

Meeting of the Board of Directors of South Bank University Enterprises Ltd

2.30pm on Friday, 9 November 2012
held in 1B16, Technopark, London South Bank University

Agenda

	<i>Paper No.</i>	<i>Presenter</i>
1. Welcome and Apologies		Chair
2. Declarations of Interest		Chair
3. Annual declarations of interest (for approval)	UE.39(12)	Sec
4. Minutes of the meeting of 14 September 2012 (to approve)		Chair
5. Matters Arising		Chair
Business Matters		
6. CEO's business update (to note)	Oral update	CEO
7. Management Accounts (to note)	UE.40(12)	CEO
8. Recruitment of Non-Executive Directors (to approve)	UE.41(12)	CEO
9. Lettings business (to note)	UE.42(12)	DEF
10. Group policies and business principles (for approval)	UE.43(12)	CEO
11. Intellectual Property and Spin Out Company Matters (to discuss)	UE.44(12)	CEO
Governance		
12. Key Issues Memorandum (to consider)	UE.45(12)	Accountant
13. Letter of representation (to approve)	UE.46(12)	Accountant
14. Statutory accounts to 31 July 2012 (to approve)	UE.47(12)	Accountant
15. Risk Register (to review)	UE.48(12)	CEO
16. Any Other Business		Chair
17. Date of Next Meeting – Tuesday 26 March 2013 at 3.00pm		Chair

Members: James Smith (Chair), Richard Flatman, Tim Gebbels (CEO) and Beverley Jullien

In attendance: Company Secretary, Accountant, Director of Estates and Facilities (item 9) and Governance Officer.

Minutes of a Meeting of the Board of Directors
of South Bank University Enterprises Ltd
held at 2.30pm on Friday 14 September 2012
in Room 1B16, Technopark, London Road, London SE1

Present

Mr J Smith Chairman
Mr R Flatman
Mr T Gebbels
Ms B Jullien

In attendance

Mr J Stevenson Company Secretary
Ms R Warren Accountant for South Bank University Enterprises Ltd.
Mr M Broadway Governance Officer

Welcome and apologies

1. James Smith was welcomed to his first meeting as Chairman of the Board. It was noted that apologies had been received from Natalie Ferer, Financial Controller.

Membership of the Board

2. The Board noted that James Smith had been appointed Chairman of the Board for an initial term of three years. The Board thanked Richard Flatman for his service as Chairman.

Declarations of Interest

3. No director declared an interest in any item on the agenda.
4. James Smith declared that he is the Chairman of the Carbon Trust and that it was possible that the Carbon Trust may be in competition with SBUEL in the future. The Board noted this interest and noted that a Register of Interests was being created which the Board would consider at its next meeting.

Minutes of the last meeting

5. The board approved the minutes of the meeting of 26 June 2012 and the special meeting of 19 July 2012.

Matters Arising

6. The Board noted that an update on project 7321 had been deferred as the project had changed dramatically.

University Enterprise Business Plan

7. The Board considered the University Enterprise Business Plan (paper **UE.32(12)**).
8. The Board requested an annual strategy day and to consider a paper at its next meeting on the strategic framework for prospects and how they were identified and prioritised.
9. The Board recommended the University Enterprise Business Plan to the University's Board of Governors.

Draft Statutory Accounts to 31 July 2012

10. The Board noted the draft statutory accounts to 31 July 2012 (paper **UE.33(12)**), which would be consolidated into the University's accounts. It was noted that the external audit of the accounts starts on Monday 17 September 2012 and that the final version would be presented for the Board's approval at its meeting of 9 November 2012.
11. It was noted that profit was forecast at £624k, which was ahead of budget. It was noted that the directors were of the opinion that the company was solvent as a detailed solvency review had been carried out prior to the recapitalisation and signing of the Solvency Statement at the meeting of 19 July 2012.
12. The Board requested that University Enterprise accounts be part of future management accounts to enable the Board to track delivery against targets.

Intellectual Property and Spin Out Company Matters

13. The Board noted an update on intellectual property and spin out company matters (paper **UE.34(12)**).
14. The Board noted a tabled paper on proposals to reclaim an outstanding loan of £54,192 from Solion. The Director of Enterprise proposed a two year repayment schedule with threat of legal action if it was not agreed. The Board supported this approach.

15. The Board discussed the current approach to investment and engagement with its spin out companies and requested a policy be brought to a future meeting for approval.

Letter of Delegated Authority

16. The Board noted that the Director of Enterprise had received a letter of delegated authority from the University (the letter was tabled at the meeting), but as a separate legal entity it was appropriate for the company to set out its delegations to the Director of Enterprise.
17. It was agreed that the Director of Enterprise (as Chief Executive of the company) is bound by the letter of delegation received from the University for his duties to South Bank University Enterprises Limited (SBUEL) as well as University matters, with the following modifications, taken from the Schedule of Matters Reserved for SBUEL, which take precedence for SBUEL business:
 - a. Proposing the strategic plan, annual plan and budget and preparation of annual report, internal control and risk management to be agreed with the Board of SBUEL;
 - b. Implementing specific HR regulations necessary for the effective conduct of SBUEL business as approved by the SBUEL Board within its delegated powers.
 - c. Authorising expenditure and entering into contracts within the limits as set out in the Matters Reserved for SBUEL.

Risk Register

18. The Board discussed the risk register for University Enterprise (paper **UE.36(12)**).
19. The Board requested that the risk associated with spin in/spin out companies and crisis response be added to the risk register.

Annual Board Plan

20. The Board approved the annual board plan (paper **UE.37(12)**), with the following amendments:
 - a. an update on project progress; and
 - b. a transformation topic be included on the agenda for each meeting.

Selection Process for Non-Executive Directors

21. The Board noted the proposed selection process for non-executive directors (NEDs) and the role description (paper **UE.38(12)**).
22. The Board approved the role description for NEDs.
23. The Board requested that individuals for the position be proposed by the directors and University staff to the Director of Enterprise and the Company Secretary who would produce a shortlist for the Board to consider. The Board noted that three individuals had been proposed by the University's Development and Alumni Relations Office.
24. The Board requested the Director of Enterprise and the Company Secretary to draw up a skills matrix against which the candidates will be selected.

Other Areas of Company Business outside University Enterprise

25. The Board noted that income was received through the company which was not part of University Enterprise but which should have board oversight.
26. It was agreed that the Board would receive annual reports from University departments responsible for this income. It was agreed that the first report would be from the Estates and Facilities Department on the lettings business.

Composition of the Board

27. It was noted that there were only two NED positions on the Board `but that this would be considered in future.

Business Principles

28. The Board requested that, where appropriate, the company formally adopt the University's corporate policies and business principles, including health and safety.
29. The Board requested a list of policies be submitted to the next Board for approval.

Date of next meeting

30. The date of the next meeting was noted as Friday 9 November 2012 at 2.30pm.

There being no further business, the Chairman closed the meeting.

Approved as a true record:

.....
Chairman

London South Bank
University Enterprise

SBUEL Business Update

Tim Gebbels CEO
November 2012

the **brighter** choice

Agenda

- Income Update
- Commercial Enterprise
- ACCA
- Knowledge Transfer Projects (KTP)
- Student Enterprise
- London Knowledge and Innovation Centre
- Staffing

Enterprise income 2012-13 – update

		Budget (£k)	Estimate (£k)	Variance (£k)	YTD (£k)
SBUEL	Projects				
	<i>New</i>	200	150	-50	2
	<i>Existing</i>	860	860	0	117
	Lettings	731	550	-181	154
LSBU	HEIF	807	807	0	213
	Student Enterprise	220	220	0	15
	ACCA	551	180	-371	54
	KTP	773	586	-187	201
	KTC	472	103	-369	23
Total		4,614	3,456	-1,158	625

Management focus on improved business development

Create sales focus

- Move emphasis on from governance and structure to planning of lead generation activities and supporting CRM processes (account management and systems)

Forecasting

- Institute process supported by evidence-based pipeline
- Management accounts
- Increased recognition of new project risk/downside when budgeting

People/skills

- BDM resource underweight YTD. 2 joining November brings total to 4 versus 6 plan
- Recruit for specialist KTP knowledge
- Skills gaps in team in strategic marketing and project management. Support with some buy in of resource and internal coaching

Engaging faculties

- University Enterprise as new unit needs to increase access to academic resource. Resolving KTP support will be significant in development of trust.
- Resource diverted to low priority activities. Develop triage (kill/park/support) to establish priorities, and complexity criteria

ACCA programme to be revised to deliver targets

- New programme launched in September
 - New model of enterprise delivery
 - Very fast from sanction to first enrolment
 - Good contribution from papers that have run
- Didn't achieve recruitment targets
 - Advertising and pricing misjudged market
 - Administrative processes blocked customer journey
 - 96 bookings (target >200) from 62 students; >90% are LSBU alumni
 - Income £60k vs target >£200k
- Fundamental review now underway to reshape February programme
 - More targeted marketing
 - Revised pricing structure
 - More sophisticated teaching hours profile
 - Improved internal processes

KTP programme needs to be re-launched urgently

- LSBU historically very successful at KTPs
 - Among best performers nationally
 - Income in excess of £1.3m pa
- Pipeline of projects has been declining for past two years
 - Existing contracted projects will generate 0.6m this year and 0.1m next
 - No projects coming forward in pipeline
 - Minimum 7 months development needed before project can be contracted
- Thorough review of KTP programme management now complete
 - New target of 10 new approved KTPs in start-up by end 2012/13
 - Need to refresh engagement with key academics – targeted approach proposed
 - New incentive scheme to be introduced offering financial rewards to academics
 - Additional knowledge and skills to be recruited to University Enterprise

Now beginning to turn corner on Commercial Enterprise

- Now able to prioritise potential projects proactively
 - Both capacity and capability in place (though not full strength)
 - Increasing clarity of process (though still a long way to go)
 - Developing process support for smaller scale IGAs to be managed by Faculty
 - Good engagement with (small) core of Enterprise engaged academics
- Growing number of potentially significant projects/programmes being actively developed
 - Knowledge Transfer Collaborations (KTCs)
 - Private sector health CPD
 - ILSI/Brickwall online learning products
 - BIM CPD
 - CPD programme in Bahrain

Excellent engagement in student Enterprise

All schemes fully active

Raising Awareness in All Students	Undergraduate Funded and mentored schemes	Postgraduate Funded and mentored schemes	Business Growth
<ul style="list-style-type: none"> • Start and Evolve – 3 events. numbers ~100 per event after active promotion and launch of the series by Richard Farleigh. • 1 to 1 careers advice for entrepreneurs - since start of semester. • South Bank Entrepreneurs Society – active and engaging in NACUE, committee trained, held first event. • Enterprise embedded in curriculum – presentation/ workshop for students in 7 different courses. 	<p><i>Enterprise and Entrepreneurship Link Scheme</i></p> <ul style="list-style-type: none"> • 5 Students linked with start-up businesses since start of semester. <p><i>Entrepreneurship in Action</i></p> <ul style="list-style-type: none"> • 13 students taken from all faculties. All started well with good uptake of hot-desk facility and participation in monthly sessions. NB – 2 of the EiA students have moved onto the scheme from the EELS. 	<p><i>Enterprise Associate Scheme</i></p> <ul style="list-style-type: none"> • 4 Graduates started in September. • Now have 4 established external business mentors keen to support our students (EAS and EiA and others) • New graduate entrepreneur support scheme being piloted with LSBU graduate. 	<ul style="list-style-type: none"> • Continued advice and mentoring for Enterprise Associates if they have started a business. • Victoria Walford with <i>Klever</i> has been featured on ‘Sky Living’ – Cooking program which has led to her first contract.

Proof of Concept Fund and Market Entry Fund

Make a Difference award scheme for Social Entrepreneurs **NEW**

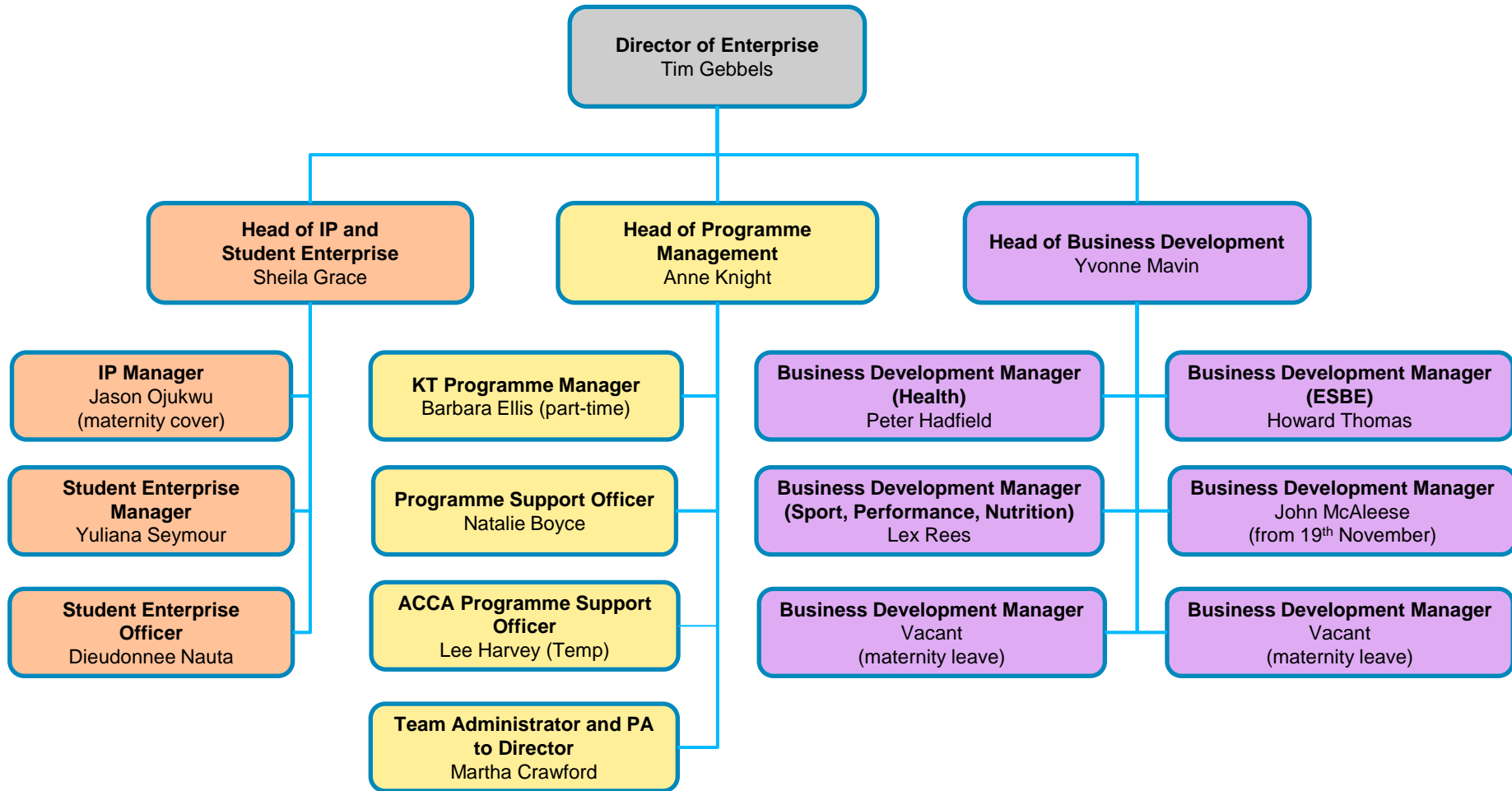
Business Plan and Pitching Competitions

Entrepreneur in Residence + Enterprise Network

LKIC being wound up – business transferring to SBUEL

- LKIC is a longstanding partnership between SBUEL and Business Extra
 - Provides managed office space and business support to small businesses
 - Leases office space in Technopark through SBUEL
- Took on a large EU funded project in partnership with LMU
 - LMU as accountable body had problems making satisfactory claims for EU funds
 - No claims paid to LKIC since October 2010
 - Total arrears to date within project >£140k – still considered recoverable
- LKIC has recently and rapidly fallen into arrears with its two shareholders
 - £224k to SBUEL, £84k to Business Extra
 - Much of this (but not all) likely to be repayable if LMU project claims are fully paid
- LKIC shareholders agreed on 1st November to effect an orderly wind-up
 - LKIC no longer meets University needs/aspirations
 - Swift transfer of lettings avoids any risk of trading while insolvent

University Enterprise Team – 9th November 2012



	PAPER NO: UE.39(12)	
Board:	Board of Directors	
Date:	9 November 2012	
Paper title:	Declarations of Interest	
Author:	James Stevenson, University Secretary	
Recommendation:	That the Board authorise the declared interests of its members.	
Matter previously considered by:	N/A	N/A
Further approval required?	LSBU (as member)	On: 22 November 2012
Communications – who should be made aware of the decision?	N/A	

Executive summary

1. Under the Companies Act 2006, directors have a duty to avoid a "situation" in which they have, or can have, a direct or indirect interest that conflicts, or possibly may conflict, with the interests of SBUEL, unless this has previously been authorised by the Board.
2. The Board are requested to review and, where appropriate, authorise interests declared in the attached register. Please note that interests will need to be approved by unconflicted members of the Board.
3. When authorizing interests, unconflicted governors will need to consider whether to attach any conditions to the authorisation.
4. Directors will continue to have a duty to inform the University Secretary if their interests change throughout the year.
5. Directors will also continue to have a duty to declare any conflicts of interest with items on the agenda at each meeting.

Relationship with Parent

6. Through their positions within the University, all directors are in a situation in which they have a direct interest that may conflict with the interests of SBUEL. As all directors are conflicted this “situation” cannot be authorised by the Board, under the Articles.
7. This interest becomes apparent when the Board are asked to approve the level of gift aid payment to the University.
8. However, it is proposed that the Board recommends the level of gift aid payment to the University, considering the financial performance of the company and the future business plan. Under article s.239 Companies Act 2006, the University Board of Governors (as Parent Company), at its meeting of 22 November 2012, will be asked to ratify the decision of the SBUEL Board regarding the level of gift aid payment. The University Board will also be asked to authorise these situational interests of the directors.
9. This procedure will not be necessary in future once the independent non-executive directors have been appointed to the Board.

London Knowledge Innovation Centre

10. The interest of the three SBUEL directors as directors of London Knowledge Innovation Centre, will need to be authorised, if thought fit, by the Chairman as the only unconflicted director. Under Article 14.3, the quorum of unconflicted directors needed to authorise an interest of conflicted directors is one.

Carbon Trust

11. The Chairman has declared an interest as the Chairman of the Carbon Trust. The Board are asked to note that the Carbon Trust may be in competition with SBUEL in the future, through providing advice to similar organisations. The Board are requested to consider whether this represents an acceptable and manageable risk. Proposed mitigation for this would be to identify circumstances in which SBUEL and the Carbon Trust are competing for a piece of work and therefore how the Chairman's then actual conflict is managed by the Board. This would be that the Chairman does not chair the item or participate in any discussion and decision.

Recommendation

12. The Board is requested to authorise the declared situational conflicts of its members.

South Bank University Enterprises Ltd

Register of Interests 2012/13

James Smith CBE					
Organisation with which connected	Sector	Relationship with organisation	As of date	Notes	Date authorised by Board
Conservatoire for Dance and Drama	Higher Education Institution	Chair of Board of Governors	2011		
Carbon Trust	Provision of services to accelerate the move to a low carbon economy	Chair of the Board	2010		
Science Museum Group		Trustee	2011		
London South Bank University	HE	Independent Governor	2012		
Grantham Institute		Chair of the advisory board			
Energy Institute		Past President			
EPSRC transition pathways		Chair of the advisory board			
Diversity Works for London		Chair of the advisory board			

Association for Black Engineers UK		Chair of the advisory board			
UCL Energy Institute		Member of the advisory board			
Liverpool School of Tropical Medicine		Vice president			

Richard Flatman					
Organisation with which connected	Sector	Relationship with organisation	As of date	Notes	Date authorised by Board
London South Bank University	HE	Executive Director of Finance	2002		
London Knowledge Innovation Centre	Incubator	Director	2007		
London Strategy Ltd	Dormant	Director	2002		
London Universities Purchasing Consortium	Purchasing	Director	2002		
University of Wales, Newport	HE	Governor	2005		
Beverley Jullien					
Organisation with which connected	Sector	Relationship with organisation	As of date	Notes	Date authorised by Board
Watford Palace Theatre	Theatre	Director	2006		

SBEG	NFP Employers' Group	Director	2010		
London South Bank University	HE	Pro Vice Chancellor (External)	2010		
London Knowledge Innovation Centre	Incubator	Chair	2010		
Institute of Directors	Membership body	Member of Chartered Directors' Committee			
Lambeth College of Further Education	Further Education	Board member (elect)	Nov 2012		
Tim Gebbels					
Organisation with which connected	Sector	Relationship with organisation	As of date	Notes	Date authorised by Board
London Knowledge Innovation Centre	Incubator	Director	June 2012		

	PAPER NO: UE.40(12)	
Board:	SBUEL	
Date:	9 November 2012	
Paper title:	Management accounts October 2012	
Author:	Rebecca Warren, Accountant	
Recommendation:	That the Board receives the management accounts for the three months ended October 2012.	
Matter previously considered by:	N/A	N/A
Further approval required?	N/A	N/A
Communications – who should be made aware of the decision?	N/A	

Executive Summary

The management accounts for the three months ended October 2012 are presented to the Board of SBUEL. They are in the same format as in previous years; a new format, consistent with the layout of the five-year budget, is currently being developed.

There are several significant changes from the previous year:

- a) SBUEL now employs staff (as at the end of October 2011 it had no employees).
- b) A space charge is now recognised in SBUEL for some ESBE projects.
- c) Under the SBUEL Services Agreement, University HEIF income of £536,590 is now recognised in SBUEL. The income section of the management accounts has been expanded to show this. Because this is simply a transfer of income between the University and SBUEL, it cancels on consolidation.

2011/12 YTD ACTUAL				PROFIT & LOSS ACCOUNT SOUTH BANK UNIVERSITY ENTERPRISES LTD YEAR TO DATE	2012/13 YTD ACTUAL				2012/13 YTD BUDGET				2012/13 VARIANCE TO BUDGET			
TOTAL £	CONSULT- ANCY £	CONTRACT RESEARCH £	OTHER £		TOTAL £	CONSULT- ANCY £	CONTRACT RESEARCH £	OTHER £	TOTAL £	CONSULT- ANCY £	CONTRACT RESEARCH £	OTHER £	TOTAL £	CONSULT- ANCY £	CONTRACT RESEARCH £	OTHER £
				Project income	119,079	8,355	110,725	-	232,500	27,750	149,750	55,000	113,421	(19,395)	(39,025)	(55,000)
				Lettings	104,320	-	-	104,320	170,265	-	-	170,265	65,945	-	-	(65,945)
				Intellectual property	-	-	-	-	-	-	-	-	-	-	-	-
				Interest	2,174	-	-	2,174	2,075	-	-	2,075	(99)	-	-	99
				HEIF recharge**	134,147	-	-	134,147	126,817	-	-	126,817	(7,331)	-	-	7,331
383,439	49,211	175,958	158,270	TOTAL INCOME	359,721	8,355	110,725	240,642	531,657	27,750	149,750	354,157	(171,936)	(19,395)	(39,025)	(113,515)
				DIRECT EXPENSES (EXTERNAL)												
134,416	10,994	107,601	15,821	Salaries	86,548	2,104	84,444	-	104,843	1,474	103,370	-	18,295	(630)	18,925	-
11,750	11,750	-	-	Consultancy	-	-	-	-	7,986	5,486	2,500	-	7,986	5,486	2,500	-
24,003	7,023	11,558	5,423	Other expenses	6,228	1,738	1,506	2,984	7,016	4,882	1,750	384	788	3,144	244	(2,600)
2,729	-	-	2,729	Intellectual Property	6,946	-	-	6,946	-	-	-	-	(6,946)	-	-	(6,946)
172,898	29,767	119,159	23,972	TOTAL DIRECT EXPENDITURE	99,722	3,842	85,950	9,930	119,846	11,842	107,620	384	20,124	8,000	21,669	(9,545)
210,541	19,444	56,799	134,298	GROSS PROFIT	259,999	4,513	24,774	230,712	411,811	15,908	42,130	353,772	(151,812)	(11,395)	(17,356)	(123,060)
55%	40%	32%	85%	% of total income	72%	54%	22%	96%	77%	57%	28%	100%	88%	59%	44%	108%
				LSBU RECHARGES **												
73,497	12,961	60,164	372	University charge on invoices	23,468	4,513	18,606	349	-	-	-	-	(23,468)	(4,513)	(18,606)	(349)
-	-	-	-	Space charge	75,253	2,760	72,493	-	75,409	72,659	2,750	-	156	-	-	-
-	-	-	-	Management charge	-	-	-	-	-	-	-	-	-	-	-	-
-	-	-	-	Loan interest	-	-	-	-	-	-	-	-	-	-	-	-
73,497	12,961	60,164	372	TOTAL LSBU RECHARGES	98,721	7,273	91,099	349	75,409	72,659	2,750	-	(23,312)	(4,513)	(18,606)	(349)
137,044	6,483	(3,364)	133,925	PROFIT/LOSS BEFORE ADMINISTRATIVE EXPENSES	161,279	(2,760)	(66,324)	230,363	336,402	(56,751)	39,380	353,772	(175,123)	(15,908)	(35,962)	(123,409)
36%	13%	-2%	85%	% of total income	45%	-33%	-60%	96%	63%	-205%	26%	100%	102%	82%	92%	109%
				ADMINISTRATIVE EXPENSES (EXTERNAL)												
-	-	-	-	Bad debts (increase in provision)	(6,774)	-	-	-	-	-	-	-	6,774	-	-	-
6,249	-	-	-	Salaries	70,721	-	-	-	185,965	-	-	-	115,245	-	-	-
1,862	-	-	-	Other operational expenses	1,919	-	-	-	38,500	-	-	-	36,581	-	-	-
8,112	-	-	-	TOTAL ADMINISTRATIVE EXPENSES	65,866	-	-	-	224,465	-	-	-	158,599	-	-	-
128,933	-	-	-	PROFIT/LOSS AFTER ADMINISTRATIVE EXPENSES	95,412	-	-	-	111,936	-	-	-	(16,524)	-	-	-

* Profit before Gift Aid

** intercompany charges that will cancel out on consolidation

**SOUTH BANK UNIVERSITY ENTERPRISES LTD
MANAGEMENT ACCOUNTS
YEAR ENDED 31 JULY 2013**

**BALANCE SHEET
3 MONTHS TO 31 OCTOBER 2012**

31 JULY 2012	SOUTH BANK UNIVERSITY ENTERPRISES LTD	31 OCTOBER 2012
£		£
	FIXED ASSETS	
	INVESTMENTS	
24	Investment In Biox Systems Ltd 24 shares of £1	24
45	Other Investments (Solion £30, Engineering Surfaces £15)	45
69		69
	Current assets	
217,910	Debtors (note 1)	65,946
1,140,614	Cash at bank & in hand	1,279,605
1,358,524		1,345,551
(1,243,068)	Creditors: Amounts falling due within one year (note 2)	(1,134,683)
115,456	Net Current Liabilities	210,869
115,525	Total Assets less Current Liabilities	210,938
-	Creditors: Amounts falling due after more than one year	-
115,525	Net Liabilities	210,938
10	Called up share capital	10
115,515	Reserves	210,928
	Income and Expenditure	
115,525		210,938

**SOUTH BANK UNIVERSITY ENTERPRISES LTD
MANAGEMENT ACCOUNTS
YEAR ENDED 31 JULY 2013**

**BALANCE SHEET
3 MONTHS TO 31 OCTOBER 2012**

31 JULY 2012	SOUTH BANK UNIVERSITY ENTERPRISES LTD	31 OCTOBER 2012
£	NOTE 1 : DEBTORS	£
189,007	Trade Debtors	121,832
(31,696)	Bad Debt Provision	(31,696)
4,597	Other debtors (net of provision)	4,597
298,282	Accrued Income	213,493
(244,742)	Bad debt provision	(244,742)
2,463	Prepayments	2,463
-	Interest Receivable	-
-	VAT Receivable	-
217,910	TOTAL DEBTORS	65,946

-

31 JULY 2012	SOUTH BANK UNIVERSITY ENTERPRISES LTD	31 OCTOBER 2012
£	NOTE 2 : CREDITORS	£
8,277	Trade Creditors	99
501,600	Deferred Income	456,388
712,708	Inter Company	621,062
-	VAT Payable	36,651
5,483	Sundry Creditors	5,483
15,000	Accruals	15,000
1,243,068	Amount due within one year	1,134,683
-	Amounts due after one year	0
1,243,068	TOTAL CREDITORS	1,134,683

**SOUTH BANK UNIVERSITY ENTERPRISES LTD
MANAGEMENT ACCOUNTS
YEAR ENDED 31 JULY 2013**

**INCOME AND EXPENDITURE BY FACULTY
31 OCTOBER 2012**

YEAR TO DATE 2011/12		YEAR TO DATE PER MANAGEMENT ACCOUNTS 2012/13										
TOTAL TURNOVER £	FACULTY PROFIT/ (LOSS) £	FACULTY/ACTIVITY	TOTAL TURNOVER £	SALARIES £	OTHER PAYMENTS £	GROSS PROFIT £	TOTAL RECHARGES /ADMIN £	FACULTY PROFIT/ (LOSS) £	BUDGETED TURNOVER £	VARIANCE £	BUDGETED PROFIT £	VARIANCE £
437	-	AHS	33	-	-	33	33	-	-	33	-	-
67,544	15,751	BUSINESS	21,083	14,186	-	6,897	793	6,104	32,500	(11,417)	(787)	6,892
147,404	(8,463)	ESBE	98,009	72,362	3,021	22,626	97,815	(75,189)	145,000	(46,991)	(16,583)	(58,606)
1,359	-	HSC	223	-	223	-	-	-	-	223	-	-
-	(4,169)	LLU+	-	-	-	-	-	-	-	-	-	-
-	-	MARKETING	-	-	-	-	-	-	-	-	-	-
9,234	-	RBDO	750	-	-	750	-	750	-	750	-	750
-	-	CLSD	-	-	-	-	-	-	-	-	-	-
-	-	ACADEMY OF SPORTS	80	-	-	80	80	-	-	80	-	-
36,598	21,214	LETTING OF FACILITIES*	15,580	-	-	15,580	-	15,580	37,500	(21,920)	37,500	(21,920)
-	(2,729)	INTELLECTUAL PROPERTY**	-	-	6,946	(6,946)	-	(6,946)	-	-	-	(6,946)
118,583	113,160	PROPERTY INCOME***	87,641	-	2,984	84,657	-	84,657	137,765	(50,124)	137,380	(52,724)
2,280	(5,832)	HEIF	134,147	-	-	134,147	-	134,147	126,817	7,331	126,817	7,331
-	-	OTHER	2,174	-	-	2,174	65,866	(63,692)	52,075	(49,901)	(172,390)	108,699
383,439	128,933	GRAND TOTAL	359,721	86,548	13,173	259,999	164,587	95,412	531,657	(171,936)	111,936	(16,524)

**Honorary Awards Ceremony,
18 November 2009**

Citation – Dr John White

Award of Honorary Doctor of Science

Citation read by Professor Rao Bhamidimarri, Executive Dean - Faculty of Engineering, Science and the Built Environment, London South Bank University

Chancellor. Our next honorary graduand is someone who has made a major contribution to two areas that lie at the heart of LSBU's role as a 21st century university: innovation and enterprise. An academic turned successful businessman in his own right, throughout his career he has been generous in his support to other would-be entrepreneurs. Now, as a business angel, he is able to focus his considerable energies on helping others spread their wings. He is Dr John White.

John White was born in Sherborne in Dorset, and went to Fosters School. He studied at the University of Southampton, gaining a first-class degree in electronics and a PhD in microelectronics. Having published two books and gained what he modestly describes as 'a few patents', John started his working life as an electronics engineer at DERA Malvern. He then became a technical manager at Marconi, before being appointed managing director of Central Research Laboratories in west London. Under his watch, the company grew from a corporate R&D house into a major commercial operation with extensive overseas business. In 1986, he joined EMI as part of the company's research and development arm.

In 1996, EMI decided to streamline its operations and focus exclusively on music recording and publishing. For John and his colleagues, it was the opportunity they'd been waiting for and they put together the finance needed to buy the R&D operation, calling their new company Scipher. John and his team of inventors-for-hire set to work and had repaid their original loan in just six months.

Demand from global clients from sectors as wide-ranging as transport and telecommunications saw the company grow rapidly through the late 90s. At the same time, John was responsible for the spin-out of a number of new companies in fields as diverse as liquid crystal displays, spread spectrum wireless software and VOIP to bioinformatics. By the time it was floated on the London Stock Market in 2000, Scipher was valued at £450 million – not a bad return on an initial investment of £3 million, and a striking testament to John's energy, vision and drive.

Today, having sold his stake in Scipher, John is a founding director of E-Synergy Ltd, an independent venture capital company that focuses on supporting early stage technology companies. E-Synergy currently manages over £40 million of public and private investment funds, including a £5 million Early Growth Fund that has invested in two LSBU spin-out businesses, OLED-T and About Time Design. As chairman of OLED-T, John has overseen investment of more than £8 million in this business.

He is also giving back to the education sector and directly supporting innovation here at LSBU through the Emerald Fund, a consortium of eight London universities. The Fund provides grants to help academics develop their ideas commercially. In this role, John has provided considerable professional advice and support to LSBU academic students, helping them to access funding and preparing them for business.

Chancellor, for his commitment to promoting new ideas, his tireless nurturing of fledgling enterprise, and the support he has shown to the staff and students of this University, I present to you Dr John White for the degree of Honorary Doctor of Science for Services to Innovation and Enterprise.

Julian Beer

Employment history

Pro Vice Chancellor

Plymouth University

Educational Institution; 1001-5000 employees; Higher Education industry
July 2009 – Present (3 years 5 months) Plymouth
Regional Enterprise

As a member of the Office of the Vice-Chancellor, Chief Executive Group and Senior Management Team, contributes at senior level to strategy and policy development. Broad remit and skill base includes:

- Leading projects and partnerships which connect innovation and talent
- Using Higher Education as a catalyst for growth at a regional and national level
- Initiating large-scale initiatives in partnership with Government and the private sector
- Positioning the University in the Higher Education sector
- Leading high profile research projects
- Diversifying funding streams and stimulating the regional economy in the SW
- Advising HEIs, Government, HEFCE, and industry sector bodies on the expanding role of HE
- Developing 'profile raising' university business models
- Building profitable socio-economic partnerships (locally, internationally and across sectors)

Professor of Knowledge Transfer

Plymouth University

Educational Institution; 1001-5000 employees; Higher Education industry
2007 – Present (5 years)

Director of Research & Enterprise

Plymouth University

Educational Institution; 1001-5000 employees; Higher Education industry
2006 – October 2011 (5 years)

Professional membership

- Member of the Institute for Knowledge Transfer. MInstKT

Association Membership

- British Sociological Association.
- Southern Association of Voluntary Action Groups for Europe.
- Association for Tourism and Leisure Education.
- Association for University Research & Industry Links

Research interests

As a Professor in Knowledge Transfer my research interests are wide ranging and include Public Policy and applied social research, social and market research, methodology and

methods, Knowledge Transfer and higher education - business interaction, political economy, regional regeneration and economic performance, sectoral and workforce development, implications of social, technological, political and economic change.

Publications

Most Recent Book/Journal Publications

Southern, R and Beer, J. "The Role of Trust within Regeneration Partnership Arrangements: Does New Labour's 'Managerialist' Philosophical Approach Undermine Trust in Partnership Arrangements?" Forthcoming in Johns, N.R. & Barton, A. (eds.) 2007, "Trust in New Labour: Principles, Policy and Practice", New York: Edwin Mellen

Meethan, K. and Beer, J. "Economic Clustering, Tourism and the Creative Industries in Plymouth: Developing a practical Tool for Impact Assessment" 2007. In Richards, G and Wilson, J. (eds) *Tourism, Creativity and Development*. Routledge: London

Beer, J. and Lushai, G. "The Biotechnology Sector: Regional Policy and Strategy for Sector Development". Spring Edition 2005, *European Biopharmaceutical Review*. p24-30

Clarke, D. Southern, R and Beer, J. "Rural Governance, Community Empowerment and the New Institutionalism: A Case Study of the Isles of Wight". *Journal of Rural Studies*, 2007.

Beer, J and Southern, R. "Empowering municipalities in a centralised polity: New Labour, 'new localism' and the future of municipal government in England" Autumn 2006 Edition, *Telescope* Quebec, Canada.

Beer, J. and Meethan, K. "Marine and Maritime Sector Skills Shortages in the South West of England: Developing a Model for Training Provision". Paper for *Journal of Vocational Education and Training*, 2007.

Beer, J. and Salt, B. "Improving training and development opportunities for graduates in the South West, Graduate employment and employability": Research Briefing Paper 1. South West Observatory – Skills and Learning Module. October 2004.

Beer, J. and Salt, B. "Improving training and development opportunities for graduates in the South West, Graduate recruitment and retention": Research Briefing Paper 2. South West Observatory – Skills and Learning Module. October 2004.

Reports

Business Engagement Mapping Exercise in the South West of England. February 2007. **Julian Beer, Rebekah Southern**, Melanie Strickland & John Screeton. SWRDA.

Scoping Study on Small Scale Food Processing. October 2006. **Julian Beer, Rebekah Southern, Richard Sheppard, Lyn Bryant, Alex Inman**, Judy Randon, Carolyn Leggett, Sarah Knapper & Sally Head. DEFRA.

Creative Industries. Mapping & Economic Impact Study for Plymouth. August 2006. **Julian Beer, Rebekah Southern, Lawrence Ware, Kevin Meethan**, Melanie Strickland & John Screeton. Arts Council SW & Plymouth City Council.

A Study of Migrant Workers Employed Within the Food and Drink Sector of the South West of England. July 2006. **Lyn Bryant, Julian Beer, Rebekah Southern**, John Screeton & Alex Inman. SWRDA.

*Cornwall Blind Association. Needs Assessment & Business Development Study. June 2006. **Julian Beer, Rebekah Southern, Lawrence Ware, Kevin Meethan,** Melanie Strickland & John Screeton.*

*Cornwall Blind Association. Workforce Development in the South West Voluntary and Community Sectors: Skills Shortages Study. February 2006. **Bryant, L, Beer, J, Southern, R & Inman, A.** South West Forum & SWRDA.*

*Neighbourhood Renewal Fund Phase Two Create Project Evaluation. January 2006. **Southern, R, Beer, J** & Henderson, H. Office for the Deputy Prime Minister.
*Strategy Review for the Food & Drink Sector for the South West of England. January 2006. **Beer, J. , Ware, L., Southern, and Screeton, J.** SWRDA.**

*Neighbourhood Renewal Fund Phase Two Parenting & Mental Health Promotion Project Evaluation. January 2006. **Southern, R & Beer, J.** Office for the Deputy Prime Minister.
*End of Programme Evaluation, SRBV1 Ryde 2000, Isles of Wight. January 2006. **Clarke, D, Southern, R and Beer, J.** Office for the Deputy Prime Minister.**

Larry Yusuf *FBCS, CITP*

Email: yusuf@uk.ibm.com | Telephone: +447901 865951

Summary

IT Architect and technology leader with primary focus on cloud computing, software as a service and integration. Thought leader with the full spectrum of business skills, and architectural skills possessing the drive to bring it all together to create game changing technology solutions that deliver value. Strong track record in leading change both at the technology and organization level with a substantial portfolio of patents, publications and speaking engagement.

Peerless analytical and communication skills proven with the ability to clearly articulate, discover and categorize problems/needs, and apply direct and effective technical solutions that balance time-to-market decision making without jeopardizing strategic innovation. Extremely passionate about business, technology and innovation, and has a relentless pursuit of the 'next wave'. Strong leadership skills and equally adept at the influencer role while collaboratively working with colleagues and bringing the team along. Proven record of client partnering at all levels and is a trusted advisor to many CIO and CTO executives of Fortune 100 and Global 1000 companies, as well as, entrepreneurs and IT investors.

IBM Master Inventor and BCS Fellow with a long running commitment to promoting Science, Engineering and Technology in Schools, Universities, and Communities through lectures and mentoring.

Key skills include software architecture and design, leadership, client relationship management, strategic risk taking, collaboration, organization design and relating IT solutions, business development, motivation and communication.

Personal Details

Date of Birth: 17th April 1978
Nationality: British

Education and Qualifications

July 2001 **B.Sc. (Hons.) Computer Science**
University of Southampton, Southampton, UK

Professional Work Experience

Nov. 2010 – to date

Chief Architect, Cast Iron Cloud – IBM UK – IBM

Responsible for leading the integration of the acquired engineering team and technology into IBM and taking the products to be the premier cloud integration offering in the industry. In 2011,

- Identified the need for a self service cloud integration capability for rapid integration and delivered Cast Iron Express
- Extended the scope of the offering from application integration to cover infrastructure integration use cases
- Extended the reach and relevance in different geographies

Jul. 2008 – Oct. 2010

Lead Architect Business Design Tools – IBM

Responsible for taking the focus around business process management from the execution of process models to the analysis and design done by business roles and using these to influence the execution. In this role,

- Conceived of and delivered WebSphere Business Compass – a business strategy and process design tool for business executives and line of business users
- Identified the need for a cloud based business design tool and community and delivered BPM Blueworks (the first cloud based and SaaS offering from IBM WebSphere). Subsequently, integrated this with acquired products to provide the industry leading Blueworks Live offering.

Jun. 2007 – Jul. 2008

BPM Strategy and Lifecycle Architect – IBM

Responsible for defining the business process management technical strategy and then delivering on aspects related to the complete lifecycle of BPM projects

Sept. 2005 – Jun. 2007

Solution Architect, Software Group Strategy – IBM

Responsible for influencing the technical strategy and delivering first of a kind technology capabilities and products in the space of collaboration and real time systems. In this role, Larry drove the embedding and extension of presence and collaboration capabilities in service desk, service management and development tools. He also delivered the real time SOA patterns and technology preview.

Sept. 2004 – Sept. 2005

Solution Designer, Software Group – IBM Hursley Park, UK

Responsible for leading the design and implementation of industry solutions to identify and rectify integration issues, gaps and overlaps in the portfolio. Subsequently, partner with clients involved in first-of-a-kind projects to expedite the time taken to develop related solutions and adoption of new IBM offerings. Client projects included designing and delivering a corporate integration backbone for a large UK government department, and designing a platform for dealer applications for a large German car manufacturer.

Sept. 2001 – Sept. 2004

Software Developer, Application & Integration Middleware

– IBM Hursley Park, UK

Responsible for the design and development of BPM, J2EE and Web based solutions.

Recent Professional Contributions

Invention and Innovation IBM Master Inventor with over 14 patent submissions in the last 5 years, and 3 issued in the last 2 years.

Significant mentoring of innovators and inventors both within IBM and in the industry to create significant intellectual property that moves the state of the art for different aspects of the IT industry forward

Key Publications: Feb 2012: Hybrid Cloud Environments Whitepaper
Jul 2010: Business Architecture and Design Whitepaper
Jun 2008: Patterns for real-world aware and real-time solutions – IBM Systems Journal
Apr 2008: Modeling Demystified parts 1, 2, and 3 – DeveloperWorks Architecture Feature
Apr 2006: Explore model driven development and related approaches – DeveloperWorks Feature
Mar 2006: Combine patterns and modeling to implement architecture-driven development – Rational Edge and DeveloperWorks Feature
Jan 2006: Implement model-driven development to increase the business value of your IT systems – DeveloperWorks
Nov. 2005: Patterns: Model-Driven Development Using IBM Rational Software Architect - Redbook

Recent Speaking Engagements: Oct. 2011: WebSphere Technical Conference, Berlin
Aug. 2011: Dreamforce, California
Apr. 2011: Impact 2011 & IBM Inner Circle Conference, Las Vegas
Jul 2010: TED Global, Oxford
May 2010: Impact 2010 and WebSphere Inner Circle Conference, Las Vegas
Feb 2003 – to date: Numerous guest lectures at University of Oxford, University of Southampton, Warwick University, University of Bradford and University of Edinburgh

Paul D Hannon

Employment history

Acting CEO

UK's National Centre for Entrepreneurship in Education

NCEE shapes the education environment, making it more conducive to enterprise and entrepreneurship, working in collaborative partnerships with industry, academia and government. NCEE encourages and embeds best practice; informs policy; and aims to increase the contributions of education institutions and their graduates to economic prosperity and social wellbeing. NCEE achieves this by focusing on the creation of entrepreneurial institutions through leadership development and institutional capacity building and supporting graduates to transform their aspirations into new ventures.

President

UK's Institute for Small Business and Entrepreneurship

UK expert

European Commission's Expert Group on entrepreneurship education in higher education

Adviser to entrepreneurship education projects across Europe

Member of the International Advisory Panel for IDEA in Denmark

Former member of the Council of the Liverpool Institute for the Performing Arts.

Profile

Paul is a graduate entrepreneur and has helped shape enterprise and entrepreneurship education, support and development in the UK and overseas during the past 30 years. He is a successful creator and innovator of local support initiatives for enterprise and entrepreneurship stimulation in the private and public sectors; he has won accolades for his innovative approaches to enterprise and entrepreneurship curricula design and delivery in higher education; and he is also an experienced entrepreneur with 10 years as the co-owner/director of a small growing firm in the food industry.

Paul has worked at several UK and European Universities. He is the first Visiting Professor of Entrepreneurship Education at Coventry University; the UK's first Professor of Incubation and Enterprise at Birmingham City University; and the first Kredietbank Visiting Professor of Entrepreneurship at Limburg University in Belgium. He was a Senior Research Fellow at De Montfort University in Leicester and a successful academic at Durham University for 8 years researching and developing new and innovative approaches to enterprise and entrepreneurship. Paul is an alumnus of the Universities of Swansea and Stirling.

Publications

Hannon, P (2004) *A qualitative sense-making classification of business incubation environments*, Qualitative Market Research: An International Journal, Vol. 7 Iss: 4 pp. 274 – 283

Hannon, P & Chaplin, P (2003) *Are incubators good for business? Understanding incubation practice -the challenges for policy* Environment and Planning C: Government and Policy, Vol. 21, pp. 861 -881

Hussain, J, Scott, J & Paul Hannon (2008) *The new generation: characteristics and motivations of BME graduates entrepreneurs* Education + Training, Vol. 50 Iss. 7 pp. 582 - 596

	PAPER NO: UE.41(12)	
Board:	Board of Directors	
Date:	9 November 2012	
Paper title:	Recruitment of non-executive directors	
Author:	Tim Gebbels, CEO	
Recommendation:	<p>It is recommended that:</p> <ul style="list-style-type: none"> • the Board endorse the proposal to create an advisory Enterprise Board for the University. Further details will be brought to a future Board meeting; • the Board approve the skills matrix proposed for non-executive directors of SBUEL; and • the Board agree the two nominated candidates for non-executive directorships and the next steps to be followed to recruit them to the Board. 	
Matter previously considered by:	N/A	N/A
Further approval required?	N/A	N/A
Communications – who should be made aware of the decision?	N/A	

Executive summary

The paper sets out the context of Enterprise oversight across the whole University and, within that, the criteria and nominations for appointment of two non-executive directors of SBUEL.

1. Introduction

This paper sets the SBUEL Board of Directors into the broader context of the oversight of Enterprise activity across the University. In addition to the Directors of SBUEL, this oversight is provided by a proposed independent Enterprise Advisory Board and by the University's Chancellor in his role as Enterprise Patron.

The paper also sets out the next steps for recruitment of the remaining two non-executive Directors of SBUEL. At its meeting of 14th September 2012, the Board approved the Job Description for these non-executive directorships but requested that a skills matrix be prepared against which potential candidates could be assessed. This paper presents a simple skills matrix and maps a number of proposed candidates against the criteria proposed. From this, two candidates are recommended as most suitable for appointment.

2. Wider Oversight of Enterprise

The SBUEL Board provides the statutory governance function to the University's enterprise company. In addition, it can provide independent and expert oversight and advice to the work of the University Enterprise team more broadly. Across the University, however, there are (or are proposed to be) two other sources of independent advice, challenge and oversight for enterprise activity: The Chancellor, as Patron of Enterprise, and a proposed advisory Enterprise Board. These are illustrated in Figure 1.

University Context of Enterprise Oversight

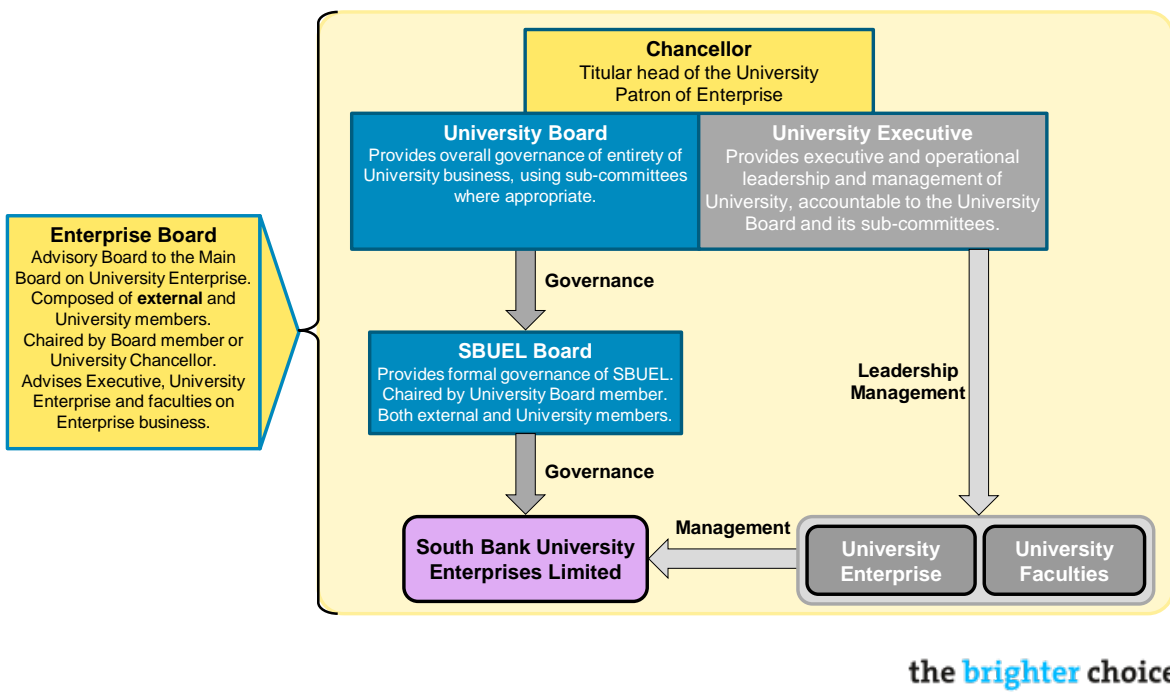


Figure 1: Proposed oversight arrangements for University-wide Enterprise activity

The University Chancellor

The University Chancellor, Richard Farleigh, is a successful entrepreneur and business investor. He has a strong personal interest in Enterprise and is particularly interested in the Student Enterprise activity of the University. It has been proposed, therefore, that he become a “Patron of Enterprise” for the University, acting as a public figurehead for and champion of the University’s enterprise activity. In particular, his presence in this role is likely to stimulate enterprise engagement in the University’s student population.

The Chancellor must support all aspects of the University’s business and it is proposed, therefore, that his work as Patron of Enterprise is focussed where it can have the greatest impact. Rather than asking him to devote his time to the technical governance of the Enterprise company, instead it makes more sense for him to be the “public face” of Enterprise, particularly in the University’s work to promote Student Enterprise. For this reason, it is proposed that he not be nominated as a non-executive director of SBUEL.

The role of Patron of Enterprise has come about because of the personal interests of the current Chancellor rather than in an *ex officio* capacity.

The Advisory Enterprise Board

The University proposes to set up a Board of external advisors to provide advice and challenge to the whole of the University on its enterprise activity and its engagement with business in general. This Board would be composed of external business people from across the industries, sectors and business types that the University deals with or aspires to deal with.

The Enterprise Board would have a purely advisory role and would not have any remit to provide governance to SBUEL. Instead it would provide a wider and broader basis on which the University could engage with external advisors than is offered either by the University's Board of Governors or by the two non-executive directors of SBUEL.

It is proposed that terms of reference be agreed and members recruited to the Enterprise Board during the first half of 2013. Further details will be brought back to a future Board meeting.

3. Skills Matrix for Non-Executive Directors of SBUEL

At its last meeting on 14th September 2012, the Board asked for a simple matrix to be drawn up of the skills or selection criteria proposed as the basis for non-executive director selection. The Board further asked for a long list of candidates to be identified and screened against the matrix criteria to identify two candidates to recommend for appointment. The criteria and candidates are set out in the following sections.

Selection Criteria

The following criteria have been identified as most appropriate for the selection of non-executive Board members to SBUEL:

- 1) Knowledgeable in key aspects of SBUEL business:
 - a) B2B marketing, business development and service provision.
 - b) Strategic and key account management.
 - c) Professional CPD.
 - d) Commercial technical (engineering) consulting and research.

- 2) Understanding of the role of University Enterprise, particularly through engagement with a leading “enterprise” University (Hertford, Plymouth, Derby, Anglia Ruskin, etc.).
- 3) Enterprise engaged – Experience of or engagement in some kind of enterprise activity, e.g. business start-ups, angel investing, venture capitalists.
- 4) Exemplars of Enterprise – Successful entrepreneurs or creators of successful business start-ups, new social enterprises, etc.
- 5) Understanding of and affinity with young people, especially students and young entrepreneurs.
- 6) London based – personally or professionally located in or connected to London.

Given the early stage of development of SBUEL as an active Enterprise company and the comparative immaturity of the organisation in establishing a University Enterprise business, the first two criteria are considered the most important to meet. Criterion 1 is very broad and within it, sub-criteria a and b are, at this stage, considered more important than c and d. These criteria will be emphasised when assessing potential candidates.

The other criteria listed, though less important now, will be more important in future as the organisation matures. Also, some (for instance, 4 and 5) are more relevant to student enterprise and entrepreneurship than to commercial enterprise. It is simply as a result of timing and relative maturity that these criteria are less emphasised at present.

Long List Candidates

The following list of candidates has been nominated from within the University Enterprise team, the University Executive and the Development office:

- Julian Beer – Pro Vice-Chancellor (Regional Enterprise), Plymouth University
- Richard Branson – founder of Virgin
- Derek Browne – CEO Entrepreneurs in Action (& visiting professor at London Met)
- Tim Campbell – former Apprentice winner and founder of Bright Ideas Trust
- Paul Hannon – Chief Executive, National Centre for Entrepreneurship in Education
- Sue Ion – leading consultant to the nuclear energy industry
- Jeremy Leggett – founder and chairman of Solar Century

- Dominic McVeigh – entrepreneur
- Richard Reed – CEO and founder of Innocent Drinks
- John White – founding director of E-Synergy Ltd
- Larry Yusuf – IBM Master Inventor

Each candidate has been “scored” against the criteria set out above in the matrix presented in Appendix 1. Based on this mapping, it is proposed that the two candidates most suitable for appointment to SBUEL are John White and Julian Beer, these representing the best match to the criteria overall and criteria 1 and 2 specifically. Alternates also proposed are Larry Yusuf and Paul Hannon.

John White holds an honorary doctorate from LSBU for services to Innovation and Enterprise.

4. Next Steps in Recruitment

If the Board accepts the recommended nominations, the next steps will be as follows:

- Chief Executive informally contacts candidates to determine their willingness to take on the directorship, if offered. Alternates will be approached if nominees decline.
- Chairman (and Chief Executive) offer to meet nominees to discuss the role with them in advance of formal offer being made.
- Chairman issues formal offers to willing candidates.
- New Directors formally appointed at the Board meeting in March 2013.
- Directors join the Board at its meeting in March (following appointment) or at the subsequent meeting in June.

5. Recommendation

The Board are asked to:

- Endorse the proposal to create an advisory Enterprise Board for the University. Further details will be brought to a future Board meeting.
- Agree the skills matrix proposed for non-executive Directors of SBUEL.
- Agree the two nominated candidates for non-executive directorships and the next steps to be followed to recruit them to the Board.

Appendix 1: Mapping of Board Nominees Against Selection Criteria

Name	1) Knowledgeable in key aspects of SBUEL business	a) B2B marketing, business development and service provision	b) Strategic and key account management	c) Professional CPD	d) Commercial technical (engineering) consulting and research	2) Understanding of the role of University Enterprise, particularly through engagement with a leading “enterprise” University (Hertford, Plymouth, Derby, Anglia Ruskin, etc)	3) Enterprise engaged – Experience of or engagement in some kind of enterprise activity, e.g. business start-ups, angel investing, venture capitalists	4) Exemplars of Enterprise – Successful entrepreneurs or creators of successful business start-ups, new social enterprises, etc	5) Understanding of and affinity with young people, especially students and young entrepreneurs	6) London based – personally or professionally located in or connected to London
Julian Beer	Yes	Yes	Some	Yes	Yes	Yes (Plymouth)	Yes	Yes	Yes	No
Richard Branson	Yes	Yes	Yes	Yes	Some	Yes	Yes	Yes	Yes	Yes
Derek Browne	One	Some	No	Yes	No	Yes (London Met)	Single appointment	Single appointment	Yes	Yes
Tim Campbell	No	Some	Some	Some	No	Some (Colleges)	Yes, nonprofit	Yes	Yes	Yes
Paul Hannon	Some	Some	Some	Some	Some	Yes (National role)	Some	No	Yes	No
Sue Ion	Yes	No	Yes	Yes	Yes	Yes	No	No	No	No
Jeremy Leggett	One	No	No	No	Yes	No	Yes	Yes	No	Yes
Dominic McVey	One	Yes	No	No	No	Westminster Kingsway	Single appointment	Single appointment	No	Yes
Richard Reed	Yes	Yes	Yes	Yes	Some	Yes	Yes	Yes	Yes	Yes
John White	Yes	Yes	Yes	Some	Yes	Some	Yes	Yes	Yes	Yes
Larry Yusuf	Yes	Yes	Some	No	Yes	Some	Yes	Yes	Yes	No

	PAPER NO: UE.42(12)	
Board:	Board of Directors	
Date:	9 November 2012	
Paper title:	Lettings Business	
Author:	Bill Miller, LSBU Property Manager, Richard Thomson, Solicitor, LSBU, Rebecca Warren, SBUEL Accountant Tim Gebbels, Chief Executive, SBUEL	
Recommendation:	<p>That the Board</p> <ul style="list-style-type: none"> • Approve the recommendation for LSBU to grant an overriding lease to SBUEL for all tenanted accommodation to clarify the issue raised by the Deloitte Cross Tax Review; • Agree the proposal to dissolve the LKIC partnership and for SBUEL to take on the leases of existing LKIC tenants directly; • Agree to the proposed approach for contracting out the management of commercial lettings, including those in Technopark and the new Enterprise Centre. Detailed plans will be brought back to the Board for further approval; and • Note the remaining contents of this paper and the associated Appendices 	
Matter previously considered by:	N/A	N/A
Further approval required?	N/A	N/A
Communications – who should be made aware of the decision?	N/A	

Executive summary

This report updates the Board on the external commercial lettings business that is managed by the Estates and Facilities Directorate in LSBU but administered financially through SBUEL.

The Board are asked to:

- Approve the recommendation for LSBU to grant an overriding lease to SBUEL for all tenanted accommodation to clarify the issue raised by the Deloitte Cross-Tax Review.
- Agree the proposal to dissolve the LKIC partnership and for SBUEL to directly take on the leases of existing LKIC tenants.
- Agree to the proposed approach for contracting out the management of commercial lettings, including those in Technopark and the new Enterprise Centre. Detailed plans will be brought back to the Board for further approval.
- Note the remaining contents of this paper and the associated Appendices.

1. Introduction

This report provides a brief review of the external commercial lettings business that is administered through SBUEL.

Commercial external lettings are a lesser part of the total business of LSBU but do contribute significant income generation to SBUEL. The smaller lettings have occurred on an ad hoc basis when opportunities arose. A more planned arrangement is the London Knowledge and Innovation Centre (LKIC), a joint venture partnership with Business Extra (a local, accredited Enterprise Agency), which occupies a substantial proportion of the second floor of Technopark.

In addition to LKIC, the Foundation Campus, another partnership, this time with Cambridge Education Group (CEG), is based on the first floor of the Blackwells building.

The leases are held by LSBU and managed by Estates and Facilities Directorate (EAF) while all rents are paid to SBUEL. Appointed agents, Granby Martin, market vacant units, negotiate the lease renewals and rent reviews, invoice tenants and collect rents and other charges. They issue comprehensive quarterly statements to the Director of Finance along with notification to Finance and EAF when rent and charges are paid.

All lettings are on the Southwark campus. Brief details are:

- Total let area 2,322 square metres (m²) amounting to about 4% of useable space
- 19 tenancies – see Appendix 1 for full details
- Current rent receivable £645,000 during 2012/13. Appendix 1 gives breakdown
- Current arrears £306,331 – see Appendix 2

•LKIC

- Occupy 58% of the let space under 3 main leases
- Rent amounts to 57% of total rent receivable income
- Make up 92% of the arrears
- All rooms but the administration office 2A03 are sublet to qualifying companies

Lease responsibilities in general

- The café by the entrance to Perry Library pays for business rates, electricity and undertake their own cleaning and all repairs

- Tenants in Technopark are responsible for cleaning and internal repairs, LSBU bear other costs
- Telephone charges and meeting room bookings are recouped
- LSBU pay business rates
- Rockwells café pays its own operational costs
- Foundation Campus pays an all-inclusive rent for fully serviced space

2. Summary of the past 12 months activity

Blackwell's bookshop closed and declined to renew the lease when it expired in March 2012. The ground floor slab was then found to be structurally defective and cannot be repaired at economic cost. The shop is on the market to let for a temporary use but with no interest so far. LSBU pay full business rates on this unit amounting to £37,000 for the year.

Blackwells took a short tenancy for the LRC reception for a temporary pop-up shop.

Westminster Kingsway College took one teaching room in the National Bakery School.

Council for Assisting Refugee Academics (CARA) relocated from the first floor to the second and took a 3-year lease. They have a 35% discount to the rent; this is a concession to reflect the standing of CARA and can be terminated by six-month's notice.

Rockwells café complained of reduced custom during the refurbishment of areas of Technopark and the closure of the main reception during the year. Subsequently they slipped into rent arrears amounting to £9,114 as at 16 October 2012.

LKIC took a further 3 rooms, 2A03, 2B21 and 2D21 on the second floor of Technopark. 2A03 is a substitute office replacing 1A03 now occupied by the University. The others were let immediately.

LKIC also fell substantially into arrears on one lease in particular, now amounting to around £300,000. This is discussed further in Section 5.

Three rooms 2A13, 2B03 and 2C06 on the second floor of Technopark fell vacant, have been refurbished and are on the open market. A further vacant room, 2A04 has been refurbished for a tenants meeting room replacing one on the first floor within the secure corridor area which now accommodates LSBU staff.

3. Financial performance

A summary of the financial performance of the commercial lettings business for last year (2011-12) is provided in Table 1, which also provides year to date figures to the end of September 2012.

Table 1. Summary of SBUEL Income and Expenditure from Commercial Lettings

Description	2011-12	YTD (to 30/09/12)
INCOME		
Technopark		
LIKC	605,208	16,622
Other tenants	233,852	5,777
Total Technopark	839,060	22,399
St Georges Circus rental	110,860	23,625
Perry Library rental	41,338	10,334
103 Borough Rd rental	8,956	-
TOTAL INCOME	1,000,214	56,359
EXPENDITURE		
Technopark rental	40,650	2,984
St Georges Circus rental	1,180	-
Perry Library rental	383	-
103 Borough Rd rental	83	-
TOTAL EXPENDITURE	42,295	2,984
NET INCOME	957,919	53,375

Notes

Income figures for this year consist of actual payments received in August and September which relate to this year (so excluding arrears).

LKIC income for 2011-12 includes roughly £275k relating to previous years.

At 30th September 2012, LKIC owed rent arrears amounting to £273,405.80

Forecast income for 2012/13, before allowance is made for LKIC arrears, is in the region of £550,000, reflecting potential voids

4. Key risks and issues for the coming year

The following are highlights from issues identified in Appendix 3

LKIC

- The issue of arrears is significant and on-going. Resolution is required with LKIC but neither the University nor SBUEL wish to cause any disruption to the LKIC tenants who collectively and in general remain in good standing in their tenancies. SBUEL continues to work actively with LKIC and Business Extra to resolve the outstanding issues.
- The issue of LKIC lease status. Whilst the future of LKIC is resolved they continue in occupation of the block 1A03/2D02/2D03/2D06/2D07 without a lease and no rent charged.
- New LKIC lettings – whilst the above is unresolved no new rooms are being allocated to LKIC and lease renewals put on hold.
- Further discussion of the future of LKIC and the agreement by partners for its dissolution and the transfer of its tenants to SBUEL is provided in Section 5.

Rockwell's café

- This is a family concern based at Technopark for 15 – 20 years. The rent was doubled 2 years ago albeit only to an office level. The tenant claims the rent is now unmanageable after a fall in trade due to disruption of refurbishment works compounded by 6 months closure of the entrance opening onto London Road. Details from the tenant's accountant have been requested and if these justify it, the rent position will be considered further. The worst case scenario is a vacant unit. Although at some cost this could be let on the open market. This 'outlet' is also being considered as part of the University catering outsourcing being managed by Residential and Catering Services

Vacant rooms at Technopark

- 2A13, 2B03 and 2C06 are the only rooms currently to let on the market. A party introduced by LKIC may take 2A13 under review by Granby Martin. The rooms have been refurbished by EAF
- Second floor corridor – complaints have been raised about the condition of this corridor. Tenders are out at the moment and upon receipt EAF will review the availability of funds. The deteriorating condition does not reflect well on LSBU

and could deter tenants. A phase 2 Technopark project is being prepared by EAF for funding by the University; the second floor will be part of this project.

5. Winding up of LKIC

As the University seeks to transform its Enterprise business and, particularly, with the development of the new Enterprise Centre and the significant new business incubator space that this will bring, the University has decided that the partnership it has (through SBUEL) with Business Extra to operate incubator units in the Technopark as the London Knowledge and Innovation Centre (LKIC) no longer meets University needs.

Furthermore, LKIC has significant financial difficulties arising from a single project, Innovate London, that it entered into with London Metropolitan University (LMU). The project is funded through European Structural Funds but LMU has been unable to draw down grant claims since 2010 and, as a result, no grant funding has been received by LMU nor has it been passed on by them to LKIC. In consequence, LKIC is in arrears on its rent to SBUEL by more than £270,000.

At its meeting on 1st November, the LKIC Board resolved that it would dissolve the LKIC partnership through an orderly wind-up (Appendix 4), as part of which all LKIC tenants will be transferred to SBUEL as soon as practically possible. SBUEL's target for completing this transfer is 1st February 2013. One consequence of the transfer is that LKIC will no longer accumulate further rent arrears with SBUEL.

Following transfer, the LKIC partnership will continue until at least March 31st 2013 with its sole focus being to secure the payment of outstanding grant funding for the Innovate London project and to use the income to repay its creditors (i.e. SBUEL and Business Extra).

SBUEL will continue actively to work with LKIC and Business Extra to ensure a satisfactory outcome at the dissolution of the partnership. SBUEL is represented on the LKIC Board by Bev Jullien (LKIC Chair), Richard Flatman and Tim Gebbels.

6. Transfer of Leases from LSBU to SBUEL

The Deloitte Cross-Tax Review, undertaken in March 2012 as part of the review of SBUEL governance, recommended that the University should clarify which of the two corporate entities, LSBU or SBUEL, makes a supply of commercial accommodation to tenants and therefore has the right to the associated rental income stream.

This clarity can be achieved by LSBU granting to SBUEL an overriding lease or leases, for a term of seven years at nominal rent, comprising all the tenanted accommodation.

Such leases would – without triggering stamp duty, land tax or compulsory title registration – put SBUEL in a direct landlord relationship with the occupational tenants and entitle it to receive rents in its own right on production of a rent authority letter from LSBU.

To protect the value of its freehold, LSBU would look for agreement that in relation to each overriding lease, SBUEL (a) should have no statutory right to claim a renewal of the lease at the end of seven years and (b) should have no right to transfer or charge it. New occupational lettings by SBUEL would require LSBU's prior consent, not to be unreasonably withheld.

It is therefore proposed that LSBU instruct its external property lawyers, Muckle, requesting joint advice to itself and SBUEL on fitness for purpose of such a leasing arrangement to both companies (it being understood that if conflict of interest arises SBUEL must be separately advised). It is further proposed that the overriding lease from LSBU to SBUEL be implemented prior to the transfer of tenants from LKIC to SBUEL (see Section 5).

7. Future Management of Tenants

Under the arrangements propose for the winding up of LKIC, SBUEL will become directly responsible for managing the tenants of the Technopark. Further, as the Enterprise Centre is completed, the space managed by SBUEL for incubator or science-park tenants will approximately double. SBUEL will need to put in place effective arrangements to manage this space. In addition, as we develop these arrangements, it makes sense for us to include in them future requirements for the management of all the remainder of SBUEL's commercial lettings.

Currently, SBUEL does not have the expertise or experience to manage this business itself and does not plan to acquire it. Instead we propose to develop a specification and invitation to tender to issue to the market for the procurement of a specialist service provider to manage the incubator and other commercial lettings on our behalf. We will bring detailed proposals for this back to a future Board meeting for approval.

We expect to have a contract in place with a service provider to coincide with the opening of the Enterprise Centre next summer. In the mean time, we will continue to manage the leases in Technopark that we take over from LKIC using the one member of staff likely to transfer to us from LKIC with additional support from Estates and Facilities Directorate and their incumbent service provider, Granby Martin.

8. Recommendation

The Board are asked to:

- Approve the recommendation for LSBU to grant an overriding lease to SBUEL for all tenanted accommodation to clarify the issue raised by the Deloitte Cross-Tax Review.
- Agree the proposal to dissolve the LKIC partnership and for SBUEL to directly take on the leases of existing LKIC tenants.
- Agree to the proposed approach for contracting out the management of commercial lettings, including those in Technopark and the new Enterprise Centre. Detailed plans will be brought back to the Board for further approval.
- Note the remaining contents of this paper and the associated Appendices.

THIRD PARTY OCCUPIERS

LSBU external commercial lettings

APPENDIX 1

Date:

31 Oct.12

TECHNOPARK

PREMISES	AREA SQ METRES	OCCUPIER	TERM	TERM START DATE	LICENCE FEE/RENT P.A. EXCLUSIVE OF VAT	RATE PER SQ M	REMARKS
Currently Occupied - LKIC							
1A03, 2D02, 2D03, 2D06 & 2D07	178	London Knowledge Innovation Centre Ltd	Term to 24.9.2012	27-Sep-09	£53,209	£299	Lease Expired. LKIC holding over pending new SBUEL business arrangement. No rent being recovered Room 1A03 taken back for LSBU use
2C07, 2C09, 2D41, 2B01, 2B11, 2B15, 2B25, 2A07, 2A31, 2A35, 2B06, 2B08, 2B10, 2B12, 2B14, 2B16, 2B18, 2B20, 2B22, 2A22 & 2B26/2B32	583	London Knowledge Innovation Centre Ltd	Term to 3.7.2014	04-Jul-11	£178,370	£306	Landlord break 31.7.2011 or any time thereafter
2A06, 2A14, 2A16, 2A21, 2A23, 2A24, 2A27, 2D09/2D13/2D15, 2D12, 2D16, 2D17	446	London Knowledge Innovation Centre Ltd	3 years to 19.7.2013	20-Jul-10	£134,475	£302	Landlord break 20.7.2011 or any time thereafter
2A03	43	London Knowledge Innovation Centre Ltd	Term to 12.8.2012	14.2.2012	£0	£0	Room taken as substitute for room 1A03
2B21	38	London Knowledge Innovation Centre Ltd	Term to 24.9.2012	1.5.2012	£11,780	£310	Licence Expired. LKIC holding over pending new SBUEL business arrangement. No rent being recovered
2D21	52	London Knowledge Innovation Centre Ltd	Term to 24.9.2012	11.6.2012	£16,182	£311	Licence Expired. LKIC holding over pending new SBUEL business arrangement. No rent being recovered
2A13	68	Vacant			£0	£0	Under offer
2B03	17	Vacant			£0	£0	To be marketed and let
2C06	37	Vacant			£0	£0	To be marketed and let
TOTAL	1,207				£366,054		Net of VAT added when invoiced
Other Occupiers							
1A02/1A04	46	S Tezel t/a Rockwells	5 years to 31.5.2015		£11,220	£244	Landlord break option 1.6.2012 or anytime thereafter on 6 months notice
2B04	37	London Youth Games Limited	2 years to 31.8.2012		£15,600	£422	Renewal in hand. Completion Dec.12

2B07	37	London Sports Forum for Disabled People	2 years to 31.8.2012		£15,600	£422	Renewal in hand. Completion Dec.12
2B29/2B33	78	Council for Assisting Refugee Academics	3 years to 24.3.2015		£35,120	£450	Concessionary rent of £23,000 pa
2D01	56	Solion Limited	1 year to 27.3.2012		£16,815	£300	Renewal in hand at increased rent matching others. Completion Dec.12
2D27	56	Million +	1 year to 30.7.2012		£24,720	£441	Renewal in hand. Completion Dec.12
TOTAL	310				£119,075		Net of VAT added when invoiced

OTHER UNITS

PREMISES	AREA	OCCUPIER	TERM	TERM START DATE	LICENCE FEE/RENT	RATE	REMARKS
	SQ METRES				P.A. EXEMPT OF VAT	P.S.F.	
Ground Floor, The Perry Library	27	R Pirbai & A Pirbai	9 years to 7.6.2018		£38,500	£1,426	Rent review 8.6.2015 Landlord break option anytime on 6 months notice
Ground Floor 119-122 London Road	348	Vacant			£0	£0	Former Blackwells Bookshop On market to let
First Floor Blackwells 119-122 London Road	339	London South Bank Foundation Campus Limited	Term to 31.8.2015	11.4.2011	£94,500	£279	Lease can determine early by virtue of termination of contract with LSBU
Telephone Mast 103 Borough Road		Orange Personal Communications Services Limited	15 years to 31.12.2014		£8,956		Expiry date in minimum term Mutual break after expiry on 12 months notice Rent review 5 yearly
Cash machine London Road concourse		Bankmachine	To 12.08.2015	13.08.2010	£1,200		Average showne, rent being a proportion of withdrawals
J-103	91	Westminster Kingsway College	To 05.07.2013	15.10.2012	£18,000	£198	A link with the National Bakery School. Period is not full year
TOTAL	805				£161,156		No VAT

Total rent receivable

£646,285

Net of any VAT where payable

LSBU external commercial lettings
Appendix 3
Current Issues

31 Oct. 12

<p>Blackwells <i>(building name under review)</i> Ground floor</p> <p>1st floor</p>	<p>Vacant – it is unlikely this unit will be let and income earning again. An appeal has been submitted by the LSBU appointed Rating consultants, Wilks Head Eve, for the business rates to be voided on the grounds that the property is un-lettable and beyond economic repair. This unit will be taken off the SBUEL income list</p> <p>Foundation Campus - the relationship of Foundation Campus and the University may be under review. If the lease was terminated the suite of rooms would require some refurbishment before letting</p> <p>The future use of the Blackwells building is being reviewed as the next phase of the estates strategy. Short term options include demolition (saving rates) and relocation of tenants elsewhere on the campus.</p>
<p>London Road concourse</p>	<p>Bank Machine cash machine – no change</p>
<p>Perry Library Ground floor café</p>	<p>Messrs Pirbai t/a Miss Ellies – no change</p>
<p>Technopark 1st floor Café</p> <p>2nd floor 2B04</p> <p>2B07</p> <p>2B29/2B33</p> <p>2D01</p> <p>2D27</p> <p>1A03, 2D02, 2D03, 2D06 & 2D07 (2A03 substituted for 1A03)</p>	<p>S Tezel t/a Rockwells - tenant now in rent arrears in the region of £9,000, partly made up of high electricity charges. They are about to petition the University Executive for a rent rebate to reflect reduced custom during refurbishment works of Technopark when the reception entrance was closed for several months. The writer has suggested for this to have weight details must be provided of takings by their accountant. If Rockwells vacate then the room could be taken for catering</p> <p>London Youth Games Limited – renewal of lease at the same level of rent underway, for 3 years with mutual break clause</p> <p>London Sports Forum for Disabled People - renewal of lease at the same level of rent underway, for 3 years with mutual break clause. Rent arrears of £16,500 have accrued due to be paid off shortly, and before any new lease is entered into</p> <p>Council for Assisting Refugee Academics t/a CARA – no change</p> <p>Solion Limited – a new lease is about to be agreed at a higher rent of £20,280 phased to come in slightly later on 25 December</p> <p>Million+ - negotiations in progress for a lease renewal. They do have concerns about the poor condition of the second floor corridors</p> <p>LKIC are holding over from 29 Sep.12 without rent collection pending the implementation of the LKIC Board review way forward. The rent of £53,209 per annum is at risk whilst not being paid</p>

LSBU external commercial lettings
Appendix 3
Current Issues

31 Oct. 12

2C07/9,2D21,2B01/0 6/08/10/11/12/14/15, 2B18/20/22/25,2A07 /13/22/31/35 Other LKIC rooms	These are the LKIC rooms subject to substantial arrears £280,753. This situation would normally be untenable but it is understood the LKIC Board have mind to a way forward that continues the valued enterprise business Rent continues to be paid on other leases shown on Appendix 1
Tower Block roof	Orange phone masts – valid operational location, no change but regular maintenance access is required
LRC reception	Blackwells pop up shop – a temporary facility which may be repeated at the start of semester 2
J-Block J-103	Westminster Kingsway College – an experiment in conjunction with the National Bakery School

LONDON KNOWLEDGE INNOVATION CENTRE


Variation to
South Bank University Enterprise Ltd and Business Extra
Shareholders Agreement dated 10th November 2005 relating to LKIC


The parties agree to vary the existing Shareholders Agreement dated 10th November 2005 between South Bank University Enterprises Limited ("SBUEL") and Business Extra Limited and it is agreed that:

1. SBUEL and Business Extra Ltd agree not to pursue in law any outstanding debts against the London Knowledge Innovation Centre Limited (LKIC) that may remain as at 31st December 2012 unless by mutual agreement, for example through Resolution 8.
2. All leases held by LKIC and all licences issued by LKIC to LKIC clients will be transferred to SBUEL as soon as practically possible but in any case no later than 31st March 2013 and SBUEL will take responsibility for all building related services to clients in the LKIC domain, including the collection of rents, thence forward.
3. LKIC Administrator Adrian Tindall will (subject to negotiation) be offered the opportunity of being TUPE'd across to South Bank University Enterprises Limited.
4. SBUEL agrees that Business Extra will provide business advice and support to existing and future tenants of SBUEL for an initial 2 year period from the point of transfer of leases.
5. Business Extra will provide business advice and support using the existing model of in-house support basis to Customer First accreditation standards.
6. SBUEL shall pay Business Extra a fixed inclusive fee of £40,000 per annum for the business support and advice, the second year being subject to satisfactory reaccreditation of Customer First standards and quarterly reports of the services provided to the tenants.
7. Provision of services to LKIC clients will continue to be provided seamlessly during the transition process and once the transition is complete.
8. LKIC Limited expects to continue to receive monies owed to it, in particular the Innovate London monies and pay any monies owed by it to its creditors as cash is received. Once leases and licences are transferred to SBUEL, LKIC Limited will not trade in anyway until its assets and liabilities are fully discharged- the target for which is agreed to be the 31st March 2013. At that point, the shareholding held by SBUEL will be transferred to Business Extra and the SBUEL appointed Directors will resign.
9. Business Extra will be able to use the trading name of LKIC with effect from 1st April 2013, in line with the target date for full discharge of assets and liabilities in clause 8 or as mutually agreed by the shareholders, in line with clause 10.
10. If liabilities of LKIC have not been fully discharged by 31st March 2013, the shareholders will review the status of the creditors and debtors and will consider, if necessary, for how much longer they wish to continue to seek to discharge all obligations and whether and when they may consider writing off any remaining debts owing to them. When LKIC's debts have been fully discharged in manner that is satisfactory to both SBUEL and Business Extra the remaining SBUEL shareholding will be transferred as set out in clause 8.

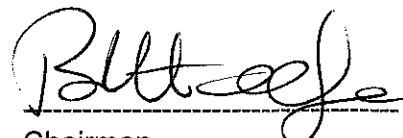
LONDON KNOWLEDGE INNOVATION CENTRE

Executed (and delivered) as a DEED by
South Bank University Enterprises Limited
acting by two directors


----- S G JULLIEN
Director 1/11/12


----- T GEBBELS
Director 1.11.12

Executed (and delivered) as a DEED for
Business Extra Limited
by the chairman



Chairman

HEALTH AND SAFETY POLICY

Originating Department:	Health & Safety Services
Enquiries to:	Elijah Moyanah
Approving Committee/Body:	Health & Safety Joint Committee
Version No:	
Last Approved:	November 2009
Next due for approval:	November 2012
Document Type (delete as appropriate):	Policy
Mandatory Target Audience:	All staff, students and stakeholders at LSBU
Also of Relevance to:	Visitors
Brief Summary of Purpose:	<p>University Policy statement and provision for Health & Safety Management in line with the Health & Safety at Work (etc) Act 1974 – link</p> <p>http://www.lsbu.ac.uk/safety/HSpolicies/policies.shtml</p>



LONDON SOUTH BANK
UNIVERSITY



Health and Safety Policy

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1.0 Foreword



- 1.1 London South Bank University (LSBU) will seek to deliver high quality, safe services to its students and, so far as is reasonably practicable, secure the health, safety and welfare at work of all its employees and others who may be affected by its activities.
- 1.2 The University as an organisation also acknowledges the requirement to manage its activities in order to identify, evaluate and control events that may give rise to injury and / or ill health.
- 1.3 Section 2(3) of the Health and Safety at Work etc. Act (1974), requires the University to prepare, revise, and bring to the notice of its employees a statement of its health and safety policy.
- 1.4 To assist organisations in achieving such aims the Health and Safety Executive have produced a Guidance Note (HS (G) 65) entitled "Successful Health and Safety Management", laying out the framework of a safety management system. This framework has also been stated in British Standard 8800 – "Guide to Occupational Health and Safety Management Systems". The University aims to reflect the guidance laid down in these two documents in its Health and Safety Policy.
- 1.5 The sequence of the Safety Management System represents the requirement of Section 2 (3) of the Health and Safety at Work etc. Act 1974:
- A written statement of the University's general policy with respect to the health and safety at work of employees;
 - The organisational structures (roles and responsibilities) and,
 - The arrangements (procedural guidance) for carrying out the policy.
- 1.6 The University Health and Safety Policy generally applies to all LSBU owned and/or managed premises including the student halls of residence.

Signed on behalf of the University

Vice Chancellor
March 2010

2.0 Health and Safety Policy Statement



- 2.1 London South Bank University ("The University") will conduct its business responsibly and in a manner designed to protect the health, safety and welfare of its staff, students and those who may be affected by its activities.
- 2.2 The University recognises and accepts its responsibilities under the Health and Safety at Work etc. Act 1974 (HASAWA) and subordinate regulations. It recognises that compliance with the statutory provisions is a minimum standard and actively seeks to achieve higher standards of health and safety performance. Furthermore, it believes that a successful health and safety culture is dependent upon successful collaboration between the University, its staff and students. Therefore, the University will establish a climate in which the positive aspects of health and safety are encouraged and developed.
- 2.3 In complying with Section 2 of HASAWA and Regulation 3 of the Management of Health and Safety at Work Regulations 1999 the University will ensure, so far as is reasonably practicable, the health, safety and welfare at work of its employees by:
- 2.3.1 The provision and maintenance of plant, equipment and conditions of work that are, so far as is reasonably practicable, safe and without risk to health and safety.
- 2.3.2 Making arrangements for the use, handling, storage, disposal and transport of articles and substances which are, so far as is reasonably practicable, safe and without risk to health and safety.
- 2.3.3 The provision of sufficient information, instruction, training and supervision to enable all employees to avoid hazards and contribute positively to their own health and safety at work, so far as is reasonably practicable.
- 2.3.4 The provision of a place of work and access to it and egress from it which are, so far as is reasonably practicable, without risk to health and safety.
- 2.3.5 The provision and maintenance of a work environment which is, so far as is reasonably practicable, safe, and without risk to health and safety and adequate as regards the facilities and arrangements for the welfare of employees at work.

- 2.3.6 Reminding all its employees of their own duties under Section 7 of the (HASAWA) to take care of their own health and safety and that of other persons who may be affected by their acts or omissions at work, and to cooperate with the University so as to enable it to carry out its own responsibilities successfully.
- 2.3.7 Ensuring that risk assessments, as required under the Management of Health and Safety at Work Regulation 3 and under other legislation, as well as inspections, are undertaken in all areas. Additionally, all significant risks will be recorded and removed or controlled. The risk assessments will be regularly reviewed and modified as necessary. Where activities likely to give rise to risks are identified, risk assessments will be updated and “safe systems of work” introduced. Staff and students will be required to assist the University by following Faculty/Departmental rules and “safe systems of work”. Training will be provided to staff to meet the requirements of this policy.

3.0 Health and Safety Approval and Endorsement



- 3.1 The Health and Safety Joint Committee (see Appendix A) will approve the policy before being endorsed by the Board of Governors for the University. At that point, the policy statement supersedes all previous ones.

4.0

Revision of Health and Safety Policy Statement



4.1 The University (through the Head of Health and Safety) will review its written policy statement on a regular basis (at least every three years or whenever a major accident / incident occurs) and bring any revisions to the attention of all employees and, where necessary, students and visitors. The Health and Safety Joint Committee will oversee all the major reviews / revisions and subsequent ratification. Minor reviews / revisions will be overseen and ratified by the Chair.

5.0

Health and Safety Management Structure, Obligations and Responsibilities



5.1 Board of Governors

The Board of Governors of the University is accountable for the provision of a workplace free from risk to the health and safety of staff, students and visitors. The Vice Chancellor has overall responsibility for meeting the legal and moral obligations of the University on all matters of health and safety and for the implementation of the Policy. The Board of Governors shall receive an annual health and safety report prepared by the Head of Health and Safety for their consideration.

Appendix A shows the Health and Safety Joint Committee Structure which includes the Board of Governors.

5.2 Vice Chancellor's Department

5.2.1 The Vice Chancellor or their nominee shall oversee the health and safety of staff within the department.

5.2.2 A Departmental Health and Safety Co-ordinator shall be nominated to act as a focal point for day to day health and safety issues within the VC's department. The individual will have the same responsibilities as any other Departmental Health and Safety Co-ordinator position

within the University system. For details see section 3 of Appendix B.

5.3 University Health and Safety Management Structures

5.3.1 Appendix B details the various roles and responsibilities of the University's main health and safety management structures.

5.3.2 It is University policy that Executive Deans / Directors of Central Support Departments are responsible for the health and safety of their faculties or departments respectively and that their activities and those of their staff do not put at risk the health and safety of others.

5.4 Students

5.4.1 Executive Deans are expected to ensure that students are given induction and health and safety training appropriate to their course of study.

5.4.2 It is a condition of enrolment that students agree to abide by the University health and safety policies and procedures especially in relation to emergency preparedness and general safe behaviour.

5.4.3 All students are responsible for:

- Their own health and safety and that of others who may be affected by their actions or omissions
- Working in a correct and safe manner
- Complying with all relevant statutory regulations, codes of practice and University safety rules and standards
- Donning personal protective equipment whenever provided and required
- Reporting, without delay, to the person responsible for the area / activity all recognised hazards, defective equipment and unsafe conditions
- Reporting without delay (within 24 hours of occurrence) to the person responsible for the area / activity, or Health and Safety Services, all accidents, ill health and / or incidents. For further details - see Safety Event Reporting Guidance Note on HSS website – link <http://www.lsbu.ac.uk/safety/HSpolicies/policies.shtml>
- Co-operating with all members of University staff in maintaining the requirements of the University's health, safety and fire policy

and all other safety regulations affecting the University

- Familiarising themselves with the Health and Safety Policy as well as support procedures. These documents can be found on the Health and Safety website <http://www.lsbu.ac.uk/safety>
- Ensuring that all research and consultancy work is carried out with due regard to University policies and relevant legislation

5.5 University staff

5.5.1 All staff are responsible for:

- Their own health and safety and that of others who may be affected by their actions or omissions
- Working in a correct and safe manner
- Complying with all relevant statutory regulations, codes of practice and University safety rules and standards
- Donning personal protective equipment whenever provided and required
- Reporting without delay, to the person responsible for the area / activity, all recognised hazards, defective equipment and unsafe conditions

- Reporting without delay (within 24 hours of occurrence), to your line manager services or Health and Safety Service, all accidents, ill health and / or incidents (for further details see Safety Event Reporting Guidance Note on HSS website) – link <http://www.lsbu.ac.uk/safety/HSpolicies/policies.shtml>
- Co-operating with others in maintaining the requirements of the University Health and Safety Policy and all other safety regulations affecting the University
- Familiarising themselves with the Health and Safety Policy as well as support procedures. These documents can be found on the Health and Safety website – link <http://www.lsbu.ac.uk/safety>
- Ensuring that all research and consultancy work is carried out with due regard to University policies and relevant legislation

6.0 Competent Personnel



6.1 The University, so far as is reasonably practicable, will ensure that competent persons* are appointed to manage the health and safety system and that where necessary, external competent professional services are made available to the University when internal resources require additional or specialist support. The appointment of competent personnel does not absolve the University as the employer from responsibilities for health and safety under the Health and Safety at Work etc Act and other relevant statutory provisions

6.2 The University shall in entrusting tasks to its employees take into account their capabilities as regards health and safety. It will require that employees be provided with adequate training to undertake delegated duties competently. Training will be specifically focused on the responsibilities of the individual; it will be provided prior to the individual assuming the responsibilities and repeated at regular intervals as necessary.

*A competent person is an individual who, by way of training and / or experience, is knowledgeable of applicable standards, capable of identifying workplace hazards relating to University activities, designated by the University, and has authority to take appropriate actions.

7.0 Authorised Visitors



7.1 Authorised visitors to the University are required to report to the Security staff on duty or to the Receptionist and sign the Register when entering and leaving the building.

7.2 Contractors and others who regularly attend for the servicing and maintenance requirements of the University must ensure when they come on site, that staff, students and visitors are not put at risk in respect of health and safety. Likewise, the University has a responsibility to ensure that the building, equipment and work environment do not put at risk those contractors and other authorised visitors who come on site.

7.3 Access for children and young persons* is by specific authority set out on a Special Entry Form issued by name to each child or young person only when accompanied by a responsible adult and authorised by a Departmental Health and Safety Co-ordinator, or a Faculty Administration Manager. Where the numbers are such that issuing a form to every child /young person presents a problem, a list of the names of children/ young persons may be attached to a single Special Entry Form. For details – see Appendix F: Authorised Child / Young Person's Entry Form.

7.4 The University member of staff in charge of the visit should ensure that a risk assessment has been completed to ensure that relevant risks have been considered for the visit.

7.5 In a situation where prior permission has not been obtained, it will be necessary to wait in Reception until the appropriate faculty / department is consulted and appropriate arrangements made.

7.6 It must be emphasised that children and young persons must remain with the responsible adult at all times during their stay on the premises unless acceptable alternative arrangements are made.

7.7 Responsible adults having custody of children or young persons must:

- give notice where possible and seek authorisation as described above.
- accept responsibility for custody during the period the child or young person is present in the University and for observing the conditions set out on the Special Entry Form and in particular, sign the Reception Register on access to, and departure from, University premises.

8.0 Fire precautions



- 8.1 The university recognises the importance of ensuring the health and safety of persons from all risks including fire. The University has nominated the Head of Health and Safety as the "Responsible Person" under the Regulatory Reform (Fire Safety) Order 2005 to manage and implement the requirements of the new legislation. Where necessary the Head of Health and Safety will have recourse to external support from fire safety specialists.
- 8.2 Fire safety procedures will be displayed in all University premises and evacuation drills will be carried out once per term in all University buildings including students' halls of residence under the management and supervision of Health and Safety Services.
- 8.3 It is University policy that all staff and students must evacuate the building(s) upon hearing an emergency alarm (except in the event of pre-publicised alarm test). Failure to do so will be considered as a breach of regulatory requirements as well as University policy and could result in disciplinary measures.

- 8.4 Fire warning detection, suppression and prevention devices as well as fire fighting equipment will be provided, sited and maintained in a proper working order by Estates and Facilities Directorate. Training in fire equipment will be given as necessary.

For further guidance on fire safety issues refer to the University's Fire Safety Policy and Guidance Note on the Health and Safety Services website; www.lsbu.ac.uk/safety/HSpolicies/riskassessguidance.doc

9.0 Control of Substances Hazardous to Health (COSHH)



- 9.1 The University will ensure the provision of up-to-date information as regards all potentially hazardous substances used within the University including their toxicity and necessary precautions as far as is reasonably practicable. The main source of information will be the Material Safety Data Sheets (MSDS) supplied by substance manufacturers / suppliers. The supply of such information is a legal requirement. The information on chemical substances will be stored and made available to staff and students who may use such substances and / or be affected by their use.
- 9.2 The University will limit exposure to and, where necessary, monitor the use of substances hazardous to health. Particular care will be taken to ensure that all new substances for use by anyone in the University will be risk assessed before use.
- 9.3 Staff and students will be required to assist the University in meeting these standards by working within laid down procedures and protocols. Training will be provided for staff and students to meet legal relevant requirements. Having satisfied the requirements of assessment and monitoring, the University

will provide safety devices and protective clothing as an additional safeguard where residual risk(s) is considered high or medium.

These safeguards will be written into relevant faculty / departmental policy statements and working rules.

- 9.4 Students and staff using substances in the course of their work or study are required to use, handle and store them as prescribed in faculty / departmental procedures.
- 9.5 The University will ensure that risk assessments as regards to working with hazardous substances are undertaken in all areas, and hazards removed or controlled where possible. Risk assessments will be recorded and "safe systems of work" introduced and complied with (for guidance on risk assessment, refer to University Risk Management Guidance Note on the Health and Safety website) www.lsbu.ac.uk/safety/HSpolicies/policies.shtml

Further details on COSHH may be found in the University's Control of Substances Hazardous to Health Guidance Note on the Health and Safety Website www.lsbu.ac.uk/safety/HSpolicies/riskassessguidance.doc

10.0 First Aid



- 10.1 The Health and Safety (First Aid) Regulations 1981, updated 1988 require the University to make first aid provisions for workers whilst they are at work.
- 10.2 University First Aid provision is based on the Approved Code of Practice produced by the Health and Safety Executive (1981) and updated in 1988.
- 10.3 Health and Safety Services have established a First Aid database, which records all First Aiders, their location as well as extension numbers. The department is responsible for updating the database and any first aid related queries should be sent to Health and Safety Services.
- 10.4 First Aid boxes are provided at designated locations throughout University premises and are restocked as the need arises.
- 10.5 Lists of First Aiders are posted throughout the University buildings. Staff at the University are encouraged to become qualified First Aiders.
- 10.6 Each main University reception area has a fully equipped First Aid box, and a list of all first aiders and their location.
- 10.7 First Aid rooms are provided at Borough Road, London Road, Keyworth Centre K2 and at the Havering campus.

11.0 Safety Events (a generic term, used to denote accidents, near misses and ill health cases)



- 11.1 Every Safety Event that occurs during official University business / activity must be noted on an Accident / Incident form found in all first aid boxes and at all reception areas by the first aider (in case of injury or ill health events) or the appropriate member of staff present in case of non-injury / non ill health events. It is the responsibility of the person in charge of the area or activity where the safety event has occurred or the First Aider attending the Safety Event (in case of injury / ill health) to ensure that this form has been completed and a copy sent to Health and Safety Services .
 - 11.2 All forms must be completed in full so as to help keep a detailed record as well as help analyse trends. Partially completed forms will be returned to the originator to complete in full.
 - 11.3 In case of a serious accident / illness (i.e. requiring more than first aid treatment) or a dangerous occurrence (as stipulated in the legislation) it is the responsibility of the person in charge of the area or activity where the safety event has occurred or the First Aider attending the Safety Event (in case of injury / ill health) to ensure that the event has been reported to Health and Safety Services as soon as possible by telephone with written report within 24 hours of occurrence.
 - 11.4 Depending on the nature of the Safety Event(s), Health and Safety Services shall report all reportable events to the Health and Safety Executive (HSE) in accordance with the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) 1995.
 - 11.5 Every faculty / central support department shall keep records of their own Safety Events and shall from time to time analyse them in order to detect any trends and manage risks accordingly.
- Further details on the procedures to be followed for Safety Event recording are found on the Health and Safety website - link <http://www.lsbu.ac.uk/safety/HSpolicies/riskassessguidance.doc>

12.0

Reporting of Hazardous and Unsafe Situations



12.1 It is important that any health and safety hazards and unsafe situations in the University are reported to the local Departmental Health and Safety Co-ordinators or the person in charge of work/activity being undertaken. For this purpose, an Incident form should be completed without delay. Provision is made on these forms to record action taken to reduce risk. A copy of the completed form must be sent to Health and Safety Services. Incident forms may be found in first aid boxes or can be downloaded from the HSS website – link <http://www.lsbu.ac.uk/safety/forms/INCIDENT%20FORM%20Aug%2007.pdf>

13.0

Employment of Contractors



13.1 The University will ensure that only competent contractors carry out work on its behalf. For this purpose, the Procurement Manager shall keep an up to date list of Approved Contractors.

Further details on the employment of contractors can be found in the University Contractor Safety Guidance Note on the Health and Safety website.- link <http://www.lsbu.ac.uk/safety/HSpolicies>

13.2 In addition, the contractor must comply with any statutory legislation applicable to the work and ensure that all local safety rules are adhered to. Referral should be made to the Head of Health and Safety as necessary for risk evaluation where there is any chance that the safety of staff, students and / or the public within University premises may be affected.

14.0

Use of Premises by External Bodies



- 14.1 The authorised hirer of University premises will be required to comply with the conditions of hire.
- 14.2 A risk assessment of the activities to be conducted must be completed and agreed with the local Departmental Health and Safety Co-ordinators. A copy of the risk assessment shall be sent to the University Health and Safety Services for verification.

15.0

Smoking



- 15.1 In compliance with the Workplace (Health, Safety and Welfare) Regulations 1992 and the Health Act 2006, smoking is not permitted inside any University building. Adequate signage has been posted to inform staff, students, contractors and visitors of the smoke free status of the buildings.
- 15.2 Smoking is also not permitted:
- in the Technopark garden
 - within a 3 metre perimeter of any University building where smoke and noise could enter
 - in the Havering Campus Garden
 - on Tower Block roof
 - in any other garden, court or thoroughfare on University-controlled land
 - in student residential accommodation operated by the University
- 15.3 **Work Areas**
- Smoking is not permitted in any work area
 - The Students' Union is an autonomous entity and operates its own policies
- 15.4 **Vehicles**
- Smoking is not permitted in University vehicles

16.0

Availability of Policy



16.1 The University Health and Safety Policy will be placed on the Health and Safety website so that it is accessible to all those who can access the website – link <http://www.lsbu.ac.uk/safety/HSpolicies>. Hard copies will also be kept at faculty /central support department offices. Duplication of the policy document should be made by faculties / departments in order to ensure supplies so that all their staff can easily access copies if required.

This policy also applies to the Subsidiary Company, South Bank University Enterprises Ltd.

Signed on behalf of London South Bank University

Vice Chancellor

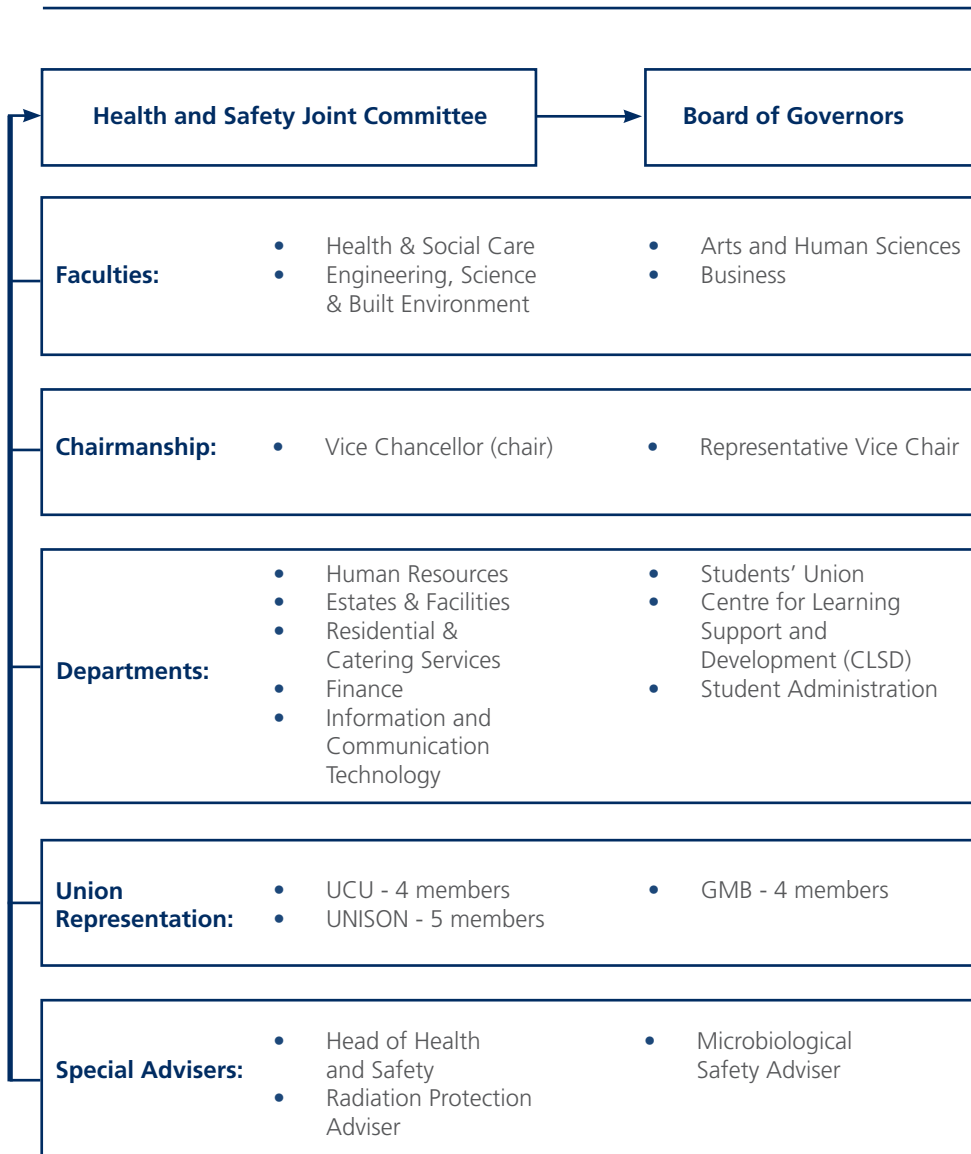
Secretary and Clerk to the Board of Governors

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Appendix A.

Health and Safety Joint Committee Structure



Appendix B.

University's Main Management Roles and Responsibilities

1.0 Executive Deans / Directors of Central Support Departments :- General

- 1.1 Executive Deans / Directors of Central Support Departments are to manage all areas of employment within their responsibility.
- 1.2 In identifying the Executive Deans / Directors of Central Support Departments, the University is mindful of the need to demonstrate faculty/departmental health and safety arrangements as per Regulation 4 of the Management of Health and Safety at Work Regulations 1999 and upholds the view that health and safety is a management responsibility.
- 1.3 Executive Deans / Directors of Central Support Departments are accountable to the Vice Chancellor to ensure and manage safe conditions of work within those areas of the University under their control.
- 1.4 Departmental Health and Safety Co-coordinators should bring in the first instance any matter of concern to their Executive Deans / Directors of Central Support Departments.
- 1.5 Executive Deans / Directors of

Central Support Departments are accountable to the Vice Chancellor for ensuring that matters relating to health and safety standards, processes and procedures, facilities, arrangements for staff welfare at work, their maintenance and improvement are brought to the attention of the Head of Health and Safety and to the Health and Safety Joint Committee (if necessary).

1.6

Executive Deans / Directors of Central Support Departments (including their Deputies), will receive appropriate training for this role, and will receive on-going support on good health and safety practice from specialist advisers.

2.0 Executive Deans / Directors of Central Support Departments are responsible for:

- 2.1 Health and safety in all aspects of the work of the faculty/department. This responsibility includes the health and safety of staff and student who may be affected by the activities of contractors and depending on the contract, there may be a need to liaise with other faculties or departments in order to better manage health and safety.

2.2 Ensuring suitable and sufficient departmental health and safety arrangements have been established and implemented and for their ongoing monitoring and review.

2.3 Ensuring that suitable and sufficient risk assessments are completed for all work activities within their areas of responsibility, with advice and (where required), assistance from the Head of Health and Safety.

2.4 Receiving information from Departmental Health and Safety Co-ordinators and staff on potential hazards and, if reasonably practicable, to take steps to remove or reduce the risk.

2.5 Receiving information from staff on observed incidents, which could have a health and/or safety implication, and, if reasonably practicable, to take steps to remove, or reduce the hazard and to prevent a recurrence.

2.6 Judging whether steps required to be taken to remove potential hazards are within or fall outside the term 'reasonably practicable' and to record such judgements.

2.7 Ensuring that an annual health and safety report has been prepared and submitted to the Head of Health and Safety for the latter to produce an overall University annual health and safety report. The Head of Health and Safety will produce

a generic proforma for the annual report.

2.8 Ensuring that a risk register containing faculty / departmental health and safety risks is established and the information passed on to the Head of Health and Safety who will co-ordinate the overall University's health and safety risk strategy.

2.9 Ensuring that all staff / students joining their faculty / department (including those on short term contracts) receive induction training. Such training should include but not be limited to the following health and safety issues:

- emergency procedures and processes relevant to their circumstances
- first aid provision relevant to their circumstances
- accident / incident reporting process
- the need to report dangerous situations / hazards

2.10 Ensuring that relevant aspects of health and safety are covered in student course work, and for instilling an awareness of health and safety in all staff and students associated with the faculty (only applicable to Executive Deans.)

2.11 Ensuring that periodic (at least twice a year) faculty / departmental health and safety inspections are carried out as part of monitoring performance.

2.12 Ensuring health and safety becomes a standing agenda item at appropriate departmental meetings.

2.13 Appointing / nominating Departmental Health and Safety Co-coordinators.

2.14 Seeking approval from the Head of Health and Safety if any changes were to be made to the appointments of Departmental Health and Safety Co-ordinators.

2.15 Ensuring that they (including their Deputies) and Departmental Health and Safety Co-ordinators have received appropriate training organised and made available by Health and Safety Services.

2.16 Establishing a faculty /departmental Health and Safety Committee or equally effective system to co-ordinate the management of faculty /departmental health and safety systems.

2.17 Receiving information relating to changes in health and safety or fire safety risk levels (changes in circumstances either physical, operational or occupational) from Departmental Health and Safety Co-coordinators using the University risk management framework.

The Executive Deans / Directors of Central Support Departments (including Deputies) will evaluate the information, take immediate steps to manage risk as necessary and pass the information to the Head of Health and Safety who will record the risk change and provide advice as necessary.

2.18 Ensuring that advice on the prevention of risks is given to staff and students who are likely to be exposed to such risks.

2.19 Ensuring adequate circulation of health and safety information issued to them from time to time by Head of Health and Safety.

2.20 Ensuring that advice on the use of protective clothing and equipment is given, and to ensure that such clothing and equipment is readily available and properly maintained and renewed when necessary.

2.21 Ensuring that all accidents and / or ill health occurring within their area of responsibility are reported, recorded and investigated in accordance with existing instructions.

2.22 Ensuring that relevant accident / ill health information is timely sent to the Head of Health and Safety.

3.0 Role of the Departmental Health and Safety Co-ordinator

3.1 Executive Deans / Directors of Central Support Departments will advise the individual who by definition of their post carries the responsibility and duties of a Departmental Health and Safety Co-ordinator within the Faculty or Central Support Department. Departmental Health and Safety Co-ordinators posts are created to ensure that operational areas are adequately provided with safety advice and that in the event of absence from the work location, options for alternative advice are available. Departmental Health and Safety Co-ordinators will:

3.1.1 have no executive authority beyond that attached to their normal duties. The nomination of Departmental Health and Safety Co-ordinators does not MODIFY IN ANY WAY the accountability for health and safety held by the Executive Deans / Directors of Central Support Departments (including Deputies).

3.1.2 carry out suitable and sufficient risk assessments for all work activities within their own areas of responsibility using own initiative or as directed by the Executive Deans / Directors of Central Support Departments (including Deputies). Where assistance is required, this should be sought from the University's Head of Health and Safety.

3.1.3 assist Executive Deans / Directors of Central Support Departments (including Deputies) in establishing local health and safety risk registers and are responsible for updating the registers.

3.1.4 receive reports from members of staff relating to risks or hazards. Immediate steps as necessary to remove or reduce the risk or hazard must be taken and where necessary, this should be reported to the Executive Deans / Directors of Central Support Departments (including Deputies).

3.1.5 provide day-to-day advice to members of staff on health, safety and fire safety issues and general good housekeeping issues.

3.1.6 make regular inspections of building areas under partial, nominated or full control of the Faculty or Central Support Department to ensure health and safety and fire safety practices and methods of work are being followed and that adequate and appropriate plant and equipment is being used.

3.1.7 from time to time analyse accident/ill health trends and where necessary, recommend actions to be taken to the Executive Deans / Directors of Central Support Departments (including Deputies).

3.1.8 assist and support the Executive Deans / Directors of Central Support Departments (including Deputies) in:

- Ensuring all staff and students have received health and safety and fire safety and prevention of accidents induction training.
- Ensuring that advice on the use of protective clothing and equipment is given and that staff and students comply with the advice.
- Ensuring that all accidents are brought to the attention of the Executive Dean / Director of Central / Support Departments (including Deputies) without undue delay.
- Ensuring that regular inspection of plant and equipment is carried out and that records are maintained.
- The preparation of the annual health and safety report to be sent to the University Head of Health and Safety.
- Carrying out faculty / central services departmental health and safety induction training for new staff / students as required under the Health and Safety Policy.

3.1.9 receive appropriate health and safety and fire safety awareness training for this role.

4.0 The role of Head of Health and Safety

4.1 Provision of competent advice, assistance and guidance on all health and safety matters to staff at all levels and students where appropriate. The specialist advisers as follows will assist the incumbent in this role where necessary:

- The Radiation Protection Adviser (Ionising Radiation)
- Radiation Protection Officer (Non-ionising Radiation); and
- Microbiological Safety Adviser

4.2 Developing generic health and safety systems to enable the implementation of University policy including but not limited to:

- developing University health and safety objectives and plan, which should be endorsed by the Health and Safety Joint Committee.
- risk assessment policy and process (including appropriate pro-formas)
- accident/incident reporting, recording and investigation
- fire emergency procedures
- health and safety audit and inspection (including appropriate pro-formas)

- guidance on first aid provisions
 - pro-formas for annual faculty / central services departmental performance reports
- 4.3 Co-ordinating the overall University risk strategy by:
- Ensuring that all faculties and central support departments have developed their own risk registers and passed the information to the Health and Safety Department
 - Monitoring faculty / central support departmental risk action plans
 - Periodically report on risk management performance to the Health and Safety Joint Committee
- 4.4 Assisting line management to develop local health and safety systems in order to create sound health and safety management
- 4.5 Ensuring that work / tasks / activities that pose serious immediate danger to health and/ or life are stopped and suitable management controls put in place to reduce or eliminate the danger.
- 4.6 Keeping a list of all University Executive Deans / Directors of Central Support Departments (including Deputies) and Departmental Health and Safety Co-ordinators and where necessary, review the same with
- the relevant deans/heads of central services departments.
- 4.7 Conducting periodic University-wide health and safety audits/inspections.
- 4.8 Initiating, developing, directing, advising, monitoring and reviewing all health and safety policies and management systems.
- 4.9 Planning for health and safety including setting corporate objectives, priorities and standards to be achieved and advising on the resources necessary to meet them.
- 4.10 Monitoring of University health and safety performance using both proactive as well as reactive monitoring methods.
- 4.11 Planning and organising relevant health and safety training for staff at all levels as well as students where appropriate.
- 4.12 Acting as the main focus for all aspects of health and safety including consultation / liaison with external agencies such as the Health Safety Executive (HSE) and South East London Public Health Protection Unit.
- 4.13 Receiving details of all accidents / incidents and ensuring the HSE and other relevant agencies have been properly notified and that relevant investigations and remedial actions are taken.

- 4.14 Providing periodic University-wide health and safety reports, including an annual report.
- 4.15 Promoting a positive and pro-active health and safety culture in the University.
- 4.16 Supporting local health and safety committees by attending meetings from time to time.
- 4.17 Ensuring the implementation of the Regulatory Reform (Fire Safety) Order 2005.

5.0 Role of University Radiation Protection Adviser

- 5.1 Responsible for all issues related to radiation protection including but not limited to:
- Establishing management systems that ensure the full history of radioactive substances from acquisition to divestiture
 - Carrying out periodic radiation surveys to ensure that no-one is exposed to ionising radiation beyond statutory limits
 - Ensuring health surveillance takes place where this is considered appropriate
 - Producing an annual radiation report to be sent to the Head of Health and Safety

6.0 Role of University Radiation Safety Officer (Non-ionising)

- 6.1 Responsible for all issues related to non-ionising radiation safety including but not limited to:
- Establishing management systems that ensure the full history of laser equipment (class 2 and above) from acquisition to divestiture
 - Maintaining a register of all lasers (class 2 and above) used in the University including their classification
 - Maintaining a University Laser User's register
 - Carrying out laser risk assessments for each class of lasers and periodic laser inspections to ensure that no one is exposed to laser radiation beyond recommended limits
 - Ensuring health surveillance takes place where this is considered appropriate
 - Producing and maintaining a University Laser Safety Guidance Note with assistance from the University Head of Health and Safety
 - Producing an annual laser safety report to be sent to the University Head of Health and Safety

7.0 Role of the University Microbiological Safety Adviser

- 7.1 Responsible for all University microbiological matters including but not limited to: Establishing management systems that ensure the full history of microbiological substances from acquisition to divestiture
- Carrying out periodic microbiological surveys to ensure no one is exposed to microbes as a result of his/her work that can result in a risk to their health.
 - Ensuring the University complies with anti-terrorism, crime and security regulations
 - Ensuring that staff and students who may be affected by microbiological work are given appropriate health and safety training
 - Ensuring that appropriate facilities are in place and are fit for microbiological work
 - Producing an annual microbiological report to be sent to the Head of Health and Safety

8.0 Role of University Technicians

- 8.1 Providing safe equipment and substances, their storage and use, as required for course work, research and consultancy by or in a faculty department.

8.2 Ensuring that the information and instructions about correct and safe working methods for equipment and substances etc., and any warning about hazards, are given before issuing items for use and that any unsafe practices are prevented.

8.3 The supervision of students when involved in the demonstration of plant equipment and apparatus etc and the related safe operating procedures (also refer to section on Teaching Staff below).

8.4 Ensuring they have undergone appropriate health and safety training – including Risk Assessment to enable them to undertake the above responsibilities.

9.0 Role of Teaching Staff

9.1 Ensuring the health and safety of students in relation to work or activities undertaken by students as part of the course syllabus, or tasks set by them for the students to undertake. This responsibility cannot be delegated.

9.2 Providing safe methods / systems of work for students to carry out their activities without risk to their health and safety and that of others.

9.3 Making sure that students follow correct instructions and safe methods / practices while carrying out their studies.

9.4 Making sure students are supervised while carrying out course activities including the use of plant equipment and/ or running experiments.

9.5 Making sure all accidents and/or near miss events are promptly reported to Health and Safety Services.

9.6 Setting a good example and encouraging safe work practices by students at all times.

9.7 Ensuring all persons under their charge evacuate the building in case of emergency.

10.0 Role of the Health and Safety Joint Committee (the Committee)

10.1 The Committee, on behalf of the University, will provide through the University Specialist Advisers technical advice on health and safety matters to Executive Deans / Directors of Central Support Departments as may be necessary.

10.2 The safety reporting structures should ordinarily be such that staff consult with Departmental Health and Safety Co-ordinators, who in turn may consult with Executive Deans / Directors of Central Support Departments, who then refer as necessary to the Head of Health and Safety or the Committee.

10.3 The Committee will ensure (in liaison with the Board of Governors) that adequate resources are, as far as is reasonably practicable, made available to ensure compliance with the health and safety policy.

10.4 Following the advice of the Head of Health and Safety, the Committee will ensure that an appropriate health and safety management standard has been formally adopted and incorporated into the appropriate strategies.

Appendix C.

Responsibilities of the Health and Safety Joint Committee

The University Health and Safety Joint Committee as shown in Appendix A, is responsible for:

- Advising the Board of Governors, through the Vice Chancellor, on matters concerning the health and safety at work of University employees
- Ensuring that annual University-wide health and safety objectives to be implemented by all University management are set
- The co-ordination (through the Head of Health and Safety) of University-wide risk assessments and monitoring of risk action plans to ensure successful implementation
- Ensuring (through the Head of Health and Safety), that suitable and sufficient local health and safety structures and arrangements are established, implemented and maintained in all faculties and central support departments
- Approval of all major health and safety policies. The Committee will ensure adequate and relevant consultation takes place before such approvals take place
- Ensuring annual faculty / central services departmental health and safety reports are completed and sent to Health and Safety Services.
- Liaising as necessary, with the Executive and other relevant committees (through the Vice Chancellor) on matters of health and safety especially as regards the coordination and management of corporate health and safety risks.
- The promotion of health and safety matters including good practices using suitable and sufficient methods as necessary
- Providing a focus for worker participation in health and safety matters including the prevention of accidents / ill health
- Ensuring as far as reasonably practicable, adequate representation on the Committee

Appendix D.

Health and Safety Joint Committee Terms of Reference

1. The Safety Representatives and Safety Committee Regulations, which came into force on 1 October 1978, affect health and safety arrangements and activities at the University. A Committee has been established on which University and Trade Union Representatives sit.
2. The Committee shall meet once per term. However, the Committee can call emergency meetings when there is cause to do so.
3. The Committee will be chaired by the Vice Chancellor and in his absence, by a nominee or the UNION Representative vice chair.
4. All proceedings of the Committee will be officially minuted. Minutes will be produced within 4 weeks of a Committee meeting and circulated to all members. Minutes will also be sent to the Executive before being endorsed by Committee members.
5. Approved minutes will be placed on the University Health and Safety website.
6. The Committee may co-opt additional members in such numbers and for such time as may be necessary to assist the Committee in its work, but co-opted members shall have no voting rights.
7. Although Executive Deans can nominate a representative, the requirement is for each Executive Dean to attend at least one meeting per year.
8. A quorum shall be three University representatives and three Trade Union representatives.
9. The decision of the Committee shall be binding to all local health and safety managements.

Appendix E.

Health and Safety Joint Committee – Constitution and Membership

The University Health and Safety Joint Committee (the committee) constitutes a legally established committee under the terms of the Health and Safety at Work etc. Act 1974, section 2(7), as well as the Safety Representatives and Safety Committees Regulations 1977 and under the terms of statutory regulations issued under the same Act and regulations.

The Committee is the highest advisory authority within the University in terms of decision-making on all matters of occupational health and safety.

Constitution:

The constitution of the Committee membership will comprise Executive Deans / Directors of Central Support Departments and staff representatives with the Vice Chancellor as Chair responsible for reporting to the Board of Governors. Also included are the specialist advisers (Head of Health and Safety, Microbiological Safety Adviser, Radiation Protection Adviser (for Ionising), Radiation Safety Officer (for Non-ionising) who shall act in an advisory capacity to the Committee. The chair of the University First Aid Committee will be co-opted into the Committee in order to advise the Committee on first aid issues.

Membership:

Membership of the Committee will comprise thirteen University Representatives and thirteen Trade Union Representatives, as follows:

University Representatives

Vice Chancellor (chair)

The four Executive Deans of Faculties or their nominated representatives

Executive Director of Finance or a nominated representative

The Students' Union President or a nominated representative from the Students' Union Executive

The Director of Human Resources or a nominated representative of Human Resources

Head of Residential and Catering Services or a nominated representative

The Director of Estates & Facilities or a nominated representative

The Director of the Centre for Learning Support and Development or a nominated representative

The Director of Information Communication Technology or a nominated representative

Trade Union Representatives

One of whom shall be elected as joint Vice Chair.

UCU – 4 Members

Unison – 5 Members

GMB – 4 Members

Advisory Members

Head of Health and Safety

The Radiological Protection Adviser (Ionising Radiation)

The Radiological Protection Officer (Non-Ionising Radiation)

The University Microbiological Safety Adviser

The University Secretary and Clerk to the Board of Governors

Appendix F.

Authorised Child / Young Persons* Entry Form

* Child/young person means anyone under the age of 18 years.

Special Conditions:

University buildings are not to be used by children or young persons*. The conditions laid down emphasise the role of the responsible adult.

Access is restricted to the areas scheduled below, together with corridors, stairways and lifts giving access to those areas. Also toilets and similar facilities under supervision.

young person be allowed access to a laboratory, store, workshop or classroom which has equipment or activities that are a potential hazard. Access is also restricted in the LRC and in all University libraries (except for returning learning materials).

1. This form must be completed in advance of the visit (whenever possible)
2. The form must be produced on request e.g. by Security staff and must be handed over by the responsible adult to security / reception staff before leaving the University premises.
3. There must be strict compliance with all University, area and faculty rules.
4. The child/young person and the responsible adult must enter and leave the building by the main entrance ensuring they have been signed in and out.
5. The child/young person must be accompanied at all times by the responsible adult.
6. **At no time** should the child/
7. Any child/young person found alone will be placed in care of the local police.
8. **It must be emphasised that for events such as - Open Days; Conferences/Seminars; School visits to the University etc. a separate risk assessment process is required. For assistance on risk assessment for events, follow the University's Risk Assessment Guidance Note – link <http://www.lsbu.ac.uk/safety/HSpolicies/policies.shtml>**
9. Access under normal circumstances is permitted for up to **one** hour. Visits requiring attendance of more than one hour **must** be authorised by Health and Safety Services (except for Open Days; Conferences/Seminars; School visits).
10. Dispensation may be given for young students / university facility users enrolled with LSBU.
11. An LSBU Student / Enrolment form negates the need for this form

Authorised Child / Young Persons* Entry Form

* Child/young person means anyone under the age of 18 years.

The following sections must be completed fully.

Section 1: Details of child/young person and responsible adult

Name of child/young person:

Name of responsible adult:

I understand that the child/young person named is present in the University in my custody.

Signed:

University campus:

Section 2: Details of visit and authorising person (Departmental Health and Safety Co-ordinator)

Name:

Position:

Date of visit:

Time of visit (24 hour clock):

Access permitted only to the following areas:

Area(s)/Room(s):

Signature:

Health and Safety Department
London South Bank University
103 Borough Road
London SE1 0AA

Tel: 020 7815 6220
www.lsbu.ac.uk/safety

Fire Safety Procedures

Originating Department:	Estates and Facilities												
Job Title of Document Owner: Please enter one job title. The document owner is the person responsible for creating and editing the document.	Head of Health and Safety												
Mandatory Target Audience: Select 'types' of staff for whom knowledge of the contents of the document is obligatory for efficient working practices or specify own value. Click the red dash to choose.	<table style="width: 100%; border: none;"> <tr> <td style="text-align: center;">Staff -</td> <td style="text-align: center;">Students -</td> <td style="text-align: center;">Visitors -</td> <td style="text-align: center;">UniWide Yes</td> </tr> <tr> <td style="text-align: center;">Managers -</td> <td style="text-align: center;">Course Directors -</td> <td style="text-align: center;">Tutors -</td> <td style="text-align: center;">SMG -</td> </tr> <tr> <td style="text-align: center;">Trade Unions -</td> <td colspan="3"></td> </tr> </table> Specify own value here	Staff -	Students -	Visitors -	UniWide Yes	Managers -	Course Directors -	Tutors -	SMG -	Trade Unions -			
Staff -	Students -	Visitors -	UniWide Yes										
Managers -	Course Directors -	Tutors -	SMG -										
Trade Unions -													
Also of Relevance to: Select other types of staff who would find the information useful (at times, perhaps) or specify own value. Click the red dash to choose.	<table style="width: 100%; border: none;"> <tr> <td style="text-align: center;">Staff -</td> <td style="text-align: center;">Students -</td> <td style="text-align: center;">Visitors Yes</td> <td style="text-align: center;">UniWide -</td> </tr> <tr> <td style="text-align: center;">Managers -</td> <td style="text-align: center;">Course Directors -</td> <td style="text-align: center;">Tutors -</td> <td style="text-align: center;">SMG -</td> </tr> <tr> <td style="text-align: center;">Trade Unions Yes</td> <td colspan="3"></td> </tr> </table> Specify own value here	Staff -	Students -	Visitors Yes	UniWide -	Managers -	Course Directors -	Tutors -	SMG -	Trade Unions Yes			
Staff -	Students -	Visitors Yes	UniWide -										
Managers -	Course Directors -	Tutors -	SMG -										
Trade Unions Yes													
Approving Committee/ Body: Just type in the name of the top level committee involved in approving this document.	Health and Safety Joint Committee												
Version No:	1.2												
Date Last Approved:	17/09/2012												
Date next due for Approval:	30/09/2015 N.B. Documents will have a lifespan determined by their approving committees but if not defined then <u>1 Year</u> .												
Document Type:	Procedure												
Document Category:	Health and Safety												
Can this document be viewed publicly or should viewing be restricted to just within LSBU?	Public Domain												
Select either a Framework Sub-group or Not Applicable	Not Applicable												
Brief Summary of Purpose Just to give a 'flavour' of the document and highlight any particular areas which might not be identifiable from the title.	NOTE: Please keep to the 255 character limit. Any more than 255 characters will be removed from the end of the text. Policy and procedures on fire safety to ensure the University discharges its duty under Regulatory Reform (Fire Safety) Order 2005.												

LONDON SOUTH BANK UNIVERSITY

FIRE SAFETY PROCEDURES

THESE PROCEDURES FORM PART OF AND SHOULD BE READ IN CONJUNCTION WITH THE UNIVERSITY FIRE SAFETY POLICY STATEMENT AND THE GENERAL HEALTH & SAFETY POLICY – link <http://policy.lsbu.ac.uk/default.aspx>)

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SECTION 1

INTRODUCTION OF PROCEDURES

It considering the sub-sections referred to within this section it should be noted that the responsibility for 'ensuring' that the requirements are physically carried out within the relevant buildings ultimately lies with the 'Responsible Person' (Vice Chancellor), however these requirements have been transferred to the Executive Deans/Directors of Support Departments. It is accepted that the Executive Deans/Directors of Support Departments may wish to delegate those duties to other roles within or who provide support to their Faculties/Departments and the suggested job roles considered to be the most appropriate are shown within brackets against each of the sub-sections referred to below as well as in Appendix 4.

In attaining compliance with the Regulatory Reform (Fire Safety) Order 2005 (RRO), London South Bank University (LSBU) has a statutory obligation to carry out a Fire Risk Assessment (FRA) to every building across the two sites. The purpose of the FRA is to assess the risks from fire and once established, reduce those risks through the introduction of a series of control measures. These control measures are introduced either through mechanical installation of fire related hardware or by means of specific provisions and arrangements; all of which must be subjected to regular testing, inspection or auditing as appropriate.

The 'Procedures' made for the provision of reducing risks and effects from fire are as follows;

CORPORATE FIRE RISK ASSESSMENTS (FRA) (Fire Safety Officer)

FRA's are carried out when occupying an existing building for the first time or following completion of a new build. All FRA's are then subjected to an annual review but this frequency may be reduced following changing conditions to any building relating to;

- type of occupancy
- change of designated use
- material change of layout
- introduction/removal of a significant risk
- material change to fire precaution protective measures

In all instances any activities relating to FRA's must be recorded and any resultant significant findings presented to the relevant stakeholders (including persons within the building concerned).

The 'Responsible Person' (see Section 5: Definitions) must ensure that the FRA's are satisfactorily completed and that all staff are aware of their responsibilities with regard to fire safety and the fire precautions to the relevant building(s).

FRA's must be carried out on all LSBU premises by trained and competent assessors.

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FIRE ALARM SYSTEMS (Norland Managed Services)

The purpose of all fire alarm systems is to raise the alarm following discovery of the outbreak of fire whereas the enhancement of automatic fire detection will increase the speed of notification.

All fire alarm systems must be installed in accordance with the specifications as detailed within BS 5839-1:2002+A2:2008 and must be subjected to the following testing and inspection regimes;

- Weekly: the system is operated from a different manual call point each week on a rotational basis.
- 6 monthly: the system is subjected to a full inspection and testing of all automatic and manual alarm operative means.

Staff should be informed of the regular day and time of the weekly test and to treat any sounding in excess of one minute as being an emergency condition.

Any general faults noted by staff/students should be reported immediately to the Estates & Facilities (E&F) Helpdesk (Ext 6800) which should be repaired within 24 hours for a day risk premises and 12 hours for a sleeping risk premises. If repair is not possible within this time frame or, if the occupants remain 'at risk' from fire during these times, then effective alternative measures for raising the alarm must be put into place, e.g. air horns, klaxons, manual hand-gongs, whistles etc. When using these alternative methods it is particularly important to check that they are fully audible throughout the premises and that they are always readily accessible for emergency use. In the case of sleeping accommodation the level of audibility must be commensurate to wake persons from the depths of sleep. **For sleeping accommodation the addition of one hourly patrols of the entire building during periods of sleep must be brought into force.**

For small premises which do not require a fire alarm, alternative means must be made for raising the alarm e.g. air horns, klaxons, manual hand-gongs, whistles or verbal etc and should be subjected to the same testing regimes as for electrical fire alarm systems.

All weekly testing and inspection is carried out by internal maintenance operative staff but the 6 monthly testing is carried out by an external service provider.

All results and remedial actions if appropriate are recorded within the fire alarm record.

EMERGENCY LIGHTING SYSTEMS (Norland Managed Services excepting the Weekly inspections which are carried out by Fire Wardens)

Most buildings have emergency lighting systems installed both internally and externally to assist escape from the premises in cases of power failure and darkness.

All emergency lighting systems must be installed in accordance with the specifications as detailed within BS 5266-8:2004 and must be subjected to the following testing and inspection regimes;

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Weekly:	the system is subjected to visual inspection only.
Monthly:	the system is subjected to electrical isolation from the mains supply in order to illuminate all lights within the relevant circuits.
6 monthly:	the system is subjected to electrical isolation from the mains supply in order to illuminate all lights within the relevant circuits for a minimum period of one hour.
Annually:	the system is subjected to electrical isolation from the mains supply in order to illuminate all lights within the relevant circuits for a minimum period of three hours.

All testing and inspection is carried out by internal maintenance operatives.

Any general faults noted by all staff/students should be reported immediately to the E&F Helpdesk (Ext 6800) and should be repaired before the hours of darkness. If repair is not possible within this time frame then effective alternative measures for providing illumination of escape routes i.e. handlamps and torches etc must be put into place.

All results and remedial actions if appropriate are recorded within the emergency lighting record.

FIRE FIGHTING EQUIPMENT (Norland Managed Services excepting the Weekly inspections which are carried out by Fire Wardens)

Fire fighting equipment is provided in all premises to control minor fires in their initial stages but the priority at all times is towards the evacuation of all persons from the building to a place of safety and the calling of the Fire Service.

All fire fighting equipment (e.g. fire extinguishers and fire blankets) is installed in accordance with the specifications as detailed within BS 5306-8:2000, tested to BS 5306-3:2009 and is subjected to the following testing and inspection regimes;

Weekly:	all equipment is subjected to visual inspection only.
Annually;	all equipment is subjected to physical inspection of the mechanical elements and extinguishing media.
5/10 yearly;	all equipment is subjected to the extended servicing schedules and recharging where necessary.

The need for training in the use of fire extinguishers must be identified when the fire risk assessment is carried out.

The type, location and quantity of fire fighting equipment is determined by application of the relevant British Standard and the outcome of the FRA which is assessed at the time of occupation of the premises. The adequacy of these arrangements must be reconsidered during ongoing risk assessment, or if there is any material change in the occupancy/use of the premises.

The choice of the correct extinguishing media will be dependant upon fire risk(s) within a particular building.

NB. It is not necessary for carbon dioxide fire extinguishers to be located adjacent to each individual piece of electrical equipment e.g. computers, photocopiers etc.

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Extinguishers must be hung on brackets on the wall or be located within a purpose built station to reduce the likelihood of being knocked over or incorrectly relocated. Excepting emergency conditions, they must never be removed from their locations, nor used as 'doorstops' etc.

Fire extinguishers are heavy and must be sited at a height and location where they can be easily reached in an emergency. This is usually at a height where their extinguisher handle is level with the hands of a person of average height standing with their arms by their sides.

They must not be sited where they can easily be knocked off their brackets or a height at which if they were accidentally knocked off they could cause serious injury to persons below if they fell on them.

All weekly inspections are carried out by internal maintenance staff but the annual and the 5/10 yearly testing and inspection is carried out by an external service provider.

All results and remedial actions if appropriate are recorded within the fire fighting equipment record.

TESTING AND INSPECTION (As listed below)

All testing and inspection of all fire precaution equipment is carried out by a combination of internal maintenance staff, Fire Wardens/Co-ordinators and external service providers, but in any event all are deemed to be competent and maintain that level through training and certification where relevant.

FIRE DOORS (Inspections are carried out by Fire Wardens but repairs by Norland Managed Services)

The effectiveness in the maintenance, integrity and closure of fire doors is vital in the provision of containment of fire and smoke within a compartment.

Internal self-closing fire doors must never be locked shut or wedged open and should be labelled FIRE DOOR - KEEP SHUT with an approved safety sign complying with the Safety Signs and Signals Regulations 1996.

Any door hold-open devices (acoustic or magnetic release) must be tested during each weekly check to ensure that they release correctly and effectively.

Although there is no legislative requirement to carry out such inspections, all fire doors are subjected to weekly inspection to ensure effective operation of all mechanical parts and sealing within the surrounding door frame.

Particular attention must be given to vision panels within fire doors which must remain unobstructed in accordance with University policy.

All results and remedial actions if appropriate are recorded within the fire door record.

ESCAPE ROUTES (Observation and action by all persons within Faculties/

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Departments/Fire wardens)

The importance in maintaining clear and unobstructed escape routes is vital in affording effective emergency evacuations.

Corridors, stairs and passageways which form the means of escape from the building must be kept clear of obstructions and combustible materials at all times.

Final exit doors (leading directly to the outside) must be easily openable at all times and must not be secured with any device that when opening, requires the use of a key, code, swipe card* or the unfastening of bolts. If requiring to be secured shut, push bars or push pads or other non keyed fastenings (but excluding turn-buttons unless for 10 persons or less) should be used. Operating instructions relating to the mode of operation and complying with the Safety Signs and Signals Regulations 1996 should be clearly displayed on the door e.g. 'Push Bar to Open' etc.

All fire exits must be clearly marked by appropriate signage. External escape routes must always remain clear and unobstructed e.g. by parked vehicles etc. 'FIRE EXIT - KEEP CLEAR' notices should be used where appropriate.

Final exit doors and all doors leading to them must be checked at the start of each working day to ensure they are easily openable.

Although there is no legislative requirement to carry out such inspections, all vertical and horizontal, internal and external escape routes are subjected to weekly inspection to ensure effective integrity and sterility from combustible materials and obstructions. Furthermore all fire related signage is examined for clarity, appropriateness and integrity.

All results and remedial actions if appropriate are recorded within the general non-conformities record.

* Any doors which are designated as requiring security provisions, i.e. Salto locks etc that form part of the means of escape, will be fitted with interfaces wired directly into the fire alarm systems, so causing the doors to automatically return to an unsecured state in the event of the operation of the fire alarm.

FIRE NOTICES AND SIGNS (Inspections are carried out by Fire Wardens but repairs by Norland Managed Services)

It is important that all persons who may frequent a building for whatever purpose are aware of the correct action to be taken in the event of fire occurring or the activation of a fire alarm. Fire Action Notices containing information as to "what to do in case of fire" should therefore be prominently displayed in the following areas so that all building users can easily refer to them when necessary;

- Final exit doors
- Reception areas
- Circulation areas
- Every teaching space
- Every space used by the public e.g. evening classes, university functions.

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The following items should also be clearly identified with easily visible signs:

- Fire alarm call points
- Fire fighting equipment
- Emergency escape routes
- Fire exit doors
- Fire doors and store cupboards on escape routes
- Illuminated emergency lighting signage where appropriate

All signage and notices must comply with the Safety Signs and Signal Regulations 1996 and checked as part of the weekly fire safety inspection.

It is advisable that a floor plan indicating internal location and emergency escape routes from the building be prominently displayed on all floor levels.

REPAIRS AND MAINTENANCE (Norland Managed Services)

Repairs and maintenance of all fire precautionary equipment must be treated as a high priority and when defects are identified, immediate action must be taken to instigate remedial work.

Examples of items requiring remedial works include:

- faulty fire alarm, emergency lighting, smoke detection system
- fire doors not closing fully or being difficult to open
- trip or slip hazards on escape routes - internal and external.

Defects or repair requirements may be generated from the outcomes of testing and inspections etc or highlighted by staff during their day to day operations. In any event all defects must be notified to the E&F Helpdesk (Ext 6800) by email or if considered to be on an urgent nature, by telephone. Once notification has been received the job will be issued with a number then prioritised for repair. Sleeping and high risk areas will receive utmost priority.

CORPORATE FIRE SAFETY TRAINING (Fire Safety Officer excepting Induction Day One Training which is delivered by the relevant Faculty/Department)

All staff must receive general fire safety awareness training which includes their responsibilities for the prevention of fire and what to do in the event of a fire occurring. For new staff, whether permanent or temporary, this training should take place on the first day of employment or as soon as possible thereafter.

Induction Day One (all staff including temporary – list is not exhaustive)

- what the fire alarm sounds like
- action to be taken on hearing the fire alarm
- method of raising the alarm including location of fire alarm call points

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- procedure for calling the fire brigade
- location of fire exits, escape routes, refuges and fire assembly point(s)
- location, use of fire fighting equipment
- fire exit doors and routes, importance of keeping fire doors closed
- importance of good housekeeping
- fire safety matters specific to job e.g. use of flammable liquids, emergency shutdown of equipment
- role of those with special responsibilities for fire safety matters e.g. Fire Risk Assessor, Fire Wardens/Co-ordinators, evacuation chair operators (where applicable) etc
- out of hours procedure

Having completed the induction training all staff should receive regular continuation training and reminders about fire safety and emergency arrangements within the following time periods;

Day staff:	Annually
Residence staff with responsibility for sleeping risks:	6 Monthly

Training methods of instruction may take the form of face to face training, news bulletins, circulation of DVD's, agenda items on staff meetings and fire drills with a debriefing element etc.

Staff with special allocated tasks i.e. Fire Risk Assessors, Fire Wardens/Co-ordinators, staff in high risk areas including catering, science laboratories, woodwork and engineering workshops etc, may (as appropriate to their specific role) require a higher level of basic and refresher training which may include:

- The location and correct operation of fire fighting equipment provided.
- Knowledge as to what type of extinguishing media is appropriate to a particular fire. This can be achieved by use of video, instructional leaflets or by reference to instructions on the equipment etc. This type of training can be carried out in-house but should occur during dedicated training periods and not as part of staff meetings and team briefings etc. It is not necessary for all staff to have practical experience of using extinguishers to fight real fires, but certain key members of staff in specific higher risk areas should (where appropriate) be trained in the practical use of portable fire fighting equipment.

As a minimum all Fire Wardens/Co-ordinators should receive basic training in the carrying out of emergency evacuations, effecting roll calls (where possible and achievable) and the methodology of carrying out a building sweep in searching for missing persons.

In addition to the above the following persons should receive training in the correct selection and use of fire fighting equipment:

- All Fire Wardens/Co-ordinators
- Key staff working with flammable liquids (as fires involving flammable liquids are more difficult to tackle) based on an individual assessment of the risk to the area concerned;

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- Key staff in high-risk areas or activities (kitchens, maintenance department, science laboratories, workshops, art and design studios) based on an individual assessment of the risk to the areas concerned and only as deemed appropriate.

All training delivered is to be entered into the Health & Safety training records.

FIRE DRILLS. (Health & Safety Services/Residence Managers)

It is the responsibility of all halls of residence managers to ensure that regular fire evacuation drills are carried out within all sleeping risk premises. Fire drills within day risk premises will be carried out by the Health & Safety Services (HSS) department.

These must be carried out at intervals of at least once per term and more frequently in the event of poor results from the previous drill or if experiencing changing conditions within the building use, layout or occupancy concerned.

The drill should be carried out within the maximum time frame of the first 48hrs of the start of each term and timed in order to audit effectiveness of the evacuation process.

The timing benchmarks for effective evacuation are as follows;

- 5 minutes for complete evacuation of the building
- * + 2 minutes for completion of roll call from residential buildings
- * + 1 minute to establish the name(s) of any person(s) remaining unaccounted for

It is therefore expected that an evacuation and full roll call (the latter where appropriate and achievable) will be completed within a maximum time frame of 8 minutes.

Immediately prior to the drill it is recommended that at least one fire escape route is made unavailable to simulate real fire conditions and to encourage evacuees to react to unforeseen circumstances.

The premises will be confirmed as being properly evacuated following the conclusion of the roll call (where applicable) of all persons who were deemed to be in the building at the start of the evacuation. In the event of any persons being unaccounted for, a physical sweep of the building will be carried out by persons who have been specifically trained in premises search.

In the event of the occurrence of a real emergency incident, under no circumstances must any person re-enter a building for search purposes unless it is considered safe to do so.

A full debriefing should be undertaken by staff with all drill participants in order to consider and resolve any problems encountered.

Following the completion of the drill the results must be forwarded to the Fire Safety Officer for inspection then collation within the appropriate fire record.

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* Whilst the carrying out of a roll call and achieving confirmation of missing persons is highly desirable and is the practice where possible, it is accepted that;

- due to the numbers of persons who frequent all LSBU premises,
- the continual variation/frequency of those persons who occupy those spaces on a daily basis and
- the inability to register every person who enters those premises,

it is not practically possible to carry out an effective roll call which can be considered as being an accurate record. It is therefore accepted that the sweeping of all floor levels within the affected building by Fire Wardens during the initial stages of every evacuation is the only practical option in striving to attain a building clearance.

DISABLED STAFF, STUDENTS AND VISITORS (Faculty/Directorates)

Disabilities (whether permanent or temporary) may take many forms, i.e. mobility problems, hearing impairment, partial sightedness etc. In the majority of instances disabled persons will be capable of evacuating themselves from the premises, however some people will require assistance and in this event appropriate arrangements will need to be made. It is therefore important that an individual risk assessment is carried out at the earliest opportunity of any disabled person who is joining/attending LSBU and this should specifically consider any requirements in achieving an emergency evacuation of the premises. It is for this reason that a Personal Emergency Evacuation Plan (PEEP) is carried out for every person who falls within the above category and has declared their disability.

Staff

Before commencing employment or when a temporary disablement occurs, consideration must be given as to what assistance, if any is required to ensure that any such persons can evacuate safely in a fire.

This may involve the nomination of one person or more i.e. 'buddy' system etc, to assist during an evacuation in the provision and use of specialist equipment or additional ramps on fire exit routes etc.

Initial and refresher training must be provided to all staff allocated with special duties e.g. use of evacuation chairs etc.

Students

The access to a building by a disabled student might need to be restricted to areas from which they can be evacuated safely in an emergency. This may require the provision of specialist equipment such as evacuation chairs etc, especially if the student has to access upper floors which will involve the negotiation of stairs and landings for emergency escape purposes.

Visitors

In premises where disabled visitors may access areas other than the ground floor, the provision of specialist evacuation equipment may be necessary. In any event it would

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be favourable if possible to limit their access requirements to the ground floor only if requiring assistance, as lifts (where installed) must not be used in the event of a fire occurring.

Persons who have responsibility for the care of staff members and students must receive initial and refresher training in the safe use of the evacuation equipment and participate in regular drills.

All instances involving the participation of training and fire drills must be recorded within the relevant fire record.

General

When making bookings for rooms/space for use by disabled persons of a PEEP holder, either on behalf of or by the person concerned, consideration must be taken as to the building's Equality Act (DDA) access facilities and that the infrastructure available, with particular regard to making an escape in the event of an emergency, is suitable, appropriate and commensurate with the needs of the user(s) concerned.

NB. Attention is drawn to;

Appendix 1. Fire Evacuation – Notice to all members of staff and students (page 48)

FIRE RECORDS (Norland Managed Services/Health & Safety Services/Redisence Managers)

LSBU does not use the terminology of Fire Log Book and favours the term of Fire Records. All activities relating to the fire precautions of the building, i.e. weekly checks, inspections and training undertaken etc must be recorded. The record keeping is centralised within the Estates & Facilities department electronic filing system of the university's computer system.

All entries are only made by nominated persons within the E&F department and Norland Managed Services to ensure that all records remain accurate, current and readily accessible for inspection by officers of the Fire Brigade, the Health and Safety Executive, OFSTED or any other recognised and approved inspectorate body.

FIRE SAFETY STRATEGY BUILDING FLOOR PLANS (Fire Safety Officer)

It is recommended that a simple floor plan of each building is used to record all relevant fire safety information and is referred to during inspections and staff training.

The plan should be annotated to show the locations of:

- Fire alarm call points
- Fire fighting equipment
- Fire notices
- Fire exits

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- Fire escape routes
- Emergency lighting
- Fire alarm sounders
- Fire doors
- Refuge points
- Evacuation chairs
- Hazardous materials

CHECKLISTS FOR REVIEWS, INSPECTIONS, TESTS AND DRILLS

Inspection and testing to all fire precaution equipment is to be carried out in accordance with the specifications as detailed within the following British Standards;

Fire Alarm Systems	BS 5839-1:2002+A2:2008
Emergency Lighting Systems	BS 5266-8:2004
Portable Fire Fighting Equipment	BS 5306-3:2009 and 8:2000
Refuge Point Emergency Communications	BS 5839-9:2011

DAILY FIRE SAFETY CHECKLIST

Start of Day (Security)

Check:

- final exit doors and all doors leading to them are easily openable and unobstructed

End of Day (Security)

Check:

- building is secured against unauthorised entry
- all internal doors are closed
- electrical equipment not in use is switched off and unplugged
- all rubbish and waste removed
- all combustible and flammable materials are safely stored

WEEKLY FIRE SAFETY INSPECTION CHECKLIST

Means of Escape (Inspections are carried out by Fire Wardens but repairs by Norland Managed Services)

Check:

- stairways, corridors free from obstructions
- fire exits free from obstructions
- floor coverings secure

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- fire doors in good repair and not propped open
- fire door hold open devices release correctly
- fire doors self closing devices are operating correctly and doors close fully onto stops
- fire exit doors easy to open
- external fire escape stairs and escape routes in good condition
- stair handrails secure
- fire exits secure after hours

Fire Alarm Systems (Norland Managed Services)

Check:

- check the alarm system is operable through the operation of a manual call point and that it is fully audible in all areas

Emergency Lighting Systems (Inspections are carried out by Fire Wardens but repairs by Norland Managed Services)

Check:

- all emergency lighting is adequate in integrity

Fire Fighting Equipment (Fire Wardens)

Check:

- all equipment is in its correct position
- all pins and security tags are correctly fitted
- all equipment is securely fitted to brackets
- if any extinguishers show signs of discharge/low pressure
- signage depicting the extinguisher type is clearly displayed and undamaged

Refuge Point Emergency Voice Communication System (Norland Managed Services)

Check:

- 2 way voice communication between each panel and the Security control room master panel

Fire Action Notices (Inspections are carried out by Fire Wardens but repairs by Norland Managed Services)

Check:

- fire action notices are clearly displayed, undamaged and up to date

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Special Measures (Inspections are carried out by Fire Wardens but repairs by Norland Managed Services)

Check:

- decorative materials (Christmas decorations etc) are not attached to lights or heaters, do not obscure fire notices, escape lighting or emergency lighting
- heating appliances are adequately guarded and not positioned next to combustible materials (no element type electric fires in use)
- any specialist evacuation equipment is in position and serviceable

MONTHLY FIRE SAFETY CHECKLIST

Emergency Lighting Systems (Norland Managed Services)

Check:

- illumination of emergency lighting

6 MONTHLY FIRE SAFETY CHECKLIST

Fire Alarm/Automatic Fire Detection Systems (Norland Managed Services)

Check:

- inspection and testing for entire system

Emergency Lighting Systems (Norland Managed Services)

Check:

- illumination of emergency lighting for minimum one hour duration period

12 MONTHLY FIRE SAFETY CHECKLIST

Fire Alarm/Automatic Fire Detection Systems (Norland Managed Services)

Check:

- inspection and testing for entire system

Emergency Lighting Systems (Norland Managed Services)

Check:

- illumination of emergency lighting for minimum three hour duration period

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Fire Fighting Equipment (Norland Managed Services)

Check:

- all extinguishers and fire blankets and specialist fire suppression systems have been inspected by contractors or competent person within the last 12 months

Refuge Point Emergency Voice Communication System (Norland Managed Services)

Check:

- inspection and testing of entire system

Corporate Fire Risk Assessments (Fire Safety Officer)

Check:

- FRA's for all buildings have been reviewed to ensure that previous recommendations have been carried out in the order of priority and any significant findings promulgated

Fire Records (Norland Managed Services/Health & Safety Services)

Check the following items are up to date:

- fire alarm and automatic fire detection
- emergency lighting
- fire fighting equipment
- fire doors
- training
- fire drills

Emergency Procedures (Faculties/Directorates)

Check:

- Fire Safety Arrangements, Procedures and Fire Safety Plans are up to date
- for any changes to staff, premises, procedures and equipment which could affect the fire precaution measures or emergency procedures
- fire instruction signage is up to date

Policies, Fire Safety Plan, Arrangements and Procedures (Fire Safety Officer)

Check:

- all documentation is reviewed for currency and adequacy

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Electrical Equipment (Residence Managers for Halls of Residence, Faculties/Departments for remaining areas)

Although generally a maintenance issue, it is recognised that electrical equipment is a potential fire hazard, with particular regard to students' bedrooms where it is inevitably operated within close proximity to bedding, clothing and other readily combustible materials.

Although the use of electrical items should be kept to a minimum, it is accepted that many students will have numerous items which include, music/sound systems, ipods, table lamps, hair straighteners, hair dryers etc, including the facility to charge a range of portable items such as lap-tops, mobile phones, play stations and other electronic gadgetry. It is also reasonable to accept that some students will want to use kettles for the purpose of boiling water for the provision of making hot drinks in their rooms.

It must however be noted that the following electrical items are **not permitted** for use in bedrooms;

- Rice cookers
- Hot plates/rings
- Microwave cookers/grills/sandwich makers etc

Check:

- That all electrical equipment is being used safely and sensibly
- That it is switched off when not in use
- That no cooking of any description (other than the boiling of water) is performed in bedrooms
- That no multi-point adaptors are being used unless they have been specifically designed for use with that particular item
- That wall sockets have not been overloaded
- That all leads/wires etc are being used safely and appropriately and are not coiled up, crushed beneath books/chairs or being walked on nor constituting a trip hazard
- That all equipment in use within common areas only has been PAT tested and recorded as such in the provision of an approved 'sticker'

The above checks are the common responsibility of all staff and students alike

3 YEARLY FIRE SAFETY CHECKLIST

Corporate Fire Risk Assessments (Fire Safety Officer)

Check:

- FRA's for all buildings have been subjected to a full review to include a resurvey of the relevant building and any significant findings promulgated

SECTION 2

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EMERGENCY COMMUNICATIONS

Contact	Name	Number
Police, Fire and Ambulance	Security Control Room	Ext 2222
Head of Health & Safety Services Fire Safety Officer Health & Safety Officer	Elijah Moyanah Adrian White Tracey Harding	Ext 6213 Ext 6220 Ext 6079
Estates & Facilities Management (9.00am to 5.00pm – normal working hours Mon - Fri)	E&F Helpdesk	Ext 6800
Out of hours emergency call out number (07.30am to 21.30pm – normal LSBU working hours Mon - Fri)		0207 815 6666
Security control room	Non emergency Emergency	Ext 6841 Ext 6666

NB. It must be noted that all calls for emergency assistance must be made through the Security Control Room to ensure a) their knowledge of and b) their ability to co-ordinate the incident concerned.

Incident Response Team/Emergency Management Meeting Location:

The IRT/EMT is a designated facility within the university site where any major emergency or disaster operation will be coordinated. The pre designated location for the meeting areas are;

1. Eileen House EL215
2. Borough Road BR 107

It is recognised that depending upon the location of any emergency incident the meeting location may require to be set up within alternative buildings.

The requirement to enact the IRT/EMT will be dependent upon the scale and duration of the incident and will not necessarily be actioned for small day-to-day emergencies.

SECTION 3

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CALLING THE FIRE BRIGADE

Although the majority of LSBU buildings are fitted with automatic fire detection/fire alarm systems, (and excepting the four residential blocks) none are supported by remote signalling that connects directly to a central alarm monitoring stations. It therefore follows that upon detecting a fire, no call will be made by automatic means in the summoning of emergency assistance.

An outbreak of fire is likely to be discovered by the following means of discovery;

- by the automatic fire detection systems
- by a third party
- by visual aspect

Following awareness of a fire/potential fire situation, the person making the discovery must raise the alarm immediately. This can be achieved either by:

- breaking a fire alarm call point within the relevant building
- if receiving information but being distanced from the fire, contacting a person (either by telephone or via a security radio) within the relevant building and requesting them to operate the fire alarm
- shouting 'FIRE' so causing a verbal cascade to alert persons if no fire alarm is fitted to the building or if the system is disable for maintenance/repair etc.

Having raised the alarm the next step is to summon emergency assistance and the following guidance must be strictly followed;

Southwark Campus (Excluding Halls of Residence)

Use the main telephone system, dial Ext 6666 and inform the Security Control Room if the incident details. For mobile phones, dial 0207 815 6666. This instruction is applicable to all times within the 24hr period.

Havering Campus and Halls of Residence

Using the main telephone system, dial (9) 999 (the first 9 provide an outside exchange line and the last 3 make the call). If using a mobile phone, dial 999.

The next person to answer will be a telephone exchange emergency operator who will ask 'Which service do you require?' Your reply will be Fire Brigade (or any other service as applicable). When connected to the Fire Brigade mobilising room you will be asked a series of questions which will be based on:

- your name and telephone number from where you are ringing
- the address of the fire
- a brief description of the fire
- is anyone still inside the building and if so where are they?

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If you are aware of any special hazards you should also inform the Fire Brigade mobilising officer, i.e. LPG gas storage tank adjacent to the building or gas cylinders are contained within the building etc.

If you also require the assistance of additional emergency services at the same time, i.e. ambulance/police etc, you can also ask the Fire Brigade mobilising officer to make this request for you, so saving time and the need to make additional calls etc.

Having made the emergency call a person should then be dispatched to the nearest entrance on the main road so as to direct the attending emergency service to the correct location.

A further call should also be made to the Security Control Room (Ext 6666) to inform them of your emergency incident request.

SECTION 4

RESPONSIBILITIES

Board of Governors.

The Board of Governors of the University is accountable for the provision of a workplace free from risk to the health and safety of staff, students and visitors due to fire. The University is responsible for ensuring, so far as is reasonably practicable, the health and safety of staff, students and visitors by freedom from risk of fire.

Vice Chancellor

The Vice Chancellor as Chief Executive is the member of the Board of Governors with overall responsibility for meeting the University's fire safety obligations. The Vice Chancellor by virtue of position is designated as being the 'Responsible Person' (RP) for the University under the requirements of the Regulatory Reform (Fire Safety) Order 2005. This role is defined within Section 6 of this document. In this task the RP is assisted by the University Executive and a Competent Person. In particular the RP is responsible for ensuring that:

Planning:

- Arrangements are put in place for the effective planning, organisation, implementing, monitoring and review of fire preventive measures.
- General fire precautions are taken to ensure the safety from fire of staff, students, visitors, contractors and members of the public.
- Suitable and sufficient fire risk assessments are carried out and periodically reviewed.
- Adequate resources are made available to enable the management of fire safety.

Executive Deans and Heads of Central Support Departments

Executive Deans and Heads of Central Support Departments are responsible for:

- Ensuring Fire Safety arrangements are implemented within their areas of responsibility.
- Ensuring the promotion of a positive fire safety culture in their area of responsibility.
- Ensuring sufficient Fire Wardens/Co-ordinators within their faculty/work areas to facilitate a safe evacuation in case of a fire.
- Ensuring that all flammable materials are correctly stored, used and disposed of (where applicable).
- Ensuring all potential fire hazards within their faculty/department are identified and managed.
- Liaising with the 'Responsible/Competent Person' before introducing new activities and/or processes which may increase the fire risk.
- Ensuring that staff and students within their faculty/department receive sufficient and appropriate fire awareness instruction and training

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- Ensuring that all fire related incidents within their area of responsibility are reported, recorded and investigated in accordance with existing instructions – link <http://www1.lsbu.ac.uk/safety/HSpolicies/policies.shtml>

Departmental Health and Safety Co-ordinators (DHSCs)

DHSCs assist Executive Deans and Heads of Central Support Departments in their duties as stipulated as set above.

Estates & Facilities Directorate

Planning:

- Ensuring that all fire precaution systems and equipment is properly installed in accordance to the specifications of the relevant British Standard or Approved Code of Practice as appropriate
- Ensuring that all defects to the fire precaution systems and equipment are recorded and dealt with at the earliest opportunity and that all remedial works are carried out in accordance to the specifications of the relevant British Standard or Approved Code of Practice as appropriate
- Carrying out scheduled testing and maintenance of all fire precaution systems and equipment as appropriate
- Maintaining fully documented records of all fire warning, fire precautionary installations and training including out-of-service situations, unsafe situations and all relevant inspections, maintenance and servicing
- Assisting the Fire Safety Officer in conducting FRA's.

Response to a fire emergency situation:

Obtain information of the incident to include:

- Nature of the emergency i.e. fire, explosion, gas escape, flooding etc
- Location of the emergency
- Whether injuries or loss of life occurred
- Cause of fire or explosion if known
- Arrange for deployment of plant and personnel as required
- Inform Security as required
- Inform contacts to relevant buildings if appropriate
- Notify the Head of Health & Safety
- Ensure that all appropriate Senior Managers/IRT/EMT remain informed and updated

Fire Safety Officer

Planning:

- Promoting a positive Fire Safety culture across the University and advising Executive Deans and Heads of Central Support Departments on fire safety statutory obligations

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- Arranging, coordinating and ensuring that the training of all relevant persons in fire safety is to a level that is commensurate with their individual responsibilities with regard to the fire related arrangements and procedures
- Advising the Health and Safety Joint Committee (HSJC) and the Property Committees on Fire Safety issues
- Acting as liaison between the University and outside agencies including London Fire Brigade
- Ensuring the provision of specialist advice, information and support as and when required
- Ensuring the provision of training/support to maintain the competencies of all persons who have been specifically designated by LSBU and subsequently trained in a specialist fire related role
- Attending any training courses that are considered necessary to support the role of Fire Safety Officer
- Ensuring that the Fire Safety Policy, Fire Safety Plans, Arrangements and Procedures are suitable and sufficient in satisfying the requirements of the RRO and are subjected to annual review
- Ensuring that the Responsible Person and Head of Health & Safety Services are appraised of the content of all fire related policies and procedures
- Ensuring that suitable and sufficient periodic fire safety risk assessments take place across the University required
- Ensuring that all fire precaution measures are fully maintained in accordance with the relevant standards
- Coordinating fire evacuation drills for all buildings in accordance with requirements of the RRO
- Ensuring emergency debriefing and reporting is conducted as required
- Providing copies of all relevant Fire Safety information to the Fire Wardens/Coordinators as applicable and appropriate
- Ensuring that all relevant Fire Safety information is available to all LSBU employees
- Maintaining a current list of people who require assistance to evacuate the building
- Ensure that fire safety compliance audits are conducted and directing non-compliance issues to the appropriate Head of Department or individuals as appropriate for resolution
- The 'Competent Person' has the authority, delegated from the Vice Chancellor to call an immediate halt to any work/activity posing an Immediate Danger to Health or Life (IDHL) of personnel due to a fire hazard. Such work/activity can only resume following satisfactory management controls being introduced.

Response to a fire emergency situation:

- Upon notification of a fire alarm actuation or fire emergency, ensuring that the Fire Safety Plan is implemented
- Ensuring that all relevant buildings are evacuated and that no one re-enters the buildings until permitted by the controlling authority
- Liaise with the Fire Coordinators as appropriate and take command of an evacuation in the event of a sizable/complex incident or deficiencies in the numbers of Fire Wardens/Coordinators present.
- Liaising with the Fire Brigade at the scene (command post) to ensure effective communication

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- Maintaining communication with Head of Health & Safety/Incident Response Team as required
- Evaluating the success of the fire response and providing a report of deficiencies to the Head of Health & Safety Service and if appropriate, Head of Security

Fire Coordinators/Wardens:

Planning:

- Coordinating the emergency evacuation of relevant buildings and participation within the local evacuation team
Carrying out weekly Fire Safety inspections of all fire precaution equipment and maintaining the means of escape within their 'responsibility zones' to include the integrity of fire extinguishers, fire doors and escape routes
- Reporting non-compliance and/or missing/faulty equipment to E&F Helpdesk (Ext 6800) and informing HSS (Ext 6220) as appropriate
- Ensuring the promotion of legislative and University Fire Safety requirements and best practice to all persons within their relevant buildings
- Attending any training courses provided as advised by the Fire Safety Officer
- Maintaining individual competence for respective duties and roles
- Maintaining full knowledge of the Fire Safety Plan, Arrangements and Procedures as well as the Fire Precautions within the relevant area of responsibility
- Maintaining awareness fire prevention/risk reduction techniques and reporting any Fire Safety issues to the E&F Helpdesk (Ext 6800)
- Participation within and assisting the Fire Safety Officer/HSS in the carrying out of fire drills, then within debriefing sessions and promoting general awareness as required

Response to a fire emergency situation:

- Upon notification of a fire alarm actuation or fire emergency, ensuring that the Fire Safety Plan is implemented
- Ensuring that all relevant buildings are evacuated and that no one re-enters the buildings until permitted by the controlling authority
- Coordinating the movement and containment of the evacuees
- Liaise with the Fire Safety Officer/HSS/Security as appropriate

And in the absence of the Fire Safety Officer:

- The Fire Coordinator or in their absence, a Fire Warden to liaise with the Fire Brigade at the scene (command post) to ensure effective communication
- Maintain communication with Head of Health & Safety/Incident Response Team as required

Security:

Planning:

- Maintaining awareness of building layout, content and room/area locations etc

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- Maintaining vigilance towards the fire precautions within relevant buildings and reporting defects or omissions to E&F Helpdesk (Ext 6800) and the Fire Safety Officer (Ext 6220) as appropriate
- Receiving notifications of fire alarm actuations
- Attending the location of the fire alarm to provide assistance as necessary as detailed below
- Providing a report to the Fire Safety Officer of every fire alarm actuation or on any adverse fire safety issues

Response to a fire emergency situation:

- All available officers will make their way to the fire panel in the building indicated on the Master Fire Alarm panel in Security Control
- On arrival the first officer on scene will interrogate the fire panel to ascertain the location and reason for the alarm being actuated
- Officers will be deployed to Fire Exits to assist with the evacuation of the building and prohibit the entry/re-entry into the building.
- Contact the Fire Safety Officer and provide a brief on the situation
- An officer must remain at the fire panel to direct the security team on where they need to be and to liaise with the Fire Safety Officer/Wardens
- Officer(s) will be deployed to the location indicated on the buildings fire panel to identify the reason for actuation
- Investigation must include:
 - Checking for signs of smoke via smell and sight
 - Visually looking for signs of fire through glass viewing panels if present
 - Checking for signs of 'hot works' taking place
 - Search for dust particles in the air or signs of someone smoking a cigarette
- When identifying the suspected cause the officer must communicate the information via the radio to the officer stood at the panel
- All information pertaining to the fire alarm should be channelled through the radio.
- If the presence of the Fire Brigade is required this should be communicated to and requested by Security Control.
- Upon the Fire Brigades arrival they should be met and directed to the relevant area.
- Officers to respond to disabled individual(s) requests at fire refuge points
- Provide reassurance to disabled personnel at the refuge points and enquiring as to their Personal Emergency Evacuation Plan (PEEP) and if having one, advising them to follow the PEEP
- Advising disabled personnel (who have no PEEP or where the PEEP says they should remain at the refuge point) that help is on its way and maintaining reassurance
- Evacuating the disabled person(s) to safety whenever possible, without endangering their own lives
- Silence the fire alarm panel once authorisation is received from the Fire Safety Officer/Warden
- Securing the building (once the incident has been resolved), before building occupants are allowed back in
- All officers will be stood down after the fire panel has been reset and building occupants have been screened back into the building

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- The Control Room Operator must maintain a documented account of the incident recording response times, locations, Fire Brigade arrival, re-entry back into the building etc
- Completion and submission of a fire alarm report should be carried out by the highest ranking officer

London Fire Brigade:

The London Fire Brigade has the responsibility to respond to any fire and/or rescue emergency at LSBU and will be the agency in charge of any fire/rescue related emergency scene until it determines that the scene is safe and hands over same to the charge of LSBU.

Upon arrival at the emergency situation the commanding officer of the London Fire Brigade will liaise and communicate with the university Fire Safety Officer or senior person present.

Fire Safety Maintenance Technicians/Site Engineers:

Planning:

- Make arrangements with the representatives of all buildings university wide to afford access through regular timings for the purpose and subsequent carrying out of all testing and inspections of all fire precaution equipment
- To ensure that the results of the tests are provided to the Estates & Facilities Department for inclusion within the relevant fire records and to afford the progression of any remedial actions that may be necessary
- To carry out any remedial actions with regard to the repair or servicing of all fire precaution equipment as required
- To proactively introduce measures to reduce the number of false alarms or unwanted fire signals

Response to a fire emergency situation:

- When requested to attend emergency incidents within their area of responsibility
- To liaise with the Fire Safety Officer or senior Management and support any operational requirements that are deemed to be necessary
- Following direction from the Fire Safety Officer/Coordinator/Wardens or Security Officer as appropriate to reset the fire alarm panel and report the actuating activity to the appropriate maintenance department

SECTION 5

DEFINITIONS

Area of refuge:

A space that facilitates a safe delay in egress, is sufficiently protected from fire conditions developing in the floor area, and provides direct access to an exit. It must also have a two way communication speak/listen facility with the main entrance, reception or Security Control Room as appropriate.

Command post:

Any campus emergency must be coordinated to ensure good communications to all involved in the event of a fire or other emergency. The London Fire Brigade, Fire Safety Officer, Estates & Facilities Management and Fire Warden/Coordinator will make every effort to link together at a command post. For instances involving Fire Alarm actuations, this will normally be outside of the affected building.

Fire Assembly Point:

The point which is considered to be the ultimate place of safety and from where roll calls are carried out (where applicable and appropriate) and further instruction given.

Fire Coordinator

The person responsible for co-ordinating fire evacuation processes within a building. Fire Co-ordinators are, through mutual agreement, appointed from amongst Fire Wardens by Health and Safety Services. In halls of residence, this role is normally performed by the Residence Managers who are also responsible for the building. In remuneration for each year of satisfactory service provided, the University has awarded one additional annual leave day.

Fire Warden

The person responsible for fire evacuation of designated areas/zones and reporting the outcome to the Fire Coordinator. Fire wardens are normally appointed by Executive Deans or Heads of Central Support Departments from a pool of volunteer staff. Fire Wardens are allocated to cover every part of every building. In halls of residence this is normally a collective responsibility of halls staff. In remuneration for each year of satisfactory service provided, the University has awarded one additional annual leave day.

Persons requiring assistance:

Persons requiring assistance are those persons within the university community who, in the event of any emergency, would require assistance in being evacuated to a safe place (e.g. wheelchair users, those with impaired hearing, the blind or partially sighted). A PEEP will be completed for any persons of the above nature in supporting individual needs.

Responsible Person:

The person ultimately responsible for fire safety as defined in the Regulatory Reform (Fire Safety) Order 2005.

In this Order 'responsible person' means –

- (a) In relation to a workplace, the employer, if the workplace is to any extent under his/her control;

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- (b) In relation to any premises not falling within paragraph (a) –
- (i) the person who has any control of the premises (as occupier or otherwise) in connection with the carrying on by him of a trade, business or other undertaking (for profit or not); or
 - (ii) the owner, where the person in control of the premises does not have control in connection with the carrying on by that person of a trade, business or other undertaking.

SECTION 6

GENERAL INSTRUCTIONS FOR ALL STAFF AND STUDENTS

EVERYONE HAS RESPONSIBILITIES

Every member of staff and all students have a responsibility to be prepared for emergencies.

1. WHAT EVERYONE SHOULD KNOW:

It is your responsibility to know, before an emergency occurs:

- a) The location of the nearest emergency escape route/fire exit of the building you may be expected to work or study in
- b) The location of the nearest fire alarm break glass point
- c) The location of the nearest fire extinguisher
- d) The location of the Fire Assembly Point for your building
- e) The emergency telephone numbers to be called (See Sections 2, 3 and 4)
- f) The FIRE EVACUATION PROCEDURE
- g) How to summon the emergency services

2. WHAT EVERYONE SHOULD DO:

- a) Ensure all hallways, stairways and fire exits remain clear and unobstructed at all times
- b) Report blocked hallways, corridors, stairways or fire exits immediately to E&F Helpdesk (Ext 6800) or your manager/supervisor/lecturer as appropriate
- c) Ensure all Fire Doors are kept closed except when proprietary door hold-open devices are fitted

FIRE EVACUATION PROCEDURE

IF THE FIRE ALARM SOUNDS:

- a) **PROCEED IMMEDIATELY TO THE NEAREST FIRE EXIT**
Proceed calmly but rapidly. Close doors as you go if you are the last person out of a particular room
 - Do not wait for more information or to ascertain the cause of the evacuation
- b) Go to the designated Fire Assembly Point for your building
- c) **Do not re-enter the building** until instructed to do so by either Fire Safety Officer, Fire Warden/Coordinator or the London Fire Brigade as appropriate

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NEVER ENTER A BUILDING WHEN THE FIRE ALARM IS SOUNDING

IF YOU DISCOVER A FIRE:

Alert others to the danger as you leave. Close the door to the room or area involved

ACTIVATE NEAREST FIRE ALARM BREAK GLASS POINT

Leave the building, following the EVACUATION PROCEDURE

As soon as you can do so safely

- Call the Fire Brigade (9) 999
- Inform Security (Ext 6666) and E&F Helpdesk (Ext 6800) to report details of the emergency

Go to the designated Fire Assembly Point for the building

NB. Attention is drawn to;

Appendix 1. Fire Evacuation – Notice to all members of staff and students (page 48)

Appendix 2. Smoking on Premises - Notice to all members of staff and students (page 50)

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SECTION 7

GENERAL INSTRUCTIONS FOR ACEDMIC AND COACHING STAFF

The university has a responsibility to protect the health and safety of students. Anyone teaching/instructing or coaching a class and being the only representative of the university present, shares in this responsibility and is expected to show due diligence and take all reasonable measures to maximise the safety of students.

RESPONSIBILITIES OF ALL ACEDMIC AND COACHING STAFF:

1. At the beginning of the term, learn the evacuation routes from each classroom/teaching space you will be teaching in and the Fire Assembly Point for the building. In the first class of the term, call attention to the university Fire & Evacuation Procedure, the designated emergency exit route from the classroom/space being used and the designated Fire Assembly Point for the building. Contact the Fire Safety Officer if further information is required.
2. In the first class of each term, request that any student who might need assistance during a fire evacuation informs you and of their specific need. This information must be reported to the Fire Safety Officer who will arrange for assistance as appropriate.
3. IF A FIRE ALARM SOUNDS, YOU AND YOUR CLASS MUST EVACUATE THE BUILDING IMMEDIATELY.

Note: If a person with a disability cannot be evacuated through a stairway, they must be taken to a designated place of refuge until help arrives. Contact the Fire Safety Officer (Ext 6220) for further information.

4. Direct your class to the designated Fire Assembly Point for the building. If any members of the class are unaccounted for, inform the Fire Safety Officer.
5. **Do not allow any persons to re-enter the building** until the Fire Safety Officer or London Fire Brigade gives clearance to do so.

RESPONSIBILITIES OF EVENING/WEEKEND ACEDMIC AND COACHING STAFF

In the majority of cases and excepting Halls of Residence, the buildings Fire Wardens/Coordinators are university staff and therefore are only available during normal working hours (0900 – 1700hrs). Those teaching/instructing classes during evenings and weekends therefore have the following **additional** responsibilities:

1. Guide or direct students to the external Fire Exit, and direct them to the Fire Assembly Point. Check for stragglers and students who did not/could not leave the classroom/space.
2. Assist or coordinate the assistance of any student who requires help to evacuate the building. If necessary enlist the aid of other students if possible. If a person

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with a disability cannot be evacuated through a stairway, they must be taken to a designated place of refuge until help arrives. Contact the Fire Safety Officer for further information.

3. Join the students at the Fire Assembly Point. If any members of the class are thought to be missing, inform the Fire Brigade when they arrive.
4. At the earliest possible opportunity call the Fire Brigade (Ext 6666).
5. **Do not allow the any persons to re-enter the building** until the Fire Brigade or the Fire Safety Officer gives clearance to do so.

NB. Attention is drawn to;

Appendix 1. Fire Evacuation – Notice to all members of staff and students (page 48)

Appendix 2. Smoking on Premises - Notice to all members of staff and students (page 50)

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SECTION 8

FIRE SAFETY PLAN AND DIRECTIONS FOR ALL STAFF AND STUDENTS

These directions should be observed for your own safety and protection in the event of a fire or fire drill. Be certain that you know what to do if such an occasion arises.

The evacuation routes within your building should always be used during fire drills and if possible, in the event of an actual emergency.

IF YOUR NORMAL EVACUATION ROUTE IS NOT PASSABLE DURING A FIRE SITUATION, USE THE NEAREST FIRE EXIT AVAILABLE.

WHEN THE FIRE ALARM SOUNDS

Leave the area immediately, no matter what you are doing. Leave your valuables, books, etc., in the room. If you don't, it may be too late for you to get out of the building.

CHECK ROOM DOORS LEADING ONTO A CORRIDOR BEFORE OPENING

1. Feel the door and observe cracks around the door. If the door is warm or there are signs of smoke behind it, **DO NOT OPEN THE DOOR**
 - Under these conditions, stuff the cracks around the door and open your window
 - If your window is too high for a safe exit (ground floor only), stay by the slightly opened window and wait. Open curtains or blinds and turn on lights so that the Fire Brigade can see into your room and make yourself known by waving your arms and shouting
2. If the door is not warm, open it cautiously, checking both for smoke and for noxious fumes. If the corridor is clear, proceed to the nearest fire exit. Carry whatever is available (towels, coats, etc.) to protect your face from flames or smoke.
3. If you find yourself in a hallway or corridor, suddenly enveloped by smoke or fumes, your safest point is close to the floor and against the wall. Cover your nose and mouth and proceed to the exit.

Walk quickly but do not run or stampede and do not create a jam by stopping.

Watch out for other persons in the hallways and on the stairways.

If you are not near your usual place of work, leave through the nearest safe exit and report to your Fire Assembly Point. It is your responsibility to see that your presence is recorded.

At the earliest opportunity call the Fire Brigade (Ext 6666 or (9) 999 as appropriate).

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Remain at the Fire Assembly Point until you are given further instructions by a member of staff.

NB. Attention is drawn to;

Appendix 1. Fire Evacuation – Notice to all members of staff and students (page 48)

Appendix 2. Smoking on Premises - Notice to all members of staff and students (page 50)

SECTION 9

FIRE SAFETY PLAN FOR HALLS OF RESIDENCE

INTRODUCTION

This plan is intended to enable a safe evacuation of all Halls of Residence in the event of a fire or other emergency. It is in three parts:

- Part 1 - The alarm systems and responses to them;
- Part 2 – Managing the plan in minimising the likelihood in incurring contraventions and ensuring it can run smoothly
- Part 3 - Providing residencies occupants (both staff and students) with information, instruction and training.

PART 1

ALARM SYSTEMS

All residencies have independent fire alarm systems which are connected to a central monitoring station.

All residencies have audible fire alarms (sounders) as a means of warning occupants to evacuate which are activated either from break glass call points by any person who discovers a fire or by the automatic smoke/heat detectors.

Accounting for occupants

It is virtually impossible to know whether a particular individual will be in a particular place at any one time due to the nature of the university time table and activities. It is also accepted that students have freedom of choice to reside or stay away from their rooms each night which compounds the issue of gaining an accurate roll call. It is therefore determined that all occupants who are within a building when the fire alarm operates will evacuate immediately and proceed to the Fire Assembly Point.

Personnel with responsibilities during evacuations

During an evacuation either the residence manager, student assistant or Fire Warden if applicable must coordinate the evacuation then gather information about the reason leading to it. They must also ensure that the building is fully evacuated and remains in that state for the duration of the alarm.

It is impractical to give this responsibility to any one individual since they may not be present at the time of the evacuation, so it is for this reason that they are to be given to groups of people within the building; any of whom would assume responsibility as appropriate.

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If the cause of the alarm cannot be ascertained quickly or if there is a known fire situation, the co-coordinator will telephone the Fire Brigade (9) 999 and request their immediate attendance.

Other staff and students

Staff with no specific role in an evacuation can still play a part in ensuring a smooth exit from the building. On hearing the alarm staff and others in charge of students should immediately instruct them to leave the residence by the quickest and safest possible route.

All other people in the residence should make for the nearest exit immediately on hearing the alarm without questioning it or stopping to collect belongings. If they have any information regarding the fire they should inform the Fire Coordinator at the Fire Assembly Point.

PART 2

MANAGING THE FIRE PLAN

Safety Inspections and individual responsibility:

One of the functions of fire safety inspections is to ensure that fire escape routes are kept clear of anything which may block them or be a source of combustion.

While the inspections can highlight persistent problems, 'one off' situations may not necessarily be picked up. Individual staff members and students should be aware not to block gangways or leave combustibles in them nor prop open fire doors.

Use of corridors and stairwells

Corridors and stairwells which form part of the means of escape should be kept sterile i.e. contain neither combustibles nor obstructions. They should not be used to store items in transit, furniture, rubbish bags, boxes and linen etc.

Furniture intended for use in corridors and stairwells (only if approved by the Fire Safety Officer) must be of an approved type. This includes chairs, tables, notice boards and wall hangings.

Alarm system testing and test evacuations

The alarm system in each residence should be checked weekly by operating it from a different call point each week. This operation is usually carried out by the Maintenance Technicians who must ensure that the alarm can be heard from all parts of the building.

Fire Drills should be carried out at a minimum of once a term with or without warning.

Updating the fire records

LONDON SOUTH BANK UNIVERSITY

E&F Management are responsible for ensuring the fire records are kept up to date. They should be informed of any new installations involving hazards that the emergency services should be warned of.

PART 3

PROVIDING RESIDENCIES OCCUPANTS (BOTH STAFF AND STUDENTS) WITH INFORMATION, INSTRUCTION AND TRAINING

Fire Safety Arrangements and Procedures

The content of this Fire Safety Arrangements and Procedures is to be used as the source for all information, instruction and training for both staff and students.

Although the guidance given within these arrangements and procedures is to be unequivocally adopted across the entire university, it is accepted that each Halls of Residence will need to reflect the additional objectives that are relevant to each individual hall concerned. It is for this reason that each Hall of Residence has developed and operates under its own procedures & arrangements document which has been tailored to the needs of the building and the occupancy contained therein.

Fire Notices

Fire Action Notices should be liberally located throughout all buildings, particularly on escape routes and by final exits and must be read and be fully understood by all Staff and Students.

FIRE SAFETY PLAN - DIRECTIONS FOR RESIDENCIES OCCUPANTS

These directions should be observed for your own safety and protection in the event of a fire or fire drill. Be certain that you know what to do if such an occasion arises

The evacuation routes within your building should always be used during fire drills and if possible, in the event of an actual emergency

IF YOUR NORMAL EVACUATION ROUTE IS NOT PASSABLE DURING AN ACTUAL FIRE, USE THE NEAREST FIRE EXIT AVAILABLE.

WHEN THE FIRE ALARM SOUNDS

Leave the area immediately, no matter what you are doing. Leave your valuables, books, etc, in the room. If you don't, it may be too late for you to get out of the building.

CHECK ROOM DOORS LEADING ONTO A CORRIDOR BEFORE OPENING

1. Feel the door and observe cracks around the door. If the door is warm or there are signs of smoke behind it, DO NOT OPEN THE DOOR
 - Under these conditions, stuff the cracks around the door and open your window

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- If your window is too high for a safe exit (ground floor only), stay by the slightly opened window and wait. Open curtains or blinds and turn on lights (so that the Fire Brigade can see into your room) and make yourself known by waving your arms and shouting
2. If the door is not warm, open it cautiously, checking both for smoke and for noxious fumes. If the corridor is clear, proceed to the nearest fire exit. Wear shoes and coat. Carry whatever is available (towels, coats, etc.) to protect your face from flames or smoke.
 3. If you find yourself in a hallway or corridor suddenly enveloped by smoke or fumes, your safest point is close to the floor and against the wall. Cover your nose and mouth and proceed to the exit.

Walk quickly but do not run or stampede and do not create a jam by stopping.

Watch out for other persons in the hallways and on the stairways.

If you are not near your usual place of work, leave through the nearest safe exit and report to your Fire Assembly Point. It is your responsibility to see that your presence is recorded.

Remain at the Fire Assembly Point until you are given further instructions by a member of staff.

Upon discovery of fire or smoke:

Sound the building's fire alarm. This is done by activating the nearest break glass point. If no fire alarm is fitted to the building then shout 'Fire' and ensure that all occupants in all rooms/parts of the building are aware of this verbal alarm.

Evacuate students and staff via the pre determined emergency escape routes.

Close but do not lock all teaching rooms and office doors when leaving the premises.

Lecturers are responsible for accounting for all students. Lecturers should take the class register (or equivalent) with them when evacuating.

Call the Fire Brigade (Ext 6666).

Building re-entry will be authorised only by the Fire Safety Officer, the Fire Coordinator/Warden in charge or the Fire Brigade when it has been determined that no emergency exists or the fire has been safely extinguished.

Evacuation:

Upon activation all persons shall evacuate in accordance with this Fire Safety Plan.

The Lecturer should stay in the classroom to perform the functions listed for as long as it is safe for them to do so:

LONDON SOUTH BANK UNIVERSITY

Evacuation of Disabled:

Upon activation of the fire alarm system, disabled persons are to be moved outside the classroom using the 'buddy' system (if appropriate) and either led to external safety or taken to the pre determined refuge point as appropriate.

Relocation of Students:

Should the fire or other emergency cause the building to be uninhabitable, students and staff are to remain assembled at the Fire Assembly Point until the relocation centres are activated.

NOTE: Depending on the number of students and staff, the relocation centres may not be able to accommodate everyone. A determination should be made beforehand as to who goes where if multiple sites are needed (e.g. unaffected buildings within the overall campus site etc).

The IRT/EMT will assume responsibility for any media enquiries.

Staff Responsibilities:

Lecturers:

- Reiterate the evacuation plan at beginning of each term with students
- Do not attempt to fight any fire unless specifically trained and confident to do so
- Signal the students to evacuate upon hearing the fire alarm or seeing smoke or fire
- Bring class register with you for student roll call
- Close but do not lock the doors to classrooms when evacuating
- Ensure that all students are evacuating (you may need to check toilets and other contiguous rooms)
- Assemble at the designated fire assembly point outside the building
- Account for all students and visitors (if possible)
- Report any missing person(s) to the Fire Coordinator who is coordinating the evacuation
- Summon First Aid assistance if required
- Ensure notification of fire to Fire Brigade (if deemed appropriate)
- Advise the following of the situation (as time permits)
 1. Security (Ext 6666)
 2. Fire Safety Officer (Ext 6220)
 3. Estates & Facilities Helpdesk (Ext 6800)

Other personnel (e.g. contractors/visitors etc)

- Evacuate building using the nearest fire exit
- Assemble at designated fire assembly point outside the building

Fire Safety Officer/Fire Wardens/Coordinators:

LONDON SOUTH BANK UNIVERSITY

- Assist in the clearing of buildings and the general evacuation
- Determine location of incident (from fire alarm panel)
- Meet and assist the Fire and Rescue Service and supporting emergency services as appropriate
- Support liaison with Fire Brigade
- Provide access to all areas for fire fighters, e.g. opening of powered gates etc

NB. Attention is drawn to;

Appendix 1. Fire Evacuation – Notice to all members of staff and students (page 48)

Appendix 2. Smoking on Premises - Notice to all members of staff and students (page 50)

SECTION 10

FIRE SAFETY PLAN – ALL ACADEMIC AND ADMINISTRATIVE AREAS

INTRODUCTION

This plan is intended to enable a safe evacuation of all Academic and Administrative buildings in the event of a fire or other emergency. It is in three parts:

- Part 1 - The alarm systems and responses to them;
- Part 2 – Managing the plan in minimising the likelihood in incurring contraventions and ensuring it can run smoothly
- Part 3 - Providing building occupants (both staff and students) with information, instruction and training.

PART 1

ALARM SYSTEMS

All non residential buildings have independent fire alarm systems which are connected to the Security Control Room in Borough Road.

All systems incorporate audible fire alarms (sounders) as a means of warning occupants to evacuate which are activated either from break glass call points by any person who discovers a fire or by the automatic smoke/heat detectors.

Accounting for occupants

It is virtually impossible to know whether a particular individual will be in a particular place at any one time due to the nature of the university time table and activities. It is also accepted that students have freedom of choice to some choose to stay away from lectures or frequent alternative rooms/buildings etc which compounds the issue of gaining an accurate roll call. It is therefore determined that all occupants who are within a building when the fire alarm operates will evacuate immediately and proceed to the Fire Assembly Point.

Personnel with responsibilities during evacuations

During an evacuation the Fire Wardens coordinate the evacuation then gather information about the reason leading to it. They must also ensure that the building is fully evacuated and remains in that state for the duration of the alarm.

It is impractical to give this responsibility to any one individual since they may not be present at the time of the evacuation so it is for this reason that they are to be given to groups of people within teach building; any of whom would assume responsibility as appropriate.

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If the cause of the alarm cannot be ascertained quickly or if there is a known fire situation, the co-coordinator will telephone the Security Control Room (Ext 2222) and request the immediate attendance of the Fire Brigade.

Other staff and students

Staff with no specific role in an evacuation can still play a part in ensuring a smooth exit from the building. On hearing the alarm staff and others in charge of students should immediately instruct them to leave the residence by the quickest and safest possible route.

All other people in the residence should make for the nearest exit immediately on hearing the alarm without questioning it or stopping to collect belongings. If they have any information regarding the fire they should inform the Fire Coordinator at the Fire Assembly Point.

PART 2

MANAGING THE FIRE PLAN

Safety Inspections and individual responsibility:

One of the functions of fire safety inspections is to ensure that fire escape routes are kept clear of anything which may block them or be a source of combustion.

While the inspections can highlight persistent problems, 'one off' situations may not necessarily be picked up. Individual staff members and students should be aware not to block gangways or leave combustibles in them nor prop open fire doors.

Use of corridors and stairwells

Corridors and stairwells which form part of the means of escape should be kept sterile i.e. contain neither combustibles nor obstructions. They should not be used to store items in transit, furniture, rubbish bags, boxes and linen etc.

Furniture intended for use in corridors and stairwells (only if approved by the Fire Safety Officer) must be of an approved type. This includes chairs, tables, notice boards and wall hangings.

Alarm system testing and test evacuations

The alarm system in each residence should be checked weekly by operating it from a different call point each week. This operation is usually carried out by the Maintenance Technicians who must ensure that the alarm can be heard from all parts of the building.

Fire Drills should be carried out at a minimum of once a term with or without warning.

LONDON SOUTH BANK UNIVERSITY

Updating the fire records

E&F Management are responsible for ensuring the fire records are kept up to date. They should be informed of any new installations involving hazards that the emergency services should be warned of.

PART 3

PROVIDING OCCUPANTS (BOTH STAFF AND STUDENTS) WITH INFORMATION, INSTRUCTION AND TRAINING

Fire Safety Arrangements and Procedures

The content of this Fire Safety Arrangements and Procedures document is to be used as the source for all information, instruction and training for both staff and students. Furthermore the guidance given within these arrangements and procedures is to be unequivocally adopted across the entire university.

Fire Notices

Fire Action Notices should be liberally located throughout all buildings, particularly on escape routes and by final exits and must be read and fully understood by all Staff and Students.

FIRE SAFETY PLAN - DIRECTIONS FOR BUILDING OCCUPANTS

These directions should be observed for your own safety and protection in the event of a fire or fire drill. Be certain that you know what to do if such an occasion arises

The evacuation routes within your building should always be used during fire drills and if possible, in the event of an actual emergency

If your normal evacuation route is not passable due to the effects of fire or the emergency situation, use the next nearest Fire Exit available.

When the fire alarm sounds

Leave the area immediately, no matter what you are doing. Leave your valuables, books, etc., in the room. If you don't, it may be too late for you to get out of the building.

Check room doors leading onto a corridor before opening them

1. Feel the door and observe cracks around the door. If the door is warm or there are signs of smoke behind it, **DO NOT OPEN THE DOOR**
 - Under these conditions, stuff the cracks around the door and open your window

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- If your window is too high for a safe exit (ground floor only), stay by the slightly opened window and wait. Open curtains or blinds and turn on lights (so that the Fire Brigade can see into your room) and make yourself known by waving your arms and shouting for attention.
2. If the door is not warm, open it cautiously, checking both for smoke and for noxious fumes. If the corridor is clear proceed to the nearest fire exit. If there are obvious signs or reasons to suspect the presence of fire, carry whatever is available (towels, coats, etc.) to protect your face from flames or smoke.
 3. If you find yourself in a hallway or corridor suddenly enveloped by smoke or fumes, your safest point is close to the floor and against the wall. Cover your nose and mouth and proceed to the exit.

Walk quickly but do not run or stampede and do not create a jam by stopping.

Watch out for other persons in the hallways and on the stairways.

If you are not near your usual place of work, leave through the nearest safe exit and report to your Fire Assembly Point. It is your responsibility to see that your presence is recorded.

Remain at the Fire Assembly Point until you are given further instructions by a member of staff.

Upon discovery of fire or smoke:

Sound the building's fire alarm. This is done by activating the nearest break glass point. If no fire alarm is fitted to the building then shout 'Fire' and ensure that all occupants in all rooms/parts of the building are aware of this verbal alarm.

Evacuate students and staff via the pre determined emergency escape routes.

Close but do not lock all teaching rooms and office doors when leaving the premises.

Lecturers are responsible for accounting for all students. Lecturers should take the class register (or equivalent) with them when evacuating.

Call the Fire Brigade (Ext 6666).

Building re-entry will be authorised only by the Fire Safety Officer, the Fire Coordinator/Warden in charge or the Fire Brigade when it has been determined that no emergency exists or the fire has been safely extinguished.

Evacuation:

Upon activation all persons shall evacuate in accordance with this Fire Safety Plan.

The Lecturer should stay in the classroom to perform the functions listed for as long as it is safe for them to do so:

LONDON SOUTH BANK UNIVERSITY

Evacuation of Disabled:

Upon activation of the fire alarm system, disabled persons are to be moved outside the classroom using the 'buddy' system (if appropriate) and either led to external safety or taken to the pre determined refuge point as appropriate.

Relocation of Students:

Should the fire or other emergency cause the building to be uninhabitable, students and staff are to remain assembled at the Fire Assembly Point until the relocation centres as described in *the disaster recovery plan* are activated.

NOTE: Depending on the number of students and staff, the relocation centres may not be able to accommodate everyone. A determination should be made beforehand as to who goes where if multiple sites are needed (e.g. unaffected buildings within the overall campus site etc).

The IRT/EMT will assume responsibility for any media enquiries.

Staff Responsibilities:

Lecturers:

- Reiterate the evacuation plan at beginning of each term with students
- Do not attempt to fight any fire unless specifically trained and confident to do so
- Signal the students to evacuate upon hearing the fire alarm or seeing smoke or fire
- Bring class register with you for student roll call
- Close but do not lock the doors to classrooms when evacuating
- Ensure that all students are evacuating (you may need to check toilets and other contiguous rooms)
- Assemble at the designated fire assembly point outside the building
- Account for all students and visitors (if possible)
- Report any missing person(s) to the Fire Coordinator who is coordinating the evacuation
- Summon First Aid assistance if required
- Ensure notification of fire to Fire Brigade (if deemed appropriate)
- Advise the following of the situation (as time permits)
 1. Security (Ext 6666)
 2. Fire Safety Officer (Ext 6220)
 3. Estates & Facilities Helpdesk (Ext 6800)

Other personnel (e.g. contractors/visitors etc)

- Evacuate building using the nearest fire exit
- Assemble at designated fire assembly point outside the building

Fire Safety Officer/Fire Wardens/Coordinators:

LONDON SOUTH BANK UNIVERSITY

- Assist in the clearing of buildings and the general evacuation
- Determine location of incident (from fire alarm panel)
- Meet and assist the Fire and Rescue Service and supporting emergency services as appropriate
- Support liaison with Fire Brigade
- Provide access to all areas for fire fighters, e.g. opening of powered gates etc

NB. Attention is drawn to;

Appendix 1. Fire Evacuation – Notice to all members of staff and students (page 48)

Appendix 2. Smoking on Premises - Notice to all members of staff and students (page 50)

SECTION 11

FURTHER ADVICE AND INFORMATION

Further advice and information may be obtained from the following sources;

- The Head of Health & Safety Services moyanae@lsbu.ac.uk or ext 6213
- The Fire Safety Officer adrian.white@lsbu.ac.uk or ext 6220
- The Regulatory Reform (Fire Safety) Order 2005 available from Health & Safety Services Fire Safety Manager or via the link www.opsi.gov.uk/acts.htm
- The HM Government Fire Safety Guides available from the Trust Fire Safety Manager or via the link www.firesafetyguides.communities.gov.uk

Fire Evacuation - Notice to all members of staff and students.

London South Bank University (LSBU) is committed to ensuring the health, safety and welfare of staff, students, visitors and any other persons who may frequent their buildings.

Part of this commitment is ensuring that all persons who frequent the buildings are provided with suitable means of emergency escape. To this end fire alarms and automatic fire detection systems have been installed within all of our buildings in the provision of an early warning to allow escape from the buildings following the outbreak of fire. Instruction in the action to be taken following outbreak of fire is given within the Fire Action Notices that are displayed within all LSBU buildings.

You are therefore reminded of the following instructions;

If you discover a fire:

Stop what you are doing and leave the room immediately closing the door behind you if safe to do so.

Operate the nearest fire alarm.

On hearing the fire alarm:

Stop what you are doing immediately.

Leave the building through your nearest safe fire exit.

Go straight to the designated fire assembly point.

Remember;

DO NOT stop to collect personal belongings.

DO NOT use the lift.

DO NOT re-enter the building until authorised to do so.

If you are the holder of a Personal Emergency Evacuation Plan (PEEP) follow the instructions contained within your PEEP. If you can evacuate unaided or if assistance (if needed) is readily available you must leave the building as detailed above. If you require assistance in making your escape, go to the nearest designated Fire Refuge Point and summon assistance using the Emergency Voice Communication System (Green Box).

In ensuring multi floored buildings are completely evacuated in the shortest possible time, evacuees must use the nearest safe staircase relevant to their location at the time of operation of the fire alarm.

In maintaining our commitment to the safety of all persons the following directions must be noted;

1. On hearing a fire alarm all persons are required to exit the building within the quickest possible time but in any event within a maximum period of **5 minutes**. **Failure to leave any building will be considered as being a serious breach of Health & Safety requirements.**

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NB. A PEEP holder with a physical impairment is generally exempt from being required to evacuate the building within 5 minutes. However if a holder **requires assistance** in making their escape, they are required to make immediate headway from their location within the building to the nearest Refuge Point in the quickest possible time; in line with their PEEP requirements.

2. Any person who fails to leave the building within the 5 minute evacuation period will be identified and subsequently issued with a formal letter from HSS outlining their failure and will take the form of a **written warning**. It will further advise that any subsequent similar breach will be the subject of an investigation and depending upon the outcome, could lead to possible disciplinary action.
3. Any person who fails to leave the building within the 5 minute period will be identified **and** if having previously received a 'written warning', the following action will be taken;

All staff;	* The matter will be referred to the University's Disciplinary Procedure for Investigation. Depending upon the outcome of any investigation, the matter may be considered as a serious breach of Health & Safety requirements and as such could be treated as gross misconduct.
Students (residential);	Immediate suspension followed by a 'notice to quit' or permanent exclusion as appropriate
Students (day);	Immediate suspension followed by permanent exclusion
Visitors and Contractors	**

* The purpose of referring the matter to the Disciplinary Procedures is that the University has a statutory obligation to, so far as is reasonably practicable, ensure the health, safety and welfare of all persons within its charge. If a person has failed on two previous occasions to evacuate within the prescribed 5 minute time period then LSBU is duty bound to take appropriate steps to ensure their safety in the prevention of further occurrences.

** Neither visitors nor contractors are subjected to the LSBU disciplinary procedures. As such and following any failure to evacuate any building within the prescribed 5 minute time period the person(s) will (subject to acceptable reasoning) be asked to leave the site with immediate effect under permanent exclusion.

Smoking on Premises - Notice to all members of staff and students.

London South Bank University (LSBU) is committed to ensuring the health, safety and welfare of staff, students, visitors and any other persons who may frequent their buildings.

Part of this commitment is ensuring that all persons who frequent the buildings abide to the Policy decisions that have been made to fulfil a safe and pleasant working environment for all persons who are engaged in, or are affected by University business.

Reducing the risk of fire is integral to the above and adherence to the requirements of the University Smoking Policy will reduce the risks concerned.

You are therefore reminded of the following instructions;

All University premises are designated smoke-free with adequate signage to inform staff, students, contractors and visitors of the smoke-free status of the building. Smoking is also not permitted:

- **in the Technopark garden**
- **within 3 metre perimeter boundary of any University building where smoke and noise could enter**
- **in the Havering Campus garden**
- **On Tower Block roof**
- **in any other garden, courtyard or thoroughfare on University-controlled land**
- **in student residential accommodation operated by the University**
- **in any work area**
- **within any University vehicles**

The Students' Union is an autonomous entity and operates its own policies

4. **Failure to abide to the requirements of the Smoking Policy will be considered as being a serious breach of Health & Safety requirements.**
5. Any person who is found to be smoking within any of the smoke-free areas will be identified and subsequently issued with a formal letter from HSS outlining their failure. This will take the form of a **written warning**. It will further advise that any subsequent similar breach will be the subject of an investigation and depending upon the outcome, could lead to possible disciplinary action.
6. Any person who is found to be smoking within any of the smoke-free areas will be identified **and** if having previously received a 'written warning', the following action will be taken;

LONDON SOUTH BANK UNIVERSITY

All staff;	* The matter will be referred to the University's Disciplinary Procedure for Investigation. Depending upon the outcome of any investigation, the matter may be considered as a serious breach of Health & Safety requirements and as such could be treated as gross misconduct.
Students (residential);	Immediate suspension followed by a 'notice to quit' or permanent exclusion as appropriate
Students (day);	Immediate suspension followed by permanent exclusion
Visitors and Contractors	**

* The purpose of referring the matter to the Disciplinary Procedures is that the University has a statutory obligation, so far as is reasonably practicable, to ensure the health, safety and welfare of all persons within its charge. If a person is found to be smoking within a smoke-free area then LSBU is duty bound to take appropriate steps to ensure their safety in the prevention of further occurrences.

** Neither visitors nor contractors are subjected to the LSBU disciplinary procedures. As such and following any failure to abide by the requirements of the Smoking Policy will (subject to acceptable reasoning) be asked to leave the site with immediate effect under permanent exclusion.

Confirmation of receipt and understanding of Appendices 1 and 2 of the Fire Safety University Policy Statement & Procedures

Please retain one copy of Appendices 1 and 2 of this document for your own reference then sign and return a copy of Appendix 3 (Confirmation of receipt and understanding of Appendices 1 and 2 of the Fire Safety University Procedures) to your Directorate/ Head of Central Support Services/Faculty.

I (print name)..... have read and understood Appendix 1 (Fire Evacuation Notice to all members of staff and students) and Appendix 2 (Smoking on Premises - Notice to all members of staff and students) of the Fire Safety University Policy Statement & Procedures documents and agree to abide to the instructions contained therein. I also understand that failure to comply with the instructions may result in disciplinary action being taken against me.

Signature of recipient.....

Date.....

Table1 : Implementation table sign-posting roles and responsibilities of various staff for ease of reference.

Legend of abbreviations

EXDs	Executive Deans	DSS	Directors/Heads of Services
FSO	Fire Safety Officer	FWs	Fire Wardens
HSS	Health & Safety Services	NMS	Norland Managed Services
RMs	Residence Managers	SCE	Security
STA	Staff	STU	Students

Responsibility	Staff Roles																	
	FSO	NMS	FWs	DSS	EXDs	HSS	RMs	SEC	Sta	Stu								
General responsibilities (pages 21&22)				✓	✓													
Fire Risk Assessments (pages 3 & 16)	✓																	
Fire Alarm systems (pages 4&14)		✓																
Emergency Lighting Systems Monthly/6 monthly Inspection (page 15)		✓																
Emergency Lighting Weekly Visual Inspection (pages 4&14)			✓															
3 Yearly Fire Safety Checklist (Corporate fire risk assessment) Page 17	✓		✓															
Fire Fighting Equipment Annual Inspection (pages 5&16)		✓																

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Responsibility	Staff Roles														
	FSO	NMS	FWS	DSS	EXD	HSS	RMS	SEC	Sta	Stu					
Fire Fighting Equipment Weekly Inspection (page5)			✓												
Fire Fighting Equipment Weekly Inspection (page5)			✓												
Fire Door Weekly Inspection (page 6)			✓												
Escape Routes Weekly Inspection (page 7)			✓*												
Special Measures (pages15)			✓												
Fire Notices and Signage Weekly Inspection (pages 7&15)			✓												
Repairs and Maintenance (page 8)		✓													
Corporate Fire Safety Training (page 8)	✓														
Fire Safety Induction (page 8)				✓	✓		✓								
Fire Evacuation Drills (page 10)						✓	✓								
PEEPS (page48)				✓	✓										
Fire Records (pages 12&16)		✓				✓	✓								
Fire Safety Strategy	✓														
Planning and Response to fire emergency situation pages 23 & 24	✓														

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Responsibility	Staff Roles													
	FSO	NMS	FWS	DSS	EXDs	HSS	RMS	SEC	Sta	Stu				
Planning and Response to fire emergency situation (page 24)			✓											
Planning and Response to fire emergency situation (page 24)			✓											
Daily Fire Safety Checklist Inspection (page 13)								✓						
Weekly Fire Safety Checklist Inspection			✓											
Electrical Equipment Safety Weekly Residence Visual Inspection (page 17)			✓				✓							
Adherence to requirement to evacuate any building (page 30)	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓				
Adherence to No Smoking Policy (page 50)	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓				

✱ It should be noted that the general safety of all escape routes is the responsibility of every person

Version 1.2

Business Continuity Management (BCM)
- Framework Document -

Contents:

Heading	Page(s)
Executive Summary	1
Definition	2
Standards	2
Scope	2
Emergency Incident Management	2
BCM Framework Overview and Responsibilities	3
Overview of the BCM Programme Delivery	3
Risk Management	4

Annex:	
A	Incident Response and Emergency Management Plan model

1. Executive Summary:

It is fundamental that the University has the ability to safeguard the delivery of all of its Products and Services and the associated critical business support functions by means of effective Business Continuity Management (BCM) and response measures for use in the event of an emergency or disruption and to fully recover such services to normality as soon as reasonably practicable.

The successful application of BCM increases an organisation's resilience, which in turn can contribute to higher corporate performance. Resilience is widely defined as the ability of an organisation to absorb, respond and recover from disruptions. In terms of Business Continuity, the seven main areas of vulnerabilities that an effective BCM Programme can build resilience for are; Reputation, Supply Chain, Information and communication, Sites and Facilities, Finance and Customers.

It must be stressed that BCM is not about "everything at once". Instead, best practice suggests it should be used as an iterative process allowing for an initial implementation within a defined and limited scope before expanding over time to cover all the University business products and services.

To this end, LSBU will establish and maintain a Business Continuity Steering Group (BCSG), responsible for the management oversight of the BCM Programme and identification of which University Products and Services are to be included within its scope.

The document sets out the Framework for BCM at LSBU and provides an overview of the management programme for its delivery.

2. Definition:

The Business Continuity Institute defines **Business Continuity Management** as:

“..an holistic process that identifies potential threats to an organisation and the impacts to business operations that those threats, if realized, might cause. It provides a framework for building organizational resilience with the capability for an effective response that safeguards the interests of key stakeholders, reputation, brand and value-creating activities.”

Business Continuity Institute (BCI) Good Practice Guidelines 2010

3. Standards:

To achieve a professional and auditable level of best practice, the design and implementation of the Policy and Programme Management for Business Continuity at LSBU will be in line with the principles set out by the Business Continuity Institute Good Practice Guidelines 2010 (BCI GPG 2010).

4. Scope:

The BCM Framework covers staff working at all levels at London South Bank University and in particular, those staff with lead management responsibility for either Academic or Support Service functions involved in the delivery of the University Products and Services or the associated functions and activities that support them.

Where applicable, this Framework document applies equally to those responsible for any University functions that have been contracted out to third party external suppliers.

Product and Services are the core business functions of the University and any output that these functions generate; for example Academic Programmes are defined as products and the provision and maintenance of the learning environment both physical and technical are defined as services.

The implementation of the BCM Programme will be a cyclical process that reflects the current needs of the University. It will allow for an initial implementation within a defined and limited scope before expanding over time to cover all of the University's products and services.

The identification of products and services that are to be included as 'within scope' and subjected to work focus by the BCM Programme will be reviewed and agreed at the bi-annual meeting of the Business Continuity Steering Group (BCSG).

5. Emergency Management:

The BCSG will be responsible for the review and approval of the 'Emergency Incident Response and Emergency Management Procedure' Framework document. This document provides a strategic and tactical framework for the individual and team response activities of the University Incident Response Team (IRT) and the Emergency Management Team (EMT). A diagrammatic overview of the Emergency Incident Response and Emergency Management Procedure' is contained at Annex A.

6. BCM Framework Overview and Responsibilities:

London South Bank University will establish and maintain a **Business Continuity Steering Group (BCSG)** responsible for the management oversight of the BCM Programme and identification of which University Products and Services are to be included within its scope.

Faculty, Departmental and where appropriate, Service Area Heads responsible for the management and delivery of Products or Services (defined as within scope of the BCM Programme), or the operation of the functions and activities that support such Products or Services are required to ensure that adequate steps have been undertaken and local resources (including budgetary), allocated to safeguard the delivery of such functions by means of effective Business Continuity Planning. All steps taken and associated response plans are to be recorded in locally owned operational Business Continuity Plans (BCPs) and linked, if appropriate, to corporate strategic level BCP's and / or the University Emergency Management Framework Plan.

The BCSG holds responsibility for the sign off and acceptance into service of any corporate strategic level BCP's and the University Emergency Management Framework Plan.

All sub-contractors and suppliers identified as having involvement in the delivery of University Products or Services within the scope of the BCM Programme are to be required to provide evidence to the University Procurement Department that they have effective Business Continuity Plans (BCP's) to safeguard the continuation of their contracted service in the event of any disruption. Where additional standards for BCM are set by the BCSG for a particular product or service, those standards are to be viewed as the minimum requirements to be met under by the sub-contractor or supplier.

7. Overview of the BCM Programme Delivery:

Within the Management Lifecycle of the BCI GPG 2010 approach (illustrated at Fig 1), there are six constituent Professional Practices (PP's). These six PP's are sub-divided into two Management Practices and four Technical Practices; in brief these are described as:



Fig 1 - The BCM Programme Lifecycle

Management Practices:

- Policy and Programme Management:
 - Develop the BCM Policy
 - Align the BCM Policy with the Organisation's Strategy, Objectives and Culture
 - Decide upon the Scope of the BCM Programme
- Embedding BCM in the Organisation's Culture:
 - Assess level of BCM Awareness and Training
 - Develop and deliver Training, Education and Awareness Activities
 - Monitor and Assess Cultural Change

Technical Practices:

- Understanding the Organisation:
 - Undertake a 'Business Impact Analysis' (BIA) of a disruption caused to the products or services identified as 'in scope' of the BCM Programme.
 - Complete a 'Continuity Requirements Analysis (CRA), to estimate the resources, facilities and external services that each activity will require for resumption and return to normal operation.
 - Evaluate through Risk Assessment, the Likelihood and Impact of identified threats.
- Determining BCM Strategy:
 - Identify options and select strategy for meeting the 'in scope' product or service resumption within defined 'Maximum Tolerable Time of Disruption' (MTPD), and if applicable, the defined 'Maximum Tolerable Data Loss' (MTDL)
 - Set Recovery Time Objectives (RTO) and if applicable in relation to electronic data, the 'Recovery Point Objectives' (RPO).
- Developing and Implementing a BCM Response:
 - Development of a Management Team framework for the Organisations Generic Emergency Response and Incident Management Plans
 - Production of the specific Tactical and Operational plans required for the chosen strategies needed for the resumption of the 'in scope' product or service
- Exercising, Maintaining and Reviewing:
 - Verification of information contained in BCM response plans is current, accurate, complete, exercised and understood by all stakeholders.
 - Audit of the BCM Management Programme

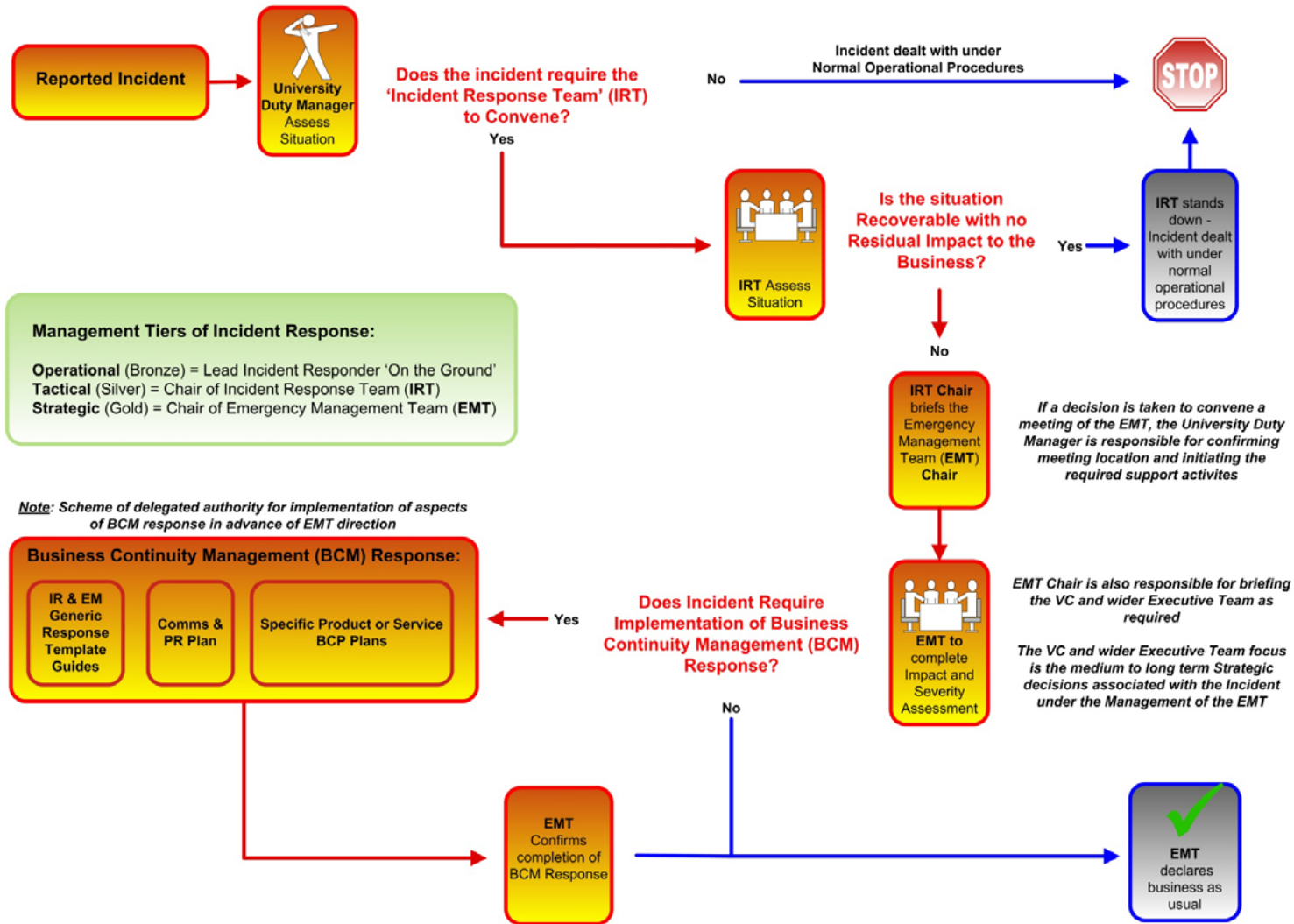
8. Risk Management:

Risks associated with products or services identified through the BCM Business Impact Analysis and Continuity Planning process will continue to be owned by the appropriate business area and are to be recorded at a local level on Operational Risk Registers and as appropriate escalated and recorded on 4Risk.

The Head of Business Continuity is responsible for providing guidance and templates for local management use in relation to any risks identified at a local level within business areas for issues not associated with 'in-scope' product or services that require local Business Continuity Planning. The ownership, completion and maintenance of such local plans remain the responsibility of individual business areas.

Annex A

Incident Response & Emergency Management Plan Model for London South Bank University



Driving at Work Policy	
Originating Department:	Estates and Facilities
Job Title of Document Owner: Please enter one job title. The document owner is the person responsible for creating and editing the document.	Head of Health and Safety
Mandatory Target Audience: Select 'types' of staff for whom knowledge of the contents of the document is obligatory for efficient working practices or specify own value. Click the red dash to choose.	<p style="text-align: center;">Staff - Students - Visitors - UniWide -</p> <p style="text-align: center;">Managers - Course Directors - Tutors - SMG -</p> <p style="text-align: center;">Trade Unions -</p> <p>Mandatory target audience are staff and their line management with driving duties and those who use their own private motor vehicles on University business</p>
Also of Relevance to: Select other types of staff who would find the information useful (at times, perhaps) or specify own value. Click the red dash to choose.	<p style="text-align: center;">Staff - Students - Visitors - UniWide Yes</p> <p style="text-align: center;">Managers - Course Directors - Tutors - SMG -</p> <p style="text-align: center;">Trade Unions -</p> <p>Specify own value here</p>
Approving Committee/ Body: Just type in the name of the top level committee involved in approving this document.	Health and Safety Joint Committee and the Executive
Version No:	1.4
Date Last Approved:	15/05/2012
Date next due for Approval:	01/08/2015 N.B. Documents will have a lifespan determined by their approving committees but if not defined then <u>1 Year</u> .
Document Type:	Policy
Document Category:	Health and Safety
Can this document be viewed publicly or should viewing be restricted to just within LSBU?	LSBU internal viewing only
If viewing restricted to within LSBU – what is the rationale for doing so?	Risk is local to LSBU
Select either a Framework Sub-group or Not Applicable	Not Applicable
Brief Summary of Purpose Just to give a 'flavour' of the document and highlight any particular areas which might not be identifiable from the title.	<p>NOTE: Please keep to the 255 character limit. Any more than 255 characters will be removed from the end of the text.</p> <p>To bring to the attention of staff with driving duties and those who from time to time use their private motor vehicles on university business and their line managers.</p>

Executive Paper Title: Driving at Work Policy

Date: 15th May 2012

Author: Elijah Moyanah

Executive member responsible: Martin Earwicker

Purpose of the Paper: To bring to the attention of the Executive the draft policy on Driving at Work.

**Outcome of Paper: Decision
Decision**

Paper Recommendation: That the Executive approves the policy document.

Paper Equality Impact Assessment – There are no obvious issues of Equality. However, any such issues should be brought to the attention of Head of Health and Safety.

Paper Communication – Decision to be communicated to Head of Health and Safety.

Paper Background:

1. The University has a legal and moral duty to ensure the health, safety and welfare of staff with motor vehicle driving duties or use their own private vehicles to carry out University business.
2. The policy document defines the roles and responsibilities for:
 - executive deans and directors of central services departments;
 - managers of staff with motor vehicle driving duties;
 - staff with motor vehicle driving duties;
 - managers of staff who use their own private motor vehicles; and
 - members of staff who use their own private vehicles to carry out University business.
3. Approval and implementation of this policy would assist the University to comply with its legal obligations and internal standards.

1.0 Introduction:

The University has a legal and moral duty to manage its motor vehicle driving and other related activities in such a way as to ensure the health, safety and welfare of staff as well as others who may be affected by those activities.

The policy should be read in conjunction with the overall University Health and Safety Policy document which covers general as well as specific duties related to University activities.

2.0 Policy and Guidance

The overall aim of this document is to ensure that:

- those who drive University vehicles or use their own vehicles to undertake University business, do so in a safe manner and in compliance with current health and safety legislation, UK motoring laws and University standards.
- staff undertaking driving as a substantial part of their work activities are protected from health risks through the use of statutory health surveillance and Health and Safety Executive (HSE) recommended medical checks for certain vehicles such as fork lift trucks.
- the University complies with its legal obligations and internal standards.

2.1 Executive Deans and Directors of Central Services:

The Executive Deans/Directors of Central Services have overall responsibility for the health and safety of all members of staff within their areas. This responsibility extends to those staff who drive motor vehicles as part of their activities or undertake University business using their own private vehicles.

The above responsibility can be delegated to other managers through their job description or letters of delegation.

Part 1: Duties and Responsibilities for managers and staff with motor vehicle driving duties.

2.2 Managers of staff with motor vehicle driving duties

Managers of staff with motor vehicle driving duties must ensure that:

- Business related journeys made by members of their staff have an appropriate risk assessment
- Designated drivers are competent to use the class of vehicle they are asked to drive.
- Designated drivers hold a valid licence with no restrictions or endorsements that might affect health and safety.
- Vehicles under their control are safe and road worthy with valid MOT certificates and have sufficient insurance cover.

- A programme of maintenance, inspection and service is scheduled for all vehicles under their control and that outcomes are implemented and recorded.
- Designated drivers undertake induction training and understand the operating requirements for each vehicle, and, where necessary, request help for the operation of the vehicle.
- Medical conditions that can affect the health and safety of the designated driver and others who may be affected by their driving activities are registered.
- Staff are made aware of all driving requirements mandated by the University include statutory health surveillance (where risk assessments dictate this) and HSE/DLVA recommended medical checks for driving certain vehicles such as forklift trucks.
- Where staff are unwilling to accept University mandated requirements they cannot be a designated driver. If this is a requirement of the role the staff member may be in breach of their contract.

2.3 Staff with motor vehicle driving duties.

Members of staff who are University designated drivers and drive motor vehicles as part of their duties must:

- Declare any health conditions (physical and/or mental) which may be an issue during their driving activities.
- Carry out a vehicle check prior to making a journey (as prescribed for each vehicle).
- Check the validity of MOT certificates, service schedules and, insurance documents periodically and report any defects or document expiry details to their line manager.
- Not drive whilst under the influence of alcohol, medication or any substance that might affect their ability to operate machinery.
- Be aware of all driving requirements mandated by the University include statutory health surveillance (where risk assessments dictate this) and HSE/DLVA recommended medical checks for driving certain vehicles such as forklift trucks.
- Comply with all road traffic statutes and highway codes whilst driving University vehicles
- Ensure that seat belts and other safety devices provided in any vehicle under their control are properly used whilst driving and that passengers are instructed to do so.
- Not smoke or permit passengers to smoke in any University vehicle under their control.
- Report any accident or near misses to their manager and ensure that they complete an accident/incident report .The line manager in turn must report the traffic accident/incident to Health and Safety Services
- Take a break (at least 15 minutes) after 2 hours of continuous driving and must not continue driving if they feel tired or unwell.

- Ensure that they are fully aware of the height of their vehicle and any other dimensional restrictions and must plan their routes accordingly in order to avoid collision with low bridges and road width restrictions.
- Ensure that they are aware of action to take in event of a breakdown of their vehicle.
- Assess the implication of bad weather conditions and ensure that they do not take the unnecessary risk of driving during severe weather conditions.
- Report all traffic offences to their manager (including fines incurred in the course of carrying out University business).
- Be aware that where driver is at fault, this could lead to a disciplinary procedure being evoked.

2.4 University vehicle maintenance duties

All University motor vehicles must be maintained to the standards required by the manufacturers. Additionally staff who drive University vehicles must carry out safety checks on their vehicles on a regular (weekly) basis.

Such checks will include but not be limited to:

- Oil and water levels and ensure they are topped up correctly.
- Operation of all interior and exterior lights to ensure they comply with any legal requirements.
- Front and rear wiper blades for wear or splitting and top up windscreen washer bottles.
- Inspect battery electrolyte level topping up with distilled water.
- All tyres for wear and legal tread depth and tyre pressure.
- Jack and wheel brace are available and in good repair.
- The logbook in the vehicle makes it clear that any problems encountered by a driver must be notified to Estates and Facilities Directorate without undue delay.

2.5 Use of mobile phones

The University prohibits the use of mobile phones or Personal Digital Assistants (PDAs) while driving a University motor vehicle or a private motor vehicle while undertaking University business. Where an urgent need arises, safely stop the vehicle first, switch off the engine and then use the phone/PDA.

Part 2: Drivers of private motor vehicles

2.6 Managers of staff who use their own private motor vehicles:

Managers of those staff who use their own motor vehicles to undertake University business need to:

- Give permission to that member of staff to use his/her own vehicle to carry out University activities based on added value i.e. cost, time saved, convenience etc.
- Ensure permission is not open-ended but is for a specific journey/task/period.
- Ensure that all accidents and incidents reported to them are investigated and addressed promptly.

2.7 Members of staff who use their own private vehicles to carry out University business:

Members of staff who use their own private motor vehicles to carry out University business activities must:

- Obtain permission from their line manager to use their own private vehicle to carry out University duties. Using the [Car User Application Form \(PDF 89KB\)](#) as prescribed in the Financial Regulations.
- Not drive whilst under the influence of alcohol, medication or any substance that might affect their ability to drive.
- Comply with all road traffic statutes and highway codes.
- Report any accident or near misses to their manager and ensure that they complete an accident/incident report .The line manager in turn must report the traffic accident/incident to Health and Safety Services
- Ensure that they are aware of action to take in event of a breakdown of their vehicle.
- Report all traffic offences to their line manager (including fines incurred in the course of carrying out University business).

Appendix 1: Journey Checklist

Before making a journey consider the following:

1. Is your journey really necessary?
2. If going to a meeting, is video conferencing an option?
3. Is there a safer means of transport available to you – rail, bus?
4. What is the best time for you to travel?
5. What is the best route (quickest but least congested).
6. Make allowances for bad weather, congestion and roadwork etc.
7. Does the vehicle have a first aid kit/fire extinguisher?
8. Who would you contact in case of a breakdown/emergency? Do you have their contact details?
9. Do you have your driver's licence and other essential documents with you?

Appendix 2: Accidents and Emergencies

In the Event of an Accident

- Ensure your own safety and that you do not create danger for others.
- Do not smoke in the case of petrol spillage.
- Warn other road users. Turn your hazard lights on.

Road Traffic Accidents

- If the accident involved personal injury to someone other than yourself, you must report the accident to the Police as soon as possible and certainly within 24 hours. You should be in a position to produce your driver's licence and certificate of insurance for inspection by the injured party at the scene and they may take details of your name and address and the vehicle registration number. If the other driver involved refuses to give particulars you should call the Police. Reporting an accident to the Police by telephone is not sufficient; neither should you get someone else to do it for you.
- If you were unable to show the documents at the scene, you need to produce them at a Police Station within seven days of the incident. Failure to do so may result in a fine.

Witnesses

Note any witnesses and ensure you get their names, addresses, and vehicle registration numbers if applicable, and make a written note of anything they say.

Other Drivers

- Note the name, address and telephone number of any other driver involved.
- Although a driver is only legally obliged to produce insurance documentation when someone has been injured, it will help to obtain details of policy number and insurer's name and address after any accident.

Statements

- Although you are not obliged to say anything at the scene, other than exchange the relevant particulars, it is advisable to give the Police a statement if you were clearly without blame to help establish your innocence.
- It is more sensible to wait until your mind is clearer, and write your statement later.
- Whichever way you choose to make your statement, remember to keep a written copy yourself.

Accident Report

London South Bank University

- Use the Accident/Incident Reporting and Recording Guidance note, section on accident/incident investigation report format – link <http://policy.lsbu.ac.uk/default.aspx>

Version 1.3

London South Bank University

Gifts and hospitality policy

Originating department/s:	University Secretary's office and Corporate Procurement
Enquiries to:	Head of Procurement, University Solicitor or University Secretary
Approving body:	Executive, Policy & Resources, Board of Governors
First approved:	November 2011
Next due for approval:	September 2013
Document Type:	POLICY
Mandatory target audience:	All university staff
Also of relevance to:	Members of staff to whom the Travel, Subsistence & Expenses Policy applies
Brief summary of purpose:	To set out when it is appropriate for LSBU members of staff to offer or accept gifts or hospitality, what is a reasonable level and when prior approval is required.

1. Introduction to the gifts and hospitality policy

- 1.1 As a public body in receipt of public funding, London South Bank University must demonstrate the highest standards and values with respect to our dealings with suppliers, agents and other external parties. It is a recognised aspect of LSBU's business dealings that, on occasion, LSBU staff may offer or accept reasonable gifts or hospitality in order to cement good business relations or promote LSBU.
- 1.2 The Bribery Act 2010 came into force on 1st July 2011. The Bribery Act does not prevent bona fide, reasonable and proportionate business hospitality or promotional gifts.
- 1.3 This policy sets out what gifts or hospitality it is appropriate for staff to offer or accept. In deciding what is appropriate, London South Bank University's values should be kept in mind, which are: quality, professionalism, inclusiveness, transparency and mutual respect.
- 1.4 This policy is not intended to restrict the ordinary course of business of the university. Staff may continue to accept reasonable hospitality, travel and associated accommodation. Examples include: participation in an academic conference, validation and review activities and external examining and moderation.

- 1.5 However, when hospitality or gifts go beyond what is proportionate or reasonable then it is possible that they may be used as bribes and under the Bribery Act 2010, a criminal offence may be committed by the member of staff offering or accepting the gift or hospitality.
- 1.6 Where the gift or hospitality offered ceases to be reasonable then there is a stronger case that the gift or hospitality is intended as a bribe in order to influence the LSBU member of staff's decision-making favourably towards the person making the offer. Examples include (but are not restricted to): hospitality from a current or potential supplier during a tender process; gift vouchers offered to a lecturer prior to an academic assessment; or where the gift or hospitality is out of all proportion to the nature of the business dealing (e.g. staying in a luxury hotel suite, first class travel, fine wine or dining).
- 1.7 Staff are encouraged to use their common sense in deciding what is appropriate. The timing of an offer and the context in which it is made are also relevant factors. Staff should seek advice or authorisation where there is even the slightest concern about whether to offer or accept a gift or hospitality. A general principle is for staff to demonstrate transparency in the actions they take.

2. Tighter rules for procurement matters

- 2.1 It is an overriding principle that LSBU staff involved in any stage of a tender or quote process must not accept any gifts or hospitality from candidate firms (or their connected parties) during a competitive procurement exercise or once the tender planning process has commenced.

3. Gifts

3.1 Accepting gifts

- 3.1.1 Gifts (for you or your immediate family) exceeding a value of £50 should not be accepted, politely refused and returned to the giver. The refusal/return should be entered on the online register (see below).
- 3.1.2 Modest gifts of less than £50 in value may be occasionally accepted. The recipient must enter the gift on the online register, except where the gift is trivial, for example, diaries or pens.
- 3.1.3 If it is considered that refusal would offend, the gift should be immediately passed to the University Secretary's office, which will organise a raffle of donated gifts. The proceeds will go to the university's charitable fund.
- 3.1.4 Refer to appendix 1 for guidance on the acceptance of gifts.

3.2 Offering gifts

- 3.2.1 LSBU staff may offer gifts to their external contacts from the range of LSBU-branded merchandise or a modest, appropriate gift up to a value of £20.

3.2.2 Gifts offered or received by the university in its official corporate capacity (for example, by overseas visitors on official business to LSBU) should be modest and up to a value of £100.

3.2.3 Refer to appendix 2 for guidance on the offering of gifts.

4. Hospitality

4.1 LSBU staff accepting hospitality from external parties

4.1.1 LSBU staff may accept modest hospitality as a courtesy of a business relationship. They should not allow a position to be reached where their acceptance may be deemed to have influenced their decision-making.

4.1.2 Appendix 1 sets out guidance as to when it may be appropriate for LSBU staff to accept hospitality and what approvals are required.

4.2 Offering Hospitality at LSBU's expense to external parties

4.2.1 LSBU recognises that it may be necessary for LSBU staff to occasionally provide appropriate hospitality to business contacts from external organisations (for example, a modest business lunch) as part of cementing good relations.

4.2.2 When entertaining external guests at LSBU, staff should consider using LSBU's internal catering before going outside.

4.2.3 Staff should refer to the LSBU Travel, Subsistence and Expenses policy (section 17) which sets out limits for non-staff entertaining

4.2.4 Appendix 2 sets out guidance as to when it may be appropriate for LSBU staff to offer hospitality and what approvals are required.

5. Approval by holders of a delegated letter of authority

LSBU staff must gain prior approval where referred to in the appendices. Approving managers are reminded of their delegated responsibility for ensuring adherence to the policy. By approving, managers confirm that the policy has been adhered to and that the level of gifts or hospitality accepted or provided is reasonable and necessary for LSBU's business.

6. Online gifts and hospitality register

LSBU staff must complete the online gifts and hospitality register where referred to in this policy. The register may be accessed via the anti-bribery page on the staff gateway.

7. Sources of advice

7.1 In the first instance, staff are encouraged to discuss any queries with their line manager.

7.2 Further advice or guidance then may be sought from:

- Head of Procurement (extension 6368); or
- University Solicitor (extension 6016);

who may refer the matter to the University Secretary, whose decision will be final.

Approved by the Executive on 8th November 2011

Approved by the Policy & Resources Committee on 10th November 2011

Approved by the Board of Governors on 24th November 2011

Appendix 1 – guidance for the acceptance of gifts and hospitality offered to LSBU staff

Gift or hospitality offered to LSBU staff:	Appropriate to accept?	Prior approval required?	Further action necessary?
Modest conventional business hospitality (e.g. a working lunch).	Yes	No	None
More formal lunch or dinner by prior invitation.	Yes, subject to approval.	By the holder of a letter of delegated authority.	Yes, record in online gifts and hospitality register.
Hospitality offered to a team.	Yes, subject to approval.	By the holder of a letter of delegated authority.	Yes, record in online gifts and hospitality register.
Cultural or sporting events as a guest.	Not normally appropriate, but sometimes may be acceptable with prior written approval by a member of the Executive.	Yes, prior written approval only from a member of the Executive.	Yes, record in online gifts and hospitality register.
Gifts of trivial value (and under £50) e.g. company calendars, diaries, inexpensive pens or stationery.	Yes	No	None
Modest gifts of value under £50	Yes, occasionally (but not a series of gifts, which could exceed £50).	No	Yes, record in online gifts and hospitality register.
Expensive gifts (value exceeding £50, including gifts of lottery tickets, cash, gift vouchers or gift cheques).	No	N/A	Yes, should be refused or returned. Record in online gifts and hospitality register.
Any gift or hospitality from a supplier or potential supplier during a tender exercise or tender planning.	Never	N/A	Yes, should be refused or returned. Record in online gifts and hospitality register.

Appendix 2 – guidance for the provision of gifts and hospitality at LSBU’s expense to external parties

Event requiring hospitality from LSBU	Appropriate to provide gift or hospitality at LSBU’s expense?	Reasonable is considered to be:	Prior approval and action
Entertaining visitors to LSBU – lunchtime.	Where it is necessary to entertain visitors to LSBU at lunchtime.	Modest conventional business hospitality. N.B. if entertaining outside LSBU in a restaurant, refer to limits in the LSBU Expenses policy.	No prior approval required. LSBU internal catering should be considered first.
Entertaining visitors to LSBU – evening.	Where it is necessary to entertain visitors to LSBU in the evening.	Modest conventional business hospitality. N.B. if entertaining in a restaurant, refer to limits and procedure in the LSBU Expenses policy.	Yes, by the holder of a letter of delegated authority. Record in online gifts and hospitality register.
Providing gifts to external parties e.g. to visitors, academic or commercial partners.	Yes, occasionally	only if from the official range of LSBU-branded merchandise (e.g. pen, mug, Routemaster toy bus) or up to £20.	No prior approval required.
Providing official corporate gifts, e.g. on visits to international partners.	Yes, occasionally	Gift should be modest and not exceed £100.	Yes, by a member of the executive. Record in online gifts and hospitality register.
Entertaining or giving a gift to a supplier or potential supplier during a tender exercise or tender planning.	Never	N/A	N/A

	PAPER NO: UE.43(12)	
Board:	Board of Directors	
Date:	9 November 2012	
Paper title:	Group Policies and Business Principles	
Author:	Tim Gebbels, CEO	
Recommendation:	<p>That the Board approves the list of corporate policies that apply to SBUEL business activity and its staff subject to the caveats set out in the paper.</p> <p>That the Board specifically approve the Health and Safety policy, the Fire Safety policy, the Business Continuity Management Framework, the Driving At Work policy, and the Gifts and Hospitality policy</p> <p>That the Board approves the revised Travel, Subsistence and Expenses policy for adoption by SBUEL.</p>	
Matter previously considered by:	N/A	N/A
Further approval required?	N/A	N/A
Communications – who should be made aware of the decision?	N/A	

Executive summary

Why is the paper coming to the Board?

To set out the suite of corporate policies that apply to SBUEL business activity and staff for the Board to note. These include the Health and Safety policy, the Business Continuity Management Framework, the Travel and related policies, and the Gifts and Hospitality policy.

Additionally, a revised Travel, Subsistence and Expenses policy is proposed for

adoption by SBUEL to provide greater flexibility in responding to business need than is permitted under the University Policy.

The Board is requested to:

- approve the list of corporate policies that apply to SBUEL business activity and its staff subject to the caveats set out in the paper;
- specifically approve the Health and Safety policy, the Fire Safety policy, the Business Continuity Management Framework, the Driving At Work policy, and the Gifts and Hospitality policy; and
- approve the revised Travel, Subsistence and Expenses policy for adoption by SBUEL.

1. Introduction

At its meeting of 14th September 2012 the SBUEL Board agreed that, where appropriate, the company should adopt the University's corporate policies and business principles including, specifically, its health and safety policy. The Board further requested that a list of these policies and principles be submitted back to the next Board meeting for approval. This paper provides the listing of University policies requested and provides a brief commentary on the extent to which SBUEL is subject to these policies.

In addition, this paper proposes a revised Travel, Subsistence and Expenses policy for SBUEL based on the existing University policy but adapted to provide increased flexibility to meet the business needs particular to SBUEL.

2. University Policies

The University has developed a comprehensive set of standard policies and guidelines that cover every aspect of its business. A complete listing of these policies is provided in Annex 1. As a wholly owned subsidiary of the University and by default, SBUEL is subject to these policies in their entirety. However, there are some caveats to this default position as set out in the following sections.

Relevance

Some policies are immediately and directly relevant to everyday business in SBUEL while others are unlikely to have any material relevance to our routine business. Specifically, the following policies are highlighted as most directly relevant:

- Health and Safety Policy (Appendix 1)
- Fire Safety Policy for LSBU (Appendix 2)
- Business Continuity Management Framework (Appendix 3)
- Travel Subsistence and Expenses Policy
- Driving At Work Policy (Appendix 4)
- Gifts and Hospitality Policy (Appendix 5)

The Appendices are substantial documents. Rather than circulate them with the paper, they will, with the exception of the Travel, Subsistence and Expenses Policy (see below), be tabled at the meeting.

Policies less relevant and therefore unlikely to have a material effect on SBUEL business include all of those in the categories on Academic Delivery, Regulatory

Framework and Student Recruitment. SBUEL is certainly not exempt from any of these policies, however, and we must be mindful of their content if our business takes us into areas they cover.

Exceptions

There are a number of policies which do not apply, or which only apply in part, to SBUEL because SBUEL is sufficiently different from the University that some exceptions to University policies are necessary or desirable.

Specifically, the University Financial Regulations carry explicit exemptions granted to SBUEL, both to its Board of Directors and to the Chief Executive. These exemptions were considered and approved both by the SBUEL Board of Directors (26th June 2012) and by the University Board of Governors (19th July 2012).

In addition, both Boards granted SBUEL the right to establish its own HR policy independent of the University's policy. As yet, no such independent HR policy has been developed. An SBUEL HR policy will be brought to a future Board meeting but, in the meantime, the University policies covering HR will continue to apply.

Further, operational experience has demonstrated that the current University Expenses policy, a component of the Travel, Subsistence and Expenses policy, is insufficiently flexible to meet the business needs of SBUEL. Specifically, it lacks flexibility to allow the CEO to authorise by exception, in advance and based on clearly articulated business need, any expenditure that is outside the prescribed areas explicitly allowed by the policy. An updated version of this policy, amended to provide the flexibility necessary, is appended at Annex 2. The changes are highlighted within the text. It is proposed that SBUEL adopt this revised policy.

Obsolete Policies

The Research and Enterprise Handbook (in the Research and Enterprise category) dates from 2009, before University Enterprise became a separate department. The Handbook is now maintained by Central Research Support but is no longer relevant to University Enterprise. We are currently re-developing the suite of documents that set out *our* policies for the rest of the University as part of a comprehensive review of our internal communications and processes for engaging with Faculties and other departments.

3. Recommendation

The Board are asked to:

- Approve the list of corporate policies that apply to SBUEL business activity and its staff subject to the caveats set out in the paper.
- Specifically approve the Health and Safety policy, the Fire Safety policy, the Business Continuity Management Framework, the Driving At Work policy and the Gifts and Hospitality policy.
- Approve the revised Travel, Subsistence and Expenses policy for adoption by SBUEL.

Name	Department	Date Approved	Doc Type	Primary Audience	Secondary Audience	Pupose
Category : Academic Delivery (3)						
LSBU Academic Strategy	University Executive	12/05/2010	Strategy	Executive, Academic Staff, Studentfacing support staff	All interested staff members	
Progression Agreement Guidance Notes V1	Academic Quality Development Office	01/03/2010	Guideline	Staff	Staff	
Teaching Observation Scheme	University Executive	05/12/2007	Policy	UniWide; Senior Managers, All Academic Staff	Staff; Support staff whose role may include some element of teaching or demonstrting	
Category : Campus Environment (4)						
Policy and Standards for CCTV Operation at LSBU	University Executive	24/06/2010	Policy	Staff; Security Management/Staff who operate/supervise CCTV operation systems at LSBU;building Facilities/Library Staff (where applicable);Director of Archives, Records and Information Access	All Data Subjects	The Policy has been written to ensure that LSBU fully complies with the CCTV codes of practice under the Data Protection Act and is based on security industry best practice.
Space Guidance for Offices and Teaching	Estates and Facilities	04/09/2009	Guideline	UniWide; E&FD Staff, Deans and Heads of Support Departments	Staff; Members of staff/professional advisers involved in planning of space usage	
Sustainable Development Strategy	Estates and Facilities	01/03/2010	Policy	Staff	UniWide	
Sustainable Travel Plan	Estates and Facilities	01/05/2010	Policy	UniWide	Staff	Outlines initiatives aimed at reducing the University's overall travel related environmental impact (CO2 reduction).
Category : Finance (7)						
Anti Fraud Policy	Finance	10/03/2011	Policy	Staff; Students		The Anti Fraud Policy outlines LSBU's position on fraud and sets out responsibilities for its prevention and detection by ensuring that all cases of suspected fraud are promptly reported, investigated and dealt with as necessary.
Financial Regulations	Finance	10/03/2011	Regulation	Staff; Governors		To provide control over the University's resources and provide management with assurances that the resources are being properly applied to ensure delivery of the University's corporate plan and its financial objectives.
Foreign Travel Policy and Guidance Notes	Estates and Facilities	01/11/2009	Guideline	UniWide	UniWide	
OFFA Access Agreement	Finance	01/11/2009	Policy	Staff	Staff	
Risk Strategy	Finance	01/11/2009	Strategy	UniWide	Staff; UniWide	
Travel, Subsistence and Expenses Policy	Finance	24/07/2010	Policy	All staff and Governors	All staff and Governors	
Tuition Fees	Finance	10/03/2011	Policy	Staff	Staff	Sets out the fees for 2011/12, as agreed by the Executive and Policy & Resources Committee

Name	Department	Date Approved	Doc Type	Primary Audience	Secondary Audience	Purpose
Category : Governance, Information and Legal (15)						
Anti-Bribery Policy	Governance, Information & Legal Team	08/11/2011	Policy	Students; UniWide	Associates of LSBU (para 3 refers)	To set out LSBU's zero tolerance of bribery and the commitment of the Board of Governors to this approach. To set out a code of conduct for LSBU members of staff as procedures to prevent bribery.
FoI Act Policy	University Secretary's Office	01/10/2010	Policy	Staff	Staff	The Freedom of Information (FoI) Act 2000 is intended to promote openness and accountability within all public bodies, including universities.
Freedom of Information Act Publications Scheme	University Secretary's Office	01/09/2008	Policy	General Public	Staff/Students	
Gifts and Hospitality Policy	University Secretary's Office	30/11/2011	Policy	Staff	Members of staff to whom the Travel, Subsistence & Expenses Policy applies	To set out when it is appropriate for LSBU members of staff to offer or accept gifts or hospitality, what is a reasonable level and when prior approval is required.
Guidance on papers to Governors TEMPLATE (Word)	Governance, Information & Legal Team	01/04/2012	Guideline	Manager; SMG	Staff	Template to be used when writing papers for Governors and to ensure that Governors receive high quality focussed board papers to allow them to carry out their duties effectively.
Guidance on papers to Governors	Governance, Information & Legal Team	01/04/2012	Guideline	Manager; SMG	Staff	To ensure Governors receive high quality focussed board papers to allow them to carry out their duties effectively.
LSBU speak up policy	University Secretary's Office	15/07/2010	Policy	Staff; Students	Partners; LSBU stakeholders	The Speak up policy is intended to assist both students and employees who believe they have discovered malpractice or impropriety.
Policy Code of Practice for Research Involving Human Participants	University Secretary's Office	01/11/2010	Policy	Members of the University and Faculty Research Ethics Committees	Staff; Staff supervising MPhil/PhD students; staff carrying out their own research involving human participants; staff teaching 'Research Methods' modules; course/unit leaders where courses at Bachelor's or taught Master's level involve survey work	LSBU ethical approval must precede the field-work stages of any research involving human participants. The Code should be read in conjunction with the ethics codes (however called) of relevant professional, academic or regulatory body.
Procedures and Criteria for the Selection of Recipients of Honorary Awards	University Secretary's Office	01/07/2012	Procedure	Staff; Students; UniWide; Manager; Course Directors; Tutors; SMG		Each year the University gives out honorary degrees and honorary fellowships to distinguished individuals which are among the highest honours a university can bestow and serve as a positive example to our students and staff.
Regulations for Staff Election to Board of Governors	University Secretary's Office	25/03/2010	Regulation	University Secretary and Deputy Secretary; Returning Officer (if different)	Staff	
University Corporate Records Retention Schedule	University Secretary's Office	01/09/2009	Regulation	Staff	Staff	
University Data Protection Policy	University Secretary's Office	01/03/2000	Policy	All staff and students who process personal information on behalf of the University	All Data Subjects	
University Paper Records Disposal Policy	University Secretary's Office	01/01/2010	Policy	Staff	Staff	
University Records Management Policy	University Secretary's Office	01/09/2005	Policy	Staff	Staff	
University Student Records Retention Schedule	University Secretary's Office	01/09/2009	Regulation	Staff	Staff	
Category : Health and Safety (38)						
Abuse of Staff Guidance Note	Estates and Facilities	30/06/2012	Guideline	UniWide	Visitors; Trade Unions	Document gives guidance to stakeholders on issues relating to abuse of staff.
Accident Incident Reporting Guidance Note	Estates and Facilities	30/06/2012	Guideline	UniWide	Visitors; Trade Unions	Document informs stakeholders to report accidents/incidents within 24 hours of knowing about their occurrence.

Name	Department	Date		Primary Audience	Secondary Audience	Pupose
		Approved	Doc Type			
Asbestos Policy	Estates and Facilities	15/05/2012	Policy	Staff; Students; UniWide; Manager; Course Directors; Tutors; Trade Unions	Visitors	To bring to the attention of the University community how the University manages its asbestos risk.
Contract Employees Working at LSBU Partnership Organisations Guidance Note	Estates and Facilities	30/07/2012	Guideline	Staff	Course Directors; Tutors; Trade Unions	Guidance note on contract employees working at partnership organisations.
Contractor Safety Guidance Note	Estates and Facilities	05/07/2012	Guideline	UniWide	Visitors; Trade Unions	Document gives guidance to stakeholders on safety issues relating to contractors.
COSHH Guidance Note	Estates and Facilities	30/06/2012	Guideline	UniWide	Visitors; Trade Unions	Document gives guidance to stakeholders on issues surrounding hazardous substances.
Display Screen Equipment Guidance Note	Estates and Facilities	30/06/2012	Guideline	UniWide	Visitors; Trade Unions	Document gives guidance to stakeholders on issues relating to display screen equipment.
Driving at work policy	Estates and Facilities	15/05/2012	Policy	Staff and their line management with driving duties and those who use their own private motor vehicles on University business.	UniWide	To bring to the attention of staff with driving duties and those who from time to time use their private motor vehicles on university business and their line managers.
Epilepsy Guidance Note	Estates and Facilities	30/06/2012	Guideline	UniWide	Visitors; Trade Unions	Document gives guidance on Epilepsy.
Field Trip Risk Assessment Guidance Note	Estates and Facilities	30/06/2012	Guideline	UniWide	Visitors; Trade Unions	Document gives guidance to stakeholders on risk assessments relating to field trips.
Fire Procedures Guidance Note	Estates and Facilities	17/09/2012	Procedure	UniWide	Visitors; Trade Unions	Policy and procedures on fire safety to ensure the University discharges its duty under Regulatory Reform (Fire Safety) Order 2005.
FIRE SAFETY POLICY FOR LSBU	Estates and Facilities	17/09/2012	Policy	UniWide	Visitors; Trade Unions	Policy and procedures on fire safety to ensure the University discharges its duty under Regulatory Reform (Fire Safety) Order 2005.
First Aid Guidance Note	Estates and Facilities	30/06/2012	Guideline	UniWide	Visitors; Trade Unions	Document gives guidance to first aid issues.
Foreign Travel Guidance Note	Estates and Facilities	30/06/2012	Guideline	UniWide	Visitors; Trade Unions	Document gives guidance to stakeholders on issues relating to foreign travel.
Health and Safety Policy	Estates and Facilities	30/11/2009	Policy	UniWide	Visitors	University Policy statement and provision for Health & Safety Management in line with the Health & Safety at Work (etc) Act 1974 – link http://www.lsbu.ac.uk/safety/HSPolicies/policies.shtml
HIV Guidance Note	Estates and Facilities	30/06/2012	Guideline	UniWide	Visitors; Trade Unions	Document gives guidance to stakeholders on issues relating to HIV.
Homeworking Guidance Note	Estates and Facilities	30/06/2013	Guideline	Staff; Manager; Course Directors; Tutors; Trade Unions	Students; Trade Unions	Document gives guidance to stakeholders on issues relating to working at home.
Introduction of New Technology Guidance Note	Estates and Facilities	30/07/2012	Guideline	Staff; UniWide; Manager	Course Directors; Tutors; Trade Unions	Guidance on the introduction of New Technology within LSBU.
Lift Entrapment Procedure	Estates and Facilities	02/10/2012	Procedure	UniWide	Trade Unions	Guidance on health and safety issues that may arise and specific to the Home-working.
Lone Working Guidance Note	Estates and Facilities	30/06/2012	Guideline	UniWide	Visitors; Trade Unions	Document gives guidance to stakeholders on issues relating to lone working.
No Smoking Policy	Estates and Facilities	30/07/2012	Policy	Staff; Students; Visitors; UniWide; Manager; Course Directors; Tutors; Trade Unions	Staff	No Smoking Policy
Notifiable Diseases Guidance Note	Estates and Facilities	30/06/2012	Guideline	UniWide	Visitors; Trade Unions	Document gives guidance to stakeholders on issues relating to notifiable diseases.
Office Safety Guidance Note	Estates and Facilities	30/06/2012	Guideline	UniWide	Visitors; Trade Unions	Document gives guidance to stakeholders on issues relating to office safety.
Personal Emergency Evacuation Plan (PEEP) Guidance Note	Estates and Facilities	30/06/2012	Guideline	UniWide	Visitors; Trade Unions	Document gives general guidance to stakeholders on issues relating to personal emergency evacuation plan.
Personal Protective Equipment (PPE) Guidance Note	Estates and Facilities	06/07/2012	Guideline	Staff; Students	Visitors; Trade Unions	Document gives guidance to stakeholders on issues relating to personal protective equipment.
Pregnancy Risk Assessment Guidance Note	Estates and Facilities	30/07/2012	Guideline	UniWide	Course Directors; Tutors; Trade Unions	Guidance on risk assessment relating to expectant mothers

Name	Department	Date		Primary Audience	Secondary Audience	Purpose
		Approved	Doc Type			
Reporting of Health and Safety Breaches or Hazardous Situations Guidance Note	Estates and Facilities	30/07/2012	Guideline	Staff; Students; UniWide	Manager; Course Directors; Tutors; Trade Unions	Guidance on the reporting of health and safety breaches.
Risk Assessment Guidance Note	Estates and Facilities	30/07/2012	Guideline	Staff; Students; UniWide; Manager	Course Directors; Tutors; Trade Unions	Guidance on Risk Assessment
Safety Inspection Guidance Note	Estates and Facilities	30/07/2012	Guideline	Staff; UniWide; Manager	Course Directors; Tutors; Trade Unions	Guidance on safety inspection.
Slips, Trips and Falls Guidance note	Estates and Facilities	30/07/2012	Guideline	Staff; Students; UniWide	Manager; Course Directors; Tutors; Trade Unions	Guidance Note on risk assessment and management of slips, trips and falls.
Stress at Work Policy	Estates and Facilities	01/11/2009	Policy	Staff	All Managers	Overview and guidance of management of stress in the workplace at LSBU.
Stress Guidance for Managers	Estates and Facilities	01/07/2010	Guideline	All staff at management level at LSBU	Staff	The guidance is to assist managers to manage stress at work within their areas of responsibility - link http://www.lsbu.ac.uk/safety/HSpolicies/policies.shtml .
Stress Guidance for Staff	Estates and Facilities	01/04/2011	Guideline	Staff	All Managers	To assist individual LSBU staff to manage/cope with their own stress as reasonably practicable as possible.
Student Placement Guidance Note	Estates and Facilities	01/08/2012	Guideline	Students; Tutors	Course Directors	General guidance on Student Placement
Students' Health and Safety Guidance Note	Estates and Facilities	01/08/2012	Guideline	Students	Staff; Manager; Course Directors; Tutors; Trade Unions	Document gives guidance on the University's general health and safety expectations of its students.
Visitors to LSBU Policy and Guidance	Estates and Facilities	01/08/2012	Policy	Visitors; UniWide	Students; Manager; Course Directors; Tutors; Trade Unions	This document is about the general policy and guidance on visitors to LSBU.
Visitors' Personal Emergency Evacuation Plan (PEEP) Guidance Note	Estates and Facilities	06/07/2012	Guideline	UniWide	Visitors	Document gives guidance to stakeholders on issues relating to personal emergency evacuation plan (peep).
Workshop and Equipment Guidance Note	Estates and Facilities	01/11/2009	Guideline	UniWide	UniWide	
Category : Human Resources (17)						
Dignity at Work Adviser - Role Guide	Human Resources		Policy	UniWide	Staff	
Equality and Diversity Strategy and Action Plan	Human Resources	01/07/2011	Strategy	Staff	Students	The strategy has been revised in line with the 2010 Equality Act. The action plan is a statutory requirement under the Public Sector Equality Duty
Equality Impact Assessments Policy	Human Resources	01/08/2011	Policy	Heads of Department, Project Managers, HR Business Partners	Staff affected by change proposals	An EIA is an analysis of an LSBU policy, procedure, project, change proposal or new product or service, carried out to identify the potential impact its activities may have on different groups of people who are students, staff and other LSBU customers
Gender Equality Scheme	Human Resources	01/11/2009	Regulation	UniWide	UniWide	
Leadership Development Strategy	Human Resources	22/09/2009	Strategy	UniWide; SMG and other Managers of Staff	Staff	
LSBU Coaching Strategy	Human Resources	01/02/2010	Strategy	UniWide; Line Managers	Staff; HR Academics in BUS	
LSBU Learning and Development Evaluation Strategy	Human Resources	01/11/2009	Strategy	UniWide; Line Managers	Staff	
Management Standards Guideline	Human Resources	10/03/2009	Guideline	Manager	Staff	The management standards are used in R&S for posts grade 9 and above and also in appraisal. N.B. The standards are currently being revised by the Roles and Responsibilities Project.
Mentoring Policy 2010	Human Resources	01/03/2010	Policy	UniWide; Mentors and mentees	Staff; Succession Development Group, Executive, retiring staff	
Psychometric and Ability Test Policy	Human Resources	01/08/2011	Policy	All job applicants and staff engaged in management or team development activities		The aim of this policy is to explain and define psychometric tests, promote high standards and professionalism in using tests and provide guidance on good practice when considering using testing in the recruitment, selection and development of staff.

Name	Department	Date		Primary Audience	Secondary Audience	Pupose
		Approved	Doc Type			
Religion and Belief Policy - Guidance Notes for Course Directors and Tutors	Human Resources	01/11/2009	Guideline	Staff	Staff; Trade Unions	
Religion and Belief Policy - Guidance Notes for Managers	Human Resources	01/11/2009	Guideline	Staff	Staff	
Religion and Belief Policy - Guidance Notes for Students	Human Resources	01/11/2009	Guideline	Students	Staff	
Retirement Procedure	Human Resources	30/04/2011	Guideline	Staff; Manager		Guidance notes to set out the University's approach to the retirement of employees.
Staff Code of Professional Conduct	Human Resources	01/11/2009	Guideline	Staff	Staff	
Staff Inclusion Policy	Human Resources	30/06/2011	Policy	Staff	Contractors	The staff inclusion policy replaces the former bullying and harassment policy, to reflect the strengthened law around harassment in the 2010 Equality Act.
Succession Planning Strategy	Human Resources	01/11/2009	Strategy	UniWide; Senior Managers	Staff	
Category : Information Communication Technology (4)						
Email Usage Regulation	Information Communication Technology	01/06/2010	Regulation	UniWide	UniWide	
ICT Project Management Methodology Guidelines	Information Communication Technology	27/05/2010	Guideline	Senior Managers, Academic/Support Staff, Staff involved in ICT projects	All other staff of the University who advise on ICT issues	
LSBU Email Usage Guidelines	Information Communication Technology	01/06/2010	Guideline	Staff		These Guidelines help to ensure that LSBU staff work with email in an efficient way and support standard ways of working across the university
Print and Copy Policy	Information Communication Technology	17/09/2012	Policy	UniWide		Guidance on printer/multi-functional device allocation;printing volumes,best use of printing devices, including the Central Print Room,enhancing print quality,minimising costs,providing secure printing,reducing environmental impact of LSBU's printing.
Category : Marketing (2)						
Corporate Identity Policy	Marketing and UK Student Recruitment	01/07/2006	Policy	UniWide; All Senior Managers	Staff	
Marketing Strategy	Marketing and UK Student Recruitment	01/06/2009	Strategy	Senior Managers	Academic Staff responsible for recruitment and marketing, Recruitment Department staff	
Category : Procurement (3)						
Fair Trade Policy	Residential and Catering Services	21/01/2008	Policy	Senior Managers, Students' Union	Other staff who provide information to students, Students' Union	
General Conditions of Contract for Goods and Services	Finance	01/02/2010	Regulation	Staff	Staff	
Sustainable Procurement Plan	Finance	01/05/2008	Policy	SMG	Staff	
Category : Regulatory Framework (19)						
Acad Regs for Taught Progs	The Registry	11/07/2012	Regulation	Staff; Students; Manager; Course Directors; Tutors		These Academic Regulations cover all awards of the University.They provide guidance on assessment (whether by coursework or examination), progression and classification of degree awards and set out the parameters for academic processes.

Name	Department	Date		Primary Audience	Secondary Audience	Pupose
		Approved	Doc Type			
Appeal Against Decision of Extenuating Circumstances	The Registry	01/09/2006	Guideline	Students, Student Appeals Officers, Chair and Members of the University Appeals Panel, Chairs of Faculty Extenuating Circumstances Panels	All othr staff of the University who give advice to students on academic matters, Course Administrators, Course Directors, Heads of Departments, Pro Deans, Student Union Advice Bureau staff, the Head of the Dyslexia and Disability Unit	
Appeal Against the Decision of an Examination Board	The Registry	01/09/2006	Guideline	Students, Student Appeals Officers, Chair and Members of University Appeals Panel, Chairs of Faculty Extenuating Circumstances Panels	All other staff of the University who give advice to students on academic matters, Course Administrators, Course Directors, Heads of Departments, Pro Deans, Student Union Advice Bureau staff, the Head of the Syslexia and Disability Unit	
Closure of Programme Form (Word)	Academic Quality Development Office	31/05/2009	Form	Executive Deans, Pro Deans, HoDs, Academic Link Tutors, FASC Chairs	FQAAs	This is a form staff must complete in order to close a programme at LSBU. This should be used in conjunction with the Closure of Programme Process Diagram.
Closure of Programme Form	Academic Quality Development Office	01/05/2009	Guideline	Executive Deans, Pro Deans, HoDs, Academic Link Tutors, FASC Chairs	FQAAs	This is a form staff must complete in order to close a programme at LSBU. This should be used in conjunction with the Closure of Programme Process Diagram.
Closure of Programme Process Flowchart	Academic Quality Development Office	31/05/2009	Guideline	Executive Deans, Pro Deans, HoDs, Academic Link Tutors, FASC Chairs	FQAAs	This is a flow chart describing the process to follow in order to manage and record accurately the closure of programmes at LSBU.
Collaboration Termination Process	Academic Quality Development Office	31/05/2009	Guideline	Executive Deans, Pro Deans, HoDs, Academic Link Tutors, FASC Chairs	FQAAs	This is a flow chart describing the process to follow in order for LSBU to manage and record accurately the termination of individual collaborative programmes or overarching collaborative agreements.
Exam Scripts-Retention and Marking Protocols	The Registry	09/06/2010	Policy	Academic Staff involved in examination processes and Course Administrators	Faculty Quality Assurance Administrators and the University Secretariat (Archive, Records and Information Access)	This policy relates to the archiving and disclosure of examination scripts in terms of retention and disclosure to students.The underlying purpose is to ensure compliance with the Data Protection Act and the Freedom of Information Act.
Handbook on Quality Management and Enhancement	Academic Quality Development Office	01/11/2008	Guideline	UniWide; Pro Deans, HoDs, FASC Chairs, L&TC Chairs, FQAAs	Staff	
New Programme Proposal (Word)	Academic Quality Development Office	31/10/2011	Form	Executive Deans, Pro Deans, HoDs, Academic Link Tutors, FASC Chairs	FQAAs	Blank form with accompanying guidelines.Members of staff who wish to set up a new programme must complete this form and use the guidance in Handbook on Quality Mangement & Enhancement to ensure it follows the correct route through the committee structure.
New Programme Proposal Form	Academic Quality Development Office	31/10/2011	Policy	Executive Deans, Pro Deans, HoDs, Academic Link Tutors, FASC Chairs	FQAAs	A blank form with accompanying guidelines. Staff who wish to set up a new programme must complete this form and use the guidance in Handbook on Quality Management and Enhancement to ensure it follows the correct route through the committee structure.
Proposal to Collaborate Form (Word)	Academic Quality Development Office	31/10/2011	Form	Executive Deans, Pro Deans, HoDs, Academic Link Tutors, FASC Chairs	FQAAs	A blank form with accompanying guidelines.Staff who wish to set up a collaboration must complete these form and use the guidance in Handbook on Quality Management & Enhancement to ensure it follows the correct route through the committee structure.
Proposal to Collaborate Form	Academic Quality Development Office	31/10/2011	Form	Executive Deans, Pro Deans, HoDs, Academic Link Tutors, FASC Chairs	FQAAs	A blank form with accompanying guidelines. Staff who wish to set up a collaboration must complete this form and use the guidance in Handbook on Quality Management and Enhancement to ensure it follows the correct route through the committee structure.
Regulations for Research Degree Programmes	Central Research Support	01/07/2012	Regulation	Staff; Students; UniWide; Manager		Regulations for all the research degrees programmes within the University.

Name	Department	Date		Primary Audience	Secondary Audience	Pupose
		Approved	Doc Type			
Student Charter	Academic Quality Development Office	14/07/2011	Policy	UniWide	UniWide	Sets out the code of conduct for students and staff to help maintain an environment in which students can pursue their studies and achieve their qualification aims.
Student Complaint Record Form	Academic Quality Development Office	11/07/2012	Form	Students		Form to be used by student wishing to submit a complaint.
Student Complaints Guidance Note	Academic Quality Development Office	11/07/2012	Guideline	Students	Staff; Manager; Course Directors; Tutors; SMG	Document provides guidance on complaints: process, outcomes and expectations
Student Complaints Procedure	Academic Quality Development Office	11/07/2012	Procedure	Staff; Students; Manager; Course Directors; Tutors	UniWide; SMG	For use by students of LSBU who may wish to raise issues about aspects of the University course or campus that are not academic judgement or another student.
Student Discipline Procedure	Academic Quality Development Office	13/07/2011	Regulation	Staff		A one-stop disciplinary procedure addressing unacceptable student conduct in any area of the University, and providing for the first time a defined pathway for students to report the conduct of other students.
Category : Research and Enterprise (2)						
RBResearch Strategy	Central Research Support	07/07/2008	Strategy	Staff		
Research and Enterprise Handbook	Central Research Support	31/12/2009	Guideline	Academic and Research Staff		
Category : Student Recruitment (2)						
International Recruitment Strategy	International Office	01/11/2007	Strategy	Staff		
UK Recruitment Strategy	Marketing and UK Student Recruitment	01/07/2009	Strategy	Staff		

TRAVEL, SUBSISTENCE AND EXPENSES POLICY

Originating Department:	<i>Finance/Corporate Procurement Unit</i>
Enquiries to:	<i>Natalie Forer (Financial Controller), Penny Green (Procurement Manager)</i>
Approving Committee/Body:	<i>Executive, Audit Committee and Policy and Resources Committee</i>
Version No:	4
Last Approved:	24 June 2010
Update April 2011	<p><i>Replaced Simon Blee with Natalie Forer as Financial Controller</i></p> <p><i>Replace the Travel Management Company with Ian Allan Travel and changed wording throughout to direct users to consider booking through Ian Allan Travel before using other suppliers or claiming through expenses</i></p> <p><i>Reword section on cycling to road 20p payable when an employee is using their own bicycle only</i></p> <p><i>Reword section buying prepay credit for Oyster cards using University purchasing cards, to include the option of purchasing an Oyster card to be used exclusively for business travel</i></p> <p><i>Reword section on congestion charge from 'not be paid' to 'not normally be paid ...unless the claimant can demonstrate that this charge was unavoidable'</i></p> <p><i>Added to section on authorising expenses 'By authorising a claim the authorising person is confirming that expenses were incurred in the course of business, have been allocated to the correct posting string, comply with the University's travel and expenses policy and are supported by receipts or other documentation'</i></p>
Next due for approval:	<i>One Year</i>
Document Type (delete as appropriate):	<i>POLICY</i>
Mandatory Target Audience:	<i>All staff and governors</i>
Also of Relevance to:	
Brief Summary of	<i>The University's travel, subsistence and expenses policy is in</i>

Purpose:

~~place to ensure value for money is achieved, whilst ensuring the safety of University employee's at all times.~~



Travel, Subsistence and Expenses Policy

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Annex 1: Maximum Travel and Subsistence Rates

Introduction

~~Travel, subsistence and other expenses incurred by employees accounts for around £1m of spend per annum. This~~ The University's travel, subsistence and expenses policy is in place to ensure value for money is achieved, whilst ensuring the safety of ~~University~~ employee's at all times.

The Policy applies to all employees and ~~Governors-Directors~~ using ~~SBUEL~~ University and other official funds for all expenses and expenditure associated with travel. All employees and ~~Governors-Directors~~ must adhere to the Policy when incurring travel and associated expenditure on behalf of the University.

Adherence to this policy (and policy annex) is mandatory and non-compliance, unless formally authorised in advance by the Chief Executive in support of a demonstrated specific business need, constitutes a breach of the University's financial regulations.

Policy Objectives:

- To obtain maximum value for money from the ~~University's-Company's~~ expenditure on travel, subsistence and other expenses
- To inform employees of procedures to be undertaken when arranging travel
- To ensure that the ~~University's-Company's~~ expenditure on travel and subsistence represents only the necessary and reasonable costs incurred by or on behalf of staff who are on ~~University-Company~~ business
- To ensure safe and healthy travel
- To minimise the cost of administration, including the time spent by members of staff making travel arrangements, processing approvals and submitting expense claims
- To enable budget holders to control expenditure, manage and monitor staff safety and adherence to policy and procedures
- To rationalise business travel to minimise the environmental impact of travel

1. Definitions

The Company: Southbank University Enterprises Limited

Official Business: Authorised, necessary business undertaken in relation to, or on behalf of, the ~~University and its subsidiary companies~~Company which, for legitimate reasons, cannot be carried out at or within the University's premises.

Domestic Travel: Travel on Official Business, to any location within UK Territorial Limits.

Overseas Travel: Travel on Official Business, to any location outside the UK Territorial Limits, and which commences from within the UK Territorial Limit.

Non Domicile Overseas Travel: Travel on Official Business, to any location inside or outside the UK Territorial Limit, which commences from outside the UK Territorial Limit, and pertains to a non-domicile employee.

Entertaining: -The necessary and reasonable cost incurred in entertaining third parties and staff for an approved purpose.

Subsistence: The necessary and reasonable cost of meals and/or accommodation incurred by or on behalf of ~~University-Company~~ employees engaged in Official Business.

The Policy: -The ~~University's~~-Travel and-Subsistence and Expenses Policy and related guidelines

2. Scope of Policy

This policy is applicable to all employees of the ~~University~~Company and any employees of the University travelling on Company business, irrespective of the source of funding. This policy applies regardless of payment method, and therefore applies to expense claims, purchasing card expenditure and invoiced expenditure.

3. Travel Avoidance

Staff should only travel when there is no viable business alternative. Before making a booking, staff should consider whether it is necessary, or whether there are practical alternatives by which business objectives could be achieved without the need to travel. This could include video-, audio-, or web- conferencing, or where only one member of a team attends. Where only one member of the team attends, they should share the outcome of the meeting with other interested parties or members of staff.

It is the responsibility of all line managers and budget holders to ensure that staff are travelling only where there is a priority business need and no practical business alternative. Where such practical alternatives exist these should be adopted.

Only staff with a genuine business need should attend meetings. ~~Meetings should have pre-agreed agendas and all items should be covered, where possible, to reduce the need for further follow-up meetings.~~ Meetings ~~should be held at public sector locations whenever possible, and s~~ should be arranged at a location that will keep to a minimum the amount of travel required by the attendees as a whole. The use of third-party meeting facilities that incur an additional cost to the ~~Department~~ Company should be kept to a minimum. Where practical, meeting locations should be selected within close walking distance of public transport links. Meeting times should be selected on the basis of enabling staff to make full use of public transport.

4. No Personal Gain

Employees will be reimbursed the actual travel and associated expenses incurred solely and necessarily in the performance of their duties. The rules contained within this policy ensure that employees neither gain nor lose financially in relation to expenditure and reimbursement on travel, subsistence and other expenses.

The ~~University~~ Company is also required to demonstrate to HMRC that adequate controls are in place to ensure compliance with the rules and requirements for tax dispensations. Provided they are followed, the rules and guidance contained within this policy will ensure that no taxable benefit in kind will arise on the employee.

Home to work travel expenses

Travel between home and an employee's normal work place is regarded as private and cannot be claimed as business expenses. If employees travel straight from their home or return direct to their home after a business event off the University site:

- In the case of private cars, mileage claimed must be the lesser of the actual mileage and the mileage which would have been incurred if the journey had started and finished at the normal work place
- In the case of public transport, the cost claimed must be the lesser of the cost of the journey from home to destination or normal work base to destination.

Promotional Incentives

The purchasing decision shall not be influenced by any promotional incentives such as airline mileage credits or personal credit card discounts or rebates.

Frequent flyer credits and Air Miles accrued on University business trips should be used on future University business trips where possible.

Spouse and partner expenses

Partners, spouses or other persons not connected with the ~~Company or the~~ University shall not travel at the ~~University's~~ Company's expense except when their presence is required and authorised for a bona fide business purpose. All such expenditure must be approved in advance by the ~~Vice Chancellor~~ Chief Executive, or the Chair of the Board of ~~Directors~~ Governors in the case of the ~~Chief Executive~~ Vice Chancellor.

However, a spouse/partner may accompany a member of staff on [University Company](#) business at their own expense, and with prior approval. In such instances, the [University Company](#) will pay only for the costs of the Employee, and must not be charged for more than if the member of staff had travelled alone. An employee travelling with a spouse/partner should obtain the hotel room rate that would have applied had they been travelling alone. Only this cost rather than the actual cost of the room will be paid by the [University Company](#). Private insurance must be taken out to cover the spouse/partner's travel.

A Travel Authorisation Form (See section 5) must be completed for all travel accompanied by a spouse/partner.

'Trading down' of travel tickets, i.e. travelling by a lower class in order to claim an extra ticket for a spouse/partner is not permitted and is considered to be a serious offence.

Holidays Linked to Business Trips

An employee may stay in the destination travelled to for business purposes for additional days before or after the completion of [University Company](#) business. The [University Company](#) will not meet any of the travel costs, accommodation or subsistence for days taken as holiday linked to a business trip. Private insurance must be taken out to cover the private part of the journey.

Holidays linked to business trips are subject to the following restrictions:

- It must be clear that the reason for travel to the destination was for a business purpose and that the holiday period was a secondary consideration.
- There is no deviation from the most direct journey required to fulfil the business objectives of the trip.
- The time spent on holiday must not [normally](#) exceed the time that was required for business purposes.

If it is adjudged that the above have not been complied with, the [University Company](#) will not meet any of the costs of the trip. The deliberate spacing of business activities to artificially inflate the business element of the trip is strictly prohibited. This is in accordance with HMRC rules. In such cases the decision of the [University Company](#) will be final.

Excess baggage charges

Staff should meet excess baggage charges personally unless these are due to items being taken for business reasons, and this has been agreed in advance.

5. Authorisation

All travel must be authorised in advance in accordance with the hierarchy set out in the table below. By authorising travel, signatories are certifying that the expenditure is necessary, that the mode of transport has been given prior approval, that the necessary funding is available, that risk assessment has been completed and demonstrates that travel is safe, and that all other Policy requirements have been met.

A [Travel Authorisation Form](#) must be submitted for the following travel types:

- All overseas travel
- Travel accompanied by a spouse/partner
- UK travel where the cost is expected to exceed £300.

UK travel likely to cost less than £300 does not require the use of the Travel Authorisation Form, but there must be clear agreement from the budget holder (e.g. a brief exchange of e-mails or memos, or a standing delegated authority) that the costs will be met. Without such agreement the budget holder may refuse to authorise the payment of claims or invoices relating to the journey.

All overseas travel must be preceded by a Risk Assessment approved by [the University's](#) Health and Safety Services.

All Travel Authorisation Forms related to overseas travel should be copied to the Head of Recruitment following approval.

The authorisation hierarchy for Travel Authorisation forms is as follows:

Traveller	Authoriser
Departmental / Faculty Company staff	Head of Academic/Support Department Team
Head of Department Academic Team	Executive Dean Chief Executive
Head of Support Department Chief Executive	Company Appropriate Member of the Executive Director who is Member of Executive
Member of Executive	Vice-Chancellor
Vice-Chancellor	Chair of Board of Governors

Members of staff cannot authorise their own Travel Authorisation Forms.

Where more than one member of staff is travelling, the most senior member of staff must submit the Travel Authorisation Form, detailing the other staff members.

6. Booking of travel & subsistence

Travel and subsistence expenditure may be booked in three ways:

- 1) Via the University's approved Travel Management Company (the preferred method).
- 2) Directly by the employee with payment made by University purchasing card.
- 3) Directly by the employee, with payment from personal funds and subsequently reclaimed through the expense reimbursement system.

If travel is booked via ~~the University's approved Travel Management Company~~ ~~Ian Allen Travel~~, no comparison quotes are required. However if travel is booked directly by the employee, a minimum of three quotes must be obtained to demonstrate that the University is obtaining Value for Money. One of these quotes must be from ~~the University's approved Travel Management Company~~ ~~the Ian Allen Travel~~. This applies to all bookings; travel with a low cost carrier does not remove the need for this step.

If travel is booked via ~~the University's approved Travel Management Company~~ ~~Ian Allen Travel~~, the travel company automatically compiles a report of employees who are travelling, their location and their contact numbers, enabling the ~~University Company~~ to contact and assist staff in an emergency.

Where any business travel (UK or overseas) is booked directly by the employee and ~~the University's approved Travel Management Company~~ ~~Ian Allen Travel~~ is not used, the employee must ensure that the travel details relating to their trip are registered on the ~~Travel Location Register~~ prior to travel. This will ensure that records are available to the ~~University Company~~ in order to contact employees. The Travel Location Register is an ~~on-line form~~, and can be found at <http://husk/Lists/Travel%20Location%20Register/NewForm.aspx> and will also be located on the Health and Safety web pages.

The following details must be entered as a minimum on the ~~Travel Location register~~:

- Name of Traveller
- Dept or Faculty
- Traveller's contact number
- Alternative Emergency Contact
- Type of Journey
- Departure Date
- Departing From
- Travelling To

- Countries Visited
- Business Activity
- Hotel Name and Number
- Multi Destination Details
- Return Date
- Returning From
- Returning To
- Booking Details
- Carrier Name
- Travel with Students

7. Lowest Logical Cost, Advance Booking and Reduced Fare Opportunities

Expenditure should be kept to the minimum consistent with the effective performance of work on behalf of the University.

Where possible, staff should plan trips at the 'lowest logical cost' to take advantage of reduced fare opportunities including, but not limited to:-

- Excursion fares
- Promotional fares
- Fares with restrictions which can be accepted for the planned trip
- "Academic Status" fares which are sometimes available

The Lowest Logical Cost should take into account all related costs, including fares, travel to and from airports/station, car park charges, mileage costs and other related expenditure.

Full advantage is to be taken of APEX, consolidated or discount fares. Rail travel, wherever possible, should be booked in advance to take advantage of early booking concessions.

Travel should be planned in advance with as much certainty as possible. Last minute and 'open' tickets are expensive and should be avoided. Employees are required to use advance purchase restricted tickets, accepting a reasonably flexible time window around requested departure and arrival times. The University-Company accepts that employees may have to occasionally pay an additional fare should they miss their timed departure, however employees should manage meetings and travel times to reduce the risk of additional fares, where possible.

Travellers will not be expected to take unnecessary connections or travel unreasonable distances to leave from a less expensive departure point.

8. Mode of Travel

Selecting the right mode of transport

Assessing the right mode of transport for the journey is important. The mode of transport selected for Official Business travel should give consideration to the following:

- Environmental impact of the journey
- Time available to make the journey
- Health, safety, and well being of the employee and their individual needs
- Opportunity to share transportation

Walking

Staff should walk where they feel that time, convenience and personal safety allow. It is considered that a journey of less than 2 miles is a reasonable walking distance. Route planning tools should be used to select the safest walking route. The following route planners are recommended:

<http://walkit.com/cities/london>

<http://www.tfl.gov.uk/gettingaround/walking>

Cycling

Cycling should be considered for local journeys where staff feel that convenience and personal safety allow.

Consideration should be given to the following:

- Competence of the cyclist and training received. The individual is to judge whether they are a competent cyclist. Cycle training is available free to staff on all campuses

from their respective local authorities and can be booked through Estates and Facilities.

- Fitness and health of the cyclist. The individual is to judge whether there are fitness or health reasons which affect their ability to cycle.
- Suitability and condition of cycle used. The individual is to judge whether their bicycle is road-worthy. If unsure, they should visit a cycle shop prior to making their journey.
- Use of safety equipment. The individual is to ensure that appropriate safety equipment, such as a cycle helmet, high visibility clothing and lights, is used for the duration of their journey
- Route planning to reduce cycle risks. Route planning tools should be used to select the safest cycle route, avoiding main roads where possible. The following route planner is recommended: <http://www.tfl.gov.uk/roadusers/cycling/11598.aspx>

A mileage rate of 20p/mile will be paid for all journeys made by their own bicycle. Distances should be estimated using the road/cycle network unless the cycle used is fitted with an odometer, when the actual mileage recorded should be claimed. Mileage should be claimed using the mileage section of the expense claim form (See section 15).

LSBU encourages cycling through the [Cycle to Work Scheme](#) which allows employees to buy a bicycle tax free.

Rail travel

Staff are encouraged to use public transport. Rail travel should be by standard class unless a first class ticket is cheaper at the point of purchase, and evidence can be provided to prove that this was the case. Rail tickets should be purchased as far in advance as possible in order to take advantage of discounted fares. The purchase of 'walk-on' tickets for long distance rail journeys should be avoided.

London Underground and Bus travel

Staff are encouraged to use public transport. Where an employee holds a season ticket or travelcard, only travel costs incurred over and above the cost of the season ticket or travelcard should be claimed.

Journeys should be paid for using Oyster pre-pay, as paper ticket fares are significantly higher than Oyster pre-pay fares.

Expense claims for Oyster pre-pay fares should include a copy of the Oyster usage statement showing the journeys claimed for. These statements can be obtained by registering the Oyster card at www.tfl.gov.uk/oyster and following the instructions on that website.

A University purchasing card may be used to purchase an Oyster card for business use. A journey usage log must be provided with the relevant receipt to demonstrate that all of the credit has been used to fund business related travel. Any credit not used must be refunded to the University by the card holder. For this reason, it is recommended that purchasing cards are not used in this way unless the exact cost of the journeys to be taken is known in advance.

Air travel

Booking of travel

Air travel should be either booked through the University's Approved Travel Management Company or directly by the employee. The preferred method is to use the Approved Travel Management Company. This will ensure that the University obtains the best value for money, reduces the need for staff to spend time researching fare options, and is able to trace the location, and advise, its business travellers through a single source.

Where air travel is booked directly by an employee, staff must provide evidence that they have booked the cheapest available fare. This evidence should include quotes from at least three airlines to demonstrate that the cheapest option was taken. One of these quotes must be from the Travel Management Company.

Class of travel

Travel should normally be in economy class. Premium economy class may be booked only for flights exceeding 6 hours, and only with prior approval of the [relevant Executive Dean/Head of Support Department/Chief Executive](#). Business class may only be booked where premium economy is not available and under the same circumstances detailed above. However, free upgrades to premium economy or business class may be taken if offered at check-in.

Frequent flyer bonuses

Staff may retain frequent flyer bonuses accrued to them on business travel, provided that the earning of these benefits has not resulted in any incremental costs to the University.

Taxis

Taxis should only be used in the following circumstances:

Journeys within the M25 boundary:

- Travel home if you are occasionally required to work until such a time where public transport is no longer operating. Late working that follows a predictable pattern (e.g. every Friday) or occurs frequently (more than 60 occasions per year) does not qualify.
- Travel whilst carrying heavy or bulky University materials and equipment.
- Journeys to and from London airports on [University Company](#) business if the luggage to be carried makes travel by public transport impractical, or if the journey is outside public transport operating hours.

Journeys outside the M25 boundary

- Whilst on a UK or overseas overnight stay on [University Company](#) business, taxis may only be used if the journey is business-related (e.g. travel from a hotel to a conference venue & travel from hotel to an airport); and there is no practical public transport alternative.

A receipt showing the name of the taxi company, the start and end point of the journey and the cost of the journey must be obtained.

Private vehicles

Private vehicles should only be used for business travel when it can be demonstrated that the destination is difficult to access by public transport, or when heavy or bulky equipment has to be carried.

Staff wishing to use a private vehicle on University business should do the following before any use takes place:

- Complete a [car user application form](#). This should be authorised by the [relevant Executive Dean/Head of Support Department/Chief Executive](#)
- Obtain comprehensive insurance which includes use of the car in connection with the employee's business. Business use will not be included in most standard car insurance policies and it is likely there will be an additional premium to extend policies to cover business use. This additional premium will not be reimbursed by the [University Company](#).
- Submit the authorised car user application form to the Finance Department together with a copy of the insurance certificate stating that cover for business use has been obtained.

Once the above steps have been completed, staff may submit expense claims for mileage. Claims should be submitted on the standard expense claim form with details of the journey, date, reason, departure point and destination. The amount to be claimed in each tax year is as follows:

- Up to 10,000 miles 40p per mile
- Over 10,000 miles 25p per mile

- Motor cycles or mopeds 24p per mile

The tax year runs from 6 April to 5 April. Staff claiming mileage should keep a cumulative record of mileage in order to claim accurately.

The University Company will not accept any liability for incidents arising from the use of a private vehicle being used on University business. In addition to arranging insurance covering business usage, it is the responsibility of the individual to ensure that their vehicle is legally roadworthy with a valid MOT certificate (when applicable), is taxed and is suitable for business use.

Parking or other fines will not be paid. The London Congestion Charge will not normally be paid unless agreed in advance on the basis of demonstrated business need as there is no-rarely any justification for using a private vehicle to travel in central London unless demonstrated unavoidable. Car parking and bridge/tunnel tolls may be claimed.

University purchasing cards must **NOT** be used to purchase fuel for private vehicles as this is included in the mileage rates.

Standard Mileages

Certain journeys are undertaken frequently by University staff and those have been allocated standard distances which should be used on your-relevant Company claims.

They are:

- Southwark to Harold Wood (Essex) 21 miles
- Southwark to Whipps Cross (East London) 20 miles
- Harold Wood to Whipps Cross 13 miles
- Southwark to Stanmore (RNOHT) 16 miles
- Stanmore to Harold Wood 32 miles

Hire cars

For road journeys over 100 miles, employees may hire a car rather than use a private vehicle as this will often represent better value for money, and will remove the need to go through the steps required for private car usage. The University Company will meet the hire and fuel costs.

The size of the vehicle hired should be no larger than the minimum required to comfortably transport the employee(s) and required luggage.

The level of carbon emission should be considered in selecting a vehicle within the same class of vehicle. Band A and Band B vehicles offer optimum performance. Lower carbon emissions is currently not a justification for the hire of higher class of vehicle where that hire attracts an increase in price.

9. Accommodation

Hotels

Employees may stay in hotels when on University Company business away from home if the journey time plus the time spent conducting University Company business is 12 hours or more if it would be unsafe to travel home. Employees may also stay in hotels when part of a multi-day conference.

The maximum limit for bed & breakfast accommodation in the UK is £100 per night per person. Hotel Accommodation should usually be booked through the University's approved Travel Management Company ~~an Allen Travel~~. Where hotel accommodation is booked directly by the employee, every effort should be made to find the cheapest accommodation of an acceptable standard. 'Acceptable standard' means cleanliness, privacy, personal security and the availability of breakfast. This would normally correspond to hotels with a UK 3 star rating.

The claim limits for hotel accommodation overseas are on a country-specific basis and will be updated periodically to reflect exchange rate fluctuations. See Annex 1 for current limits.

Staying with friends/relatives

An allowance of up to £25 per night can be claimed to meet the cost of hospitality provided by a friend or relative as an alternative to staying in hotel accommodation. On each occasion a claim is made, it must be supported by a statement from the employee confirming that payment of the sum claimed was made to the third party.

10. Subsistence

Meal allowances

The following daily limits apply when away from the University and engaged in [University Company](#) business in the UK for more than 5 hours:

- Business requiring between 5-7 hours away from the workplace – up to £10, e.g. the cost of lunch and other refreshments
- Business requiring 7-12 hours away from the workplace, including travel time – Up to £15.
- Business requiring 12+ hours away from the workplace, and when overnight bed & breakfast accommodation has been booked – up to £40, with a maximum of £25 for the evening meal.

Evening meals may only be taken when staying away from home overnight in circumstances outlined in the 'Hotels' section.

Employees may claim a maximum of £25 per head per night for an evening meal. This may include a modest amount of alcohol, e.g. a glass of wine, pint of beer. Any alcohol consumed above this allowance is a personal expense. Receipts must be obtained for all expenditure and submitted with the relevant expense claim/purchasing card statement.

The claim limits for meal allowances overseas are on a country-specific basis and will be updated periodically to reflect exchange rate fluctuations (see [Annex 1](#)).

Other subsistence costs

A daily limit of up to £5 in the UK and up to £10 overseas will be paid to cover personal expenses such as laundry, internet access and private phone calls. Receipts must be provided in all cases. Payment for set fee internet access for business uses will not be included in this allowance when overseas, provided that the set fee was the best value option for business purposes.

Items to be paid for by the employee

Personal items, including those below, may not be paid for using a University purchasing card or claimed through the expense system:

- Luggage
- Clothing
- Cosmetics
- Toiletries
- Personal books, magazines and CDs
- Access to premium airport lounges
- Electronic equipment such as cameras, mobile phones and memory sticks
- Alcoholic drinks over and above the evening meal allowance shown above
- Mini bar alcoholic drinks and snacks
- Films
- Treatments in hotel leisure facilities

11. Passports, Visas and Vaccinations

Employees are responsible for ensuring that they have a valid passport for overseas business travel, and the necessary visas and vaccinations. Advice on requirements for travel destinations is available through the Travel Management Company. For any journey, the expiry date of the passport should be at least 6 months after the date of returning to the United Kingdom. Employees must ensure that they meet all passport and visa requirements for their travel destination. It is expected that employees have passports for their own personal use; therefore the cost of a passport will not be met by the [University Company](#). Neither will the [University Company](#) meet the cost of replacing

lost or stolen passports. If a second or replacement passport is required for official business purposes, due to a very high volume of business travel, the [University Company](#) will meet the expense of a second or replacement passport.

Employees are responsible for ensuring that they have the necessary visas and vaccinations for the areas they will be travelling to. The cost of visas, vaccinations and any required medication (e.g. anti-malarial tablets) will be met by the [University Company](#).

12. Travel Insurance

Policy Cover

The University will maintain travel insurance to cover [Company](#) employees and students travelling on Official Business. Details of the University's current insurance cover are on the Health and Safety web pages <http://www1.lsbu.ac.uk/safety/HSpolicies/policies.shtml>

For the purpose of travel insurance employees are categorised as follows:

- Type 1 - Business travel within the UK territorial limits (i.e. road or rail travel with an overnight stay, or a journey made via domestic flight within the same working day)
- Type 2 - Business travel to a foreign destination which originates within the UK
- Type 3 - Business travel to a foreign destination which originates outside of the UK and relates to Official Business of non-domicile employees

Each type of travel may vary in the level of insurance cover in place.

Type 3 cover is not generally available except by arrangement with the Corporate Procurement Unit prior to travel, and on an individual traveller basis

Full policy details are held by the Corporate Procurement Unit. Employees are required to review the University's travel insurance prior to travel to ensure that they comply with all insurance requirements and to ensure that sufficient cover is in place for their upcoming business-related travel, including any [University Company](#) materials and equipment to be carried.

Private Travel Insurance

Employees must arrange adequate private travel insurance to cover any private travel that they have arranged in conjunction with official business travel (such as extra days linked to the business trip, accompanied by partner, etc.). The [University Company](#) will not reimburse additional personal insurance costs.

Materials and Equipment

When [Company or](#) University materials and equipment are carried, members of staff should check with the Corporate Procurement Unit, Finance Department, that these items are covered by the University's insurance policies. If they are not covered, the Corporate Procurement Unit, Finance Department will arrange special cover where appropriate.

When members of staff carry their own materials and equipment, they are responsible for arranging any insurance cover.

Lost Luggage

The University's travel insurance policy provides cover in the event of lost luggage. Employees may purchase minimal, essential replacements as detailed in the University insurance policy. Any items over and above this will be regarded as personal items and their cost will not be met by the [University Company](#).

13. Emergency Travel

Employees must ensure that they have followed the necessary booking processes and completion of [registers](#) to ensure that the [University Company](#) can locate and contact them in the case of an emergency (see Booking of Travel Section 6). In the case of an emergency, staff who have booked using the University's Travel Management Company should contact the Travel Management Company who will provide support as required.

Staff who have booked directly should contact their line manager. If the line manager cannot be contacted, staff should contact the University's emergency control room on number +44 207815 6666. Staff will be reimbursed for necessary and reasonable additional travel and subsistence costs incurred during an emergency.

14. Cancellations

Travelling employees are responsible for cancelling reservations within the timeframes permitted in the booking arrangement, either by contacting the University's Travel Management Company or dealing direct with the booking agent. Written evidence of cancellation should be provided and a cancellation reference obtained.

'No show' charges are not reimbursable by the University Company and the traveller will be held responsible for these costs.

Under circumstances where the reason for cancellation is outside the control of the business traveller the cost of cancellation may be submitted as an insurance claim to the University's insurer. In providing evidence of the cancellation the business traveller is required to attempt to mitigate the cost of cancellation as far as possible by transfer of the booking to a later date or to another employee.

15. Payment for travel, accommodation and subsistence

Travel and/or accommodation should be booked through the University's Travel Management Company. Payment will be made directly ~~by the University to the Travel Management Company~~ an Allen Travel.

If travel and/or accommodation is booked by the employee, payment will either be made using personal funds and subsequently reclaimed (See Expense Claim Procedure section below), or by University procurement card.

Subsistence costs will be incurred directly by the employee. Payment will either be made using personal funds and subsequently reclaimed (See section Expense Claim Procedure section below), or by University procurement card.

Payment by the University

When travel and accommodation is paid direct by the University, an authorised purchase order to travel agent must be raised before travelling in accordance with the Financial Regulations.

Purchasing Card

When travel, accommodation and subsistence costs are paid for using a University purchasing card, all receipts must be retained and submitted to the Financial Controller with the corresponding monthly statement. All payments made by Purchasing Card must be in accordance with the University's Purchasing Card User Guide (located on the Corporate Procurement web page).

Expense claim procedure

When travel, accommodation and subsistence costs are paid for using personal funds, all receipts must be retained and an expense claim must be submitted within 3 months of the trip. An expense advance may be requested for expenditure over £200. There are separate procedures on the finance department intranet setting out how to obtain an advance. An expense claim must be submitted within 2 weeks of receiving the related advance.

All expense claims must be made using the LSBU expense claim form and submitted to the Finance Department. This form should be used to claim for actual travel, subsistence and other expenses incurred, and to claim mileage in accordance with the guidance set out in section 12. All claims for actual expenses incurred (i.e. not mileage) must be supported by a receipt. Note that credit and debit card vouchers are not sufficient; a

receipt clearly showing the item paid for must be provided. Claims submitted without receipts will not be paid.

Expense claims must be submitted within three months of the expenditure being incurred. Claims received after this deadline will not normally be paid.

Expense claims relating to overseas travel, travel with spouse/partner and UK travel costing over £300 must be accompanied by a Travel Authorisation Form (See section 5).

The expense claim system is intended to refund travel and subsistence expenditure that could not be met directly by the University. The expense claim system should not be used to purchase items such as technical equipment, subscriptions and membership fees. These items should be purchased directly by the University via purchasing card or purchase order.

The expense claimant is responsible for ensuring that their claim abides with this Policy.

All expense claims must be authorised by another member of staff according to the hierarchy shown below. The person authorising the claim must check that the claim abides with this policy. Employees must not authorise their own expense claims.

Expense claimant	Authoriser
Departmental / Faculty <u>Company</u> staff	Head of Department/Executive Dean <u>Head of Team</u>
Head of Department <u>Academic Team</u>	Executive Dean <u>Chief Executive</u>
Head of Support <u>Department</u> Chief Executive	<u>Company Director who is Member of Executive</u> Appropriate Member of the Executive
Member of Executive	<u>Vice-Chancellor</u>
<u>Vice-Chancellor</u>	<u>Chair of Board of Governors</u>

By authorising a claim the authorising person is confirming that expenses were incurred in the course of business, have been allocated to the correct posting string, comply with the University's Company's travel and expenses policy and are supported by receipts or other documentation.

Provided that the above steps are complied with, and the expenditure claimed for is in accordance with the Policy, the claim will be paid with the next salary payment on your pay date. The cut-off deadline for payroll is the first day of the month. Any claims received after this will be paid in the following month's payroll.

Where more than one employee's expenses are to be claimed on one claim form, the employee who incurred the expenditure should submit the claim. The names of the employee's claimed for should be included in the narrative section of the form.

Claims for expenditure in foreign currencies should be converted into sterling. Evidence of the exchange rate used (a commission slip or copy of an entry on a credit card bill) must accompany the claim; otherwise the rates prevalent at the date the claim is processed may be applied. Commission charged on currency exchange is reimbursable as a separate amount and should not be included when calculating the exchange rate.

Items to be funded by employees

The following may not be paid for using a University purchasing card or claimed through the expense system. They should be funded by personal employee contributions.

- Leaving and retirement functions and gifts
- Other gifts of a personal nature
- Floral gifts – other than on the death or serious illness of an employee, student or an employee's partner or child
- Christmas decorations
- Tea and coffee for office use

- Radios for office use

16. Staff entertaining

Modest staff events or functions may be provided by the University-Company at the discretion of delegated budget holders. The majority of staff entertaining will result in a tax liability which, by agreement with HMRC, is met by the University rather than the employee.

This charge is around **50%** of the cost of the entertaining and will be applied to ~~the relevant faculty/department~~Company at the end of the financial year. Holders of delegated budget authority should consider this extra cost when organising staff entertaining events.

17. Non-staff entertaining

It is recognised that the entertaining of third parties is a necessary part of achieving University and departmental objectives. When entertaining, staff should ensure that the amount spent is proportional to the strategic importance of the event and within the following limits:

- Breakfast: £15 per head
- Lunch: £25 per head
- Dinner: £35 per head
- Gifts: £20 per head

These limits should only be exceeded with prior approval of a ~~member of the Executive~~the Chief Executive.

The number of Company and University employees should not normally exceed the number of individuals being entertained.

18. Enforcement and Consequences of Non-Compliance with this policy

Employees who do not comply with this policy may be subject to:

- Withheld/reduced ~~expense~~ claim payment
- Withdrawal of University purchasing card
- Appropriate disciplinary action in accordance with HR policies in place



Annex 1

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Maximum Travel and Subsistence Rates Period: From May 2010

Region/ Country	General Subsistence (per day)	Hotels (per night)
Africa (General)	£40	£160
Ghana	£45	£160
Kenya	£40	£160
Mauritius	£40	£160
Nigeria	£55	£280
Uganda	£40	£150
Asia (General)	£30	£130
China	£50	£160
Malaysia	£30	£130
Singapore	£40	£160
Thailand	£30	£130
Vietnam	£35	£130
Europe (General)	£35	£120
Russia	£80	£250
Turkey	£45	£180
Middle East (General)	£40	£200
Kuwait	£40	£210
Oman	£40	£200
Qatar	£40	£200
Saudi Arabia	£55	£220
UAE	£40	£150
Saudi Arabia	£55	£220
South Asia (General)	£30	£130
Bangladesh	£30	£100
India	£33	£140
India (Delhi)	£33	£180
India (Mumbai)	£33	£180
Sri Lanka	£33	£135
USA (General)	£30	£100
UK	Up to £40	£100
	<i>depending on no. of hours away on business</i>	

	PAPER NO: UE.44(12)	
Board:	Board of Directors	
Date:	9 November 2012	
Paper title:	Intellectual Property and Spin Out Company Matters	
Author:	Sheila Grace, Intellectual Property Manager	
Recommendation:	That the Board notes the report	
Matter previously considered by:	N/A	N/A
Further approval required?	N/A	N/A
Communications – who should be made aware of the decision?	N/A	

Executive summary

The Board is requested to note the report.

SBUEL 'Spin out and Spin in' Companies

Reports

Company	Staff/Student	Status	Report Attached
BIOX Systems Ltd	Staff	Active	No
Solion Ltd	Staff	Active	Yes
ESL	Staff	Dormant	No
Square Edge Design Ltd	Student	Active	No
Demonstrate Design Ltd	Student	Active	No
About Time Design Ltd	Student	Active	Yes
Strongman Games Ltd	Student	Active	Yes
Such and Such Design Ltd	Student	Active	Yes
Drive Daddy Ltd	Student	Active	Yes
MBP Concepts Ltd	Student	Active	No
Nought to Sixty Ltd	Student	Active	No
Infiniti Lane Ltd	Student	Not trading	No
Equination Ltd	Student	Not trading	No
Raison Detre Ltd	Student	Active	No
ZedEL	Student	Dissolved	No
Klever Ltd	Student	Active	Yes
Jeynius Designs Ltd	Student	Not trading	No
Burnt Edge Ltd	Student	Not trading	No
Solar Polar Ltd	Spin-in	Not trading	No
BBM Ltd	Spin-in	Active	No

South Bank University Enterprises Ltd

Spin-Out Company Report

Report Update:

1st November 2012

Company: About Time Design Ltd

Nature of Business: Nova flo device to prevent flooding from baths

Origins: Former enterprise associate of London South Bank University

SBUEL Interest: 14% Equity Stake

SBUEL Director(s): N/A

SBUEL IP: SBUEL has assigned IP (patents) and receives 4% royalty.

Summary of Developments since last Report:

Year to date sales: £17K (2012)*

Year end costs: Not reported

Year to date losses: (£31K)*

* Reported at AGM

History and Previous Reports:

AGM was held 17/10/12 and attended by Jason Ojukwu for University Enterprises. Sales and losses above were reported. In storage, there are 432 units which cost £57.50 per unit to manufacture and are priced at £115. Current sales are 15 – 30 per month.

Previously received equity investment of ~900K

Sales very slow due to recession hitting refurbishment of hotels

South Bank University Enterprises Ltd

Spin-Out Company Report

Report Update:

1st November 2012

Company: *Drive Daddy Ltd (DDL)*

Nature of Business: Design and production of motorised luxury 'hop-on and ride' golf-trolleys

Origins: Former enterprise associate of London South Bank University

SBUEL Interest: 10% Equity Stake

SBUEL Director(s): N/A

SBUEL IP: SBUEL owns the IP that Drive Daddy produces (patent, design registration and trademark)

Summary of Developments since last Report:

Year end sales:	£5700
Year end costs:	£3100
Profit/Loss:	£2600

History and Previous Reports:

Heads of Terms agreed between DDL and Texel Technology – manufacturing, investment and supply chain management for 6% equity, rising to 10% on delivery.

Draft IP licence agreement sent to DDL by University Enterprise.

South Bank University Enterprises Ltd

Spin-Out Company Report

Report Update:

1st November 2012

Company: Klever
Nature of Business: Healthy Cakes
Origins: Former enterprise associate of London South Bank University
SBUEL Interest: 10 Equity Stake
SBUEL Director(s): N/A
SBUEL IP: SBUEL owns the IP that Klever produces (Trade secrets)

Summary of Developments since last Report:

Year end sales: not yet trading
Year end costs: not reported
Profit/Loss:

History and Previous Reports:

Klever has received its first commercial order from Chop'd. Applying for Market Entry Funding from LSBU student enterprise fund to finance packaging to accommodate the order.

South Bank University Enterprises Ltd

Spin-Out Company Report

Report Update:

1st November 2012

Company:	<i>SOLION Ltd</i>
Nature of Business:	Develops and sells and installs mountings for Photovoltaic arrays. Develops other Solar powered products.
Origins:	Based upon know-how/expertise of former LSBU academic (Dr Mike Duke) and PhD student (Dr Loey Salam) developed through Student solar car projects.
SBUEL Interest:	16% Equity Stake in SOLION. SBUEL has a loan of £52K outstanding.
SBUEL Director(s):	No Director
SBUEL IP:	None

Summary of Developments since last Report:

Accounts outstanding 2010-2011

History and Previous Reports:

Solion has an outstanding loan of £54,192 which, with interest amounted to £55,038. A monthly repayment schedule has been agreed and the first payment made on 31st October 2012.

Nov 11: Case of Infringement (by SOLION of RENU SOL IP) heard in German courts last week. Thrown out and costs awarded against RENU SOL (75%).

Also heard SOLION claims that RENU SOL Patent Invalid. Judges accepted that Claims invalid. Likely to go to Appeal (2-3 years).

Mar 11: Court case for Infringement pending in Germany (RENU SOL – Major Ger Industrial Company).

Accounts for 2011 are outstanding.

South Bank University Enterprises Ltd

Spin-Out Company Report

Report Update:

1st November 2012

Company: *Strongman Games*

Nature of Business: Designers of online games and multi-player gaming environments

Origins: Former enterprise associates of London South Bank University

SBUEL Interest: 10% Equity Stake

SBUEL Director(s): N/A

SBUEL IP: SBUEL owns the IP that Strongman Games produces (trademark and copyright)

Summary of Developments since last Report:

Year end sales:	£21640
Year end costs:	£2900
Profit/Loss:	£18740

History and Previous Reports:

The company has 3 directors who have decided that sales can no longer support them. Two directors have found other employment, and agreed with the third (Erlend Grefsrud) to assign their equity to him. SBUEL's position is unchanged. Strongman Games remains one of our more successful student spin-outs.

South Bank University Enterprises Ltd

Spin-Out Company Report

Report Update:

1st November 2012

Company: *Such & Such*

Nature of Business: Design and product development of product to enhance mobility

Origins: Former enterprise associate of London South Bank University

SBUEL Interest: 5% Equity Stake

SBUEL Director(s): N/A

SBUEL IP: SBUEL owns the IP that Such & Such produces (design registration)

Summary of Developments since last Report:

Year end sales:	£15000
Year end costs:	£4000
Profit/Loss:	£11000

History and Previous Reports:

Such and Such has received some large orders from Europe and USA for their new products – Duo and Bridgit. They are applying for Market Entry Funding from LSBU student enterprise fund to finance manufacture. – Waiting for accounts and sales plan.

Confidential

IP monitor and plan: Updated 01/11/2012

Ref No.	Type of IP Patent Family (IP Company)	Title	Inventor	Filing Date/Priority Date	Development Plan & Stage	Progress Nov 2011 – Sept 2012	Recommendation
Staff Projects							
1	Copyright	Proper Computing Ltd	Martin Bush	First raised Aug 2010	Spin-out versus no equity Was awarded EOF but funded research himself	<ul style="list-style-type: none">• Agreement sent to Martin for approval.• <i>Martin now wants to change the deal to access investment from LSBU. He has been asked for a proposal.</i>• <i>In addition Martin has taken on 2 EELS students</i>	Await proposal
2	Copyright	Sound Mathematics	Larissa Fradkin	First raised Jan 2010	Assignment for no equity, 7.5% royalty until £50k has been paid.	Agreement signed by Larissa 01/08/2011	Expect financial update end 2012
3	Patent (First Thought IP)	Drug Detector	Vicky Hilborne	12/01/2006	Looking for potential licensees	<ul style="list-style-type: none">• No change - Waiting for Vicky to test the new electronics;• Vicky also exploring other possible applications;• Independent advice suggests drop. Japanese patent dropped 17/11/2011 to avoid incurring significant costs.	Negotiations underway with Matthew Reed to take a temporary licence on the IP and funding its commercialisation. SBUEL would receive a small royalty.
4	Patent UEL 007 (Lucas and Co)	Measuring Vapour Flux	Bob Imhof	08/10/2002	Licensed to BIOX	Accounts delivered. Royalties invoiced - £9831	No Action
5	Patent	Socket Lockit	Paul	15/07/2010	Qualified for EOF	Commercial opportunity note	Negotiations

Ref No.	Type of IP Patent Family (IP Company)	Title	Inventor	Filing Date/Priority Date	Development Plan & Stage	Progress Nov 2011 – Sept 2012	Recommendation
	(First Thought IP)		Jones (ESBE)		support	sent to industry – 1 response; Licensing interest from Matt Reed who has sent a proposal.	ongoing to license to Matt Reed
7	Patent (First Thought IP)	Addiction Monitor	Simon Noyce	20/11/2009 20/11/2010	Qualified for EOF support	Patent dropped Nov 2011 Decision based on market research by IP team showed product ok for research purposes but not commercially viable. Also, supported by independent advice.	No action
8	Patent (First Thought IP)	Coursework submission system	Simon Noyce	25/01/2010	Requires evidence based Business Plan	PCT filed; - examiner found prior art therefore will drop. Joined with Jonathan Tanner's Working Group; 10 prototypes will be made. Market research showed possible customers at other universities; Blackboard offered presence at discussions with user-groups. Simon would like to set up spin-out company.	Simon to complete 10 prototypes and 'hand-over' coding to ICT to operate whole system. Simon producing commercialisation plan.
9	Patent (Potter Clarkson)	Alkenes Process	Basu Saha	31/07/2009	EPSRC follow-on grant of £100k.	Pre-licence work commissioned with Transentia. So far discussion with 3 companies: Huntsman – signing NDA for further discussions. DSM – only interested if hydrogen peroxide can be used as an oxidant Shasun – NDA being agreed. Under evaluation with further 11 companies.	Continue talks with interested companies. Transentia contract extended to support this commercialisation

Ref No.	Type of IP Patent Family (IP Company)	Title	Inventor	Filing Date/Priority Date	Development Plan & Stage	Progress Nov 2011 – Sept 2012	Recommendation
10	Patent UEL 032 (Lucas and Co)	Breathing Apparatus (Hybreathe)	Sumner / Brown	12/03/2002 23/04/2008	Standard Emerald (£27k) to investigate market and prototype.	<ul style="list-style-type: none"> See No.36 below Discussion with Altitude Centre revealed that the product was not marketable with soda lime as a carbon dioxide absorbant. 	Hold until results of carbon fibre tests are available
11	Patent (First Thought IP)	Water Sports Equipment	Barney Townsend	02/02/2006	Seek licensing opportunity	<ul style="list-style-type: none"> Commercial Opportunity note sent to industry – 1 response who would like to test it; Testing contract sent to the interested company – but awaiting agreement. 	<p>No response to licensing opportunity. Assignment offered to inventor and refused.</p> <p>Patent will be dropped</p>
12	Copyright	Computer Programme for recording and analysing skin images	Perry Xiao	2010	Sales of programme through consultancy	<ol style="list-style-type: none"> May be included in new product from Biox; Need to discuss licence. 	Biox have developed their own product and therefore do not need to license LSBU's.
Graduate Projects							
13	Design/Copyright IP	ELENANY	Sarah Elenany		Branding on clothes fashion line aimed at Muslims	<ul style="list-style-type: none"> Licence agreement. 	
14	Copyright	Strongman Games computer code and design	Rohan Feldmeser, Kalli Karlsson, Erlend Grefsrud	Ka-Bloom	Licensed to Strongman Games Ltd	<ul style="list-style-type: none"> Ka-Bloom product licensed to the BBC with royalty based income. Assignment from SBUEL to Strongman Games to enable license to BBC. 	
15	Patent (First Thought IP) Design Trademark	Novel Trailer	Matthieu Philippault	02/03/2010	Manufacturing and sales	<ul style="list-style-type: none"> Fast-tracked UK patent to support the speed of business development; First trailer sold. 	Matthieu negotiating with French manufacturer to reduce cost of manufacture

Ref No.	Type of IP Patent Family (IP Company)	Title	Inventor	Filing Date/Priority Date	Development Plan & Stage	Progress Nov 2011 – Sept 2012	Recommendation
16	Design Registration	Children's Furniture	Matthieu Philippault		Development delayed as MP working on Trailer project	<ul style="list-style-type: none"> No progress to report but example used to develop possible business with Blue Baboon Design and Paul Austin (via Richard Farleigh) 	Hold
17	Patent (First Thought IP) Trademark Design Copyright (in controller).	Rolleygolf	Arnold Du Toit	25/11/2010 Patent at PCT Possible IP in development of controller Design registrations filed in EU, USA & South Africa	15 Rolleygolf's manufactured	<ul style="list-style-type: none"> Ongoing positive market response; Orders lined up and now taking deposits; Delivery planned for September Draft licence being discussed 	License to Drive Daddy Ltd. The final licence will aim to attract long term investors by including a clause to convert the license to irrevocable or assignment when the company reaches agreed sales target.
EAS 2011							
18	Patent (First Thought IP)	Calm Tea Cup	Judith Lane	20/06/2011	New Patent Filing	Assigned to SBUEL PCT filed. Design registrations filed	Product prototypes for testing made. Ethics application in process.
19	Patent (First Thought IP)	Horse Feeder	Claire Nutkins	20/06/2011	New Patent Filing	Assigned to SBUEL PCT filed	Prototype being constructed for testing
EAS 2009 and 2010							
20	Design Registration (First Thought IP)	Wrap-around cup handle	Hayley Smith		Prototype made	Applied for design registrations in Europe and USA	Product now on sale. Licence agreement in preparation
21	Registered copyright	Programme Idea	Josh Oliver	20/10/2010 28/10/2010(filed)	IP Team to discuss plans for future with Josh.	Received a good response in Nice; Will licence or sell the idea.	No action
22	Design	Hooks for	Hayley		Prototype made	Applied for design	Product now on sale.

Ref No.	Type of IP Patent Family (IP Company)	Title	Inventor	Filing Date/Priority Date	Development Plan & Stage	Progress Nov 2011 – Sept 2012	Recommendation
	Registration (First Thought IP)	hanging Crutch	Smith			registrations in Europe and USA	Licence agreement in preparation
Invention Disclosures							
23	Copyright	Feature Documentary and Associated Film Media	Josh Oliver	August 2011	In Production	'Music in Space' will be 2 nd Year students design competition.	No action
24	Invention Disclosure	Pad for Crutch handle	Hayley Smith	TBC	Prototype made	No progress - Development on hold as they focus on Wrap-around cup handle and Hooks for hanging crutch	No action
25	Invention Disclosure	Suckipad	Hayley Smith	TBC	Prototype made	No progress - Development on hold as they focus on Wrap-around cup handle and Hooks for hanging crutch	No action
26	Invention Disclosure	Carbon Dioxide Absorbing Material	Basu Saha Dipesh Patel	15/11/2011	Testing absorption capacity of material	Hybreathe project was not moving forward with the problems associated with using soda lime; Post-doc working with Professor Basu Saha The carbon fibre absorbs carbon dioxide – possible new IP. Such & Such have designed a pathway to maximise absorption which is currently being tested.	Set up project meeting

	PAPER NO: UE.45(12)	
Board:	Board of Directors	
Date:	9 November 2012	
Paper title:	Key issues Memorandum	
Author:	Grant Thornton, External Auditors	
Recommendation:	That the Board notes the key issues memorandum	
Matter previously considered by:	University Audit Committee	On: 30 October 2012
Further approval required?	N/A	N/A
Communications – who should be made aware of the decision?	N/A	

Executive summary

The Board is requested to note the key issues memorandum relating to the company's accounts and the accounts of the University (into which the company accounts will be consolidated). No material weaknesses have been identified.

Items relating to SBUEL in the document are:

- Point 7 of Matters identified at the planning stage (on page 6) SBUEL negative reserves – presentation and measurement of proposed restructuring
- Point 2 of Design effectiveness of internal controls (on page 20) Credit control - SBUEL

Key Issues Memorandum

London South Bank University

For the year ended 31 July 2012

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To the Audit Committee of London South Bank University

The purpose of this memorandum is to highlight the key issues affecting the results of the University and the preparation of the University's financial statements for the year ended 31 July 2012. It is also used to report to management to meet the mandatory requirements of International Standard on Auditing (UK & Ireland) 260.

We take responsibility for this memorandum, which has been prepared on the basis of the limitations set out in 'The small print' (Section 7).

We would like to take this opportunity to record our appreciation for the kind assistance provided by the finance team and other staff during our audit.

Grant Thornton UK LLP

Chartered Accountants

Member firm within Grant Thornton International Ltd

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1 Key audit issues

In this section we present our findings in respect of matters and risks identified at the planning stage of the audit and we provide details of additional matters that arose during the course of our work.

1.1 Status of audit

Our audit is substantially complete although we are finalising our procedures in the following areas:

- Operating expenses review
- Governors and senior post holders emolument certificates
- Review of final accounts
- Review of HESES report
- HESA data collection report
- Bank letters
 - Barclays liquidity fund
 - Barclays loan
 - HSBC access account – 71375423
 - HSBC treasury – 01549642
 - HSBC Euro Liquidity fund
 - Natwest general 39218635
 - Natwest charitable funds
 - Natwest access
 - Natwest euro – 550042039487
 - Lloyds TSB bank 00849907
- Investment confirmation
 - BlackRock
- Review of impairment review paper
- Post balance sheet events review

- Representation letter

1.2 Matters identified at the planning stage

In the conduct of our audit, we have not had to alter or change our audit plan, which we communicated to you in our Audit Approach Memorandum presented to the Audit Committee in June 2012.

Our responses to the matters identified at the planning stage are detailed below in section 1.7.

1.3 Matters identified during the course of the audit in relation to fraud

There were no matters identified during the course of the audit in relation to fraud.

1.4 Matters identified during the course of the audit in relation to related parties

There were no matters that arose in the course of our audit in respect of related parties [subject to review of Governors and senior post holders emolument certificates.]

1.5 Matters identified during the course of the audit in relation to compliance with relevant laws and regulations

There were no matters identified during the course of the audit in relation to compliance with relevant laws and regulations.

1.6 Written management representations

Representations will be requested from management in respect of impairment of fixed assets.

1.7 Matters identified at the planning stage

	Issue	Auditor commentary
1	<p>Student numbers and existence of HEFCE income The recognition of HEFCE funding has been a significant issue for the sector as a whole in recent years and continues to be a complex area.</p> <p>The increased focus on the accuracy of student data returns on which performance against the HEFCE contract is assessed continues. A number of institutions in the sector have suffered clawbacks of grant where data returns have been found to be inaccurate, or not fully in accordance with the HEFCE definition of student non-completions.</p> <p>We are aware that the University has historically had data quality issues and management implemented various controls in the prior year. A data quality review undertaken by internal audit in the current year did, however, identify significant weaknesses. Further evidence of poor data quality has resulted in an increased clawback provision for over-recruitment in 2010/11.</p>	<p>We have reviewed the amount of income recognised from HEFCE and agreed to supporting documentation and correspondence. No issues were noted from our work.</p> <p>A provision of £837k has been included in the accounts as a result of the penalty for over recruiting in 2010/11. We have reviewed the documentation relating to this provision and are satisfied that the amount represents an adequate estimation of the fine that is likely to be imposed, with £816k of this provision having been confirmed by HEFCE in a letter dated 26 September 2012, following their review of the HESSES 2010 re-creation.</p> <p>We understand management are aware of the on-going data quality issues and are actively taking steps to ensure improved quality. Some of these remedial actions taken include regular reporting now made to the Board, and significant time being invested in staff training.</p> <p>We will need to review the HESA data collection systems report when this becomes available.</p> <p>[TO UPDATE WHEN RETURNS HAVE BEEN REVIEWED]</p>
2	<p>Existence of tuition fee income and recoverability of debtors Income from tuition fees continues to form an increasing part of the University's income each year. It should be noted that the University has an effective credit control function and consequently does not consider the recoverability of student debts to be a significant risk area.</p>	<p>We have carried out substantive testing and analytical reviews of tuition fee income and we are pleased to report that no issues were identified. Income recognised in the year is in line with our expectation, which was set, based on actual student numbers and standard fees set by the Board for 2011/12.</p> <p>The policy for providing against student debts has been applied consistently year on year and we consider this policy and level of provision to be appropriate.</p>

	Issue	Auditor commentary
3	<p>Existence of income from Strategic Health Authority education contracts These contracts constitute a significant proportion of the University's income and, given the current changes in the NHS, this income stream could potentially be at risk.</p>	<p>We have reviewed the amount of income recognised from the NHS and agreed to supporting documentation and correspondence. No issues were noted from our work.</p> <p>We do, however, highlight the significant increase in the claw-back provision in the year of £2.7m (2011: £1.4m) which is due to the under-recruitment of students. This was a consequence of the University piloting the new nursing BSc which is replacing the diploma. Students choosing to take the BSc rather than the diploma received a less favourable bursary from the NHS and so this impacted student applications at the University, with some students applying for the old diploma at other London HEIs in order to receive a better bursary. Going forward, all London HEIs will be offering the new BSc and so the difference in bursaries will no longer apply. The University has been assured by the NHS that it will not be penalised for the reduced student intake in 2010/11 as it was related to the pilot scheme.</p> <p>The main contract which is for Nursing and Midwifery has been renewed for 2012/13 following the tendering process. The contract was awarded for only 400 (2012: 886) students which is significantly less than in 2011/12 as there was a need to reduce the number of students in nursing training in London.</p>
4	<p>Existence of payroll costs Payroll expenditure constitutes a significant proportion of the University's costs.</p>	<p>We have carried out analytical reviews on payroll cost in the year. The results for the year were in line with our expectations.</p> <p>In light of the recent payroll issues identified in March 2012, we have reviewed the payroll investigation report prepared by the internal auditors. The investigation identified a number of control weaknesses present at the time of the salary payment in March 2012. In particular, it appears the requirement to check all entries/calculations on payroll hard copy documentation was not complied with. This lack of compliance was a contributory factor to the payment's occurrence.</p> <p>We note that following the appointment of an Interim Payroll Manager in March 2012 the control environment appears to have been strengthened with the implementation of a number of new controls. We have focussed our audit approach on these new controls to ensure they are being adhered to by staff</p>

	Issue	Auditor commentary
		<p>and that they are operating effectively.</p> <p>We were able to observe these controls through our walkthrough testing, and from this work are able to conclude that the controls appear appropriate for the detection and prevention of significant payroll fraud.</p>

DRAFT

	Issue	Auditor commentary
5	<p>Existence of accommodation income and recoverability of debtors Income from residences, catering and conferences continues to form a significant part of the University's income each year.</p>	<p>We carried out analytical review on these income stream and no issues were noted from our work. The income generated has remained fairly consistent year on year. Recoverability of debtors has been discussed in further detail in section 1.8.1 below.</p>
6	<p>Completeness of creditors Due to the nature of the University's activities creditors and accruals are significant and therefore there is a high risk that liabilities relating to the year could be missed in significant volumes, giving rise to a material impact on the reported results.</p>	<p>Our review of creditors and accruals at year end did not identify any significant issues. There has been a significant increase in account payable accruals in the year which is due to the on-going construction work at the Student Enterprise Centre.</p>
7	<p>SBUEL negative reserves – presentation and measurement of proposed restructuring For a number of years, SBUEL has been making gift aid payments of taxable surpluses to the University, despite having negative reserves. This is not in accordance with Company Law. Following legal advice received, the directors have converted the loan due to the University to equity, followed by a capital reduction.</p>	<p>We have reviewed the transactions for the capitalisation of the loan and the subsequent capital reduction, the associated documentation which has been submitted to companies house and the disclosure of the transactions in the financial statements of both the University and SBUEL. We are satisfied that the transactions have been accounted for correctly [subject to the adjustments required in the SBUEL accounts]. The resulting investment in SBUEL in the balance sheet of the University is subject to impairment as the value of SBUEL's net assets are significantly lower than the recorded cost of the University's investment. Any impairment charge could be subject to corporation tax, with the impairment amount being treated as taxable income in the University. This is because HMRC may view it as a non-qualifying investment or non-charitable expenditure and impute a tax charge on the amount not properly used for charitable purposes. Any resulting tax charge is unlikely to be material to the financial statements of the University. However, we recommend that management document clearly the reasoning behind the restructuring should there be any future challenge from HMRC.</p> <p>Management comment: Agreed. The reasoning behind the restructuring has been documented clearly and demonstrates the future benefits to LSBU of the transaction</p>

	Issue	Auditor commentary
8	<p>Valuation of properties</p> <p>The University has now finalised its plans for the Terraces which will be redeveloped at an estimated further cost of £13.5m. The resulting total spend will likely exceed the final carrying value and so an impairment charge of £3m (being the stabilisation costs incurred in previous years) will be incurred in the year. The University is also continuing its plans for the development of the Student Union building. It is likely that the final cost of the building will exceed the resulting 'market value', but the Board do not consider that the property will be impaired due to the wider benefits provided to the University from having a new Student Union building (for example improving student experience).</p>	<p>We have reviewed the documentation to support the carrying value of the Terraces and the Student Union building and have considered the arguments and assumptions therein. These have been discussed with senior members of the finance team. We have not identified any significant issues but we will monitor the progress of both the Terraces and the Student Union building going forward to ensure that the costs do not exceed the budget and that the completed buildings function and deliver according to the original plans.</p>

	Issue	Auditor commentary
9	<p>Defined Benefit Pension Scheme</p> <p>The University has received an actuarial report for the Local Government Pension Scheme (LGPS) valuation as at the year-end in accordance with FRS17. The Governors are responsible for ensuring that the assumptions used in these reports are appropriate to the members.</p>	<p>We have reviewed the assumptions used in the actuarial reports and our comments are detailed further in Section 2</p>
10	<p>Loan covenants</p> <p>The University has loans with financial institutions. The breaching of any of the covenants in these loans could lead to the University having to repay these amounts on demand and would need to be disclosed as such within the financial statements in accordance with Financial Reporting Standard 25.</p>	<p>We have reviewed the financial covenants' calculations and the group's compliance. No issues were noted from our work.</p> <p>Our review of non-financial covenants revealed that the bank requires management accounts on a quarterly basis within 45 days of quarter end, audited financial statements annually within 180 days and HEFCE forecasts at least annually in line with submission requirements to HEFCE. We understand from the relationship manager at the bank that there were some issues in the year with regards to receiving both management accounts and financial forecasts. Although the report from the bank stated that the issue has now been resolved, and all management information is up to date, this does highlight a control weakness as non-compliance with covenants (both financial and non-financial covenants) could result in the loan becoming payable on demand.</p> <p>We recommend that the covenant compliance process is formalised and documented within the monthly management information to ensure compliance is monitored appropriately.</p> <p>Management comment:</p> <p>A schedule of management information required by the banks will be compiled and the Treasury Manager will be tasked with ensuring that these are sent out as required.</p>
11	<p>Going Concern</p> <p>Each year the Governors consider the going concern status of the University and its subsidiaries for a minimum of 12 months from the signing of the statutory accounts. Part of this consideration is the availability of sufficient funding for that period, including availability of loan facilities that can be drawn immediately.</p>	<p>We are currently finalising our review of going concern. However from our discussions and understanding of the University, we do not anticipate any issues to be identified that would cause concern about the going concern status in the 12 months following the signing of the audit report.</p> <p>We will update this comment when our review is concluded, in advance of the finalisation of this document for the Board.</p>

1.8 Matters identified during the course of the University audit

	Issue	Auditor commentary
1	<p>Halls debtors The debtor balance at the yearend relating to halls of residence was £1,794k and a provision of £1,506k has been made against it. Historically, the provision has been in the region of 90%.</p> <p>We note that the large debtor balances arises as a result of students being invoiced for the year but only required to pay by instalments. To allow them access to the room they are required to pay in advance for the first term. Once the student has the key some students are less likely to paying the remaining instalments.</p> <p>The university is not permitted to withhold a student's degree due to non-payment of rent as the income is treated separately to student fees. This gives little or no leverage other than to issue outstanding notices during the student's remaining time in the accommodation.</p> <p>Once the student leaves the debt has historically been almost impossible to recover hence the large provision.</p>	<p>We recommend that management reviews its letting policies, procedures and agreements. For example, the accommodation could be let on a termly basis rather than an annual basis. Where students do not pay the rent in advance, they should not be granted access to the room.</p> <p>Management comment: Letting policies and procedures and credit control procedures will be reviewed and were necessary recommendations made for improvements.</p>

	Issue	Auditor commentary
2	<p>Control accounts within bank reconciliations</p> <p>A long standing problem with the financial transactional data transferred from the Kinetics Accommodation system (KX) to Agresso has resulted in a credit balance accruing on the Control accounts within bank and cash which management has been unable to reconcile. This issue has remained unresolved for a number of years. The total value of control accounts at the year-end was £837k (2011:305k).</p> <p>In previous years the adjustment has been to temporarily reclassify the balance to creditors for the purpose of preparing the financial accounts. A review of these control accounts carried out by management in the current year has identified that the amounts relate largely to halls debtors. However, this review has not yet been finalised and so the finance team will, again, reclassify the balance to creditors for the purpose of preparing the financial statements. The review will then continue and be concluded in 2012/13 so that the balances can be permanently adjusted and corrected.</p>	<p>We have reviewed management's reconciliation of the control accounts within bank and cash and we concur with the proposal to adjust the balances by £837k.</p> <p>We will review any adjustments made during 2012/13 which will likely reduce the halls debtor balances. We note that halls debtor balances are subject to a 90% bad debt provision and so any reduction in the halls debtor balance will require a matching release of the corresponding bad debt provision.</p> <p>Management comment: A great deal of work has been done during the year to resolve the system and process issues that are causing balances relating to Halls transactions to remain in control accounts. A solution has been proposed which includes changes to the journal that posts transactions from the Halls system to Agresso and reconciliation of data before and after posting. These changes will be implemented before the end of December 2012. Correcting accounting entries will be processed at this point and reflected in the 2013 financial statements.</p>
3	<p>Demolition costs relating to the temporary student union building</p> <p>The University applied for planning permission from Southwark Council to build a temporary student union accommodation in 2006 at Rotary Street.</p> <p>The planning permission has periodically been renewed and the most recent of which was in June 2012. The extended permit was received in June 12 for a period of 6 months expiring on 31 December 2012. The permit states that no further renewal would be granted and the building must be removed and the land returned to its original condition on or before 31 December 2012.</p>	<p>As the plan was that the building was only temporary and would be demolished at some stage, we would have expected that the cost of the building capitalised would include a dilapidation provision and the cost depreciated over the expected economic life of the asset.</p> <p>We understand from management that the estimated demolition cost will be approximately £244k based on a quote from a contractor.</p> <p>The accounting treatment under FRS 12 for provisions states that a provision should be recognised if there is a legal obligation, the liability can be reliably measured and it is probable that economic benefit will flow from the entity. We recommend that management recognises this provision in current year as it meets the requirement under FRS 12. An adjustment has been made to recognise a provision of £244k.</p>

2 Financial reporting matters

2.1 Review of key accounting policies

We have reviewed the financial statements and present our view of the key accounting policies below, bringing to your attention in particular any significant judgements and estimates.

Accounting area	Summary of policy	Comment
Consolidated reporting	<ul style="list-style-type: none"> The consolidated financial statements include the University and its subsidiary undertakings, London South Bank University Enterprise Limited and South Bank University Students Union. Intra-group sales and profits are eliminated fully on consolidation. As all subsidiary undertakings are wholly owned, the University has taken advantage of the exemption contained in FRS 8 and has therefore not disclosed transactions or balances with entities which form part of the group. 	<ul style="list-style-type: none"> The consolidation policy is in line with generally accepted accounting principles.

Accounting area	Summary of policy	Comment
Revenue	<ul style="list-style-type: none"> • Income from research grants, contracts and other services rendered is included to the extent of the completion of the contract or service concerned. This is generally equivalent to the sum of the relevant expenditure incurred during the year and any related contributions towards overhead costs. All income from short-term deposits is credited to the income and expenditure account in the period in which it is earned. • Fee income is stated gross and credited to the income and expenditure account over the period in which students are studying. Where the amount of the tuition fee is reduced, by a discount for prompt payment, income receivable is shown net of the discount. Bursaries and scholarships are treated as expenditure and not deducted from income. • Recurrent grants from the Funding Councils are recognised in the period in which they are receivable. Any payments received in advance are recognised in the balance sheet as a liability. • Non-recurrent grants from Funding Councils or other bodies receivable in respect of the acquisition or construction of fixed assets are treated as deferred capital grants and amortised in line with depreciation over the life of the assets. 	<ul style="list-style-type: none"> • The revenue income is recognised in accordance with generally accepted accounting principles.
Depreciation	<ul style="list-style-type: none"> • Depreciation is provided to write off the cost or valuation less the estimated residual value of the tangible fixed assets by equal instalments over their useful economic life 	<ul style="list-style-type: none"> • The accounting policy states that a rate 5 years is used for equipment, furniture and motor vehicles. From our review, furniture is depreciated over 15 years therefore we recommend that the disclosure of the depreciation policy is updated to show 7% - 20%.

Accounting area	Summary of policy	Comment
Bad debt provision	<ul style="list-style-type: none"> A general provision of 80% is made against all tuition fee debtors, 90% against hall resident debtors and trade and other debtors are reviewed on a regular basis and specific provisions made as appropriate. <p>The policy was set based on past experience.</p>	<ul style="list-style-type: none"> Accounting standards indicate that 'historic experience' should be used when trying to determine the appropriate provision at the year-end therefore it appears in accordance with generally accepted accounting principles. Additionally these policies has been applied consistently year on year.
Other judgements and estimates	<ul style="list-style-type: none"> Pension assumptions Impairment 	<ul style="list-style-type: none"> See 2.3 below See 1.7.8 above

2.2 Disclosure omissions

Our review found no significant omissions in the financial statements.

The movements in the FRS17 deficit for the year, as disclosed in the note 24 to the accounts, are set out below.

2.3 FRS 17 Retirement benefits

The University is involved in three pension schemes; London Pension Fund Authority (LPFA); the Universities Superannuation Scheme (USS); and the Teachers' Pension Scheme.

The requirements of FRS 17 only impact on the LPFA. The other schemes are externally funded schemes where it is not possible to identify the University's share of the underlying assets and liabilities. As such, the University has taken advantage of the exemption under FRS 17 to account for its contributions to these schemes as if they were defined contribution schemes.

Movement	£'000	£'000
Brought forward pension deficit at 1 August 2011		(55,340)
Current service cost	(3,680)	
Employer's contributions paid	4,903	
Finance cost	(2,262)	
Settlements and curtailments	(139)	
Total charge reflected in income statement		(1,178)
Actuarial loss	18,146	
Total loss reflected in STRGL		(18,146)
Pension deficit at 31 July 2012		(74,664)

Assumptions:

The actuarial valuation on which the FRS 17 pension deficit is based has been provided by Barnett Waddingham. As part of our audit procedures we have reviewed their actuarial report, including the assumptions on which the calculations have been based.

The following table shows the key assumptions that have been used by the actuaries:

Actuarial assumptions	2012	2011	benchmark *
Pension increases	1.8%	2.7%	1.9% - 2.2%
Salary increases	3.5%	4.5%	1.9% - 4.0%
Discount rate	3.9%	5.3%	4.1% - 4.3%
RPI increases	2.6%	3.5%	2.5% - 2.8%
CPI increases	1.8%	2.6%	1.5% - 2.3%

* benchmark has been obtained from various other Educational institutions.

Pension increases

We have assumed that the assumptions for pension increases are based on CPI inflation but adjusted to allow for relevant CAP and floor (if applicable). Although this is lower than the benchmark, it is compensated by a lower discount rate.

Salary Increase

This is based on RPI +0.9%. We have seen a tendency to adopt a lower margin in the last couple of years usually 1% or sometimes lower, however, due to the changing economic conditions, the typical margin we have observed over recent periods has reduced to no margin.

Discount rate

This is in-line with the iBoxx AA-rated Corporate Bond index (for terms over 15yrs) which was around 3.89% as at 31 July 2012.

RPI increases

This is based on gilt yields less a usual adjustment for inflation risk premium. It is common for a deduction of up to 0.3% to be made to account for the inflation risk premium and excess demand in the market which pushes down the index-linked gilt yields. The expected return on gilts should be based on current market yields on appropriate Government Bonds. Based on the Market condition as at 31 July 2012, we would expect this to be around 2.8% and therefore the assumption is within an acceptable range.

CPI increases

This is based on RPI less 0.8%. We have been observing downward adjustments of between 0.5% and 1%. We would therefore expect CPI to lie between 1.5% and 2.3%pa. The mean CPI assumption is therefore reasonable.

The mortality assumptions (based on average future life expectancies at 65) used at 31 July 2011 are as follows:

Mortality	2012		benchmark *
	Males	Females	
Current pensioners	20.8	23.8	20.1 – 25.1
Future pensioners	22.8	25.7	22.5 – 26.1

* benchmark has been obtained from various other Educational institutions.

It can be seen that the assumptions used for the University are in line with our expectations and with those used by other similar institutions.

We recommend that the Board keeps the assumptions for future periods under review in order to ensure that they remain appropriate for the University and its subsidiaries' circumstances.

3 Audit adjustments

3.1 Misstatements

We are required to communicate all uncorrected misstatements to you, other than those considered to be clearly trivial. We have requested that management correct these misstatements and have included (where applicable) the reasons given by them as to why the misstatements remain uncorrected.

The aggregate impact of unadjusted misstatements on the income and expenditure account, were they to be processed, would increase the surplus for the year by £15,000.

There is no impact on the audit report as a result of these unadjusted misstatements.

3.2 Impact of misstatements

All adjusted misstatements are set out in detail in section 3.4 below. In summary, the impact of adjustments is:

Income and Expenditure account	Increase/ (Decrease) in surplus
	£'000
Surplus for the year per initial trial balance	6,079
Management adjustments posted	352
Auditor-proposed adjustments posted	84
Final surplus per financial statements	6,515

3.3 Unadjusted misstatements

Journal reference	Detail	Balance sheet		Income and Expenditure		Surplus effect	Reason for not adjusting
		Dr £'000	Cr £'000	Dr £'000	Cr £'000		
Current period unadjusted misstatements							
University							
1	Accruals	83					
	Capital expenditure		83				
	<i>Being overaccrual on a project on-going at the year-end</i>					0	Not material
	Impact	83	83	0	0	0	
SBUEL							
1	Bad debt provision	17					
	Bad debt expense				17		
	<i>Being overprovision against a debt recovered since the year-end</i>					17	
2	Expenses			2			
	Prepayments		2				
	Being write-off of long-standing prepayment balance					(2)	
	Impact	17	2	2	17	15	
Group Impact		100	85	2	17	15	

3.4 Adjusted misstatements

Journal reference	Detail	Balance sheet		Income and Expenditure		Surplus effect
		Dr £'000	Cr £'000	Dr £'000	Cr £'000	
	Draft surplus £'000					6,079
Management adjustments						
1	Interest accrual	129				
	Interest payable				129	
	<i>Being overaccrued interest</i>					129
2	Accruals	121				
	Other operating expenses				121	
	<i>Being correction of accruals reversed</i>					121
3	Other operating expenses			37		
	Prepayments		37			
	<i>Being adjustment to prepayments</i>					(37)
4	Accrued income	120				
	Other operating income				120	
	<i>Being graduation income from Royal Albert Hall</i>					120
5	Creditors	25				
	Other operating income				21	
	Other operating expenses			2		
	Intercompany balance		6			
	<i>Being other trivial adjustments</i>					19
Auditor adjustments						
1	Debtors	4,902				
	Creditors		4,902			
	<i>Being reclassification of credit balances on debtors ledger</i>					0
Adjusted surplus carried forward						6,431

Journal reference	Detail	Balance sheet		Income and Expenditure		Surplus effect
		Dr £'000	Cr £'000	Dr £'000	Cr £'000	
	Brought forward adjusted surplus					6,431
Auditor adjustments						
2	Trade debtors	270				
	Deferred income		270			
	<i>Being payments received</i>					0
3	Trade debtors	138				
	Creditors		139			
	<i>Being reclassification of credit balances on debtors ledger</i>					0
4	Cash at bank	837				
	Accruals		837			
	<i>Being reclassification of balances due to KX adjustment</i>					0
5	Provisions	80				
	Accruals		80			
	<i>Being reclassification of balances</i>					0
6	Debtors	158				
	Income				158	
	<i>Being adjustment for additional NHS income in the year</i>					158
7	Debtors	333				
	Creditors		333			
	<i>Being reclassification of debit balances on creditors ledger (£142k) and Bursary income (£191k)</i>					0
8	Accruals	170				
	Operating expenses				170	
	<i>Being over-accrued expenses</i>					170
9	Other course income			785		
	Other operating income				785	
	<i>Being reallocation of income</i>					0
10	Operating expenditure			244		
	Provisions		244			
	<i>Being provision for demolition costs for temporary Students' Union building</i>					(244)
Surplus per final accounts £'000						6,515

4 Design effectiveness of internal controls

4.1 Accounting system and internal control

We have applied our risk methodology to your audit. This approach allows us to document, evaluate and assess your internal controls over the financial reporting process in line with the requirements of auditing standards.

The following observations have been noted in regards to your internal controls:

Our audit is not designed to test all internal controls or identify all areas of control weakness. However, where, as part of our testing, we identify any control weaknesses, we will report these to you.

See 'The small print' for further details of our approach.

Key to assessment of internal control deficiencies

- Material weakness - risk of material misstatement
- Significant deficiency - risk of significant misstatement
- Deficiency - risk of inconsequential misstatement

Assessment	Issue and risk	Recommendation
1 ●	<p>Authorisation of journals</p> <p>There are currently two journal posting systems in operation: one system (J5) is primarily used by the financial accounting team while the other (G6) is primarily used by the business support management team.</p> <p>J5 journals are uploaded and require an electronic authorisation of each journal posted. The old G6 system is where journals are manually input in to Agresso. The G6 system does not require any electronic authorisation of any journals before they are posted and there is no manual authorisation process in place as the numbers of journals are significant and it is not considered practical to do so (these are usually journals posted by business support managers).</p>	<p>We note that the implementation of the new system in the prior year shows a positive move towards strengthening the internal controls process for the future.</p> <p>We understand that there are practical reasons why two systems are currently in operation: the J5 system being used for large multi-line journals and the G6 system for short corrections and adjustments. However we recommend that all journals are posted from one system which includes an appropriate authorisation process. Until this is considered practical, we recommend a journal report of journals posted outside the J5 system is obtained on a regular basis (weekly or monthly) and reviewed to identify any unusual entries. It should be noted that this will only act as an a method of identifying any potential fraud rather than as a control to</p>

	Assessment	Issue and risk	Recommendation
			<p>prevent it occurring.</p> <p>We also note that manual G6 journals posted by the Financial accountant are not reviewed or approved by the Financial controller.</p> <p>We do, however, appreciate the fact that risk of misstatements through journals is mitigated through the preparation and review of month end management accounts.</p> <p>Management response: G6 journals which are ad hoc journals and adjustments do not require approval. Other controls are in place, ie all BSMs meet with their Budget Managers each month to review spend, and the Financial Accounting team perform reconciliations of balance sheet accounts after the month has been closed</p> <p>We agree that journals posted by the financial accountant will be reviewed monthly by the Financial Controller.</p>
2	●	<p>Credit control - SBUEL Letting income in the year is approximately £1 million including a £244k provision.</p> <p>The provision has arisen as a result of some letting income being in arrears from as far back as June 2011. The largest debtor is LKIC to whom £192k of the provision is attributed to.</p>	<p>There appears to be some credit control issues where old debts are not being chased up effectively. LKIC currently has cash flow issues and has not paid the outstanding rents. The management of SBUEL are working with LKIC to recover the outstanding debts and to modify future letting arrangements to avoid such difficulties arising going forward.</p> <p>Management response: There are plans to restructure the lettings arrangements in Technopark with invoices being issued direct from SBUEL and normal University credit control procedures being used to recover unpaid invoices.</p>

	Assessment	Issue and risk	Recommendation
3	●	<p>Oracle database management</p> <p>The Agresso and QL applications are built on Oracle databases which can be accessed directly by the IT staff and the third party software vendor Unit 4. We noted that all access to the underlying database is being undertaken through a generic system admin account. We also noted that audit logging at the database level does not record changes to key data and that other logs in place to record access to the databases are not being monitored.</p> <p>There is a risk that the generic account is accessed and inappropriately used to alter key financial data. In such an instance, there would be no trail of who has performed such an action. Without an appropriate review of audit logs changes could be made without the knowledge of the business. By members of staff accessing the underlying database, it undermines the access controls exercised within the application unless such compensating controls are also introduced.</p>	<p>We recommend that IT establishes named user accounts at the Oracle database level. IT should also review the audit logging capability of the Oracle database to ensure that data and system changes are logged. Such audit logs should be monitored periodically, preferably by an individual independent of IT within the business who does not have direct access to the database. This will provide a degree of segregation.</p> <p>As a minimum, critical tables within the system such as bank details and supplier and customer master files should be restricted and any alterations made to fields within these logged and reviewed periodically.</p> <p>Management response: ICT will investigate setting up named user accounts for accessing the Oracle database. An audit logging facility is available but has not been switched on. ICT will investigate using this facility to produce reports on activities undertaken through the database.</p>
4	●	<p>IT - Business continuity</p> <p>LSBU has established a disaster recovery server room; this however, is on the same site as the main server room. There is a risk that a disaster affecting the entire LSBU site could result in the total loss of key operational data. This could have a detrimental impact on business relationships and cause reputational damage.</p> <p>We also noted that LSBU has an approach to disaster recovery for its IT infrastructure based on two data centres, but this is not formally documented.</p> <p>Disaster recovery and business continuity plans are necessary to ensure the restoration of critical information processing and business activities within a pre-defined period of time following an</p>	<p>We recommend that LSBU document and formally communicate the Disaster Recovery plan/ arrangements over the organisation's IT infrastructure. The plan should ensure that offsite back-up arrangements are established.</p> <p>Once the plan is in place we also recommend that the plan is periodically tested at least once a year.</p> <p>Management response: LSBU is reviewing its ICT Strategy in detail and will ensure that the requirements for disaster recovery and security of data backups are fully considered. Changing the current arrangements with respect to the provision of off-site facilities will require investment and this needs to be weighed against the potential risk of systems and data unavailability. A</p>

	Assessment	Issue and risk	Recommendation
		<p>unplanned interruption.</p> <p>The lack of comprehensive, documented and tested plans for critical business systems and processes can severely inhibit the ability to recover such systems or processes in the event of an interruption / disaster occurring. The non-availability of these systems and processes may significantly impact the day-to-day operations of the business and limit the University's ability to respond to student requirements, which may result in financial and reputational loss. Independent studies indicate that many organisations fail to survive major incidents in the absence of effective business continuity planning.</p>	<p>business case will be presented to the Executive for decision. Any agreed corrective actions will be taken following this business decision point</p>
5	<p>●</p>	<p>Logical access parameters</p> <p>There are different password parameters for Agresso core users and those who use Agresso Web. The parameters for those using the Web version are the same as for the University network and include the following:</p> <ul style="list-style-type: none"> ● password complexity - disabled ● enforce password history – not defined ● maximum password age – 180days ● minimum password age – 0days ● maximum password length – 6 characters ● store passwords using reversible encryption- not defined ● account lockout duration – not defined <p>By not implementing suitable logical access controls such as these there is the increased risk of the applications and the operating system being accessed by unauthorised individuals and placing the residing financial information at risk.</p>	<p>We recommend that the following best practice password parameters be enforced on the network, Agresso Web and the core Agresso system:</p> <ul style="list-style-type: none"> ● minimum password length of 6-8 characters ● minimum password age of at least 1 day ● maximum password age of 30-60 days ● alphanumeric passwords (complexity) enabled ● account lockout set to 3-5 invalid lockout attempts ● inactivity lockout set to 10-20 minutes ● lockout period should be set to indefinite, with access only reinstated by an administrator <p>Management response:</p> <p>Passwords for those using the core back office system, including Agresso, are as recommended above, with the exception that the maximum password age is 90 days, not 30-60 as recommended.</p> <p>Password parameters for Agresso Web users do not meet all the criteria recommended and there is a project in place to strengthen the current system and improve user</p>

	Assessment	Issue and risk	Recommendation
			identification. Once in place, this will comply with most of the recommendations above. In the meantime the risk of information being accessed by unauthorised users is low as web users access the system infrequently and the financial information available to view is limited to the cost centre that individual manages

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5 Sector specific issues

5.1 VAT

As part of our audit work, we carried out a review of the VAT status of the University and we would like to draw management's attention to a number of arrears:

Treatment of grant income

There is a great deal of litigation being heard in the Courts at the moment surrounding the VAT treatment of grant income. Where a grant is freely given with nothing provided in return it falls outside the scope of VAT. However, where the person providing the grant is receiving something in return for the money it is consideration to be a supply and VAT is due at the applicable rate (this would not include a report outlining how the funds have been spent).

We recommend that management ensures adequate controls are in place to identify any grant funding where VAT is likely to be due.

Overseas Recruitment Agent Fees

Where Universities use overseas recruitment agents to attract students, any commissions payable to these recruitment agents are deemed by HMRC to be supplied and subject to VAT in the UK. Therefore, where LSBU is receiving invoices from overseas recruitment agents it should be applying the reverse charge mechanism to these fees and self-assessing a 20% VAT charge. This charge should be declared in box 1 of the VAT return and can be recovered, to the extent that it relates to taxable supplies, in box 4. As the majority of the supplies to which the recruitment agents' fees relate are likely to be exempt from VAT the figure in box 4 is likely to be significantly lower than the entry in box 1, resulting in a net payment being due to HMRC as a result of the overseas recruitment agents' fees.

Reverse charge on overseas recruitment agent fees

The rules which require Universities to account for the reverse charge on overseas recruitment agents fees were introduced on 1 January 2010 and we understand that the University has been applying the reverse charge since that date. However, we have noted in recent year, instances where some universities have received assessments for the VAT due on overseas recruitment agents fees prior to 1 January 2010. This may be a potential exposure for the university where we believe its overseas recruitment agent costs are approximately £500k per annum.

HMRC are able to assess going back up to four years, therefore based on the above figure there is the potential for a VAT assessment of over £100k, if HMRC were to take the point. HMRC may however not take the point on this, particularly given that it does not appear to have been picked up in the visit earlier this year. We would however, like to make management aware of the potential risk.

5.2 Phase out of funding for old regime students

HEFCE will be phasing out the mainstream funding for old regime students over the next three years. The process for allocating (and retrospectively adjusting) the grant in each year will be different from that used in previous years and will result in more frequent, and potentially more substantial, adjustments to the funding levels.

This is due to the fact that when the final grant allocation is determined based on actual student numbers there will be no tolerance band and therefore the grant will be subsequently adjusted for each difference.

This final reconciliation will not be carried out for the 2012/13 year until 2014 (and similarly for future years). Management will need to consider the potential impact on cash flows as there is a higher likelihood that

future funding will be adjusted retrospectively and will need to budget accordingly.

5.3 Proposed changes to UK GAAP

What is proposed?

The Accounting Council is planning to replace all current UK financial reporting standards with a new framework, incorporating two new standards. The standards are "The FRS", a 300 page standard which will be applied by the majority of UK companies, and the Reduced Disclosure Framework, an option of IFRS with reduced disclosures available for subsidiaries and parent company individual accounts.

For more information on the proposals and their implications, visit our website, http://www.grant-thornton.co.uk/services/audit_and_assurance/the_future_of_uk_gaap.aspx.

What would this mean for LSBU?

Under the proposals, the University would be considered to be a public benefit entity, as its main purpose is not the generation of profit. The FRS includes supplementary paragraphs which address issues specific to public benefit entities, for example non-reciprocal transactions such as donations.

When undergoing transition to The FRS, there are likely to be recognition and measurement differences on transition, for example regarding the classification of leases, the treatment of lease incentives and accounting for short-term employee benefits. These differences are likely to impact on the reported surplus and also on the balance sheet, and could, therefore, have an impact on the ratios used in loan covenants calculations.

What other issues should be considered?

There are also operational issues which may need to be addressed in preparing for transition, such as:

- training requirements
- possible systems changes to ensure all information is captured

- education of stakeholders
- potential need for additional resources.

What about the not-for-profit SORPs?

The Accounting Council intends to retain the three not-for-profit SORPs, for Charities, Registered Social Landlords and Higher and Further Education Establishments. However as stated above these SORPs will need to be updated to reflect the requirements of The FRS.

Planning for the transition

Although the final standard will not be published until the end of 2012, and will not be effective until accounting periods beginning on or after 1 January 2015 at the earliest, it is not too soon to start considering how you will address the transition process.

For the University this will mean the first reporting period is likely to be the year ended 31 July 2016, which will mean comparative balance sheets will be required for 31 July 2015 and 31 July 2014. It is expected that once the final standard is issued, early adoption will be permitted. This may be beneficial in some circumstances and therefore worth considering.

From our extensive experience in assisting clients with transition to EU-adopted IFRS, good planning is key to success. Timely actions and the right support will ensure that the process goes as smoothly as possible. We will continue to discuss the requirements with management and share experiences we have had across the sector and with other commercial organisations.

6 Independence

Ethical standards require us to give you full and fair disclosure of matters relating to our independence. In this context, we disclose the following to you:

We confirm that there are no significant facts or matters that impact on our independence as auditors that we are required or wish to draw to your attention. We have complied with the Auditing Practices Board's Ethical Standards and therefore we confirm that we are independent and are able to express an objective opinion on the financial statements.

In accordance with best practice, we analyse our fees below:

	£
Audit of company and subsidiaries	38,625
Tax compliance services (i.e. related to assistance with corporate tax returns)	2,500

7 The small print

Purpose of memorandum

This Key Issues Memorandum has been prepared for the benefit of discussions between Grant Thornton, the **Audit Committee of London South Bank University** and the Board of Directors.

The purpose of this memorandum is to highlight the key issues affecting the results of the Group and the preparation of the **University's** financial statements for the **year ended 31 July 2012**.

This document is also used to report to management to meet the mandatory requirements of International Standard on Auditing (UK & Ireland) 260.

We would point out that the matters dealt with in this report came to our attention during the conduct of our normal audit procedures which are designed primarily for the purpose of expressing our opinion on the financial statements of the **University**.

This memorandum is strictly confidential and although it has been made available to management to facilitate discussions, it may not be taken as altering our responsibilities to the **University** arising under our audit engagement letter.

The contents of this memorandum should not be disclosed to third parties without our prior written consent.

Responsibilities of the directors and auditors

The directors are responsible for the preparation of the financial statements and for making available to us all of the information and explanations we consider necessary. Therefore, it is essential that the directors confirm that our understanding of all the matters in this memorandum is appropriate, having regard to their knowledge of the particular circumstances.

Clarification of roles and responsibilities with respect to internal controls

The **University's** management is responsible for the identification, assessment, management and monitoring of risk, for developing, operating and monitoring the system of internal control and for providing assurance to the **Audit Committee** that it has done so.

We have applied our audit approach to document, evaluate and assess your internal controls over the financial reporting process in line with the requirements of auditing standards.

Our audit is not designed to test all internal controls or identify all areas of control weakness. However, where, as part of our testing, we identify any control weaknesses, we will report these to you.

In consequence, our work cannot be relied upon to disclose defalcations or other irregularities, or to include all possible improvements in internal control that a more extensive special examination might identify.

We would be pleased to discuss any further work in this regard with the **Audit Committee**.

ISAUK 260 requires communication of:

- relationships that have a bearing on the independence of the audit firm and the integrity and objectivity of the engagement team
- nature and scope of the audit work
- significant findings from the audit



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This publication has been prepared only as a guide. No responsibility can be accepted by us for loss occasioned to any person acting or refraining from acting as a result of any material in this publication.

	PAPER NO: UE.46(12)	
Board:	Board of Directors	
Date:	9 November 2012	
Paper title:	Letter of Representation	
Author:	Grant Thornton, External Auditors	
Recommendation:	That the Board notes the letter of representation	
Matter previously considered by:	University Audit Committee	On: 30 October 2012
Further approval required?	N/A	N/A
Communications – who should be made aware of the decision?	N/A	

Executive summary

The letter of representation to the auditors requires the Board of Directors to give specific assurances to the auditors over matters regarding the financial statements and the year audit. The attached letter contains standard representations only; there are no items that have been inserted specific to SBUEL or relating to any matters arising as a result of the audit. The Executive recommends that the Board of Directors review and recommend approval of the attached Letter of Representation, which must be signed by the Chair of the Board of Directors at the time of signing the accounts.

{Prepare on client letterhead**}**

Our Ref

Your Ref DB/CNH/L05822015/2012

Grant Thornton UK LLP
Grant Thornton House
202 Silbury Boulevard
Central Milton Keynes
MK9 1 LW

[Click [here](#) and enter **date of letter**]

Dear Sirs

South Bank University Enterprises Limited
Financial Statements for the Year Ended 31 July 2012

This representation letter is provided in connection with the audit of the financial statements of South Bank University Enterprises Limited for the year ended 31 July 2012 for the purpose of expressing an opinion as to whether the financial statements give a true and fair view in accordance with UK Generally Accepted Accounting Practice.

We confirm that to the best of our knowledge and belief having made such inquiries as we considered necessary for the purpose of appropriately informing ourselves:

Financial Statements

- i We have fulfilled our responsibilities, as set out in the terms of the audit engagement letter dated 17 November 2011, for the preparation of the financial statements in accordance with UK Generally Accepted Accounting Practice; in particular the financial statements give a true and fair view in accordance therewith.
- ii We acknowledge our responsibility for the design, implementation and maintenance of internal control to prevent and detect fraud.
- iii Significant assumptions used by us in making accounting estimates, including those measured at fair value, are reasonable.
- iv Related party relationships and transactions have been appropriately accounted for and disclosed in accordance with the requirements of UK Generally Accepted Accounting Practice.
- v All events subsequent to the date of the financial statements and for which UK Generally Accepted Accounting Practice require adjustment or disclosure have been adjusted or disclosed.
- vi We have not adjusted the misstatements brought to our attention on the audit differences and adjustments summary, attached to this letter, as they are immaterial to the results of the company and financial position at the year-end. The financial statements are free of material misstatements, including omissions.

Information Provided

- vii We have provided you with:
 - a. access to all information of which we are aware that is relevant to the preparation of the financial statements such as records, documentation and other matters;
 - b. additional information that you have requested from us for the purpose of your audit; and
 - c. unrestricted access to persons within the entity from whom you determined it necessary to obtain audit evidence.

- viii All transactions have been recorded in the accounting records and are reflected in the financial statements.

- ix We have disclosed to you the results of our assessment of the risk that the financial statements may be materially misstated as a result of fraud.

- x We have disclosed to you all information in relation to fraud or suspected fraud that we are aware of and that affects the entity and involves:
 - a. management;
 - b. employees who have significant roles in internal control; or
 - c. others where the fraud could have a material effect on the financial statements.

- xi We have disclosed to you all information in relation to allegations of fraud, or suspected fraud, affecting the entity's financial statements communicated by employees, former employees, analysts, regulators or others.

- xii We have disclosed to you all known instances of non-compliance or suspected non-compliance with laws and regulations whose effects should be considered when preparing financial statements.

- xiii We have disclosed to you the identity of the entity's related parties and all the related party relationships and transactions of which we are aware.

Yours faithfully

South Bank University Enterprises Limited
31 July 2012
Unadjusted audit differences

Detail of Adjustment	Potential Adjustments Dr/(Cr)					Profit & Loss	Reason for not processing
	Balance Sheet						
	CA	NCA	CL	NCL	SE		
	£	£	£	£	£	£	
Dr Bad debt provision Cr Bad debt expense <i>Being release of provision against a debt which has been recovered since the year-end</i>			17,154			(17,154)	Not material to the financial statements
Dr expenditure Cr Prepayments <i>Being write-off of long-standing prepayment balance</i>	(2,463)					2,463	Not material to the financial statements
Cumulative impact	(2,463)	0	17,154	0	0	(14,691)	

Company Registration No. 2307211

South Bank University Enterprises Limited

Report and Financial Statements

31 July 2012

South Bank University Enterprises Limited

Report and financial statements 2012

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South Bank University Enterprises Limited

Report and financial statements 2012

Officers and professional advisers

Directors

Mr Richard Flatman (Chairman until 1.08.12; continued as Director from 1.08.12)

Dr Ed Tinley (Managing Director; resigned 4.07.12)

Ms Bev Jullien

Dr Andy Tilbrook (resigned 13.01.12)

Mr Tim Gebbels (appointed 28.03.12)

Mr James Smith (appointed Director and Chairman 1.08.12)

Secretary

Ms Sarah Priestman (resigned 1.11.11)

Mr James Stevenson (appointed 1.11.11)

Registered Office

103 Borough Road
London
SE1 0AA

Bankers

NatWest
City of London Office
1 Princes Street
London
EC2R 8PA

Solicitors

Muckle
Time Central
32 Gallowgate
Newcastle upon Tyne
NE1 4BF

Auditors

Grant Thornton UK LLP
Grant Thornton House
Melton Street
Euston Square
London
NW1 2EP

South Bank University Enterprises Limited

Company Registration No. 2307211

Directors' report

Ownership

The Company is a wholly owned subsidiary of London South Bank University.

Review of Activities

The Company's principal activities are consultancy, research contracts, the hire of facilities, and property letting. In addition, the Company is involved with the protection and commercialisation of Intellectual Property (IP) arising out of the University's research activities.

During the year the Company continued to meet the patent application costs relating to its technology licences and in support of new start-up companies in which the Company has an interest.

Result for the year

Turnover of £2,161,852 was consistent with 2011 although the balance of income shifted: consultancy income reduced (due to the closure of a University division that was particularly significant in generating consultancy income), while property income increased.

The operating profit margin increased from 25% in 2011 to 30% in 2012. This resulted from the balance shifting towards income with lower costs and overheads.

Patent costs incurred in support of the Company's licences, company start ups and new opportunities continue to be a significant part of the Company's annual expenditure.

Recapitalisation

During the year 2011-12, the Company recapitalised to eliminate its negative reserves, by issuing new shares at a premium of £700,000 to London South Bank University. Additionally the Company paid sufficient cash to London South Bank University to largely eliminate the intercompany balance, including the long-term loan, but not the year-end Gift Aid creditor.

Future Prospects

The Company foresees trading conditions to remain challenging over the next 12 months. Strong competition from other universities and external organisations, allied to generally tight trading conditions and cutbacks in Central and Local Government expenditure, are expected to impact upon the Company's activities and income. The company has recently been restructured to position it better to deliver its objectives in the face of continuing market challenges and a new management team has been appointed. While growing research and innovation links with commercial organisations, especially medium and large businesses, remains a priority, the Company is also increasingly focusing on opportunities to deliver professionally accredited Continuing Professional Development. The Company will continue to support the protection of and commercialisation of selective intellectual property generated by the University's staff and increasingly its students.

Directors' Interests

No Director had any interest in any contract which subsisted during the period of the report, other than in the ordinary course of the Company's business (2011: none).

No Director had any interests in the shares of the Company or any other group company (2011: none).

Employment Policy

The Company has, for the first time, appointed employees this year. As at the year-end it had three employees. All other persons associated with the Company are employees of London South Bank University.

South Bank University Enterprises Limited

Company Registration No. 2307211

Directors' report

The Company, being a wholly owned subsidiary of London South Bank University, has the same policy on employment as its parent organisation.

Disclosure of information to auditors

At the date of making this report each of the Directors, as set out on page 1, confirm the following:

- So far as each Director is aware, there is no relevant information needed by the Company's auditors in connection with preparing their report of which the Company's auditors are unaware, and;
- Each Director has taken all the steps that he ought to have taken as a Director in order to make himself or herself aware of any relevant information needed by the Company's auditors in connection with preparing their report and to establish that the Company's auditors are aware of that information.

Auditors

A resolution to reappoint Grant Thornton UK LLP as auditors of the company will be proposed at the forthcoming Annual General Meeting.

In preparing this report, the directors have taken advantage of the small companies exemption in Part 15 of the Companies Act 2006.

Approval

Authorised and approved by the Board of Directors and signed on behalf of the Board by:

Mr James Smith
Chairman and Director
9 November 2012

South Bank University Enterprises Limited

Statement of directors' responsibilities

The directors are responsible for preparing the Annual Report and the financial statements in accordance with applicable law and regulations.

Company law requires the directors to prepare financial statements for each financial year. Under that law the directors have to prepare financial statements in accordance with United Kingdom Accounting Standards (United Kingdom Generally Accepted Accounting Practice). The financial statements are required by law to give a true and fair view of the state of affairs of the company and of the profit or loss of the company for that period. In preparing these financial statements, the directors are required to:

- select suitable accounting policies and then apply them consistently
- make judgments and estimates that are reasonable and prudent
- state whether applicable UK Accounting Standards have been followed, subject to any material departures disclosed and explained in the financial statements
- prepare the financial statements on the going concern basis unless it is inappropriate to presume that the company will continue in business.

The directors are responsible for keeping adequate accounting records that disclose with reasonable accuracy at any time the financial position of the company and enable them to ensure that the financial statements comply with the Companies Act 2006. They are also responsible for safeguarding the assets of the company and hence for taking reasonable steps for the prevention and detection of fraud and other irregularities.

In so far as each of the directors is aware:

- there is no relevant audit information of which the company's auditors are unaware; and
- the directors have taken all steps that they ought to have taken to make themselves aware of any relevant audit information and to establish that the auditors are aware of that information.

Independent Auditor's Report to the Members of South Bank University Enterprises Limited

We have audited the financial statements of South Bank University Enterprises Limited for the year ended 31 July 2012 which comprise the profit and loss account, the balance sheet, the principal accounting policies and notes 1 to 15. 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 company's members, as a body, in accordance with Chapter 3 of Part 16 of the Companies Act 2006. Our audit work has been undertaken so that we might state to the company's members those matters we are required to state to them 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 company and the company's members as a body, for our audit work, for this report, or for the opinions we have formed.

Respective responsibilities of directors and auditors

As explained more fully in the Statement of Directors' Responsibilities set out on page 4, the directors are responsible for the preparation of the financial statements and for being satisfied that they give a true and fair view. Our responsibility is to audit 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 (APB's) Ethical Standards for Auditors.

Scope of the audit of the financial statements

A description of the scope of an audit of financial statements is provided on the APB's website at www.frc.org.uk/apb/scope/UKNP.

Opinion on financial statements

In our opinion the financial statements:

- give a true and fair view of the state of the company's affairs as at 31 July 2012 and of its profit for the year then ended;
- have been properly prepared in accordance with United Kingdom Generally Accepted Accounting Practice; and
- have been prepared in accordance with the requirements of the Companies Act 2006.

Opinion on other matters prescribed by the Companies Act 2006

In our opinion the information given in the Directors' Report for the financial year for which the financial statements are prepared is consistent with the financial statements.

Independent Auditor's Report to the Members of South Bank University Enterprises Limited

Matters on which we are required to report by exception

We have nothing to report in respect of the following matters where the Companies Act 2006 requires us to report to you if, in our opinion:

- adequate accounting records have not been kept, or returns adequate for our audit have not been received from branches not visited by us; or
- the financial statements are not in agreement with the accounting records and returns; or
- certain disclosures of directors' remuneration specified by law are not made; or
- we have not received all the information and explanations we require for our audit.

David Barnes

Senior Statutory Auditor

for and on behalf of Grant Thornton UK LLP

Statutory Auditor, Chartered Accountants

London

22 November 2012

South Bank University Enterprises Limited

Profit and loss account Year ended 31 July 2012

	Note	2012 £	2011 £
Turnover	1	2,161,852	2,162,067
Cost of sales		(1,155,157)	(1,514,950)
Gross profit		<u>1,006,695</u>	<u>647,116</u>
Administrative expenses		(361,959)	(105,798)
Operating profit	2	<u>644,736</u>	<u>541,319</u>
Interest receivable	4	9,087	6,036
Interest payable	5	(1,290)	(1,290)
Profit on ordinary activities before Gift Aid for the financial year		<u>652,533</u>	<u>546,065</u>
Gift Aid	6	(648,240)	(559,886)
Profit/(Loss) on ordinary activities after Gift Aid for the financial year		<u>4,293</u>	<u>(13,821)</u>
Tax on profits on ordinary activities	7	-	-
Profit/(Loss) on ordinary activities after taxation for the financial year		<u><u>4,293</u></u>	<u><u>(13,821)</u></u>

All activities relate to continuing operations.

There are no gains or losses other than those reported in the profit and loss account.

South Bank University Enterprises Limited

Balance sheet As at 31 July 2012

	Note	2012 £	2011 £
Fixed assets			
Investments	8	69	69
		<u> </u>	<u> </u>
Current assets			
Debtors	9	217,910	92,854
Cash at bank and in hand		1,140,614	1,374,631
		<u>1,358,524</u>	<u>1,467,485</u>
Creditors: amounts falling due within one year	10	(1,243,066)	(1,841,325)
Net current assets/(liabilities)		<u>115,458</u>	<u>(373,840)</u>
Total assets less current liabilities		115,527	(373,771)
Creditors: amounts falling due after more than one year	11	-	(215,000)
Net assets/(liabilities)		<u>115,527</u>	<u>(588,771)</u>
Capital and reserves			
Called up share capital	12	10	5
Profit and loss account	13	115,517	(588,776)
		<u>115,527</u>	<u>(588,771)</u>
Total equity shareholders' funds/(deficit)		<u>115,527</u>	<u>(588,771)</u>

These financial statements were authorised and approved by the Board of Directors on 9 November 2012.

Signed on behalf of the Board of Directors

Mr James Smith, Chairman and Director

South Bank University Enterprises Limited

Principal accounting policies Year ended 31 July 2012

Basis of Preparation

The financial statements are prepared in accordance with applicable United Kingdom accounting standards. The particular accounting policies adopted are consistent with those adopted in the prior year and are described below.

Accounting Convention

The accounts have been prepared under the historical cost convention.

Going Concern

The company has been recapitalised in the year and has net assets at the year-end. The directors are satisfied that it is appropriate to prepare the financial statements on a going concern basis.

Turnover

Turnover, net of value added tax, comprises of sales in relation to consultancy work, contract research, sale of materials and letting facilities.

Cost of Sales

Cost of sales comprises costs of consultancy work, contract research, sale of materials and letting facilities.

Fixed Asset Investments

Investments are carried at cost, less provision for any impairment in value.

Cash Flow Statement

As a wholly owned subsidiary, the company is exempt under Financial Reporting Standard number 1 "Cash flow statements" from the requirement to prepare a cash flow statement. The cash flows of the company are included in the consolidated accounts.

Taxation

The Company makes a Gift Aid payment to London South Bank University sufficient to reduce its taxable profit for the year to zero. Taxable profit differs from the net profit/(loss) as reported in the profit and loss account because it excludes items of income or expenditure that are taxable or deductible in other years and it further excludes items that are never taxable or deductible.

Deferred taxation is provided in full on timing differences that result in an obligation at the balance sheet date to pay more tax or a right to pay less tax at a future date, at rates expected to apply when they crystallise based on current tax rates and law. Timing differences arise from the inclusion of items of income and expenditure in taxation computations in periods different from those in which they are included in the financial statements. Deferred tax assets are recognised to the extent that it is regarded as more likely than not that they will be recovered. Deferred tax assets and liabilities are not discounted.

Foreign currency

Transactions in foreign currencies are recorded at the rate of exchange at the date of the transaction. Monetary assets and liabilities denominated in foreign currencies at the balance sheet date are reported at the rates of exchange prevailing at that date.

South Bank University Enterprises Limited

Notes to the accounts Year ended 31 July 2012

1. Turnover

Turnover and pre-tax profits are attributable to the principal activities of the Company. An analysis of turnover by geographical destination is as follows:

	2012	2011
	£	£
United Kingdom	2,100,747	2,101,903
Other European countries	16,458	11,000
North America	25,167	46,750
Asia	1,250	2,414
Australasia	18,230	-
	<u>2,161,852</u>	<u>2,162,067</u>

2. Operating profit

	2012	2011
	£	£
Operating profit is stated after charging		
Fees payable to the Company's auditor:		
- for the audit of the financial statements	3,500	3,500
- for other services – taxation	3,286	3,250
Management charge	-	22,838
	<u>6,786</u>	<u>29,588</u>

3. Staff costs and Directors' remuneration

The Company had three employees during the year (2011: nil). All other persons associated with the Company are employees of London South Bank University. One Director employed by the Company received remuneration totalling £66,245 (2011: nil).

4. Interest receivable

	2012	2011
	£	£
Bank interest receivable	<u>9,087</u>	<u>6,036</u>

5. Interest Payable

	2012	2011
	£	£
Loan from London South Bank University	<u>1,290</u>	<u>1,290</u>

6. Payment under Gift Aid

For the year ending 31 July 2012 the company has approved payment of £648,240 of its taxable profit under the Gift Aid scheme to London South Bank University (2011: £559,886).

South Bank University Enterprises Limited

Notes to the accounts Year ended 31 July 2012

7. Taxation

The 2012 tax charge is nil (2011: nil).

	2012	2011
	£	£
Profit/(Loss) on ordinary activities before tax	4,293	(13,821)
Taxation on profit/(loss) on ordinary activities at 25.33% (2011: 27.33%)	(1,087)	(3,777)
Effects of:		
Expenses not deductible for taxation purposes	95	5,426
Capital allowances in excess of depreciation	(1,182)	(1,648)
Utilisation of tax losses and other deductions	-	(1)
Current tax	-	-

A deferred tax asset has not been recognised in respect of timing differences relating to capital allowances and trading losses as there is insufficient evidence that the asset will be recovered.

The amount of the asset not recognised is £22,459 (2011: £26,602).

The asset would be recovered if suitable taxable profits were to arise in the future against which the asset could be offset.

8. Fixed Asset Investments

At 1 August 2011	£ 69
At 31 July 2012	£ 69

Details of companies, all registered in England, in which South Bank University Enterprises Limited holds more than 20% of the nominal ordinary share capital are as follows:

Name of company	Percentage holding of ordinary shares	Nature of business	Date of last accounts	Profit	Reserves
				£	£
Biox Systems Limited	24%	Development of medical products	31 Oct 2011	80,878	162,688
London Knowledge Innovation Centre Ltd	50%	Start-up business incubator	31 Mar 2011	-	334

South Bank University Enterprises Limited

Notes to the accounts Year ended 31 July 2012

9. Debtors

	2012	2011
	£	£
Trade debtors	157,311	81,333
Prepayments and accrued income	56,002	6,924
Other debtors	4,597	4,597
	<u>217,910</u>	<u>92,854</u>

10. Creditors: amounts falling due within one year

	2012	2011
	£	£
Trade creditors	8,277	14,359
Amounts owed to parent company	712,706	1,184,453
Other creditors	5,483	3,993
Accruals and deferred income	516,600	638,520
	<u>1,243,066</u>	<u>1,841,325</u>

11. Creditors: amounts falling due after more than one year

	2012	2011
	£	£
Loan from parent company due within 2-5 years	-	215,000
	<u>-</u>	<u>215,000</u>

The loan agreement specified that interest would accrue on the outstanding loan balance at a rate of 0.1% above the Bank of England base rate. Interest has been calculated on this basis. (2011: on the same basis).

12. Called up share capital

	2012	2011
	£	£
Authorised:		
1,000 ordinary shares of £1 each	<u>1,000</u>	<u>1,000</u>
Called up, allotted and fully paid		
10 ordinary shares of £1 each	<u>10</u>	<u>5</u>

5 new ordinary shares of £1 each were issued during the year, for a cash consideration of £700,005, generating a share premium of £700,000.

South Bank University Enterprises Limited

Notes to the accounts Year ended 31 July 2012

13. Movement on total reserves

During the year the Company recapitalised to eliminate its negative reserves, by issuing new shares at a premium of £700,000 to London South Bank University and subsequently transferring the share premium account to the profit and loss account with a capital reduction.

	Share capital	Share premium account	Profit and loss account	Total shareholders surplus/ (deficit)
	£	£	£	£
At 1 August 2011	5		(588,776)	(588,771)
Profit on ordinary activities after taxation for the financial year			4,293	4,293
New share issue	5	700,000		700,005
Capital reduction		(700,000)	700,000	-
At 31 July 2012	<u>10</u>	<u>-</u>	<u>115,517</u>	<u>115,527</u>

14. Related party transactions

The Company has taken advantage of the exemption which is conferred by Financial Reporting Standard number 8 “Related Party Disclosures” that allows it not to disclose transactions with group undertakings whose voting rights are wholly controlled within the group.

15. Ultimate parent company

South Bank University Enterprises Ltd is a wholly owned subsidiary of London South Bank University, a company limited by guarantee, incorporated in Great Britain and registered in England and Wales.

London South Bank University is the ultimate parent and controlling company and is the parent company of the only group of which the company is a member for which consolidated financial statements are prepared. The consolidated financial statements of London South Bank University can be obtained from 103 Borough Road, London, SE1 0AA.

	PAPER NO: UE.47(12)	
Board:	Board of Directors	
Date:	9 November 2012	
Paper title:	Statutory accounts for the year ended 31 July 2012	
Author:	Rebecca Warren, Accountant	
Recommendation:	The statutory accounts are presented to the Board for approval and signature.	
Matter previously considered by:	N/A	N/A
Further approval required?	University Board of Governors	On: 22 November 2012
Communications – who should be made aware of the decision?	Company accounts are consolidated into the University's accounts. Company accounts are filed at Companies House	

Executive Summary

The statutory accounts are presented to the Board for approval.

Having due regard to the financial performance of the company and the future business plan, the Board are requested to recommend to the University's Board of Governors (as the Parent Company) that the entire taxable profit of £648,240 is paid to the University as Gift Aid. Due to the directors' positions within the University the University Board of Governors (as the Parent Company) will be asked to ratify the level of Gift Aid payment at their meeting of 22 November 2012.

Since the accounting profit exceeds the taxable profit, profit of £4293 will be retained in the company. The current Gift Aid policy is attached for information.

Gift Aid Policy approved by the Board at the SBUEL board meeting on 26 June 2012

South Bank University Enterprises Ltd (SBUEL) is the trading subsidiary of London South Bank University (the University), and is entirely owned by the University. Each year, the taxable profit of SBUEL is calculated alongside the calculation of the accounting profit. Normal policy is that once the accounts have been finalised, the taxable profit is paid by SBUEL to the University by Gift Aid, thereby eliminating all taxable profits of SBUEL in year and avoiding any corporation tax charges. However, subject to agreement by LSBU, the directors of SBUEL may recommend retaining an element of the taxable profits within SBUEL, and paying the associated corporation tax charge. Gift Aid payments must be made within nine months of the year-end (so if the year-end is July, the payment must be made by the end of the following April). The corporation tax return, which must be submitted to HMRC within one year of the year end, is prepared after the Gift Aid has been paid.

Company Registration No. 2307211

South Bank University Enterprises Limited

Report and Financial Statements

31 July 2012

South Bank University Enterprises Limited

Report and financial statements 2012

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South Bank University Enterprises Limited

Report and financial statements 2012

Officers and professional advisers

Directors

Mr Richard Flatman (Chairman until 1.08.12; continued as Director from 1.08.12)

Dr Ed Tinley (Managing Director; resigned 4.07.12)

Ms Bev Jullien

Dr Andy Tilbrook (resigned 13.01.12)

Mr Tim Gebbels (appointed 28.03.12)

Mr James Smith (appointed Director and Chairman 1.08.12)

Secretary

Ms Sarah Priestman (resigned 1.11.11)

Mr James Stevenson (appointed 1.11.11)

Registered Office

103 Borough Road
London
SE1 0AA

Bankers

NatWest
City of London Office
1 Princes Street
London
EC2R 8PA

Solicitors

Muckle
Time Central
32 Gallowgate
Newcastle upon Tyne
NE1 4BF

Auditors

Grant Thornton UK LLP
Grant Thornton House
Melton Street
Euston Square
London
NW1 2EP

South Bank University Enterprises Limited

Company Registration No. 2307211

Directors' report

Ownership

The Company is a wholly owned subsidiary of London South Bank University.

Review of Activities

The Company's principal activities are consultancy, research contracts, the hire of facilities, and property letting. In addition, the Company is involved with the protection and commercialisation of Intellectual Property (IP) arising out of the University's research activities.

During the year the Company continued to meet the patent application costs relating to its technology licences and in support of new start-up companies in which the Company has an interest.

Result for the year

Turnover of £2,161,852 was consistent with 2011 although the balance of income shifted: consultancy income reduced (due to the closure of a University division that was particularly significant in generating consultancy income), while property income increased.

The operating profit margin increased from 25% in 2011 to 30% in 2012. This resulted from the balance shifting towards income with lower costs and overheads.

Patent costs incurred in support of the Company's licences, company start ups and new opportunities continue to be a significant part of the Company's annual expenditure.

Recapitalisation

During the year 2011-12, the Company recapitalised to eliminate its negative reserves, by issuing new shares at a share premium of £700,000 to London South Bank University. Additionally the Company paid sufficient cash to London South Bank University to largely eliminate the intercompany balance, including the long-term loan, apart from the year-end Gift Aid creditor.

Future Prospects

The Company foresees trading conditions remaining challenging over the next 12 months. Strong competition from other universities and external organisations, allied to generally tight trading conditions and cutbacks in Central and Local Government expenditure, are expected to impact upon the Company's activities and income. The company has recently been restructured to position it better to deliver its objectives in the face of continuing market challenges and a new management team has been appointed. While growing research and innovation links with commercial organisations, especially medium and large businesses, remains a priority, the Company is also increasingly focusing on opportunities to deliver professionally accredited CPD. The Company will continue to support the protection of and commercialisation of selective intellectual property arising from the University's staff and increasingly its students.

Directors' Interests

No Director had any interest in any contract which subsisted during the period of the report, other than in the ordinary course of the Company's business.

No Director had any interests in the shares of the Company or any other group company.

Employment Policy

The Company has, for the first time, appointed employees this year. As at the year-end it had three employees. All other persons associated with the Company are employees of London South Bank University.

South Bank University Enterprises Limited

Company Registration No. 2307211

Directors' report

The Company, being a wholly owned subsidiary of London South Bank University, has the same policy on employment as its parent organisation.

Disclosure of information to auditors

At the date of making this report each of the Directors, as set out on page 1, confirm the following:

- So far as each Director is aware, there is no relevant information needed by the Company's auditors in connection with preparing their report of which the Company's auditors are unaware, and;
- Each Director has taken all the steps that he ought to have taken as a Director in order to make himself or herself aware of any relevant information needed by the Company's auditors in connection with preparing their report and to establish that the Company's auditors are aware of that information.

Auditors

A resolution to reappoint Grant Thornton UK LLP as auditors of the company will be proposed at the forthcoming Annual General Meeting.

In preparing this report, the directors have taken advantage of the small companies exemption in Part 15 of the Companies Act 2006.

Approval

Authorised and approved by the Board of Directors and signed on behalf of the Board by:

Mr James Smith
Chairman and Director
9 November 2012

South Bank University Enterprises Limited

Statement of directors' responsibilities

The directors are responsible for preparing the Annual Report and the financial statements in accordance with applicable law and regulations.

Company law requires the directors to prepare financial statements for each financial year. Under that law the directors have to prepare financial statements in accordance with United Kingdom Accounting Standards (United Kingdom Generally Accepted Accounting Practice). The financial statements are required by law to give a true and fair view of the state of affairs of the company and of the profit or loss of the company for that period. In preparing these financial statements, the directors are required to:

- select suitable accounting policies and then apply them consistently
- make judgments and estimates that are reasonable and prudent
- state whether applicable UK Accounting Standards have been followed, subject to any material departures disclosed and explained in the financial statements
- prepare the financial statements on the going concern basis unless it is inappropriate to presume that the company will continue in business.

The directors are responsible for keeping adequate accounting records that disclose with reasonable accuracy at any time the financial position of the company and enable them to ensure that the financial statements comply with the Companies Act 2006. They are also responsible for safeguarding the assets of the company and hence for taking reasonable steps for the prevention and detection of fraud and other irregularities.

In so far as each of the directors is aware:

- there is no relevant audit information of which the company's auditors are unaware; and
- the directors have taken all steps that they ought to have taken to make themselves aware of any relevant audit information and to establish that the auditors are aware of that information.

Independent Auditor's Report to the Members of South Bank University Enterprises Limited

We have audited the financial statements of South Bank University Enterprises Limited for the year ended 31 July 2012 which comprise the profit and loss account, the balance sheet, the principal accounting policies and notes 1 to 15. 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 company's members, as a body, in accordance with Chapter 3 of Part 16 of the Companies Act 2006. Our audit work has been undertaken so that we might state to the company's members those matters we are required to state to them 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 company and the company's members as a body, for our audit work, for this report, or for the opinions we have formed.

Respective responsibilities of directors and auditors

As explained more fully in the Statement of Directors' Responsibilities set out on page 4, the directors are responsible for the preparation of the financial statements and for being satisfied that they give a true and fair view. Our responsibility is to audit 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 (APB's) Ethical Standards for Auditors.

Scope of the audit of the financial statements

A description of the scope of an audit of financial statements is provided on the APB's website at www.frc.org.uk/apb/scope/UKNP.

Opinion on financial statements

In our opinion the financial statements:

- give a true and fair view of the state of the company's affairs as at 31 July 2012 and of its profit for the year then ended;
- have been properly prepared in accordance with United Kingdom Generally Accepted Accounting Practice; and
- have been prepared in accordance with the requirements of the Companies Act 2006.

Opinion on other matters prescribed by the Companies Act 2006

In our opinion the information given in the Directors' Report for the financial year for which the financial statements are prepared is consistent with the financial statements.

Independent Auditor's Report to the Members of South Bank University Enterprises Limited

Matters on which we are required to report by exception

We have nothing to report in respect of the following matters where the Companies Act 2006 requires us to report to you if, in our opinion:

- adequate accounting records have not been kept, or returns adequate for our audit have not been received from branches not visited by us; or
- the financial statements are not in agreement with the accounting records and returns; or
- certain disclosures of directors' remuneration specified by law are not made; or
- we have not received all the information and explanations we require for our audit.

David Barnes

Senior Statutory Auditor

for and on behalf of Grant Thornton UK LLP

Statutory Auditor, Chartered Accountants

London

22 November 2012

South Bank University Enterprises Limited

Profit and loss account Year ended 31 July 2012

	Note	2012 £	2011 £
Turnover	1	2,161,852	2,162,067
Cost of sales		(1,155,157)	(1,514,950)
Gross profit		<u>1,006,695</u>	<u>647,116</u>
Administrative expenses		(361,959)	(105,798)
Operating profit	2	<u>644,736</u>	<u>541,319</u>
Interest receivable	4	9,087	6,036
Interest payable	5	(1,290)	(1,290)
Profit on ordinary activities before Gift Aid for the financial year		<u>652,533</u>	<u>546,065</u>
Gift Aid	6	(648,240)	(559,886)
Profit/(Loss) on ordinary activities after Gift Aid for the financial year		<u>4,293</u>	<u>(13,821)</u>
Tax on profits on ordinary activities	7	-	-
Profit/(Loss) on ordinary activities after taxation for the financial year		<u><u>4,293</u></u>	<u><u>(13,821)</u></u>

All activities relate to continuing operations.

There are no gains or losses other than those reported in the profit and loss account.

South Bank University Enterprises Limited

Balance sheet As at 31 July 2012

	Note	2012 £	2011 £
Fixed assets			
Investments	8	<u>69</u>	<u>69</u>
Current assets			
Debtors	9	217,910	92,854
Cash at bank and in hand		<u>1,140,614</u>	<u>1,374,631</u>
		1,358,524	1,467,485
Creditors: amounts falling due within one year	10	<u>(1,243,066)</u>	<u>(1,841,325)</u>
Net current assets/liabilities		<u>115,458</u>	<u>(373,840)</u>
Total assets less current liabilities		115,527	(373,771)
Creditors: amounts falling due after more than one year	11	<u>-</u>	<u>(215,000)</u>
Net assets/liabilities		<u><u>115,527</u></u>	<u><u>(588,771)</u></u>
Capital and reserves			
Called up share capital	12	10	5
Profit and loss account	13	<u>115,517</u>	<u>(588,776)</u>
Total equity shareholders' deficit		<u><u>115,527</u></u>	<u><u>(588,771)</u></u>

These financial statements were authorised and approved by the Board of Directors on 9 November 2012.

Signed on behalf of the Board of Directors

Mr James Smith, Chairman and Director

South Bank University Enterprises Limited

Principal accounting policies Year ended 31 July 2012

The financial statements are prepared in accordance with applicable United Kingdom accounting standards. The particular accounting policies adopted are consistent with those adopted in the prior year and are described below.

Accounting Convention

The accounts have been prepared under the historical cost convention.

Going Concern

The company has been recapitalised in the year and has net assets at the year-end. The directors are satisfied that it is appropriate to prepare the financial statements on a going concern basis.

Turnover

Turnover, net of value added tax, comprises of sales in relation to consultancy work, contract research, sale of materials and letting facilities.

Cost of Sales

Cost of sales comprises costs of consultancy work, contract research, sale of materials and letting facilities.

Fixed Asset Investments

Investments are carried at cost, less provision for any impairment in value.

Cash Flow Statement

As a wholly owned subsidiary, the company is exempt under Financial Reporting Standard number 1 "Cash flow statements" from the requirement to prepare a cash flow statement. The cash flows of the company are included in the consolidated accounts.

Taxation

The Company makes a Gift Aid payment to London South Bank University sufficient to reduce its taxable profit for the year to zero. Taxable profit differs from the net profit/(loss) as reported in the profit and loss account because it excludes items of income or expenditure that are taxable or deductible in other years and it further excludes items that are never taxable or deductible.

Deferred taxation is provided in full on timing differences that result in an obligation at the balance sheet date to pay more tax or a right to pay less tax at a future date, at rates expected to apply when they crystallise based on current tax rates and law. Timing differences arise from the inclusion of items of income and expenditure in taxation computations in periods different from those in which they are included in the financial statements. Deferred tax assets are recognised to the extent that it is regarded as more likely than not that they will be recovered. Deferred tax assets and liabilities are not discounted.

Foreign currency

Transactions in foreign currencies are recorded at the rate of exchange at the date of the transaction. Monetary assets and liabilities denominated in foreign currencies at the balance sheet date are reported at the rates of exchange prevailing at that date.

South Bank University Enterprises Limited

Notes to the accounts Year ended 31 July 2012

1. Turnover

Turnover and pre-tax profits are attributable to the principal activities of the Company. An analysis of turnover by geographical destination is as follows:

	2012	2011
	£	£
United Kingdom	2,100,747	2,101,903
Other European countries	16,458	11,000
North America	25,167	46,750
Asia	1,250	2,414
Australasia	18,230	-
	<u>2,161,852</u>	<u>2,162,067</u>

2. Operating profit

	2012	2011
	£	£
Operating profit is stated after charging		
Fees payable to the Company's auditor:		
- for the audit of the financial statements	3,500	3,500
- for other services – taxation	3,286	3,250
Management charge	-	22,838
	<u>6,786</u>	<u>29,588</u>

3. Staff costs

The Company had three employees during the year (2011: nil). All other persons associated with the Company are employees of London South Bank University. One Director employed by the Company received remuneration totalling £66,245 (2011: nil).

4. Interest receivable

	2012	2011
	£	£
Bank interest receivable	<u>9,087</u>	<u>6,036</u>

5. Interest Payable

	2012	2011
	£	£
Loan from London South Bank University	<u>1,290</u>	<u>1,290</u>

6. Payment under Gift Aid

For the year ending 31 July 2012 the company has approved payment of £648,240 of its taxable profit under the Gift Aid scheme to London South Bank University (2011: £559,886).

South Bank University Enterprises Limited

Notes to the accounts Year ended 31 July 2012

7. Taxation

The 2012 tax charge is nil (2011: nil).

	2012	2011
	£	£
Profit/(Loss) on ordinary activities before tax	4,293	(13,821)
Taxation on profit/(loss) on ordinary activities at 25.33% (2011: 27.33%)	(1,087)	(3,777)
Effects of:		
Expenses not deductible for taxation purposes	95	5,426
Capital allowances in excess of depreciation	(1,182)	(1,648)
Utilisation of tax losses and other deductions	-	(1)
Current tax	-	-

A deferred tax asset has not been recognised in respect of timing differences relating to capital allowances and trading losses as there is insufficient evidence that the asset will be recovered.

The amount of the asset not recognised is £22,459 (2011: £26,602).

The asset would be recovered if suitable taxable profits were to arise in the future against which the asset could be offset.

8. Fixed Asset Investments

At 1 August 2011	£ 69
At 31 July 2012	£ 69

Details of companies, all registered in England, in which South Bank University Enterprises Limited holds more than 20% of the nominal ordinary share capital are as follows:

Name of company	Percentage holding of ordinary shares	Nature of business	Date of last accounts	Profit	Reserves
				£	£
Biox Systems Limited	24%	Development of medical products	31 Oct 2011	80,878	162,688
London Knowledge Innovation Centre Ltd	50%	Start-up business incubator	31 Mar 2011	-	334

South Bank University Enterprises Limited

Notes to the accounts Year ended 31 July 2012

9. Debtors

	2012	2011
	£	£
Trade debtors	157,311	81,333
Prepayments and accrued income	56,002	6,924
Other debtors	4,597	4,597
	<u>217,910</u>	<u>92,854</u>

10. Creditors: amounts falling due within one year

	2012	2011
	£	£
Trade creditors	8,277	14,359
Amounts owed to parent company	712,706	1,184,453
Other creditors	5,483	3,993
Accruals and deferred income	516,600	638,520
	<u>1,243,066</u>	<u>1,841,325</u>

11. Creditors: amounts falling due after more than one year

	2012	2011
	£	£
Loan from parent company due within 2-5 years	-	215,000
	<u>-</u>	<u>215,000</u>

The loan agreement specified that interest would accrue on the outstanding loan balance at a rate of 0.1% above the Bank of England base rate. Interest has been calculated on this basis. (2011: on the same basis).

12. Called up share capital

	2012	2011
	£	£
Authorised:		
1000 ordinary shares of £1 each	<u>1,000</u>	<u>1,000</u>
Called up, allotted and fully paid		
10 ordinary shares of £1 each	<u>10</u>	<u>5</u>

5 new ordinary shares of £1 each were issued during the year, with a share premium of £700,000, for consideration of £700,005.

South Bank University Enterprises Limited

Notes to the accounts Year ended 31 July 2012

13. Movement on total reserves

During the year the Company recapitalised to eliminate its negative reserves, by issuing new shares at a share premium of £700,000 to London South Bank University and subsequently transferring the share premium account to the profit and loss account with a capital reduction.

	Share capital	Share premium account	Profit and loss account	Total shareholders surplus/ (deficit)
	£	£	£	£
At 1 August 2011	5		(588,776)	(588,771)
Profit on ordinary activities after taxation for the financial year			4,293	4,293
New share issue	5	700,000		700,005
Capital reduction		(700,000)	700,000	-
At 31 July 2012	10	-	115,517	115,527

14. Related party transactions

The Company has taken advantage of the exemption which is conferred by Financial Reporting Standard number 8 “Related Party Disclosures” that allows it not to disclose transactions with group undertakings whose voting rights are wholly controlled within the group.

15. Ultimate parent company

South Bank University Enterprises Ltd is a wholly owned subsidiary of London South Bank University, a company limited by guarantee, incorporated in Great Britain and registered in England and Wales.

London South Bank University is the ultimate parent and controlling company and is the parent company of the only group of which the company is a member for which consolidated financial statements are prepared. The consolidated financial statements of London South Bank University can be obtained from 103 Borough Road, London, SE1 0AA.

	PAPER NO: UE.48(12)	
Board:	Board of Directors	
Date:	9 November 2012	
Paper title:	Risk Register	
Author:	Tim Gebbels, CEO	
Recommendation:	That the Board note the updated risk register	
Matter previously considered by:	N/A	N/A
Further approval required?	N/A	N/A
Communications – who should be made aware of the decision?	N/A	

Executive summary

The risk register has been updated following discussion at the last Board meeting.

- A new action of “keep team under review to maintain staff numbers and skill profile to meet business need” has been added to the risk of insufficient team capacity or capability
- A new risk “Crisis causes disruption to University Enterprise business” has been added. This is considered low risk.
- A new risk “Action of Spin-out or Spin-in company adversely affect University Enterprise” has been added. This is considered low risk.

The Board is requested to note the risk register.

Risk Register

Date	05/11/2012
Risk Status	Open
Risk Area	Support
Sub Risk Area	University Enterprise

University Enterprise

Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority	Existing Controls	Residual Risk Priority	Action Required
321	UE1 Lack of strategy for enterprise Risk Owner: Tim Gebbels Last Updated: 09/09/2012	<p>Cause: Perceived lack of Enterprise Strategy supporting Corporate Plan objective Perceived absence of senior management support for Enterprise Poor communications of enterprise strategy and its implications for all staff</p> <p>Effect: Poor understanding of importance of Enterprise and the role individuals have in delivering Corporate Objective Confused prioritisation of Enterprise activity versus Teaching and Research</p>	2 2 Medium		Medium	<p>Develop a clear Enterprise Strategy and communicate it to University staff</p> <p>Person Responsible: Tim Gebbels To be implemented by: 31/12/2012</p>
322	UE2 Lack of ambition and focus Risk Owner: Tim Gebbels Last Updated: 09/09/2012	<p>Cause: Historical precedent is for the Enterprise team to be reactive rather than pro-active and to provide largely administrative support for all Enterprise activity, although much of this is very low value. Insufficient focus on generating new, high value commercial opportunities. Lack of recognition of need for step change results in continuation of status quo.</p> <p>Effect: Significant new commercial opportunities are missed.</p>	3 2 High		High	<p>Effectively communicate the new level of ambition and the areas of focus necessary to deliver income targets both to the Enterprise Team and to academics involved in Enterprise</p> <p>Person Responsible: Tim Gebbels To be implemented by: 31/12/2012</p> <hr/> <p>Create a framework of tools to support academics to continue to undertake Enterprise activity with minimal support from the Enterprise team, for projects of comparatively low value.</p> <p>Person Responsible: Tim Gebbels</p>

Growth in Enterprise income is smaller than desired.

To be implemented by: 31/03/2013

323	<p>UE3 Lack of priority for Enterprise from faculty and academic staff</p> <p>Risk Owner: Tim Gebbels</p> <p>Last Updated: 05/11/2012</p>	<p>Cause: Enterprise not recognised as a corporate priority versus Teaching or Research.</p> <p>Effect: Poor support for Enterprise activity from Faculty and department management and from individual academics. Inability of the University to deliver major new commercial projects if and when they can be found.</p>	3 2	<p style="background-color: red; color: white; text-align: center;">High</p>	<p style="background-color: red; color: white; text-align: center;">High</p>	<p>Ensure priorities are established that do not create perverse incentives between faculties and University Enterprise but instead encourage them to co-operate.</p>
<p>Person Responsible: Tim Gebbels To be implemented by: 31/12/2012</p>						
<p>Ensure that Enterprise becomes a central component of the criteria used to recruit and promote University staff, whether academics, support staff or senior managers</p>						
<p>Person Responsible: Tim Gebbels To be implemented by: 31/07/2013</p>						
<p>Communicate the Enterprise strategy across the whole University to ensure the priority of Enterprise activity is recognised</p>						
<p>Person Responsible: Tim Gebbels To be implemented by: 31/12/2012</p>						
324	<p>UE4 Poor project management or delivery</p> <p>Risk Owner: Tim Gebbels</p> <p>Last Updated: 09/09/2012</p>	<p>Cause: Inadequate project management controls for Enterprise activity. Inadequate understanding of customer requirements or deadlines. Poor resource and staff time planning.</p> <p>Effects: Reduced income (client unwilling to pay) or cost over-runs. Inability to grow Enterprise activity as planned.</p>	2 2	<p style="background-color: yellow; text-align: center;">Medium</p>	<p style="background-color: yellow; text-align: center;">Medium</p>	<p>University Enterprise to take ownership of the commercial client relationship (where appropriate) and to improve client communications throughout project lifecycle to ensure sound understanding of client need and appropriate quality control of final deliverables.</p>
<p>Person Responsible: Tim Gebbels To be implemented by: 31/10/2012</p>						

Damaged reputation of the University.

Devise and implement formal project management to effectively manage project phasing, milestones, deliverables, resource and budget scheduling, client reporting and billing.

Person Responsible: Tim Gebbels
To be implemented by: 31/12/2012

325 UE5 Insufficient team capacity or capability

Cause:
 Step change in corporate ambition requires step change in performance of University Enterprise team performance.
 Successive change processes or other de-motivators may result in staff turnover.
 Change in team focus and priorities may result in new skills needs not met by existing staff.

2 2

Medium

Medium

Keep team under review to maintain staff numbers and skill profile to meet business need

Person Responsible: Tim Gebbels
To be implemented by: 31/07/2013

Undertake a review of the team structure and the purpose of each job (within the defined establishment envelope). Move to the new structure as soon as possible.

Person Responsible: Tim Gebbels
To be implemented by: 31/08/2012

Effect:
 High staff turnover resulting in loss of existing skills.
 Inability of team to meet growth targets.

Risk Owner: Tim Gebbels

Last Updated: 05/11/2012

360 UE6 Crisis causes disruption to University Enterprise business

Cause:
 Unexpected crisis disrupts business critical element of University Enterprise activity

2 1

Low

Low

Under the University's Business Continuity Planning Framework, develop a business continuity plan for University Enterprise

Person Responsible: Tim Gebbels
To be implemented by: 31/07/2013

Effect:
 Projects and other ongoing commercial activity fail to meet customer expectations
 Key records and/or documents lost, disrupting client relationships, contract management or other essential processes.

Risk Owner: Tim Gebbels

Last Updated: 05/11/2012

361	UE7 Action of Spin-out or Spin-in company adversely affect University Enterprise	Cause: Uncontrolled and unmanaged activity of spin-out or spin-in company has an adverse impact on SBUEL or LSBU e.g. through legal or financial liabilities, reputational damage	2	1	Low	Develop a simple framework for assessing the risk associated with associated companies. Populate the framework for all such companies. Monitor risks on a regular basis (quarterly)
	Risk Owner: Tim Gebbels					Person Responsible: Tim Gebbels
	Last Updated: 05/11/2012	Effect: Losses in related businesses may need to be consolidated into SBUEL and LSBU accounts, impairing performance Damaged reputation in the market place may impact our ability to secure commercial business or even to recruit students				To be implemented by: 31/01/2013