

Meeting of the South Bank Academies Board

4.00 - 6.00 pm on Thursday, 22 March 2018
in University Academy of Engineering - Trafalgar Street, London SE17 2TP

* **Directors' Safeguarding training, 3.00 – 4.00pm**

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 conflict of interest in any item of business.</i>		DP
3.	Minutes of last meeting <ul style="list-style-type: none"> • 12 January 2018 - Joint Audit Committee and Board meeting • 16 January 2018 – Board sub-committee for signing accounts 	3 - 8	DP
4.	Matters arising <ul style="list-style-type: none"> • 12 January 2018 • 16 January 2018 	9 - 12	DP
5.	Chair's business <ul style="list-style-type: none"> • Appointment of Nicole Louis as a director • CEO succession planning 	Verbal Report	DP
Items to discuss			
6.	CEO's Report <ul style="list-style-type: none"> • Preparation for national examinations 	13 - 14	RB
7.	Safeguarding report	15 - 28	RB
8.	KPI report	29 - 34	RB
9.	Audit Committee minutes	35 - 40	NF
10.	Management accounts	41 - 46	NF
11.	UTC update <ul style="list-style-type: none"> • Transitional funding conditions and management responses • Lease arrangements (paper to follow) 	47 - 52	RB
12.	Governance review (internal)	53 - 60	MB

<i>No.</i>	<i>Item</i>	<i>Pages</i>	<i>Presenter</i>
13.	DfE governance effectiveness review scope	61 - 62	MB
	Items to note		
14.	Local Governing Body reports	63 - 66	MB
15.	Any other business		DP

**Date of next meeting
4.00 pm on Thursday, 19 July 2018**

Members: David Phoenix (Chair), Rao Bhamidimarri, Adam Crossley, Douglas Denham St Pinnock, Richard Flatman, Tony Giddings, Nicole Louis, Lesley Morrison, Richard Parrish and James Stevenson

In attendance: Michael Broadway, Natalie Ferer and Joe Kelly



**Minutes of the joint meeting of the South Bank Academies Audit Committee
and Board of Directors
held at 10.00 am on Friday, 12 January 2018
1B16 - Technopark, SE1 6LN**

Present

Richard Flatman (Chair)
Douglas Denham St Pinnock
Tony Giddings
David Phoenix
James Stevenson
Rao Bhamidimarri

Apologies

Adam Crossley
Richard Parrish
Lesley Morrison

In attendance

Claire Viner
Michael Okelola (external accountant)
Michael Broadway
Joe Kelly
Anjali Kothari

1. Welcome and apologies

The Chair welcomed members to the meeting. The above apologies were noted.

2. Declarations of interest

No director declared a conflict of interest in any item on the agenda.

3. Minutes of previous meeting

The minutes of the following meetings were approved:

- Board meeting, 7 December 2017
- Joint Audit Committee and Board meeting, 20 December 2017

4. Matters arising

Joint Audit Committee and Board meeting, 20 December 2017:

- Academies Accounts Return (AAR): the meeting noted that the AAR data would be reviewed by LSBU's Planning, Performance and Assurance team on Monday 15 January 2018. It would then be reviewed by the auditors and submitted to the ESFA by the deadline, 19 January 2018.
- Internal audit: the meeting noted that a meeting with PwC, LSBU's internal auditors, has been arranged for 17 January 2018 to discuss a group wide internal audit function for South Bank Academies.
- The external auditor confirmed that the Letter of Representation would be circulated by the end of the day.

5. **External audit findings**

The meeting discussed the draft external audit findings report.

The meeting noted the auditor's confirmation that the accounts would be unqualified, with irregularities noted, and the auditor's view that management responses were accurate and appropriate.

The meeting noted that the number of operational failures, highlighted in the report, was unacceptable and required immediate attention. The meeting requested the Audit Committee to monitor the identified risks and ensure timely resolution, to review governance and management structures and the roles and responsibilities of the management team.

The meeting noted that the value of the 125 year lease for land and buildings on the site of the University Academy of Engineering must be recorded on the balance sheet with appropriate depreciation. The auditor confirmed that the insurance valuation of £23M was adequate. For future years the meeting agreed that the ESFA valuation would be used. The auditor informed the meeting that the ESFA has its own valuation system and that the figure could be reviewed once the ESFA had conducted its valuation. The meeting instructed the CEO to arrange the ESFA valuation. The meeting requested that a note be included in the accounts to this effect.

The meeting noted the timeline of interaction between the auditor and the management team.

The final audit findings report would be circulated to the directors prior to filing with the ESFA.

6. **Going concern statement**

The meeting discussed the Going Concern statement and noted that the figures needed updating to reflect changes to the accounts. The meeting approved the Going Concern statement pending amendments in line with the accounts and was satisfied that the accounts should be prepared on a going concern basis.

7. **System of internal control report**

The meeting discussed the system of internal control report.

The meeting noted that the Audit Committee had already begun to review arrangements for internal controls including internal audit arrangements (meeting with PwC, 17 January 2018). The Board would also review governance and management structures, and the roles and responsibilities of the management team.

8. **External audit letter of representation**

The meeting noted that the Letter of Representation was not yet available. The meeting requested that the Letter of Representation be circulated to members by the end of the day.

Directors requested that before approval of the letter, the CEO confirm that all material matters had been disclosed to the auditors and that the representations were true, accurate and reasonable.

The Board delegated approval of the Letter of Representation to the Chair of the Board, Chair of the Audit Committee, and the CEO.

The final Letter of Representation would be circulated to all directors for comment prior to approval.

9. **South Bank Academies Annual Report and Accounts**

The meeting discussed the Annual Report and Accounts.

The meeting noted the surplus was now £496k after appropriate treatment for income, and clawback by ESFA relating to the previous year's student recruitment. Ongoing work to reconcile the remaining non-material differences do not prevent the Board from approving and signing the accounts.

The meeting noted the wording of the auditor's Regularity Statement and that the auditor had raised matters in the report by exception. The meeting agreed that SBA's statement on regularity should be consistent with the auditor's. The auditor confirmed that the nature of a limited assurance engagement prevents them from expressing a positive opinion.

The Board approved the accounts subject to finalisation of figures relating to the land and buildings lease. The Board agreed that the final version of the accounts could be approved and signed by a sub-committee consisting of the Chair of the Board, the Chair of the Audit Committee, and the Chief Executive. The final accounts, along with a tracked changes version, would be circulated to the full Board.

The Board instructed the CEO to upload the signed accounts to the ESFA website by 19 January 2018.

The Academies Accounts Return (AAR) would be finalised by SBA management, LSBU's Planning, Performance and Review Team, and the auditors, and would be uploaded to the ESFA website by the deadline, 19 January 2018.

10. **Finance System action plan**

The meeting discussed the Finance System action plan.

The meeting noted that the Audit Committee would monitor actions on the identified risks, appoint an internal auditor, and that the Board would review management roles and responsibilities. The meeting noted the need to bring the current year's records up to date, as soon as possible. The Board requested an update on progress in February 2018.

11. **Financial controls policy**

The meeting noted the current Financial Controls policy and update on the cleaning and catering contracts.

The meeting agreed that a new policy was required, as soon as possible, to address the concerns of the Board and Audit Committee, and to bring the current financial year up-to-date.

The meeting noted that LSBU plans for a new group structure would enable support for, and oversight of new financial controls from within LSBU.

The meeting requested that the delegated levels of authority for financial transactions be reviewed and brought to the meeting of the Audit Committee in March 2018.

12. **Any other business**

There was no other business.

**Date of next meeting
4.00 pm, on Thursday, 22 March 2018**

Confirmed as a true record

..... (Chair)

Written resolution of the **South Bank Academies Board**
passed on Tuesday, 16 January 2018

1. **Letter of Representation**

The committee reviewed the Letter of Representation which had been circulated to all directors on 16 January 2018. The Chief Executive confirmed that all material matters have been disclosed to the auditors and that the representations in the letter are accurate and reasonable and that the letter is appropriate for the directors to sign.

Under the authority delegated by the Board (minute 8 of the joint Audit Committee and Board meeting of 12 January 2018 refers), the committee approved the Letter of Representation on behalf of the Board.

2. **Annual Reports and Accounts**

The committee noted the revised version of the accounts which had been circulated to all directors on 16 January 2018.

The committee noted that the material change to the accounts reviewed at the joint Audit Committee and Board meeting of 12 January 2018 is the inclusion of the valuation of leasehold land and buildings as discussed at the meeting. The valuation of £23m is an insurance valuation and will be reviewed during the year. The associated in-year depreciation is £184k. There has also been a subsequent restating of the 2016 position.

The committee noted that the accounts are unqualified.

Under the authority delegated by the Board (minute 9 of the joint meeting of the Audit Committee and Board refers), the committee approved the Annual Report and Accounts on behalf of the Board.

Circulated to:

David Phoenix
Rao Bhamidimarri
Richard Flatman

Signed on behalf of the South Bank Academies Board

..... (Chair)

**SOUTH BANK ACADEMIES BOARD OF DIRECTORS - FRIDAY, 12 JANUARY 2018
ACTION SHEET**

Agenda No	Agenda/Decision Item	Action	Officer	Action Status
8.	External audit letter of representation	Confirm that all material matters had been disclosed to the auditors and that the representations were true, accurate and reasonable	Rao Bhamidimarri	Completed
		Letter of Representation be circulated to members by the end of the day	Rao Bhamidimarri	Completed
		Final Letter of Representation would be circulated to all directors for comment prior to approval	Rao Bhamidimarri	Completed
		Approval of Letter of Representation	David Phoenix, Rao Bhamidimarri, Richard Flatman	Completed
9.	South Bank Academies Annual Report and Accounts	Final accounts, along with a tracked changes version, would be circulated to the full Board	Rao Bhamidimarri	Completed
		To upload the signed accounts to the ESFA website by 19 January 2018	Rao Bhamidimarri	Completed
		Academies Accounts Return (AAR) to be uploaded to the ESFA website by the deadline, 19 January 2018	Rao Bhamidimarri	Completed

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SOUTH BANK ACADEMIES AUDIT COMMITTEE - FRIDAY, 12 JANUARY 2018 ACTION SHEET

Agenda No	Agenda/Decision Item	Action	Officer	Action Status
5.	External audit findings	<p>Arrange ESFA land valuation</p> <p>Final audit findings report would be circulated to the directors prior to filing with the ESFA</p>	<p>Rao Bhamidimarri</p> <p>Rao Bhamidimarri</p>	<p>Discussed at 7 March 2018 audit committee meeting</p> <p>Completed</p>
7.	System of internal control report	<p>Meeting with PwC re internal audit (17 January 2018)</p> <p>Review (i) governance & management structures and (ii) roles / responsibilities of management team</p>	<p>Richard Flatman</p> <p>David Phoenix, Michael Broadway, James Stevenson</p>	<p>Completed</p> <p>Part (i) on agenda</p>
10.	Finance System action plan	Finance system action plan update	Claire Viner, Natalie Ferer	Discussed at 7 March 2018 audit committee meeting
11.	Financial controls policy	<p>New financial controls policy</p> <p>Delegated levels of authority for financial transactions be reviewed and brought to the meeting of the Audit Committee in March 2018</p>	<p>Natalie Ferer</p> <p>Claire Viner, Natalie Ferer</p>	Discussed at 7 March 2018 audit committee meeting

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	CONFIDENTIAL
Paper title:	Chief Executive's Report
Board/Committee:	South Bank Academies Board
Date of meeting:	22 March 2018
Author:	Rao Bhamidimarri
Purpose:	To note

The Trust

Phase 1 of the UTC building is now fully equipped with all the engineering equipment for Phase 1 having been installed and commissioned. Work on Phase 2 is progressing according to schedule and will be ready for occupation in October 2018.

Following the submission of the Academies Annual Accounts on 17th January 2018, extensive work has been undertaken by an interim accountant with support from the University's Financial Controller. The Trust Business Manager resigned from the Trust and has now left her post. We are in the process of recruiting a new Business Manager.

We are undertaking several technical updates for IT and making improvements to student s facilities at our Academy, as the Academy prepares to receive full complement of 900 students in September 2018.

A steering group convened by the University's Chief Marketing Officer, has been further developing collaboration between LSBU and MAT schools.

As the students from both schools will be sitting national examinations this year, we have engaged external tutoring support to prepare the students for the examinations keeping in view the fact that several of our teachers have not had experience in preparing students for examinations.

Academy

All learning areas have been reviewed and action plans to achieve further improvements developed. An initiative to enhance student engagement with their learning has been implemented with positive results. Mock examinations based on the final GCSE examinations showed that the Year 10 students are slightly below where we expected them to be, but given the range of interventions recently put in place, including external tutoring, we are confident that the students will achieve or exceed their targets grades in 2019 GCSE examinations. The number of subjects studied by each student has been reduced from 10 or 11 to 8 or 9 to ensure that they receive appropriate level of lesson time in each subject. We are making further improvements to the learning environment by procuring additional science and engineering equipment to support the project based learning. We are also replacing the somewhat outdated ICT infrastructure with one that aligns with the system at the UTC. This will enable students at the UTC and the Academy to collaborate remotely in

real time. The system will also enable staff at one location to teach students at both venues at the same time.

Of the 23 students in Year 13, 20 applied for university places including 8 at LSBU. 19 of them received unconditional/conditional offers. Other students have applied for apprenticeships including one who applied for graduate training programme in Deloitte.

UTC

UTC, supported by termly visits by DfE advisor, is making steady progress in all areas of school's activities. A recent Safeguarding review by DfE Advisor identified weaknesses in a number of areas. We have taken actions to remedy these with support from the staff at the Academy, which has a more mature safeguarding system that had already been judged to be 'Good' by Ofsted. Additional training in safeguarding has been organised for both staff and Governors. Students are making good progress in Engineering, but progress in Maths and Computer Science is lagging. The school is taking steps to address this with additional learning support. Overall, quality of teaching, learning and assessment remains good as assessed by DfE reviews.

Recruitment of students continues to be a challenge for the UTC. Additional marketing and recruitment initiatives are being put in place this year to improve recruitment. Attracting experienced staffing to engineering also remains a challenge. The Trust is considering various options to ensure sustainability of the UTC. Industry involvement in the UTC continues to be strong.

UTC continues to attract high profile visitors including Lord Turnbull, Lord Baker, Rt Hon David Laws, delegations from South Korea and Spain.

While the UTC model continues to attract the interest of the industry and educators internationally, student recruitment remains a significant challenge and poor recruitment for 2018/19 school year could endanger the financial viability of the school.

	CONFIDENTIAL
Paper title:	Safeguarding report at MAT Schools
Board/Committee:	South Bank Academies Board
Date of meeting:	22 March 2018
Author:	Rao Bhamidimarri
Purpose:	To note
Recommendation:	The Board is requested to note the report.

Executive Summary

At its meeting of 7 December 2017, the Board asked that a report on the number of Safeguarding cases in the MAT Schools be reported to the Audit Committee and the Board. The attached report details the number of Safeguarding cases at each school.

There are four levels of safeguarding cases, levels 1 to 4. Level 1 incidents are the lowest category involving minor incidents such as name calling, while the Level 4 are serious incidents that range from carrying dangerous weapons, physical and sexual abuse to drugs and gangs related activities.

We are required to report to the Local Authority all Level 3 and Level 4 incidents.

The Department for Education conducted a review of Safeguarding at the UTC in January 2018. A copy of the report with management actions is attached. The report was discussed in detail at the Audit Committee meeting of 7 March 2018 (please see minute 9 of item 7 on today's agenda).

Lambeth Council conducted a Safeguarding Audit at UTC in February 2018. Its report is attached.

Safeguarding data in MAT Schools

Academy

Number and categories of Safeguarding cases you are currently dealing with
Currently 14 students at Level 1 (universal services or supported by the school), 10 students at Level 2 (recently referred to EarlyHelp at Local Authority or being monitored and supported closely by the school, 8 students at Level 3 (a Child In Need Plan) and 5 at Level 4 (Child Protection Plan).

Number of cases and categories referred to LA teams
10 referrals to MASH (Multi Agency Safeguarding Hub – most severe cases) and 15 to EarlyHelp services (least severe).

Number of students with Statements and Care Plans
2 'statements', 4 on EHCP. 1 more EHCP about to be agreed and four in the process of applying.

UTC

Number and categories of Safeguarding cases you are currently dealing with
*4 students at Level 1 (universal services or supported by the school)
0 students at Level 2 (recently referred to EarlyHelp (LA) or being monitored and supported closely by the school
0 students at Level 3 (Child In Need Plan)
2 at Level 4 (Child Protection Plan).*

Number of cases and categories referred to LA teams
0 referrals to MASH (Multi Agency Safeguarding Hub – most severe cases) and 0 to EarlyHelp services (least severe).

Number of students with Statements and Care Plans
4 on EHCP

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.

Academy name	South Bank UTC
Academy address	56 Brixton Hill, Brixton, London SW2 1QS
Sponsor/ MAT	South Bank Academies
Open date	1.9.2016
Date of visit	22.1.18
Adviser	Jayne Lowe
CoG & email	Rao Bhamidmarri
Principal & email	Dan Cundy

Purpose of visit		
See context.		
Key issues	Notes on actions	By whom/when
<p>Concerns, Referrals and Record Keeping</p> <p>Concerns and referrals are managed by the DSL and Pastoral Leads for KS4 and KS5. Records are kept in the secure notes area of SchoolBase and some students also have paper files. Paper files are used to keep minutes from case conferences, meetings and communications from social care.</p> <p>The record keeping system does not provide a cohesive overview of safeguarding concerns and actions the school have taken to keep children safe. The team are potentially looking to develop electronic records and have been speaking with CPOMS to develop a module that synchronises with SchoolBase.</p> <p>There is no overview of the vulnerable cohort as there is no register or list of vulnerable children. The DSL and Pastoral Leads were not aware of those children subject to Child Protection (CP) plans.</p> <p>The team have not made any multiagency referrals since the UTC opened.</p> <p>There are issues with file transfer; one of the cases reviewed during the visit who arrived subject to a CP plan did not have a safeguarding file when they joined the school.</p>		

Actions:

- Overhaul safeguarding records to ensure they are compliant and robust by;
 - Developing a vulnerable students register to ensure that all children who are at risk are known to and monitored by staff
 - Ensuring that all safeguarding concerns/information is recorded on SchoolBase
 - Analysing all of the concerns raised and ensure that appropriate actions and referrals have been made (in line with local procedures) to ensure students are safe (Immediately)
- Ensure that all staff understand what constitutes a concern and how to report concerns (Immediately)
- Ensure that leaders and delivery staff understand what needs to be recorded and moderate use of SchoolBase (Immediately)

Training and Induction

The DSL holds records of all safeguarding training undertaken by staff.

All staff have undertaken Level 1 safeguarding training that was delivered by Lambeth LA. Staff have also undertaken a series of online training modules including CSE, FGM, Prevent and FM. The DSL has scheduled a series of briefing sessions and access to a range of training modules for the current term; these include faith abuse, domestic abuse and substance misuse.

Staff have also received part 1 of Keeping Children Safe in Education (KCSIE 2016) and have signed to say they have read and understood it. The KCSIE Part 1 register is also held by the DSL.

Governors do not appear to have undertaken any safeguarding training.

Actions:

- Review the safeguarding training plan once the vulnerable student register is developed to ensure student cohort data and local context informs the training plan (Immediately)
- Brief staff on what constitutes a concern to strengthen

CP files kept in a separate drawer to other safeguarding files - done
 Register of all students to be prepared – done and emailed to JLO
 New version attached
 Secure notes on MIS to be reviewed – reports pulled off MIS by KBA.
 All reviewed and checked 29-1
 Log of concerns to be kept - ongoing
 Analysis of concerns to implemented – w/b 29--1

All staff attended Level 1 Safeguarding training on September 6th 2017. Issue guidelines on concerns to staff – KBA 29-1 can I see a copy of what went to staff?
 Set up a new safeguarding email – KBA 26-1 done with common reporting form. CPOMS to be introduced ASAP
 Guidelines on information to be recorded – done KBA 25-1 to be reviewed by SLT again and record sent

The whole local governing body received safeguarding training delivered by London Borough of Lambeth on 29 June 2016. Attendees included: Ian Brixey, Karen Adewoyin, Natalie Ferer, Richard Parrish, Tony Roberts, Ruth Smith and Joanne Young. A refresher training for all local governors has been booked for 7 March 2018. We will continue to offer refresher training to all local governors on safeguarding every two years.

Plan for 2018 to be reviewed – in process. More training perhaps on

KBA 25-1
KBA 25-1
KBA 25-1
KBA 25-1
KBA w/b 29-1

KBA 29-1
KBA asap

KBA 25-1

reporting (Immediately)

- Ensure governors undertake relevant safeguarding training including Prevent (Immediately)

Prevent

The DSL is also the Single Point of Contact (SPOC). He is aware of whom to contact with referrals and concerns. There is a Preventing Extremism Policy in place that was reviewed last academic year. No referrals have been made to Channel and no extremism/radicalisation concerns have been raised by staff. All staff have undertaken Prevent training. The team have not undertaken a Prevent risk assessment.

'Game On' have been with year 10, 11 and 12 on preventing extremism and the PSHE delivery team have also delivered interactive sessions with students.

Actions:

- Undertake a Prevent risk assessment and implement appropriate measures to reduce risks (February 2018)

SR and HR Files

The SCR is managed by the HR and Communications Manager. She has been involved in recruitment and the development of the SCR since the school opened.

She adopted an SCR template from Southwark. The SCR has several tabs for employees, contractors, governors, central staff, volunteers and leavers. Appropriate checks are undertaken for staff and others with the exception of Section 128 checks.

Contractors visiting the UTC are vetted by their employers; their DBS checks and identification are then validated by the UTC before they can gain access.

HR files are well ordered. In the four files audited all appropriate checks, ID, qualifications and references were evident. Some of the files also contain selection documents evidencing safer recruitment processes. Selection and recruitment paperwork is generally held in a central file that is separate to the HR files.

Actions:

mental health and domestic violence. Let's not say perhaps lets focus on data from children

Issue guidelines on concerns to staff – CPD Mon 29-1

Check governors training – DCU to check via Alex Enibe, Monthly meetings with safeguarding governor (RBH) and DCU. 05-17 for Prevent Training

Risk Assessment completed and sent

JCO to conduct S128 checks 26-1 confirm when this has been done

KBA 26-1

KBA 29-1

DCU 26-1

KBA

- Undertake Section 128 checks for all staff in leadership and management positions and for all governors (Immediately)

Children not in School

The Director of Engineering leads on attendance with assistance from Pastoral Leads for KS4 and KS5 and a team of coaches.

Last year attendance was around 95-96%, attendance for the autumn term 2017 was 88%.

Office staff manage first day calling procedures and daily register checks. Staff are alerted to complete and correct registers as required. First day calls and emails are sent on day one of absence. If the child is absent for a second day the case is escalated to Pastoral Leads.

Pastoral Leads pursue absence from day two and are able to authorise a series of warning letters when student's attendance falls to 96%, 94%, 92% and 90%. Pastoral Leads are also authorised to make referrals to Lambeth for those whose attendance falls below 90%. Whilst there is, a significant number of students who have attendance below 90% no referrals have been made. Student absence is not routinely tracked over time so the impact of interventions is not known.

Pastoral staff do not undertake home visits to check on welfare of students or to pursue absence.

Attendance and safeguarding procedures are not closely aligned. The team are not clear about LA CME or who to contact, nor are they clear about how to undertake reasonable enquiries to locate children who could be missing. More recently, attendance data has been shared with coaches and students on a weekly basis in order to enforce sanctions for lateness and to reiterate expectations to students.

Actions:

- Review escalation procedures to ensure that swift action is taken when attendance concerns arise and that parents and LA are engaged (Immediately)
- Review roles and responsibilities for attendance to ensure these are closely aligned to safeguarding responsibilities

Completed 31-1

All local governors are required to undertake an enhanced DBS check on appointment. The Secretary's team will immediately include s.128 checks at the same time as the enhanced DBS check of governors.

JCO

DCU and DBE: Attendance system to be implemented w/b 29-1 please can you send attendance policy/procedure so we know what the approach is and who is doing what
Attendance data to be cleansed and updated – FBR ongoing by 26-1

DCU/DBE
FBR
DCU/DBE

DCU/DBE

(Immediately)

- **Evaluate the impact of absence intervention on a regular cycle to inform future practice (February 2018)**

Risk Assessment and Educational Visits

The DSL is the Educational Visits Co-ordinator (EVC) and leads on risk assessment of the UTC site and equipment. Extensive on-site assessment of the site, workshops and laboratories was undertaken prior to opening to establish robust working practices to minimise risk. Staff have undertaken extensive accredited training to ensure they are certified to utilise all engineering equipment.

An on-site technician looks after ongoing maintenance to minimise risks as and when defects arise.

The educational visits policy outlines roles and responsibilities of leaders and governors and makes clear procedures for organising a trip.

Trip proposals are completed by the member of staff leading the trip and are then submitted to the EVC. The EVC then checks the proposal before authorising the trip. Two risk assessments for visit were reviewed, these included students details, transport arrangements, permission letters and risk assessment of all activities.

Looked After Children (LAC)

The DSL is the Designated Teacher for LAC and has undertaken online training around these responsibilities. There are currently no LAC at the UTC.

Actions:

- **Make contact with the Virtual Headteacher to establish a working relationship (February 2018)**
- **Ensure that staff are alert to private fostering arrangements and that these are reported to social care (Immediately)**

e-safety

The DSL leads on e-safety. Web filtering is deployed by external IT consultants. There is an onsite technician who responds to day-to-day maintenance. There is no monitoring of software or systems to oversee activity.

what does cleansed mean- what have you found? PM marks for personal study for KS5.

Ensure contact with parents and LA – DCU and DBE to roll out system – pastoral managers/attendance officer to administer. DCU and DBE organisational flow chart. –[Attendance Policy Updated to reflect this.](#)

Home visits for students missing in education what does this mean- what's the procedure? [Outlined in updated policy](#)
[Cross check risk register and attendance data DSL via pastoral managers.](#)

(Classroom management training for staff – CPD need)

½ termly analysis by group – FBR led by DCU; of PA students and impact – Pastoral managers led by DBE what interventions will be put into place? [This is now in place](#)

KBA attempted contact 25-1, to be repeated. [KBA in contact with Virtual School.](#)

KBA to audit student roll 26-1. KBA has drafted protocol on private fostering arrangements. To be added to policy 1-2.
Coaching staff and pastoral managers to be informed by KBA

DBE

KBA

KBA

by

Students use their devices in and around the UTC after issuing staff with their MAC address. All students sign up to an acceptable use policy during induction. All students and staff are assigned UTC email addresses that they use for all communications. All year groups have received input on online safety and sexting delivered by the in-house team or the police. Students spoke positively about input from UTC staff and the police.

Medical Needs and First Aid

The medical room is opposite the pastoral office. Pastoral Leads oversee medical needs and administer medication as needed.

Medical needs information is requested at the point of admission but updates do not appear to be requested. Medical information is held on the UTC MIS System.

Both emergency and non-emergency medications are stored securely in a locked cabinet within a locked room, keys to this room are held by Pastoral Leads. A list of students with medical needs is also stored in the secure drawer. In some cases, conditions and medications are identified on the list. Medications are stored in labelled zip-lock bags. There are medications for students who are not on the medical needs list and therefore not logged in the MIS System. Some zip-lock bags contain asthma plans or letters from clinicians but many do not. Some medications do not have boxes with prescription labels or dosage instructions. One bag contained a prescription from 2015 and another bag contained an Epi-pen that goes out of date next month. There are no routine checks of expiry dates.

Pastoral Leads generally issue medication; some details of administration are recorded in a book. The date, time, name of child, dosage and name of medication are recorded in the majority of cases but not all.

The DSL is the only trained first aider; several other staff are due to be trained in February.

Actions:

- Review all medical needs information held on school system with students and parents and then establish a regular cycle of review (Immediately)

KBA

- Work in partnership with the school nurse to develop care plans for those students who require them and establish a regular review cycle for plans (Immediately)
- Ensure that emergency medication is easily accessible and as close to students as it can be (Immediately)
- Audit all medications held onsite and organise for the collection, disposal and replenish of medications as appropriate (Immediately)
- Establish a regular audit routine for all medications held on site (Immediately)
- Refine systems for recording the administration of medications to ensure that records are accurate and that gaps for students taking daily medications can be identified easily (Immediately)
- Deliver training for staff on asthma and allergies/Epi-pen use to raise awareness of conditions and treatment of them (Immediately)

Designated Person(s)

The Vice Principal undertakes the DSL role. He is supported by Pastoral Leads for KS4 and KS5. The DSL has undertaken Level 3 training; Pastoral Leads are due to undertake Level 3 training in the summer.

The DSL and Pastoral Leads meet weekly to review safeguarding concerns and cases held on SchoolBase.

A new safeguarding governor has been involved in one short meeting with the DSL to find out about practice at the UTC.

Actions:

- Clarify roles of the pastoral leads and the DSL to ensure that;
 - All roles and responsibilities outlined in KCSIE 2016 pages 59-61 are understood and undertaken
 - The DSL and Pastoral Leads arrive at well-informed decisions about referrals and actions
 - The work of the DSL and Pastoral Leads are regularly audited and checked (Immediately)

Medical needs published in staff room to be checked from report (Schoolbase). **Communication to staff has occurred and staff room update posted 29-1.Update for Feb 2018 produced**

Termly review to be implemented through communication with families – annual plan. KBA w/b 29-1

Nurse to assist in preparing plans by when? – SWA and nurse, for students with medication. **Met with nurse on 8-2 to complete. All referrals made. Awaiting plans from nurse**

Plan review protocols to be established by KBA to be managed by pastoral managers.

Emergency Medications moved to school office – students and staff to be informed 26-1 by KBA

Audit completed 25-1 KBA. Medication list published, collection organised and communications home re packaging issued.

Collection organised. Have all of these actions happened?

All have been actioned

Termly audit to be implemented: KBA to manage.

New system for logging medication issue in place using proforma – in place 25-1 KBA can I see a copy? **Attached**

Nurse led Epi-pen and asthma training to staff with general first aid on 1st September INSET. Online training available to new staff. Two qualified first aiders.

Pastoral managers undertook Level 2/3 DSL training in Feb 2018. **Advanced Safeguarding Children, Designated Safeguarding Officer Provided by highspeedtraining**

KBA

SWA/KBA

KBA

KBA

KBA

KBA

KBA

KBA

DCU and KBA

KBA

Policies

The safeguarding policy was reviewed and ratified by governors last academic year. The policy on the website does not appear to be the most up to date version. There are several references to out of date guidance in the policy published online.

Policies for whistle blowing and complaints have been shared with staff and are held in a shared area electronically. Stages and points of contact are made clear in both documents. The DSL intends to update staff on policies that have been recently reviewed to prompt them to revisit these documents.

Actions:

- Review website to ensure that updated policies are published online (Immediately)
- Strengthen staff understanding of policies relating to safeguarding by signing or confirming that they have read updates and by undertaking checks of understanding through periodic questioning of staff (February 2018)

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Pastoral managers and SLT to re-read all of KCSIE (focus p59-61) – DCU and KBA yes 25-1 DBE, SWA 29-1 and add to job descriptions where appropriate-

**Link to previous actions on referrals – KBA completed 31-1
Risk register created and all students reviewed**

Item on SLT agenda and LM agenda for DCU and KBA; also in weekly safeguarding meetings.

Half termly report to be produced by DSL to be reviewed by governors

Governance standing item on safeguarding; regular intervention and scrutiny from safeguarding governor. DCU discussed and agreed with RBH 26-1. Monthly meeting between DCU and RBH

Policy to be uploaded onto website – DCU 25-1 done

Staff have been sent KCSIE part 1 and signed for this.

All staff have re-issued safeguarding policy 26-1 and signed as read 29-1.

CPD sessions and case study based work – on the CPD training plan KBA,

Session on County Lines took place on 29-1 led by Met Police

DCU and KBA

DCU and KBA

DCU

DCU

KBA

Discussions with;
DSL
Pastoral Leads
Director of Engineering/Attendance Lead
HR and Communications Manager
Students
Scrutiny of;
Policy documents
SCR and HR Files
Electronic and paper safeguarding records
Medications and medical records

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Safeguarding Audit – Lambeth Council

Conducted by SSJandhu from Lambeth Council on 8th February.

Area	Action	When/Whom
SCR Very comprehensive Questions around supply teachers and teaching assistants	<ul style="list-style-type: none"> • S128 column to add • 3 year check date to add • Applications forms to be signed not just electronic names. • Stickers on FBR and CBR folders needed 	JCO immediately
Governors	Have they signed a suitability clause	DCU to check
Training	EVC training to be organised DSL courses (refresher for KBA) SWA and DRU CSE training	LSCB to send through dates when published in April KBA to book courses.
Policies Lambeth Model Safeguarding policy Searching & Screening policy Jan 2018 update DfE Whistleblowing policy to include DfE guidance DfE guidance on pupils with medical needs	Model policy to be sent to school Review and update SS policy Update Whistleblowing policy KBA 8-2 Review medical needs guidance from DfE and update current policies	LSCB to send model policy KBA KBA
Online issues	Evidence of E–safety lessons, online-bullying and sexting. How knowledgeable are students.	KBA to evidence Feb week 4
Safeguarding for students	Collate evidence of lessons, student feedback and actions.	KBA – Feb week 4

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	CONFIDENTIAL
Paper title:	Key Performance Indicators report 2017/18 update
Board:	South Bank Academies Board meeting
Date of meeting:	22 March 2018
Author:	Rao Bhamidimarri
Purpose:	Review
Recommendation:	The Board is asked to review the report.

Executive Summary

The KPIs for the Trust and the schools reflect the Year-To-Date data. The Trust and the schools are on target to delivering the majority of KPIs. The surplus to date shows 16%. This is because expenditure on capital items is yet to be incurred. The staff cost at the UTC is higher than the target at this stage, but we will put in place corrective measures to align the expenditure on staff cost to align with the budget.

Key Performance Indicators - South Bank Academies (TRUST)

Risk Register Criteria	Ofsted Criteria (See key*)	Key Performance Indicator	Target		
			2017/18	Actual (YTD)	Executive Lead
Compliance	2	Number of Trust Meetings per Academic Year	3	3	Comp Secy
	2	Trust level statutory policies ratified	100%	100%	CEO
	2	Annual Audit authorised and returned to DFE on time	31st December	16 th January	CEO
	2	Returns to Companies House	100%	To be filed	Comp Secy
Finance	1	Surplus in Trust Annual Accounts and all Trust schools. % of Income.	3%	16%	CEO
	2	Trust Costs do not exceed a % of Trust's Schools Income.	5%	3.7%	CEO
	2	Income Growth (Annual Trust income)	£6.5m	£3m	CEO
Student Numbers	2	All schools must achieve their pupil number submissions to the DfE. % of submission.	90%	87%	CEO
Infrastructure	2	Financial reserves for capital projects	£100k	308	CEO
Reputation	1	Ofsted Inspection Outcomes (All schools)	'Good' or better	'Good'	CEO
Collaboration	4	Links with the London South Bank University and employer partners. All Post 16 students have mentoring/work experience/projects.	100%	100%	CEO
	4	Minimum number of masterclasses or workshops from sponsors	10	15	CEO
Safeguarding	4	Critical safeguarding incidents	0	1	CEO
	2	Staff and Governors Safeguarding training (including Prevent and e-Safety)	100%	100%	CEO
	4	Data Protection policies and procedures (firewall, filtering)	Up to date and functional	Up to date and functional	CEO

* OFSTED CRITERIA

Ofsted will make key judgements on the five areas shown below. It is therefore important to make sure that the KPI's given are linked to and can have a positive effect on both the Trust's strategic goals and also the Ofsted judgement criteria. The Ofsted key number is listed next to the relevant KPI.

Description	Key No
Overall effectiveness - the quality and standards of education	1
Effectiveness of leadership and management	2
Quality of teaching, learning and assessment	3
Personal development, behaviour and welfare	4
Outcomes for pupils	5

Key Performance Indicators - Academy

Outcome Criteria	Ofsted Criteria (See key*)	Key Performance Indicator	Targets		School Lead
			2017/18	Actual YTD	
Student Progress, Attainment and Success	1	Ofsted Inspection outcomes	Good or Better	Good	Principal
	5	Key Stage 4 attainment levels	P8 0.5	Not Available	Principal
	3	Teaching quality shown during internal observations	100% Good or Better 35% Outstanding	Not measured at the Academy	Principal
	5	Disadvantaged students, White British boys and Black Caribbean boys	Progress to be in line with all students		Principal
	5	More able students	P8 0.5	Not Applicable	Principal
	5	Key Stage 5 attainment levels - ABB	30%	Not Applicable	Principal

Safeguarding and student welfare	4	No of Student exclusions - Permanent and Temporary (annual)	Permanent 0% Temporary 3%	Permanent 0% Temporary 1.3%	Principal
	4	Whole school attendance record - Minimum % of attendance	96%	94%	Principal
	4	External Safeguarding Audit - No of Critical Incidents identified	0	0	Principal
	4	External H&S Audut - No of High Risks identified	0	0	Principal
	4	Student participation in Enrichment programmes including voluntary projects - % of students.	100%	100%	Principal

Collaborative Development	2	Parent Engagement.	Annual meetings with a minimum of 90% attendance.	All parents meetings over 70% attendance.	Principal
	2	Feedback from annual Parent and Student (KS4 and KS5) questionnaires - % of Satisfactory returns	90%	Not available	Principal
	2	Shared staff hours across Trust schools	36h	8h	Principal
	4	Post 16 students have mentoring/work placements	100%	80%	Principal
	4	All students to engage in Post 16, Further Education course of study or apprenticeships	100%	Not Applicable	Principal

Innovative learning Environment	2	Positive Employer/Industry feedback	90%	Not Applicable	Principal
	3	Number of computers/devices per student	1:1	1:0.7	Principal
	4	Sponsor-led student projects	5	3	Principal
	5	No. of students studying University modules	0	0-	Principal

Effective Resource Management	2	Maximum Staff Costs as a % of GAG income	77%	76%	Principal
	2	Enterprise Income - Self generated income as a % of Total Income	1.00%	Not Available	Principal
	1	Number of Local Governing Body Meetings per Academic Year	5	3	Principal

Key Performance Indicators - UTC

			Targets		
Outcome Criteria	Ofsted Criteria (See key*)	Key Performance Indicator	2016/17	2016/17 actual	School Lead
Student Progress, Attainment and Success	1	Ofsted Inspection outcomes	Good or Better	N/A	Principal
	5	Key Stage 4 attainment levels	P8 0.1	N/A	Principal
	3	Teaching quality shown during internal observations	100% Good or Better 35% Outstanding	84%	Principal
	5	Disadvantaged students, White British boys and Black Caribbean boys	Progress to be in line with all students	Difference in GCSE points: Dis ad +1.4; WBRI - 1.9; BCRB +3.1 rel to targets	Principal
	5	More able students	P8 0.1	N/A	Principal
	5	Key Stage 5 attainment levels - ABB	30%	N/A	Principal
	Safeguarding and student welfare	4	No of Student exclusions - Permanent and Temporary (annual)	Permanent 0% Temporary 3%	Permanent 0%; temporary 5%
4		Whole school attendance record - Minimum % of attendance required	96%	95%	Principal
4		External Safeguarding Audit - No of critical incidents identified	0	1	Principal
4		External H&S Audit - No of High Risks identified	0	0	Principal
4		Student participation in Enrichment programmes including voluntary projects- % of students.	100%	100.0%	Principal
Collaborative Development		2	Parent Engagement.	Termly meetings with a minimum of 90% attendance.	70%
	2	Feedback from annual Parent and Student (KS4 and KS5) questionnaires - % of Satisfactory returns	90%	N/A	Principal
	2	Shared staff hours across Trust schools	36hrs	8h	Principal
	4	Post 16 students have mentoring/work experience placement	100%	100% access to employer projects	Principal
	4	All students to engage in Post 16, Further Education course of study or apprenticeship - Minimum number of engagements	100%	N/A	Principal
	Innovative learning Environment	2	Positive Employer/Industry feedback	90%	N/A
3		Number of computers/devices per student	1:1	1 to 1	Principal
4		Sponsor-led student projects	5	6	Principal

	5	No. of students studying University modules	0	0	Principal
Effective Resource Management	2	Maximum Staff Costs as a % of GAG income	77%	85.0%	Principal
	2	Enterprise Income - Self generated income as a % of Total Income	1%	0.0%	Principal
	1	Number of Local Governing Body meetings	5	3	Principal

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	CONFIDENTIAL
Paper title:	SBA Audit Committee minutes
Board/Committee:	South Bank Academies Board
Date of meeting:	22 March 2018
Author:	Michael Broadway
Purpose:	To note
Recommendation:	The committee is asked to note the minutes

Executive Summary

The minutes of the South Bank Academy Audit Committee meeting, 6 March 2018, are attached to provide an update to directors on the ongoing work to bring financial records and accounts up to date.

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**Minutes of the meeting of the South Bank Academies Audit Committee
held at 4.00 pm on Tuesday, 6 March 2018
1B16 - Technopark, SE1 6LN**

Present

Richard Flatman (Chair)
Adam Crossley
Tony Giddings

Apologies

In attendance

Rao Bhamidimarri
Michael Broadway
Joe Kelly
Natalie Ferer

1. Welcome and apologies

The Chair welcomed members and the LSBU Financial Controller to the meeting.

The committee noted that the Business Manager left the company on Friday 2 March 2018. Recruitment for a new Business Manager has begun. The LSBU Financial Controller and finance team now have greater involvement and oversight of the company's finance.

2. Declarations of interest

No member declared a conflict of interest in any item on the agenda.

3. Minutes of previous meeting

The committee approved the minutes of the meetings held on:

- 6 July 2017
- 12 January 2018

4. Matters arising

The committee noted the actions of the meeting held on 6 July 2017.

The committee noted the actions of the meeting held on 12 January 2018. Item 5: the committee requested that the ESFA land valuation is scheduled as early as possible so that a valuation is available for the year end accounts process in November 2018.

5. **External audit report - actions update**

The committee discussed the external audit actions update.

The CEO reported a meeting with the Chair of the Board and the Regional Schools Commissioner, with representatives attending from ESFA and DfE. The DfE has commissioned a governance review of the MAT and the UTC.

The committee confirmed that as the ongoing adjustments to financial records were not material, the company accounts approved and signed in January 2018, would not be revised and would be filed at Companies House in due course.

The LSBU Financial Controller confirmed that accurate management accounts should be available for the Board on 22 March 2018.

The CEO reported that a fixed assets register was being created for the UTC and that the Academy fixed assets register was currently being completed.

The CEO reported that finance training was now in place for school administrators. This had proved successful at the UTC but additional support was required at the Academy. A further assessment would be undertaken by LSBU's Financial Controller and appropriate action taken, as necessary.

The committee agreed to hold an additional meeting in April 2018 when progress on each action from the external audit report will be examined in detail. The committee requested that the actions be RAG-rated.

6. **Internal audit update and plan**

The committee discussed the internal audit update and plan.

The committee approved the internal audit process table subject to the addition of monthly bank reconciliations.

The Chair confirmed that support from the LSBU finance team will remain in place for the foreseeable future.

The committee noted that discussions had taken place with PwC (LSBU's internal auditors) with regard to providing internal audit services to SBA. The committee agreed to the introduction of an independent internal audit function that would meet the DfE's requirement for independent assurance on internal controls. The committee requested that a full proposal, with details of scope, timeline and cost, be presented to the next meeting.

The committee noted that recent changes to DfE guidance no longer required a Responsible Officer and that an independent internal audit function would provide the necessary assurance.

7. **Finance system action plan update**

The committee discussed the finance system action plan update.

The LSBU Financial Controller confirmed that process issues, and adjustments relating to funding income and payroll were now resolved.

The committee discussed the re-appointment of Kingston Smith as the external auditors. The committee noted that although there were matters requiring improvement in auditor performance, these could be discussed with the auditor prior to any decision to re-appoint. The committee requested the Chair, LSBU Financial Controller, and the CEO to meet with Anjali Kothari (Kingston Smith LLP) to discuss how concerns could be addressed. The committee agreed to make a decision on re-appointment at its meeting in April 2018.

The committee agreed to provide updated information on finance adjustments to the auditors, as required, after its meeting in April 2018.

8. **Financial controls policy update**

The committee discussed the financial controls policy update.

The committee noted the policy was still in development. The committee requested that the expenditure authorisation table be updated and circulated to the committee in advance of the next meeting.

Tony Giddings left the meeting.

9. **Safeguarding report**

The committee discussed the Safeguarding report.

The committee requested that a CEO summary be provided with this report in future.

The committee expressed its significant concerns at the DfE's Safeguarding report on the UTC. The CEO confirmed that all the actions identified in the report have now been satisfactorily addressed and that this would be further confirmed in writing in the CEO report to the Board at its meeting on 22 March 2018. The CEO confirmed that he now held a monthly meeting with the UTC Principal at which safeguarding was a standing item.

The CEO has commissioned a mock Ofsted review in April 2018. Due to the importance of the issue, the committee requested that the Principal and Vice-Principal of the UTC attend the next meeting of the Audit Committee in April 2018 to report on safeguarding.

The committee agreed to hold its meeting in April 2018 at the UTC.

10. **Risk registers**

The committee noted the MAT and schools' risk registers.

11. **Anti-fraud, bribery and corruption report**

The committee noted the anti-fraud, bribery and corruption report.

12. **Speak up report**

The committee noted the speak up report.

13. **Any other business**

The committee noted that the DfE had commissioned a governance review of the MAT and UTC.

The committee requested a summary of all student data returns made to official bodies, to include; timeline, criteria, controls, e.g. how management audit and checks are carried out.

**Date of next meeting
April 2018 - tbc**

Confirmed as a true record

..... (Chair)

Paper title:	December Management Account
Board/Committee	South Bank Academies Board
Date of meeting:	22 March 2018
Author:	Natalie Ferer, University Financial Controller
Purpose:	To Note
Recommendation:	The Board is requested to note the attached management accounts and commentary

Summary:

Year to date, the Academies Trust is reporting a surplus against budget of £217.6k. This due to both higher than budget income, an overspend on pay costs and an underspend on operating expenditure. Further work is under way to refine the forecast results for the year.

	YTD £'000			Full year £'000		
	Actual	Budget	Variance	Forecast	Budget	Variance
Income	3,075	2,271	805	7,392	6,587	805
Staffing cost	1,439	1,398	(41)	4,155	4,114	(41)
Operating Expenditure	1,228	682	(546)	2,663	2,118	(546)
Total expenditure	2,667	2,080	(587)	6,818	6,232	(587)
Surplus/(Deficit)	408	191	218	573	355	218

Background

As previously reported to the board, towards the end of 2017 it was discovered that financial record keeping in the Trust was poor and this led to difficulties and delays in producing accounts for the year ending 31 August 2017. The poor record keeping included inaccurate and incomplete recording of transactions on the accounting system, PS Financials, and this problem has continued. New controls and procedures have now been introduced and the record keeping has improved but these are only recently taking effect and bringing the 2017/18 accounts up to date has been time consuming.

The report attached shows the financial position for the four months to December 2017. It is planned that February management accounts will be produced by the end of March and thereafter monthly accounts be produced within 15 working days of the month end. The attached report is generated directly from the accounting system.

Despite the work undertaken to update the accounts to the end of December, there are a number of reconciliations that need to take place to ensure the completeness and accuracy of the financial position. These include:

- Reconciliation of key balance sheet accounts
- Clearing of a number of outstanding items on the bank reconciliation
- Calculation of clawback of funds relating to this year
- Reconciliation of staff costs to payroll reports
- Reconciliation of purchase ledger accounts to supplier statements
- Checking accounting treatment for capital purchases and associated grants

These activities should be completed between now and the end of April and any adjustments will feed into the actuals and forecasts reported in the March management accounts and will be available to inform the 2018/19 budget process. At present, we are not aware of any particular items that would materially impact on the financial results to the end of December.

The budget presented is the revised budget as agreed by the Board in December 2017. This has been adjusted for clawback relating to pupil numbers for 2017/18.

Forecast

The forecast presented in these management accounts is the full year budget, adjusted for variances up to December 2017 and this methodology assumes that income and expenditure will be on budget from January to the end of the financial year. Clearly this may not always be realistic, therefore results will be discussed with the Trust and with School Principals and the forecast updated in the next management accounts if further variances for the remainder of the year are expected.

Income and Funding

GAG funding has been reconciled to ESFA statements. Payments received have been reduced for clawback of funding relating to 2016/17 with this being fully provided in the prior financial year. Figures however do not include any potential clawback relating to 2017/18 and this is currently being calculated and the forecast for income will be adjusted to reflect any reduction in income.

ESFA funding also includes receipt of UTC grant funding of £591k. This is included in income and is offset against £647k so has only a marginal impact on the overall surplus/deficit.

Staffing cost

Underspends on teaching salaries have been offset against agency staff costs with an overall year to date overspend of £41.3k. If this continues throughout the year, the overall overspend on staffing will be £124k. Pay costs will be discussed with the Trust and Principals in the next couple of weeks and the reasons for the variances will be investigated. It is expected that there will be an overspend at Trust level due to additional staffing brought in since the year end to work on bringing the accounts up to date. Again, the cost is currently being calculated and will be reflected in the forecast in future management accounts.

Operating Expenses

Operating expenses include £647k of UTC capital expenditure which is not included in the revenue budget. These costs are being analysed and some will subsequently be treated as capital in the accounts and will not be part of revenue expenditure. Excluding UTC capital, there is a year to date underspend on operating expenses of £101k.

Recommendation

The board is requested to note the attached management accounts and commentary.

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Management Accounts Report for 4 months to December 2017

	Consolidated										
	CURRENT PERIOD			YTD TOTALS			FULL YEAR			SPENT	
	Actual	BUDGET	Variance	Actual	BUDGET	Variance	PY Actual	BUDGET	Forecast	Variance	(%)
Income											
A0 - GAG funding	1,058,376	515,649	542,727	2,672,729	2,175,743	496,986	4,646,729	6,300,928	6,797,914	496,986	42.4 %
A2 - Other Govt Grants	207,875	4,950	202,925	319,500	19,800	299,700	66,094	59,400	359,100	299,700	537.9 %
A3 - Private Sector Funding	-	-	-	-	-	-	115,525	-	-	-	-
A4 - Other Income	6,312	18,868	(12,556)	83,761	75,472	8,289	92,002	226,419	234,708	8,289	37.0 %
Total Income	1,272,563	539,467	733,096	3,075,990	2,271,015	804,975	4,920,350	6,586,747	7,391,722	804,975	46.7 %
Expenditure											
Staffing Expenditure											
B0 - Teaching Staff	218,950	232,634	13,684	858,544	970,535	111,991	1,642,542	2,831,603	2,719,612	111,991	30.3 %
B1 - Educational Support Staff	42,150	29,262	(12,888)	160,739	117,048	(43,691)	156,951	351,144	394,835	(43,691)	45.8 %
B2 - Premises Staffing	5,142	6,055	913	20,176	24,220	4,044	78,876	72,666	68,622	4,044	27.8 %
B3 - Admin Staffing	48,438	45,930	(2,508)	171,596	183,720	12,124	623,335	551,160	539,036	12,124	31.1 %
B5 - Agency Staff	57,824	25,625	(32,199)	228,270	102,508	(125,762)	586,631	307,508	433,270	(125,762)	74.2 %
Total Staffing Expenditure	372,503	339,506	(32,997)	1,439,324	1,398,031	(41,293)	3,088,335	4,114,081	4,155,374	(41,293)	35.0 %
C0 - Maintenance of Premises	10,022	12,020	1,998	63,682	48,080	(15,602)	152,533	144,240	159,842	(15,602)	44.2 %
C1 - Other Occupational Costs	321,814	30,011	(291,803)	714,898	126,044	(588,854)	249,280	366,123	954,977	(588,854)	195.3 %
D0 - Educational Supplies and Services	15,673	52,190	36,517	101,658	208,760	107,102	183,157	626,271	519,169	107,102	16.2 %
E0 - Other Supplies and Services	55,021	51,388	(3,633)	299,542	274,164	(25,378)	483,789	906,220	931,598	(25,378)	33.1 %
F0 - ICT Costs (Non Capital)	939	-	(939)	15,143	-	(15,143)	41,643	-	15,143	(15,143)	-
G0 - Staff Development	5,821	6,250	429	24,644	25,000	356	83,010	75,004	74,648	356	32.9 %
H0 - Other GAG Expenses	-	-	-	8,593	-	(8,593)	(45,469)	-	8,593	(8,593)	-
I0 - Depreciation	-	-	-	-	-	-	262,685	-	-	-	-
Total Other Expenditure	409,289	151,859	(257,430)	1,228,161	682,048	(546,113)	1,410,627	2,117,858	2,663,971	(546,113)	58.0 %
Total Expenditure	781,793	491,365	(290,428)	2,667,485	2,080,079	(587,406)	4,498,962	6,231,939	6,819,345	(587,406)	42.8 %
Surplus / (Deficit) (c)	490,770	48,102	442,668	408,505	190,936	217,569	421,388	354,808	572,377	217,569	

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	CONFIDENTIAL
Paper title:	UTC update: <ul style="list-style-type: none"> • Transitional Grant conditions and management responses • Lease
Board/Committee:	South Bank Academies Board
Date of meeting:	22 March 2018
Author:	Rao Bhamidimarri
Purpose:	To note
Recommendation:	The board is requested to note the report

Transitional Grant conditions and management responses

UTCs, including South Bank Engineering UTC, receive £200,000 per year for three years to support sustainability during the establishment phase. This is the second year of the grant period.

An update on the actions against the grand conditions and the original letter are below. Actions will be completed within the timelines specified.

Lease

Paper to follow

Responses to conditions set out in the Transitions Grant letter

- **Continue working with teaching schools to provide school to school support, including where appropriate providing coaching and mentoring to the Principal and SLT to support high performance.**

DfE approved funding of £20,000 to be used by the supporting teaching school. The Principal approached Dunraven School, but Dunraven declined to support as they felt they were overcommitted. Lilian Baylis Technology School (LBTS), an outstanding school in the local area has agreed in principle to support the UTC. The Principal is meeting the Headteacher of LBTS to discuss details.

- **To work with a National Leader of Governance who can support the local governing board, including where appropriate through providing coaching and mentoring.**

In early 2017 Catherine Farrant was nominated by DfE to review the LGB governance and to provide advice on Governance. She observed the LGB meeting on 15th March 2017, reviewed the documentation related to UTC governance. She made recommendations, which the LGB adopted in the way the governors provide challenge to the Principal and the SLT.

As part of 2017/18 Transition Grant conditions, Ruth Murton, DfE Advisor on Governance was commissioned to review the Governance at MAT and LGB level. The Company Secretary is arranging these reviews.

- **To complete a skills audit of the local governing board, and submit this to DfE along with an updated governor training plan and up-to-date list of governor portfolios by end- December.**

Skills audit and up-to-date list of governor portfolios have been submitted. We are in discussion with Ruth Murton regarding the development of a governor training plan, an action plan and advice on improvements into the future.

- **To agree an NLG with us, who by Easter 2018 will conduct an external review of governance (ERG) and work with you to follow-up implementation of any recommendations, submitting a copy of the ERG report to DfE. (If Trust-level governance has not been subject to an External Review of Governance in the last three years, it is recommended this ERG should also look at Trust-level governance.)**

An NLG Advisor has been identified by DfE and timings for the review of Governance of MAT and UTC are being discussed with the DfE Advisor by the Company Secretary. It was agreed with DfE to extend the deadline for

the UTC governance review until the end of April 2018 in view of the previously arranged external review of the UTC taking place on 19th March.

- **Submit a financial plan, using the standard template provided, to the ESFA by 5 February 2018 to be agreed by 9 April 2018. This should demonstrate maintenance of a debt free position once Transitional Funding ends in 2019/20. This should also take into account repayment of any 2017/18 Pupil Number Adjustment (PNA), which can be estimated using the [PNA Calculator](#).**

Financial plan has been submitted feedback from EFSA received. We are currently addressing the queries and comments sent by ESFA. The plans will be resubmitted before the deadline.

- **Submit a 2018/19 minimum viable number at the same time as your financial plan, as agreed in the 2016/17 TF conditions.**

Minimum viable numbers have been submitted.

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Department
for Education

Department for Education
Sanctuary Buildings
20 Great Smith Street
London
SW1P 3BT

2 October 2017

Dan Cundy and Rao Bhamidimarri
South Bank Engineering UTC

By email

Dear Dan and Rao,

Transitional funding for UTCs 2017/18

I am writing to you regarding transitional funding in 2017/18 and to set out the conditions attached to this year's funding.

Additional, discretionary transitional funding is issued to support UTCs in their early years as they establish themselves. The funding is up to £200,000 per year for up to three years. This funding is subject to meeting conditions each year, which are set by the Department.

As previously set out, the exact funding you receive each year will be net of any debts owed to the ESFA for pupil number adjustments and/or advanced funding. As you will owe £176,601 to the ESFA in December, you will receive £23,399 in additional funding this year and the rest of the funding will be used to eliminate your debt to the ESFA.

This is discretionary additional funding and this year's grant is subject to the trust agreeing to the following conditions:

- Continue working with teaching schools to provide school to school support, including where appropriate providing coaching and mentoring to the Principal and SLT to support high performance.
- To work with a National Leader of Governance who can support the local governing board, including where appropriate through providing coaching and mentoring.
- To complete a skills audit of the local governing board, and submit this to DfE along with an updated governor training plan and up-to-date list of governor portfolios by end-December.
- To agree an NLG with us, who by Easter 2018 will conduct an external review of governance (ERG) and work with you to follow-up implementation of any recommendations, submitting a copy of the ERG report to DfE. (If Trust-level governance has not been subject to an External Review of Governance in the last three years, it is recommended this ERG should also look at Trust-level governance.)
- Submit a financial plan, using the standard template provided, to the ESFA by 5 February 2018 to be agreed by 9 April 2018. This should demonstrate maintenance of a debt free position once Transitional Funding ends in 2019/20. This should also take into account repayment of any 2017/18 Pupil Number Adjustment (PNA), which can be estimated using the [PNA Calculator](#).
- Submit a 2018/19 minimum viable number at the same time as your financial plan, as agreed in the 2016/17 TF conditions.

In the summer term the Department will review whether you have met the conditions for this year. Failure to meet any conditions may lead to funding in future years being withheld or withdrawn.

You will also continue to receive regular DfE education adviser (EA) visits as now. Following these visits, we expect all UTCs to write an action plan that addresses any issues the EA has identified, either added to your existing School Improvement Plan (SIP) or referenced from the SIP, so that governors can actively monitor progress with those actions. Subsequent Education Adviser visits will include a focus on progress with SIP actions and impact on your UTC's self-evaluation form (SEF).

I would be grateful if the trust could confirm in writing that it is happy to accept the funding for this year on the basis of agreeing to the conditions above. Please write to me by no later than midday on Monday 6th November. Funding will then be paid in December as part of your GAG payment.

Please let me know if you have any questions regarding any of the above.

Kind regards,

Will Day-Brosnan
UTC Open lead

	CONFIDENTIAL
Paper title:	South Bank Academies governance review and recommendations
Board/Committee:	South Bank Academies Board
Date of meeting:	22 March 2018
Author:	Michael Broadway
Purpose:	Approval
Recommendation:	<p>The Board is requested to approve the following recommendations, and to agree:</p> <ul style="list-style-type: none"> • in principle, to the proposed governance structure (appendix 1); • in principle, to the closure of SBA Board committees and oversight by LSBU Group sub-committees; • that the CEO should no longer chair the LGBs or be a local governor; • to the closure of the LGB sub-committees; • in principle, to shared back office services with LSBU, including internal audit, subject to agreement. <p>If approved, the next step will be to develop a plan to implement the proposed changes and report back to the Board in due course.</p>

Executive Summary

A review of LSBU Group governance has been conducted. Conclusions of the review are outline here and indicate:

- there is potential for increased efficiency in the way committee structures are organised;
- further work is required to recognise that the OFSTED inspection regime may include MATs and linkage between the Board and the schools needs to be clearer;
- there are areas where schools could operate more effectively by linking activity within the MAT rather than at school level.

In summary, a new structure is proposed (appendix 1), as follows:

- the closure of SBA Board committees and oversight by LSBU Group sub-committees;
- the CEO should no longer chair the LGBs or be a local governor;

- the closure of the LGB sub-committees;
- purchase of services from LSBU, including internal audit, subject to agreement and procurement rules.

The overriding legal assumption is that all schools in a MAT are governed by one company and a single Board of Directors.

Introduction

South Bank Academies (SBA) multi-academy trust (MAT) is a company limited by guarantee and an exempt charity regulated by the Department for Education. The company directors are also the charity trustees. Effectively, LSBU is the member of the MAT company and the MAT is a subsidiary company within the LSBU group (not consolidated); it is therefore part of LSBU's Family of Educational Institutions (FEI) delivering a STEAM-focused curriculum to secondary level students.

The MAT has been created over the last 3 years and holds the UTC and Academy schools. The MAT is now at a point of consolidating its strategy and operations, including a review of its governance and management structures.

LSBU Group Structure Committee

At its meetings of November 2017 and January 2018, the LSBU Group Structure Committee, which included representation from SBA directors and a local governor, has established principles for the development of the Group / FEI and its governance and management structures. These are:

- governance oversight is by the parent/group Board;
- no "double decision" making;
- shared group committees;
- shared group services.

Reasons to review governance

(i) As noted at the May 2017 SBA Board meeting, the principles set out by the LSBU Group Structure Committee for the review of governance across the LSBU group will apply to SBA.

(ii) Recent challenges with internal financial control within the MAT reinforce the imperative for the Board and directors to ensure that governance and management structures are fit for purpose and;

- enable high quality, coherent decision making by directors and executives;
- ensure operational effectiveness and executive accountability; and,
- ensure the highest quality of education to students.

Support services must be delivered cost-effectively to ensure the focus on learner investment is sustained. Any back office support through LSBU now needs to be identified and formalised. A proposal will be brought to the Board in due course.

(iii) Currently, OFSTED has power only to inspect schools but not the MAT itself. It is now seeking a change in legislation that would allow it to inspect MATs as it inspects local authorities, by observing MAT executives, looking at centralised data, and attempting to establish whether the MAT is effectively providing the services it sets out to offer.

(iv) One of the main findings of the SBA Board self-assessment effectiveness review of 2017 was that 90% did not support the following statement: 'the structure of the Trust from its members to school level governance delivers good two-way communication'.

DfE guidance on MAT governance

There is no overriding education legislation that determines how MATs must be structured or managed. MATs are governed through their articles of association (SBA adopted the DfE model articles) and must comply with its funding agreements for the two schools.

The directors / trustees are jointly and severally liable for the company and its operations. The Board may delegate operational matters to committees or individuals, but the Board and directors remain accountable and responsible for all decisions made, and executive leaders and LGBs have responsibilities and operate within the powers and functions explicitly delegated to them by the Board.

Best practice examples from multi-academy trusts will be published on Modern.gov as supplementary information:

- Ark (multi-academy trust)
- King's Group Academies

SBA MAT proposed restructure

Applying both the agreed Group principles and elements from the best practice examples, the following changes to MAT governance are proposed.

SBA Board

- The Board is the legal governing body for every school.
 - The Board holds and fulfils all statutory responsibilities by approving and monitoring MAT-wide educational and financial plans including the operating plan and budget.
 - The Board holds legal liability for areas that would normally be the responsibility of a school governing body, such as Safeguarding and policies, with support from the Central Executive Team.
-
- Membership - 7 directors
 - 4 LSBU staff/governors
 - LSBU NED (Chair)
 - CEO
 - Up to 2 further LSBU representatives
 - 3 independent directors (including at least 2 suitably experienced school practitioners who will be chairs of LGB)
 - In attendance: school principals
 - Approves / monitors MAT vision and strategy
 - Approves / monitors educational and financial plans and outcomes for MAT schools
 - holds the CEO to account on school improvement and operational issues
 - Approves salaries via Group RemCo
 - Responsible for budgets and HR compliance
 - Accountable for compliance and all statutory policies

SBA Central Executive Team

The Central Executive Team is the executive leadership and staff responsible for working with schools to deliver educational and operational outcomes. The MAT Board delegates the day-to-day line management of principals and provision of all training / support systems for schools to the Central Team

- Membership:
 - CEO
 - day-to-day leadership and management
 - line manages the school principals
 - proposes MAT strategy
 - Principals
 - Executive Administrator (reports to CEO)
 - coordinates support services
 - coordinates sponsor relationships with schools
- In attendance, as required: (contributors of services from LSBU)
 - Outreach
 - HR
 - Finance
 - Estates
- Facilitates support services for MAT and schools, e.g. finance, HR, estates, IT
- Ensures efficient and effective operational systems in the schools
- Monitors schools' compliance with MAT policies and procedures

School principals

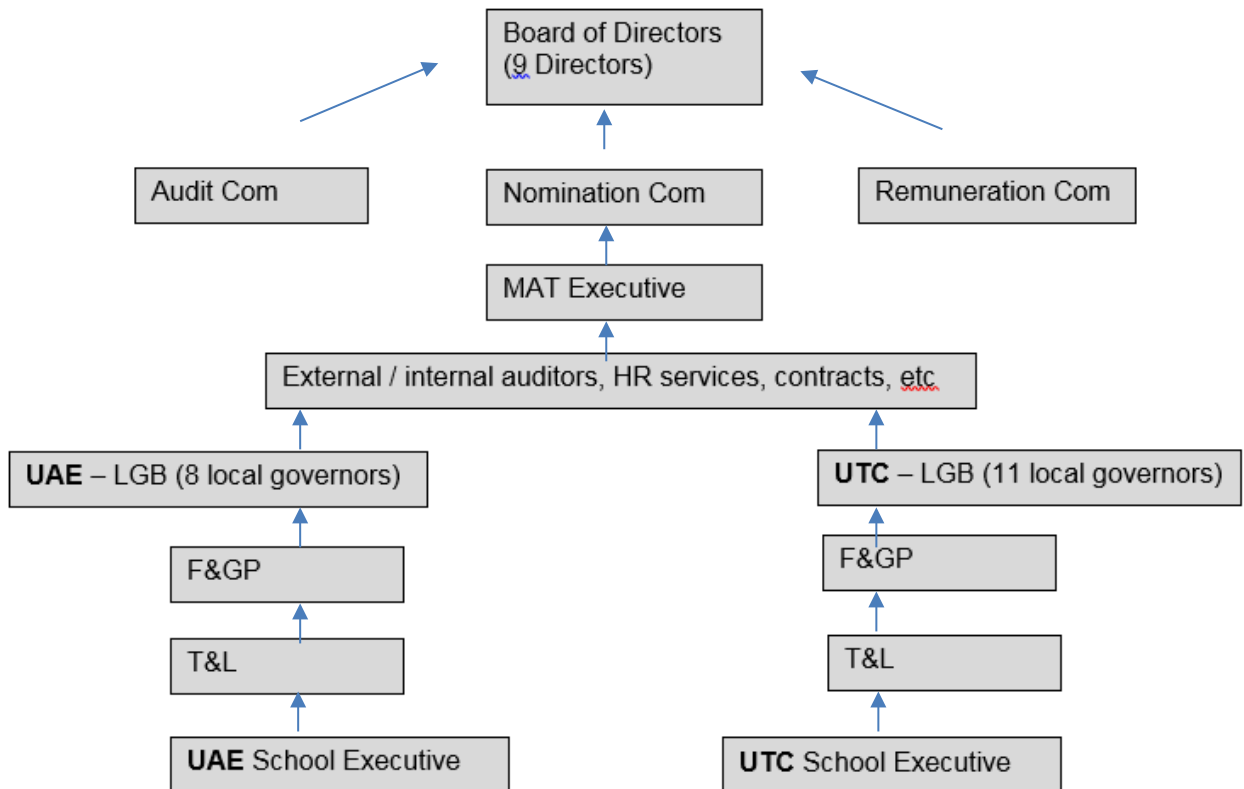
- Responsible for meeting all educational and KPI targets for education outcomes in their individual school
- Principals may also have responsibilities at MAT level, e.g. safeguarding lead.

LGBs

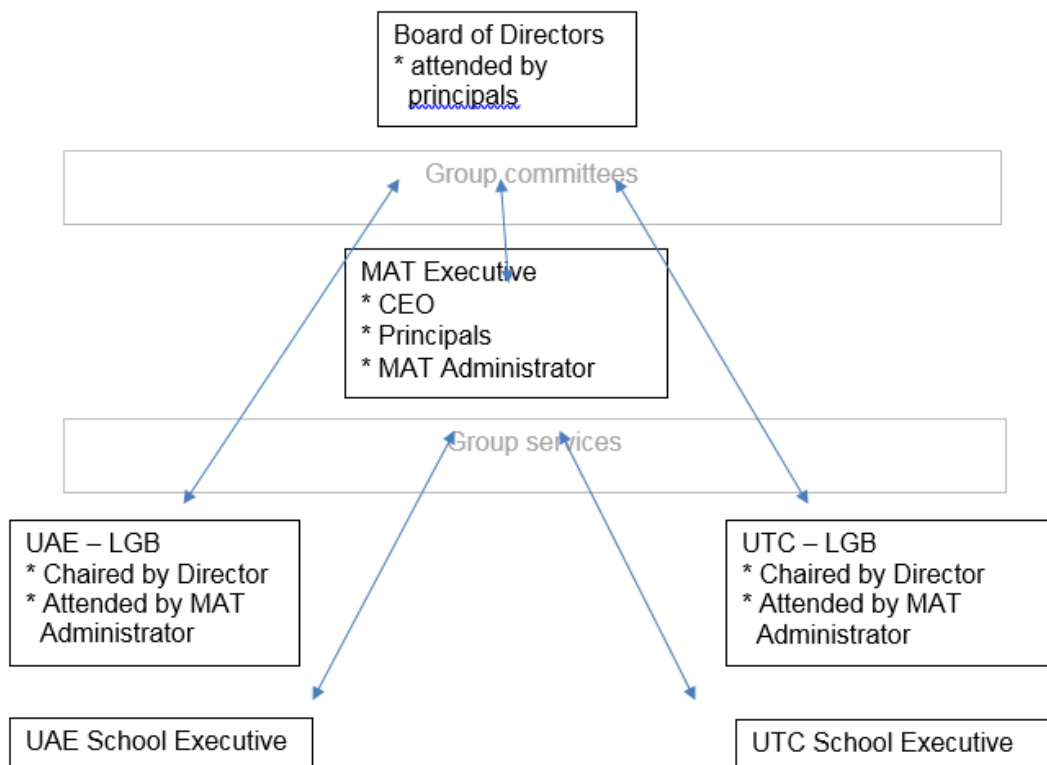
LGBs are responsible for localised challenge and support but with no legal liability or final approval of policies or core documents. LGBs provide strategic input into individual school plans and budgets, monitor alignment of school processes with overall strategy and policies, and embed the school's ethos and values. They also lead on local stakeholder engagement (staff, parents, community).

- 1 LGB per school – role, to add value.
- 6 local governors (appointed by the Board of Directors)
 - SBA independent director (Chair)
 - Principal
 - Parent (2 parents required by articles)
 - Staff
 - Community / employer sponsors
 - In attendance: MAT Business Administrator
- Focus is on value-added at a local level – staff, parents, community - drives links with school sponsors, e.g. LSBU, Skanska, NHS
- Monitors implementation of T&L targets, MAT strategy, budget, local plans approved by the Board, MAT policies, etc;
- Recommends budget and school development plans to the Board
- LGB meetings attended by MAT Business Administrator

Appendix 1 - Current structure



Proposed structure



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	CONFIDENTIAL
Paper title:	DfE governance effectiveness review
Board/Committee:	South Bank Academies Board
Date of meeting:	22 March 2018
Author:	Michael Broadway
Purpose:	To note
Recommendation:	The Board is asked to note the report

Executive summary

As part of the UTC's transitional funding (please see item 11 on the agenda), the Department of Education has requested a governance effectiveness review to include the Board and the UTC local governing body.

Ruth Murton, DfE advisor on governance, will conduct the review.

Scope of review

The focus of the review will be to evaluate the effectiveness of the MAT governance, primarily the SBA Board, including the role of directors in ensuring effective governance. It will consider the vision/growth plans for the MAT and aim to provide an evaluation of existing strategic leadership and accountability mechanisms, including structure, board make up, and compliance. The review will be predicated on 'self-evaluation' via evidence from directors and local governors.

The review process will include:

- Interviews with key people, e.g. the CEO and prospective acting CEO, Chairs of the Board and sub-committees, director(s), Company Secretary, and local governors.
- Facilitated self-review sessions will be held separately with the SBA Board and the UTC LGB.
- Desk research, including legal documentation, meeting papers and the draft internal review of MAT governance structures.
- A number of one-to-one interviews with members, directors and clerk (some in person, some by phone).
- Skills audits of Board and LGB.

The review report will be finalized by the end of April and include a summary, key findings and recommendations for improvement.

The Board is requested to note the scope of the review.

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	CONFIDENTIAL
Paper title:	LGB reports from schools
Board/Committee:	South Bank Academies Board
Date of meeting:	22 March 2018
Author:	Alex Enibe, Clerk
Purpose:	To note
Recommendation:	The Board is asked to note the report

Executive Summary

Reports from recent meetings of the Academy and UTC Local Governing Bodies are attached. The Board is requested to note the reports.

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Summary of Local Governing Body meetings

South Bank Engineering UTC LGB – 7 March 2018

The LGB discussed:

- The LGB noted the Principal's report. The Principal confirmed challenges in recruiting experienced engineering teachers.
- The LGB requested that the Principal should discuss the teacher recruitment plan with the Business Manager so that it fits into the budget cycle.
- The LGB requested that an appropriate balance is achieved between employer's project engagements and site visits, and classroom based learning.
- The LGB suggested the Principal should consider registering the UTC with Aimhigher. The CEO agreed to look at the possibility of registering both the UTC and UAE as members.
- The Board discussed the level of support given to students by the school, as well as the level of welfare support, as they prepare for the first set of A level and GCSE exams. The Principal confirmed that welfare support from agencies is only in extreme cases.
- The LGB agreed to the Principal's proposal to slightly reduce the time for breaks, lunch and lessons to give teachers more time flexibility for interventions and management activities.
- The LGB discussed the Principal's proposal for pre-apprenticeship pathways for level 2 courses at Year 12. The LGB requested that the Principal should prepare a proposal and employer's commitment and circulate it to the LGB.
- The LGB noted the review of staff training and staff survey results.
- The LGB noted the student recruitment report and the low numbers of students recruited.
- The LGB noted that there was no finance management report as accounts are still being prepared and would be ready in two weeks.
- The LGB noted the safeguarding report. The Vice Principal (DSL) confirmed that all issues raised in the DfE report of January 2018, and the recommendations from the safeguarding audit by Sarwan Jandhu (Lambeth Council) in February 2018, are being implemented. The Vice Principal is awaiting a report from the Local Safeguarding Children's Board.
- LGB noted that Deputy DSLs are currently undergoing training as recommended.
- The LGB noted the school risk register.

University Academy of Engineering LGB – 14 March 2018

The LGB discussed:

- The LGB noted the Principal's timetable structure on how to implement the UAE's vision and promise.
- The LGB noted the Principal's report. The LGB noted the department reviews, and the new marking and feedback policy that is being implemented.

- The LGB noted the Principal's introduction of the new formatrix system used for measuring the students' performance. The system uses DfE data and statistics to calculate students' actual current attainment levels, unlike the previous system that was based on prediction.
- The LGB noted exam preparations. Year 10 took mock exams in January 2018 in every subject. The LGB noted the Principal's proposal to use pupil premium to initiate tuition programs. The LGB challenged the Principal on whether there are plans in place to address the drop in students taking computing.
- The LGB noted the safeguarding report. The LGB discussed the safeguarding issues which appear unique to the locality such as, gang culture and FGM (for girls). The DSL confirmed that safeguarding training is currently being undertaken and that they are making links with other schools and getting support from police and local agencies.
- The LGB noted that the Business Manager had resigned, and there was no finance management report.
- The LGB noted the Governor visit reports from Natalie Ferer and Steve French.
- The LGB noted the school risk register and requested that the Principal takes ownership of it and presents it at the next FGP meeting.