Form would be interested to learn about IB.

For these reasons, the University School will aspire to offer International Baccalaureate as an option in the Sixth Form from year 2 or 3 of its existence (current financial planning based on year 3 start, i.e., from September 2016). The delay is due to a number of factors. First, IB is more resource-intensive than A levels and thus will require a critical mass of students – better gained after a few years in operation. Second, the process for receiving IB accreditation will require the School to go through a candidacy phase in order to offer the qualifications. Third, we would

expect relatively few teachers to have IB teaching experience, so we will need to engage in professional development to offer it. This is best done after our teaching staff has bedded in to the new school.

### *Sixth Form Leadership Programme*

One further aspect of the Sixth Form learning experience is that they will have a leadership skills programme.

This will be designed to support them in developing and demonstrating the leadership understanding and capabilities that will help them become the kinds of people that our educational vision outlined earlier. Several contexts will provide learning opportunities. Subject learning, for example, will include experience of leading small groups and taking responsibility for organising and presenting to larger groups as part of their courses. Becoming a sixth former itself will require engagement and participation in initiating and running student representation processes, social and other aspects of Sixth Form life.

However, the Leadership Programme will have Sixth Former involvement with students helping to provide a programme of leadership themed events including inspirational speakers, visits, workshops and activities. It will mean assuming a coaching and/or mentoring role with other University School students and helping to provide extracurricular activities for younger students. Links with the University of Birmingham and the Student Guild will extend the range and type of opportunities further, not least in some joint events and activities with Guild societies.

### *The student learning experience in the Sixth Form*

Sixth form students, while having to meet the academic requirements, are choosing this as the next state in their education and personal development. Moreover, each year, the Sixth Form will recruit students from other school across the sub region meaning that each cohort will contain students with very varied set of background experiences and expectations.

Sixth form students are continuing to changing rapidly and fundamentally as young adults. As previously, the teaching and learning approach taken will balance their needs with the requirements of the curriculum, based on the teachers' professional judgement.

At sixth form level, however, student learning experiences need to focus on providing a higher level induction to their chosen disciplines, including some that they may not have studied previously, as well as supporting their continuing character and personal development so that they can enter University, training or employment as fully rounded, educated people who have the highest possible grades in their chosen qualifications.

This will involve carefully constructed induction programmes designed to help students to bridge the gap from KS4 in both subject and personal terms so that the challenges ahead are made clear and achievable.

Their learning will involve them in series of connected sessions including formal, didactic activities where A level knowledge and understanding is transmitted and manipulated through the teacher modelling subject specific methodology. However, there will be even more importance attached to frequent and challenging investigative activities as small groups and as individuals where the required methodology is practised and to the associated reflective, critical and evaluative activities with small groups and the whole class. Private study, technology and the expert use of assessment and feedback also become more important since taking more responsibility for their own learning and development is a key outcome for these students.

To extend the explanation of this used at KS4, Sixth Form students will be required to both *learn the subject* and to *learn about the subject in some depth*, its ways of investigating and explaining the world so that their A level grades are excellent and that they have become the kinds of engaged, knowledgeable and critical young adults who are able to be excellent University students, high level trainees or new employees, and who are equally active, engaged and committed young people.

### Enhanced curriculum

The University School will make regular use of off-timetable sessions to engage in curriculum and learning opportunities to build character and foster key personal and interpersonal skills. In Key Stages 3 and 4 this will be a day per half term, and in the Sixth Form a day per term. These sessions will seek to develop

- Team building skills,
- Enquiry based learning and problem solving skills,
- Independence of learning and study skills,
- Self confidence and self esteem,
- Community and social responsibility, and
- Communication and presentational skills.

Sessions might feature activities such as:

- Healthy living activities;
- STEM-based projects;
- Business and Enterprise projects;
- Community and social projects;
- Performing and Expressive Arts projects;
- Poetry days;
- Cross curricular themes;

- Language immersion days;
- Cultural engagement and field trips;
- PSHE and Citizenship themes.

There will be a strong emphasis on involving external experts, business and community leaders in these days, including drawing on the wide range of expertise within the University's community.

For example, the Medical School will run a version of its "Mini Medical School" programme for the University School. This programme, taught by the same academics who also train doctors, will provide some basic medical knowledge for students as medical consumers, introduce them to the variety of careers in healthcare, and encourage them to think about medical research and health issues.

The University will be able to offer an annual "Stratford experience" in connection with the Shakespeare Birthplace Trust and the University's own Shakespeare Institute. Similar immersion and enrichment days or half-days will also be possible in connection with partners such as the Birmingham Royal Ballet, the City of Birmingham Symphony Orchestra, the Ironbridge Museum, the Birmingham Museums Trust, and other cultural organisations in the Midlands, many of which are part of the University's Cultural Partnership.

The University's Philosophy Department will run a programme placing PhD students into the School to engage students in discussions about philosophy. Evidence shows that these types of engagement support overall academic achievement, and will also form part of the School's commitment to Character Education by providing a structured environment for students to think about questions of meaning, ethics, relationships, and identity.

The languages departments will support language immersion days and offer language "taster" sessions, including introductions to less commonly-taught languages such as Japanese and Arabic.

In addition, as outlined above, as well as taking part in extracurricular activities themselves, sixth formers will also lead extracurricular activities for younger students, as part of their Leadership skills programme.

### Extended school day

The University School will have an extended school day, including an additional hour from 3.30-4.30 pm.

The purpose of the extended school day will be to allow space for two activities considered integral to the curriculum:

- extracurricular enrichment activities and
- supervised private study.

Parents of students in the 11 – 16 School will agree to their children taking part in these each day, as part of the Home / School agreement.

### Extracurricular enrichment activities

Extracurricular enrichment activities\_ will give students the opportunity to engage in non-academic activities and clubs, delve more deeply into activities they love, and gain skills which sit broadly outside the academic curriculum but which are crucial to personal and character development.

Students in the 11–16 School will normally choose two extracurricular activities to follow on a weekly basis. These activities will offer students what may be their first opportunity to engage in leadership activities and public performances (musical, sporting, and dramatic, for instance), both of which are an important part of Character Education. Extracurricular activities can provide a place for the less academically able pupils to shine whilst placing those who excel in the classroom outside of their comfort zones in a way which is healthy. Form tutors will guide and monitor students' choices and progress.

The University School will aspire to develop a broad range of extracurricular clubs, societies and activities, which will include

- Sports teams,
- Music (choirs, orchestra),
- Drama, and
- Clubs in science, technology, computing, poetry, book, chess, art clubs. Some of these will result in public performances of music, drama and poetry.

The extracurricular programme will benefit in numerous ways from the links with the University.

- Sports: The proposed site for the University School already includes access to extensive playing fields. The University also has other sporting facilities, especially within its new sports centre, due to open in 2014/15, which can be made available in different ways to the University School. In many cases, secondary students will be able to interact with undergraduates, often in sports which most UK schools cannot offer; for instance, the University of Birmingham has a championship US football team, and a cheerleading squad.
- Drama: The University has a well-respected Drama department and a working theatre immediately across the road from the proposed University School site. Playwriting, classical theatre, and costume, stage, sound and lighting design could all enrich the School's offering. Undergraduate students could work with University School students interested in theatre to stage their own productions or to engage with undergraduate productions.
- Clubs: Undergraduate students will be able to support all variety of University School clubs. The University's Guild of Students has a large and active group

of volunteers, and based on previous work done around the “Children’s University”, which was massively over-subscribed for volunteers, there should be strong take-up of University School-based volunteering activities by undergraduates.

Special programmes may be offered to provide other practical skills. These could include public speaking and debating; survival cookery; photography; first aid training; finance and budget management; careers advice; interview techniques; mentoring younger members of the school; Community Action.

In addition and as mentioned previously, in the Sixth Form, sixth formers will lead extra curricular activities for younger students, as part of their Leadership skills programme.

The school will accredit and celebrate each pupil’s achievements.

### Supervised private study sessions

In addition, in the 11–16 School, all students will be supervised in private study sessions on three days a week (3.30 – 4.30 pm). The purpose of these sessions is to help in the development of independent learning capabilities and compensate for the variation between family circumstances expected among a comprehensive school population. Moreover, it will leave two such sessions per week for involvement in sport, creative arts, clubs and other activities and will also allow for family time, free of homework, for several nights.

Where appropriate, individual students will be offered additional one-to-one support to raise literacy and numeracy levels and improve study skills. These study times will also help to develop good habits of study and will give students and their families some evening time at home free of homework.

### **What will be the University School’s calendar and timetable?**

The University School will operate in accordance with the Local Authority’s standard school calendar.

The 2014/15 school calendar has not yet been published on the Birmingham website.

The School will operate on a two-week timetable of 50 hours to enable maximum flexibility for subject time allocation and will facilitate the use of banding, streaming or setting according to pupil and subject needs. This will entail 25 teaching hours per week, supplemented by a further 5 hours per week of enrichment learning activities and private study (one hour at the end of each day).

The structure of the school day is outlined below:

07.30-08.00	Buses arrive
07.30-08.30	Breakfast Club, with subsidised food for students entitled to Free School Meals.
08.20	All staff on site; staff briefing
08.30-09.30	Lesson 1
09.30-10.30	Lesson 2
10.30-10.50	BREAK
10.50-11.50	Lesson 3
11.50-12.20	Extended form period or Assembly
12.20-13.05	LUNCH
13.05-14.05	Lesson 4
14.05-15.05	Lesson 5
15.05-15.20	BREAK with refreshments
15.20-16.20	Enrichment activities and private study
16.30	Leaving time for buses

There will be 5 hours of lessons each day, with electronic registration (e.g. using CMIS ) in every lesson. Computer Information software will also provide tracking data for academic and pastoral purposes which can be accessed by form tutors and subject staff at all times.

Breakfast club will not be compulsory, but encouraged especially given the early start to the day. Lunch will be one sitting of three-quarters of an hour. Two breaks, one mid morning and one before the enrichment activities at the end of the day, will ensure students feel fresh and receptive for each block of learning.

Students will meet their form tutor, in small groups, for half an hour each day in the extended form period/ Assembly (see pastoral section).

Enrichment activities and private study will be compulsory elements of the school day.

### **How will the students be organised?**

The foundation of the University School's structure will be the form group, led by the form tutor. The form will also be the foundation of the University School's pastoral care model, detailed below.

All teaching staff, except those in senior leadership roles, will have form tutor roles, resulting in small tutor groups of about 22 students. In the 11–16 school, the form tutor will be supported by one or two trainee teachers who will be learning about the pastoral role through direct experience. This will greatly enhance the quality and levels of individual attention and support for each child.

In the 11–16 school, the form tutor will normally take the same form through from Years 7 to 11, ensuring that s/he develops close knowledge and strong relationships with each child and their parents/carers.

This model will be replicated in the Sixth Form, with the obvious exception that the form tutor will be responsible for the same group of students for only two years instead of five.

With respect to teaching, staffing throughout the University School will be allocated to enable each subject to be taught in 6 groups, averaging 25 students per group. Technology-related subjects will be in 7 groups per year to allow for greater practical engagement required in these subjects.

### **How will the University School ensure that the needs of pupils with differing abilities are met?**

The University School will value all the students in the school equally, and the teachers will all be teachers of learners with special educational needs.

It is the teacher's responsibility to meet the needs of all students in their class through their classroom organisation, teaching materials, teaching style and differentiation. However, if the student does not make adequate progress even when teaching approaches are targeted at an identified area of need, then more specific assessment of need will be undertaken resulting in appropriate interventions being used.

More specifically, however, the University School will bring to bear a unique combination of strengths to support students in this area.

The School of Education has one of the foremost Departments for Special Needs and Disability in the country with an international reputation for research and teaching quality. Staff in the department include educational psychologists and they hold academic and professional expertise in the full range of issues including autism, dyslexia, hearing impairment, visual impairment, behaviour, severe and multiple learning difficulties and the coordination and leadership of SEN provision in schools. Similarly, the School has teaching, professional and research expertise in the areas of literacy and numeracy, EAL and bilingualism.

These expert staff will work closely with school staff from the moment a student joins the University School to ensure that student records and processes for early (and where necessary, regular) assessment and evaluation are in place, are research and practice informed and lead to specific interventions to support individual pupils and students and, where appropriate, their parents/guardians and families.

Background information on Special Educational Needs, literacy, numeracy and EAL will form a key element of every new teacher's induction. All staff will have ongoing training and development to support them in teaching students with these specific needs as part of their normal classroom planning and practice, While the core approach will be to provide such support in mainstream classes there may be occasions where individuals need specific help away from class. Individual needs will determine the approach used. Equally, staff will ensure that all these processes are handled in ways that avoid labelling and stereotyping. Special Educational Needs staff, including Individual Support Teachers and Teaching Assistants will be available to support and advise teachers, in and out of class.

In relation to issues of language and numeracy, School of Education staff will work with the school to ensure that early identification and individual plans are in place as soon as possible. They will also scrutinise the KS3 curriculum to ensure that literacy and numeracy learning is coherent and progressive for all pupils providing a firm foundation for the KS4 studies.

Finally, the involvement of University of Birmingham students will play a key additional role here. Acting as mentors (providing personal, character and general support and guidance) and as coaches (supporting the learning of specific areas of knowledge, understanding and skill), they will provide both individualised support and role models to provide hope and inspiration to pupils and students.

In summary, therefore, staff members will have training, advice and support from both school specialists and University experts.

### **How will the University School measure its achievement and achievement of its students?**

The goals of the University School will be shaped by a commitment to high aspirations and high achievement. As a University School, it will unapologetically encourage and promote aspiration into higher education, as higher education is proven to be one of the most effective tools of socioeconomic mobility.

However, we recognise that higher education, including selective higher education, might not be suited for every student, including every student at the University School. The approach will therefore be based on a plan for each student.

At a School level, the University School will focus on a limited number of quantitative measures of success. These have been derived from the School's stated goals.

Some are externally benchmarked against other Birmingham schools, whereas some are internally derived.

<b>Goal</b>	<b>Measure</b>	<b>Key Performance Indicator</b>
<b>11-16 School</b>		
Enable each student to achieve their maximum potential	Added-value	In the top quartile of schools in Birmingham for added-value ( $\geq 1032$ , 2011 data)
	Three levels progress – pupils to make 3 levels of progress from Key Stage 2 to 4.	Data on student progress and published in the Attainment and Achievement Tables to reflect this goal – aiming for top quartile but recognising that this is a new measure of achievement so meaningful benchmarks may take time to emerge.
Ensure each student gains the qualifications they need to succeed	Achievement of 5 GCSEs A*-C including English and Maths	In the top quartile of schools in Birmingham for GCSE achievement ( $\geq 70\%$ , 2011 data) – note that this is in the top 10% when grammar schools are removed from the consideration
	Achievement of EBacc	In the top quartile of schools in Birmingham for EBacc achievement (as this is a new measurement the KPI cannot yet meaningfully be defined)
Character education		Research is underway to define measures for character education
Extracurricular education	Engagement in	Sustained participation in

	extracurricular activities	extracurricular activities
Transition to Sixth Form	Progression into Sixth Form	Two-thirds of 11-16 students transferring to University School Sixth Form
	Transfers into Sixth Form in the context of 11-16 School demography	Transfer to University School Sixth Form retaining demographic and geographic mix of 11-16 School  It might be possible to use Free School Meals as a proxy, benchmarked against other schools.
		Transfer of students who did not complete 11-16 at the University School into their first choice pathways
<b>Sixth Form</b>		
Support progression to higher education	HE Entrants per year	Percentage gaining entrance to higher education – work underway to identify an appropriate benchmark
		Percentage gaining entrance to Russell Group universities – work underway to identify an appropriate benchmark
Ensure each student gains the qualifications they need to succeed	Gaining three A-levels or equivalent	In the top quartile of schools in Birmingham for Key Stage 5 achievement ( $\geq 92\%$ , 2011 data) – note that this is in the top 10% when grammar schools are removed from the consideration

These are challenging goals given the diverse intake we seek (DCSF 2009), but we believe that the University School will be able to achieve them due to its excellent and innovative teaching, the enrichment activities available via the University, and the enhanced personal attention individual students can receive due to the trainee teachers' presence in the school.

### **How will the University School assess the achievement of its students?**

Throughout the School (11-16 and Sixth Form) there will be a strong emphasis on raising achievement through formative assessment processes within the day-to-day teaching and learning, building on the well-known work of Black and William. The aim will be to fully involve pupils in understanding where they are in their learning and what they need to do to progress to the next step. Students will be encouraged via this process to become independent learners who are proactive about their learning development.

Assessments, both summative and formative, will form an integral part of schemes of work and their precise form will depend on the nature of the subject and the subject learning being assessed. For example, formal tests and examinations will assess core knowledge and understanding; assessed activities such as problem solving, experiments, presentations and case studies will assess specific aspects of knowledge and understanding alongside subject process capabilities and creativity; longer term projects, productions and assignments will assess knowledge, understanding, process and self-organisation capabilities. Whatever the mode of assessment, students will have both a quantitative mark and qualitative feedback to support further learning.

Use of summative assessment data, facilitated by the assessment team's provision and interpretation of data, will enable staff to work with students and parents to set individual learning targets. The form tutors and the relevant Vice Principals will be responsible for tracking and monitoring the progress of each student against their expected targets. Students identified as underachieving against these measures will have appropriate support and intervention programmes put in place.

There will be electronic recording of assessment data, with the use of systems such as the Fischer Family Trust and YELLIS to identify targets and track the progress of each student. This data will also enable the School to set challenging but achievable targets for each cohort of students.

The School will place a high store on regular reporting to parents about their children's progress in relation to expectations. This may be in electronic and/or written form, supported by parents' meetings with form tutors and subject staff.

In the 11–16 School, the Assistant Vice Principal for High School Organisation and Culture will be responsible for the overall managing and co-ordination of these

processes. In the Sixth Form, the Assistant Vice Principal's role will include responsibility for assessment, reporting and recording policies.

The three levels progress norm will be used to pitch expectations at a high level. Students' progress in academic attainment will be monitored in relation to gender, socio-economic status (SES) background and ethnicity. The limits of statistical significance mean this monitoring will only be able to identify gross inequalities. The school will therefore use data from other sources such as lesson observation and student feedback to interpret smaller differences which fall within the bounds of a 95% confidence level (see more about student feedback below around student voice in the well-being section).

The school will also gather systematic data on leavers' destinations as part of its compliance with the requirements for careers guidance in the 2011 Education Act. Data on destinations will be used to review the curriculum experience and the advice and guidance provided to students.

### **What will be the University School's admissions policy?**

At full capacity the 11 – 16 School will have 750 students, made up of a yearly five-form intake of 150 students. The Sixth Form will have 400 places, 200 in each intake. In the first year of opening, September 2014, the intake will be 150 year 7 students and 200 Sixth Form students.

#### *Key Principles*

Our approach to admissions is guided by a number of key principles.

- The University School will be a truly comprehensive school, with students reflecting a range of socioeconomic and ethnic backgrounds and a range of previous academic achievement. Achieving an appropriate balance of backgrounds will be an important part of the admissions policy. We expect to have students with Special Educational Needs as an integral part of our learning community.
- The University School will seek to attract students from across the city and metropolitan region, likely including sections of adjacent Sandwell and Dudley. We seek to serve this region and not just the immediate local community for several reasons: first, this approach will facilitate the recruitment of a diverse student population; second, it will enable the School to be part of the solution to under-capacity in Birmingham; and third, it will avoid having a disproportionate impact on the secondary schools which happen to be located near the University School.
- There will be some populations that will be easy to reach, and there will be some populations that will be difficult to reach. The School's admissions policy and practice will seek to give every opportunity to less-advantaged students

and families to learn about the University School, to understand what it does and doesn't offer, to make an informed choice, and to understand how to express a preference for it if that is the right decision for them.

- No child should be barred from attending the school because they cannot afford the transport costs.
- Siblings will receive preference, because it is important to us that the school is a community, and having family groups contributes to that community feel and strengthens the parents' and families' commitment to the school.
- The Sixth Form will have related admissions criteria but with additional academic criteria to ensure that the students are able to manage the level of academic rigour that will characterise the University Sixth Form.

### Approaches

Given these principles, the University School will clearly benefit from the ability of a free school to include Free School Meals in the admissions policy, and we intend to use this or other indicators of deprivation as advised by the Department for Education policy.

The intention to prefer siblings puts significant pressure on getting admissions and outreach right from the very first intake, because otherwise sibling preference will entrench admissions patterns that might not reflect the desired mix of students.

We have been exploring various approaches and precedents to achieving geographic and ability spread. All have advantages and disadvantages. The chart below provides a summary, with the further text detailing the thinking.

<b>Admissions approach</b>	<b>Pros</b>	<b>Cons</b>	<b>Decision</b>
Distance from the school	<ul style="list-style-type: none"> <li>• Creates a community school</li> </ul>	<ul style="list-style-type: none"> <li>• Would not generate the diverse student intake desired</li> <li>• Will not address under-capacity (at least immediately)</li> <li>• Can have a disproportionate effect on other schools</li> </ul>	Not appropriate for the University School

		<ul style="list-style-type: none"> <li>• Discriminates by post-code</li> </ul>	
Fair banding tests	<ul style="list-style-type: none"> <li>• Creates a truly mixed-ability student population</li> <li>• Avoids discrimination by post-code</li> </ul>	<ul style="list-style-type: none"> <li>• Exam becomes a hurdle for entry</li> <li>• Discriminates those unwilling or unable to attend the exam</li> </ul>	Not appropriate for the University School because don't want exams as a barrier to entry
Random allocation	<ul style="list-style-type: none"> <li>• Should create a mixed-ability and diverse student population</li> <li>• Very fair, avoids discrimination by post-code</li> </ul>	<ul style="list-style-type: none"> <li>• Little transparency and could dissuade applications</li> <li>• Students spread randomly across the city, leading to atomisation and lack of social networks</li> <li>• Creates transportation hurdles</li> </ul>	Very fair but disadvantages are significant
Feeder schools	<ul style="list-style-type: none"> <li>• Can be used to address under-capacity</li> <li>• Can attract a mixed-ability and diverse student population</li> <li>• Avoids a disproportionate impact on other schools by spreading the load</li> <li>• Supports/enables social networks</li> <li>• Facilitates transport plans</li> </ul>	<ul style="list-style-type: none"> <li>• Discrimination by post-code</li> <li>• Under-capacity patterns may shift over time, but shifting nodes could be damaging</li> <li>• Politically difficult as it privileges some schools</li> </ul>	Possible option but politically sensitive

Nodal allocation	<ul style="list-style-type: none"> <li>• Can be used to address under-capacity</li> <li>• Can attract a mixed-ability and diverse student population</li> <li>• Avoids a disproportionate impact on other schools by spreading the load</li> <li>• Supports/enables social networks</li> <li>• Facilitates transport plans</li> </ul>	<ul style="list-style-type: none"> <li>• Discrimination by post-code</li> <li>• Under-capacity patterns may shift over time, but shifting nodes could be damaging</li> </ul>	Most preferable option
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A traditional admissions policy, where "distance from the school" is an important criterion, is suitable for a community school but not suitable for the University School for the reasons laid out above.

We have considered "fair banding" tests that attempt to ensure a range of abilities, but we have rejected them for two reasons: first, in Birmingham there are already a significant number of secondary schools that require an examination for entry and we believe it is important that this not be another school with that hurdle to entry; and second, fair banding testing can actively discriminate against children who cannot reach the exams for whatever reason, whether it be lack of money for transport, not having engaged parents who will bring them, or who have other commitments at the time of the exam.

We have also considered models that divide a region into sub-regions and assign a percentage of places to each region, randomly. This approach is very fair, but its disadvantages are threefold: first, entry to the school becomes effectively a lottery, and parents and students will have no way to ascertain how likely they are to gain a place, which reduces transparency and could act as a disincentive to application and reduce their emotional commitment to the school; second, it means that students will be spread randomly across the city, which can lead to atomisation and the lack of any school community at home for many students; and third, it creates real transportation hurdles, especially for students who live far from appropriate public transport routes.

Of the models we have explored, we believe that the approach with the most advantages focuses on transport routes and nodes, giving preference to children who live close to selected transport nodes. This approach disadvantages children who happen to live far from the selected nodes, but it has some significant advantages that outweigh this apparent unfairness. First, it provides a level of predictability for parents and students, increasing transparency and allowing them to assess their likelihood of gaining a place and thus to develop a relationship with the school. Second, it ensures that students will come to the school perhaps from long distances but alongside other children from the same neighbourhood. This means that they maintain a network of friends at home as well as at school. Third, it allows the school to manage transport routes in order to make the school physically accessible to students, including those from low-income families.

Working with feeder schools could have a similar outcome, but the process of identifying feeder schools would be difficult, politically sensitive, and potentially divisive. This is why the nodal strategy is preferred.

This approach would be modelled on that being used for the first time in Birmingham this year by the Aston University Engineering Academy. They have defined their nodal points as six train stations across the city and have allocated an equal proportion of their intake to each nodal point. We would not expect to use their approach in defining our nodal points, but the principles of operation would be similar.

We would seek to have a manageable number of nodes, likely either six or ten (thus having either 25 or 15 places associated with each node). Defining nodal points will be a very sensitive task, drawing on a diverse set of data, some of which is not available (e.g., detailed pupil planning work currently underway, 2011 Census, etc.). We have refrained from doing this quickly and based on partial data, and have instead discussed this approach with the Local Authority. The Local Authority is willing to work with us to define nodes that take into account certain criteria, including areas of secondary school over/under capacity, areas of deprivation, transport routes (including possibly local buses or specialist buses), and populations less likely to engage with higher education. The nodes selected will include one or more near to the school and will seek to gain a balance of children from more advantaged areas and less advantaged areas.

With respect to the Sixth Form, we would seek to maintain the same approach to admissions but to overlay academic criteria. The baseline criterion for admissions to the Sixth Form will be the receipt of five GCSEs at A\*-C, including English and Mathematics. It will not be possible to resit English and Mathematics in Sixth Form. Actual GCSE results will be taken into consideration in the choice of A levels or the selection of the IB curriculum.

Outreach will be an important part of the admissions process. Details on outreach are provided in Section E.

### Outline policy for the 11-16 School and Sixth Form

Given these principles and the considerations outlined above, we propose an outline admissions policy below. Defining the details of geography and transport nodes will require an in-depth analysis of demographic and educational factors and transport networks in Birmingham, and will also benefit from new data, including the 2011 Census.

Children with statements of Special Educational Needs who choose the University School as their preference will be admitted.

Preferences for admissions in the case of oversubscription will be based on:

- Looked-after children and previously looked-after children
- Children eligible for Free School Meals (or equivalent deprivation factors as determined by the Department for Education)
- Siblings of children already at the school (not relevant in the first year). We will use the Local Authority's definition of siblings.
- Distance between home address and the nodal point nearest to that address. We will use the Local Authority's definition of distance.

We have already begun a process of consulting about the school and admissions with other local secondary schools, as we recognise that they are significant stakeholders in our admissions policy. We intend to continue this process as our plans develop.

In the Sixth Form the admissions approach will be very similar, but with an overlay around academic qualifications.

- Academic criteria (five GCSEs at A\*-C) as a prerequisite

and then preference to

- Children already in the school

and then

- Following same preferences as for the 11-16 School

### **How will the University School promote pupil well-being?**

At the heart of the University School's approach to pupil well-being is the emphasis on Character Education outlined above. Research conducted by [REDACTED] from the [REDACTED], in which he and his

research team engaged with some 70,000 participants, from very young children (3-6) through to graduates, has demonstrated that building character is an important part of education, formal and informal (██████████, 2010).

██████████ results show that character is defined as “who we are and who we will become”, including the virtues of responsibility, honesty, self-reliance, reliability, generosity, self-discipline. Self-knowledge is also an important part of character. Character development, often termed personal development, is in fact an important part of a university education, and many of the traits defined as character in ██████████ research are very attractive to employers.

Character is about giving students a sense of identity and purpose, and it provides the foundation for know-how and skills. People with strong character can better manage during times of stress, bringing their self-knowledge to good decision-making for themselves and others. Character is not about any particular religious tradition, although religion often concerns itself with character. Our approach to character will be non-religious.

██████████ research shows that character can be shaped and formed, including in school, but it is often a missing part of the educational process. The approach to character education emerging from ██████████ research has been tested in a number of Birmingham schools already, including Park View School and Saltley School. Park View School has recently been awarded an Ofsted “Outstanding” rating, based in part, they believe, on their engagement with character, improving both behaviour and academic achievement. Saltley School also report similar improvements.

At the University School, character education will not be seen as a subject or course of study, but will be integrated into every subject area and form part of the planned experiences for all students. Specifically, the School will

- Offer opportunities to students to be involved in meeting the needs of their own school and local community;
- Expect mutual responsibility, and give older students a chance to take leadership and mentoring roles;
- Have clear ethical expectations of both staff and students and encourage modelling to reinforce positive character traits;
- Offer diverse opportunities for service activities in and out of school;
- Infuse character development as an aim of the school curriculum;
- Offer opportunities to practice moral actions which are varied and available to all;
- Increase the motivation of students to the values of the school;
- Enable parents and the community to be partners in character education in the school.

This approach will be monitored over the School's first five years to measure its impact, shape its implementation, and develop tools to measure character development more effectively.

### Pastoral Organisation and Policies

Support for character will underpin the University School's approach to pastoral care.

In both the 11 – 16 school and the 6<sup>th</sup> Form there will be an innovative decentralised model of pastoral care, giving key responsibility to the form tutor. There will be no middle management structure of heads of year, the form tutors being empowered to take on full responsibility for each child's overall well being and academic progress, liaising with subject teachers and parents as appropriate. A Learning Mentor in Key Stage 3 and 4 will provide enhanced support for underachieving students by identifying and breaking down barriers to learning. This will involve close co-operation with the Special Educational Needs Department where appropriate. The Outreach Worker will have a particular focus to work with students and families from lower socio economic groups, liaising with other professionals, external agencies and the local communities.

It is anticipated that all teaching staff, except those in the leadership groups, will have form tutor roles, resulting in small tutor groups of about 22 students. In the 11 – 16 school, the form tutor will be supported by one or two trainee teachers who will be learning about the pastoral role through direct experience. This will greatly enhance the quality and levels of individual attention and support for each child.

In the 11 – 16 school, the form tutor will normally take the same form through from Year 7 to 11, ensuring that s/he develops close knowledge and strong relationships with each child and his/her parents/carers. In the 6<sup>th</sup> Form, the form tutor will be responsible for the same students from Year 12 through to their leaving at the end of Year 13.

### The role of the form tutor

The form tutor will be responsible for preparing, after consultation with each pupil and his/her parent, a personal development plan covering:

- Character building
- Academic progress
- Pastoral welfare

The form tutor will be responsible for monitoring and updating the pupil's progress on this plan at regular points in the school year. There will be a particular emphasis on ensuring continuity of care in the way students are supported as they move through key the key transition points (primary to secondary; Key Stage 3 to 4; entry to 6<sup>th</sup> Form or other educational / career destinations; entry to University/ career).

There will be a high quality ongoing professional development and training programme for all form tutors to ensure they are skilled and confident in their roles.

### Parental / guardian contact

Parental engagement is a key and recognised element of an effective approach to pastoral care.

The form tutor will be responsible for keeping in close touch with parents (using a range of methods: phone contact, e-mail, the school's Virtual Learning Environment, personal meetings) to ensure effective two-way communication about each pupil's academic progress and personal welfare.

It is recognised that some students will need additional support to ensure that negative home circumstances do not limit their aspirations or learning. This will be a key role of the Outreach Worker. In each Key Stage in the 11 – 16 school there will be a Learning Mentor who will support the work of the form tutors by working with individual students to help remove barriers to learning. The Learning Mentor's role will also include links with external agencies such as social services and the Education Psychology service. The progress of students from potentially vulnerable groups, such as 'looked – after' children, will be closely monitored by the Learning Mentors and/or Outreach Worker, so that appropriate intervention measures can be employed. The school's SENCO will ensure that children with Special Educational Needs are appropriately supported.

### Home-School Agreement

Students' success is dependent on the active co-operation of parents and guardians. In order to maximise this, parents will be expected to agree to a Home-School agreement which will set out what they can expect from the school and how they can support their child. The contract will include agreement to support the school's uniform, behaviour and discipline policies. The contract will initially be written by the school's leadership group, in consultation with the governing body, but as the school grows it is expected that teaching and support staff, parents and students will be actively involved in revision and further development of the contract to ensure it is as effective as possible.

It is recognised that some students will come from homes where financial, health and/ or personal difficulties may prevent parents from being able to offer appropriate nurturing and support to their children. In such cases it will be the role of the Outreach Worker, learning mentors and form tutors to work sensitively with such families, in association with external agencies if appropriate, to secure the best possible outcomes for the children concerned. The school will place a high priority on monitoring the progress and welfare of children identified to be from potentially vulnerable groups (such as looked -after children).

### Extended Form period

A distinctive feature of the school's pastoral model is the daily half hour extended Form Period. A likely weekly programme will be:

Monday:	PSHE
Tuesday:	Citizenship
Wednesday:	Character development
Thursday:	Year Assembly
Friday:	Opportunities for one to one mentoring by Sixth Formers and ITE trainees; Tutor led activities such as: team building; study skills; career programmes; target setting and monitoring

The Sixth Form tutors will use this extended Form Period to work closely with individual students to support, for example:

- University entrance planning and applications
- career planning
- research and study skills
- target setting and monitoring of progress
- leadership and independence
- team work; communication skills

One day a week during the Form Period, the Sixth Formers will mentor individual students in the 11 – 16 school. This will be a carefully structured and supervised programme enabling 6<sup>th</sup> formers to work on a one to one basis with children according to their needs. This might include:

- improving reading / numeracy skills
- raising aspirations
- supporting study skills
- motivating and encouraging students to work hard and behave well

### After school activities

One of the form tutor's responsibilities in the 11–16 School is to advise and guide each pupil, according to individual talents, interests and aspirations, on the choice of two extra curricular activities a week. Tutors will help motivate students to persevere with activities, support them in taking on new ones and will monitor their attendance and success. The form tutor will also ensure that students are gaining maximum benefit from the supervised after school study sessions.

In the Sixth Form, the form tutor will be expected to support and inspire students to take on leadership roles (within the Sixth Form, the 11–16 school and the local community). For example sixth formers will be expected to be involved in leading some of the extra curricular activities provided for 11 – 16 students. Sixth Form

tutors will also encourage students to fully engage in the wealth of extra curricular, community and enrichment activities provided by the school and the University of Birmingham.

### Mentoring and Coaching

One of the most distinctive features of the UBSS is the provision of an outstanding level and quality of mentoring.

This will be through:

- the Sixth Form leadership programme
- ITE trainee teachers
- Staff and students from the University of Birmingham

There will be appropriate training, safeguards and monitoring in place, overseen by an Assistant Headteacher in the 11 – 16 school, in liaison with the Vice Principal of the Sixth Form and the ITE leader.

### Student Voice

The school will place a high value on involving students, age appropriately, in the running of the school, including decision making processes. This is seen as an important part of the education of all the students and sixth formers in developing an understanding of democratic principles and processes and giving them the skills to become responsible, active adult participants in our society. This will include:

- having elected and representative form captains in the 11 – 16 school and leadership posts of responsibility in Year 11 and the 6th Form
- a school/ staff council
- visits from local councillors/ members of parliament
- mock elections to mirror those in society
- a thriving public debating society

The University has found student feedback via module evaluations and National Student Survey returns to be very useful in prioritising investments and identifying areas for improvement. The University School will be able to learn from this experience. Student feedback will be solicited each year via focus groups, and in older years via questionnaires as well. This information will feed into school improvement activities.

### Careers

One of the school's key purposes is to ensure that every student develops achievable but challenging aspirations for Higher Education and future careers. There will therefore be a high quality career programme in both the 11 – 16 school

and the Sixth Form to ensure that students are given appropriate information and guidance to enable them to:

- choose curriculum pathways which keep the widest possible options open to them
- reflect on how their interests, skills and aptitudes might suit them for particular career paths
- enhance their future education and career prospects through involvement in a wide range of extra curricular and community activities
- develop the broadest possible skills and character qualities which will give them the foundations for successful and flexible careers throughout their lives

The form tutor will have core responsibility for educational and career guidance, within the extended Form Period. However additional support and guidance will be provided through the University of Birmingham's expertise, particularly in advising and guiding students on option choices for Key Stage 4 and for University applications.

Staff from the University of Birmingham who volunteer as mentors will have an important role in helping to raise students' aspirations and providing individual guidance and support over educational and career choices. Through the School's links with the University and local businesses, expert advice will be available to support older students and sixth formers in application writing and interview skills.

### **How will the University School manage behaviour and discipline?**

The School will expect the highest standards of behaviour from all students and students in order to ensure a safe and effective learning environment for all. This will be achieved by:

- the form tutors' close knowledge of individual students, monitoring of behaviour and regular communication with parents
- the highest quality teaching in all lessons, with appropriate pace, challenge, support and differentiation to meet individual learning styles and needs
- provision of a broad and balanced curriculum in the 11 – 16 school, with one to one support for individuals with learning difficulties and below average literacy and numeracy, ensuring that all students can find success
- strong, inspirational adult role models in the school's teaching and support staff, the trainee teachers and the volunteer mentors (staff and students of the University of Birmingham)
- an inclusive approach to managing behaviour

- effective policies on anti bullying, racism, sexism and homophobia, underpinned by the teaching through PSHE, RE and Citizenship of moral codes and values
- promotion and celebration of each child's individual talents and strengths through the extra curricular and enrichment programmes
- a distinctive emphasis on developing self discipline, leadership and social responsibility through the school's programmes of character building, Citizenship and PSHE. This will include helping students develop qualities of self confidence and esteem, respect and tolerance for others, personal integrity and honesty, a desire to serve others in the local and wider community through charity and volunteering activities
- Learning Mentors in the 11 – 16 school will provide additional guidance and support for students who have specific behaviour needs, liaising where appropriate with external agencies
- promotion of high standards of professional dress by the school's teaching and support staff; a smart, age appropriate uniform for students and for sixth formers

### *Behaviour Management Policy*

Parents/ guardians will be expected to agree to support this policy as part of the Home / School contract.

Staff, students, parents and governors will be fully consulted and involved in the planning of the policy, though the initial policy will be written by the new head teacher in consultation with the governing body. The aim of the policy will be to motivate students to behave well through praise and rewards. There will be clear rules which will promote a positive working and learning environment and ensure that all students feel safe and secure. There will be an easily understood and proportionate system of consequences and sanctions for unacceptable behaviour, which all staff will apply consistently.

### *Exclusions policy*

An exclusions policy, in line with current DfE guidance, will be written and approved by the school's governing body. The head teacher will always act in accordance with the law on exclusions and, along with the governing body, will have due regard to any guidance issued by the Secretary of State when drawing up and implementing the procedure for exclusions. Students who are identified as being vulnerable to exclusion will be supported through provision identified in SEN and/or pastoral support systems.

The emphasis will be on seeking to find ways to support students to maintain the high standards of behaviour expected, with exclusion, temporary or permanent, being seen as a last resort when all other interventions have been exhausted. It will be the duty of the head teacher and governing body to ensure that the interests of

the safety of students and staff and the quality of the learning environment are always the primary considerations and to resolve appropriately conflicts between the needs of the individual pupil and those of the full school community.

The school will ensure that parents are able to take an appeal about exclusion to an independent appeal panel – having a Service Level Agreement with the local authority for use of the independent appeals panel established locally with suitably trained panel members and clerk. The constitution and functioning of any independent appeal panel will be in accordance with the Secretary of State's guidance on exclusions with respect to Academy and Free Schools.

### Attendance

A pupil's happiness and success in school is underpinned by regular attendance. The school will provide a rich and varied experience of the highest quality teaching and breadth of sporting and extra curricular experiences to ensure that students enjoy their education and feel valued members of their school community. It is anticipated, therefore, that unauthorised absence will be less likely than in many current schools. Other measures to maximise attendance include:

- electronic registration of students at the start of every lesson and the supplementary activities at the end of the day.
- an Attendance Officer will have an important role in monitoring data and liaising with form tutors and parents
- unauthorised absence will be followed up promptly by parental contact
- the form tutor will have a central role in working with students and parents where there are issues of concern about attendance so that underlying reasons can be identified and appropriate support provided
- the school will accredit and celebrate students who achieve high attendance
- students who have extended absence through illness or family trauma will be fully supported by the school; this will include the use of the school's interactive VLE (Virtual Learning Environment) and regular personal contact from the form tutor or learning mentor.

In summary, therefore, high quality attendance data will be collected and available to staff, students and parents.

Excellent attendance will be identified and celebrated. If an attendance issue is identified, the form tutor will immediately address this with the student if in school and with parents to result in improved attendance. If attendance continues to cause concern, the Attendance Office will liaise with the parents and form tutor to monitor and manage an improvement. If there is no improvement or if additional issues are identified, a Case Conference will be held to analyse the issues and identify ways to address these. Other agencies will be involved as appropriate.

## **What are the key characteristics of the University School's community and the students who will come to the School?**

Birmingham is the most ethnically diverse city in the UK, with an estimated non-white population of 36%, compared to a national average of 7.9% (30.4% in London). In 2010, 20% of Birmingham's population was born outside the UK and 14% outside the European Union. If trends continue, Birmingham will become Britain's first city with a majority non-white population, estimated to occur in 2024. 35.5% of Birmingham secondary pupils speak English as an additional language, compared to 11.7% in England as a whole.

Birmingham also has relatively high levels of child poverty, 34% overall compared to 20.9% nationally. All except 7 of Birmingham's 40 wards have levels of child poverty that are higher than the national average. In the most disadvantaged areas, 60% of children are growing up in poverty. Neighbouring Sandwell (31%) and Dudley (22%) are also above the national average for child poverty. At secondary level, Birmingham has 33.9% of pupils identified as coming from economically disadvantaged backgrounds (compared to 14.7% in England as a whole), and 32.8% qualifying for free school meals.

The widespread nature of poverty in Birmingham hints at another feature of the community: the existence of pockets of deprivation often very close to relatively affluent and privileged neighbourhoods. The diversity of the population in Birmingham is reflected in very varied cultural attitudes to education, aspiration and achievement. This is underscored by research done by the King Edward's Foundation (which supports many of Birmingham's highest achieving schools, both grammar and independent) and shared with the University of Birmingham. In their selective schools, some Asian groups are over-represented relative to the city's demographics, while others under-represented. Children from white working class and African-Caribbean backgrounds are also under-represented at their selective schools.

The resulting picture is of pockets of low aspiration and low achievement.

The University School, with its broader catchment area and nodal approach to admissions, will seek to bring together Birmingham's diversity by focusing recruitment efforts in areas of low aspiration and achievement and bringing those students into a learning community characterised by high aspiration and high standards, where students from all backgrounds will be stretched to achieve their maximum potential.

## **How are the characteristics of this community reflected in the educational plan for the University School?**

Because the vision of the University School is to raise aspirations and achievement, the curriculum is academically-oriented. Instead of altering this curriculum to address

differential achievement and background, the University School will work with students as necessary to support them to achieve at the required level.

The following attributes of the School and its approach will make this possible:

- Excellent and experienced teachers will have the skills to assess each student's needs and develop an appropriate learning plan for that student, within the curriculum framework laid out by the School;
- Lower teacher-student ratios and the additional support of trainee teachers and mentors/coaches from the University will provide the human resources to focus one-to-one assistance as necessary;
- Transition points will be particular areas of focus, of both attention and resources, to help students cross those difficult divides between primary and secondary, 11-16 to sixth form, and sixth form to university;
- Excellent advice and guidance will be provided at every stage, informed by the form tutor's knowledge of each student and their development, to assist each student to make the best choices for themselves;
- Key Stage 4 has been extended to three years to give students who face challenges the most opportunity to get the essential qualifications;
- Character education and a "whole person" approach to education will wrap around the academic offering to support the students in developing the personal skills and attributes they need to succeed;
- The enrichment available via the University's engagement with the School will provide a varied approach to teaching the curriculum which will maximise its ability to "hook" students who learn in different ways; and
- Extracurricular activities will be integrated into School life and will give students who have to work harder in the classroom other venues in which to shine.

### **How will the University School work with other schools?**

The University of Birmingham has a deep admiration for the work that Birmingham schools do. Despite the challenging demographic picture in Birmingham, outlined above, Birmingham schools have achieved higher-than-average improvement at Key Stage 4 over the past four years, rising from below average 45.5% achieving 5 grades A\*-C at GCSE including English and Maths (average in England 48.2%) in 2008 to catching up to the national average of 58.2% by 2011. This impressive increase demonstrates that many Birmingham schools already achieve high value added, an observation borne out by the fact that Birmingham secondary schools have an average value-added of 1015. Innovations continue to enrich the educational landscape in Birmingham, with many schools becoming academies, gaining specialist statuses, and most recently the creation of two new 14-19 academies focus on the arts and engineering.

The University School will be another innovation in the Birmingham secondary sector and as such will benefit the children and families of Birmingham.

The University School will become part of the “family of schools” in Birmingham and will co-operate with primary schools, secondary schools, and sixth forms and further education colleges on a regular basis.

These relationships will build on the University of Birmingham’s long history of working with schools – primary, secondary and further education – in Birmingham and its region, via its Widening Participation and Outreach activities and via the School of Education’s relationships with ITT school partners. It will not supplant any of these activities, but we hope that it will enrich them.

- Links with primary schools will focus largely although not exclusively on outreach, raising aspirations, and recruitment. The work of the Outreach Worker has been explained above, and this person will be a regular presence in various primary schools within the catchment area. Members of the School Leadership Team will also periodically visit the primary schools to make sure the Schools remains aware of issues affecting them.
- Links with other secondary schools will take various forms. Many of them will be driven by the University Training School and are detailed below. However, it is possible, timetables permitting, that students from other schools might come to the University School to pursue a subject they are not able to do at their own school, or vice versa. This is most likely to occur at Sixth Form. In addition, teacher exchanges may take place through the various local school networks. The University School will also engage with other 11-16 schools in the region to do outreach and recruitment to the Sixth Form. We would also hope to have mutual arrangements with other 11-18 schools which have a break point at 16, although we anticipate these arrangements will take more time to develop.
- Links with other sixth forms and FE colleges will be quite developed, as students from the 11-16 School who don't wish to pursue Sixth Form at the University School will be able to explore other educational pathways at those institutions.

We have already begun a programme of outreach to local schools at primary, secondary and FE levels, sharing our plans and engaging with headteachers and other representatives. These discussions have yielded a number of interesting insights, some of which have influenced the plans put forward in this document.

There is some concern in the secondary sector in Birmingham that the University School might unbalance the sector, especially in the southwest region where there is overcapacity for the next few years (rapidly eroding after the middle part of this decade). We believe that the numbers of students we expect to attract when spread

over the catchment area we will target should not be destabilising, and we have defined our admissions policy in part to ameliorate any disproportionate impact on the nearest secondary schools. We intend to continue engaging with the local schools in a spirit of openness, as we believe there are important synergies and collaborations that can be developed and exploited through dialogue and sharing.

### **How will the University School link with the University of Birmingham?**

The University of Birmingham is the University School's sponsor, and is committed to its success, both as a School and as a University Training School.

The School is a University School, which means that the students in both the 11-16 School and the Sixth Form should develop a strong affiliation with the University of Birmingham through regular interaction. This both enriches their experience at the School and plays an important part in the School's ambition to raise aspiration, by demystifying universities in general and the University of Birmingham in particular.

There is a tremendous enthusiasm for the University School across the University. Suggestions have poured in about how links between the University and the University School might develop. Relevant examples have been included in the curriculum sections of this document. This engagement will naturally evolve over time in response to specific opportunities, shifts in pupil interests, and changes at the University and the University School.

The University School will benefit from access to the University's world-class facilities, including sports facilities (which are being upgraded in the period leading up to September 2014 and will include Birmingham's first 50m pool, climbing wall, indoor and outdoor courts and pitches, and women's-only exercise facilities), library facilities (including special collections and archives held at the Cadbury Research Library), and cultural facilities, such as the Barber Institute of Fine Art, the Lapworth Geology Museum, Winterbourne House and Gardens, the Shakespeare Institute in Stratford, the Ironbridge Institute, and the state-of-the-art Bramall Music Building, opening Summer 2012.

University academics will regularly engage with University School students, providing occasional enrichment at Key Stage 3, increased support at Key Stage 4, and regular masterclasses and curriculum enhancement at Key Stage 5 (Sixth Form).

School students will benefit directly and indirectly from the University's networks and expertise. The University will be one of the first ports of call for the School as it seeks to identify partners for academic and non-academic activities. For instance, the ability of the Department of Theology and Religion to offer to RE teachers its extensive links with faith groups in the city has been highlighted above. The University's Careers and Employability Centre has equally extensive employer networks and expertise in careers advice which will seed and enrich the School's careers advice. The University has staff from many functional areas (e.g.,

accounting, HR, marketing, as well as academic routes) who can speak to School students about different career paths.

University students will also engage with the University School, both as volunteers (particularly supporting extracurricular activities and serving as mentors and homework buddies), and as work placement, especially for students considering teaching as a career. Ideally work placement students would eventually become the University Training School's trainee teachers.

School students will also be able to do work placements at the University, in both academic and non-academic areas.

We note that in implementing any of these ideas, child protection issues will need to be considered.

### **What does it mean that the University School will be a University Training School and how will it interact with the University of Birmingham around this function?**

Teacher education is a core function for the University School and sits at the heart of why the University of Birmingham is seeking to sponsor this school.

The University Training School model of Initial Teacher Training (ITT) comes from Finland and has been introduced to the UK in the 2010 White Paper "The Importance of Teaching". UTSs are characterised by intensive "clinical-style" teacher training in the classroom, educational research and monitored innovation in teaching, and close ties with a university.

As well as hosting some of the School of Education ITT trainees, the University School will be a school-centred ITT provider (SCITT), distinctively work-based and innovative but seeded by and having clear synergies with the ITT programmes at the University of Birmingham.

An application will be made to the TDA/DfE to establish a SCITT, based at the University School and covering, initially, up to four STEM-related subjects. The SCITT will aim to recruit very high-quality trainees seeking a school-based approach to their initial training. The offering will be especially attractive as it will also be linked to an outstanding University. The SCITT will run alongside the University's own ITT programme and will complement it. The University School will develop a fully "School-led" approach to this wholly new ITT programme, based in the University School and accredited at Masters level through the University School of Education. Detailed costings are available on request which show this to be financially self-supporting.

All teaching staff at the School will be educated to at least Masters level and all will be trained on the University's ITT mentoring programme. In conjunction with academics from across the University they will make connections between research

activity, teacher preparation and children's learning. The four-way partnership of trainee teacher, mentor, teacher educator, and academic will keep in clear focus the priority of providing opportunities for children and young people to achieve the best possible educational and personal development outcomes.

As the SCITT is becoming established, it will draw on the best aspects of the current University of Birmingham's ITT programme. As an OFSTED "Outstanding" provider for both primary and secondary initial teacher education (ITE), the University's School of Education is one of very few holding a TDA rating of "A+" for both sectors. As a well-established provider of continuing professional development (CPD), the School of Education has developed a highly rated portfolio of Masters level programmes and modules in a wide range of specialist subjects and areas all designed to support teacher improvement. Moreover, as a research-led School of Education with an international reach running open lectures, seminars and workshops, the School will enable teachers and trainee teachers to access research and practitioners with a global perspective as part of an international community of practice.

In terms of ITT, with a network of engaged partnership schools across the sub region, with programmes covering the full range of English Baccalaureate subjects plus RE and with research active staff holding high level academic qualifications and with excellent professional experience including that of senior school leadership, the School of Education is very well placed to contribute to the University School's ITT work. Indeed, some trainees from the University's ITT programmes will be placed in the school as appropriate, but a much more significant development is planned based on working with the University School as a full University Training School.

The School of Education will, therefore, make a vital contribution to the University School, bringing to bear a unique combination of school improvement focused research and teaching and professional strengths which places the quality of teachers, teaching and Teacher Education as central to sustainable and meaningful school improvement. (Davies and Dunnill 2008, Pang and Marton 2003, 2005, Rockoff 2004, Stigler and Hiebert 1999).

The University School's SCITT will also be informed by other innovative ITT programmes. The School of Education has and is forging and strengthening innovative ITT partnerships with the region's network of Teaching Schools and their Alliances.

The University School's SCITT will also learn from other ITT programmes further afield and rated "Outstanding" by OFSTED, particularly those that are already led by SCITTs and Graduate Teacher providers, for instance, at Thomas Telford School. As a network of UTs develops around the country, the University School and the School of Education will work together to play a leading and engaged role to test, embed, develop, and improve the model for the UK.

Research will be another area of fruitful collaboration. The central concern of the University School will be to improve the outcomes of learning for students. This does not imply a deficit approach to improvement. Indeed, the intention is that the University School will attract and employ the best teachers and school leaders available and that they will be securing high level outcomes for their students as soon as possible. Rather, it is about building a teaching focused improvement culture into the University School from the very beginning. To do this it will collect and analyse data on all aspects of its work in order to evaluate its effectiveness, to identify areas for improvement and to develop strategies for securing such improvement. Invariably, most of this will relate to teachers and improving their work with students.

The School of Education will help to turn this into reality by forging connections between the University School's Improvement agenda and ITE, CPD for individual teachers and research. University School staff will be encouraged to engage in part-time doctoral studies and research work in collaboration with the School of Education, growing the number of Doctoral qualified staff and adding hugely to the School's capacity for further innovation and improvement.

Through such close working relationships, the University School will help the School of Education to make theory and practice inseparable. Praxis, this integration of theory and practice, is seen as fundamental to promoting teacher autonomy, professionalism, and high quality outcomes for students. It is also vital to rigorous research in a field so tied to practice as education, thus enriching the School of Education's contribution to the world of educational research.

This approach to collaborative working between the University School and the School of Education allows ITE, CPD and research to become intrinsic parts of the school improvement process. Moreover, it really does embody what the research on University Training Schools shows to be effective and will allow other schools and Universities, both in the UK and internationally, to learn from the work of the University School.

The result will be a school-led and based, innovative, rigorous and challenging ITT programme, run by University School staff, supported by the School of Education, and designed collaboratively to provide both excellent new teachers and research data that will inform the School, the University and the sector on the development and impact of such ITE programmes.

### **How will the University Training School and its teacher education mandate benefit the local community?**

In addition to the ITE issues outlined above, there are a three particular ways in which the University School will benefit the local community.

1. The University School will become a Subject Updating “hub” for the region. This is an area that most teachers identify as essential to their continued development yet it is often the aspect of CPD hardest to access. The University School will have links to every relevant University of Birmingham specialist department so that subject specialist teachers from across the region can access regular updating opportunities with University experts.
2. The University School will act as a knowledge and development “hub”. It will share with other schools, the methods and outcomes of the research and development activities it is undertaking. It will invite participation from other schools and support such schools in developing their own projects and initiatives.
3. The University School will also learn from other schools in the region. As mentioned above the School of Education has and is forging and strengthening innovative partnerships with the region’s network of Teaching Schools and their Alliances. These are, themselves, truly “Outstanding” schools in their own rights, and the School of Education is working closely with them on a range of ground-breaking school improvement-related initiatives that include CPD, targeted school improvements and research. These Teaching Schools and their Alliances will not only benefit from being able to work closely with the University School, but they will also bring their own approaches and learning about school improvement to the University School and the School of Education. This is a two way process so that all may learn from everyone’s work.

All of this means that the University School will become an integral part of the regions education system, alongside other schools and, in particular, the Teaching Schools and their Alliances. In so doing, this increases the whole system’s capacity for improvement and benefits all students, families and schools.

### **What will be the benefit for students of the University School to it being a University Training School?**

Quite simply, they will receive a better education.

Most noticeable will be the impact on teacher numbers. Not only with the UTS funding enable the University School to hire additional teachers, who will have teacher training responsibilities as well as their regular classroom teaching, but it will also bring trainee teachers into the classroom alongside regular teachers. The presence of a trainee teacher means an additional person in the classroom, rather than the substitution of a trainee for a qualified teacher. The trainees will sometimes lead the class, but they will also be available to provide additional support to students who need it - or enrichment to those who learn more quickly than average.

In addition, experience has shown that it is the best teachers who are attracted to roles with teacher training responsibilities. These roles are satisfying and diverse, and the University School as one of the first University Training Schools will be in a strong position to recruit not just locally but nationally for people who are excited by the idea of building a new type of school.

And most importantly, the presence of trainee teachers will have a focused and direct impact on the capacity for continual school improvement at the University School. Approaches such as Teach First, which focus on school-led and classroom-based teacher training, have demonstrated the positive impact of high-quality trainees working with staff and students. Teach First in particular has demonstrated the positive impact on the work of the many teachers involved in working with the trainees as mentors, coaches and tutors, leading them to revise curricula, resources and strategies, all focused on improving outcomes for students.

## Section E: Evidence of demand and marketing – part 1

	2014				2015			
	A	B	C	D	A	B	C	D
<b>Reception</b>								
<b>Year 1</b>								
<b>Year 2</b>								
<b>Year 3</b>								
<b>Year 4</b>								
<b>Year 5</b>								
<b>Year 6</b>								
<b>Year 7</b>	150	296		197%	150	215		143%
<b>Year 8</b>								
<b>Year 9</b>								
<b>Year 10</b>								
<b>Year 11</b>								
<b>Year 12</b>	140	42		30%	200	50		25%
<b>Year 13</b>								
<b>Totals</b>								

██████████

This map marks in blue each post code area (e.g., ██████████, ██████████) from which we have received expressions of interest in the form of indications that the University of Birmingham School and Sixth Form would be their first choice.

The red marker indicates the identified site for the University School. The green marker indicates the University of Birmingham.

Due to the broad geographical reach proposed for the University School, targeted solicitation of expressions of interest has been done via primary and 11-16 schools.

Structurally, this approach has been far better suited to soliciting expressions of interest for Year 7 intakes, as primary schools will not perceive that the University School will be “in competition” with them. Secondary schools, even those only offering education up to age 16, will perceive an element of competition and the evidence shows that very few of the 11-16 schools which received letters distributed

them to parents or pupils. When a school does appear to have distributed them, we received between 4 and 10 expressions of interest from that school.

The result is that the demand evidence is less overwhelming for Year 12. We have scaled back our ambitions for the first year with respect to the size of the Sixth Form, but we believe (as explained in Section C) that it is critical to achieving the vision of the School that the Sixth Form be launched at the same time as the 11-16 School.

## Section E: Evidence of demand and marketing – part 2

### What are the exact questions we asked in our survey?

A full copy of the letters sent to parents and students is included in Appendix A.

The forms used were based on templates provided by the New Schools Network and both the hard copy and online forms were agreed by the NSN adviser before being used.

The survey sent to primary parents to collect evidence of interest in Year 7 entry is duplicated below in brown:

#### **Statement of support for the University of Birmingham School and Sixth Form**

Please note that this form can also be accessed and submitted online at



Please register your interest in sending your child to this school by completing the form below. Please use one line for each child. We are especially interested in interest for children currently in Years 3 and 4, but you may also express interest for those in younger years or for potential sixth formers.

To set up this school, we must be able to show parental support, particularly from parents who say they would choose this school as their first choice for their child. This information must be gathered in a particular way, so please complete all required fields below.

Your Name REQUIRED FIELD	Postcode REQUIRED FIELD	Child's date of birth REQUIRED FIELD	I would select (insert school name) as first choice for my child(ren)  <i>Please sign</i> REQUIRED FIELD	AND/OR: I am interested in finding out more information  <i>Please tick</i>	Email address (if you want to be kept informed)

If you provide us with your contact details we will keep you updated on our progress.

*Please note that this is an expression of interest. It does not commit you to sending your child to this school and it does not guarantee your child a place at this school. To obtain a place at the school, preferences will need to be expressed in the normal way via the process run each year by Birmingham City Council (or your relevant local authority if you live outside Birmingham) and admission will be based on availability and other admissions criteria in the case of there being more applications than places.*

It would be helpful to us if you could also indicate your child[ren]’s current primary school below, but this is not required: [BOX FOR RESPONSES]

If you have any comments to make about our proposal, please feel free to include those below. We welcome your input. [BOX FOR RESPONSES]

The survey sent to secondary parents and students to collect evidence of interest in Year 12 entry is duplicated below:

**Statement of support for the University of Birmingham Sixth Form**

**Please note that this form can also be accessed and submitted online at**



Your Name  REQUIRED FIELD	Are you the parent or the pupil?  REQUIRED FIELD	Postcode  REQUIRED FIELD	Pupil's date of birth  REQUIRED FIELD	I would select the University of Birmingham school as first choice  <i>Please sign</i>  REQUIRED FIELD	AND/OR: I am interested in finding out more information  <i>Please tick</i>	Email address (if you want to be kept informed)

Please register your interest in sending your child / attending this Sixth Form by completing the form below. Please use one line for each pupil. We are especially interested in interest for those currently in Years 8 and 9, but you may also express interest for those in younger years, including for entry into Year 7.

For our plans to proceed, we must be able to show parental and pupil support for this Sixth Form from those eligible to enter in September 2014 or September 2015, particularly from those who say they would choose this Sixth Form as their first choice.

This information must be gathered in a particular way, so please complete all required fields below.

If you provide us with your contact details we will keep you updated on our progress.

*Please note that this is an expression of interest. It does not commit you to attending this school and it does not guarantee you a place at this school. To obtain a place at the school, preferences will need to be expressed in the normal way via the process run each year by Birmingham City Council (or your relevant local authority if you live outside Birmingham) and admission will be based on availability and other admissions criteria in the case of there being more applications than places.*

It would be helpful to us if you could also indicate your child[ren]'s current primary school below, but this is not required: [BOX FOR RESPONSES]

If you have any comments to make about our proposal, please feel free to include those below. We welcome your input. [BOX FOR RESPONSES]

### **How have we engaged directly with the community about the University School?**

The University of Birmingham was informed that we would need to submit a full application to the free school deadline only shortly before Christmas 2011. Therefore, our marketing and collection of evidence of demand has taken place over a relatively short period. This process has been further complicated by the broad geographic ambition of our school, which has been developing during the period leading up to this application. This ambition has made traditional methods used by free schools to publicise their plans less relevant for our application.

We note that this has inevitably led to an imperfect approach to collecting evidence of demand, and the evidence we present should be understood in that light. There is still considerable work to do to market into the harder-to-reach communities in Birmingham, whose engagement will be critical to the University School's ability to achieve its stated goals.

Our marketing and outreach to date has included the following:

- Launch of a website at [www.birmingham.ac.uk/university-school](http://www.birmingham.ac.uk/university-school), with information about the school and a web form, approved by the New Schools Network, which collects evidence of demand data for both Year 7 and Sixth Form;
- Press release, cover story in the Birmingham Post on 19th January, interview on Radio WM;
- Email to our own staff (6,000, including over half non-academic staff) and follow-up discussion at a Vice-Chancellor's Open Forum;

- Letters to local schools, informing them of our plans and inviting them to a consultation meeting;
- Letters to parents of children in Years 3 and 4, sent out to our ITT partnership primary schools in Birmingham (5,755 letters sent to 49 primary schools – we do not know how many of these were distributed);
- Letters to parents and students in Years 8 and 9, sent out to 11-16 schools in Birmingham (8,600 letters sent to 33 11-16 schools – we do not know how many of these were distributed but the evidence suggests that relatively few were);
- Consultation meetings with secondary and primary schools, and also a meeting between the Vice-Chancellor and the heads of local further education providers.

We know that these efforts have led to a significant word-of-mouth discussion amongst parents in Birmingham, and evidence of demand has been steadily coming in via the website and in the post.

We have also had discussions with some key stakeholders in the community, including Birmingham City Council officers, local councillors, and the Birmingham Chamber of Commerce and Industry.

We will continue to gather evidence of demand via our website and letters.

We also intend to begin a consultation around our proposed site, as we are already receiving a number of questions about where the school would be located. We anticipate that this will raise the profile of the school further and generate further evidence of demand.

We are very aware that our current methods of generating demand are not well suited to some of the segments of the population we want to reach, including those with low literacy skills or who speak poor or no English. We know that some schools delayed or did not send out the letters to the parents because they felt they would not be understood.

We recognise that reaching these people will require face-to-face engagement, often over a period of time. The exigencies of the application process have not permitted this kind of engagement to date, but we intend to develop a multi-faceted outreach plan if the application is approved. We have already had some discussions with primary schools that serve less advantaged populations about how such an outreach plan might be structured, and they believe that with the right engagement our offer could be of great interest to their parents.

## **How will the University School reach diverse and difficult-to-reach populations?**

It is important that the University School begins to attract the right socioeconomic and geographic mix from its very year of operation. Based on the demand data we have gathered, we anticipate that the University School will easily be able to recruit in more affluent areas.

However, reaching into deprived areas is more challenging for a number of reasons.

- Students in deprived areas are less likely to travel to school, for reasons of culture, practice, and cost;
- Some parents and children will have no experience of or interest in academic aspiration or higher education, which are both integral to the University School's offering;
- Some parents will not speak English, or will struggle with the language, making outreach reliant on translators;
- Some parents will not be able to read the paperwork or understand the admissions system due to poor literacy or lack of interest;
- Some parents and children, particularly from certain cultural groups, will be unlikely to trust an outside group.

Our approach to date for generating evidence of demand, based on letters and the printed word, is not well suited to reaching these segments of the population. We have spoken to primary schools in deprived areas about how to recruit into our Year 7. They have advised that the process requires relationship-building over a number of months, face-to-face meetings, the engagement of champions in the primary schools who the parents and children trust, and working with teaching assistants fluent in the diverse languages spoken in Birmingham. The offer will need to be explained and parents will need to accept that it will offer advantages to their child and to understand how to access it (i.e., how the admissions system works). With the right engagement, the primary schools believe that our offer could be of interest to their parents.

The exigencies of the application process have not permitted this kind of engagement to date, but we intend to develop a multi-faceted outreach plan if the application is approved.

Our proposal includes an Outreach Worker (OW) from Year 1 to support this process, and the University is committed to supporting this resource before Year 1 in order to ensure that the critical first intake is balanced and meets the School's goals. The OW will develop relationships with primary schools around the selected nodes, developing relationships with the schools and working with teachers to understand the University School's offer and which pupils would benefit from our approach. The OW will then work with those teachers as champions to reach out to parents, with regular visits to the primary schools, reaching out to other community groups and

agencies, and providing advice, support and guidance to parents, carers and children wishing to apply to the School or Sixth Form. This outreach work will benefit from the School of Education's partnership networks with primary schools in the city, as well as the University's Widening Participation links.

There are particular parts of the University School offer which we believe will be attractive to these populations, based on our discussions with primary schools. These include

- Making transport solutions available (see below);
- The extended school day;
- The focus on character education;
- Sporting opportunities;
- Additional support in the form of enhanced teacher-student ratios and tutoring and mentoring by trainee teachers and undergraduates;
- Enhanced future opportunities for their children.

Transport is a key factor in making this admissions policy work. Our proposed site is favourably located for existing public transportation, both bus and rail routes. It sits on a major transportation artery, the A38, which has recently benefitted from significant upgrades via a series of bypasses. It is also close to a major hospital, which means many transport routes pass nearby.

In addition, Birmingham already has a fairly widespread network of school bus routes, largely run on behalf of the King Edwards Foundation schools (grammar and independent) by the Green Bus Company. We have already initiated discussions with the King Edwards Foundation to understand their experience with bus routes, how they have defined them, how much they have cost, and how the students have reacted. There may be synergies even to the extent of sharing bus routes or expanding the network to help them also reach out into new communities.

We also recognise that the Department for Education will not subsidise transport costs for free schools, and we anticipate that this will be an area where we will seek other sponsorship. The University of Birmingham has an extensive fundraising capacity, and we are confident that we will be able to attract external support for transport. We also intend to seek support to sponsor breakfast clubs, school uniforms, school trips, and other incidental expenses so that no pupil is prevented from joining or participating fully in the School for financial reasons.

### **What is planned to make the University School a resource for the wider community?**

Schools are frequently anchor points for the community and get used for a wide variety of activities. We would envisage this also being true for this school, especially as there are significant new housing developments planned over the next few years for sites near to the proposed site (see section H below).

We anticipate hiring out the sports/assembly facilities and playing fields, as most schools do to generate additional income. This would be accessible for booking via the school office or website, as would be standard practice.

We anticipate allowing access to certain learning resources, such as the library or internet at the school, as long as it does not interfere with the students' learning. A library currently on the site is often used as a resource in this way and we would hope this beneficial use would continue.

The School as a University Training School will also become a hub for school improvement in Birmingham. This is detailed at the end of Section D above.

### **What discussions have we had with the Local Authority?**

Discussions about the University School have been underway with Birmingham City Council for some months, at a Senior Officer level (██████████) as well as within the Education Department.

The University has met with the ██████████ and the ██████████ to discuss issues around admissions, pupil place planning, and the distribution of under- and over-capacity around the city. This meeting corroborated evidence the University and its advisers ██████████ have gathered independently about the need for additional secondary school places in Birmingham. This evidence is laid out in more detail immediately below.

We also discussed admissions strategies, and the Local Authority is willing to support the University School in developing the detail of its admissions policy, using its detailed work on capacity in the city, helping to model the impact, and drawing in lessons from other examples, including the experience of the Aston University Engineering Academy and the Birmingham Ormiston Academy, both opening in 2012.

### **What evidence has been collected about the need for school places?**

Birmingham is a growing city, with an estimated 5% population increase between 2001 and 2010. This upward trend is the result of immigration, reduced death rates, and higher birth rates. The population is projected to continue rising significantly over the next 15 years.

Birmingham is also a comparatively young city, with an average age of 36 (compared to 39 in the UK as a whole, 40 for London). There are 280,000 children aged 0-19 in Birmingham, 41% white. The birth rate in Birmingham has risen from a low of 14,426 in 2000/01 to 17,240 in 2010 (an increase of 19.5%), and projections suggest that this increase will continue for some years yet, or at the least that this higher rate will be maintained.

The previous peak in birth rate occurred in 1991 at approximately 16,000 live births. Since that time the local authority has been encouraged by the Audit Commission and the DfE to remove surplus places in schools, resulting in less accommodation in schools now than there was in 1991.

The implication of a growing birth rate and a reduction in school capacity is clear: there will need to be an increase in places in all year groups to accommodate the sustained rise in the size of the year cohorts. In addition, the increase in births is, in the main, concentrated in areas which are already experiencing high pressure for school places. As a result, Birmingham City Council pupil place planning recognises that existing school place capacity will not be sufficient to meet demand. The scale of the growth has not been seen since the post-war 'baby boom' and so capacity in the city must increase at the fastest rate for 50 to 60 years. Legislation and reduced lack of space for building and expansion make this task even more challenging than it was post-war.

Year	Sep11	Sep12	Sep13	Sep14	Sep15	Sep16	Sep17	Sep18	Sep19
Projection	12094	12103	12603	12899	12988	13409	13767	14325	14642
Capacity	12792	12812	12812	12812	12812	12812	12812	12812	12812
Spare	698	709	209	-87	-176	-597	-955	-1513	-1830

*School Place Planning Memo, 5 July 2011, Birmingham City Council*

Primary schools are already feeling the impact of the demographic wave, and the City Council anticipates the need to create some 21,000 additional primary school places (spread over the 7 years of primary school) over the next few years. The initial push for places is occurring in the central regions of Ladywood, Nechells, Washwood Heath, and Bordesley Green, with a secondary push to occur in south/south-western Edgbaston, Harborne, Quinton and south-eastern Sheldon.

As the larger primary school cohorts move through the system, secondary schools will also be affected. The Council expects that demand at Year 7 will outstrip supply by September 2014, and by 2020 there will be a need for at least 2,000 new Year 7 places in the city, focused in the central and southern areas.

In general, school capacity in Birmingham is spread unevenly around the city, with under-capacity in the central parts of the city and over-capacity currently in the south and southwest, where our proposed site is located. However, population figures show that the areas of over-capacity will become areas of under-capacity within a few years (estimated by 2017/8). In addition, Birmingham also has quite extensive travel-to-learn networks, due in part to the high number of grammar and Catholic schools with very large catchment areas.

The University School will not be a community school, but a regional school with a larger catchment area, thus making its location less of an issue as long as travel factors can be taken into account. We do recognise that a significant part of the population we are targeting is frequently less willing to travel to school, and we are considering various outreach and travel strategies to address this issue. Two new academies opening in Birmingham this year (Aston University Engineering Academy and Birmingham Ormiston Academy) will also seek to draw from a larger catchment area, and we hope that we can learn from their experience.

It is also worth noting that there are a number of new housing developments planned in the southwest region of the city, including a number within a mile of the proposed University School site (i.e., [REDACTED], [REDACTED], and possibly [REDACTED]). The old [REDACTED] at Longbridge, in this region, is also a focus of development and easily accessible to the proposed site. It is not yet clear how much of an impact these will have on capacity in the region.

The City Council is due to publish more detailed pupil planning assessments, ward by ward, in April 2012. This information will be important in providing evidence about the educational landscape in Birmingham and will inform our admissions approach.

Birmingham City Council is currently doing extensive work on the impact of Raising Participation Age (RPA). This will have an impact on the secondary sector overall, although it is expected to be more concentrated around providers of vocational qualifications than academically-oriented sixth forms.

## Section F: Capacity and capability

### **What educational expertise will the University School draw on to deliver its vision?**

The vision for the University School has emerged from the University of Birmingham, and the University of Birmingham is committed to dedicating the educational and operational expertise required to take this project forward.

The School of Education has had and will continue to have a leading role in shaping the educational vision and supporting the educational needs of the University School. This will be an integral part of the School's activity, led by its ITT section but with input from across the School. It is anticipated that significant time and energy will be required at different points during the two years before start-up, before engagement reduces but becomes an integral part of how the School of Education and the University School operate.

The School of Education, which has 97 academic staff of whom a quarter hold Qualified Teacher Status, is a centre for educational thought and pedagogy in the West Midlands. It has been training teachers since 1912. It currently graduates 120 primary and 219 secondary teachers each year, about half of whom stay in the West Midlands. As an OFSTED "Outstanding" provider for both primary and secondary initial teacher education (ITE), the University's School of Education is one of very few holding a TDA rating of "A+" for both sectors. It is a leading trainer of teacher in strategically important and vulnerable subjects, including physics, chemistry, mathematics, and modern foreign languages.

The University's School of Education also provides a full range of continuing professional education programmes for teachers, often through partnerships with schools and other organisations. These include Special Educational Needs (SEN) specialisms in visual and hearing impairment, autism, dyslexia, inclusion, and severe and multiple learning difficulties. Other strengths lie in the areas of Early Professional Development, Bilingualism, English for Speakers of Other Languages, School Improvement, and Educational Leadership, with a growing number of programmes implemented in partnership with schools.

The School of Education will play a significant role during the University School's start-up period. The School's goal during the early phases of start-up will be to put in place the foundational vision, frameworks, relationships, and resources so that as the University School recruits its own staff they will have a manageable task. Once the Principal Designate has been named and can begin to dedicate time and effort to the School, the School of Education's role will need to diminish in a controlled and planned way, so that the Principal Designate and his/her team can develop their own

ownership of the University School and its development. The School of Education's role will include the following activities:

- Shaping and refining the curriculum, including around character education, before handing off to the Principal Designate and his/her team in due course
- Shaping the management structures and policies of the University School
- Recruitment of staff, including using their networks to identify and solicit candidates, participating in long and short-listing, sitting as part of the interview panels, and working with new staff to understand the vision for the University School
- Working with the local schools, both primary and secondary, around outreach and student recruitment, developing links and assisting the University School to become part of the local networks, identifying areas of mutual benefit
- Developing the School's initial approach to establishing a SCITT, including liaising with the TDA, Outstanding SCITTs, and other UTSs, before handing off to the Principal Designate and his/her team
- Supporting the School in recruiting its first SCITT cohort through the School of Education's administrative structures

The School of Education will continue to play a role after the University School has become established, although it will be supportive to the Principal Designate and his/her team rather than leading. It will include the following activities:

- Advising the University School on aspects of curriculum, both for secondary education and ITT
- Supporting the University School in managing aspects of its SCITT (especially around placements outside the UTS) until the SCITT reaches a scale to support its own administrative staff
- Providing certain teaching resources into the SCITT, for instance around whole-school policies
- Providing periodic classroom teaching resource to support the University School, especially during the first few years of operation when the School will not be fully staffed
- Placing some University-led ITT students into the UTS

The following individuals will play key roles. Even if particular individuals named below leave the University within the relevant period, The University has a broad range of expertise, and in particular any replacements will be briefed on the need to support the University School as part of the expectations surrounding their job.

Name	Area of expertise	Role in the University School
██████████	<ul style="list-style-type: none"> <li>• ██████████</li> </ul>	<ul style="list-style-type: none"> <li>• Advisor on character</li> </ul>

<p>[REDACTED]</p>	<ul style="list-style-type: none"> <li>• [REDACTED]</li> <li>• [REDACTED]</li> <li>• [REDACTED]</li> </ul>	<p>education</p> <ul style="list-style-type: none"> <li>• Liaison with TDA and between UTS and School of Education</li> </ul>
<p>[REDACTED]</p>	<ul style="list-style-type: none"> <li>• [REDACTED]</li> <li>• [REDACTED]</li> <li>• [REDACTED]</li> <li>• [REDACTED]</li> <li>• [REDACTED]</li> </ul>	<ul style="list-style-type: none"> <li>• Curriculum development</li> <li>• Development of SCITT</li> <li>• Relationships with Teaching School networks</li> <li>• Relationships with secondary schools and their networks</li> </ul>
<p>[REDACTED]</p>	<ul style="list-style-type: none"> <li>• [REDACTED]</li> <li>• [REDACTED]</li> <li>• [REDACTED]</li> <li>• [REDACTED]</li> </ul>	<ul style="list-style-type: none"> <li>• KPIs</li> <li>• Assessment strategies</li> </ul>
<p>[REDACTED]</p>	<ul style="list-style-type: none"> <li>• [REDACTED]</li> <li>• [REDACTED]</li> <li>• [REDACTED]</li> </ul>	<ul style="list-style-type: none"> <li>• Interactions between University-led ITT and UTS SCITT</li> <li>• Curriculum development</li> <li>• Relationships</li> </ul>

	██████████	with secondary schools and their networks
██████████	<ul style="list-style-type: none"> <li>• ██████████ <ul style="list-style-type: none"> <li>• ██████████</li> </ul> </li> <li>• ██████████</li> <li>• ██████████</li> <li>• ██████████</li> </ul>	<ul style="list-style-type: none"> <li>• Outreach and relationships with primary schools</li> <li>• Transition from primary to secondary</li> <li>• SEN</li> </ul>
██████████	<ul style="list-style-type: none"> <li>• ██████████</li> </ul>	<ul style="list-style-type: none"> <li>• PGDipEd tutors in School of Education</li> <li>• Advise on subject-specific curriculum</li> <li>• Advise SCITT in relevant subject areas</li> <li>• Teach occasional sessions at University School</li> </ul>
██████████	<ul style="list-style-type: none"> <li>• ██████████</li> </ul>	
██████████	<ul style="list-style-type: none"> <li>• ██████████</li> </ul>	
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██████████	<ul style="list-style-type: none"> <li>• ██████████</li> </ul>	

	<ul style="list-style-type: none"> <li>• [REDACTED]</li> </ul>	
[REDACTED]	<ul style="list-style-type: none"> <li>• [REDACTED]</li> </ul>	
[REDACTED]	<ul style="list-style-type: none"> <li>• [REDACTED]</li> </ul>	
[REDACTED]	<ul style="list-style-type: none"> <li>• [REDACTED]</li> </ul>	<ul style="list-style-type: none"> <li>• Advisor on STEM Education</li> </ul>

In addition to the educational expertise available via the School of Education, there is considerable enthusiasm across the University to support the University School. This ranges from individuals willing to give subject-specific advice through to providing guest lectures or teaching particular subjects to advising how to ease the transition to university-style learning. Many University staff are also governors for other schools and very aware of the issues of school management. As planning around the curriculum develops, we are confident that we will be able to access an unparalleled resource of top-notch educational support and expertise at all stages.

**What financial expertise will the University School draw on to manage the school budget?**

The University of Birmingham will support the University School during its start-up phase to ensure appropriate financial management. As the School’s sponsor, the University sees this as an integral part of the commitment it has taken on.

The University of Birmingham has a turnover on the scale of a FTSE250 company ([REDACTED] in 2010/11), some 6,000 employees and 28,000 students, an estate covering 230 hectares and containing 270 buildings, with an insurance value of over [REDACTED], and a capital programme averaging [REDACTED] per annum. We are widely recognised as one of the strongest institutions financially in the UK HE sector, with low levels of indebtedness and appropriate levels of cash generation.

As with any organisation of a similar size, the University has considerable financial expertise. [REDACTED]. [REDACTED].

Both are engaged with the University School application and have considered the financial models and draft budgets. They are also considering the realistic synergies with the University and will work with the budgetary planning process to ensure rigour and value for money as the proposal moves forward. They will also be consulted to ensure that when the time comes appropriate financial expertise is brought into the University School in terms of governance and financial

management.

For specialist advice on school finances, the University has engaged the services of accountancy firm [REDACTED]. [REDACTED].

Alongside this work around mainstream school funding, [REDACTED], [REDACTED], and [REDACTED] have developed a financial model for the SCITT activities. These activities are self-financing and sustainable. The decision has been taken not to include these costings in this Free School application, but they are available to support more detailed discussions about the UTS with the DfE and the TDA.

The partnership with [REDACTED] has been very useful to the University, and we would anticipate seeking to continue a similar relationship with [REDACTED] or another firm if this application is approved to go forward.

**Who will be the members of the company limited by guarantee which has been created to manage the University School?**

The company members include:

- The University of Birmingham as a corporate entity. It is envisaged that the University will normally be represented by the [REDACTED] or his nominee; [REDACTED], the Vice-Chancellor of the University of Birmingham, is the former [REDACTED], [REDACTED], and a member of the [REDACTED], and as such brings expertise on higher education and admissions to higher education and educational management unmatched in the UK;

- [REDACTED]
- [REDACTED]

**What operational expertise will the University School draw on to manage its opening and operation?**

The University of Birmingham is committed to making the University School a success. This is a major project of the University and has strong support amongst senior management, the University Council, and many members of staff. The University is already heavily engaged reputationally and will do all it can to ensure that the University School is a success.

[REDACTED], [REDACTED], [REDACTED] [REDACTED].

[REDACTED]

Key management support and functional expertise for this project will be provided by the University’s Professional Services, which include most of the specialist functions the University and operate under the leadership of the Registrar and Secretary ([REDACTED]), [REDACTED] and his senior team. The senior team includes:

- [REDACTED], [REDACTED]

This team has already been heavily involved in the planning and application process for the University School, with particular engagement to date by DARO, Estates, External Relations, Finance, and Legal Services.

We anticipate continued involvement from this team and their staffs on aspects such as:

- Governance
- Community engagement and consultation
- Communications
- Marketing and recruitment
- Outreach and widening participation
- Recruitment and HR support
- Capital planning, design, and project management
- Procurement

- Shared services
- IT support
- Fundraising
- Sports and sport facilities

Specific time commitments are difficult to ascribe, as different areas of specialist expertise will be pulled in at different times. For instance, our market research team is supporting us in collecting evidence of demand, and our press office and stakeholder relations team are leading our communications strategy. An Estates project manager has already been assigned to the project and begun the work of considering the estates and capital needs.

### **How will the staffing structure deliver the planned curriculum?**

An indicative staffing structure has been included as an appendix to this document.

The staffing model assumes one school organisation led by an Executive Principal with responsibility for the school and the development of pedagogic excellence. The Principal will be supported by a senior leadership team comprising:

- Vice Principal Head of High School
- Assistant Vice Principal Curriculum
- Assistant Vice Principal Organisation & Culture (also SEN during the first year)
- Vice Principal Head of Sixth Form College
- Assistant Vice Principal College Curriculum & IB

The senior leadership team (SLT) will have responsibility for developing the curriculum, teaching and learning and pedagogic excellence. The school will be one organisation subject to OfSTED inspection and statutory legislation.

However the 11-16 provision will be directed by a VP designated Head of the High School, who will be supported by 2 AVPs with responsibility for Curriculum and Organisation across the school. The Post-16 provision will be directed by a VP designated Head of the Sixth Form College, who will be supported by 1 AVP with responsibility for the STEM curriculum across the school.

During the first years of operation the SLT will be smaller in number and the SLT members will teach at least a .5 timetable. In the second year as numbers grow and more staff are recruited that time commitment will reduce as additional leadership pressures develop and as both the school and SLT expands.

Curriculum heads in larger faculties will be supported by senior as well as MPS teachers. As the school roll develops the teams increase and opportunities for staff development and additional responsibilities and promotion will arise, including positions of responsibility designated Assistant Head.

A mean teaching load for staffing and cost calculations is 70%, or 20 period per week, and modelling has been conducted to develop the proposed staffing structure, including the build-up over the five years before the School has a full complement of year groups.

As part of their contract, all teaching staff will commit to a school day of 8.30 am–4.30 pm, allowing for extra curricular activities and supervision /support for private study to take place for all 11–16 students between 3.30pm and 4.30pm.

A common school day and staffing structure for the 11 – 16 School and Sixth Form will maximise the efficient deployment of staff in the range of specialist subjects. In the start up years, the Head Teacher, Principal and other senior leaders will be expected to teach and most staff will teach in both the 11 – 16 School and Sixth Form. Additional specialist staff, particularly for A Level, will be drawn from the university's staff.

All teaching staff will be expected to have, or be working towards, a Masters level qualification as well as QTS. They will be expected to offer added value through the provision of at least one specified extra curricular activity.

The pastoral development of students will be supported by an appropriate level of learning assistants, student health care and reception staff.

#### Year 0 (2013/14):

The Principal Designate will be recruited to begin two terms prior to the University School's opening. During this preliminary period, the Principal Designate will oversee the recruitment of key school teaching and support staff for Year 1, and will also oversee the final production of whole school policies.

The University will also support the part-time engagement of an Outreach Worker in this critical period to ensure that relationship building with primary schools, especially in hard-to-reach areas, is conducted in the appropriate time frame to influence the intake in 2014. This is detailed in Section E.

#### Year 1 (2014/15):

There will be 150 Year 7s and 140 Year 12s.

The teaching staffing complement in Year 1 will include (all numbers represent FTE):

- Principal (1.0)
- Vice Principal (1.0) – covering both High School and Sixth Form
- Director of Finance (0.5)
- Heads of Maths, Science, English, MFL, Technology, Performing Arts, Humanities, PE, Computer Science (9.0)

- Additional teachers in Maths, Science, English, Technology, History, Music, Art, and PE/Dance (6.0)
- These 2.5 SLT members and 16.0 teachers will be supported by 12 education support/administrative staff

#### Year 2 (2015/16):

There will be 150 each in Years 7 and 8, 200 Year 12s, and 140 Year 13s.

Additional recruitments for Year 2 will include:

- Two Assistant VPs
- Senior teachers in Maths, Science, English, MFL, Technology, History, Geography (7.0)
- Additional teachers to support other subjects (14.5)
- An additional 13.0 education support/administrative staff

#### Year 3 (2016/17):

There will be 150 each in Years 7, 8 and 9, and 200 each in Years 12 and 13.

This will be the first year for IB provision.

Additional recruitments for year 3 will include:

- Second Vice Principal (so the High School and Sixth Form each have one VP) (1.0)
- Third Assistant VP (1.0)
- Director of IB (1.0)
- Additional senior teachers in ICT, Performing arts (2.0)
- Additional teachers to support other subjects (13.0)
- An additional 6.0 education support/administrative staff

#### Year 4 (2017/18):

There will be 150 each in Years 7, 8, 9, and 10, and 200 each in Years 12 and 13.

Additional recruitments for year 4 will include:

- Director of Finance becomes full-time
- Additional senior teachers in Maths, Science, English (3.0)
- Additional teachers to support other subjects (10.5)
- An additional 1.0 education support/administrative staff

#### Year 5 (2018/19):

There will be 150 each in Years 7, 8, 9, 10, and 11, and 200 each in Years 12 and 13. This will represent a full complement.

Additional recruitments for year 5 will include:

- Additional teachers to support other subjects (15.5)
- An additional 1.0 education support/administrative staff

At full complement, the School will have a Senior Leadership team of 6 plus the Finance Director and Director of IB, 9 Heads of Department, 12 senior teachers, and 60.5 other teachers (a total of 81.5 FTE teaching staff), 10 education support staff, and 23 admin/support staff.

This does not include the additional FTE required to support ITT. These costings are separate and available on request. In reality, many posts will have split teaching/ITT responsibility, and all teaching staff in the University School will be trained as ITT mentors.

### **How will a high-quality principal designate be recruited? How will other staff be recruited?**

We recognise that excellent leadership, teaching, and support staff are fundamental to making the University School a success. This is also true in the HE sector, so we would envision bringing a similar approach to recruitment for the University School as we would for important appointments at the University of Birmingham.

The senior leadership roles at the School, including the Executive Principal and the Vice Principals, will require truly exceptional leaders and teachers. These individuals will need to be committed to our vision for the University School, able to develop and implement the plans, curriculum, and teaching and learning approach, and able to recruit and manage a team of experienced and committed teachers. They will also need to be willing to teach themselves, at least in the early years.

The Executive Principal will have overall responsibility for the School and oversight of pedagogic excellence. S/he will have a strongly outward-facing element in her/his role, developing relationships with other schools, ITT providers, SCITTs, the University, and the community. S/he will also be responsible for School policy, strategic direction, and overall staff management, especially recruitment of the first year teachers and recruitment and management of the senior leadership team.

The Vice Principals will be responsible for the plans, curriculum, teaching and learning in their areas, and will need to recruit and manage a team of experienced and committed heads of department and teachers.

Heads of Department will work with the Vice Principals to shape the curriculum at both 11-16 and sixth form in their areas. These will be cross-cutting roles, eventually bringing on board IB as well as the more traditional curriculum options. They will be responsible for managing the teachers in their departments and to do extensive teaching themselves.

The teachers will also need to be excellent and dedicated. We will expect them to engage in extracurricular activities as well as their core subjects, to see pastoral work as integral to their jobs, to be pedagogical innovators open to new approaches and engagement with research, and to participate in the teacher education mission of the University School. All will be ITT mentors or trained as ITT mentors early in their time in the School. They will need to have a reflective attitude to their teaching practice in order to strive for continual improvement. They will need to be able to teach across the ages, especially in the early years of the School.

All leaders and teachers will be expected to hold a Master's degree, either in Education or in their disciplinary subject. In exceptional cases, we may consider individuals without Master's, but attaining a Master's would be an expectation and we would support them in it. We would also support teachers and leaders who wanted to attain a further degree (e.g., doctorate) if it made sense for their career development and there was a clear plan for balancing the demands of further study with their teaching and management responsibilities. As befits a University Training School, all teachers in the School will be expected to engage in regular professional development, although this may take different forms (e.g, applied research as well as traditional CPD training).

The University School has already gained some high-profile publicity locally and nationally, which will assist our recruitment efforts. We believe that the overall offer we are making is very attractive to experienced and high-quality teachers committed to personal development and school improvement. All teachers will have a role in teacher training, which we know from experience often attracts the very best. They will gain a close relationship with the University, and we anticipate that many will benefit over time from the professional development opportunities that offers. They will work closely not only with education specialists from the University, but also with subject specialists, keeping them up to date in their disciplines. The name, status, and credibility of the University will be a key recruitment point. We will also benefit from being in a large conurbation and having extensive networks already amongst school leaders and teachers through our ITT, CPD, and EdD programmes in the School of Education.

Nevertheless, we recognise that exceptional leaders and teachers such as these are often difficult to recruit, and we will take a multi-pronged approach to their recruitment. In addition to advertising (for instance, in the TES) and networking, we recognise that we will likely need to engage the services of a recruitment agency to ensure we get the best possible pool of candidates for the leadership roles. We will seek to recruit nationally both to get the best candidates and to avoid poaching the many of the best teachers from other schools in the area. There may be opportunities to engage in secondments with local schools to enrich their teachers' experience through exposure to ITT, thereby enhancing their own school improvement strategies.

We intend to bring in the Executive Principal as early as possible, with the full two terms lead, which means we will need to be recruiting two terms before that in order to allow notice periods for any existing head teachers to be worked out. This will also enable the Executive Principal to affect recruitment and policy/curriculum development before s/he officially starts, if s/he chooses to engage with the University School in this way.

In general, we will begin recruitment as early as reasonable for all posts in order to allow ourselves several attempts if we do not find the right candidates in the first rounds. This applies for teachers as well as leaders. In practice, this will mean that our recruitment efforts will be effectively continual over a period of five years.

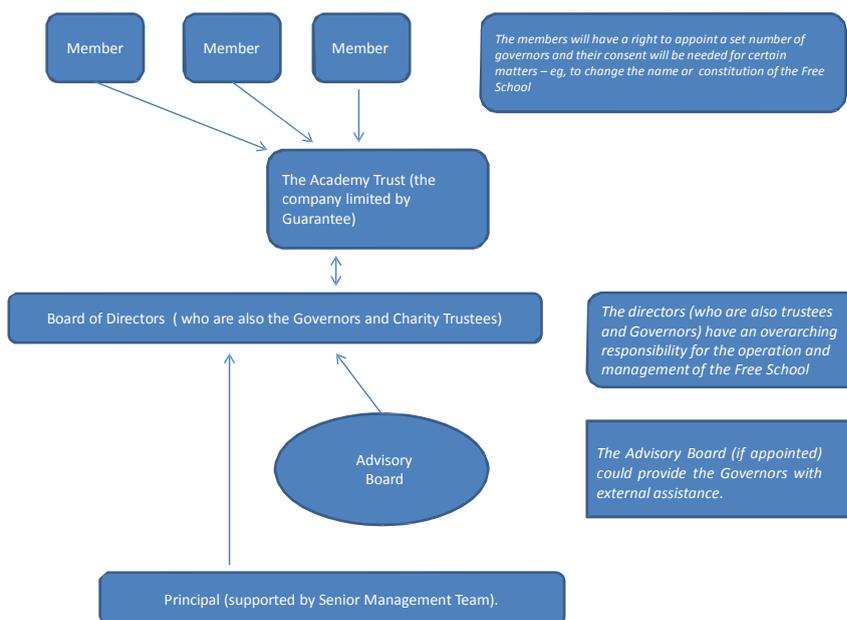
### **How will we recruit committed governors with the required breadth of skills to oversee the establishment and operation of the School?**

The University of Birmingham, as the University School sponsor, sees part of its responsibility as being to recruit and appoint appropriate governors to oversee the establishment of the School. Once the company and School are operating independently, governance will become self-sustaining the University's role will diminish, although the University will remain a key stakeholder.

The University will seek to identify initial Governors with a broad range of skills and experience. These include leadership, strategic vision, engagement with the local community, in both business and social spheres. For some Governors, we would look for specific attributes such as knowledge of secondary education, previous experience as a Governor, accountancy or legal background. Most importantly, we will appoint Governors who are enthusiastic and committed.

The University has a wide network of stakeholders who can be approached. These include our business and commercial partners, research partners and, of course, our alumni community. The University has traditionally provided the City of Birmingham with many of its Doctors, Nurses, Teachers, Lawyers and a host of other professionals. We regularly communicate with alumni and will use these formal and informal links to raise awareness of the school and stimulate interest. This will assist us in identifying potential appropriate candidates. We will then proceed with a formal appointment process which will include the taking up of references and interview. The interview panel will include the Principal Designate and senior representatives from the University. Before formal appointment as a Governor, the individual will also be CRB checked.

### **What is the structure and the lines of accountability between the company, the governors, and the principal, and what are their responsibilities?**



The University School will be a company limited by guarantee and an exempt charity. This means that the School will have a separate legal identity from the University of Birmingham.

The constitution of the Company will be set out in the Memorandum and Articles of Association. This will confirm the members of the company – in essence they will have a role to play at general meetings and may vote on fundamental issues ( eg change of name) put to them in the General meeting. They will also receive an annual report from the Governors together with the annual statutory accounts. However under the terms of the Articles the members cannot personally benefit from any assets held within the charitable company if the company is wound up.

During the setting up of the school the members will have a significant input into the appointment of the Directors ( who are also the Governors and charitable trustees of the school) and the strategic direction of the school . However as the school Governing body is formalised the responsibility for strategic planning and overall management of the school will fall to the governors. This will include responsibility for determining the school’s ethos, setting and agreeing policies, reviewing implementation, monitoring the school’s progress against it’s development plan, and monitoring and holding the Principal to account for the day to day management of the school. In essence the Governing Body should act like a critical friend and supporter to the Principal and Senior Management Team, taking into account the views of parents. The ultimate responsibility for the Free School will however remain with the Governors.

Although the Principal will be a member of the Governing Body and also a member of the Company, the Principal has responsibility, supported by the Senior Management Team for the day to day management of the school.

**What arrangements will exist to limit conflicts of interest?**

Clearly the multiplicity of roles could give rise to potential conflicts of interests, particularly for the Principal. These will be managed by a formal Conflict of Interest policy, which will ensure that the Principal is excluded from voting on matters directly to his benefit (e.g. in relation to his salary). There will also be a formal Declaration of Interests policy applicable to all Governors, to ensure openness and transparency.

## Section G: Initial costs and financial viability

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]:

£

[REDACTED]

2. [REDACTED] [REDACTED] [REDACTED]

3. [REDACTED] [REDACTED]

4. [REDACTED]

5. [REDACTED]

[REDACTED]

6. [REDACTED]

• [REDACTED]

• [REDACTED]

• [REDACTED]

• [REDACTED]

• [REDACTED]

7. [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED].  
[REDACTED] ([REDACTED] [REDACTED]).

[REDACTED]  
([REDACTED] [REDACTED]).

[REDACTED] [REDACTED] [REDACTED].

[REDACTED] [REDACTED] [REDACTED] [REDACTED]

[REDACTED].

[REDACTED] [REDACTED] [REDACTED] [REDACTED] [REDACTED].

[REDACTED] . [REDACTED] [REDACTED] .

[REDACTED] [REDACTED] [REDACTED] .

[REDACTED] - [REDACTED]

[REDACTED] .  
[REDACTED] [REDACTED] [REDACTED] [REDACTED] [REDACTED] [REDACTED] .  
[REDACTED] [REDACTED] [REDACTED] [REDACTED] .  
[REDACTED] .

[REDACTED] :

8. [REDACTED] .

9. [REDACTED] :

- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]

10. [REDACTED].

11. [REDACTED].

12. [REDACTED].

13. [REDACTED].

14. [REDACTED].

[REDACTED]?

[REDACTED].

[REDACTED].

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED] [REDACTED] [REDACTED]

[REDACTED]

[REDACTED]



## Section H: Premises

Our suggested site for the University of Birmingham School and Sixth Form is on the [REDACTED] in Birmingham. The postcode is [REDACTED], and we are specifically considering the area on the corner of [REDACTED].

A map indicating the location of this site is has been included in the appendices to this document.

The site identified for the new school is owned by the University of Birmingham Selly Oak Educational Trust (UBSOET) for which the University of Birmingham is the sole trustee. A condition of the charitable trust status is that the Trust should use the land for educational purposes.

The University Council has already agreed that it would be willing to dedicate this site long-term to a University School and Sixth Form. It is the University's understanding that responsibility for capital improvements to the site, either for new build or to renovate existing buildings, would sit with the DfE rather than the University of Birmingham.

The Selly Oak Campus site is predominantly surrounded by residential development, together with other institutional, educational and religious uses, including the International Mission Centre, Fircroft College, Woodbrooke College, a church and student accommodation.

Land to the west comprises early twentieth century family housing in an attractive and spaciouly laid out landscaped setting. By contrast, land to the east has been more densely developed with post war residential development.

Selly Oak Railway Station lies approximately [REDACTED] miles from the northern boundary of the campus site, and provides a direct and frequent rail service across the city.

There are frequent bus services along the [REDACTED] which runs adjacent to the site, which serves the city centre and other destinations to the south of the city.

Future development in the area includes the redevelopment of the former Selly Oak Hospital site for residential-led development and a new supermarket and possibly residential development on the Battery site. It is understood that Bournville College located to the south of the site has recently disposed of 6 acres of their existing site for residential use. It is also understood that Imperial House which lies to the south of the campus is currently proposed for residential development.

The site includes two parcels of land totalling 15,736 sqm, demonstrating sufficient capacity to accommodate a development of the proposed size for 1,150 pupils, in conjunction with the use of playing fields located to the south. A mature tree line shelters the site's eastern boundary onto the [REDACTED], whilst the current

vehicular entrance is located at the very north along [REDACTED]. Parcel A, totalling 5,735sqm, sits on a plateau to the north of the site. It currently comprises a number of buildings erected in the 1960s, a surface car park and planting. Parcel B, totalling 10,001 sqm, comprises grassed areas on a gently south facing slope.

Initial analysis of the existing building stock demonstrates there may be potential for some elements to be refurbished and incorporated within a new school. The buildings are generally of concrete frame construction with a masonry envelope. A cost/benefit analysis will confirm the viability of reuse in due course.

The attributes of the site indicate that it is likely to be well-suited to the proposed use: it provides a pleasant learning environment on a green and sheltered site that is accessible from a main arterial route and proximate to the playing fields and University operations that will help to support the school. A study is being undertaken to test the feasibility of the development of the University School on the site.

## **Annexes**

1. Letter and Form sent to Primary School Parents
2. Letter and Form sent to Secondary School Parents and Students
3. University of Birmingham 2010-2011 Annual Report and Accounts

January 2012

Dear Parent

I am writing to you as the parent of a child in at Year 3 or 4 to let you know about a possible new secondary school which may be of interest for your child.

The University of Birmingham is applying to the Department for Education to create a University of Birmingham School and Sixth Form. If approved, this school will be for pupils aged 11-16 plus sixth formers, and will be based near to the University's main campus in Edgbaston/Selly Oak. The School will open in September 2014, taking 150 pupils into Year 7 and 200 into the Sixth Form.

The University School will provide excellent academic education to Birmingham's young people and serve as a centre of teacher education. It will be closely linked with the University, and especially with the University's School of Education, which has been rated as "outstanding" by Ofsted.

We aim to create a mixed ability, co-educational, state school. Pupils will be admitted without consideration of their religion, ability or disability, or social or financial background. There will be no entrance exams for admission to Year 7. The curriculum will focus on academic excellence and preparing pupils for selective universities.

The school will offer academic rather than vocational subjects. All subjects will be taught very well, with a special focus on science and mathematics. Teachers will be highly experienced in the classroom and have Master's degrees or above.

The school will focus on personal growth and character-building. It will provide strong discipline and excellent support for each pupil. Pupils will be able to use some University of Birmingham facilities. The school will have a strong international element, including International Baccalaureate as an option at Sixth Form. Addressing Special Educational Needs will be a key part of our programme.

To set up this school, we must be able to show parental support, especially from parents who say they would choose this school as their first choice for their child.

You will find attached a form which you can return to us by post. You can also find more information and provide complete the form online [\[REDACTED\]](#).

We may share this information, although not your name, with the Department for Education as part of our application process for a University school. It must be collected in a particular way, so we ask that you complete all fields marked "required".

The deadline for submitting the form is **15 February 2012**, although it is helpful for us if you can submit it earlier.

If you have any questions, please feel free to email us at [REDACTED].

Yours sincerely

[REDACTED]

**Statement of support for the University of Birmingham School and Sixth Form**

Please note that this form can also be accessed and submitted online at .

Please register your interest in sending your child to this school by completing the form below. Please use one line for each child. We are especially interested in interest for children currently in Years 3 and 4, but you may also express interest for those in younger years or for potential sixth formers.

To set up this school, we must be able to show parental support, particularly from parents who say they would choose this school as their first choice for their child. This information must be gathered in a particular way, so please complete all required fields below.

Your Name REQUIRED FIELD	Postcode REQUIRED FIELD	Child's date of birth  REQUIRED FIELD	I would select (insert school name) as first choice for my child(ren)  <i>Please sign</i> REQUIRED FIELD	AND/OR: I am interested in finding out more information <i>Please tick</i>	Email address (if you want to be kept informed)

**If you provide us with your contact details we will keep you updated on our progress.**

*Please note that this is an expression of interest. It does not commit you to sending your child to this school and it does not guarantee your child a place at this school. To obtain a place at the school, preferences will need to be expressed in the normal way via the process run each year by Birmingham City Council (or your relevant local authority if you live outside Birmingham) and admission will be based on availability and other admissions criteria in the case of there being more applications than places.*

It would be helpful to us if you could also indicate your child[ren]'s current primary school below, but this is not required:

If you have any comments to make about our proposal, please feel free to include those below. We welcome your input.

**PLEASE RETURN THIS FORM BY 15 FEBRUARY 2012 TO:**



Edgbaston  
Birmingham



January 2012

Dear Parent / Pupil

I am writing to you as a pupil in Year 8 or 9 and the parent of a pupil in Year 8 or 9 to let you know about a possible new option for sixth form.

The University of Birmingham is applying to the Department for Education to create a University of Birmingham School and Sixth Form. If approved, this school will be for pupils aged 11-18, but will have a separate intake point for sixth formers. It will be close to the University's main campus in Edgbaston/Selly Oak. The School will open in September 2014 with 200 Sixth Form places and 150 places at Year 7.

The University School and Sixth Form will be closely linked with the University, and especially with the University's School of Education, which has been rated as "outstanding" by Ofsted. It will provide another option for young people who are seeking excellent and academically-oriented education at Sixth Form.

The goal of the Sixth Form will be to prepare young people for selective universities. Performance at GCSE will be part of the admissions process to ensure that Sixth Formers can handle the rigorous academic programme. The full range of academic subjects will be offered, including excellent science and mathematics. Due to the nature of the Sixth Form, we will not offer vocational alternatives. Sixth Formers will be able to choose A level or International Baccalaureate routes.

Teachers will be experienced and excellent, with Master's degrees or above. The teaching will be enquiry-based and designed to prepare Sixth Formers for rigorous study at university level.

Sixth Formers will engage with University of Birmingham staff and be able to use some University facilities. There will be a focus on personal growth and character-building, with strong discipline, personalised careers and academic advice, and outstanding support for each person as an individual.

To set up the school, we must be able to show parental and pupil support for this Sixth Form from those eligible to enter in September 2014 or September 2015, particularly from those who say they would choose this Sixth Form as their first choice. Parents or pupils can complete this form.

You will find attached the form, which you can return to us by post. You can also find more information and complete the form online at [\[REDACTED\]](#).

We may share this information with the Department for Education as part of our application process for a University school, but we will not share your name. The data must be collected in a particular way, so we ask that you complete all fields marked required.

The deadline for submitting the form is **15 February 2012**, although it is helpful for us if you can submit it earlier.

If you have any questions, please feel free to email us at

[REDACTED]

Yours sincerely

[REDACTED]  
[REDACTED]  
[REDACTED]

**Statement of support for the University of Birmingham Sixth Form**

Please note that this form can also be accessed and submitted online at [www.birmingham.ac.uk/university-school](http://www.birmingham.ac.uk/university-school).

Please register your interest in sending your child / attending this Sixth Form by completing the form below. Please use one line for each pupil. We are especially interested in interest for those currently in Years 8 and 9, but you may also express interest for those in younger years, including for entry into Year 7.

For our plans to proceed, we must be able to show parental and pupil support for this Sixth Form from those eligible to enter in September 2014 or September 2015, particularly from those who say they would choose this Sixth Form as their first choice.

This information must be gathered in a particular way, so please complete all required fields below.

Your Name REQUIRED FIELD	Are you the parent or the pupil?  REQUIRED FIELD	Postcode REQUIRED FIELD	Pupil's date of birth  REQUIRED FIELD	I would select the University of Birmingham school as first choice  <i>Please sign</i> REQUIRED FIELD	AND/OR: I am interested in finding out more information  <i>Please tick</i>	Email address (if you want to be kept informed)

**If you provide us with your contact details we will keep you updated on our progress.**

*Please note that this is an expression of interest. It does not commit you to attending this school and it does not guarantee you a place at this school. To obtain a place at the school, preferences will need to be expressed in the normal way via the process run each year by Birmingham City Council (or your relevant local authority if you live outside Birmingham) and admission will be based on availability and other admissions criteria in the case of there being more applications than places.*

It would be helpful to us if you could also indicate your current school below, but this is not required:

If you have any comments to make about our proposal, please feel free to include those below. We welcome your input.

**PLEASE RETURN THIS FORM BY 15 FEBRUARY 2012 AT THE LATEST TO:**



Edgbaston  
Birmingham



UNIVERSITY OF  
BIRMINGHAM

2010

2011

ANNUAL REPORT  
AND ACCOUNTS



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## Vice-Chancellor's Report

In 2010 we published our strategic framework for the next five years which articulated our ambition to make Birmingham a leading global institution.

This vision, to raise the University's performance and profile, is designed to chart the University's course through the most significant changes in UK higher education for a generation and in challenging financial times. This last year has seen further changes, in teaching and research funding, and the market for international student recruitment. Despite these chill winds, our strategy remains on course and the University faces the future with confidence.

Central to our strategy was a commitment to sustain our financial strength and use it purposefully. In the past 12 months, we have made ambitious investments and shrewd business decisions that have set our course.

We have developed a series of initiatives that will:

- Secure an outstanding educational experience for our students;
- Establish an international network of alliances;
- Invest in the facilities and academy to deliver high quality research;
- Preserve, enhance, and safeguard our inspiring campus for the 21st century.

### Our students

The changes in the UK higher education funding and the introduction of fees up to ██████████ per annum for undergraduate students from 2012 will transform English higher education.

Our focus has been on enhancing the experience of our students and facilitating access to the University. We modelled likely changes in student funding in the quinquennium 2011–16, sought efficiencies wherever

possible, and then prioritized areas for investment in the new fees regime. In setting a fee of ██████████ the University and its Council were acutely aware of the likely competitive pressures, and the anxieties and priorities of potential applicants. We were equally aware of the centrality of quality, the importance of maintaining the University's near-unique breadth of subjects, and our proud history as the Russell Group University which has led the way in promoting access to a great university for outstanding applicants from disadvantaged backgrounds.

Our 'Access Agreement', approved by the Office for Fair Access in July, balanced these competing pressures. It will enable us to invest in academic tutorial, enhance contact hours, continue to invest in best-in-class student support, further enhance our investment in student facilities, and offer targeted financial aid to ensure that no student capable of benefitting from a Birmingham education should be deterred for financial reasons.

This investment in the teaching experience is being matched by the development of our employability services, recognizing that today's students face one of the most challenging employment markets of recent decades. The University committed an investment of ██████████ that will ensure that Birmingham graduates continue to succeed after university and which included the provision of services dedicated to our international students, for whom the drive to succeed professionally can be particularly acute. As a result, Birmingham students will enjoy access to unrivalled advice and support, internships offered generously, often facilitated by our own alumni and by funding provided through benefactions of remarkable generosity.

The University has been working with the Guild of Students in the development of a high quality living and learning environment for our undergraduate students as well as a funding package that will encourage applicants from disadvantaged backgrounds to realize their ambitions at Birmingham. We recognize the additional benefits of living independently, and have devised our financial support to enable those from the most disadvantaged backgrounds to live on campus, rent free.

Around a quarter of our undergraduate community meet the widening participation criteria, and our integrated financial aid package will offer support to over 4000 students. When combined with a significant expansion in our widening participation recruitment activities, our investment in these areas will rise to over ██████████ by 2015/6. Following the withdrawal of Government funding from the nationwide Aimhigher scheme, the University has led the development of a partnership between some of the region's other institutions, University College Birmingham, Aston, and Birmingham City universities. This partnership will continue to deliver the successful work of the Aimhigher programme to 500 local young people from disadvantaged backgrounds and encourage them to aspire to higher education.

Our plans include the development of a hub for all student facing services in the heart of our iconic Aston Webb building, building more student accommodation on campus that will lift students out of the private landlord accommodation in the surrounding area, as well as further development of our academic portfolio and teaching methods. I am confident that, as we continue to work with our student community in the development of these services and facilities, we are forging an outstanding academic experience.

#### Our campus

A world-class university deserves a world class environment to attract and retain the best staff and students. In the last year we have seen work continuing apace on a number of significant capital developments, including the Bramall music building, made possible through the great generosity of our philanthropic donors, which will provide a state-of-the-art home for our UK leading Department of Music and perhaps the finest small concert venue in the country. The refurbishment of 52 Pritchatts Road was completed and the hugely-ambitious refurbishment of the Metallurgy and Materials Building nears completion.

We have also completed a major refurbishment of facilities in our Guild of Students, bringing the services that our student body valued most highly, study space, and careers support to the fore.

These projects form part of a long term vision for our estate, which will not only continue to deliver the highest quality facilities for staff and students, but open up resources for our local communities and the wider region. A centrepiece will be a new library that will offer outstanding facilities to a new generation of students and academics, and enable the University to extend the green heart of campus, reinterpreting our Founders' architectural vision for the new millennium. Our plans also include the construction of a new sports centre, with sports halls, gyms and the city's only 50 metre pool, providing facilities consistent with the quality of sport at Birmingham which ranks us second in the country for performance sport and continues to produce Olympic standard sportsmen and women. It is our firm intention that these facilities will continue to extend the range of services and facilities available to the local community, with whom we continue to build strong relations.

Environmental sustainability is at the core of our estates strategy. These and other developments will help the University move closer towards achieving a 20% reduction in our carbon emissions by 2020, a significant challenge with an estate that dates back to 1900.

Our Research – at home and around the world Whilst the campus is an undoubted asset, the University is built around the academy. Birmingham is committed to attracting the brightest minds from around the world and, towards the end of the academic year, launched the Birmingham Fellows initiative, a drive to attract 50 of the most outstanding post-doctoral researchers: the next generation of research and academic leaders. We received 1,400 applications from around the world. This will be significant contribution to securing an internationally renowned academy for the future. No other university has been able to match the scale and ambition of the Birmingham Fellows scheme.

In 2009 we announced investment in key areas of research innovation across our academic portfolio. These initiatives encourage cross disciplinary collaboration and generate globally significant research outcomes. In the last year we have seen many of these areas flourish: for example the Birmingham Heritage and Culture Learning

THE NEXT FIVE YEARS WILL CONTINUE TO SEE PROFOUND CHANGES IN HIGHER EDUCATION WITH GREATER COMPETITION FOR THE BEST STUDENTS AND RESEARCH GRANTS, GREATER SCRUTINY OF THE QUALITY OF OUR TEACHING AND RESEARCH, AND AN INCREASINGLY COMPLEX ARRAY OF EDUCATIONAL PROVIDERS.

Hub. The Centre for Excellence in Nuclear Energy is recruiting new researchers, winning external funding and undertaking ground-breaking research. Many readers will have heard of the breakthroughs funded by our Metamaterials initiative, which have produced an invisibility cloak, which is the product of quite stunning science and promises myriad applications as the technology matures. Elsewhere on our campus the arrival of 152 trials previously managed by the Children's Cancer Research and Leukaemia Group make Birmingham the leading European centre for clinical trials and a powerhouse of translational medicine.

We have also expanded the global reach of our research, developing a number of successful research partnerships with institutions in our sister city Chicago. These are in areas of academic activity including neuroscience and endocrinology. In September 2011 we opened a collaborative centre in Guangzhou, China, in partnership with the People's Government of Guangzhou Municipality. The project will identify, design, and co-ordinate the delivery of joint research projects in Guangzhou. The strong research focus of the centre and the direct involvement of the Municipal Government makes it a unique undertaking for a UK university. World class research is the lifeblood of an institution like Birmingham and our plans to develop mutually beneficial academic partnerships with international institutions continues, with the University poised to build on its long standing presence in India and to grasp new opportunities emerging in South America. Targeted investments

will support a strategy to increase the proportion of world leading research developed at Birmingham and to enhance research grant capture.

#### Our future

The next five years will continue to see profound changes in higher education with greater competition for the best students and research grants, greater scrutiny of the quality of our teaching and research, and an increasingly complex array of educational providers.

Birmingham is well placed to meet these challenges. Our strategic framework sets purposeful, bold goals for Birmingham: goals we intend to achieve and then exceed. Over the course of this year, we have drawn on the expertise of our Council, our students and our international friends and partners. Their knowledge and our own ambition have resulted in a series of major investments which will benefit our students, our research, and the fabric of our historic Edgbaston home.

With the next major assessment of UK research (the 2014 Research Evaluation Framework) looming large we will continue to invest in areas of research strength, disinvesting too, where necessary.

We will continue to invest in activities that enhance the reputation of our University in the region, across the UK, and around the world. We will measure our success against international comparators, and be uncompromising in our drive for excellence wherever it occurs within the University and wherever we encounter it in the opportunities that arise in the UK and overseas. This will ensure that we succeed at this time where change brings opportunity, where ambition is rewarded, and where quality is paramount.

25 November 2011

## Our community links

Birmingham is proud of its heritage as one of the first civic universities. It was established as a resource to secure a prosperous and successful future for the city and the region.

Today, Birmingham is a world-renowned university with outstanding staff and students from across the globe. However, we also recognise that the people and businesses of the city have played a crucial role in our success and continue to cultivate productive community relationships.

Over the past year, we have taken decisive steps to improve access for the local community and regional partners to the facilities and services on campus.

We held our second Community Open Day which attracted more than 10,000 visitors, and is believed to be the largest event of its kind in the UK. Held annually, visitors can participate in research, learn more about how students support their local community, as well as enjoying the funfair, entertainment from University musicians and student groups, the local craft fair and the farmers' market.



There have also been initiatives that seek to embed research excellence in the local area. The 'Obesity Ambassadors' programme promotes dialogue between the local population and health researchers at the University in a move to tackle this damaging condition which is prevalent in the region.

#### The new Health

Research Bus is a fully equipped mobile unit that enables research experts to reach the local population from sites on supermarket car parks and on local housing estates and is part of the initiative to ensure that our research developments benefit the lives of its neighbours.

The Guild of Students is the University's student union and operates a team of volunteers who work in all areas of the local community. This includes working with young children, the elderly, regular street cleaning, litter picks, painting local school playgrounds and working with local resident groups. This level of involvement fosters a sense of community responsibility amongst our students for their temporary home in the city, with a view to making them more effective citizens of the future.

**REGULAR STREET CLEANING,  
LITTER PICKS, PAINTING LOCAL  
SCHOOL PLAYGROUNDS AND  
ENGAGEMENT WITH LOCAL  
RESIDENT GROUPS FOSTERS  
A SENSE OF RESPONSIBILITY  
AMONG OUR STUDENTS**

Supporting the region's businesses: Aston Martin  
The University has a strong tradition of working with industry and particularly values the relationship with premium car manufacturer Aston Martin, which is based in the West Midlands region.

An Advanced Materials project, part of the Science City Research Alliance initiative, investigated the company's paint processes and successfully identified areas for improvement. The project led to a further collaboration with Aston Martin on The Human/Machine Interface.

'We are very keen on promoting Engineering as a future career choice and the opportunity to partner with University of Birmingham on a number of different projects will hopefully inspire undergraduates through exposure to practical application of their degree discipline.'

\*The Advanced Materials Project is part of a larger investment by Advantage West Midlands and ERDF, which unites the Universities of Birmingham and Warwick in a strategic research partnership – the Science City Research Alliance (SCRA).

## A wealth of culture

Throughout our history, the arts and humanities have been an essential component in the academic experience at Birmingham, providing a counterpoint to scientific subjects.

Today, the University's cultural life, both academic and social, is flourishing.

The campus contains many clues that point to the quality of our cultural pedigree: paintings in the Barber Institute of Fine Arts, objects from amongst our culturally significant collections, and the blue plaques outside our many academic buildings which mark the achievements of our alumni and staff over the past century. Taken individually, it is impossible for these clues to demonstrate the breadth of cultural activity at Birmingham, from academic research which is accessing the power of new technology to preserve our cultural heritage, to the creativity of our many Guild societies whose music and drama performances enrich life on campus.

The University has established a Cultural Engagement Team to formulate this activity into a cultural strategy which will secure Birmingham's cultural significance locally, nationally and internationally. The impact of this team has been evident over the past 12 months as a result of a series of major initiatives.

A range of cultural internships have been developed for University students, providing opportunities to work with our collections on campus, our cultural partners in the region including the City of Birmingham Symphony Orchestra, the Birmingham Royal Ballet and the Birmingham Museums and Art Gallery, and even to acquire curatorial or archival experience with international partners. Our 'U21 Student Projects Programme' offers a month-long placement for Birmingham students in the University of Melbourne, working across a wide range of collections. Providing excellent employment experience for individual students, these opportunities are also preserving the skills required to maintain our global cultural heritage.

The University's Heritage and Cultural Learning Hub is another example of the integrated approach to culture at Birmingham. This multi-million pound, multi-disciplinary research initiative uses cutting edge mobile and smart technology to increase public access to artefacts that might previously have been kept in storage. It enables individuals to access multiple information sources to better understand a cultural artefact, and facilitates greater interaction with cultural icons as individuals are able to include their own feedback to the information associated with that item. Through the generosity of alumni donations and a Garfield Weston foundation grant, a new Prototyping Hall opens in early 2012 which will include the worlds' largest 3D touch table.

Over the past twelve months our Special Collections have moved into a new state-of-the-art home, the Cadbury Research Library at the heart of campus, improving access to and preservation of the collection.



Painted by rust

An exhibition of photography by

[REDACTED]

[REDACTED]  
[REDACTED]

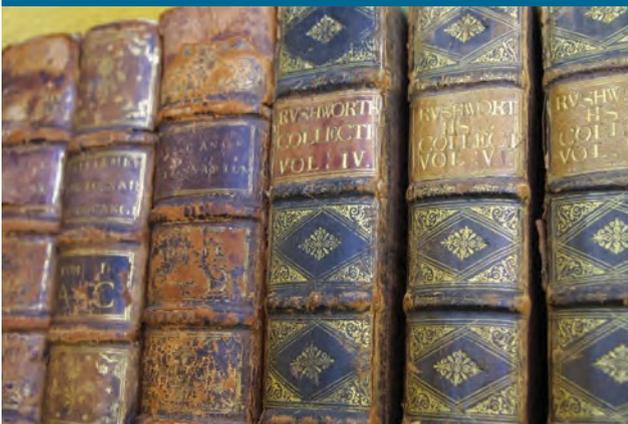
ONE OF THE ELEMENTS OF THE  
CULTURE STRATEGY IS TO BRING  
THE CITY INTO THE UNIVERSITY  
AND VICE VERSA

## Our Colleges

The University is structured into five colleges, which puts academic endeavour at the heart of our decision making. Each college is led by a Pro-Vice-Chancellor who sits on the University Executive Board. This structure has facilitated the development of a range of important interdisciplinary research initiatives such as our Centre for Computational Neuroscience and Cognitive Robotics and the Heritage and Cultural Learning Hub. The work of our Colleges is supported by the University's Professional Services located both centrally and in the Colleges.

### College of Arts and Law

Home to a host of learning resources and facilities, including the Harding Law Library, Shakespeare Institute and the Visual and Spatial Technology Centre.



### College of Engineering and Physical Sciences

Our Centre for Hydrogen and Fuel Cell Research is home to England's first hydrogen gas fuelling station and has its own fleet of hydrogen powered cars.

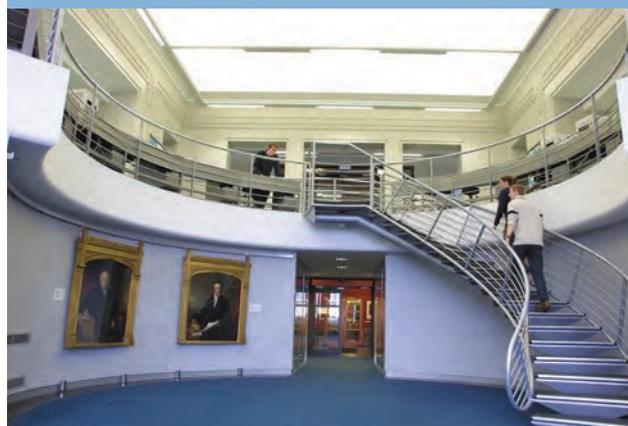


## College of Life and Environmental Sciences

Our School of Sport and Exercise Sciences is one of the longest established in Europe for scientific research into exercise and sport and ranked first in the UK for research of international significance.

## College of Medical and Dental Sciences

The College brings together healthcare related research and education. The research focus includes Cancer; Endocrinology and Metabolism; and Immunity and Infection.



## College of Social Sciences

Our School of Education has an overall rating of 'outstanding' by OFSTED inspection for our primary and secondary initial teacher education and training programmes.

# Treasurer’s Report

2010/11 was a busy year. Announcements were made which will have a fundamental impact on university finances and bring some uncertainties for the future. A sound financial base will be important to navigate the way ahead. The University of Birmingham is well placed to meet these challenges.

During the year we have continued to capitalise on opportunities to deliver on our five year plan

‘Shaping our Future: Birmingham 2015’. This is against the backdrop of a changing funding landscape, regulatory developments, including the Government’s White Paper released in June and our need to operate on a sustainable basis. Our engagement with the external environment, through initiatives responding to consultations, serving on industry bodies and institutional membership of global alliances, ensures that our management team can make informed decisions about the University with the wider context in mind.

### Sustaining our financial strength and using it purposefully

#### Income and Expenditure

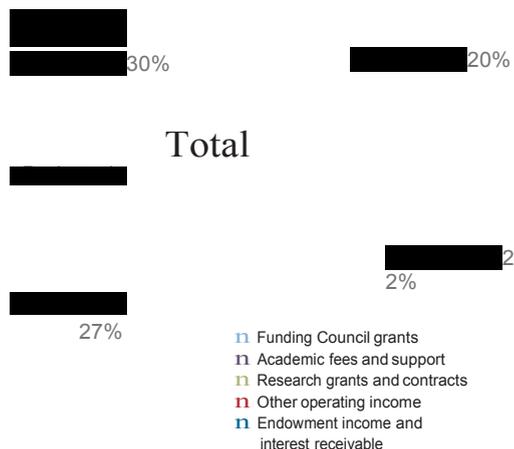
The operating surplus grew by 21% to [redacted]. We have continued to take decisions about our cost base, as well as make investments for the future, despite challenging times.

[redacted] Our delivery of financial sustainability is driven and measured by our financial KPIs, the most significant being:

- Generation of a continuing recurrent surplus to support long term sustainability
- Continuous capital investment in the estate, facilities and infrastructure
- Maintaining adequate cash balances

Delivery has been sustained in 2010/11 and supports a long history of financial strength from which we can deliver growth and invest in academic and other areas, as well as deal with the uncertainties caused by the changes in the funding mechanisms for the HE sector.

Income 2010/11 (£m)



Total income was [redacted], an increase of 2%. Funding council grants represented around 30% of the total, which is marginally lower than in 2009/10 and reflects not only funding pressures, but the continuing move to student rather than public funding. As a result academic fees and support grants now represent 27% of the total income, up from 25% in 2009/10.

Research grants and contracts have reduced by 3% year on year as we begin to see available funding

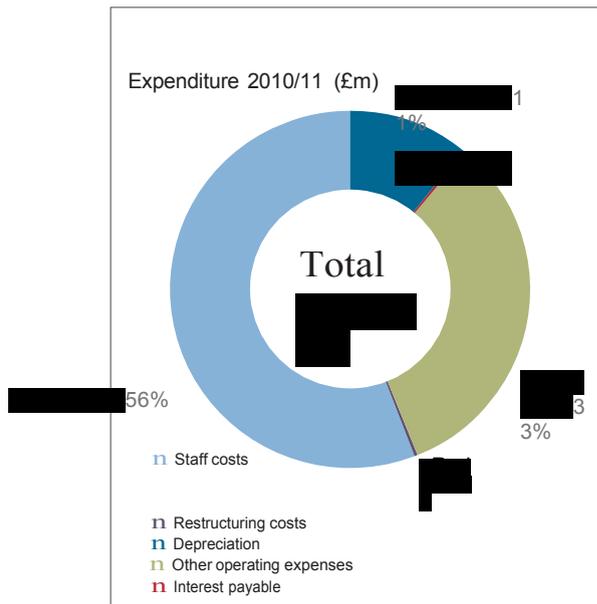
## Treasurer's Report (continued)

reducing from all sources. Not only is Government spending being reduced, but the impact of additional competition and efficiency pressures relating to other funders is being felt.

Other operating, endowment and interest income are largely in line with the prior year. This includes income from student residences, which we own, and enables us to directly influence the overall student experience. Residences, catering and conference incomes show small increases with the funds being allocated to ensure residences are appropriately maintained and services across campus are delivered to suit both student and staff needs.



Artist's impressions of the new Bramall Music Building



In these challenging times, we remain committed to investing in the student experience. During the year we have committed funding to:

- Employability support and guidance
- Academic enhancement, with new Chairs of subject areas being appointed
- Student facilities
- Establishing a technology hub to house and maintain equipment for wider access
- IT infrastructure enabling more innovative approaches to communication and teaching delivery.

### Donations and fundraising

During the year the University achieved the fundraising target of [redacted] for the first phase of our Circles of Influence campaign. Funds have come from a variety of sources over the term of the campaign and include donations from alumni and charities, contributions from philanthropic sources to our research activities and project funding.

This has enabled us to undertake a wide variety of capital programmes, support research into many areas such as cancer treatment innovations and support students attending the University from diverse backgrounds through our Access to Birmingham programme and much more.

The philanthropic support the University has received is from a wide variety of sources and has been applied to an equally wide number of activities. As a result the

We continue to review our ongoing cost profile and to disinvest in activities which are no longer congruent with our strategic aims. Indeed costs for the year have been broadly contained.

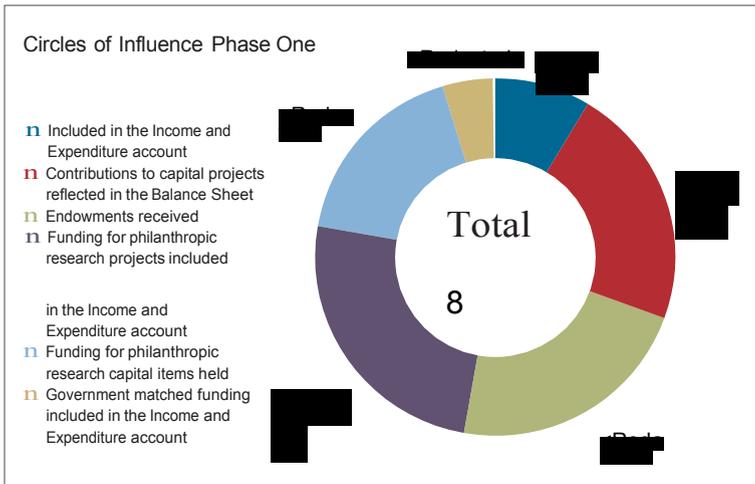
[redacted]  
[redacted]  
[redacted].

With a substantial owned estate coupled with our ongoing investment programme, depreciation continues to be a significant cost at [redacted] (2009/10 [redacted]).

# Treasurer's Report (continued)

impact is recorded in a number of areas in the financial statements.

The overall impact is as follows and is spread across a number of financial years.



Unusually within the sector, this level of investment has been achieved without the need for external loans. As capital funding from the Government continues to reduce significantly, the need to find alternative funding sources grows. Our ambitious capital plan, announced earlier this year, may necessitate some borrowing to meet the timing of potential cash flows and to benefit from advantageous rates where available.

On implementation of the Accounting Standard in relation to Heritage Assets, we have identified one of our sculptures and one of our portraits, with a combined value of [REDACTED] as Heritage assets. These form just part of the University's assets and initiatives to promote

- cultural life on campus. Other examples are:
- The Cadbury Research Library: Special Collections;
  - Blue plaque trail;
  - Sculpture trail;
  - Lapworth Museum of Geology;
  - Pop up performances; and
  - Collection of Fine Art.

We have now launched phase two of the campaign which seeks to raise an additional [REDACTED].

These four schemes alone total [REDACTED] in the year.

**Balance sheet**  
**Fixed assets**

With our estate covering 230 hectares, containing over 270 buildings and having an insurance value of more than [REDACTED], the requirement for infrastructure development and enhancement is significant. Against our annual target of [REDACTED] we have spent [REDACTED] on our land and buildings in 2010/11 including:

- The Bramall Music Building, which will open in 2012. This will provide an excellent music and performance space and will complete the Aston Webb semi circle. This has been funded by a mix of generous donations from Alumni and others and the University's own funds;
- A substantial upgrade and refurbishment of the Metallurgy and Materials building;
- Supporting and improving the subway system which provides service infrastructure across the campus;
- Extending the steam main to the Medical School to enable the benefit of steam heating on the west side of the campus;

**Investments and cash**

Through the Investment Sub-Committee, the University sets the policy for investment in long and short term portfolios. The long term portfolio delivered a total return of 9.8% while the short term cash return delivered

1.7%. The investment portfolios are managed by external providers with the focus being on the asset allocation delivering an appropriate balance of risk/return. The investments in cash are spread across a number of banks and financial institutions. In the current economic environment, risk management is more of a focus than return.

The University continues to generate cash from its operations of [REDACTED] (2009/10 [REDACTED]). This strong and active management of our cash enables us to fund the capital programme, invest in new or growing academic areas and support our activities despite declining funding from other sources.

**Liabilities**

We pay careful attention to the management of working capital and in particular the robust control of debtors and fair treatment of creditors. Our trade creditors are comparatively small at [REDACTED] reflecting our policy for payment of suppliers being to settle accounts within 30 days of invoice.

## Treasurer's Report (continued)

Due to the size of our capital programme, together with the timing of receipt of funds in advance of activity, the [REDACTED] of research grants and other deferred income is consistent with the prior year ([REDACTED]).

The University's Self-Administered Trust, a defined benefit pension scheme, BPAS, was closed to new entrants in 2002. The last triennial actuarial valuation was in March 2010 and a new schedule of contributions includes deficit contributions of [REDACTED] for 20 years.

### Reserves

At the year end our Income and Expenditure account reserve was [REDACTED] before the [REDACTED] pension reserve. Of this approximately [REDACTED] is necessary to match our investment in the estate.

### Risks and opportunities

During the year, the risk management processes for the University have been reviewed and a new strategic risk register approved by Council. The register has been aligned to 'Shaping our future: Birmingham 2015', our five year plan and the key institutional risks are as follows:

#### Sustained financial strength

The sector continues to experience spending constraints. Uncertainty still exists on the outcome of the Government's White Paper consultation along with the Higher Education Funding Council's mechanism for implementation of the White Paper's proposals. We anticipate major changes in teaching funding and during the last year a significant amount of time has been spent on defining the offer to our students from 2012/13 and the fee required to support a high quality student experience. The impact of the 'free at point of entry' policy on undergraduate demand is unknown and other changes in the funding mechanisms, such as the removal of student number controls on those applicants with AAB or equivalent qualifications means the University needs to pay close attention to trends and market related data in order to assess and manage our position and the financial implications.

Pay and pensions, when combined, continue to represent over 55% of our total expenditure. Pay rates continue to rise, but at lower rates than before. This will assist in delivering a financially sustainable future as other economic pressures increase.

### Research power

The Government has rightly chosen to protect the science and research budgets in cash terms. This recognises the importance of the sector to economic growth. The distribution of the research budget has become clearer and the University continues to focus on ensuring that our research income from all sources is enhanced. The impact of our research is as important as the funding for it, activity to grow our market share and to continually enhance quality. The relevance of our outputs is a key area of focus.

### Student experience

The student experience, and measurement of it, is also facing a changing landscape, with the introduction of the new Key Information Set ('KIS') from next year. The University already monitors student satisfaction in a number of ways, involving both national and local benchmarking. This remains important. The significance of maintaining high academic quality alongside demand for our programmes and the overall experience of students whilst at the University will continue to be enhanced.

### Destination of Choice

The delivery of our academic goals requires recruitment and retention of the best academic staff as well as identifying the talent of the future. The Birmingham Research Fellows scheme is an example of how we seek to recruit new members of staff and provide them with development opportunities. Similarly within our professional teams the focus is on continuous improvement and delivery to support the ongoing response to change that is essential if we are to achieve our aims.

## Treasurer's Report (continued)

### Engaged University

The engaged university element of risk is around external recognition for our research and academic activity as well as the need to deliver an international experience as a global player that impacts all of our staff and students. A number of initiatives in relation to our international presence; the development of new partnerships, both internationally and in the UK; mobility for both staff and students and employability opportunities all form part of our efforts to mitigate the likelihood and impact of this risk.

### Other operating risks

The other operating risks include matters such as a failure of our IT systems and environmental impacts that we need to keep under careful review to ensure that the likelihood is minimised and in the event of any such risk arising, the impact is managed and controlled.

### Opportunities

The University has a number of opportunities for development and wider engagement.

## WE HAVE DEVELOPED AND STRENGTHENED OUR OVERSEAS PARTNERSHIPS DURING THE YEAR WITH RELATIONSHIPS IN PLACE IN CHICAGO, BRAZIL, GUANGZHOU AND INDIA

Building on these will enable research and business related projects to be delivered. As a result we would expect to see an increase in our share of the international research and student markets.

Council has recently approved a number of projects, including library, sports centre and student hub. Full designs and discussions with stakeholders are already underway. These are planned to complete within 4/5 years and will further enhance the campus and the experiences of our students and staff as well as presenting more opportunities to engage with the local community.

Our focus on the student experience has led to a greater dialogue between students and those who run the University. Students are engaged in a range of initiatives and have established many mechanisms through which their voices can be heard to deliver

the experience across campus. During the last year, with many significant decisions to be made around fees and investment priorities the engagement with the student body has been very important and has ensured that decisions have been taken with a full appreciation of students' views.

The achievement of second place in the BUCS championships for University Sport is a credit to our sports teams and the commitment they show in representing the University through their sport. We also have a large number of volunteers related to our sports activity, who engage and support many local community sports clubs through coaching and mentoring.

### Regulatory environment

The University is able to operate in a relatively autonomous fashion, having regard to requirements to fulfil our charitable objectives under the Royal Charter (by which it was established in 1900), to the Higher Education Funding Council for England (HEFCE) and other regulatory bodies within the sector.

The University is an exempt charity by virtue of schedule 2 of the Charities Act 1993 and since June 2010 HEFCE has been the University's principal regulator under the Charities Act 2006.

The University's activities are governed by its Charter and Statute. In accordance with these, the University is required to:

- ▮ be both a teaching and an examining university;
- ▮ further the prosecution of original research;
- ▮ provide instruction in such branches of learning as the University may think fit;
- ▮ work for the advancement, dissemination and application of knowledge in such a manner as the University may determine so as to be for the public benefit; and
- ▮ set up fellowships, scholarships, studentships, exhibitions, bursaries, prizes and other such awards for the benefit of individuals and society at large.

All our activities are defined by these principles delivering a benefit to the students and staff who are involved with the University and more widely to the public.

## OUR INCREASED FOCUS ON THE STUDENT EXPERIENCE HAS LED TO A GREATER DIALOGUE BETWEEN STUDENTS AND THOSE WHO RUN THE UNIVERSITY, WITH STUDENTS ENGAGED IN MANY AREAS OF DELIVERING THE EXPERIENCE ACROSS CAMPUS AND HAVING MULTIPLE MECHANISMS THROUGH WHICH THEIR VOICE CAN BE HEARD

### Public benefit

Under the Charities Act 2006, the University is required to report on how it has delivered its charitable purposes for the public benefit. In setting strategy and implementing decisions to enhance the University's activity, Council has taken due regard of the Charity Commission guidance on public benefit. The charitable aim of the advancement of education is exemplified in both our under and post graduate teaching across a wide range of subjects. More than 29,000 students, with over 5,000 graduating each year, enjoy the benefits of higher education at the University. Through professional courses such as our Environmental Health MSc programme, to the more traditional BA English with Creative Writing, we are sharing knowledge and developing enquiring minds. Many pursued research across a wide range of disciplines, finding original concepts and new inventions which will in time result in changes to our society, advancements in healthcare and enhanced economic well being, in the year over 15 patent applications were made and over 60 new records of inventions were registered.

The University also provides a series of lectures which are open to students, staff and the local community on areas of wide interest. In 2011 our Baggs Memorial Happiness Lecture was given by Alistair Campbell and was attended by over 600 people.

Further information in relation to the wide range of academic opportunities can be found in the University's online prospectus (see [REDACTED]).

Our student population is drawn from both the UK and further afield and this mix of backgrounds and experiences enriches the learning experience gained in attending the University. We produce graduates who have received training in their chosen academic discipline, together with other skills, through volunteering, electives or placements abroad, training as student mentors and numerous other extracurricular activities.

Our research interests are varied and wide-ranging. Our internationally acclaimed academics advance knowledge in cutting edge and global areas of concern, such as nature inspired computations and their applications, an inter-disciplinary project; indoor contamination with flame retardant chemicals, considering the potential health risks; metabolic flux analysis and cancer, training researchers to exploit the gains of new technology; and computational neuroscience and cognitive robotics, considering how the brain learns, ages and recovers from injury. Additional information about how these and other research activities impact can be found online (see [REDACTED]). In delivering research the University is mindful of the need to minimise any detrimental impact and there are policies and procedures for initial ethical approvals of projects as well as in relation to compliance with appropriate standards for dealing with clinical tissue, sensitive data or areas of ethical concern.

The University's strategic goals of enhancing research power and providing students with a distinctive high quality experience will result in a continued focus on the benefits provided to society and our student population, maximising the impact of the University of Birmingham as widely as possible.

The University provided [REDACTED] (2009/10 [REDACTED]) of scholarships and bursaries to encourage entry to, and continuation of, higher education from as wide a cross section of the community as possible. We also actively encourage widening participation through our highly praised Access to Birmingham scheme. This involves targeted engagement with young people who have little or no experience of university, to assist them in finding out what studying at university involves. The scheme started in 2000 and due to its success, we are now supporting the development of similar schemes across the country.

Whilst at the University we provide a full range of support for students to enhance their learning experience. The range of student services available includes student welfare and counselling, additional support for our disabled students, sports facilities, careers and financial advice. We also have two day nurseries, available for use by our students and the public.

Many of the University's facilities are also used by our local community. This includes swimming lessons for children in the sports centre and use of our hockey and rugby pitches by local clubs and societies. Additional details of the cultural engagement and community activities are provided on pages 8 and 9.

The University is able to deliver on all of its activities due to the engagement of our staff and in many circumstances also our students. I would like to thank everyone for their contribution over the last year and I look forward to us working together in the future to capitalise on opportunities in a period of continuing change.

[REDACTED]

## Corporate Governance

Current members of the Council who are also trustees of the exempt charity, who served throughout the year ended 31 July 2011 and to the date of approval of these accounts, except where indicated otherwise are set out in the table. Their attendance at meetings as members of Council, Strategy, Planning and Resources (SPRC), Audit, Membership and Remuneration Committees are shown below.

Members	Meeting attendance 2010/11				
	Council 6 in year	SPRC 6 in year	Audit 4 in year	Remuneration 3 in year	Membership 3 in year
<b>Lay Members appointed by the Council</b>					
[REDACTED] ([REDACTED] from 1 August	6/6	6/6	–	3/3	3/3
[REDACTED]	6/6	6/6	–	3/3	2/3
[REDACTED]	5/6	6/6	–	3/3	3/3
[REDACTED]	5/6	–	4/4	–	3/3
[REDACTED] Commenced August 2010	4/6	4/6	–	–	–
[REDACTED]	5/6	4/6	–	3/3	–
[REDACTED] Commenced August 2010	4/6	–	–	–	–
[REDACTED] Commenced August 2010	6/6	–	4/4	–	–
[REDACTED]	6/6	–	4/4	–	–
[REDACTED]	6/6	–	3/4	–	–
[REDACTED]	4/6	–	–	–	–
[REDACTED] Commenced August 2010	4/6	–	–	3/3	–
[REDACTED] Commenced December 2010	2/4	–	–	–	–
[REDACTED] Resigned March 2011	2/2	–	–	–	–
[REDACTED] Term ended 31 July 2011	4/6	–	–	–	–
[REDACTED] Commenced August 2010	2/6	–	–	–	–
2 Lay Member vacancies	–	–	–	–	–

Members	Meeting attendance 2010/11				
	Council 6 in year	SPRC 6 in year	Audit 4 in year	Remuneration 3 in year	Membership 3 in year
<b>Appointed by Guild of Students</b>					
██████████					
Term commenced August 2011	–	–	–	–	–
Vacancy Post Graduate Representative from the Guild of Students	–	–	–	–	–
██████████					
Term ended July 2011	5/6	6/6	–	–	–
██████████					
Term ended July 2011	5/6	–	–	–	–
<b>Ex Officio Members</b>					
██████████ ██████████	6/6	6/6	–	3/3	3/3
██████████ ██████████	6/6	6/6	–	–	3/3
<b>Academic Members Appointed by Senate</b>					
██████████	5/6	–	–	–	–
██████████	3/6	6/6	–	–	–
██████████	6/6	6/6	–	–	–
██████████	5/6	–	–	–	3/3
<b>Secretary to Council</b>					
██████████ ██████████	6/6	–	–	–	–
<b>Advisors</b>					
External Auditors	██████████				
Bankers	Lloyds TSB Plc				
Solicitors	██████████				
(from Panel of)	██████████				

## Corporate Governance (continued)

The following statement is given to assist readers of the Financial Statements to obtain an understanding of the Governance procedures applied by the University's Council.

The University endeavours to conduct business:

- i) in accordance with the seven principles identified by the Nolan Committee on standards in public life (selflessness, integrity, objectivity, accountability, openness, honesty and leadership), and
- ii) in full accordance with the guidance to the University which has been provided by the Committee of University Chairmen in its 'Guide for Members of Governing Bodies of Universities in England and Wales'
- iii) in accordance with combined code on corporate governance in so far as it is applicable to the Higher Education sector.

The University is committed to exhibiting best practice in all aspects of corporate governance, in particular Council has adopted and complied with CUC governance code of practice and general principles.

### Summary of the University's structure of Corporate Governance

The University's Council comprises 24 lay and academic persons appointed under the Statutes of the University, the majority of whom are lay members. The roles of Chairman and Deputy Chairman of the Council are separate from the role of the University's Chief Executive, the Vice-Chancellor and Principal. The matters specifically referred to the Council for decision are set out in the Statutes of the University, by custom and under the Financial Memorandum with the Higher Education Funding Council for England. The Council holds to itself the responsibilities for the ongoing strategic direction of the University, approval of major developments and the receipt of regular reports from Executive Officers on the day-to-day operations of its business and its subsidiary companies.

### Council

The Council which is chaired by the Pro-Chancellor, meets at least four times a year and has several Committees: a Strategy, Planning and Resources Committee (SPRC), Audit Committee, a Membership Committee, and Remuneration Committee all of which have lay members. Attendance at meetings in the year is shown on pages 20 and 21. Senate and the University

Executive Board (UEB) have no lay members. All committees are formally constituted with terms of reference.

### Strategy, Planning and Resources

SPRC recommends to Council a corporate plan for the University, embracing all matters of a long-term, medium-term and short-term nature. It brings together academic, financial and physical planning and monitors the effectiveness of all such plans. The committee also recommends the annual budget to Council, oversees the development and implementation of systems relating to institutional performance monitoring, and monitors strategic risks.

The membership currently comprises the Vice-Chancellor (Chairman), the Pro-Chancellor, the Deputy-Pro Chancellor, the Treasurer, the Provost and Vice-Chancellor, 3 Pro-Vice-Chancellors, 3 academic members of Council, 3 lay members of Council and the President of the Guild of Students.

### Audit

The Audit Committee meets four times annually and is made up of five lay members of Council who are not members of SPRC. There are also two possible co-opted members. At present the committee has three vacancies, one Council member and two co-opted positions.

The Committee reviews the effectiveness of the University's financial and other internal control systems, satisfies itself that satisfactory arrangements are in place to promote economy, efficiency and effectiveness and advises the Council on risk management. It reviews the external auditor's report and the scope and effectiveness of the internal auditor's work and advises Council on the appointment of both the Internal and External Auditor. It receives and considers reports from the Higher Education Funding Council for England as they affect the University's business. It reviews adherence with regulatory requirements and reviews the University's annual financial statements together with the accounting policies.

Whilst senior executives attend meetings of the Audit Committee as necessary, they are not members of the Committee, and the Committee does meet regularly with the Internal and External Auditors on their own for independent discussions.

## Corporate Governance (continued)

### Membership

Membership Committee considers nominations for vacancies in the Council membership under the relevant ordinance. The committee is chaired by the Pro-Chancellor and includes the Vice-Chancellor, and at least three members of Council.

At one of its meetings each year, the Committee reviews the establishment, terms of reference, constitution, composition and membership of all Council committees and will make any recommendations to Council for changes in consultation with the chairperson of the relevant Committee.

### Remuneration

The Remuneration Committee is responsible to the University Council for setting the remuneration of all senior staff including the Vice-Chancellor, those staff on UEB who report directly to him, professors and senior professional staff.

The Committee is comprised of 5 lay members of University Council and the Vice-Chancellor. The Registrar and Secretary is in attendance. No member of staff is present for discussion of their own remuneration. The Committee is chaired by the Deputy Pro-Chancellor. The Pro-Chancellor is a member of the Committee, but since he reports to the Committee on the Vice-Chancellor's performance and recommends to the Committee the Vice-Chancellor's remuneration, the University believes it is appropriate that a different senior lay officer chairs the Committee. Human Resources service the Committee and support the remuneration process.

The Remuneration Committee meets at least twice a year and its purpose is to:

- 11 Take an overview of the reward policy on associated structures and processes which are designed to support a high performance culture;
- 11 Review senior staff remuneration;
- 11 Review equal pay issues; and
- 11 Review remuneration for the Vice-Chancellor and those staff who report directly into him (excluding his Personal Assistant).

The Committee ensures that it complies with the HEFCE Accounts Directive on senior staff remuneration.

The annual process for setting senior staff remuneration is as follows:

1. At its first meeting, the Remuneration Committee considers and agrees the parameters and principles that will apply to that year's process and the information and data it wishes to consider at its second meeting, when it sets senior staff remuneration. The Vice-Chancellor is then responsible for overseeing the annual process for senior staff (other than himself, which falls to the Pro-Chancellor) working within the approach agreed by the Committee.
2. In the case of senior academic staff, professors are invited to submit a statement describing their achievements over the previous twelve months, which is reviewed by their Head of School. These are then considered alongside market data by their Head of College, who makes recommendations regarding proposed remuneration increases for their College and is responsible for ensuring consistency and equality of treatment. The Vice-Chancellor meets with each Head of College to scrutinise these recommendations, and, following moderation by the Pro-Vice-Chancellors (thematic) and the Provost and Vice-Principal, the Vice-Chancellor presents his plan for the remuneration of professors to the second meeting of Remuneration Committee for consideration and approval.
3. There is a parallel process for senior professional staff, under which the Registrar and Secretary recommends remuneration increases reflecting individuals' performance, informed by the appraisal process, and taking account of comparative market data and equal pay issues. The Vice-Chancellor meets with the Registrar and Secretary to scrutinise these recommendations and then presents his plan for the remuneration of professional staff to the second meeting of Remuneration Committee for consideration and approval.

Those members of UEB who report directly to the Vice-Chancellor agree a series of collective and individual objectives at the start of the year, which are reviewed at least twice during the year and provide the Vice-Chancellor with an assessment of performance which, along with market pay data and other relevant inputs, is used by him to prepare proposals for the remuneration of those staff which he presents to the second meeting of the Remuneration Committee for consideration and for approval.

## Corporate Governance (continued)

The Vice-Chancellor's performance objectives are agreed each year with the Pro-Chancellor. These are endorsed by the Remuneration Committee. The Pro-Chancellor undertakes six and twelve month appraisal discussions with the Vice-Chancellor and obtains feedback from selected individuals both within the University and its external stakeholders and reports these to Remuneration Committee. The Pro-Chancellor makes a recommendation to the Remuneration Committee's second meeting on the Vice-Chancellor's remuneration, informed by his assessment of the Vice-Chancellor's performance, the findings of the annual Committee of University Chairmen (CUC) Survey of Vice-Chancellors' remuneration, other market data and relevant information. The Committee scrutinises the Pro-Chancellor's recommendation and agrees the Vice-Chancellor's remuneration.

The Vice-Chancellor's total remuneration is comprised of two elements, base salary and a performance-related payment of up to 10% of salary. The Pro-Chancellor proposes targets for payout of the performance-related element to the Remuneration committee who determine the level of award.

### University Executive Board

The University Executive Board (UEB) is a committee of the Council established by Ordinance (our internal legislation) that normally meets weekly to steer the implementation of University strategy and policies under Council's direction and within the Council's scheme of delegation. An additional purpose is to foster good communication and inter-collegiate activity in the University and to promote transparency in decision-making.

Its membership is comprised of the Vice-Chancellor and Principal (in the Chair), the Provost and Vice Principal, the Pro-Vice-Chancellors, the Heads of Colleges, the Registrar and Secretary, the Director of Finance, the Director of Human Resources and such other persons as may be recommended by the Vice-Chancellor, after consultation with the University Executive Board, and approved by the Council for such terms of office as it determines.

### Senate

The Senate, under the Statutes, is responsible to the Council for regulating and directing the academic work of the University in teaching, examining and research for the award of all Degrees, Diplomas, Certificates and other academic distinctions of the University and for the discipline (whether intra-mural or extra-mural) of the students of the University and for the enforcement of such discipline. The Senate is chaired by the Vice-Chancellor and consists of up to 60 members drawn from the University leadership, Academic staff and the Guild of Students.

### Statement of Internal Control

The Council has responsibility for maintaining a sound system of internal control that supports the achievement of policies, aims and objectives, while safeguarding the public and other funds and assets for which it is responsible, in accordance with the responsibilities assigned to the governing body in article 7 of the Charter of Incorporation, Section 9 of the Statutes of the University and the Financial Memorandum with the HEFCE.



## Corporate Governance (continued)

The system of internal control is designed to manage rather than eliminate risk based on an ongoing process established to identify the principal risks to the achievement of policies, aims and objectives, to evaluate the extent and nature of those risks and to manage them efficiently, effectively and economically. It can therefore only provide reasonable and not absolute assurance of effectiveness. This process has been in place for the year ended 31 July 2011 and up to the date of approval of the financial statements, and accords with HEFCE guidance.

Council has responsibility for reviewing the effectiveness of the system of internal control. The following processes have been established:

- 11 Council meets a minimum of four times a year to consider the plans and strategic direction of the institution
- 11 Council receives periodic reports from the Audit Committee concerning internal control, and requires regular reports from managers, either directly or through the SPRC, on the steps they are taking to manage strategic risks in their area of responsibility, including progress reports on key projects
- 11 Council has requested the Audit Committee to provide oversight of the risk management process. This provides a formal reporting and appraisal mechanism, in addition to the reports noted above
- 11 The Audit Committee receives regular reports from the Head of Internal Audit, which include an independent opinion on the adequacy and effectiveness of the institution's systems of governance, risk management and internal control, together with recommendations for improvement
- 11 A system of key performance indicators has been developed for the risks contained in the risk register, and residual risks are monitored against these regularly
- 11 Reports are received from budget holders, department heads and project managers on internal control activities via sub committees of Council.
- 11 A regular formal review takes place to identify and where necessary to revise and update the record of risks facing the institution

- 11 An organisation wide risk register has been maintained. Heads of budget centres have received guidance on how to implement risk management within their own areas of responsibility and how to embed risk management within their normal management practices
- 11 During the year, a Task Group consisting of two members of Council and senior university management has reviewed and revised the risk management principles and devised a new strategic risk register which is fully aligned to the strategic goals set out in the Strategic Framework which was approved by Council in 2010 and, has been implemented for full operation in 2011/12.

The review of the effectiveness of the system of internal control is informed by the Internal Audit Service, which operates to standards defined in the HEFCE Audit Code of Practice, and which was last reviewed for effectiveness by the HEFCE Audit Service in May 2006.

The review of the effectiveness of the system of internal control is also informed by the work of the executive managers of the institution, who have responsibility for the development and maintenance of the internal control framework, and by comments made by the external auditors in their management letter and other reports.



25 November 2011

## Responsibilities of the Council

In accordance with the Royal Charter, the Council of the University of Birmingham is responsible for the administration and management of the affairs of the University and is required to present audited financial statements for each financial year.

The University Council is responsible for keeping proper accounting records which disclose with reasonable accuracy at any time the financial position of the University and to enable it to ensure that the financial statements are prepared in accordance with the University Statutes, the Statement of Recommended Practice: Accounting for Further and Higher Education Institutions and other relevant accounting standards. In addition, within the terms and conditions of a Financial Memorandum agreed between the Higher Education Funding Council for England and the Council of the University, the University Council, through its designated office holder, is required to prepare financial statements for each financial year which give a true and fair view of the state of affairs of the University and of the surplus or deficit, cash flows, and total recognised gains and losses for that year.

In preparation of the financial statements, the University Council has to ensure that:

- suitable accounting policies are selected and applied consistently;
- judgements and estimates are made that are reasonable and prudent;

- applicable accounting standards have been followed, subject to any material departures disclosed and explained in the financial statements;
- it is satisfied that the University has adequate resources to continue in operation for the foreseeable future; and
- the going concern basis is appropriate for the preparation of the financial statements.

The University Council has taken reasonable steps to:

- ensure that funds from the Higher Education Funding Council for England and the Training and Development Agency are used only for the purposes for which they have been given and in accordance with the Financial Memorandum with these bodies and any other conditions which these bodies may from time to time prescribe;
- ensure that there are appropriate financial and management controls in place to safeguard public funds and funds from other sources;
- safeguard the assets of the University and to prevent and detect fraud; and
- secure the economical, efficient and effective management of the University's resources and expenditure.

25 November 2011

# Report of the Auditor

## **Independent auditor's report to the Council of the University of Birmingham**

We have audited the group and University financial statements (the "financial statements") of The University of Birmingham for the year ended 31 July 2011 which comprise the Consolidated Income and Expenditure Account, the Consolidated and University Balance Sheets, the Consolidated Cash Flow Statement, the Statement of Consolidated Total Recognised Gains and Losses, the Accounting Policies and the related notes. The financial reporting framework that has been applied in their preparation is applicable law and United Kingdom Accounting Standards (United Kingdom Generally Accepted Accounting Practice).

This report is made solely to the Council, in accordance the Charters and Statutes of the institution. Our audit work has been undertaken so that we might state to the University Council those matters we are required to state to it in an auditor's report and for no other purpose. To the fullest extent permitted by law, we do not accept or assume responsibility to anyone other than the University Council for our audit work, for this report, or for the opinions we have formed.

## **Respective Responsibilities of the University Council and Auditors**

As explained more fully in the Statement of Responsibilities of the Council on page 26 the Council is responsible for the preparation of financial statements which give a true and fair view. Our responsibility is to audit, and express an opinion, on the financial statements in accordance with applicable law and International Standards on Auditing (UK and Ireland). Those standards require us to comply with the Auditing Practices Board's Ethical Standards for Auditors.

## **Scope of the audit of the financial statements**

An audit involves obtaining evidence about the amounts and disclosures in the financial statements sufficient to give reasonable assurance that the financial statements are free from material misstatement, whether caused by fraud or error. This includes an assessment of: whether the accounting policies are appropriate to the group's and University's circumstances and have been consistently applied and adequately disclosed; the reasonableness of significant accounting estimates made by the Council; and the overall presentation of the financial statements. In addition, we read all the financial and non-financial information in the Treasurer's Report to identify material inconsistencies with the audited financial statements. If we become aware of any apparent material misstatements or inconsistencies we consider the implications for our report.

## Report of the Auditor (continued)

### Opinion on financial statements

In our opinion the financial statements:

- 11 give a true and fair view of the state of the affairs of the Group and University as at 31 July 2011 and of the Group's income and expenditure, recognised gains and losses and cash flows for the year then ended;
- 11 have been properly prepared in accordance with United Kingdom Generally Accepted Accounting Practice; and
- 11 have been prepared in accordance with the Statement of Recommended Practice – Accounting for Further and Higher Education.

### Opinion on other matters prescribed in the HEFCE Audit Code of Practice issued under the Further and Higher Education Act 1992

In our opinion, in all material respects:

- 11 funds from whatever source administered by the University for specific purposes have been properly applied to those purposes;
- 11 income has been applied in accordance with the University's Statutes; and
- 11 funds provided by HEFCE have been applied in accordance with the Financial Memorandum and any other terms and conditions attached to them.

### Matters on which we are required to report by exception

We have nothing to report in respect of the following matter where the HEFCE Audit Code of Practice issued under the Further and Higher Education Act 1992 requires us to report to you if, in our opinion:

- 11 the statement of internal control included as part of the Corporate Governance Statement is inconsistent with our knowledge of the University and Group.

██████████  
 ██████████  
 ██████████  
 ██████████  
 Birmingham  
 ██████████

29 November 2011

# Statement of Principal Accounting Policies and Estimation Techniques

The Accounts for the year ended 31 July 2011

## 1. Basis of Preparation

The Financial Statements have been prepared on the historical cost accounting basis, modified for the revaluation of certain fixed assets and investments, and in accordance with the Statement of Recommended Practice (SORP) 2007 applicable to Higher and Further Education Institutions and applicable Accounting Standards. They conform to the guidance published by the Higher Education Funding Council for England.

In accordance with FRS 18 these accounting policies have been reviewed by the University's Council and are considered appropriate to the University's activities.

## 2. Going Concern Basis

The University's business activities and current financial position, together with the factors likely to affect its future development, performance and position are set out in the Treasurer's Report on pages 14 to 19.

The University has considerable financial resources and a diverse range of income streams to ensure sustainability. The University has embarked on the delivery of a new strategic plan, providing focus and direction up to 2015 and as a consequence Council believes that the University is well placed to manage its business risks successfully despite the uncertain economic climate.

Council has an expectation that the University has adequate resources to continue in operational existence for the foreseeable future. Thus it continues to adopt the going concern basis of accounting in preparing the annual financial statements.

## 3. Basis of Consolidation

The results of the University's subsidiary undertakings have been consolidated in the financial statements and details of interests in these subsidiary undertakings are provided in note 30 to the Accounts. The University also has interests in a number of other companies which are also identified in note 30.

The financial statements for the University of Birmingham Guild of Students have not been consolidated, as the University has no control or dominant influence over policy decisions. The contribution made by the University to the Guild is shown in note 7 and the aggregate capital and reserves and surplus for the year to 31 July 2011 are shown in note 31.

## 4. Recognition of Income

The recurrent grant from the Higher Education Funding Council for England represents the funding allocation, which is attributable to the current financial year and is credited direct to the Income and Expenditure Account.

Grants which are applied to acquire tangible fixed assets are credited to deferred grants and released to the Income and Expenditure Account over the estimated useful lives of the relevant assets.

Income from donations, other Government grants, other specific grants, research grants and contracts is included to the extent of the expenditure incurred during the year, together with any related contributions towards overhead costs.

All endowment and investment income is credited to the Income and Expenditure Account on a receivable basis. Income from restricted endowments not expended in accordance with the restrictions of the endowment is transferred from the Income and Expenditure Account to restricted endowments.

Income from other services rendered is included to the extent of completion of the contract or services concerned and is measured at the fair value of the consideration receivable.

Tuition fees represent student fees received and receivable attributable to the current accounting period.

# Statement of Principal Accounting Policies and Estimation Techniques (continued)

The Accounts for the year ended 31 July 2011

The University acts as an agent in the collection and payment of training bursaries from Government agencies and of Learning Support Funds from HEFCE. Related payments received from Health Authorities, Research Councils, the Training and Development Agency and HEFCE and subsequent disbursements to students are excluded from the Income and Expenditure Account and are shown separately in note 28.

Income from short term deposits is accrued up to the Balance Sheet date.

## 5. Taxation

The University is considered to pass the tests set out in Paragraph 1 Schedule 6 Finance Act 2010 and therefore it meets the definition of a charitable company for UK corporation tax purposes. Accordingly, the University is potentially exempt from taxation in respect of income or capital gains received within categories covered by Chapter 3 Part 11 Corporation Tax Act 2010 or Section 256 of the Taxation of Chargeable Gains Act 1992, to the extent that such income or gains are applied exclusively to charitable purposes.

The University is partially exempt in respect of Value Added Tax, so that it can only recover a minor element of VAT charged on its inputs. Irrecoverable VAT on inputs is included in the costs of such inputs and added to the cost of tangible fixed assets as appropriate.

The University's subsidiary companies are subject to corporation tax and value added tax in the same way as any commercial organisation.

Deferred tax is recognised in respect of all timing differences that have originated but not reversed at the balance sheet date where transactions or events that result in an obligation to pay more tax in the future or a right to pay less tax in the future have occurred at the balance sheet date.

## 6. Foreign Currencies

Transactions denominated in foreign currencies are recorded at the rate of exchange ruling on the dates of the transactions. Monetary assets and liabilities denominated in foreign currencies are translated into sterling either at year-end rates or, where there are related forward foreign exchange contracts, at contract rates. The resulting exchange differences are dealt with in the determination of income and expenditure for the financial year.

## 7. Land and Buildings

Land and Buildings are stated at cost, or at valuation if acquired before 31 July 1998.

The University depreciates its buildings on the basis of:

- n Academic and administrative buildings – 50 years
- n Residential and commercial buildings – 30 years

The costs of renovating or converting buildings are capitalised and depreciated in accordance with the above basis.

Historic buildings are maintained in such a state that their residual values are not materially different from their book values and hence a nil depreciation charge is made. Land is not depreciated.

Major repairs and refurbishments are capitalised and depreciated over 10 years, where they substantially add to the total area of the building, prolong its useful life or enhance the economic benefits of the building.

Where buildings are acquired with the aid of specific grants they are capitalised and the related grants are credited to deferred grants.

All buildings are regularly reviewed for indications of impairment. Where there is an impairment, the difference between the assessed recoverable value of the building and its written down cost is charged to the Income and Expenditure Account.

# Statement of Principal Accounting Policies and Estimation Techniques (continued)

The Accounts for the year ended 31 July 2011

The transitional rules in FRS 15 have been applied and the book values at implementation have been retained.

Where land and buildings are held for either income generation or capital appreciation they are classified as investment properties and valued annually in accordance with SSAP19 within Investments, and are not depreciated. Value appreciation is reflected in the revaluation reserve. Any permanent diminution in value is recorded in the Income and Expenditure Account.

## 8. Heritage Assets

FRS 30 Heritage Assets was adopted in 2010/11 and relates to works of art and other valuable artefacts, held principally for their contribution to knowledge and culture rather than for the University's operational use. Heritage assets acquired since 1 August 1999 and valued over [REDACTED] have been capitalised and recognised at the cost or value of the acquisition, where such a cost or valuation is reasonably obtainable.

Heritage assets are not depreciated since their long economic life and high residual value mean that any depreciation would not be material.

## 9. Equipment

All equipment is capitalised at cost, irrespective of value, and is depreciated over three years on a straight-line basis. Where equipment is acquired with the aid of specific grants, the grant is treated as a deferred capital grant and released to the Income and Expenditure Account over the expected useful economic life of the equipment.

## 10. Donated Assets

Where the University receives a donation, bequest or gift with no specific terms attached to its use, it is recorded as income in the Income and Expenditure Account.

Donated buildings and equipment are recognised in the Balance Sheet at value and are depreciated over their expected useful life, with corresponding income released from deferred capital grants to the Income and Expenditure Account in line with the University's asset capitalisation policies in paragraphs 7 and 8.

Any donated tangible fixed assets are accounted for at valuation on receipt.

## 11. Repairs and Maintenance

The University has established a long-term plan for repairs and maintenance which ensures that the buildings remain in their current state of repair. The costs of repairs and maintenance are charged to the Income and Expenditure Account as incurred, unless they fulfil the capitalisation criteria described in paragraph 7.

## 12. Leased Assets

Where assets are financed by leasing arrangements that give rights approximating to ownership (finance leases), the assets are treated as if they had been purchased outright and the corresponding liability to the leasing company is included as an obligation under finance leases. Depreciation on leased assets is charged to the Income and Expenditure Account on the same basis as above. Leasing payments are treated as consisting of capital and interest elements and the interest is charged to the Income and Expenditure Account over the period of the lease.

All other leases are operating leases and the annual rentals payable are charged to the Income and Expenditure Account.

## 13. Investments

Fixed Asset Investments are included in the Balance Sheet at market value. Increases/decreases in value arising on the revaluation of Fixed Asset Investments are carried to the Revaluation Reserve. Where a permanent diminution in value of an asset occurs, the excess will be charged to the Income and Expenditure Account to the extent it is not covered by a revaluation surplus.

Endowment Asset Investments are carried at market value. Such investments held at the previous year end, and carried at market value at that date, may be sold during the year. This crystallizes the value and any difference between the opening market value and the sale proceeds represents a revaluation movement. Consequently, the financial statements do not distinguish between the valuation adjustment relating to sales and those relating to continuing holdings as

# Statement of Principal Accounting Policies and Estimation Techniques (continued)

The Accounts for the year ended 31 July 2011

they are together treated as changes in the values of the investment portfolio.

Current Asset Investments are included at the lower of cost and net realisable value.

#### 14. Stocks

Stocks for building maintenance and for resale are included at the lower of cost and net realisable value. Consumable items are charged directly to the Income and Expenditure Account.

#### 15. Pensions

Retirement benefits for certain employees of the University are provided by defined benefit schemes, which are funded by contributions from the University and employees.

The two principal pension schemes for the University's staff are the Universities' Superannuation Scheme (USS) for academic and academic-related staff, and the University of Birmingham Pension and Assurance Scheme (BPAS) for other staff. The schemes are defined benefit schemes which are externally funded and contracted out of the State Earnings-Related Pension Scheme.

The assets of these schemes are held in separate trustee-administered funds. The institution is unable to identify its share of the underlying assets and liabilities of the USS scheme on a consistent and reasonable basis and therefore, as required by FRS 17 'Retirement benefits', accounts for the scheme as if it were a defined contribution scheme. As a result, the amount charged to the Income and Expenditure Account represents the contributions payable to the scheme in respect of the accounting period.

As required by FRS 17 'Retirement benefits', the difference between the fair value of the assets held in BPAS and the scheme's liabilities is recognised in the University's Balance Sheet as a pension scheme asset or liability as appropriate. Changes in the BPAS scheme asset or liability arising from factors other than cash contribution by the University are dealt

with in the Income and Expenditure Account or the Statement of Total Recognised Gains and Losses in accordance with FRS 17 'Retirement Benefits'.

In addition the University has a 'defined contribution' pension scheme for its support staff who are not members of BPAS.

#### 16. Provisions

Provisions are recognised when the University has a present legal or constructive obligation as a result of a past event, when it is probable that a transfer of economic benefit will be incurred, and this transfer can be reliably estimated.

#### 17. Cash and Short Term Deposits

Cash includes cash in hand, deposits repayable on demand and overdrafts. Deposits are repayable on demand if they are in practice available within 24 hours without penalty.

Short term deposits comprise assets held as a readily disposable store of value. They include term deposits, government securities and loan stock held as part of the University's treasury management activities. They exclude any such assets held as Endowment Asset Investments.

The only financial instruments the University has are interest rate swaps to reduce exposure to interest rate movements. Such derivative financial instruments are not held for speculative purposes and relate to actual assets or liabilities or to probable commitments, changing the nature of the interest rate by converting a fixed rate to a variable rate, or vice versa. Interest differentials under these swaps are recognised by adjusting net interest payable over the periods of the contracts.

# Consolidated Income and Expenditure Account

For the year ended 31 July 2011

	Note	2010/11	2009/10
		£000	£000
<b>Income</b>			
Funding Council grants	1	████████	████████
Academic fees and support grants	2	████████	████████
Research grants and contracts	3	████████	████████
Other operating income	4	████████	████████
Endowment income and interest receivable	5	████████	████████
<b>Total income</b>		████████	████████
<b>Expenditure</b>			
Staff costs	6	████████	████████
Restructuring costs	7	████████	████████
Depreciation	7	████████	████████
Other operating expenses	7	████████	████████
Interest payable	8	████████	████████
<b>Total expenditure</b>	<b>7</b>	████████	████████
<b>Operating surplus</b>			
Corporation tax	9	████████	████████
<b>Surplus for the year after taxation</b>		████████	████████
Minority interest		████████	████████
<b>Surplus after minority interest and taxation</b>		████████	████████
Surplus transferred from/(to) accumulated income in endowment funds		████████	████████
<b>Surplus for the year retained in general reserves</b>		████████	████████
(There were no discontinued operations during 2010/11 or 2009/10.)			
<b>Note of historical cost surpluses and deficits</b>			
<b>Surplus for the year</b>		████████	████████
Difference between historical cost depreciation and the actual charge based on the revalued amount.		████████	████████
<b>Historical cost surplus</b>		████████	████████

## Balance Sheets

For the year ended 31 July 2011

	Note	Consolidated		University	
		2011	2010	2011	2010
		£000	£000	£000	£000
<b>Fixed assets</b>					
Tangible assets	10				
Investments	11				
<b>Endowment asset investments</b>	12				
<b>Current assets</b>					
Stocks and stores in hand					
Debtors and prepayments	13				
Investments					
Cash at bank and in hand	14				
Creditors: amounts falling due within one year	14				
<b>Net current assets</b>					
<b>Total assets less current liabilities</b>					
Creditors: amounts falling due after more than one year	15			-	-
Provisions for liabilities and charges	16				
<b>assets excluding pension fund liabilities</b>					
Pension fund liability	27				
<b>Total net assets</b>					

## Balance Sheets (continued)

For the year ended 31 July 2011

	Note	Consolidated		University	
		2011	2010	2011	2010
Represented by:					
<b>Deferred capital grants</b>					
<b>Endowments</b>					
Restricted expendable					
Permanent					
<b>Reserves</b>					
Income and expenditure account (Excluding pension reserve)					
Pension reserve					
Revaluation reserve					
Minority interest					
<b>Total funds</b>					

The financial statements on pages 29 to 65 were approved by the Council on 25 November 2011 and signed on its behalf by:

n [redacted] [redacted]

n [redacted] [redacted]



# Consolidated Cash Flow Statement

For the year ended 31 July 2011

	Note	2010/11	2009/10
		£000	£000
<b>Net cash inflow from operating activities</b>	22	████████	████████
Returns on investments and servicing of finance	23	████████	████████
Taxation		████████	████████
Capital expenditure and financial investment	24	████████	████████
Net cash inflow before financing	26	████████	████████
Financing	25	████████	████████
<b>Increase in cash in the year</b>	26	████████	████████
<b>Reconciliation of net cash flow to movement in net funds</b>			
Increase in cash in the year		████████	████████
Repayment of debt	25	████████	████████
Increase in net funds	26	████████	████████
<b>Net funds at 1 August</b>		████████	████████
<b>Net funds at 31 July</b>	26	████████	████████



# Consolidated Statement of Total Recognised Gains and Losses

For the year ended 31 July 2011

	Note	2010/11	2009/10
		£000	£000
Surplus after depreciation of assets at valuation and tax		█	█
Appreciation of endowment asset investments	18	█	█
Revaluation of fixed asset investments	19	█	█
New endowments	18	█	█
Actuarial gain on pension fund	27	█	█
Past service costs	27	█	█
<b>Total recognised gains relating to the year</b>		█	█
<b>Reconciliation of reserves and endowments</b>			
Opening reserves and endowments as previously stated		█	█
Prior year adjustment for adoption of FRS30		█	█
Opening reserves and endowments as restated		█	█
Total recognised gains for the year		█	█
<b>Closing reserves and endowments</b>		█	█



# Notes to the Accounts

For the year ended 31 July 2011

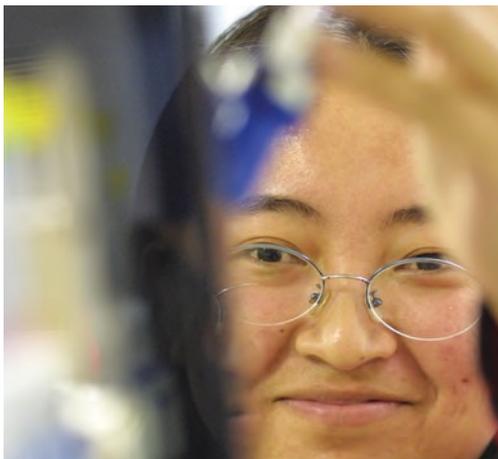
	Note	2010/11	2009/10
		£000	£000
<b>1. Funding Council grants</b>			
Teaching recurrent grant from HEFCE		██████████	Research recurrent grant from HEFCE
Other grants from HEFCE		██████████	
Training Development Agency grants		██████████	
Deferred capital grants released – buildings and equipment	17		██████████
		██████████	
<b>2. Academic fees and support grants</b>			
Undergraduate tuition – home and EU students		██████████	
Undergraduate tuition – other students		██████████	
Postgraduate tuition – home and EU students		██████████	
Postgraduate tuition – other students		██████████	
Other courses		██████████	
Research, training and support grants		██████████	
		██████████	
<b>3. Research grants and contracts</b>			
Research Councils		██████████	
UK based charities		██████████	
UK Central/Local Government, Health and Hospital Authorities		██████████	
UK Industry, Commerce and Public Corporations		██████████	
EU Government bodies		██████████	
EU other		██████████	
Other overseas		██████████	
Other sources		██████████	
		██████████	

Income from research grants and contracts includes ██████████ in respect of deferred capital grants released.

## Notes to the Accounts (continued)

For the year ended 31 July 2011

	Note	2010/11	2009/10
		£000	£000
<b>4. Other operating income</b>			
Residences, catering and conferences		██████████	
Other services rendered		██████████	
Externally funded posts – Health Authorities		██████████	
Self-financing teaching activities		██████████	
Rented properties and University Centre lettings Day nursery and health centre		██████████	
Release of deferred capital grants	17	██████████	
Barber Trust		██████████	
VAT refund		██████████	
Other income		██████████	
		██████████	
Other income includes ██████████ in respect of a legal settlement in 2010/11.			
<b>5. Endowment income and interest receivable</b>			
Income from permanent endowment investments	18	██████████	██████████
Income from restricted expendable endowment investments	18	██████████	██████████
Income from short term investments		██████████	██████████
Net return on pension scheme	27	██████████	██████████
Other investment income		██████████	██████████
		██████████	██████████



## Notes to the Accounts (continued)

For the year ended 31 July 2011

6. Staff	Note	2010/11	2009/10
		£000	£000
<b>Staff costs:</b>			
Salaries		██████████	██████████
Social security costs		██████████	██████████
Other pension costs	27	██████████	██████████
<b>Total (includes restructuring costs of ██████████)</b>		██████████	██████████
<b>Emoluments of the Vice-Chancellor:</b>			
██████████			
Salary and benefits		██████████	██████████
Pension contributions to USS		██████████	██████████
		██████████	██████████
<p>The emoluments shown are in respect of ██████████ for the 2009/10 and 2010/11 financial years. They have been independently determined by Remuneration Committee and reviewed according to performance.</p>			
<p>Compensation for loss of office paid to members of staff earning in excess of ██████████ per annum</p>			
		132	133
<b>Average staff numbers by major category:</b>			
		Number	Number
Academic and related/clinical		██████████	██████████
Other, including technical, clerical and manual		██████████	██████████
		██████████	██████████

## Notes to the Accounts (continued)

For the year ended 31 July 2011

Remuneration of higher paid staff, excluding employer's pension contributions but including payments made on behalf of the NHS in respect of its contractual obligations to University staff under separate NHS contracts of employment and which are included in the University's Income and Expenditure Account:

	2010/11 Number	2009/10 Number
██████████	16	20
██████████	14	10
██████████	7	10
██████████	13	9
██████████	9	7
██████████	8	10
██████████	9	10
██████████	6	6
██████████	2	2
██████████	6	3
██████████	4	7
██████████	1	–
██████████	1	1
██████████	–	1
██████████	1	–

During the financial year 2010/11 expenses of ██████████ were reimbursed to Council members, who are also the trustees (2009/10, ██████████).

## Notes to the Accounts (continued)

For the year ended 31 July 2011

7. Analysis of expenditure by activity	Staff Costs (Note 6)	Depreciation	Other Operating Expenses	Interest Payable	<b>Total 2010/11</b>	Total 2009/10
	£000	£000	£000	£000	<b>£000</b>	£000
<b>Academic schools</b>						
Core teaching and research	██████████					
Research grants and contracts	██████████					
Student support	-	-	██████████			
Other trading	██████████					
	██████████					
<b>Academic services</b>						
Information services	██████████					
Other academic services	██████████					
	██████████					
<b>Premises</b>						
Energy and utilities	██████████					
Repairs and general maintenance	██████████					
Depreciation of buildings		██████████				
Other	██████████					
	██████████					
<b>Administration and services</b>						
Administrative services	██████████					
Audit fees		██████████				
Fees to auditor for non-audit work		██████████				
Sports facilities	██████████					
Health, nursery and counselling services	██████████					
Grant to Guild of Students (Note 31)	██████████					
<b>Residences catering and conferences</b>						
Residences	██████████					
Catering and conferences	██████████					
Depreciation of buildings		██████████				
	██████████					
<b>Other expenditure</b>						
Other services rendered		██████████	Restructuring costs		██████████	
			Writedown of investment properties	██████████		
			Other	██████████		
	██████████					
<b>Total</b>	██████████					
The depreciation charge has been funded by:						
Deferred capital grants released (Note 17)		██████████				

## Notes to the Accounts (continued)

For the year ended 31 July 2011

8. Interest payable	Note	Total 2010/11	Total 2009/10
		£000	£000
Net interest from pension scheme	[REDACTED]	[REDACTED]	[REDACTED]
Swap interest	[REDACTED]	[REDACTED]	[REDACTED]
Loan interest	[REDACTED]	[REDACTED]	[REDACTED]
		[REDACTED]	[REDACTED]
<b>9. Tax on profit on ordinary activities</b>			
United Kingdom Corporation tax at 30% on subsidiary company profits:			
Current year		[REDACTED]	[REDACTED]
Prior year		[REDACTED]	[REDACTED]
Deferred tax – due to timing differences in a subsidiary company		[REDACTED]	[REDACTED]
<b>Total credit</b>		[REDACTED]	[REDACTED]





## Notes to the Accounts (continued)

For the year ended 31 July 2011

### 10. Tangible fixed assets continued Consolidated

Leasehold land and buildings	Cost	Depreciation in year	Accumulated Depreciation	Net Book Value
	£000	£000	£000	£000
The value of land and buildings shown on previous page represents freehold interests except for the following:				
Medical School (on land leased in 1933 for 999 years from Birmingham City Council)	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
Clinical research building (leased in 1953 for 75 years from the NHS)	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
Residential leasehold properties	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]

The reinstatement cost of buildings for insurances purposes is [REDACTED]. In addition the University occupies space in a number of NHS owned properties for which it pays no rent due to the existence of longstanding reciprocal cost sharing arrangements.

#### Exchequer funded assets

[REDACTED]

### Tangible Fixed Assets

#### Heritage Assets

The University holds and maintains historic buildings, collections of art and other valuable items of artistic, scientific and historical importance (heritage assets). The University conserves these assets and supplements the collections where appropriate in order to enable use of the assets for teaching and research and allow access to the public. Further information on the University's policies regarding conservation, preservation, management and disposal of heritage assets can be found on the University's website [REDACTED].

The application of FRS 30 resulted in a reclassification of [REDACTED] in tangible fixed assets from land and buildings to Heritage assets with an impact on reserves of a prior year Income and Expenditure Account of [REDACTED], see page 38.

The University also holds heritage assets that have not been capitalised as, due to their unique nature, reliable information on cost or valuation is not readily available. This is owing to the lack of information on original purchase cost and the fact that these assets are not readily realisable. All costs incurred in relation to preservation and conservation are expensed as incurred. There have been no significant additions in the year or disposals.

Key heritage assets held by the University fall into the categories detailed below.

#### Historic buildings

The University has a number of prestigious heritage buildings, including the Aston Webb building and the Chamberlain clock tower.

#### Research and Cultural Collections

The University displays and teaches from thousands of objects within the following distinct collections, the Danford Collection of West African Art and Artefacts, the Institute of Archaeology and Antiquity Museum, the Collection of Historic Physics Instruments, the Biological Sciences Collection, the Zoology Collection, the Medical School Collection, the Silver and Plate Collection, the University Heritage Collection, and the Campus Collection of Fine & Decorative Art.

#### Special Collections

The Special Collections and Archives of the University of Birmingham consist of approximately 120,000 pre-1850 books dating from 1471 and some 3 million archives and manuscripts, all of which provide a rich resource for teaching and research.

#### Lapworth Museum of Geology

The Lapworth is specialist geological museum dating back to 1880 containing over 250,000 specimens.

## Notes to the Accounts (continued)

For the year ended 31 July 2011

10. Tangible fixed assets continued University	Assets in the course of Construction	Land and Building	Equipment	Heritage Assets	University Total
	£000	£000	£000	£000	£000
<b>Cost</b>					
As at 1 August 2010	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
Additions	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
Disposals	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
<b>As at 31 July 2011:</b>	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
<b>Accumulated depreciation</b>	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
As at 1 August 2010	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
Charge for the year	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
Depreciation on disposals	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
<b>As at 31 July 2011:</b>	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
<b>Net book value</b>	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
<b>Net book value as at 31 July 2011</b>	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
Net book value as at 31 July 2010	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]



## Notes to the Accounts (continued)

For the year ended 31 July 2011

11. Fixed asset investments	Note	Consolidated		University	
		2011	2010	2011	2010
		£000	£000	£000	£000
Balance at 1 August		██████████	██████████	-	80
			Additions	-	-
					80
Writedown to Income and Expenditure Account		██████████	(Depreciation)/appreciation on		
disposals and revaluation			██████████		
<b>Balance at 31 July</b>			██████████		
Represented by:					
			Fixed interest & bonds	██████████	
			Equities	██████████	
			Property	██████████	
			Hedge funds	██████████	
		30	Investments in subsidiaries	██████████	
			Other investments	██████████	
			Cash	██████████	

### 12. Endowment asset investments

### Consolidated and University

Balance at 1 August	██████████
Additions	██████████
Appreciation on disposals and revaluation	██████████
<b>Balance at 31 July</b>	██████████
Represented by:	
Fixed interest and bonds	██████████
Equities	██████████
Property	██████████
Hedge funds	██████████
Cash	██████████



[REDACTED]

**14. Creditors: amounts falling due within one year**

Research grants and contracts in advance [REDACTED]

The Other creditors category includes an amount of [REDACTED] which represents funds being held as cash by the University on behalf of the HEFCE relating to the STEM initiative. The STEM project plans to both increase and widen student participation in Science, Technology, Engineering and Mathematics. The Research grants and contracts in advance category includes [REDACTED] of grant funding held on behalf of partner universities.

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**15. Creditors: amounts falling due after more than one year**

Alta Estate Services Limited [REDACTED]

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## Notes to the Accounts (continued)

For the year ended 31 July 2011

16. Provisions for liabilities and charges	Consolidated		University	
	2011	2010	2011	2010
	£000	£000	£000	£000
<b>Restructuring</b>				
At 1 August				
Utilised during the year				
Provided in year				
<b>At 31 July</b>				
<b>Other provisions</b>				
At 1 August				
Utilised during the year				
Provided in year				
<b>At 31 July</b>				
<b>Deferred taxation</b>				
At 1 August				
(Released) in year (Note 9)				
<b>At 31 July</b>				
<b>Total at 31 July</b>				
<b>Analysis of deferred taxation:</b>				
Accelerated capital allowances				
Other timing differences				
<b>At 31 July</b>				

## Notes to the Accounts (continued)

For the year ended 31 July 2011

### 17. Deferred capital grants

	Funding Council	Grants Other	Consolidated Total	University Total
	£000	£000	£000	£000
<b>At 1 August 2010</b>				
Buildings				
Equipment				
<b>Amounts receivable</b>				
Buildings				
Equipment				
<b>Released to income and expenditure account</b>				
Buildings (Note 7)				
Equipment (Note 7)				
<b>At 31 July 2011</b>				
Buildings				
Equipment				



## Notes to the Accounts (continued)

For the year ended 31 July 2011

18. Endowments	Unrestricted	Restricted	Consolidated and University		2010/11 Total	2009/10 Total
	Permanent	Permanent	Total Permanent	Restricted Expendable		
	£000	£000	£000	£000	£000	£000
<b>Balance at 1 August 2010</b>						
Capital		Accumulated income				
New endowments						
		Investment income				
		Expenditure				
Increase in market value of investments						
<b>Balance at 31 July 2011</b>						
Represented by						
		Capital				
		Accumulated income				
<b>19. Income and expenditure account</b>						
	Consolidated		University			
	£000		£000			
At 31 July 2010						
Surplus retained for the year						
Transfer from revaluation reserve						
Deduct pension surplus						
<b>At 31 July 2011</b>						
<b>Pension reserve</b>						
At 31 July 2010	Actuarial gain					
Add FRS 17 net pension expense						
<b>At 31 July 2011</b>						
	Revaluation reserve £000					
	£000					
Balance at 31 July 2010						
Revaluation in the year						
Released to income and expenditure account						
<b>At 31 July 2011</b>						
The revaluation in the year is due to changes in the market values of investment properties.						

# Notes to the Accounts (continued)

For the year ended 31 July 2011

## 20. Lease obligations

The University had no finance lease obligations in 2010/11 or 2009/10. There were payments of ██████████ in respect of operating leases for equipment which expire between two and five years.

## 21. Commitments

(a) Capital	Consolidated and University	
	2011	2010
	£000	£000
<b>Contracts for capital expenditure</b>	██████████	██████████
<b>Debt</b>	██████████	██████████

### (b) Financial

The University has two Interest SWAP transactions with Barclays and one with the National Bank of Australia, for ██████████. Each SWAP transaction incorporates a fixed rate, which is compared with a variable 3 month LIBOR interest rate. The University incurs an interest charge when the SWAP rate is less than the 3 month LIBOR rate, and receives interest where the variable LIBOR interest rate exceeds the SWAP. Both of the Barclays SWAPs expire in 2021, while the National Bank of Australia SWAP expires in 2026.



## Notes to the Accounts (continued)

For the year ended 31 July 2011

### 22. Reconciliation of operating surplus to net cash from operating activities

[REDACTED]

### 23. Returns on investments and servicing of finance

[REDACTED]	[REDACTED]	[REDACTED]

## Notes to the Accounts (continued)

For the year ended 31 July 2011

### 24. Capital expenditure and financial investment

	Note	Consolidated	
		2010/11 £000	2009/10 £000
Tangible assets acquired		████████	████████
Fixed asset investments acquired		██████	██████
Endowment asset investments acquired		████████	████████
<b>Total fixed current and endowment assets acquired</b>		████████	████████
Deferred capital grants received		████████	████████
Endowments received		██████	██████
		████████	████████

### 25. Analysis of changes in external financing during the year

Balance at 1 August	–	344
Capital repayments	–	(344)
<b>Balance at 31 July</b>	<b>–</b>	<b>–</b>

### 26. Analysis of changes in net funds

	At 1 August 2010 £000	Cash Flows £000	At 31 July 2011 £000
Short term deposits repayable on demand	████████	████████	████████
Fixed asset investments	████████	████████	██████
Endowment asset investments	████████	████████	████████
Cash in hand, and at bank	████████	████████	████████
<b>Net funds</b>	████████	████████	████████

## Notes to the Accounts (continued)

For the year ended 31 July 2011

### 27. Pension schemes

Pension arrangements are funded by employee and employer contributions to pension schemes that are financially separate from the University. Staff paid on academic and academically-related scales who are eligible, acquire pension rights through the Universities Superannuation Scheme (USS), which is a national scheme administered by a separate company on behalf of all universities. Some staff contribute to private schemes. Staff on other salary scales may be covered by the University of Birmingham Pension and Assurance Scheme (BPAS), administered in-house by a Trustee Group comprising four employer nominated and four employee nominated Trustees with an independent Chair. Management of the Scheme's investments is undertaken by UBS Global Asset Management Ltd.

Both schemes provide benefits based on final pensionable salary and the pension cost is assessed using the projected unit method for USS and a modified aggregate funding method for BPAS.

The total pension cost for each scheme for the University is as follows:-

	2010/11	2009/10
	£000	£000
USS	██████████	██████████
BPAS	██████████	██████████
Other pension schemes	██████████	██████████
<b>Total pension costs</b>	██████████	██████████

### Universities Superannuation Scheme (USS)

The University participates in the Universities Superannuation Scheme (USS), a defined benefit scheme which is contracted out of the State Second Pension (S2P). The assets of the scheme are held in a separate fund administered by the trustee, Universities Superannuation Scheme Limited. USS has over 135,000 active members and the institution has 3,179 active members participating in the scheme.

The appointment of directors to the board of the trustee is determined by the company's Articles of Association. Four of the directors are appointed by Universities UK; three are appointed by the University and College Union, of whom at least one must be a USS pensioner member; one is appointed by the Higher Education Funding Councils; and a minimum of two and a maximum of four are co-opted directors appointed by the board. Under the scheme trust deed and rules, the employer contribution rate is determined by the trustee, acting on actuarial advice.

Because of the mutual nature of the scheme, the scheme's assets are not hypothecated to individual institutions and a scheme-wide contribution rate is set. The institution is therefore exposed to actuarial risks associated with other institutions' employees and is unable to identify its share of the underlying assets and liabilities of the scheme on a consistent and reasonable basis and therefore, as required by FRS 17 'Retirement benefits', accounts for the scheme as if it were a defined contribution scheme. As a result, the amount charged to the income and expenditure account represents the contributions payable to the scheme in respect of the accounting period.

The latest triennial actuarial valuation of the scheme was at 31 March 2008. This was the first valuation for USS under the new scheme-specific funding regime introduced by the Pensions Act 2004, which requires schemes to adopt a statutory funding objective, which is to have sufficient and appropriate assets to cover their technical provisions. The actuary also carries out a review of the funding level each year between triennial valuations and details of his estimate of the funding level at 31 March 2010 are also included in this note.

## Notes to the Accounts (continued)

For the year ended 31 July 2011

The triennial valuation was carried out using the projected unit method. The assumptions which have the most significant effect on the result of the valuation are those relating to the rate of return on investments (ie, the valuation rate of interest), the rates of increase in salary and pensions and the assumed rates of mortality. The financial assumptions were derived from market yields prevailing at the valuation date. An 'inflation risk premium' adjustment was also included by deducting 0.3% from the market-implied inflation on account of the historically high level of inflation implied by government bonds (particularly when compared to the Bank of England's target of 2% for CPI which corresponds broadly to 2.75% for RPI per annum).

To calculate the technical provisions, it was assumed that the valuation rate of interest would be 6.4% per annum (which includes an additional assumed investment return over gilts of 2% per annum), salary increases would be 4.3% per annum (plus an additional allowance for increases in salaries due to age and promotion reflecting historic scheme experience, with a further cautionary reserve on top for past service liabilities) and pensions would increase by 3.3% per annum.

### Standard mortality tables were used as follows:

Male members' mortality	PA92 MC YoB tables-Rated down 1 year
Female members' mortality	PA92 MC YoB tables-No age rating

Use of these mortality tables reasonably reflects the actual USS experience but also provides an element of conservatism to allow for further small improvements in mortality rates. The assumed life expectations on retirement at age 65 are:

Males (females) currently aged 65	22.8 (24.8) years
Males (females) currently aged 45	24.0 (25.9) years

At the valuation date, the value of the assets of the scheme was ██████████ and the value of the scheme's technical provisions was ██████████ indicating a surplus of ██████████. The assets therefore were sufficient to cover 103% of the benefits which had accrued to members after allowing for expected future increases in earnings.

The actuary also valued the scheme on a number of other bases as at the valuation date. On the scheme's historic gilts basis, using a valuation rate of interest in respect of past service liabilities of 4.4% per annum (the expected return on gilts) the funding level was approximately 71%. Under the Pension Protection Fund regulations introduced by the Pensions Act 2004 the Scheme was 107% funded; on a buy-out basis (ie, assuming the Scheme had discontinued on the valuation date) the assets would have been approximately 79% of the amount necessary to secure all the USS benefits with an insurance company; and using the FRS17 formula as if USS was a single employer scheme, using a AA bond discount rate of 6.5% per annum based on spot yields, the actuary estimated that the funding level at 31 March 2008 was 104%.

The technical provisions relate essentially to the past service liabilities and funding levels, but it is also necessary to assess the ongoing cost of newly accruing benefits. The cost of future accrual was calculated using the same assumptions as those used to calculate the technical provisions except that the valuation rate of interest assumed asset out performance over gilts of 1.7% per annum (compared to 2% per annum for the technical provisions) giving a discount rate of 6.1% per annum; also the allowance for promotional salary increases was not as high. There is currently uncertainty in the sector regarding pay growth. Analysis has shown very variable levels of growth over and above general pay increases in recent years, and the salary growth assumption built into the cost of future accrual is based on more stable, historic, salary experience. However, when calculating the past service liabilities of the scheme, a cautionary reserve has been included, in addition, on account of the variability mentioned above.

## Notes to the Accounts (continued)

For the year ended 31 July 2011

The scheme-wide contribution rate required for future service benefits alone at the date of the valuation was 16% of pensionable salaries and the trustee company, on the advice of the actuary, increased the institution contribution rate to 16% of pensionable salaries from 1 October 2009.

Since 31 March 2008 global investment markets have continued to fluctuate and at 31 March 2010 the actuary has estimated that the funding level under the new scheme specific funding regime had fallen from 103% to 91% (a deficit of ██████████). This estimate is based on the funding level at 31 March 2008, adjusted to reflect the fund's actual investment performance over the year and changes in market conditions (market conditions affect both the valuation rate of interest and also the inflation assumption which in turn impacts on the salary and pension increase assumptions).

On the FRS17 basis, using a AA bond discount rate of 5.6% per annum based on spot yields, the actuary estimated that the funding level at 31 March 2011 was 80%. An estimate of the funding level measured on a buy-out basis at that date was approximately 57%.

Surpluses or deficits which arise at future valuations may impact on the institution's future contribution commitment. A deficit may require additional funding in the form of higher contribution requirements, where a surplus could, perhaps, be used to similarly reduce contribution requirements. The sensitivities regarding the principal assumptions used to measure the scheme liabilities are set out below:

Assumption	Change in assumption	Impact on scheme liabilities
Valuation rate of interest	Increase/decrease by 0.5%	██████████
Rate of pension increases	Increase/decrease by 0.5%	██████████
Rate of salary growth	Increase/decrease by 0.5%	██████████
Rate of mortality	More prudent assumption (move to long cohort future improvements from the medium cohort adopted at the valuation)	██████████

USS is a 'last man standing' scheme so that in the event of the insolvency of any of the participating employers in USS, the amount of any pension funding shortfall (which cannot otherwise be recovered) in respect of that employer will be spread across the remaining participant employers and reflected in the next actuarial valuation of the scheme.

The trustee believes that over the long-term, equity investment and investment in selected alternative asset classes will provide superior returns to other investment classes. The management structure and targets set are designed to give the fund a bias towards equities through portfolios that are diversified both geographically and by sector. The trustee recognises that it would be possible to select investments producing income flows broadly similar to the estimated liability cash flows. However, in order to meet the long-term funding objective within a level of contributions that it considers the employers would be willing to make, the trustee has agreed to take on a degree of investment risk relative to the liabilities. This taking of investment risk seeks to target a greater return than the matching assets would provide whilst maintaining a prudent approach to meeting the fund's liabilities. Before deciding to take investment risk relative to the liabilities, the trustee receives advice from its investment consultant and the scheme actuary, and considers the views of the employers.

The strong positive cash flow of the scheme means that it is not necessary to realise investments to meet liabilities. The trustee believes that this, together with the ongoing flow of new entrants into the scheme and the strength of covenant of the employers enables it to take a long-term view of its investments. Short-term volatility of returns can be tolerated and need not feed through directly to the contribution rate although the trustee is mindful of the desirability of keeping the funding level on the scheme's technical provisions close to or above

## Notes to the Accounts (continued)

For the year ended 31 July 2011

100% thereby minimizing the risk of the introduction of deficit contributions. The actuary has confirmed that the scheme's cash flow is likely to remain positive for the next ten years or more.

The next formal triennial actuarial valuation is due as at 31 March 2011. The contribution rate will be reviewed as part of each valuation and may be reviewed more frequently.

The total pension cost for the year was [REDACTED] outstanding contributions at the balance sheet date.

The Contribution rate payable by the institution increased from 14% to 16% from 1 October 2009 of pensionable salaries.

### University of Birmingham Pension and Assurance Scheme (BPAS)

BPAS is contracted out of the State Earnings Related Pension Scheme and the management of the Scheme's investments is undertaken by a team of investment managers comprised of UBS Asset Management Ltd. (Equities and Property), Royal London Asset Management Ltd. (Index Linked Securities and Sterling Credit Bonds), Barclays Global Investors Ltd. (Sterling Currency Hedge Fund), Standard Life Investments (Global Absolute Return Fund) and Comgest (Emerging market equities). It was closed to new members in 2002. The latest actuarial valuation of the scheme was at the 31 March 2010 and it revealed a funding shortfall as the scheme's assets were less than the technical provisions.

The assumptions which have the most significant impact on the valuation are those relating to the rate of return on investments (ie, the discount rates pre and post retirement), the rates of increase in salary and pension and the mortality rate. The 2010 valuation utilised differential discount rates pre and post retirement to reflect the nature of the assets held to generate the required returns. The pre retirement discount rate was 7.4% and the post retirement rate was 4.7%. It was assumed that salary increases would be 4.4% with pension increases at 3.1% (for service post 2006 where a pension increase cap of 2.5% applied to some members a rate of 2.25% was used). Improvements in mortality have impacted on all schemes and led to higher liabilities. The 2010 valuation used 105% of the SAPS 'All pensioners' tables with medium cohort improvements from 2002 to 2010. A further allowance for future improvements in line with medium cohort improvements with a minimum improvement of 1.25% per annum is also applied from 2010.

The total value of the accrued benefits (Technical Provisions) was [REDACTED] and the market value of the assets was [REDACTED] leaving a shortfall of [REDACTED]. The assets were therefore sufficient to cover 79% of the accrued benefits. The Trustees of the scheme have therefore put a Recovery Plan in place to address the shortfall. The Recovery Plan provides for the University making payments of £4.3m per annum on the 1 August each year from 2010 to 2030.

Contributions have been paid by the University at the rate of 14% of employees' pensionable pay. Further payments were made by the University on behalf of those members who have chosen to participate in the salary sacrifice scheme. These contributions were dependent on the benefit option chosen by each member and their age on 1 August 2006 (the date of implementation of this scheme design). Additionally a further £12.9 million was paid in the period ended 31 July 2008 and a further £4.3m pa thereafter as determined by the Schedule of Contributions agreed by the Scheme Actuary.

In June 2010, the government announced that it intended for future increases in occupational pension schemes to be linked to changes in the Consumer Prices Index (CPI) rather than, as previously, the Retail Price Index (RPI). The University has considered the Birmingham Pension and Assurance Scheme rules and associated members' literature and has concluded that, as a result, a revised actuarial assumption about the level of inflation indexation should be made, with the resulting gain recognised through the Statement of Total Recognised Gains and Losses ('STRGL').

## Notes to the Accounts (continued)

For the year ended 31 July 2011

The assumptions employed by the scheme actuary for the valuation of liabilities as at 31 July 2011, were as follows:

	July 2011		July 2010	
Discount rate	██████████		██████████	
Salary growth	██████████		██████████	
Inflation	██████████		██████████	
Pension increases	██████████		██████████	
The invested assets of the Scheme amounted to ██████████ (after investment of the additional contribution). The assets and the expected long term rate of return were:	2011	2011	2010	2010
	£million	Rate of Return	£million	Rate of Return
Equities	██████████	██████████	██████████	██████████
Property	██████████	██████████	██████████	██████████
Corporate bonds	██████████	██████████	██████████	██████████
Index linked bonds	██████████	██████████	██████████	██████████
Fixed interest bonds	██████████	██████████	██████████	██████████
Other assets	██████████	██████████	██████████	██████████
			██████████	<b>Total</b>
The following amounts were measured in accordance with the requirements of Financial Reporting Standard 17:				
<b>Total market value of assets</b>	██████████		██████████	
Present value of scheme liabilities	██████████		██████████	
<b>Deficit in the scheme</b>	██████████		██████████	
The above amounts have been recognised in the financial statements as follows:				
Net assets excluding pension deficit	██████████		██████████	
Pension deficit	██████████		██████████	
<b>Net assets including pension deficit</b>	██████████		██████████	
Income and expenditure reserve excluding pension deficit	██████████		██████████	
Pension deficit	██████████		██████████	
<b>Income and expenditure reserve including pension deficit</b>	██████████		██████████	

## Notes to the Accounts (continued)

For the year ended 31 July 2011

Analysis of amounts charged to income and expenditure account:	July 2011 £million	July 2010 £million			
<b>Current service cost</b>					
Finance:					
Interest on pension scheme liabilities					
Expected return on assets in the pension scheme					
<b>Net interest charge/(credit) to other finance income</b>					
<b>Total charge before tax</b>					
Analysis of amounts recognised in statement of total recognised gains and losses:					
Gain on assets					
Experience gain on scheme liabilities					
(Loss) on change of assumptions					
<b>Total gain before tax</b>					
The experience gains and losses for the year were as follows:					
	2010/11 £million	2009/10 £million	2008/09 £million	2007/08 £million	2006/07 £million
Gain on assets					
Experience loss/(gain) on scheme liabilities					
Total gain recognised in the statement of total recognised gains and losses					

### Changes in disclosed assets and liabilities

	July 2011 £million	July 2010 £million
<b>Change in scheme liabilities</b>		
Scheme liabilities at prior year		
Employer service cost		
Interest cost		
Actuarial loss		
Experience loss	-	-
Administration expenditure		Past
service (gain)		Benefits
paid from scheme assets		Curtailments
-	-	-
	<b>- Scheme liabilities at year end</b>	

## Notes to the Accounts (continued)

For the year ended 31 July 2011

Change in scheme assets	July 2011 £million	July 2010 £million
Fair value of assets at prior year end	██████	██████
Expected return on assets	██████	██████
Actuarial gains/(losses) on assets	██████	██████
Employer contributions	██████	██████
Benefits paid	██████	██████
Other adjustments	██████	██████
<b>Fair value of assets at year end</b>	<b>██████</b>	<b>██████</b>

### Group Personal Pension Scheme (GPPP)

The University introduced from 1 April 2008, a new 'defined contribution' pension scheme for its support staff who are not members of the University of Birmingham Pension and Assurance Scheme (BPAS). The scheme will enable staff to build a fund that can be used to provide a pension on retirement in addition to the normal state pension. The University contributes 10% in addition to an agreed percentage paid by the individual. The scheme operates as a Group Personal Pension Scheme and is run on the University's behalf by Friends Provident.

28. Agency arrangements	Consolidated and University			
	Learning Support Funds		Training and Development Agency	
	2010/11 £000	2009/10 £000	2010/11 £000	2009/10 £000
Balances unspent as at 1 August	██████	██████	██████	██████
Funding council grants received	██████	██████	██████	██████
Disbursed to students	██████	██████	██████	██████
Administration costs	██████	██████	██████	██████
<b>Balances unspent at 31 July</b>	<b>██████</b>	<b>██████</b>	<b>██████</b>	<b>██████</b>

The above grants and bursaries are available solely for students: the University acts only as paying agent. The grants and related disbursements are therefore excluded from the Income and Expenditure Account.

The University also received ██████ from the Funding Council in respect of the Aim Higher initiative of which ██████ has been disbursed to colleges in the West Midlands.

## Notes to the Accounts (continued)

For the year ended 31 July 2011

### 29. Related party transactions

To capture information on related party transactions the University has circularised members and officers who attend Council, Strategy, Planning and Resources Committee, and the Trustees of the University of Birmingham Pension and Assurance Scheme.

Due to the nature of the University's operations and the composition of the University's governing body, being drawn from commerce, industry and the public sector, it is inevitable that transactions will take place with organisations in which a member of the governing body has an interest. All such transactions are conducted at arms length and in accordance with the University's Manual of Financial Rules and Procedures with respect to procurement.

Two examples of such relationships are:

- (i) [REDACTED] is the chairman of the Student Loans Company Limited, with which the University transacts for a proportion of its student fee income.
- (ii) [REDACTED] is a [REDACTED], of which many University employees are members.

The University has strong links with The Henry Barber Trust which is a separate registered charity incorporated under the Charitable Trustees Incorporation Act 1872. Its charitable objects are:

'to provide funding for the four professorial chairs of Law, Jurisprudence, Fine Arts and Music, together with a number of other annuities, scholarships and prizes, the repair, maintenance and equipment of the Institute building, the purchase of works of art and the provision of musical recitals'.

The Barber Institute of Fine Arts which is hosted on the University of Birmingham's site, holds one of the finest small collections of European art in the United Kingdom. The University has no association with the financial statements of The Henry Barber Trust because the University has no control or dominant influence over policy decisions. The summarised balance sheet and results for the year ended 31 July 2011 are as follows:

	[REDACTED]	[REDACTED]
Investments	[REDACTED]	[REDACTED]
Investment property	[REDACTED]	[REDACTED]
Net current assets	[REDACTED]	[REDACTED]
<b>Net assets/funds</b>	[REDACTED]	[REDACTED]
<b>Net movement in funds for the year</b>	[REDACTED]	[REDACTED]

The University's Income and Expenditure Account includes a receipt from the Trust of an annual grant of [REDACTED].

## Notes to the Accounts (continued)

For the year ended 31 July 2011

### 30. Subsidiary undertakings

Name	University Holding	Business Activity
Alta Birmingham China Limited	100%	Management of a representative office in China
Alta Cyclotron Limited	100%	Preparation and sale of chemicals for clinical use
Alta Estate Services Limited	100%	Operation a Combined Heat and Power plant
Alta Library Services Limited	100%	Provision of library services
Birmingham Research and Development Limited	100%	Technology Transfer (ceased trading 1 May 2008)
Birmingham Research Park Limited	51%	Provision of accommodation to High Technology Companies
University of Birmingham Selly Oak Educational Trust	100%	Management of land and buildings on the Selly Oak Campus
Alta Innovations Limited	100%	Technology Transfer

The subsidiaries are all incorporated in and operate in Great Britain.

The summarised balance sheets and results for the year ended 31 July 2011 are as follows:

	Alta Birmingham China Limited	Alta Estate Services Limited	Alta Library Services Limited	Birmingham Research and Development Limited	Birmingham Research Park Limited	University of Birmingham Selly Oak Educational Trust	Alta Innovations Limited
	£000	£000	£000	£000	£000	£000	£000
Tangible fixed assets	█	█	█	█	█	█	█
Investments	█	█	█	█	█	█	█
Current assets	█	█	█	█	█	█	█
Capital and reserves	█	█	█	█	█	█	█
Creditors	█	█	█	█	█	█	█
Provisions	█	█	█	█	█	█	█
<b>Profit/(loss) for the year before deed of covenant payments</b>	█	█	█	█	█	█	█

Alta Cyclotron Services Limited changed its name to Alta Birmingham China Limited on 15 June 2011. A newly incorporated subsidiary Alta Cyclotron Services Limited was established on 22 June 2011. The University has investments in the following companies shown at cost or valuation.

	2010/11	2009/10
Mercia Technology Fund 2	█	█
Universities UK Limited	█	█
Waterloo House Limited	█	█

## Notes to the Accounts (continued)

For the year ended 31 July 2011

The University also has an interest in the following companies, the results of which have not been included or consolidated on grounds of materiality:

██████████

The University has two linked charities as defined under paragraph w of schedule 2, to the Charities Act 1993. One is the University of Birmingham Selly Oak Educational Trust included as a subsidiary in these consolidated accounts. The other is the Sir Samuel Hanson Robowtham Trust, with the University's investment of shares being included within Endowment Assets in the Balance Sheet. It is not consolidated on the basis of the University holding a minority shareholding.

### 31. Guild of Students

The University has not consolidated the financial statements of the Guild of Students because the University has no control or dominant influence over policy decisions. The summarised balance sheet and results for the year ended 31 July 2011 are as follows:

	2011	2010
	██████████	██████████
Tangible fixed assets	██████████	██████████
Investments	██████████	██████████
Current assets	██████████	██████████
Reserves	██████████	██████████
Creditors	██████████	██████████
<b>Surplus for the year</b>	██████████	██████████

The University's Income and Expenditure Account reflects payments to the Guild of Students of a block grant of ██████████.

## Five Year Summary Accounts

	Consolidated and University				
	2005/06	2006/07	2007/08	2008/09	2009/10
<b>Income</b>					
Funding Council grants					
Academic fees and support grants					
Research grants and contracts					
Other operating income					
Endowment income and interest receivable					
<b>Total income</b>					
<b>Expenditure</b>					
Staff costs					
Depreciation					
Other operating expenses					
Interest payable					
Total expenditure					
<b>Operating surplus before tax and exceptional items</b>					
<b>Capital expenditure</b>					
Land and buildings					
Equipment					
<b>Total capital expenditure</b>					
<b>Balance sheet</b>					
Fixed assets					
Endowment asset investments					
Net current assets/(liabilities)					
Creditors: amounts due after one year					
Provisions for liabilities and charges					
<b>Total net assets, excluding pension liability</b>					
Represented by:					
Deferred capital grants					
Endowments					
Revaluation reserve					
Income and expenditure reserve					
<b>Total funds, excluding pension liability</b>					

## Financial Statistics

	Consolidated and University				
	2010/11	2009/10	2008/09	2007/08	2006/07
	%	%	%	%	%
<b>Sources of income</b>					
% of total income					
Grants from Funding Councils (HEFCE and TDA)					
Tuition fees – home and EU					
Tuition fees – overseas					
Income from research grants and contracts					
Income from residences, catering and conferences					
Other income					
<b>Total income</b>					
<b>Analysis of expenditure</b>					
% of total expenditure					
Staff costs					
Depreciation					
Other operating expenses					
Interest payable					
<b>Total expenditure</b>					
<b>Operating surplus for the year as a % of total income</b>					
<b>Indicators of financial strength</b>					
Ratio of short term cash to total expenditure (days) The number of days expenditure that could be sustained from available funds					
Ratio of long-term liabilities to total net assets Measures the extent to which an institution is funded by long term debt					
<b>Indicators of liquidity and solvency</b>					
Ratio of liquid assets to current liabilities Extent to which current liabilities could be met from cash and liquid investments					
Ratio of current assets to current liabilities Extent to which current liabilities could be met from current assets					
Debtor days Days of total income (excluding Funding Council grants) represented by debtors					

