

Meeting of the South Bank Academies Board

3.00 - 5.00 pm on Thursday, 8 December 2016
 in South Bank Engineering UTC, 56 Brixton Hill SW2 1QS

** 2.30 – 3.00pm tour of the South Bank Engineering UTC School*

Agenda

<i>No.</i>	<i>Item</i>	<i>Pages</i>	<i>Presenter</i>
1.	Welcome and Apologies		DP
2.	Declarations of Interest - <i>Directors are required to declare any interest in any item of business</i>		DP
3.	Minutes of the previous meeting	3 - 8	DP
4.	Matters arising	9 - 10	DP
Items to discuss			
5.	Chief Executive's Report	11 - 26	RB
6.	Draft Strategic Plan	27 - 38	RB
7.	UTC & the Academy Development Plan	39 - 60	RB
8.	Quality Review	61 - 64	DP
9.	Financial Management Accounts	65 - 72	DS
10.	Group Risk Register	73 - 76	DS
Year End matters			
11.	Audit Findings	77 - 100	DS
12.	Letter of Representation (approve)	101 - 106	DS
13.	South Bank Academies' Annual Report & Accounts (approve)*		DS
Items to approve			
14.	Local Governing Body Update (to note)	107 - 110	MB
15.	Board and Local Governing Body Membership (approve)	111 - 114	MB
16.	Policies - Financial Control* - Reserves and Investment Policy (approve)	115 - 116	RB, DS
17.	Directors' Declarations of Interest	117 - 118	DP

<i>No.</i>	<i>Item</i>	<i>Pages</i>	<i>Presenter</i>
18.	Any Other Business		DP
	<i>* to follow</i>		

**Date of next meeting
4.00 pm on Thursday, 30 March 2017**

Directors: David Phoenix (Chair), Rao Bhamidimarri, Adam Crossley, Douglas Denham St Pinnock, Richard Flatman, Tony Giddings, Steve McGuire, Richard Parrish and James Stevenson

In attendance: Shivani Kothari (Auditor), Dan Smith, Michael Broadway (Company Secretary) and Pervena Singh (Clerk)

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Minutes of a meeting of the Board of Directors of
South Bank Academies
4.00 – 5.00pm, Wednesday 14 September 2016
Conference Room, University Academy of Engineering,
Trafalgar Street SE17 2TP

Directors present

Richard Flatman
Rao Bhamidmarri
James Stevenson
Douglas Denham St Pinnock
Steve McGuire

Chair for the meeting

(From minute 15)

Apologies

Dave Phoenix
Adam Crossley
Tony Giddings
Richard Parrish
Michael Broadway

Chair

Company Secretary

In attendance

Joe Kelly

Interim Clerk

Welcome and apologies

1. The Chair welcomed everyone to the first meeting of the Board of Directors at the Academy. The above apologies were noted.

The Chair thanked the Academy for a most interesting tour led by two third year students prior to the meeting. The Chair noted that the meeting was quorate.

Appointment of Chair and Vice-Chair

2. The Board approved the re-appointment of David Phoenix as Chair for one year, and the appointment of Richard Flatman as Vice-Chair for two years, subject to the amendment of article 82.

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3. The Board agreed to review the re-appointment of the Chair at the end of the school year with a view to staggering the terms of office of the Chair and Vice-Chair.
4. The Board recommended the proposed amendment to article 82 to the members.

Declarations of Interest

5. No member declared an interest in any item on the agenda.
6. As part of the requirements under section 175 of the Companies Act the Board authorised the declared interests of the directors (paper SBA.29 (16)). Douglas Denham St Pinnock's interest was amended to Nanogentech Ltd.

Minutes of the last Board meeting

7. The Board approved the minutes of the meeting held on 12 July 2016.

Matters arising

8. [Minute 6, 12 July] The meeting agreed to discuss the appointment of additional directors at its next meeting.
9. [Minute 21, 12 July] Further development of detailed strategy and school delivery plans to be brought to the next meeting.
10. [Minute 30, 12 July] Amendment of articles of association is in progress.
11. [Minute 37, 12 July] DBS checks for all directors are in progress.

Items to discuss

Chief Executive's report

12. The Board noted the Chief Executive's report.
13. It was reported that the UTC and Academy 6th Form have both opened with viable numbers and that an Executive Assistant has been appointed to South Bank Academies Trust reporting to the Chief Executive.

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14. The meeting noted that links between LSBU and the Academy will be extended to UTC students and staff this year giving them access to university facilities. LSBU trainee teachers will be offered the opportunity to undertake teaching practice requirements at the Academy and UTC.
15. *[Steve McGuire joined the meeting.]*
It was reported that the UTC was on course to take possession of Phase 1 (90%) of the new school building in September 2017, as planned. UTC's temporary accommodation has encountered initial problems due to enforced changes in supplier but action is in hand to ensure facilities operate satisfactorily. The Chair requested that all directors be offered the opportunity to visit the site.
16. The meeting noted that the Principal of the Academy will not be returning after the summer holidays. A Vice-Principal has been appointed and is in post. An Interim Principal is being sought and headhunters engaged to search for a new Principal. Under article 107, the appointment of the Principal is a matter reserved to the Trustees.
17. It was noted that the Academy is due to receive an OfSTED inspection in this autumn term. Pre-OfSTED training would be delivered by Southwark Council after the meeting to directors and local governors of both schools. It was agreed that all directors should access training relevant to their roles via the Trust's subscription to Southwark Council governor training services. A list of available training is to be circulated to directors before the next meeting.
18. Under authority delegated by the Board at its meeting of 22 March 2016, it was reported a Clerk has been appointed to South Bank Academies Board and Local Governing Bodies (LGBs), reporting to the Company Secretary.

Risk Register for South Bank Academies

19. The meeting directed that the Risk Register should be a live document updated monthly and presented to each Board meeting. The Chair requested directors consider the register, as well as management, finance and internal/external audit reports, as part of the Board's assurance framework. The meeting noted the need to ensure that local risks in the Academy and UTC were fed through and identified in the Trust's Risk Register. The meeting requested a review of these procedures in early 2017.

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Draft Performance Indicators for the UTC and Academy

20. This paper was withdrawn. The Board agreed to defer discussion of this document to the next meeting.

Full year management accounts

21. The meeting noted that the outturn for 2015-16 was positive with a surplus of £250,000 subject to £83,000 clawback by the Department of Education.

External audit plan

22. The meeting approved the audit plan. The Audit Committee will meet to review the draft accounts and audit reports on 29 November 2016 in advance of the next Board meeting.

Policy on financial controls

23. The meeting requested that the delegated authority classifications be amended for clarity and that the policy should include controls on achieving value for money. The policy should be given to the external auditors for comment on the strength of the control systems. The meeting requested that the revised policy be brought to the next meeting.

Committee structure and membership

24. The Board noted the committee structure, membership of committees, the links between the Board and the LGBs, and the committee business cycle. The Board approved the following LGB sub-committees:

UTC

- Finance & General Purposes
- Learning and Teaching
- (Personal Development and Welfare – no committee at this stage but a link governor)

Academy

- Finance & General Purposes
- Learning and Teaching
- Personal Development and Welfare

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Any other business

25. The meeting agreed that the Chair, CEO and an independent director conduct an assurance visit to each school twice a year.
26. The meeting requested policies on Student Welfare and Safeguarding to be brought to the next meeting.
27. The meeting commended the secure signing-in procedures at the school Reception.

Date of next meeting

3.00 – 5.00pm, Thursday 8 December 2016
South Bank Engineering UTC, 56 Brixton Hill, Brixton SW2 1QS

Confirmed as a true record

..... (Chair)

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Agenda Item 4

Matters Arising

Item number	Detail	Responsible	Update
3. Appointment of Chair / Vice-Chair	Board to review re-appointment of Chair at the end of the school year.	Secretary	On forward plan
8. Matters arising	Board to discuss appointment of new directors at its next meeting.	Secretary	Agenda – 8 December
9. Matters arising	Detailed strategy and school delivery plans to be presented at next meeting.	CEO	Agenda – 8 December
10. Matters arising	Amendment of articles of association; articles 51 and 82.	Secretary	Under review
14. CEO report	All directors to be offered the opportunity to visit the school sites.	CEO / Secretary	Completed
16. CEO report	Southwark Council governor training programme to be circulated to directors.	Clerk	Training and development updates sent by Southwark
16. CEO report	All directors to access appropriate governor training via Southwark Council.	Individual directors	Ongoing
19. Risk Register	Risk Register to be a live document, updated monthly and presented to each Board meeting.	Business Manager	Agenda – 8 December
19. Risk Register	Review of Board assurance framework in 2017.	Business Manager	Ongoing
20. KPIs	Draft KPIs to be presented to next meeting.	CEO	Agenda – 8 December
23. Financial controls	Policy to be revised to clarify delegated authority classifications and to be brought to next meeting.	Business Manager	Agenda – 8 December
23. Financial controls	Policy to be reviewed by external auditors.	Business Manager	Currently under review

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	CONFIDENTIAL
Paper title:	Chief Executive's Report
Board/Committee:	South Bank Academies Board Meeting
Date of meeting:	8 December 2016
Author:	Rao Bhamidimarri
Purpose:	To note
Recommendation:	The meeting is requested to note the CEO's Report.

Chief Executive's Report to the Trust Board December 2016

Summary

The Trust's schools, the Academy and the UTC made a positive start to the new school year, although each of the schools faced different challenges. The UTC opened in a sub-standard temporary accommodation with no broadband for the first three weeks. The majority of the issues related to the accommodation have now been resolved with the help from Bowmer and Kirkland, the contractors of the permanent building. We now have full access to broadband, allowing for the UTC to provide teaching and learning support as planned.

We appointed an Interim Principal following the departure of Jane Rowlands due to ill health, to prepare the Academy for the Term 7 Ofsted Inspection. Due to the previous Principal's prolonged illness through much of last year, a range of gaps developed in the management of the Academy including degradation of pupil behaviour, incomplete documentation related to DfE compliance and increased staff turnover, potentially exposing the Academy to a poor Ofsted grading. We have been addressing these issues systematically and made significant progress with regards to compliance, there has been a noticeable improvement in student behaviour and the Academy's Self Evaluation Form and the Academy Development Plan have been developed.

We were unsure before summer if we would be able to offer Post 16 from September this year due to lack of marketing and recruitment activities last year, but following extensive marketing and recruitment campaign over the summer, we successfully attracted sufficient enrolments to open Post 16 at the Academy with a focused STEM offer. We currently have 24 students enrolled in Year 12.

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The Trust

The South Bank Academies Trust is now fully established including the appointment of the Chief Financial Officer and the Executive Assistant. We are now promoting the Trust externally through editorials in education related newspapers. We are currently developing the Trust's website and a Newsletter for internal and external distribution. We are establishing links with a range of external stakeholders to promote opportunities for the students of the Academy and the UTC. We also developed a Newsletter and video commercials to promote the Trust and its schools.

The Academy

The Academy currently offers Years 7, 8 and 9 as well as Sixth Form. The student numbers at the Academy as at Friday 21st October are as below:

Year 7 - 138

Year 8 - 130

Year 9 - 96

Year 12 - 24

The Academy lost 18 students over summer due to the uncertainty related to Principal's health and whether she would return to the Academy in the new school year.

We appointed Gary Nelson, as the Interim Principal, pending the appointment of replacement permanent Principal, and he joined the Academy on 5th October. Gary was with a small Trust in Wigan as their Executive Head for two years before joining us. The Academy is now fully staffed with 27 teaching staff and 18 support staff. We commissioned an experienced Ofsted Inspector to undertake a review of the Academy to areas for development in preparation for the Ofsted Inspection. Several areas were identified for improvement (Appendix 1) and the staff are working to address them.

We invested some £440, 000 on enhancing the physical infrastructure of the Academy utilising the funds transferred to us by Southwark Council. This money was given to us for refreshing the accommodation following the occupancy of the building by Sacred Heart Catholic School for two years. The Academy's income for 2016/17 school year is £3.9m and the school's budget projects a small surplus of £108,000.

The University Technical College (UTC)

The UTC opened in September 2016 as planned in temporary accommodation. Despite numerous problems initially with the building, ICT and security, the UTC is now operating according to schedule. The UTC student recruitment proved to be a significant challenge as has been the case with the rest of the other 47 UTCs that are currently operating. We recruited students 36 into Year 10 and 57 into Year 12.

According to the financial plans submitted to DfE, the UTC's projected income in the first year is £1.45m with a projected surplus of £150k. This is based on 146 acceptances of student places. However, the enrolments realised were only 93. Therefore, there will be a claw back in view of the enrolment short-fall. We have re-

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profiled the budget to ensure that the expenditure does not exceed the income. We attracted some of the best teachers to the UTC in an environment in which there is an acute shortage of STEM teachers. The UTC currently has 11 teachers and 7 support staff. The curriculum is underpinned by project based learning. The College is working closely with employer partners for the students to development and implement real world projects.

DfE officials accompanied by the former Director of Ofsted inspected the UTC on 19th October to review all aspects of the UTC. The report which we received was mostly positive, with only a few recommendations (Appendix 2). DfE will inspect the UTC again towards the end of Term 2 to review the student related data, learning and teaching, attainment and progression in detail.

Collaboration between LSBU and the Academies

A range of activities have been undertaken by the University staff to support the students at the Academy over the last two years. Limited number of LSBU students undertook internships at the Academy. DVC agreed for the staff to be designated visiting scholars of the University and the students the Associate Students. In order to further increase interaction between the University and the Academies, a working group is being established with representatives from each of the University's Academic Schools. This will be a short life working group to discuss and develop recommendations for developing increased collaboration between the Academies and LSBU Academic schools. The representatives of the LSBU Academic Schools will then act as the champions for their respective Schools to promote and coordinate collaborative activities in alignment with their School's priorities.

Chief Executive
1st December 2016

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Appendix 1

University Academy of Engineering South Bank Review 3rd November 2016

The evidence for this report was gathered during a one day visit. The emphasis of the review was on teaching and learning. A series of lesson walks were undertaken in the company of senior academy staff. Behaviour around the academy, including in the restaurant was observed. Meetings were held with a group of students and two groups of staff. Safeguarding arrangements were also scrutinised. As no students attending the academy have, as yet, sat any external examinations, no analysis of attainment was undertaken.

Safeguarding:

- The SCR is maintained to a high standard and the changes recommended during my visit in February have been implemented. In terms of good practice, one small adjustment should be made. The register should, ideally, show the current address of all staff employed.
- IT filters were checked. No causes of concern were identified though the index pages of some potentially dangerous or unacceptable sites could be accessed. No offences images were accessible, however.
- In terms of good practice it is recommended that the academy's IT manager undertakes monthly checks to ensure that there are no student, or staff, abuses of the IT system. It is also important that when undertaking such checks that the use of foreign domains are monitored.
- It is further recommended that internet safety is a standard agenda item on all full meetings of the academy's governing body. The returns from the IT manager can then be formally recorded under this agenda item. It is anticipated that in the usual response will be 'nothing to report'; but it will show that vetting is thorough and that safeguarding is given high priority.

Behaviour:

- A pleasing standard of behaviour was the norm and no worrying or concerning incidents were seen.
- Students were observed arriving for morning school in an orderly manner and they were greeted warmly at the entrance gate by a member of staff.
- Behaviour witnessed around the academy was at least consistently good. It was rare to see students walking around the academy during lesson times. Those who were observed were usually carrying clearly visible official passes.
- Behaviour at lunchtime and at lesson turnover was of a high standard. Indeed, lunchtime provided a good opportunity for students to socialise. It was pleasing to see the harmony that existed within the student population; students from different cultures and ethnic groups conversed and socialised in a sensible and mature fashion.
- The academy has made effective lunchtime provision for its growing number of students. Not only did the students interact with one another well, they treated the restaurant respectfully. The lack of litter was noticeable and the students were diligent in clearing away their dirty plates and dishes.
- In all areas of the academy, there was a lack of litter and no graffiti was observed. Students are clearly treating all areas of their learning environment with respect. They are taking responsibility and social and moral development are strong.

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- Behaviour in lessons was calm. Where teaching was especially effective, such as in art, history and Spanish, students showed responsibility and their behaviour for learning was particularly good.
- In those lessons where the pace of learning was slower and the work was less challenging and engaging, behaviour for learning was less good; students tended to be compliant and showed signs of boredom by sitting passively at their desks and taking little part in the proceedings. Such behaviour was witnessed in both mathematics and science.
- Some Year 12 lessons were visited. It was pleasing to see the enthusiasm of the students; their behaviour was at least good. It was particularly impressive in a product development lesson where students were offered appropriate opportunities to take responsibility for their learning. A most impressive aspect of this was the way that students were discussing their work and helping one another to solve the challenges set by their teacher. Learning was promoted most effectively in this classroom.
- Though attendance was not looked at specifically, anecdotal evidence presented indicates outcomes that are above average for secondary schools nationally.
- Overall, the behaviour witnessed during this visit was of a pleasingly high standard.

Staff Views:

- Staff morale came over as being high. More experienced staff highlighted the changes that have taken place over a reasonably short period of time. They acknowledged that change can often be associated with uncertainty but, overall, they believed that the academy was now a happier place in which to work and that intentions are now far clearer. They also offered the view that it is now more 'collegiate' and that they felt more valued.
- The staff who are both new to the academy and to teaching all said that they are well supported. They praised their mentors and offered the view that the academy was a good place to work and that they were enjoying their work, though some concerns were raised about how to manage the volume of work involved.

Teaching and Learning:

- Based on what was seen during this visit, it is clear that in some classes the quality of teaching and learning are at least good but that there is far too much variation in what students are offered, what is expected of them and, therefore, there is too much variation in the quality of learning outcomes.
- These points were readily acknowledged by all senior staff who took part in the learning walks.
- Learning that was at least good was seen in art and design, history and Spanish. Learning in English and drama showed promise but these classes were taught by inexperienced teachers. Both showed considerable promise but learning was not consistent because these teachers are still honing their skills and craft. Nevertheless their planning for learning was good and they were challenging the students.
- In the sixth form the quality of teaching promoted good progress and learning in physics and product design. Learning in a mathematics class was more

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pedestrian because the teacher was inclined to do too much of the work and the level of challenge was reduced.

- Learning was less effective in main school lessons in mathematics and physics. In mathematics learning was below expectations because the teacher was inadequately prepared, the lesson was far too slow to start and the teacher caused a confrontation with a small number of students. This served to slow learning further and caused some short term disruption.
- The science lesson visited did not feature acceptable learning. This was mainly because an inexperienced teacher struggled to gain the attention of all students. His planning lacked finesse and the challenges set did not properly, or fully, engage, enthuse and motivate the students.
- Where particularly good learning was observed staff showed great enthusiasm for their subjects. Planning for learning was especially good and the students were successfully challenged to take responsibility for their own learning. Expectations were high and the work set succeeded in engaging and challenging the students. Good questioning techniques from the teachers served to reinforce the quality of learning observed.
- Variations were also evident in marking and assessment and in the way students presented their work. From evidence gained during this visit, staff are not consistently setting their expectations of what the students can achieve high enough. Marking for literacy also shows too much variability.
- It is not entirely clear which assessment model staff are using. Some deploy the WWW/EBI model, but not all adhere to this approach. This is confusing the students.
- Even where this model is used, its effectiveness is variable. This is because some staff do not set appropriate EBIs. This is an area where further staff training is required because staff need to be skilled in setting EBIs that actually embedded and extend learning.
- It was rare to see the WWW/EBI model being enhanced by clear evidence of students responding formally to the EBIs. For the model to work most effectively, it is essential that the student response (SR) aspect of the model is always implemented in a qualitative manner.
- Even where the assessment model is applied well, as in history, marking for literacy still requires improvement. For example, some very good written work was seen relating to the history of medicine but words such as hygiene were not corrected when spelt incorrectly.
- Some potentially good literacy work was seen in a Year 7 drama lesson and a GCSE PE class, but nothing was recorded. It is important that students have exercise books in which to record their work and to undertake regular written assignments; otherwise opportunities to develop literacy skills will be missed.
- Based on the observations made it is evident that not all staff are not setting their expectations high enough. In art, history and Spanish, for example, work was generally well presented and there was evidence of pride. Too often, however, work in books was not presented well; diagrams were poorly presented, rulers were not used and written work was careless and lacked attention to detail and mistakes often went uncorrected. These are all factors that have the potential to lead to teaching and learning being downgraded by an inspection team.

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- It is strongly advised that a set on basic non-negotiable standards are agreed with staff and are applied rigidly in all classes. This includes such things as rulers always being used for underlining, standards for the presentation of diagrams being set high and dictionaries being available, on desks, in all lessons.

Student View:

- Students consulted liked the academy and the opportunities offered. All said that they were pleased to be attending and would readily recommend the academy to others.
- Though the sixth form is small, students are enjoying their education, feel well taught and supported and like the emphasis placed on engineering and associated subjects.
- Younger students reported that the academy has improved on last year. They too report that they are generally well taught though there is some disruption to learning in a small, but frequent, minority of lessons. This low level disruption is usually associated with idle chatter that is not controlled by the class teacher.
- Students reported that disruption is associated with a small number of teachers, but that it is not widespread across the academy.
- Students raised issues about variations in marking and assessment and expressed concerns about homework. They highlighted inconsistencies in the way their work is marked and the quality of feedback received.
- They are unclear about the present homework arrangements and requested greater clarity on this issue. They would particularly welcome a homework timetable that is adhered to by staff. They also requested that staff are given guidance on the volume of homework that should be set.
- Students were unanimous in their view that the academy is safe. There is a lack of bullying and incidents associated with sexism, racism or homophobic behaviour are exceeding rare.
- If any adverse incidents do occur, the students are confident that staff will act accordingly and take all reports seriously. Students have considerable faith and confidence in their staff.
- Students do not always feel safe in the immediate community outside the academy, especially given the late finish to the academy day and the advent of darker evenings. Some said that their parents and carers are also concerned about this issue.

Leadership and Management:

- Senior staff know the academy and its students well. On our learning walks they identified strengths and weaknesses in teaching and learning accurately; there were no shocks during the day.
- Senior staff are able to evaluate the quality of teaching and learning with accuracy but they must remember to place the emphasis on learning outcomes.
- It is clear that considerable work has been successfully undertaken to establish standards in relation to behaviour around the academy. This is reflected in the calm atmosphere and lack of litter, for example.
- The main issue identified is the leadership at departmental level. The variations in marking, assessment, expectations and presentation of work

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suggest that subject leaders need some quite detailed and focused training on their roles and responsibilities.

- Too many variations in practice were identified in mathematics and science, for example, and these inconsistencies are having a negative impact on learning outcomes.

Recommendations:

- Ensure that all addresses on the SCR are current and accurate.
- Undertake monthly checks on staff and student internet use and pay particular attention to the accessing of foreign domains.
- Have internet safety as a standard item on the agenda for all full governors' meetings.
- In light of safety issues raised by students review the timing of the academy day.
- Ensure greater consistency in the leadership and management of departments by eliminating the inconsistencies that currently exist especially in mathematics and science.
- Eliminate the inconsistencies that currently exist in teaching and learning by ensuring that:
 - the promotion of literacy is consistent, thorough and detailed across all subjects;
 - agree on an academy-wide marking and assessment policy that is adhered rigidly to by all teachers;
 - all staff set high standards in terms of how work is presented. Work that falls below expectations should not be accepted and should be repeated;
 - there is an agreed homework policy and homework timetable. It is important that the homework timetable is adhered to by all teaching staff;
 - set homework always adds value to learning and is more detailed than simply requesting that work is finished;
 - staff plan learning activities that properly and fully engage, challenge and motivate all students;
 - students work harder than their teachers in lessons.

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Appendix 2

Open Free Schools EA 1st Term Visit Report (including South Bank Engineering UTC action points in blue)

This report is the department's confidential information and is being shared on the explicit understanding that it may not be released publicly, or any of its contents quoted or paraphrased in any external communications made by the school, including to parents. It is only to be used by the school's senior leadership team, board of governors and the Trust to help inform improvement strategies.

Name of school		South Bank UTC		
Date of visit		19 October 2016	EA	Louise Soden
LA and region		Lambeth SESL		
Name of Principal & email address		Dan Cundy dan.cundy@southbank-utc.co.uk		
Name of CoG & email address				
Age range			Boys/girls/mixed	Mixed
School type – Mainstream/AP/Special/UTC/Studio School/16-19		UTC		
Faith (please state whether ethos or designation)		N/A		
NOR		93 (in Y10 and Y12)		
% Full (NOR against PAN)				
% SEN	% FSM	% EAL	% PA	% Attendance
Evidence and sources		Information about the school		
<p>During this visit we met with the Principal, other senior managers and members of the teaching staff. We were able to talk with the CoG and other sponsor representatives. We spoke to students and visited a number of lessons. We scrutinised the safeguarding</p>		<p>The Principal describes the opening of the UTC as 'disaster after disaster.' A fair summing-up of the number of things that went wrong. Following the bankruptcy of the original builders, the refurbished 'portacabins' on the temporary site arrived late. The accommodation was just ready for the students' arrival but there was a failure of IT; there was no connectivity for three weeks after opening, cutting across planning for a Cloud-based approach.</p> <p>This lack of connectivity meant that teaching had to start without baseline data so that accurate target-</p>		

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arrangements, including the SCR

Louise Soden, the EA, was accompanied by Chris Chudziak, William Day-Brosnan and Sarah Fielding from the DfE.

setting was off track. This is now being tackled and there is considerable work taking place to ensure that assessment information is accurate and used to inform planning and targets.

The Principal and the CoG describe students being 'at the UTC for the right reasons.' They have promoted a vision of 'school plus,' seeking to convey that SBUTC offers the best of both academic and vocational approaches. They envisage a UTC that has high aspirations and promotes excellent academic standards through technical curriculum; this is a 'hands-on approach' with some teaching being delivered by key partners. For example, Skansa and Great Ormond Street Hospital are working with students on the 'ward of the future.' In addition to the technical and creative skills being taught, students also learn about team work and project management. Year 12 students were already able to describe their roles and responsibilities on this project; their absolute engagement with the work was evident.

Senior managers consider that Y10 students have the right commitment to the UTC's vision but are not yet fully ready for the work-place ethos which is key to the UTC's approach. In addition to high levels of SEN, managers describe a range of social, emotional and mental health issues. They are tackling these with enhanced teaching of basic skills and a comprehensive programme of personal support.

The clear, and honestly and passionately expressed, aims for the UTC appear to be resonating with students and their parents. Senior managers report considerable levels of interest in the UTC and are optimistic about recruitment for 2017 when the new building will open. Accurate information re the potential 2017 intake will be a focus for the next visit.

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Summary - progress in addressing ROM risks & agreed actions / next steps

SBUTC presents as a focused and united institution despite the very considerable challenges surrounding its opening. Year 12 students in particular are powerful advocates for the quality of provision that has been established. That so much has been achieved in a short time is to the credit of the Principal, his senior managers and governors and sponsors.

The Principal has made some bold staffing appointments; for example, using newly graduated Cambridge engineers who are not qualified as teachers. He understands that this decision means a much more involved approach from senior staff and a carefully designed programme of professional development; all of which is in place. Maths and science teaching is judged to be generally good; brief visits to lessons during this visit supported this judgement. A highly experienced former Head of English is providing an ambitious English curriculum and leading on literacy across the UTC. There is an interesting approach to promoting and embedding technological language in all lessons. Concerns about literacy support were expressed at the ROM; these are being tackled imaginatively.

Arrangements for the leadership of SEND have been secured with Trinity Academy as outlined at the ROM. The Principal is aware that there will need to be further SEND support as the UTC grows. The nature of the current Year 10 cohort has also increased the need for greater SEND capacity. Plans for developing the staff as student numbers grow are in line with curriculum planning and the available resources.

One of the key challenges facing the UTC is recruitment when there is no building to show prospective students and their parents and the current accommodation is challenging. There is a small recoverable delay to the build programme at present, nevertheless the Principal is able to present a compelling picture of the UTC's future; he is well supported in this by current students.

Section 4: Strategic Planning - Governance, Leadership & Staff	Effectiveness of leadership and management
<p>Actions from the ROM:</p> <ol style="list-style-type: none"> 1. The Trust to outline the exact contribution of all partner schools. For instance, standardisation and moderation 	<p>Since the ROM The Principal and the governors have established working relationships with partner UTCs. Reading UTC has provided support for technology and more local schools, such as City Heights, have begun work with SBUTC on standardization and moderation. Scrutiny of the development of this partnership work should be a focus of future visits.</p> <p>The CEO is following structured line management for all the Principals within the South Bank MAT. It is an</p>

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<p>for what subjects by which schools.</p> <ol style="list-style-type: none">Trust to provide detail about how the CEO will be held to account by the TrusteesClarify the arrangements for the appointment of the SENCo	<p>annual appraisal process with six monthly reviews. In addition, there are formal monthly 1:1 meetings.</p> <p>The CEO is assisted by an independent School Development Adviser with the Principal's appraisal</p> <p>As noted above, there is a SLA with Trinity Academy for the provision of SENCo time. This arrangement is currently working well. In addition, the UTC has recruited well-qualified support staff. During lessons seen on this visit, support staff were working effectively with students and enabling them to tackle challenging tasks</p> <p>The UTC has recruited an appropriately qualified group of staff including an experienced engineer to be the Director of Engineering.</p> <p>The Principal and the governors are already planning to develop staffing to meet the growing demands of increasing student numbers. There is the potential to make current part-time staff into full-time teachers. There will be a need to recruit more engineering teachers. The Principal discussed the importance of retaining staff and the package that the UTC has created to reward staff for a long teaching day and 210 day annual contract.</p> <p>Next steps:</p> <ul style="list-style-type: none">Plan to increase support for SEN going forward <p>SBE UTC Action: Principal to plan for SEN staffing requirements for 2017-18 by 31-12-16; ensure budget is able to support requirements by 31-12-16; explore option to share SENCO capacity within the trust or with Trinity Academy by 31-12-16; recruitment timeframe February to April 2017 to give time for second national advert if required; training to begin from appointment to start date on 1-9-17.</p> <ul style="list-style-type: none">Ensure that planning, recruitment and development are on track to meet the growth in student numbers next year <p>SBE UTC Action: Recruitment trajectory finalised with targets of 100 Year 10 and 250 Year 12 applications, with likely 80 Year 10 and 150 Year 12 places. Marketing strategy published with 'multi-channel' approach to marketing. As of 25-11-16 20 students ahead of target.</p>
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	<p>Staff recruitment to be planned in line with projected recruitment numbers, using range of strategies to source talent. Curriculum development ongoing; planning for new building ongoing.</p> <ul style="list-style-type: none"> • Source the support of national leader of governance to help the Trust establish effective MAT governance arrangements <p>SBE UTC Action: Rao to explore.</p>
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Section 2: Curriculum, Teaching & Learning	Quality of teaching, learning and assessment
<p>Actions from the ROM:</p> <p>There were no specific actions from the ROM although the EA raised some questions about whether the enhanced time for core subjects was having a detrimental impact on a broad curriculum offer.</p>	<p>The evidence from this visit, although limited, suggests that the curriculum decisions at Key Stage 4 are appropriate given the gaps in learning that are apparent for many students. The UTC is also providing students with a longer day and more teaching time so there is adequate flexibility to extend and enhance the Key Stage 4 offer</p> <p>Next steps:</p> <ul style="list-style-type: none"> • To keep under review the curriculum offer at Key Stage 4 <p>SBE UTC Action: Curriculum under continuous review. Few exam specifications or courses are changing for 2017 so most rolling over; may broaden curriculum to offer wider A level pathways as appropriate eg Further Maths. SLT to actively consider optimal vocational choices eg Cambridge Technicals in place of BTEC.</p> <ul style="list-style-type: none"> • To ensure time lost because of the lack of IT is fully overcome and that accurate assessment information fully informs target-setting and all lesson planning

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	<p>SBE UTC Action: In place – all baseline data collected and collated, available to staff. All target grades in place and shared both at ‘minimum expected’ and ‘stretch’ level. Assessment week from 28th November planned, with formal assessments in place for all years in all subjects. Moderation input from City Heights in place.</p> <ul style="list-style-type: none"> To follow up in ensuring that the Department receives a bid for the UTC to access school to school support <p>SBE UTC Action: In planning stage, with Dunraven School – closest Teaching School. Bid to focus partly on T&L and CPD but also on functional support: exams officer, data manager, leadership and management input.</p>
<p>Section 3: Student Care, Support & Safeguarding</p>	<p>Personal development, behaviour and welfare (including whether all safeguarding arrangements are effective)</p>
<p>Actions from the ROM:</p> <p>The Trust must ensure that safeguarding arrangements are robust and include:</p> <ol style="list-style-type: none"> Ensuring that staff and governors read and understand Keeping Children Safe in Education Staff and governors have suitable DBS disclosures in place Checks have been made that no staff are on the barred list 	<p>Staff and governors have signed a declaration to indicate that they have read Keeping Children Safe in Education. The guidance was covered again with all staff at the start of term.</p> <p>DBS checks are in place for for all staff. The UTC buys into an enhanced checking service provided by Essex CC. It has recently been confirmed that the Chair of the Trustees has had his DBS disclosure countersigned by the DfE</p> <p>The senior managers and governors have placed a high priority on student welfare. Students that we spoke to on this visit were unanimous in their appreciation of the quality of care they experienced. They felt well known and knew who to go to for support.</p> <p>There was a very positive and supportive atmosphere on the day of our visit; staff and students say that this is the norm. There has been one fixed-term exclusion so far this term for racist language.</p> <p>Good attendance is a priority: the UTC has two officers working on this and will use Lambeth’s processes for fixed penalty notices should this be needed.</p>

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Section 1: Education Planning, Standards and Progress Tracking	Outcomes for children and other learners (include achievement of groups – SEN, EAL PP, More-able etc.)
<p>Actions from the ROM:</p> <p>More detail is needed about the target-setting process used for both KS4 and post-16. This should ensure that targets are challenging enough to make the UTC likely to be good or outstanding. Reference should be given to different groups of students including ensuring that disadvantaged students are making sufficient progress.</p>	<p>As outlined above, there was some delay to setting a baseline for students because of the IT issues. Senior managers describe a robust monitoring and tracking process which will enable suitably ambitious target-setting for individuals and groups of students. This will be an area for discussion and scrutiny at the next visit.</p> <p>SBE UTC Action: Robust tracking and monitoring in place – targets all set based on high aspirations grounded in hard data. Analysis of internal assessment data to take place and inform appropriate intervention process.</p>

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South Bank Academies

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Paper title:	Draft Strategic Plan
Board/Committee	South Bank Academies Board Meeting
Date of meeting:	8 December 2016
Author:	Rao Bhamidimarri, CEO
Purpose:	To discuss
Recommendation:	At the last Board meeting it was requested that a detailed strategy and school delivery plan to be presented for discussion

Foreword

The education system has seen a significant change over the last six years with the emergence of multi-academy trusts, university technical colleges (UTCs), studio schools and free schools. London South Bank University launched a STEM Academy in Southwark in 2014 to make employment oriented education in South London. The Academy quickly established itself as a school of choice in our community. We extended the STEM educational opportunities further by opening a UTC in Brixton for 14 – 19 year old young people in Lambeth and neighbouring boroughs. The Academy and the UTC are now part of the South Bank Academies Trust sponsored by the University.

We are excited by the enthusiasm of our communities for STEM education and recognise the need for professionally educated scientists and engineers to support our country's industry and the economy in this rapidly developing technological environment. Benefitted by the developments in information technology and social media, the young people today are much better informed and they better positioned to make right choices for their education and career direction. As the demand for employment oriented education increases, the South Bank Academies Trust recognises that its responsibility to create high quality STEM provision to meet this demand. The Trust intends to expand the number of academies within the Trust further over the coming years. We intend to open two more academies in South London Boroughs by 2020.

Our academies are closely aligned with London South Bank University will all teachers and students designated as associate members of the university community. The students and staff of the academies can access university facilities such as the laboratories, library and the Academy of Sport.

We at the Trust are ambitious for our students, their attainment and future career paths. We have created purpose designed infrastructure to support the distinctive curriculum and learning. All of us at the Trust, the Directors and the staff, are excited by the opportunities and challenges the dynamic education sector offers and we are committed to making a positive difference to the education of young people in our communities.

I am delighted to present our strategic plan, which charts a course for 2020 and beyond.

Professor Dave Phoenix OBE
Chair, South Bank Academies Trust

South Bank Academies

Introduction

I am pleased to introduce the South Bank Academies- Towards 2020, the strategic plan for our Trust. The South Bank Academies Trust is committed to creating professional educational opportunities for young people in South London. Our academies and colleges offer specialist curriculum within the broad STEM framework in collaboration with our main sponsor, London South Bank University, and employer partners.

Our academies adopt a distinctive educational ethos in which the students play a key role in setting the agenda for their own learning, supported and mentored by teachers and, university and industry partners. The STEM curriculum is integrated with creative arts as we strongly believe creativity is the foundation for professional success of our students, regardless of the career path they choose. Project based learning is a key platform for learning in our academies not only to enable students to take control of their own learning, but also to foster transferable skills such as self-organisation, team work, time management, value for money etc, which the employers demand.

Progress and attainment are extremely important, but we are relentless in our work to enable our students to develop as rounded professionals. Our commitment is to each every one of our students regardless of their background and prior achievement. Therefore, our learning and teaching, and support are personalised taking into account individual needs.

Although our Trust is young, having been established earlier this year, its support to the academies is rapidly developing. We are also delighted with the way the collaboration with employers and the University is developing. The access to the University's staff and facilities means, our students have an enormous advantage in their learning and personal development.

We are ambitious for our students, our academies and the Trust. Over the coming five years, we expect to grow significantly at individual academy level and as the Trust by enlarging the number of students at each of our academies and by increasing the number of academies.

It is an important time for us at the Trust and this plan not only articulates our ambitions, but also helps us to be on track to achieve our goals over the coming years.

Professor Rao Bhamidimarri
Chief Executive

South Bank Academies

South Bank Academies – Towards 2020

Creating professional opportunities for young people in South London

Our Vision

The South Bank Academies Trust will be the leading provider of professional educational opportunities for young people in South London through outstanding academies and colleges, creating pathways into higher education, apprenticeships or employment.

Our Values

Creativity

The ethos of education in our academies is to nurture the inherent curiosity and creativity in pupils to ensure that they creative and innovative in whatever the career path they choose in their futures, and they are most valued by the organisations they belong to.

At South Bank Academies our curriculum structure and learning environment are designed to ensure that the students take responsibility for their learning with support and mentoring from their teachers, the University and employer partners. This is to ensure that the students have more degrees of freedom available to them in their learning, allowing for them to explore, research and experiment. We identify and mitigate any risks associated with this novel approach to educating young people. We also undertake research into heutogogy or self-determined learning to continuously improve our innovative approach to learning and teaching.

Professionalism

The students and staff at our academies embrace a culture of individual as well as collective responsibility and high quality delivery in all our activities.

We promote a clear and positive learning environment for students and work place for staff in which staff and students are clear about their roles and responsibilities in alignment with the Trust and individual school strategies. We have an effective assessment/appraisal system and the regular feedback helps us to achieve continuous improvement. The staff are empowered with clear delegation of responsibility and appropriate resources to provide an outstanding learning experience for our students. We have Trust approved and accessible policies, systems and procedures, so that staff and students are clear about how they meet the procedural and compliance requirements while delivering on their responsibilities.

South Bank Academies

Excellence

We strive to do our best and excel in everything we do to achieve the best outcomes for our students. Our academies will be outstanding and will set a bench mark for others to follow.

Our academies offer outstanding learning experience to our students, fostering creativity and innovation through innovative curricula, student personal development support and enrichment. We insist on our students and staff to be ambitious, and support them to achieve above their targets. Our academies offer an environment of positive competition and continuous improvement. Our Continuing Professional Development programmes support our staff to ensure not only that they are up to date with new developments in their subjects, but also that learning & teaching and student support are outstanding.

Inclusivity

South Bank Academies are proud to represent our diverse communities, offering opportunities to thrive and excel through mutual respect and learning from each other.

We embrace the British Values and we respect each other valuing diversity in our community. We capitalise on the distinct strengths our communities bring with them treating each person with respect and dignity. Our academies make every effort to meet the specific cultural and religious needs of individuals, ensuring that all students and staff thrive in an environment in which every individual feels valued and respected. We encourage open, honest and conversation to promote positive contribution from all for the success of the academies and their people.

Collaboration

We are a learning organisation and we actively seek to collaborate with a diversity of stakeholders to achieve the best outcomes for our students and staff.

We work closely with LSBU to inspire our students to aim in their education and careers by facilitating access to high technology laboratories, University's experts in science and engineering, the University's Library and the Academy of Sport. Our students also benefit from mentoring from staff and students of the University. Our academies offer the University's students developmental opportunities such as internships, project supervision, part-time work and teaching career paths. We collaborate actively with employers and public institutions to create a range of enrichment opportunities for our students including real work place experience and future career opportunities.

South Bank Academies

Our Mission

To provide world class professionally focused educational opportunities with a broadly-based curriculum and co-curricular programmes that ensure our students are most sought after by universities and employers.

We achieve this in partnership with London South Bank University, employers and South London communities, through innovative student led learning strategies and cutting edge learning environments.

Our Ambitions

1. Our academies and colleges will be outstanding places of learning and personal development for young people in South London communities.
2. London South Bank University and employer partners will be integral to the learning and, personal and professional development of our students.
3. We will establish two more schools within South London boroughs by 2020 to enhance collaborative learning opportunities for our students.
4. We will offer additional certificated education and training opportunities for our students in partnership with the University and industry partners to enhance career opportunities for our students.
5. We will have innovative learning environments in our academies and colleges that will promote student led learning with access to state of the art infrastructure.
6. We will be the first choice for ambitious students and high achieving staff.
- 7.** Our students will be most preferred by universities and employers.

South Bank Academies

Outcome 1

Student Progress, Attainment and Success

All our students will have high level of achievement and will be in higher education, apprenticeships or employment upon completion of their studies.

We recognise that education is the most powerful route for transforming lives and that the young people get only once chance for secondary education. We are relentlessly ambitious for our students and we aspire to set the agenda for future secondary education. Parents and students make an important choice in selecting our academies in the expectation that we do everything possible to not only help the students attain excellent scores in the examinations, but also prepare them for progression into higher education, apprenticeships or employment.

Our academies are committed to providing outstanding teaching and learning with learning and development support. We set high expectations for every student regardless of their background and attainment at the time of joining our academies. We provide continuing professional development opportunities to our staff enabling them to remain at the forefront of their subjects and pedagogy. We constantly renew the learning resources including science and engineering equipment in line with the real work place standards. The employer links offer distinct advantage to our students by working directly with practising scientists and engineers on real world projects.

Measures: Progress 8 scores; progression into higher education, apprenticeships or employment.

Outcome 2

Student welfare and development

Academies and colleges provide safe and secure environments for our students. The curriculum structure, learning & teaching and student support foster confidence and enterprise.

Secondary School students are mature enough to take on responsibility and act increasingly independently. This could lead to increased risks. But at the same they are also exposed to other risks such as abuse within their family and community generally. If the students are safe and secure, they better engage with their learning. The Trust recognises that the safeguarding and promoting welfare of all children in the academies is the responsibility of all who come into contact with them. The children must receive the right help at the right time to mitigate risks and to prevent issues escalating. We know that it is our responsibility for ensuring children grow up with the provision of safe and effective care and that action must be taken to enable all children to have the best outcomes.

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The Trust ensures that the academies have a robust Safeguarding Policy and procedures including child protection policy. All staff take responsibility to protect children from maltreatment and preventing impairment of children's health and development and to ensure that each child receives safe and effective care. The Trust and the Local Governing Bodies undertake safeguarding training and the governing bodies have safeguarding link governors. Each of the academies has a senior leadership team member with responsibility for safeguarding. The Trust and the Local Governing Bodies monitor safeguarding measure on termly basis.

Measures: Permanent exclusions, Safeguarding interventions, absenteeism, progress and attainment, career success.

Outcome 3

Collaborative Development

Academies and colleges of the Trust and their students develop collaboratively with the University, industry partners and the communities.

The Multi-Academy Trust model has a number of advantages in terms of sustainability and effective use of resources. These include sharing best practice between schools, economic advantages such as centralised services and the ability to focus funds where they are needed, increased and flexible staffing resources and the potential for establishing succession planning programmes for staff, and thereby retaining good staff who may otherwise have left. In order to realise these benefits, effective mechanisms for collaboration between the academies and colleges within the Trust and between the academies and the sponsors.

Our academies have growing links with LSBU as well as the employer sponsors and partners. The students of the academies benefit from access to high technology laboratories and expertise at the University. LSBU staff offer workshops and demonstrations to academy's students. Students and staff of our academies are recognised as the associate staff of the University. We intend to grow these links further in the form of supervision of projects for 6th form students by LSBU staff and Year 13 students opting to study University modules. Access to the LSBU Academy of Sport is extended to the students of the Trust. The students benefit from work experience, study visits and projects offered by our industry sponsors and partners.

Measures: Shared staff and resources between academies, Industry supported student projects; students studying University modules, projects from the University and industry, community projects and enrichment activities.

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Outcome 4

Innovative Learning Environment

Academies and Colleges will have the cutting edge science and engineering infrastructure and a learning environment to facilitate innovative project based learning.

An innovative learning environment is critical to achieve the Trust's mission. The academies require class rooms and other designated places for teaching and learning such as science and engineering laboratories, learning centres, computer suites, tutorial spaces, meeting rooms etc. But the environment also must capitalise on technologies, for both individual study and group learning. The specialist equipment for science and engineering needs to be state of the art in order for students to learn and work with advanced technologies in alignment with modern work places.

At South Bank Academies, we offer an innovative curriculum and a pedagogy that requires purpose designed learning environments. We designed the learning environments that cater for group learning, project based learning, demonstration spaces, distinctive science and engineering spaces. The Learning Centre is increasingly digitally based and therefore also offers individual study spaces. Engineering at our academies has an emphasis on digital engineering, allowing for the students to work with world leading industries, which increasingly rely on digital technologies.

Measures: industry supported projects, employer feedback, carer progression, student entrepreneurship.

Outcome 5

Effective resource management

Economic, effective and efficient resource management will ensure financial sustainability and re-investment in continuous improvement and growth of academic and physical infrastructure.

The funding environment for the secondary sector is uncertain. The reduction in Post 16 funding along with the proposed fair funding formula, which will adversely affect the academies in the Trust, will increase pressure on our budgets. Effective resource management is a key enabler for the success of the Trust and our academies. The Trust is committed to growing the number of academies and this requires resources during the establishment phase of new academies in addition to the continuous enhancement of existing academies.

The Trust has a compliance responsibility to the Companies House and Charity Commission. The Trust is also accountable to the Education Funding Authority to deliver value for money. We have a robust financial control system in place, overseen by the Audit Committee of the Trust. The Chief Financial Officer of the Trust is responsible for management accounting and financial controls both for the

South Bank Academies

Trust and at individual academy level. The Principals of the academies are issued a letter of financial delegation with clear accountabilities. The Local Governing Bodies have Finance and General Purposes committees with a qualified Finance Controller as the Chair, to oversee the expenditure in detail at academy level from governance view point. We have also put in place robust policies and procedures for staff recruitment and procurement including procurement of services.

Measures: Income growth, annual operating surplus, savings through shared staff and services, enterprise income.

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Key Performance Indicators (KPIs)

Trust Level KPIs

Objective	Key Performance Indicator	Annual Target	Actual	Comment	Executive Lead
Compliance	Number of Trust Meetings per Academic Year	4	-		CEO
	Number of Local Governing Body Meetings per Academic Year	5	-		CEO
	Annual Audit authorised and returned to DFE on time	31st December			CFO
	Returns to Companies House	100%	-		CEO
Finance	Surplus in Trust Annual Accounts. % of Income.	1%	-		CFO
	All Trust Schools must show a surplus at year end. % of Income.	1%	-		CFO
	Trust Costs do not exceed % of Trust's Schools Income.	5%	-		CFO
Student Numbers	All schools must achieve their pupil number submissions to the DfE. % of submission.	90%	-		CEO/Principals
Infrastructure	Compliance: inspections and audit and documentation.	100%	-		CEO
Reputation	All Schools Ofsted Reports. % of schools Good or better.	100%	-		CEO

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Collaboration	Links with the London South Bank University and employer partners. All Post 16 students have mentoring/work experience placement.	100%	-		CEO/Principals
	Minimum number of masterclasses or workshops from sponsors	10	-		CEO/Principals

Academy/UTC Level KPIs

Objective	Key Performance Indicator	Target	Actual	Comment	School Lead
Overall Effectiveness	Ofsted Inspection outcomes	Good or Better	-		Principal
	Key Stage 4 attainment levels - 5no A* to C with English and Maths	P8 0.1 UTC P8 0.6 Academy	-		Principal
	Key Stage 5 attainment levels - A* to E	80%	-		Principal
	Key Stage 5 attainment levels - ABB	30%	-		Principal

Quality of Teaching	Teaching quality	100% Good or Better 50% Outstanding	-		Principal
	Student Progress Targets	All Students to achieve 3 full levels of progress or equivalent by end of KS4 with at least 70% achieving 4 levels.	-		Principal

Personal Development Behaviour and Welfare	No of Student exclusions - Permanent and Temporary	Permanent 0% Temporary 1%	-		Principal
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	Whole school attendance record - Minimum % of attendance required	96%	-		Principal
	Termly external Health & Safety Audit - No of High Risks identified	0	-		Principal
	Participation of students in Enrichment program - % of students.	100%	-		Principal

Effectiveness of Leadership and Management	Staff Costs related to GAG income - Maximum % of staff costs to Gag income.	75%	-		Principal
	Parent Engagement.	Termly meetings with a minimum of 90% attendance.	-		Principal
	Enterprise Income - Self generated income as a % of Total Income	1%	-		Principal
	Feedback from annual Parent and Student (KS4 and KS5) surveys - % of Satisfactory returns	90%	-		Principal

Outcomes for Pupils	Students engaging in Post 16, Further Education or apprenticeship	100%	-		Principal
	Disadvantaged students	Progress and attainment in line with all students			Principal
	More able students	P8 1.0			Principal
	White British boys and Black Caribbean boys	Progress and attainment in line with all students			Principal

South Bank Academies

	CONFIDENTIAL
Paper title:	UTC & the Academy Development Plan
Board/Committee	South Bank Academies Board Meeting
Date of meeting:	8 December 2016
Author:	Rao Bhamidimarri, CEO
Purpose:	For discussion

Executive Summary

The purpose of this report is to provide a high level summary of the UAE and UTC development plans for the Board to review. The detailed development plans are both included within the appendix for noting. The UAE and UTC Local Governing Body's review and monitor the individual development plans termly.

UAE South Bank

The UAE development plan developed by the Principal and SLT focuses on the objectives outlined below;

- To ensure good or better Learning and Teaching practices are consistently embedded across the Academy to ensure sustained outstanding performance.
- To ensure Behaviour and Attitude to Learning is at least good everywhere within and across our entire learning community.
- To ensure all staff are appropriately challenged, trained and supported at UAE SB to achieve the highest standards of professional behaviour and accountability.
- To ensure our learners receive the very best overall learning experience and preparation for life through the development of skills and professional competence.
- To ensure UAE SB is a safe, caring and supportive environment which allows all students, regardless of starting points or background, to flourish.
- To ensure UAE SB becomes a local and national beacon to other STEAM centred schools in achieving our vision.

South bank Engineering UTC

The three year strategy document has been produced initially by, Principal, but will be further developed with the collaboration of trustees, governors and the SLT. All staff will be given the opportunity to contribute to the document. The development plan outlines each of the four main Strategic Focus areas. Each Strategic Focus area has a series of priorities along with outline Key Performance Indicators (KPIs). Each strategic priority is tied to two targets, set and agreed by governors and the Principal, both at Base and Stretch level. The Stretch target is the level to which the UTC will aspire to perform over the three year period: it is unlikely that any Stretch target is achieved in the first year.

The four Strategic Focus areas are:

- 1 – Offer an outstanding education with high academic standards in a technical context
- 2 – Recruit, develop and retain excellent staff
- 3 – Maintain financial sustainability
- 4 – Foster Strong and Progressive Partnerships

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UAE South Bank School Development Plan.

Priority focus.. Effectiveness of Leadership and Management at UAE South Bank.

Action	Target Date	Success	Evidence/ QA	Responsibility/ Leader	Cost	Termly RAG Review					
						1	2	3	4	5	6
Objective: To ensure UAE South Bank's leadership at all levels strives towards becoming and remaining outstanding.											
To develop the effectiveness of leadership at the school through CPD, challenge and support both in house and via external providers.	Ongoing, Formal review summer 2017.	Leadership is effective at all levels and ensures that the highest standards are prevalent across the school and leaders model outstanding behaviour to each other and to all stakeholders. Leaders demonstrate an explicit commitment to a growth culture at UAE SB and take every opportunity to share this philosophy to everyone within the Academy. Leaders hold everyone to account but do so with compassion and understanding to ensure maximum and sustained institutional success.	CPD Evidence, SLT minutes, PD meeting evidence records, Staff training records. NQT induction programme and mentor notes. New Staff induction records.	GN/ SLT	Time, staffing, PD time.	R					
To establish a new Extended Leadership Group which will meet regularly to ensure all key areas of the Academy remain firmly collectively focused on achieving the UAE SB's vision. The ELG will be made up of the SLT, the SENDCO, Student Services Manager, the Academy's Business Manager and the Officer Manager.	Ongoing, Formal review summer 2017.	The new ELG is very effective in collectively supporting the achievement of the Academy's vision through improved communication and high level teamwork.	ELG meeting records, SLT meeting records.	GN/SLT/ELG.	Time, ELG meeting time.	R					
To improve the quality and accuracy of communication across all levels of leadership and staff at the school via a range of mechanisms and systems.	Ongoing, Formal review summer 2017.	Communication between all staff at the school is effective in continually promoting the vision for the school and providing important practical information to successfully aid day to day operation.	Weekly PD meeting notes, Briefing notes, Week Ahead Sheets, Line management meeting and Performance management records. Staff bulletin. Middle Leader meeting notes. Staff survey feedback. Website – Content and compliance.	SLT/ EA to the Principal, Office Manager.	Time, Admin costs.	A					
To ensure carefully designed and effective line management structures are in place focused on improving performance and developing leadership.	Ongoing, Formal review summer 2017.	The leadership structure within the school is effective and efficient in ensuring the overall vision for the school is realised.	Performance Management docs, Line management notes,	SLT	Time	A					
To ensure consistent rigour of accountability of all staff via Performance Management at the school.	Ongoing, Formal review summer 2017.	All staff are accountable for their performance and achieving realistic but aspirational success targets. All staff know the importance of their individual role and the need for their success to help ensure overall success.	Performance Management records, Meeting minutes,	SLT, Middle Leaders.	Time	A					

UAE South Bank School Development Plan.

To complete a regularly updated, comprehensive and detailed annually reviewed Academy SEF to ensure reflection and proper transparent accountability takes centre stage in the organisation's profile and reputation.	Ongoing, Formal review summer 2017.	A comprehensive and regularly updated SEF is in place and is a pivotal document in school development planning. Governors and Leaders are fully conversant with the Academy's strengths and areas for development and know where to focus on to bring about further improvement.	SEF, SDP.	GN/JP/ SLT	Time	A					
Rigorous Learning Area Self Evaluation to be undertaken at the start of each academic year which includes examination/achievement performance analysis driving learning area action plans.	Ongoing, Formal review summer 2017.	Learning Area SEF completed and regularly reviewed at line management meetings in order to continually improve outcomes for students. Learning Area SEF's feed into the Academy SEF.	Line management meeting notes, SLT	Leaders of Learning / SLT	Time	A					
To work with South Bank University, the Trust's CEO and Directors in the overall development of Senior and Middle Leadership to support holding them accountable for achieving UAE South Bank's vision.	Ongoing, Formal review summer 2017.	UAE South Bank takes full advantage of being a SASH partner school and the expertise within the Trust and as such make the best use of the latest educational research, shared best practice and the general collective determination to achieve the very best for our young people.	MAT and SASH meeting records.	SLT/ all connected groups	Time	A					

Priority focus: The quality of Teaching, Learning and Assessment at UAE South Bank.

Action[Target Date	Success	Evidence/ QA	Responsibility/ Leader	Cost	Termly RAG Review					
						R	A	G			
Objective: To ensure Learning and Teaching and the use of Assessment is at least good across all areas of the Academy.											
To create and embed outstanding Learning and Teaching strategies and policies based around effective AFL and to challenge students with the very highest expectations regarding their achievement.	Ongoing, Formal review summer 2017.	Consistently applied and effective Learning and Teaching practices are embedded in line with Academy policy. Students make at least good progress, enjoy their learning and possess a determination to achieve even more.	Teaching and Learning policy and Assessment Policy, Academy wide Behaviour Management strategies, classroom posters, Weekly PD meeting minutes.	GN/AM/ JP/SLT.	Staffing, Time	A					
To establish an academy wide literacy focus to improve access and drive student progress in all learning areas.	Ongoing Formal review summer 2017.	Reading becomes an integral part of Academy life. Teachers consistently include a literacy focus or theme in all lessons and also mark student work and assignments with regard levels of literacy. Progress is seen in student extending writing tasks. Reading ages improve following intervention.	Fully functioning LRC, Student reading records, Literacy PDs, Literacy posters in classroom, Literacy section in planner, AR progress data, Book monitoring for literacy and extended writing.	AM/SLT/KT	Cost of full time Librarian £4100 for AR, year 1. £3000 to establish a fully functioning LRC.	R					

UAE South Bank School Development Plan.

To embed the consistent use of new high impact Behaviour for Learning systems.	Ongoing, Formal review summer 2017.	Behaviour for Learning is at least Good across all areas of the Academy and progress made by learners is affected accordingly through consistent application of Behaviour management systems and the consistent repetition of high UAE SB expectations.	SLT minutes and actions, PD minutes, Policy documentation, lesson observation records.	GN/RH/ SLT/Middle Leadership. Student Services Team.	Staff training, time.	R					
To introduce and carry out rigorous and secure quality assurance of Teaching and Learning at the Academy.	Ongoing, Formal review summer 2017.	Learning and Teaching is regularly and accurately monitored and appropriate intervention applied where necessary. 80% of lessons observed to be judged as good and 10% outstanding. Lesson observation outcomes and feedback are shared in all SLT meetings.	Lesson Observation records, Learning walk records, summative Lesson monitoring summative data. Performance management records. SLT agendas/ notes and actions.	SLT/ Middle Leadership.	Staffing, Time, PD records. IRIS technology.	R					
To maximise achievement at UAE South Bank by ensuring attendance of all students is it at least in line with national averages.	Ongoing, Formal review summer 2017.	Attendance is monitored regularly and correct and effective intervention is applied to ensure that students' attendance is at least good with particular attention being paid to PA students. High attendance continues to be awarded throughout the academic year.	Attendance data	RH/ NM/ SLT	Staffing, Time, Rewards budget.	G					
To horizon scan in association with other partner schools and national development groups e.g. PTI, SSAT to ensure the very best practice in the development and QA of Teaching and Learning is carried out at UAE SB Academy.	Ongoing, Formal review summer 2017.	UAE SB is kept up to date with the latest school wide performance developments with regard to maximising the school's efficiency and effectiveness. UAE SB is a proud and active member of SSLP (Southwark Schools Learning Partnership). UAE SB is a proud and active member and SASH membership (Southwark Authority Secondary Heads).	SLT notes, SDP foci.	SLT/ MAT.	Staffing,	A					

UAE South Bank School Development Plan.

Priority.. To ensure outstanding aspirational outcomes are achieved at UAE South Bank.

Action	Target Date	Success	Evidence/ QA	Responsibility/ Leader	Cost	Termly RAG Review					
						1	2	3	4	5	6
Objective: To ensure UAE SB's students make the very best progress at the Academy.											
To create aspirational targets based on external sources and rigorous internal base testing on arrival e.g. CAT if. AR baseline test.	Ongoing, Formal review summer 2017.	All students at UAE SB have an aspirational but realistic target for their achievement which they demonstrate a determination to achieve. These targets are generated from the earliest available base data but then regularly revisited to ensure their accuracy and appropriateness of challenge.	Data records, Performance analysis vs. targets, SIMs,	JP/ NM/SLT.	Staffing, Time. AR costs.	A					
To review progress data at the end of each module to access performance, track improvement and plan appropriate intervention.	Ongoing, Formal review summer 2017.	Progress analysis provides valuable accurate data to help support accurate targeting of intervention. Corresponding intervention is then appropriate and effective	Data analysis documentation and corresponding action plan records.	JP/ SLT	Staffing, time. LM records, SLT records, PM records.	A					
To continue to embed a culture of increased high expectation with regard Students' behaviour both in and around the Academy's classrooms.	Ongoing, Formal review summer 2017.	All student's engagement with learning improves in line with high expectations set by staff around the school. Students' independent learning ability is strengthened and deadlines for submission of work are more regularly met by all learners.	Lesson observation data, Learning walk evidence, Professional Conduct analysis evidence and intervention records.	SLT/ Student Services Team/ All staff.	Staffing, Time.	R					
To ensure the Academy curriculum design and organisation is the very best available to ensure learners are kept more actively engaged and make best progress in their subject areas.	Ongoing, Formal review summer 2017.	An appropriate and highly engaging curriculum provides more opportunities for learners to access staff expertise and key resources to help them make even better progress than expected. Level 2 and 3 Options are popular with all stakeholders, achieve the Academy's vision and ensure students make the best progress at the Academy for their successful lives ahead. Homework, extension and 'prep' challenges are used to improve learner engagement and achievement inside and outside of lessons.	UAE SB Curriculum plan and Academy Timetable. Student feedback records. Learning area curriculum plans.	JP/AM/SLT	Staffing, Time	A					
To introduce a new Student Planner which provides students with a higher quality, more professional diary based design.		Students record important notes e.g. regarding assignment and/or homework details and deadlines in their Student planners as standard practice. Tutors and Parents check planners on a weekly basis and use the Student Planner to communicate regarding the student's progress and required actions.	Student Planner design. Student feedback. Parental/ Family feedback.	RH/GN/SLT.	Tutor time. New Planner costs.	R					
To ensure attendance is kept at least in line with national averages.	Ongoing, Formal review summer 2017.	Attendance at UAE SB remains above national averages.	Attendance data.	NM/JP/ SLT	Staffing, Time, Paper resources.	G					

UAE South Bank School Development Plan.

To ensure student target groups i.e. Pupil Premium students, persistent absence, EAL, SEND performance is in line with expectations.	Ongoing, Formal review summer 2017.	All groups of students make equally good progress regardless of classification group narrowing the gap in all performance areas.	Data records, SIMs. 4matrix outcomes.	JP/NM/SLT	Staffing, time.	A					
To horizon scan in association with other partner schools and national development groups e.g. PTI, SSAT to ensure the very best practice is carried out in ensuring students achieve in line with aspirational expectations here at UAE SB.	Ongoing, Formal review summer 2017.	UAE SB is kept up to date with the latest research in maximising Learner achievement and the Academy introduces appropriate, best fit new practice when and wherever possible. UAE SB remains actively involved in SSLP and SASH.	SEF/SDP.	SLT and Middle Leaders/ Governors.	Staffing, Meeting attendance costs, time.	A					

Priority.. To ensure behaviour and student support at UAE South Bank is outstanding.

Action	Target Date	Success	Evidence/ QA	Responsibility/ Leader	Cost	Termly RAG Review					
						R	A	G	1	2	3
Objective: To ensure behaviour for learning and individual support at UAE SB prepares our students properly for future challenges.											
Review and develop the effectiveness of UAE SB's behaviour management systems to ensure clarity, consistency and effectiveness in its application.	Ongoing, Formal review summer 2017.	Behaviour at UAE SB is at least good and low level disruption in lessons and around the school is kept to a minimum. A clear referral and support based Leadership and Management structure is both in place and established. The newly formed Student Services team is effective in supporting staff in improving learning experiences and in ensuring the well-being of all students at the Academy. Students always arrive ready to learn and are fully prepared to engage in their learning. All staff consistently and fairly apply the new sanctions and rewards system in the classroom and around the Academy. Student counselling is introduced to ensure students are best supported and times of acute need.	Learning walks Feedback from Families. Student feedback Exclusion records Behaviour records/ statistics. L and M structure. PD meeting records.	RH/JB/ SLT	Staffing, time, £500 consultant, external moderator to review Behaviours for learning. PD time.	R					
To establish and quickly embed the new rewards policy and ensure rewards and sanctions at UAE SB are both motivating, fair and appropriate.	Ongoing, Formal review summer 2017.	A culture of success and praise is established and then embedded across the Academy.	Lesson observation records, Learning walk records, SLT meeting records.	RH/JA/SLT	Time, £15,000 Rewards budget	A					

UAE South Bank School Development Plan.

To establish highly effective CEIAG at UAESB and provide individual advice and guidance for all learners, leading to progression routes for all and meaningful preparation for the world of work.	Ongoing, Formal review summer 2017.	All students have access to the highest quality CEIAG and make informed choices towards accessing meaningful career pathways. All Year 12 students have the opportunity to carry out structured and appropriate work related learning.	Student succession records, Student feedback.	ML/ SLT.	Time, staffing.	R					
To horizon scan in association with other partner schools and national development groups e.g. PTI, SSAT to ensure the very best Behaviour and Support practice is carried out at UAE SB.	Ongoing, Formal review summer 2017.	To ensure UAE SB seeks out the very best practice in ensuring that the most effective behaviour and support strategies are implemented here at the school. UAE SB remains actively involved in SSLP and SASH.	Behaviour and Support based leadership records.	SLT, Student Services team/SENDSCO.	Time	A					

3 Year Plan Strategic Focus Areas

This section of the 3 Year Strategy provides an overview of the key Strategic Targets that have been set and are to be delivered against over a 3 Year period starting in September 2016. These are set to define, support and foster the desire of South Bank Engineering UTC and the learning facility that it wishes to grow to.

Four key Strategic Targets have been set in order to support the progression of South Bank Engineering UTC:

Target	Description
Strategic Focus 1 – Offer an outstanding education with high academic standards in a technical context	To be outstanding in our terms we must ensure that all students make strong academic progress and develop a high level of technical understanding and skill. The objective of this outstanding education is to ensure every student has the qualifications, skills and attributes to succeed in their chosen pathway, with pathways brokered by the UTC.
Strategic Focus 2 – Recruit, develop and retain excellent staff	In order to meet Target 1 the UTC is going to need to build an environment that attracts, challenges, supports, develops and retains very high quality staff. Much work in this area will be focused on linking high effective line management with rigorous performance management and high quality, personalised CPD.
Strategic Focus 3 – Maintain financial sustainability	In order to ensure that Target 1 and 2 can be achieved the UTC must operate in a viable financial climate. This will be a challenge in the national and local context, with the challenge growing over time. Key to the UTC’s success here is student recruitment.
Strategic Focus 4 – Foster Strong and Progressive Partnerships	The final target will be focused on building, nurturing and growing strong and progressive partnerships with university, employer, government and third sector organisations both locally and beyond. This will enable the UTC to deliver an innovative, future-focused offer with strong pathways.

Strategic Focus 1 – Offer an outstanding education with high academic standards in a technical context

Objectives

The below outlines the objectives that have been set in order to support achieving Strategic Focus 1 **Offer an outstanding education with high academic standards in a technical context**

1. Achievement of judgement of at least Good in mock Ofsted inspection in each year
2. Progress is strong: no significant group underperforming the national average, including pupil premium
3. The curriculum and timetable more widely are designed to maximise opportunities to develop students' technical skills and capabilities 4.
4. The 6th form is excellent

Key Performance Indicators

The below demonstrates the key metrics/measurements that will be used to assess UTC progress against the aforementioned objectives:

Objective	Strategic priorities	Key Performance Indicators (KPI)	Target Base	Target Stretch
1. Achievement of judgement of at least Good in mock Ofsted inspection in each year	a) Outcomes: National averages for A levels and BTEC Level 3 are exceeded b) Outcomes: The proportion of students making expected and more than expected progress in maths and English is well above national average c) Outcomes: Progress 8 measures are above national	-Key Stage 5 results -Three and four levels progress KS2-4 -Progress 8 data -Progress at Key Stage 5 -Impact of leadership and management -Student behavior and attendance		

	<p>levels</p> <p>d) Leadership and management are outstanding</p> <p>e) Personal development, behaviour and welfare are outstanding</p>			
<p>2. Progress is strong: no significant group underperforming the national average, including pupil premium</p>	<p>a) Curriculum model is such that students are able to make outstanding progress</p> <p>b) Baseline, target-setting and assessment are robust and accurate and lead to impactful interventions where needed</p> <p>c) Pupil Premium and other funding (via PP Strategy) is used effectively to lever progress</p> <p>d) Projects developed to target specific identified groups (such as White British for example), using internal resources and external partners.</p>	<p><i>-Assessment data to indicate attainment and progress by group including Pupil Premium</i></p> <p><i>-Accuracy of predictions</i></p> <p><i>-Impact of interventions</i></p> <p><i>-Value for Money (VfM) judgements</i></p>		
<p>3. The curriculum and timetable more widely are designed to maximise opportunities to</p>	<p>a) Students are all able to demonstrate the skills and attributes to make them 'employable'</p> <p>b) Students all demonstrate technical capability in engineering</p>	<p><i>-Destinations data</i></p> <p><i>-Pathways into sponsors and partners</i></p> <p><i>-Success in technical qualifications (BTEC)</i></p> <p><i>-Professional qualification achievement</i></p> <p><i>-Employer project structures and cross-fertilisation opportunities</i></p>		

<p>develop students' technical skills and capabilities</p>	<p>c) Students all learn technical skills leading to accreditation and qualifications d) Employer projects cross-fertilise the taught curriculum</p>			
<p>4.The 6th form is outstanding</p>	<p>a) Ensure there is no 'quality gap' in 6th form teaching b) Ensure staff have knowledge, skills and capacity to deliver across the suite of qualifications c) Cross-curricular skills are delivered consistently and effectively d) The 6th form becomes an oversubscribed and vibrant offer</p>	<p><i>-Attainment and progress data at student level</i> <i>-ALPs data at subject level</i> <i>-Destinations data including access to higher education and Russell Group universities</i> <i>-Retention figures</i> <i>-Applications and offers for 6th form</i></p>		

Strategic Focus 2 – Recruit, develop and retain excellent staff

The below outlines the objectives that have been set in order to support achieving Strategic Focus 2 **Recruit, develop and retain excellent staff**:

1. Attract high quality staff, both in teaching and support roles
2. Ensure all staff work effectively in support of the UTC's objectives and in sympathy with its values
3. Ensure teaching shows the highest possible degree of expertise including accuracy of prediction and assessment
4. Ensure quality assurance of teaching and learning is robust and linked to high quality CPD
5. Secure excellent retention rates of staff, including providing career development opportunities

Key Performance Indicators

The below demonstrates the key metrics/measurements that will be used to assess academy progress against the above objectives:

Objective	Strategic priorities	Key Performance Indicator (KPI)	Target Base	Target Stretch
1. Attract high quality staff, both in teaching and support roles	a) Build an effective recruitment strategy to secure the best and largest possible fields for interview b) Ensure the UTC is able to articulate powerful reasons to join the staff c) Explore innovative, non-traditional routes into the UTC via apprenticeships for example d) Ensure staffing model is highly effective at generating positive outcomes	-Quality of staffing -Suitability of staff skillsets -Recruitment channels for staff -Staff model adding value		
2. Ensure all staff work	a) Strong staff training pre-opening	-UTC meets its objectives both short and		

effectively in support of the UTC's objectives and in sympathy with its values	<p>to</p> <ul style="list-style-type: none"> -communicate objectives and values -secure buy-in from all staff -indicate how effective operation will be articulated <p>b) Introduce systems of effective line management to develop and support staff, linked to objectives</p> <p>c) Introduce systems of effective appraisal and performance management linked to pay and progression, linked to objectives which are cascaded logically from whole-school to individuals.</p>	<p><i>medium term</i></p> <ul style="list-style-type: none"> <i>-Staff operate in a manner in line with UTC values as a matter of course</i> <i>-Quality and personalization of line management</i> <i>-Performance management impact and outcomes</i> 		
3. Ensure teaching shows the highest possible degree of expertise including accuracy of prediction and assessment	<p>a) Introduce rigorous and regular quality assurance system for teaching staff to include both observation of T&L and data analysis</p> <p>b) Implement regular scrutiny of assessment in various forms</p> <p>c) Monitor and evaluate accuracy of prediction; introduce moderation and standardization procedures with external partners in support</p>	<ul style="list-style-type: none"> <i>-Quality of teaching</i> <i>-Accuracy of predictions</i> <i>-Range, quality and consistency of assessments</i> <i>-Effectiveness of standardization and moderation across teams</i> 		
4. Ensure quality assurance of teaching and learning is robust and linked to high	<p>a) Rigorous QA of teaching which both generates high quality developmental feedback and also generates performance data</p>	<ul style="list-style-type: none"> <i>-Quality of teaching data</i> <i>-CPD programme</i> <i>-Impact of CPD programme through evaluation data</i> 		

quality CPD	<p>b) Analysis of performance data to ensure CPD is appropriate and targeted to need</p> <p>c) High quality CPD programme throughout the year</p>			
5. Secure excellent retention rates of staff, including providing career development opportunities	<p>a) Greater recognition and reward for staff performing well – bonus structure</p> <p>b) Strong internal systems to recognise and develop talent</p> <p>c) create retention plans and career development pathways</p> <p>d) Ensure very high quality, targeted CPD for all staff, both teaching and support.</p>	<p><i>-Retention rates in relation to London average</i></p> <p><i>-Internal promotions</i></p> <p><i>-Range of retention strategies</i></p> <p><i>-High quality, personalised professional development</i></p>		

Strategic Focus 3 – Maintain financial sustainability

The below outlines the objectives that have been set in order to support achieving Strategic Focus 3 of **Maintain Financial Sustainability**

1. Meet PAN in each cohort each year
2. Low Cost and Cost Transparency
3. Increase Revenue through different revenue streams
4. Efficient use of resources to drive impact in student progress and more widely

Key Performance Indicators

The below demonstrates the key metrics/measurements that will be used to assess academy progress against the aforementioned objectives:

Objective	Strategic priorities	Key Performance Indicator (KPI)	Target Base	Target Stretch
1. Meet PAN in each cohort in each year	a) Clear and appropriate marketing strategy, grounded in evidence, is devised with clear messaging of strong vision b) Effective multi-channel marketing and events raise profile of the UTC c) UTC presence at an increasing number of schools at Post-16 events, options evenings etc. d) Meetings with applicants and 'keep warm' activities to minimise attrition.	-Evidence-based marketing strategies -Range of channels utilised -Increased number of schools visited including increased number of Year 9 cohorts -Range of effective keep warm activities -All applicants met by SLT soon after applying		
3. Increase Revenue through different revenue streams	a) Increase lettings revenue, involving partners where possible b) Develop apprenticeship offer	-Lettings revenue -Apprenticeship pathways offered -Revenue generated through extended		

	<p>c) Explore sources of other revenue – products, services, consultancy</p> <p>d) Increase sponsorship revenue both in cash terms and ‘benefit in kind’</p>	<p><i>offer</i></p> <p><i>-Increased benefit to UTC of sponsorship</i></p>		
<p>4. Efficient use of resources to drive impact in student progress and more widely</p>	<p>a) Regular, accurate evaluation of efficiency in terms of value for money</p> <p>b) Expenditure benchmarked against student impact, to inform spending decisions</p> <p>c) Staffing model is built on high-impact, low cost principles</p> <p>d) Efficiency savings are maximised wherever possible, through shared provision and service-level agreements with partners for example.</p>	<p><i>-Value for Money (VfM) evaluations</i></p> <p><i>-Spending decisions benchmarked against impact</i></p> <p><i>-Staffing model adapts to changing needs remaining highly efficient</i></p> <p><i>-Intelligent use of shared services and SLAs brings efficiency savings</i></p>		

Strategic Focus 4 – Foster strong and progressive partnerships locally and beyond

The below outlines the objectives that have been set in order to support achieving Strategic Focus 4 of **Foster Strong and Progressive Partnerships Locally and Beyond**:

1. Mutually beneficial partnership between South Bank Engineering UTC and other schools
2. Build strong and beneficial relationships with local communities
3. Build positive collaborations across the UTC network
4. Strong and beneficial links with an increasing range of partners from industry in engineering and more widely
5. Build university links with LSBU and beyond
6. Build successful International links
7. Ensure high levels engagement and involvement of parents/carers

Key Performance Indicators

The below demonstrates the key metrics/measurements that will be used to assess academy progress against the aforementioned objectives:

Objective	Strategic priorities	Key Performance Indicator (KPI)	Target Base	Target Stretch
1. Mutually beneficial partnership between South Bank Engineering UTC and other schools	a) Build positive, professional relationships at SLT level with Lambeth and cluster schools both at secondary and primary phase b) Build positive collaborations with local schools which are both mutually beneficial and sustainable c) Host events and give UTC expertise to enhance local offer; use these to improve relationships.	<i>-Professional relationships at SLT level</i> <i>-Inter-school collaborations</i> <i>-Links both at primary, secondary and university</i> <i>-Impact of UTC activities on wider educational community</i>		

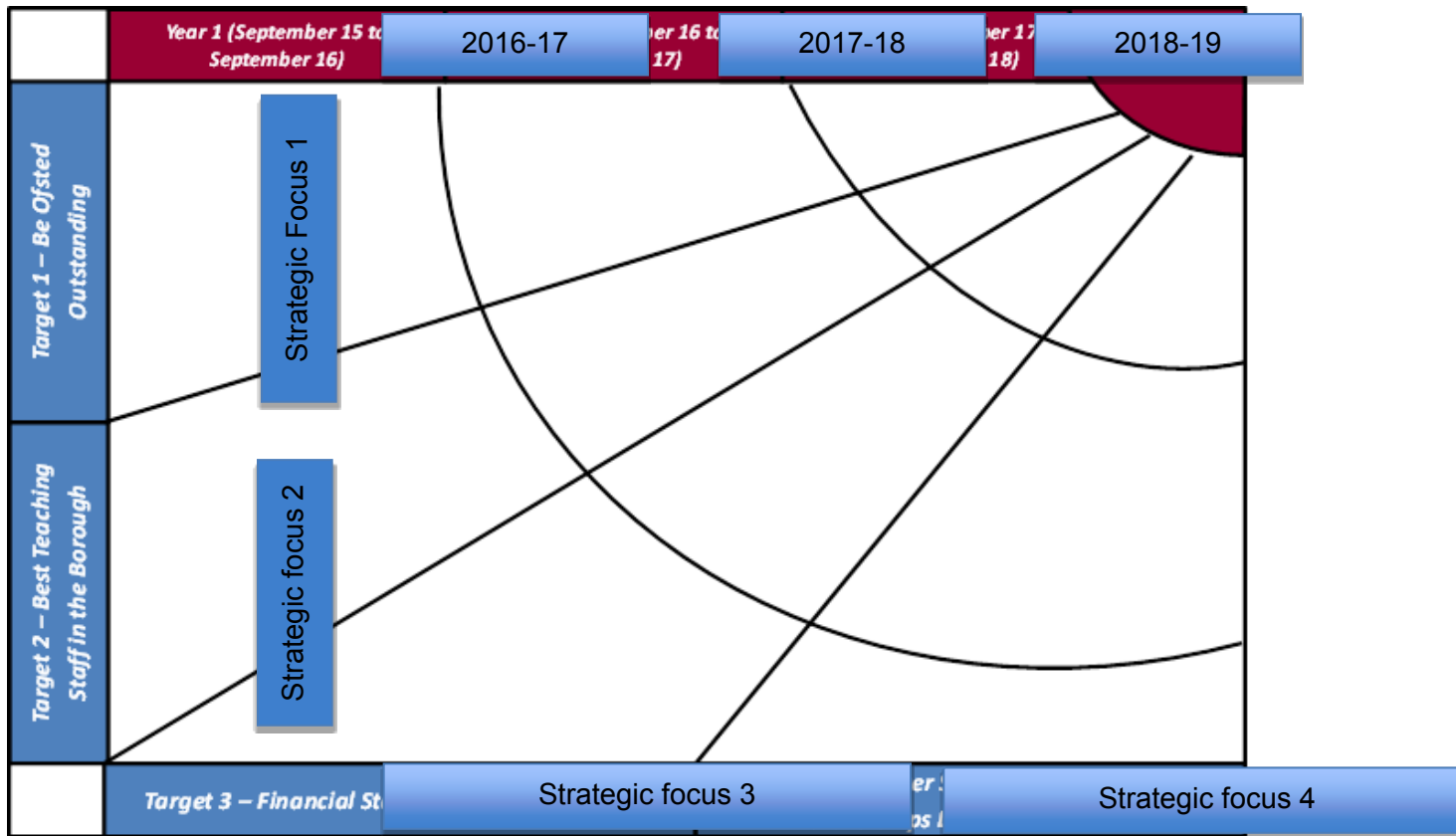
<p>2. Build strong and beneficial relationships with local communities</p>	<p>a) Offer use of UTC expertise and facilities to local groups, such as professional qualifications to parents b) Harness nature of UTC and its students to add value to local community groups, such as enhancing local charity social media c) Build reputation and awareness of UTC in the local area by maximizing publicity for the UTC through shared activities and events</p>	<p><i>-Professional qualifications customers and outcomes</i> <i>-Impact of community initiatives</i> <i>-Reputational analysis</i> <i>-Range and nature of publicity</i></p>		
<p>3. Build positive collaborations across the UTC network</p>	<p>a) Develop collaborative and high-impact relationships with other UTCs, especially UTC Reading and London Design UTC to improve T&L b) Relationships generate efficiencies – for example in staff recruitment or marketing c) Develop and share products, services, collaborations and projects more widely</p>	<p><i>-Depth, breadth and impact of inter-UTC collaborations</i> <i>-Efficiencies generated through collaborations</i> <i>-Impact of wider development of products and services</i></p>		
<p>4. Strong and beneficial links with an increasing range of partners from industry in engineering and more widely</p>	<p>a) Existing sponsors all actively engaged with projects delivered b) Existing partners all actively engaged c) Range of new partners engaged in engineering and more widely</p>	<p><i>-Sponsor engagements: range, regularity, depth, impact</i> <i>-Engagements from existing partners</i> <i>-Engagements from new partners</i> <i>-Number and type of new partnerships</i></p>		

<p>5. Build university links with LSBU and beyond</p>	<p>a) LSBU links are developed both in depth and breadth b) Further university links developed, including Russell Group and other London universities c) Links with students and academics developed, including mentoring and lectures d) UTC benefits from access to university resources</p>	<p><i>-LSBU engagements: range, regularity, depth, impact</i> <i>-Engagements with other universities</i> <i>-Academic links</i> <i>-Value-add from links including mentoring and access to resources and teaching spaces</i></p>		
<p>6. Build successful International links</p>	<p>a) International links developed at a student level b) Institutional links developed internationally</p>	<p><i>-Impact of international links on UTC</i> <i>-Wider benefits of links eg on cultural understanding, at student level</i></p>		
<p>7. Ensure high levels engagement and involvement of parents/carers</p>	<p>a) High levels of engagement from parents/carers b) Range of engagement with parents/carers including input in UTC decision-making c) Use of innovative technology to remove barriers to engagement d) Use of resources including technology and staffing to remove language barriers</p>	<p><i>-Attendance at parents' evenings</i> <i>-Proportion of parents/carers actively engaged with UTC</i> <i>-Impact of technology to increase range and types of engagements</i> <i>-Engagement of EAL parents/carers</i></p>		

Improvement Plan Trajectory

The diagram below indicates how each target area feeds in to the overall transformation and development of the UTC over a three year cycle.

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The UTC Improvement Plan will be produced annually using the 3 year strategy as its main source, allied to current performance data and the current stage of development of the UTC.

Challenges and Risks

- *'Fair funding' – a new formula to even out regional disparities in funding will impact Lambeth schools is a significant risk. It is highly likely that funding in Lambeth will be cut significantly, potentially impacting on the viability of the UTC and its technical, resource-intensive curriculum.*
- *Change in legislation may bring new pressures and accountability measures to bear, drawing capacity and focus from this strategic focus area.*
- *Change in Ofsted framework may mean a shifting in benchmarks and thereby make it more challenging to achieve an Outstanding judgement*
- *Lack of student data from previous schools means difficulty in meeting students' learning needs, slowing progress and impacting the effectiveness of community learning*
- *Underachievement at previous schools for Year 10 entrants results in challenge to secure good levels of progress; UTC held accountable for progress over two Key Stages despite only having input over one.*
- *Lack of understanding amongst Ofsted inspectors of UTC model - lack of EBacc offer at Key Stage 4 for example.*
- *Student numbers do not increase as planned*
- *Staffing challenges including high attrition rate*
- *Curriculum change including changes to specifications, content or assessment methodology*
- *Local context – demographics and capacity issues. For example, new free school provision adds capacity to the local market, leading to an oversupply of school places.*
- *Building completion dates slip, necessitating temporary accommodation, creating risks to the effective delivery of a UTC curriculum*
- *UTC brand suffers damage in the local market due to external factors, such as negative publicity attached to other London UTCs*
- *Sponsor and partner issues – reputational damage suffered as a consequence of events involving our sponsors for example*
- *Trust issues – lack of effectiveness or efficiency, leading to diseconomies of scale, poor value for money, lack of flexibility or governance issues, negatively impacting on outcomes at the UTC.*

South Bank Academies

	CONFIDENTIAL
Paper title:	Quality Review
Board/Committee	South Bank Academies Board Meeting
Date of meeting:	8 December 2016
Author:	David Phoenix, Chair of the Board
Purpose:	To provide assurance to the Board
Recommendation:	To note

Executive Summary

In line with good practice, it is intended to have a visit to each school twice a year by the Chair, CEO and an independent director. The visit will be conducted according to a schedule to seek assurance that operations and practice is in line with expectations. Post visit reports will be sent to the Board after each visit.

An example pro-forma is attached from another multi-academy trust. This will be used as the basis for visits in South Bank Academies.

The Board is requested to note.

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Key focus in the current academic year:

Key themes for current academic year - Meeting the needs of every student & building a community.

Summary of College Improvement Plan

TEACHING & LEARNING

1. Develop subject-specific target-setting for students.
2. Learning resource space usage.
3. Moodle competency & engagement.
4. Academic English & SEND approaches integrated and embedded across college.
5. Improving Academic Performance e.g. via Growth Mindset & Evidence Based Teaching (EBT).
7. Resources sharing within and outside college including best practices, policies, schemes of work.

CURRICULUM

1. Enrichment programme – improving uptake.
2. Introduced Art Foundation Programme (AFP).
3. Introduced BTEC Business.
4. International Foundation Programme (IFP) – Engineering from September 2016.
5. Revise two year GCSE programme for international students from September 2016.
6. Revise options with OY GCSE programme from September 2016.

LEADERSHIP & MANAGEMENT

1. Recruitment of good quality students.
2. Retention of students.
3. Student Attendance & full implementation of e-reg.

ADMINISTRATION

1. Introduce Parent and Agent Portals on SIMS from September 2016.
2. Use SIMS to record CPD & link to review process from September 2016.
3. Home Office (UKVI) compliance.
4. Streamline educational visit procedures.
5. Improve efficiency of registry & administrations teams during busy enrolment period.
6. Enhanced operation of Student Services office.

BUILDINGS

1. Completion of garden.
2. Identify use for roof garden from September 2016.
3. Completion of theatre.
4. Developing use of atrium.

BOARDING

1. Attracting high quality staff to part-time Boarding Assistant roles.
2. Enhance counselling skills of Boarding staff & Nurse.
3. Develop current skills of staff in managing mental health & wider well-being issues.
4. Update Safeguarding knowledge of Boarding & Welfare staff.
5. Enhance staff knowledge of PREVENT strategy.
6. Continuing to refine our catering and other provision in response to students' feedback.
7. Developing range of activities for students to support their broader development.

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South Bank Academies

	CONFIDENTIAL
Paper title:	South Bank Academies – Financial Management Accounts
Board/Committee:	South Bank Academies Board Meeting
Date of meeting:	8 December 2016
Author:	Dan Smith
Purpose:	Discussion
Recommendation:	Review of latest management accounts

Executive Summary

The purpose of this report is to provide information to the South Bank Academies Board to allow them to review the latest management accounts.

The report will show the following:

- A consolidated forecast for 2016/17 as at 31/08/16
- A report on the Academy presented to the local governing body
- A report on the UTC presented to the local governing body

Both schools actual pupil numbers were below the submitted pupil numbers which the schools funding was based therefore there is an element of 'clawback' which is shown as a reduction of income in the forecast. It is standard for growing schools to be effected by this as pupil numbers can be hard to estimate and it is usual for schools to overestimate so that funding is assured and any overfunding can be ring fenced.

Both schools are forecasting a surplus.

Note: After the submission of the report to the local governing body the Academy forecast was revised, the main points of review were current staffing costs, projected clawback and central services cost.

The revision is included in the consolidated forecast and shown at the end of the Academy report. The current forecasted surplus is low for the Academy but strategies will be put in place to increase this where possible.

South Bank Academies

South Bank Academies Consolidated Forecast

Current Forecast for Academic Year 2016/17 (As at 31st October 2016)							17% Percentage of Year completed
Income	Current	Forecast	Budget	Variance	Current/ Forecast %	<i>Comparison Last Year Current/ Forecast</i> %	Comment
GAG Income	766,817	4,569,339	4,569,339	0	17%	17%	On Target
Start Up Grants	280,792	412,000	412,000	0	68%	33%	Start Up Grants Front ended
Other Government Income	34,361	303,121	247,121	(56,000)	11%	11%	On Target
Other Income	11,772	133,147	143,147	10,000	9%	41%	On Target
Capital Grant	0	0	0	0	0%	0%	On Target
Projected Clawback	(59,212)	(803,274)	0	803,274	7%	0%	On Target
Income Total	1,034,530	4,614,333	5,371,607	757,274			
Expenditure	Current	Forecast	Budget	Variance	Current/ Forecast %		
Teaching Salaries	321,948	2,211,019	2,441,779	230,760	15%	15%	Some Agency Costs not in Current
Other Salaries	115,402	992,756	965,753	(27,004)	12%	14%	Some Agency Costs not in Current
Other Staff Costs	34,293	202,925	184,441	(18,484)	17%	3%	Training for T&L for year purchased
Building Maintenance & Occupancy Costs	25,153	330,126	378,358	48,232	8%	9%	On Target
Curriculum Budgets	11,825	96,801	120,945	24,144	12%	13%	On Target
Consultancy/Professional Services	18,613	92,209	119,744	27,535	20%	31%	Advertising for Post 16 Open Evenings
Catering Costs	45,626	206,352	288,845	82,493	22%	16%	Start Up costs for equipment and stock
Exams	0	13,600	13,600	0	0%	0%	On Target
IT Costs	2,285	101,270	144,674	43,404	2%	12%	On Target
Capital Costs	0	0	10,000	10,000	0%	0%	On Target
Central Services	43,050	199,820	43,050	(156,770)	22%	0%	On Target
Other Costs	16,278	137,458	203,236	65,778	12%	2%	On Target
Expenditure Total	634,472	4,584,335	4,914,423	330,087			
Surplus/(Deficit)	400,058	29,997	457,185	427,187			

Notes:

Variance Column:

A positive number indicates a positive variance, this shows a better forecasted financial result against the original budget

A negative (bracketed) number indicates an adverse variance, this shows a poorer forecasted financial result against the original budget

South Bank Academies

Academy Finance Management Report Submitted to Local Governing Body

The table below shows the current financial position for the financial and academic year 2016/17.

Current Forecast for Academic Year 2016/17 (As at 31st October 2016)						17%	Percentage of Year completed
					Current/Forecast %	Comparison Last Year Current/Forecast %	Comment
Income	Current	Forecast	Budget	Variance			
GAG Income	574,895	3,431,050	3,431,050	-	17%	17%	On Target
Start Up Grants	100,417	182,500	182,500	-	55%	33%	Start Up Grants Front ended
Other Government Income	34,361	190,200	190,200	-	18%	11%	On Target
Other Income	5,776	115,500	115,500	-	5%	41%	On Target
Capital Grant	-	-	-	-			
Income Total	715,449	3,919,250	3,919,250	-			
Expenditure	Current	Forecast	Budget	Variance	Current/Forecast %		
Teaching Salaries	227,252	1,533,513	1,832,125	298,612	15%	15%	On Target
Other Salaries	83,644	553,861	790,130	236,269	15%	14%	On Target
Other Staff Costs	31,256	118,757	118,757	-	26%	3%	Training for T&L for year purchased
Building Maintenance & Occupancy Costs	22,176	314,400	314,400	-	7%	9%	On Target
Curriculum Budgets	9,152	77,875	77,875	-	12%	13%	On Target
Consultancy/Professional Services	18,613	95,294	95,294	-	20%	31%	Advertising for Post 16 Open Evenings
Catering Costs	36,694	220,000	220,000	-	17%	16%	On Target
Exams	-	10,000	10,000	-	0%	0%	On Target
IT Costs	1,440	117,330	117,330	-	1%	12%	On Target
Capital Costs	-	10,000	10,000	-	0%	0%	On Target
Other Costs	5,325	68,350	68,350	-	8%	2%	On Target
Expenditure Total	435,552	3,119,380	3,654,261	534,881			
Surplus/(Deficit)	279,897	799,870	264,989	534,881			

Notes:

Variance Column:

A positive number indicates a positive variance, this shows a better forecasted financial result against the original budget

A negative (bracketed) number indicates an adverse variance, this shows a poorer forecasted financial result against the original budget

Introduction

Please find above the finance report for October 2016 for the University Academy of Engineering South Bank. Within this report you will find analysis relating to the forecast and additional information.

Forecast Analysis

Income

Income is currently in line with the budgeted amounts. Start-up grants are 55% received as they are 'front ended' towards the start of the year. Information on Pupil Premium and Top Up Funding for specific students is currently unavailable, amounts for these have been forecast as accurately as possible but with a conservative bias.

Expenditure

The majority of expenditure is in line with the budget. Positive variances on staffing are in line with expectation as certain roles were included in the budget to accommodate higher student numbers such as Post 16 or STEM Co-ordinators.

South Bank Academies

Pupil Numbers

The current budget was funded on 445 students but at the Autumn census the number of students there were 382. This would incur a clawback on this year's funding of approximately £448k. It is very common for new schools/academies to be subject to clawback as pupil numbers are hard to predict months in advance without any historical data. Most establishments will over estimate numbers and then 'ringfence' the overfunded amount to ensure they are able to get the appropriate funding. There is also sufficient forecasted surplus to cover the estimated clawback.

Pupil Number Analysis						
2016/17						
	Year 7	Year 8	Year 9	Year 12		Total
Per Autumn Census	138	129	93	22		382
Funded	150	150	95	50		445
Difference	12	21	2	28		63
Clawback per student (£)	8,000	8,000	8,000	6,000		
Clawback (£)	96,000	168,000	16,000	168,000		448,000

Revised Budget

With a significant amount of clawback and a new Senior Leadership Team it would be advisable to revisit the current budget and reassess some areas of expenditure. New plans such as increased literacy and mathematics provision and changes in staffing need to be accounted for, alternatively previous plans may now not be deemed necessary. Changes should not affect the surplus agreed by governors and submitted to the DfE.

Clawback 2015/16

There is a pupil number adjustment to the 2015/16 funding. Funding was based on 239 pupils whereas the actual number of pupils was 228. Therefore the Academy will need to return £82,940 in 2016/17. This will be shown as a provision in the 2015/16 accounts.

Capital Fund

Please see below analysis of the capital funding given to the Academy on inception. The Academy was given by the Local Authority £774k and has £297k remaining. As the Academy is now fully furnished and the repairs and refresh work has been completed the majority of this money can be allocated to equipment.

	Refresh/ Building	Furniture	Start Up	Total
Budget	274,014.00	329,404.08	171,412.92	774,831.00
Prior Year Spend		66,520.00		66,520.00
Spent Year 14/15	60,289.24	160,027.00	56,713.70	277,029.94
Spent Year 15/16	52,115.87	65,719.00	19,098.48	136,933.35
Spent Year 16/17				-
Spent Year 17/18				-
Remaining	161,608.89	37,138.08	95,600.74	294,347.71

South Bank Academies

Revised Forecast (Academy only)

Current Forecast for Academic Year 2016/17 (As at 31st October 2016)						17%	Percentage of Year completed
					Current/ Forecast %	Comparison Last Year Current/ Forecast %	Comment
Income	Current	Forecast	Budget	Variance			
GAG Income	574,895	3,407,910	3,407,910	0	17%	17%	On Target
Start Up Grants	100,417	182,500	182,500	0	55%	33%	Start Up Grants Front ended
Other Government Income	34,361	269,340	213,340	(56,000)	13%	11%	Top Up Funding and Pupil Premium revised
Other Income	5,776	105,500	115,500	10,000	5%	41%	Catering Income revised
Capital Grant	0	0	0	0	0%	0%	On Target
Projected Clawback	0	(448,000)	0	448,000	0%	0%	On Target
Income Total	715,449	3,517,250	3,919,250	402,000			
					Current/ Forecast %		
Expenditure	Current	Forecast	Budget	Variance			
Teaching Salaries	227,252	1,624,695	1,822,125	197,430	14%	15%	Some Agency Costs not in Current
Other Salaries	83,644	759,873	755,130	(4,743)	11%	14%	Some Agency Costs not in Current
Other Staff Costs	31,256	184,000	163,757	(20,243)	17%	3%	Training for T&L for year purchased
Building Maintenance & Occupancy Costs	22,176	293,640	314,400	20,760	8%	9%	On Target
Curriculum Budgets	9,152	77,875	77,875	0	12%	13%	On Target
Consultancy/Professional Services	18,613	79,094	92,794	13,700	24%	31%	Advertising for Post 16 Open Evenings
Catering Costs	36,694	153,000	220,000	67,000	24%	16%	Start Up costs for equipment and stock
Exams	0	10,000	10,000	0	0%	0%	On Target
IT Costs	1,440	79,330	89,330	10,000	2%	12%	On Target
Capital Costs	0	0	10,000	10,000	0%	0%	On Target
Central Services	0	156,770	0	(156,770)	0%	0%	On Target
Other Costs	5,325	92,625	98,850	6,225	6%	2%	On Target
Expenditure Total	435,552	3,510,902	3,654,261	143,359			
Surplus/(Deficit)	279,897	6,348	264,989	258,641			

Notes:

Variance Column:

A positive number indicates a positive variance, this shows a better forecasted financial result against the original budget

A negative (bracketed) number indicates an adverse variance, this shows a poorer forecasted financial result against the original budget

South Bank Academies

UTC Finance Management Report Submitted to Local Governing Body

The table below shows the current financial position for the financial and academic year 2016/17.

Current Forecast for Academic Year 2017 (as at the 31st October 2016)						
Percentage of Academic Year passed = 17%						
Income	Current	Forecast	Budget	Variance Forecast/Budget	Current/Forecast %	Comment
GAG Income	191,922	1,161,429	1,161,429	0	17%	On Target
Start Up Grants	180,375	229,500	229,500	0	79%	On Target - Start Up Grants are Front Ended
Other Government Income	0	33,781	33,781	0	0%	On Target
Other Income	5,996	27,647	27,647	0	22%	On Target
Capital Grant	0	0	0	0	0%	On Target
Prospective Clawback	(59,212)	(355,274)	0	(355,274)	17%	On Target
Income Total	319,081	1,097,083	1,452,357	(355,274)		
Expenditure	Current	Forecast	Budget	Variance Forecast/Budget	Current/Forecast %	Comment
Teaching Salaries	94,696	586,324	619,654	33,330	16%	On Target
Other Salaries	31,759	232,883	210,622	(22,261)	14%	On Target
Other Staff Costs	3,037	18,925	20,684	1,759	16%	On Target
Building Maintenance & Occupancy Costs	2,977	36,486	63,958	27,472	8%	Utility Costs not received
Curriculum Budgets	2,673	18,926	43,070	24,144	14%	On Target
Consultancy/Professional Services	43,050	56,165	70,000	13,835	77%	Central Services Costs Paid in Full
Catering Costs	8,931	53,352	68,845	15,493	17%	On Target
Exams	0	3,600	3,600	0	0%	No Exam Costs to date
IT Costs	845	21,940	55,344	33,404	4%	Minimal Costs to date
Capital Costs	0	0	0	0	0%	On Target
Other Costs	10,952	44,833	104,386	59,553	24%	Marketing for Post 16 Paid
Expenditure Total	198,920	1,073,434	1,260,162	186,727.78		
Surplus/(Deficit)	120,161	23,649	192,196	(168,547)		

Notes:

Variance Column: A positive number indicates a positive variance, this shows a better forecasted financial result against the original budget

A negative (bracketed) number indicates an adverse variance, this shows a poorer forecasted financial result against the original budget

Introduction

Please find above the finance report for October 2016 for the South Bank Engineering UTC. Within this report you will find analysis relating to the forecast and additional information.

Budget and Forecast

The budget was originally set using an estimated number of 144 students. As income is directly linked to pupil numbers, it is sensible to estimate the high end of what could be achievable as it is simpler and quicker to ring-fence any over provision than it is to request additional income.

The number of students that the UTC had on Census day (6th October) was 92. As this will mean a reduction in income (known as clawback) the forecast has been adjusted to take this into consideration. The income is stated as per the funding statement but with a deduction for the likely clawback shown on a separate line to reduce the total income.

The expenditure has been reforecast to take into account the reduction in pupil numbers. Items such as Catering and Educational Resources are also linked to pupil numbers.

South Bank Academies

Pupil Number Analysis					
2016/17					
	Year 10	Year 12		Total	Funding £'000
Per Autumn Census	36	56		92	1,097
Funded Students	45	99		144	1,452

Forecast Analysis

Income

Income is currently in line with the budgeted amounts. Start-up grants are 79% received as they are 'front ended' towards the start of the year. Information on Pupil Premium and Top Up Funding for specific students is currently unavailable, amounts for these have been forecast as accurately as possible but with a conservative bias.

Expenditure

The majority of expenditure is in line with the budget. Positive variances on staffing can be attributed to staff members opting out of pension schemes and small changes in pay scales. Additional expenditure on PE support and facility hire has meant that there is a forecast negative variance for other salaries.

Other expenditure has been

Lead in Costs

Costs borne before the UTC opened in September 2016 were financed by the lead-in budget supplied by the DfE. Any cost was claimed and funded by submitting a claim form. The last claim form has been submitted. At present all costs have been funded.

Capital Expenditure

The Education Funding Agency (EFA) have supplied funding for start-up costs of £198,750, this funding is divided into two categories, ICT (£140,000) and Furniture and Fittings (£58,750). Submissions to the EFA for additional money can be made. The expenditure so far is shown below.

Capital Funding - EFA	ICT	FFE
Funded	140,000	58,750
Claimed	26,305	41,250
To Claim	112,647	14,372
Remaining	1,048	3,128

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South Bank Academies

	CONFIDENTIAL
Paper title:	Group Risk Register
Board/Committee:	South Bank Academies Board Meeting
Date of meeting:	8 December 2016
Author:	Dan Smith, Business Manager
Sponsor:	CEO
Purpose:	To Review
Recommendation:	The paper is presented to review the Risk Register.

Executive Summary

The Risk Register 2016-17 highlights the key risks for South Bank Academies under six key categories;

- Compliance
- Finance
- Staffing
- Pupil Levels
- Infrastructure
- Reputation

The register calculates the risk level associated to each risk by combining the probability of the risk and the impact of the risk. Also listed are the actions that have been taken to mitigate each risk. Each risk will have an 'Owner' to take responsibility for the risk and ensure the mitigating actions are undertaken and deployed.

The Register is an ongoing document and will be reviewed each year: all current risks will be re-assessed and emergent risks will be added.

Each school within the Trust will have its own Risk Register that is aligned to the schools' operations.

Significant changes from the last Board meeting:

- Due to the introduction of a robust governance structure and meeting schedule the probability assessment for the first two Compliance area risks have been moved to 1 from 2.
- The external audit report shows that financial procedures are working well so the probability assessment for the second Finance risk has been moved to 1 from 2.
- A review of the probability and impact assessment for the second staffing risk has changed them from 2 and 2 to 1 and 3 respectively.
- A staffing risk centred on overstaffing has been removed as it duplicated the risk and mitigation of the third Finance risk.

In addition after the Audit Committee meeting of the 29th November the following changes were made:

South Bank Academies

- The first two compliance area risks are now under the ownership of the Company Secretary (previously CEO)

South Bank Academies

Area	Risk	Impact description	Probability assessment	Impact assessment	Combined risk level	Mitigating actions	Owner	Last reviewed	Date for next review	Status
Compliance	Inappropriate Governance structure and organisation	Failure to achieve mission and objectives of the Trust. Poor decision making and information flow.	1	3	3	Department for Education oversight and approval. Periodic Ofsted inspection. Qualified and experienced Governance support.	Chair	Aug-16	Aug-17	Open
Compliance	Inadequate level of challenge and ineffective local governance affects Trust overall	Failure to achieve mission and objectives of the Trust. Poor decision making and information flow. Risk of one establishment not following Trust procedures.	1	3	3	Representation of the Trust on local governing bodies. Annual review of local governing bodies including external audit.	Chair	Aug-16	Aug-17	Open
Compliance	Serious breach of health & safety regulation or disability legislation occurs	Risk of litigation and Reputational risk.	2	3	6	Policies and procedures consistent with relevant legislation. Independent audit on Health and Safety and Policies. Regular reports to the board. Adequate insurance cover.	CEO	Aug-16	Aug-17	Open
Finance	Changes to Funding via Government policy	Any changes could cause a loss in income.	2	3	6	Monitoring of Government policy, Long term forecasts, Financial expertise at Operational and Trustee level	Trust Business Manager/CEO	Aug-16	Aug-17	Open
Finance	Poor financial performance by one or more school	A deficit or liabilities in one or more schools will affect the Trust financial viability and could have significant risk for finance and cash flow and action by DfE	1	3	3	Trust financial controls and procedures will be set and communicated to all staff. Monthly Management accounts, Schedule of delegation, Budget monitoring by LGB and the Trust, Internal and External Audit. Regular reports to Trust members. Financial expertise at Operational and Trustee level	Trust Business Manager/CEO	Aug-16	Aug-17	Open
Finance	Financial controls and systems are not adequate or maintained	Risk that policies and procedures are not followed and that value for money is not considered in procurement and staff costs.	2	2	4	Trust financial controls and procedures will be set and communicated to all staff. Monthly Management accounts, Schedule of delegation, Budget monitoring by LGB and the Trust, Internal and External Audit. Regular reports to Trust members. Financial expertise at Operational and Trustee level	Trust Business Manager/CEO	Aug-16	Aug-17	Open
Staffing	Failure to recruit key management posts and Inadequate competency of staff within the Trust or the Schools	Staff not able to carry out their duties, poor management and decision making, poor quality of teaching and learning leading to poor student outcomes. Unsatisfactory Ofsted grading leading to reputational risk.	2	3	6	Thorough recruitment programme, comprehensive professional development, Strong Appraisal system. Recruitment of specialist staff for key positions.	CEO/Principals	Aug-16	Aug-17	Open
Staffing	Inadequate number of staff within the Trust or the Schools	Inadequate teaching and learning and student support.	1	3	3	Monthly monitoring of staffing levels from all schools, independent exit interviews for all staff, comprehensive recruitment processes.	CEO/Principals	Aug-16	Aug-17	Open

South Bank Academies

Pupils	Failure to recruit sufficient number of pupils in Trust schools	Reduction in pupil led income which could lead to cash flow or long term financial problems.	2	2	4	Trust and school Marketing capacity and effective admissions processes. Monthly reports on pupil numbers for monitoring. Benchmarking against local rival schools.	CEO/Principals	Aug-16	Aug-17	Open
Pupils	Poor students outcomes in Trust schools	Poor examination results could cause a reputational and financial risk. Detrimental to student futures/careers.	2	2	4	Teaching and Learning constantly monitored and reported. Termly attainment reporting sent to management and pupils. Principal reports to local governing body.	CEO/Principals	Aug-16	Aug-17	Open
Infrastructure	Land and Buildings are fit for purpose.	Damage to property due to poor maintenance could cause disruption to business continuity and cause damage to pupils learning and Trust reputation	1	3	3	Each school will have a maintenance programme and this will be assessed and monitored by a Trust staff member. Adequate budgets for building maintenance are provided. Regular site checks by facilities team and external audits.	Trust Business Manager/CEO	Aug-16	Aug-17	Open
Infrastructure	New School Projects embarked on without appropriate design and construction. Insufficient due diligence undertaken for going concerns.	Existing school could transfer reputational or financial risks and new schools need an appropriate learning environment.	2	2	4	Professional and independent advice sought before any project undertaken.	Trust Business Manager/CEO	Aug-16	Aug-17	Open
Infrastructure	Failure to safeguard school or academy assets	No provision for security systems or inadequate insurance causing financial risk	2	2	4	All schools will have adequate security systems and budgetary allowance for upkeep and maintenance. Asset registers at each establishment are monitored and audited regularly. Adequate insurance is provided	Trust Business Manager/CEO	Aug-16	Aug-17	Open
Reputation	High profile event in one school affects Trust overall	Risk of reputation nationally and locally depending on scale of the event.	1	3	3	Critical Incident plan for each school will list what should happen and delegation of duties in the event of an emergency situation.	CEO	Aug-16	Aug-17	Open

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Risk Calculation	Probability		
	1 low	2 medium	3 high
1 low	1	2	3
2 medium	2	4	6
3 high	3	6	9

South Bank Academies

	CONFIDENTIAL
Paper title:	External Audit Findings
Board/Committee:	South Bank Academies Board Meeting
Date of meeting:	8 December 2016
Sponsor:	CEO
Author:	Dan Smith
Purpose:	Review
Recommendation:	To review the findings of the external auditor during their annual audit

Executive Summary

The purpose of this report is to provide information and feedback to the South Bank Academies Board from the external auditors Kingston Smith LLP after their annual audit of the South Bank Academies accounts.

The report includes the following;

- Audit Approach
- Significant Findings
- Accounting and Internal Control Systems
- Sector Update
- Corrected Material Misstatements and Reclassifications
- Other matters

The work on the audit was completed on-site during the w/c 17th October by two members of Kingston Smith LLP audit team.

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South Bank Academies

Post Audit Management Report

Year Ended 31 August 2016

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Post Audit Management Report – South Bank Academies

We have completed the audit of the South Bank Academies Trust and the South Bank Engineering UTC Trust for the year ended 31 August 2016 and we expect to issue an unqualified audit opinion.

This report covers the findings from our audit, the scope of which was communicated to you prior to commencing the work. It includes some recommendations for improving the accounting and internal control systems as well as highlighting some future developments that may be of interest to the board.

We hope that the recommendations are practical and are able to be implemented. We would be grateful if you could discuss the points as a board and will welcome a written response. Please extend our thanks to Daniel Smith for all of his help with the audit.

If you have any concerns or questions arising from this report, please contact Anjali Kothari.

Yours faithfully

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Page 3	Operation of the Accounting and Internal Control Systems
Page 8	Sector update
Appendix 1	Corrected Material Misstatements and Reclassifications
Appendix 2	Other matters

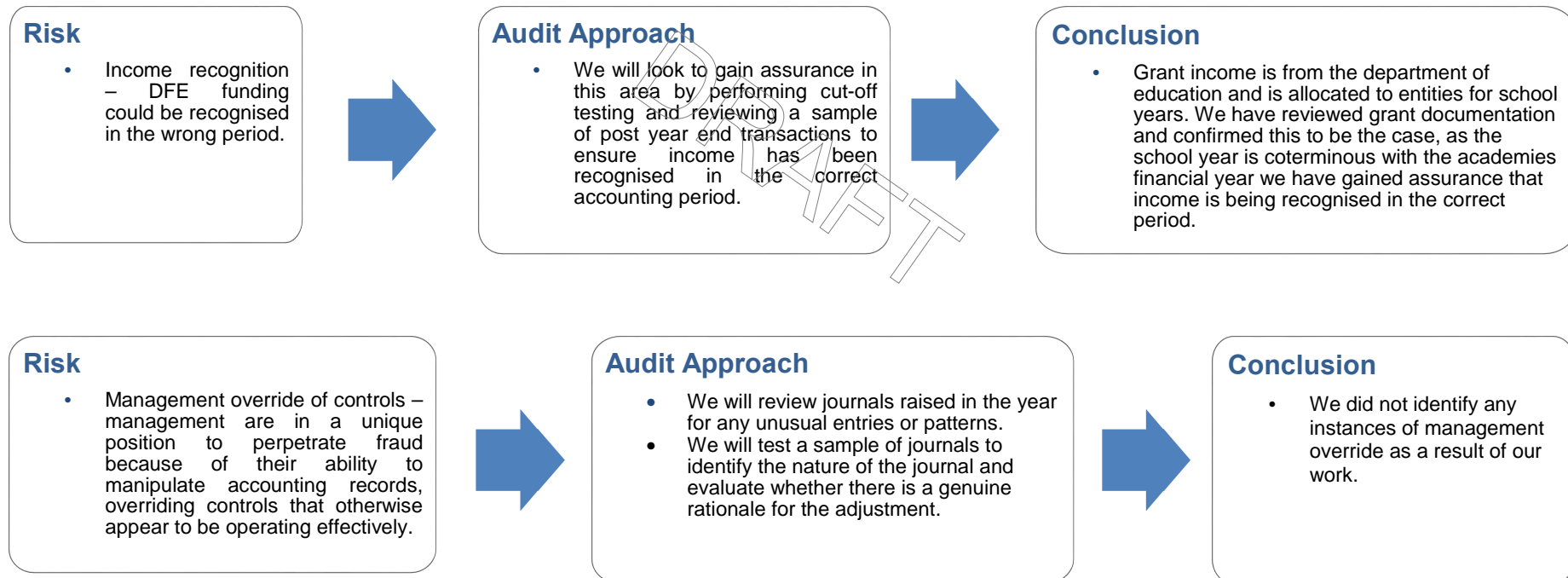
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Section 1: Audit Approach

As outlined in our pre-audit letter dated 5 September 2016 our audit approach is based on an assessment of the audit risk relevant to the individual financial statement areas. Areas of risk are categorised according to their susceptibility to material misstatement, whether through complexity of transactions or accounting treatment. For each area we calculated a level of testing and review sufficient to give comfort that the financial statements are free from material misstatement.

The following table lists any risks identified at the planning stage and during the course of the audit, our approach to mitigate the risk and our conclusions from completing this work

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Section 2: Significant Findings From The Audit

We are required under International Standards on Auditing to request you to correct all misstatements identified during our audit, with the exception of those that are clearly trivial.

Corrected material misstatements and reclassifications

Included as Appendix 1 are the corrected, material misstatements identified during the course of our audit work which have been discussed and agreed with you.

Observations concerning the operation of the accounting and control systems

We detail in section 3 other matters concerning the operation of the accounting and control systems that we consider should be brought to your attention. The observations have been ranked in order of potential risk to the business. Significant internal control issues; which we believe need immediate attention; are denoted using a red flag. We have also included an assessment of the extent to which our previous recommendations have been implemented.

We look forward to receiving your responses on the points raised. Due to the nature of an audit we may not have identified all weaknesses within the accounting and internal control systems which may exist and the contents of this section of our letter and any items disclosed in this report should not therefore be taken as a comprehensive list of such weaknesses.

Management Representation Letter

A draft of our proposed management representation letter has been sent to you under separate cover. All of the matters included in this letter on which we seek the Trustee's formal confirmation are in respect of routine matters.

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Section 3: Operation of the Accounting and Internal Control Systems

South Bank Academies Trust – Current year

	<u>MATTER ARISING</u>		<u>IMPLICATION</u>	<u>RECOMMENDATION</u>	<u>RESPONSE</u>
	Accruals We note an accrual for £34k has been made for Southwark heating and an accrual of £44k for IT services from RM. We have noted the calculations to support these, but understand 3 rd party evidence (an invoice, for example) is not available.	MED	Accruals may be overstated.	To ensure that all accruals are supported by evidence of invoices where possible.	The Academy is aware that there are costs involved with the heating supplied by Southwark Heating and also the IT services supplied by RM Education. Despite requests we have not received any invoices. It is however prudent to accrue for these costs.
	Bank reconciliations Bank reconciliations are not being signed off as reviewed.	LOW	There is a risk that reconciliations are not being performed adequately and/or in good time.	Sign off bank reconciliations once reviewed; consider the possibility of a dual review or a separate reviewer to the person posting income and expenditure.	Bank Reconciliations will now be prepared by the Finance Officer in each school and signed by the Trust Business Manager.

Section 3: Operation of the Accounting and Internal Control Systems

South Bank Academies Trust – Prior Year

	<u>MATTER ARISING</u>		<u>RECOMMENDATION</u>	<u>IMPLEMENTATION PROGRESS</u>
	Salary Overpayment We noted that there was an employee who was over paid in September and October 2014 and this balance remained outstanding at the year end.	MED	To review the payroll controls to ensure that staff are not paid in error. Monies may not be recoverable if staff leave.	There were no salary creditors at the year end.
	Debtors We note that there is an outstanding debtor balance of £18,250 from Southwark Council. This debt is over 5 months old. We understand that efforts are being made to recover this debt.	MED	To ensure that this debt is recovered, or to consider making a provision against this debt.	This balance has since been recovered.
	Accruals We note an accrual for £34k has been made for Southwark heating. We have noted the calculations to support this, but understand 3 rd party evidence (an invoice, for example) is not available.	MED	To ensure that all accruals are supported by evidence of invoices where possible.	This issue is still outstanding and has been included in the letter of representation again.
	Supplier set up No dual authorisation is required to set up suppliers or amend their details on the accounting system.	LOW	The system should be altered to prevent suppliers being set up or amended without dual authorisation.	New Supplier Form introduced that requires two signatures including that of the Principal and requests reasons for opening a new account and bank details on the suppliers headed paper. Existing supplier list readily available for all staff.

Section 3: Operation of the Accounting and Internal Control Systems

	<u>MATTER ARISING</u>		<u>RECOMMENDATION</u>	<u>IMPLEMENTATION PROGRESS</u>
	Bank reconciliations Bank reconciliations are not being signed off as reviewed.	LOW	Sign off bank reconciliations once reviewed, consider the possibility of a dual review or a separate reviewer to the person posting income and expenditure.	Bank reconciliations are now being performed but are not signed off.
	Professional Fees We noted that there are some teaching costs being included in professional fees.	LOW	Ensure that any teaching costs are included within supply teaching costs and not professional fees.	This miscoding error has now been rectified.
	Tenancy Agreement We note the tenancy agreement is still not signed.	LOW	To ensure that this is signed.	This issue is still outstanding.
	Register of Interests We note that there is a register of interest, but we could not view this.	LOW	To ensure that this is readily available and updated on an annual basis and as and when required.	The school now holds a register of interests.
	Aged Creditor Listing We note from our review that there are a number of balances which have not been cleared off accounts. This can lead to supplier payment confusion and errors. This can also suggest the purchase supplier payment process is not robust enough.	LOW	We recommend that all supplier balances are reviewed and cleared down. Where items are in dispute there should be attempt to resolve these.	This issue has been resolved.

Section 3: Operation of the Accounting and Internal Control Systems

South Bank Engineering UTC Trust – Prior Year

	<u>MATTER ARISING</u>		<u>IMPLICATION</u>	<u>RECOMMENDATION</u>	<u>RESPONSE</u>
1.	Insurance The Trustees do not have any insurance in place	HIGH	The trustees may be liable if any accidents happens during the course of academy business	Take out trustee insurance at the earliest opportunity.	This is under review.
2.	Register of interest Trustees have not signed declarations as part of their register of interests.	HIGH	Related parties transactions could go unnoticed and not carried out on a not-for-profit basis.	Related party interests should be kept up to date to ensure the good practice is captured regularly.	The process is on-going. Declarations have been circulated to the trustees for their signature.

Section 3: Operation of the Accounting and Internal Control Systems

We have given each of our observations a risk rating as explained in the key below:-

RISK RATING FOR MANAGEMENT REPORT POINTS		
	Risk rating	Explanation
	Low	Issues that would, if corrected, improve the internal controls or accounting practices in general but are not vital to the overall system. These are generally issues of best practice that we feel would benefit you if you introduced them.
	Medium	Issues that have an important effect on internal controls but do not need immediate action. You may still meet a system objective in full or in part or reduce (mitigate) a risk adequately but the weakness remains in the system.
	High	Issues that are fundamental and material to your system of internal control. We believe that these issues might mean that you do not meet a system objective or reduce (mitigate) a risk.

Section 4: Sector Update

Academies Useful Links

There are a number of links which the Governors and senior leadership might find useful and these are listed below:

Gov.uk:

<https://www.gov.uk/government/collections/schools-financial-health-and-efficiency>

<https://www.gov.uk/guidance/schools-financial-efficiency-top-10-planning-checks-for-governors>

<https://www.gov.uk/academies-fianncial-assurance>

<https://www.gov.uk/academies-severance-payments>

<https://www.gov.uk/government/collections/academies-investigation-reports>

NABSM good practice Library:

<http://nasbm.co.uk/Home/Efa-Academies-Library.aspx>

FD Forum:

www.thefdforum.co.uk

ICAEW:

www.icaewvolunteers.com

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Section 4: Sector Update

1. Apprenticeship Levy

Starting on 1 April 2017, the apprenticeship levy will force all charities with payrolls of £3m and over to pay a levy of 0.5 per cent to the government. Each charity employer will receive £15,000 to offset the cost of implementing this. However, it remains the case that charities that have a high proportion of volunteers in relation to paid staff often have very few roles that could be filled by apprentices, even though they might well breach the £3m payroll threshold – in which case, they might find themselves obliged to pay the levy and receive little in return. We have called upon government to consider whether volunteers could be deemed to be “employees” for the purpose of deciding who can qualify for an apprenticeship. The Department for Education has published the Government’s initial Proposals for apprenticeship funding in England from May 2017, along with an Apprenticeship funding bands tool and a spreadsheet of Apprenticeships approved for delivery.

In brief:

- Charity employers that are too small to contribute to the apprenticeship levy would have 90% of the cost of their apprenticeship training paid by the Government as a “co-investment”.
- The Government will pay an additional £2,000 in respect of 16- to 18-year-olds, young care leavers and young people with an education, health and care (EHC) plan, with £1,000 going to the employer and an additional £1,000 to the training providers.
- Waive the “co-investment requirement” for small employers (i.e. those with fewer than 50 employees) where they are training a 16- to 18-year-old apprentice, young care leaver or young person with an EHC plan – which means that they would not have to pay anything towards the training;

- Charities will be able to use levy funds to retrain workers in a new skill where they have prior qualifications – so long as the new skill is significantly different from their previous qualifications.
- Pay training providers £471 for training to gain the minimum standard of Level 2 in English and maths, payable directly from the Government instead of being deducted from the employer’s digital account.
- From 2018 allow levy-paying employers to be able to transfer up to 10% of the annual value of funds entering their digital accounts to other employers on the digital system.

The levy will be paid to HMRC through the PAYE process currently in place. The amount payable will be 0.5 per cent of the total amount of earnings subject to Class 1 secondary National Insurance Contributions. This includes earnings below the secondary threshold, which are usually excluded for the calculation of employers NICs.

A £1,250pm (£15,000 annually) levy allowance will be provided by the government to offset against this. The allowance can be carried forward if unused and can be used as a credit against PAYE liabilities.

For example, if Employer A’s pay bill is £3.2m, the cost of the levy will be £16,000. Employer A will receive £15,000 to offset this cost and so the net payable is £1,000.

This net amount payable will be put into a digital account and made available for employers to buy training, from an approved trainer, for apprenticeship schemes. HMRC have confirmed that all digital account payments made to an approved Apprenticeship Levy provider will be exempt from VAT.

Apprenticeships will not be limited to young people, but the levy will be restricted to training apprenticeships, excluding additional costs such as recruitment and salaries.

Section 4: Sector Update

No special considerations are expected to be granted to charities and we understand that any unspent levy money could be used by private business.

Further details on how the apprenticeship levy will work can be found via this link: <https://www.gov.uk/government/publications/apprenticeship-levy-how-it-will-work/apprenticeship-levy-how-it-will-work>

If you have any queries on this matter, in the meantime, please ask Anjali Kothari.

2. Current HR and Employment Related Issues

A number of changes and updates to employment legislation have been introduced in recent months, as follows:

- The National Minimum Wage rates have increased from 1 October 2016 for all age groups. For workers aged 21 years to 24, the rate is now £6.95 per hour, a rise of 25p from the previous year. The National Living Wage was also introduced in April for workers aged 25 and over and is currently £7.20 per hour.
- The Apprenticeship Levy will be introduced in April 2017; all employers with a wage bill of more than £3 million will have to contribute 0.5% of the bill to the levy. All employers will be able to access funding for apprenticeships through the digital apprenticeship portal.
- There have been further rulings on the inclusion of commission and overtime in holiday pay. The Court of Appeal has upheld the decision to include commission in holiday pay and it is widely accepted that regular overtime should also be included. There are still questions to be clarified on the reference period to use and no definitive answer on annual bonuses.
- The Employment Tribunal has granted permission for shop workers at ASDA to compare themselves to warehouse staff in an

equal pay claim that could result in claims for £100 million. The final outcome of the case could have far reaching consequences across the retail sector.

- The outcome of the Uber Employment Tribunal claim to determine if its drivers are self employed or employees is awaited. If it is decided that they are in fact employees this will impact on the rise of the 'gig' economy and infer employment rights such as sick pay, holiday pay, entitlement to minimum wage and protection from unfair dismissal.
- The Government is currently consulting on the use of non-compete clauses and if these should be banned, the view being that they can stifle potential entrepreneurs and fair competition.
- Immigration rules for non-EU migrants have changed from April 2016. Non-EU nationals must also earn a minimum of £35,000 per annum in addition to meeting the residency requirements of 5 years to apply to permanently remain in the UK.
- Tougher sanctions have been introduced for employers who knowingly employ illegal workers. Individuals can be held criminally responsible and receive a fine of £20,000 and the company can be closed while investigation take place.

Please speak to Anjali Kothari for further information.

3. Fundraising & Trustee Duties

Following the copious amounts written in the Press in regard to fundraising since May 2015, the Charity Commission issued its revised guidance 'CC20 Charity fundraising: a guide to trustee duties' on 7 June 2016.

The revision emphasises that trustees are responsible for public fundraising undertaken by their charity. They should involve themselves in the planning and monitoring of their charity's fundraising systems and processes, without taking on an overly operational approach. As always, proportionality is key and planning and monitoring will depend on the charity's size, structure and complexity. It will also depend on whether

Section 4: Sector Update

fundraising is undertaken by trustees, paid staff, outsourced organisations or volunteers.

The consultation highlights six principles to consider:

- fundraising strategy and planning
- supervising fundraisers (including third parties)
- protecting the charity's reputation and assets
- complying with laws and regulations
- living up to relevant standards
- being open and accountable.

The guidance states that the Charity's plan should not be lengthy or complex but should include issues such as:

- The fundraising methods that are to be used
- The resources that will be used and the costs that will be incurred, and their proportionality with income raised
- The financial / reputation and other risks that the Charity will face and how these will be mitigated
- How the fundraising will reflect upon the Charity's values
- Regularly monitoring progress against fundraising plans, looking carefully and critically at the areas of highest risk.

The guidance does not aim to describe all legal requirements for fundraising, as these aren't regulated by the Commission, instead it signposts readers to other bodies that provide that guidance, such as the Fundraising Regulator, Information Commissioner's Office, Gambling Commission, etc.

The Commission aims to work closely with the new Fundraising Regulator (due to take over from the Fundraising Standards Board (FRSB) and Public Fundraising Regulatory Authority (PFRA) on 5 July) and the

Information Commissioners Office (ICO). The guidance highlights where the Commission has jurisdiction over fundraising matters.

Trustees and charity executives need to balance risk aversion and compliance to regulations with the need to integrate their charity's values into its fundraising practice, and to innovate in order to find funding to meet beneficiary needs.

Should you have any queries about your fundraising, either about the current processes and procedures or additional requirements, please email James Newell at jnewell@ks.co.uk – Director of Fundraising and Management.

4. Register of People with Significant Control

From 6 April 2016 the majority of UK companies will be required to keep (and make available for public inspection) a new statutory Register of People with Significant Control (also known as the PSC Register).

All charitable companies limited by guarantee and all wholly-owned trading subsidiaries of charities will be subject to the regime.

From 30 June 2016 you will also need to include the information contained in this Register in a Confirmation Statement, to be filed with Companies House. This statement replaces the Annual Return. The new rules are among a number of changes to the Companies Act 2006 brought in as part of the Government's drive to increase transparency in ownership and control of UK corporations, help combat tax evasion and money laundering, and increase trust in UK businesses.

What is a 'Person with Significant Control'? A Person of Significant Control is an individual who:

- holds, directly or indirectly, more than 25% of a company's shares; or

Section 4: Sector Update

- ii. holds, directly or indirectly, more than 25% of the voting rights in a company; or
- iii. holds the right, directly or indirectly, to appoint or remove a majority of a company's directors; or
- iv. has the right to exercise, or actually exercises, significant influence or control over a company; or
- v. exercises, or has the right to exercise, significant influence or control over a trust or firm which meets any of the above conditions.

Charitable Companies are, for the most part, unlikely to be caught by the first two points. However consideration should be given to the remaining points. Where a company's shares are owned by another legal entity, this other entity is a Relevant Legal Entity (RLE) and, generally, if it would meet any of the above conditions if it were an individual, it also needs to be listed on the PSC Register. For the majority of cases, this is likely to apply to those charitable companies that have wholly owned trading subsidiaries.

One of the criteria under this legislation is holding, either directly or indirectly, more than 25% of the voting rights. For a charitable company limited by guarantee this will apply to the guarantee members. What information will need to be shown in the PSC Register? An entry in the PSC Register will need to contain the same information as a company is currently required to keep relating to its directors, as well as:

- the date of becoming a PSC;
- details of the PSC conditions which apply (points 'i' to 'v', above); and
- a note of any restrictions on disclosing the PSC's information which may be in place.

The PSC Register must be updated whenever the position changes.

What information will need to be sent to Companies House, and when? All the information in the PSC Register will need to be sent to Companies House annually, in the Confirmation Statement, except that, as with directors/trustees, the residential address and day element of the date of birth will be redacted.

Any charitable company will need to list its guarantee members as PSCs if the number of members is three or less. If there are four or more members, which will usually be the case, each individual will control no more than 25%, and hence there will be no PSC. However, the PSC register must never be blank, and so where there is no PSC, charities will need to keep a PSC register containing specific wording stating that there is no registrable person. Typical wording could be: "The company knows or has reasonable cause to believe that there is no registrable relevant legal entity or PSC in relation to the company".

What are the penalties for non-compliance? The legislation imposes obligations on the company and its trustees/directors to discover and disclose the required information and to give notice to any person they consider may be a PSC. The directors/trustees may be liable to fines and imprisonment, and the charitable company may be fined, for failing to comply. There are similar obligations on PSCs to comply with requests for information.

If you would like any further information, please get in touch with Anjali Kothari.

Appendix 1: Corrected Material Misstatements and Reclassifications

No other matters have come to our attention during the audit which we are required to communicate to you and the safeguards adopted were as described in our pre-audit letter.

South Bank Academies Trust

	Balance Sheet		SOFA		Effect on Net Surplus
	Dr	Cr	Dr	Cr	Dr/(Cr)
Draft Net Income					(71,615)
Fixed assets at cost	6,223				
Fixed assets accumulated depreciation		9,525			
Depreciation expense			3,302		3,302
Being the opening balance adjustment for fixed assets					
Pension contributions				1,500	(1,500)
Pension contributions				1,500	(1,500)
Pension asset	3,000				
Being the opening balance adjustment to pension liabilities					
Fixed assets accumulated depreciation		4,224			
Depreciation expense			4,224		4,224
Being the current year depreciation charge					

Appendix 1: Corrected Material Misstatements and Reclassifications

	Balance Sheet		SOFA		Effect on Net Surplus
	Dr	Cr	Dr	Cr	Dr/(Cr)
Intercompany debtors	5,040				
Trade debtors		5,040			
Being the reclassification of intercompany debtors					
Repairs & Maintenance			5,098		5,098
Repairs & Maintenance				7,504	(7,504)
Repairs & Maintenance				1,010	(1,010)
Rates				372	(372)
Educational Supplies				1,479	(1,479)
Stationary			911		911
IT Consumables – Non-Educational				320	(320)
Professional Services			11,235		11,235
CRB Checks				5,553	(5,553)
IT Licensing				1,442	(1,442)
Uniforms Expenditure			1,311		1,311
Prepayments		875			
Being the reversal of last years prepayments and the inclusion of this years					
Trade debtors	1,898				
Trade creditors		1,898			
Being credit balances in trade debtors					
PAYE/NI Creditor	3,000				

Appendix 1: Corrected Material Misstatements and Reclassifications

	Balance Sheet	SOFA	Effect on Net Surplus
Employers NI		3,000	(3,000)
Being the annual employment allowance not yet recognised			
Accruals	50,112		
Agency Supply Cover - Teaching		5,500	(5,500)
Agency Supply Cover - Support		1,710	(1,710)
Course Fees		1,500	(1,500)
Repairs & maintenance		14,095	14,095
Equipment (Not IT)		81	(81)
Catering Food/Drink		4,628	(4,628)
Electricity		5,000	(5,000)
Security Alarm		773	(773)
Computer support		22,000	22,000
Recruitment expenses		32,493	32,493
Accountancy		300	300
Southwark district heating		415	415
GAG Clawback Expense		402,511	(402,511)
GAG Clawback Accrual	402,511		
Being the reversal of last years accruals and the inclusion of this years			
Pension Liability	31,000		
Pension contributions		5,000	(5,000)
Actuarial losses		36,000	
Being the current year movement on pensions			

Appendix 1: Corrected Material Misstatements and Reclassifications

	Balance Sheet	SOFA	Effect on Net Surplus
Teachers - Salaries/Allowances		84,300	84,300
Accruals	84,300		
Being compensation payment accrual			
Rates Relief		34,210	34,210
Accruals and deferred income	34,210		
Being deferred income			
Final net (income)/expenditure			(308,103)

Appendix 1: Corrected Material Misstatements and Reclassifications

South Bank Engineering UTC Trust

	Balance Sheet		SOFA		Effect on Net Surplus
	Dr	Cr	Dr	Cr	Dr/(Cr)
Draft Net Income					(44,081)
Fixed asset additions	98,027				
Repairs and maintenance				98,027	98,027
Depreciation charge			4,799		(4,799)
Accumulated depreciation		4,799			
<i>Being the reclassification of fixed assets charged to P&L</i>					
Equipment			14,729		(14,729)
Marketing				360	360
IT consultancy				4,550	4,550
Audit			750		(750)
Printing, postage and stationary			2,208		(2,208)
Teaching supplies			9,279		(9,279)
Accruals		22,056			
<i>Being movement in accruals</i>					

Appendix 1: Corrected Material Misstatements and Reclassifications

	Balance Sheet		SOFA		Effect on Net Surplus
	Dr	Cr	Dr	Cr	Dr/(Cr)
UAESB funding income			61,000		(61,000)
Staff salaries			20,421		(20,421)
Other support costs			10,854		(10,854)
Related party creditors		92,275			
<i>Being movement in creditors</i>					
Equipment				11,127	11,127
Marketing				469	469
Other support costs				26	26
VAT debtor		11,621			
<i>Being adjustment to VAT</i>					
Final net (income)/expenditure					(53,562)

Appendix 2: Other Matters

Engagement & Independence

Our engagement objective was the audit of the South Bank Academies.

We have implemented policies and procedures to meet the requirements of the Financial Reporting Council's (FRC) Ethical Standards. To this end we considered our independence and objectivity in respect of the audit for the period under review before commencing planning our audit and communicated with you on these matters in our pre-audit letter dated 5 September 2016.

No other matters have come to our attention during the audit which we are required to communicate to you and the safeguards adopted were as described in our pre-audit letter.

Qualitative aspects of accounting practices, accounting policies and financial reporting

Based on our audit work performed, we believe that the Strategic Report, Trustee's Report and financial statements for the period under review comply with United Kingdom Accounting Standards and the Companies Act 2006.

During the course of our audit of the financial statements for the period under review we did not identify any inappropriate accounting policies or practices.

Matters specifically required by other Auditing Standards to be communicated to those charged with governance

Other than as already explained in our Engagement Letter, Pre-Audit Letter and this Post-Audit Management Report, there are no other specific matters to communicate as a result of our audit of the financial statements under review.

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South Bank Academies

	CONFIDENTIAL
Paper title:	External audit Letter of Representation
Board/Committee:	South Bank Academies Board Meeting
Date of meeting:	8 December 2016
Sponsor:	CEO
Author:	Dan Smith
Purpose:	For approval
Recommendation:	For approval following recommendation by South Bank Academies Audit committee.

Executive Summary

The letter of representation requires the South Bank Academies Board to give specific assurances to the auditors over matters regarding the financial statements and the year- end audit. It should be signed by the Chair at the time of signing the accounts. The attached letter contains standard representations only; there are no items that have been inserted specific to LSBU.

Attachments

- Letter of representation

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LETTER OF REPRESENTATION

South Bank Academies

103 Borough Road
London
SE1 0AA

Kingston Smith LLP
Chartered Accountants
Devonshire House
60 Goswell Road
London
EC1M 7AD

Dear Sirs,

We confirm to the best of our knowledge and belief the following representations given to you in connection with your audit of the charitable company's financial statements for the year ended 31 August 2016. We confirm that they are made on the basis of enquiries of management and staff with relevant knowledge and experience (and, where appropriate, of inspection of supporting documentation) sufficient to satisfy ourselves that we can properly make each of the following representations to you.

General

- 1) We acknowledge our responsibility for keeping adequate accounting records which disclose with reasonable accuracy at any time the financial position of the charitable company and enable us to ensure that the financial statements comply with the Companies Act 2006 and the Charities Act 2011.
- 2) We acknowledge our responsibility for preparing financial statements in accordance with the Companies Act 2006, the Financial Reporting Standard Applicable in the UK and Republic of Ireland (FRS 102), the Charities SORP (FRS 102), the Academies Accounts Direction 2015 to 2016 issued by the EFA, the Charities Act 2011 and are satisfied that the financial statements give a true and fair view.
- 3) We acknowledge and agree it is our responsibility to design and implement internal control systems to prevent and detect fraud and error in safeguarding the assets of the charitable company.
- 4) We confirm that the accounting policies selected are suitable to the charitable company's circumstances and that they have been applied consistently; that any judgements and estimates made are reasonable and prudent; and that it is appropriate to prepare the financial statements on a going concern basis.

Information Provided

- 5) We have provided you with:
 - a) access to all information which we are aware is relevant to the preparation of the financial statements such as records, documentation and other matters; and

- b) additional information that you have requested from us for the purpose of the audit; and
 - c) unrestricted access to persons within the entity from whom you determined it necessary to obtain audit evidence.
- 6) All transactions have been recorded in the accounting records and are reflected in the financial statements.
- 7) We have disclosed to you the identity of all of both entity's related parties, related party relationships and transactions of which we are aware.

Assets and Liabilities

- 8) All known assets and liabilities as at the balance sheet date have been included in the financial statements to include Schedule 21 expenditure against the Capital Grant income.
- 9) We confirm the charitable companies have satisfactory title to all assets and there are no liens or encumbrances on the charitable company's assets.
- 10) We confirm that the financial statements disclose appropriately all liabilities, actual and contingent and have disclosed all guarantees given to third parties.
- 11) We confirm the figure accrued in the South Bank Academies Trust accounts of £34,415 for further light and heat costs from Southwark Council to be a reasonable estimate.
- 12) We confirm the figure accrued in the South Bank Academies Trust accounts of £44,000 for IT Services from RM to be a reasonable estimate.

Transactions Involving Trustees/Directors and Connected Persons

- 13) We confirm that there are no transactions with, or on behalf of, the trustees/directors or their associates, or contracts in which the trustees/directors or their associates have an interest which are required to be disclosed in the financial statements under the provisions of the Companies Act 2006 other than those detailed in the notes to the financial statements.

Fraud

- 14) 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.
- 15) We have disclosed to you all information in relation to fraud or suspected fraud that affects the entity and involves management, employees who have significant roles in internal control and others, where the fraud could have a material effect on the financial statements.
- 16) 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.

Contingent Liabilities

- 17) Provision has been made where a material loss is expected to result from any litigation or claim against the charitable companies. Other contingent liabilities at the balance sheet date, none of

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South Bank Academies

	CONFIDENTIAL
Paper title:	Report from Local Governing Body
Board/Committee	South Bank Academies Board Meeting
Date of meeting:	8 December 2016
Author:	Pervena Singh, Clerk
Purpose:	To update the South Bank Academies Board of Directors on the schools local governing body discussions.
Recommendation:	To note

Executive Summary

A summary of the discussions at each local governing body is provided for information. Papers for these meetings were circulated to directors. Minutes will be circulated to directors when available. The South Bank Academies Board of Directors is requested to note the reports.

Summary of local governing committee discussions

University Academy of Engineering Local Governing Body - 23 November 2016

Ahead of the LGB meeting the governors and head of departments had an informal meeting without the Principal present. The meeting allowed for governors to understand the developments in each department area, the challenges they face and the student progression and achievements.

The LGB discussed

Principal's Report

- The Principal provided a report on the performance of student outcomes and staff performance and shared an overview of preparation at the school ahead of the imminent OfSTED inspection.

UAE External Review

- The LGB discussed in detail the findings following the mock OfSTED external review. The emphasis on the review was on teaching and learning which included various lesson visits. The findings are highlighted in the CEO's report, with the report attached as an appendix.

Development plan & Self Evaluation form

- The LGB discussed in length the development plan and self-evaluation form and noted that it will be regularly reviewed at the meetings. The school development plan is included in the Board meeting papers.

Behaviour for learning

- The LGB noted that Assistance Vice Principal has been working alongside the senior leadership team to improve behaviour within the school.

Teaching Enhancement & Effectiveness Programme (TEEP) update

- The LGB discussed the launch of the TEEP Programme which would develop consistency of teaching across the academy.

The LGB noted the following items

- Report on discussions at the Learning and Teaching Committee and the Finance and General Purposes committee meetings
- October 2016 Financial Management Report - the LGB noted the management reports following recommendation from the Finance and General Purposes committee review.
- The governors' visit forms

South Bank Engineering UTC Local Governing Body – 30 November 2016

Ahead of the LGB meeting the governors and head of departments had an informal meeting without the Principal present. The meeting allowed for governors to understand the developments in each department area, the challenges they face and the student progression and achievements.

The LGB discussed:

Principal's Report

- The Principal provided a report covering the quality of teaching, learning and assessment, personal development, behaviour and welfare, outcomes for children and learners, effectiveness of leadership and management and marketing and recruitment.

Development Plan

- The LGB discussed in length the development plan and noted that it will be regularly reviewed at the meetings. The plan is included in the Board meeting papers.

Construction Progress

- The Principal and CEO provided a verbal update on the progress of the school building, further information will be provided in CEO's report.

Department for Education Inspection Report (Oct 2016)

- The LGB discussed the findings following the Department of Education visit on 19th October 2016. A summary is provided within the CEO's report with the report attached as an appendix.

The LGB noted the following items

- Report on discussions at the Learning and Teaching Committee and the Finance and General Purposes committee meetings
- October 2016 Financial Management Report – the LGB noted the management reports following recommendation from the Finance and General Purposes committee review.
- The governors' visit forms

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South Bank Academies

	CONFIDENTIAL
Paper title:	Board and Local Governing Body Membership
Board/Committee:	South Bank Academies Board Meeting
Date of meeting:	8 December 2016
Author:	Michael Broadway, Company Secretary
Purpose:	Approve
Recommendation:	The Board is requested to note the composition of the Board and the LGB's and to approve the appointments of governors

Composition of the Board of Directors

The Board previously agreed to the composition of the Board as follows:

- 5 directors appointed by the sponsor, LSBU
- The CEO
- The Chairs of the local governing bodies
- No parent trustees (as they will be represented on the local governing body)
- 4 co-opted trustees

The current members of the Board of Directors are:

Director	Role	Method of appointment
Dave Phoenix (Chair of the Board)	Vice Chancellor, LSBU	By the sponsor
Richard Flatman	Chief Financial Officer, LSBU	By the sponsor
James Stevenson	University Secretary, LSBU	By the sponsor
Steve McGuire	Director, Essentia	By the sponsor
Rao Bhamidimarri	Vice President (Development), LSBU and CEO of the company	CEO (appointed by the members of the company on incorporation)
Douglas Denham- St-Pinnock	Independent Governor, LSBU	By the sponsor
Tony Giddings	Partner, Argent	Co-opted by the Board
Adam Crossley	Director of Environment, Skanska	Co-opted by the Board
Richard Parrish	Head Teacher, Archbishop Tenison's High School, Croydon	Co-opted by the Board
Vacancy		Co-opted by the Board

South Bank Academies

At the meeting of 14th September 2016, the Board noted a proposal that there should be two directors on each LGB. In order to effect this it is recommended that Lesley Morrison a member of the UAE LGB is to be appointed as local governor (further detail outlined below) and a director with immediate effect.

Lesley Morrison Bio

Lesley Morrison is a former Head Teacher of St Martin-in-the-Field High school for girls and previously Tulse Hill School. Lesley transformed both schools from failed to Outstanding and was recognised with a CBE in 2010.

Composition of Local Governing Body

Composition of the local governing body for the UTC and the UAE as set out in the Scheme of Delegation.

South Bank Engineering UTC

The LGB for the UTC comprises a maximum of twelve members who are known as **Local Governors** and will include:

- up to 5 members appointed by the University Sponsor;
- 2 members appointed by the Employer Sponsors;
- the Principal of the UTC;
- 2 elected parents or guardians of a pupil at the UTC; and
- up to 2 such other members as may be appointed by the Trustees from time to time;

provided that at all times, more than one half of the total members of the LGB shall be appointed by the University Sponsor and the Employer Sponsors in accordance.

Governor	Role	Method of appointment
Rao Bhamidimarri	Chair of the LGB Vice President (Development), LSBU and CEO of the company	By the University sponsor
Tony Roberts	LSBU Head of Technical Support Services	By the University sponsor
Lynn Grimes	LSBU Director of Marketing, Recruitment and Admissions	By the University sponsor
Ruth Smith	Lambeth Council	By the University sponsor
Ian Brixey	Skanska	By an Employer sponsor
Joanne Young	King's College Hospital Foundation Trust	By the University sponsor
Karen Adewoyin	Essentia	By an Employer sponsor
Natalie Ferer	LSBU Financial Controller	By the University sponsor
Dan Cundy	Principal of the UTC	Principal

South Bank Academies

The Board is requested to:

- note that there are two vacancies for parent governors. The procedure for electing parent governors is set out in the Scheme of Delegation outlined below:

University Academy of Engineering South Bank

The LGB for the UAE comprises a maximum of twelve **Local Governors** and will include:

- the Principal of the Academy;
- 2 elected parents or guardians of a pupil at the UTC;
- up to 2 employees of the Academy; and
- up to 7 such other members as may be appointed by the Trustees from time to time.

Governor	Role	Method of appointment
Rao Bhamidimarri	Chair of the LGB Vice President (Development), LSBU and CEO of the company	By the trustees
Gary Nelson	Principal	As Principal
Karen Fowler	Head teacher, Michael Faraday Primary School	By the trustees
Natalie Ferer	LSBU Financial Controller	By the trustees
Michael Broadway	LSBU Governance Manager	By the trustees
Tony Roberts	LSBU Head of Technical Support Services	By the trustees
Stephen French	Parent governor	Parent governor
Vacancy		Parent governor
Vacancy		appointed by the Board of Trustees
Vacancy		appointed by the Board of Trustees

The Chair of the LGB recommends that the Board approves:

- the appointment of Lesley Morrison as local governor with immediate effect, as a member of the LGB
- approves the appointment of Farah Nur as a member of the LGB. Mr Nur has previously served as a parent governor.
- Confirms how many staff governors should be appointed to the UAE LGB

South Bank Academies

Process for appointing Staff and Parent Governors (under the Scheme of Delegation)

Staff Local Governors

Teaching members of the LGB for the Academy shall be elected by the teaching staff at the Academy.

Non-teaching staff members of the LGB for the Academy shall be elected by the non-teaching members of staff of the Academy.

The role of the Staff Local Governors includes reflecting the interests and opinions of staff at the Academy to the LGB.

Parent Local Governors

Parent Local Governors for each LGB shall be elected in accordance with the process set out below:

- When a vacancy arises, the LGB will write to all parents, or individuals exercising parental responsibility, of pupils at the UTC or the Academy seeking nominees for the vacancy. Nominees will be asked to provide a short statement about why they are interested in being a Parent Local Governor and their background and experience that makes them suitable for the role.
- In the event that the number of nominees equals or is less than the number of vacancies on the LGB, the LGB can choose to appoint all (or any) of those nominated).
- If there are more nominees than places available, the LGB will write to all parents, or individuals exercising parental responsibility, of pupils at the UTC or the Academy asking them to vote for their preferred candidate.

A Parent Local Governor should be a parent, or individual exercising parental responsibility, of a registered pupil at the UTC or the Academy or where this is not reasonably practical, a person who is the parent of a child of compulsory school age.

The role of the Parent Local Governor includes reflecting the interests and opinions of the parent body of the UTC or the Academy to the LGB.

South Bank Academies

	CONFIDENTIAL
Paper title:	Policies
Board/Committee:	South Bank Academies Board Meeting
Date of meeting:	8 December 2016
Sponsor:	CEO
Author:	Dan Smith, Rao Bhamidimarri
Purpose:	To note and approve
Recommendation:	To note the changes on the Financial Control policy To approve the Reserves and Investment Policy

Financial Control policy* *this policy will follow*

The purpose of this report is to provide information allowing the South Bank Academies Board to review the revised version of the Financial Control policy, including the external auditors' comments.

Reserves and Investment Policy

To approve the proposed Reserves and Investment Policy, the policy details the level of reserves needed for an investment decision to be made, the need to review cash flow on a short and medium term basis and the risk levels associated with any investment. Any investment must be approved by the board and the policy should be reviewed annually to take into consideration of the growth of the Trust and the changes in investment opportunity such as rising/falling interest rates. The policies wording is linked to the declaration in the annual accounts regarding the treatment of reserves and investment.

South Bank Academies

Reserves Policy

The South Bank Academies review the reserve levels annually. This review encompasses the nature of income and expenditure streams, the need to match income with commitments and the nature of reserves (restricted and unrestricted).

The Board has determined that the appropriate level of non-fixed asset reserves should be equivalent to 2 months' recurrent income. This is to provide sufficient working capital to cover delays between spending and receipt of grants and to provide a cushion to deal with unexpected emergencies such as the renewal and replacement of major capital projects.

The Board intends to continue building up free reserves to ensure capital funds are available. When reserves in the bank regularly exceed two months' income and cash flow allows then the investment strategy below should be implemented.

Investment Policy

The South Bank Academies are firmly committed to ensuring that all funds are administered in such a way to maximise return while minimising risk. The directors do not consider the investment of surplus funds as a primary activity but rather a requirement for the effective management of various funds.

The process for any investment is as follows:

1. Reserves reach the agreed level within the Reserves Policy (currently equivalent of two months recurrent income)
2. Review cash flow and current account balances to ensure immediate financial commitments can be met.
3. Identify funds surplus to immediate cash requirements and review options for high interest deposit accounts using only banks selected from the FSA approved list included in the Financial Services Compensation Scheme (FSCS)
4. Approval for Investment to be given by the Board on receipt of report from accounting officer (CEO) detailing reserves, cash flow needs and investment options.

The Academy's current policy is to only invest funds in risk free and short-term (1 to 12 months) accessible deposit accounts.

South Bank Academies

	CONFIDENTIAL
Paper title:	Directors' declarations of interest
Board/Committee	South Bank Academies Board Meeting
Date of meeting:	8 December 2016
Author:	Pervena Singh, Clerk
Purpose:	Approve
Recommendation:	To authorise declared interests.

Declarations of Interest – Board of Directors

Under the Companies Act 2006, the Board is required to authorise potential situational conflicts for directors. The following declarations of interest have been made to the Company Secretary.

Richard Parrish

a, Head teacher, Archbishop Tenison's CE High School

b, Shareholder, Wightman & Parrish Limited

The meeting is requested to authorise these declarations.

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