

Meeting of the South Bank Academies Audit Committee

4.00 - 6.00 pm on Tuesday, 6 March 2018
in 1B16 - Technopark, SE1 6LN

Agenda

<i>No.</i>	<i>Item</i>	<i>Pages</i>	<i>Presenter</i>
9.	Safeguarding report <ul style="list-style-type: none"> • Schools • DfE report 	3 - 18	RB
10.	Risk registers <ul style="list-style-type: none"> • MAT • Schools 	19 - 28	RB
11.	Anti-fraud, bribery and corruption report	29 - 30	RB

Date of next meeting
4.00 pm on Thursday, 21 June 2018

Members: Richard Flatman (Chair), Adam Crossley and Tony Giddings

Apologies:

In attendance: Claire Viner, Rao Bhamidimarri, Michael Broadway, Joe Kelly and Natalie Ferer

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	CONFIDENTIAL
Paper title:	Safeguarding report
Board/Committee:	South Bank Academies Audit Committee
Date of meeting:	6 March 2018
Author:	Rao Bhamidimarri
Purpose:	Information
Recommendation:	The Board is requested to note the report.

Executive Summary

At its meeting in December 2017, South Bank Academies Board asked that a report on the number of safeguarding cases in MAT schools be reported to the Audit Committee and the Board. The attached report details safeguarding cases at each school.

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.

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

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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. [EHCP = Education Health & Care Plan]

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

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This section of the report should be removed before sharing the report with the academy, sponsor or trust; confidential, internal only information should be included here but could, potentially, be subject to an FOI request.

Academy name	South Bank Engineering 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	Rao Bhamidmarri
Principal	Dan Cundy

Key issues for RSC and HTB to be made aware
See individual sections

Page
7

Key actions for follow-up:
See individual sections

RAG rating following visit

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

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

KBA 26-1

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:

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

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

JCO to conduct S128 checks 26-1 confirm when this has been done Completed 31-1

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 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/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.

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

DBE

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

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 drawers. 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)

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

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)

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**
 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

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)

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

Evidence and sources

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

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:	Risk Registers for the MAT and schools
Board/Committee:	South Bank Academies Audit Committee
Date of meeting:	6 March 2018
Author:	Rao Bhamidimarri
Purpose:	Note
Recommendation:	The Board is requested to note the report.

Executive Summary (Arial 12 point)

The Risk Registers for the Trust and its schools were updated taking into account recent DfE visits and the challenges faced by the Trust in filing the year-end audit. The risks at the two schools are mostly similar and any differences reflect the stage of development each school is at.

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South Bank Academies Risk Register

Current Establishments within the Trust

University Academy of Engineering South Bank
South Bank Engineering UTC

Area	Risk	Impact description	Probability assessment	Impact assessment	Combined risk level	Mitigating actions	Residual Risk	Owner	Last reviewed	Date for next review	Status	Change
Compliance	Innapropriate Governance structure and organisation	Failure to achieve mission and objectives of the Trust. Poor decision making and information flow. Potential non-compliance.	1	3	3	Periodic Ofsted inspection. Qualified and experienced Governance support. Skills audit & annual review of trsut performance. Quality assurance visits. Periodic ofsted reviews.	3	Chair	Dec-17	Mar-18	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.	3	Chair	Dec-17	Mar-18	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. Probability rating currently higher than normal due to new building used by UTC. training for staff and students.	3	CEO	Dec-17	Mar-18	Open	→
Compliance	Failure to comply with Companies House and DfE regulations	notice given on non performance and litigation. Potential fine.	3	3	9	Timely audit. Preparation & submission of annual report. Quarterly internal audit. Financial training.	6	CEO	Dec-17	Mar-18	Open	↑
Safeguarding	Safeguarding incident at any of the schools.	Risk to reputation nationally and locally, DfE and HSE intervention depending on seriousness of the event.	2	3	6	All schools employ the services of experienced staff with appropriate safeguarding qualifications. All staff and governors are given safeguarding and prevent training . All students and staff complete e-safety training and firewalls are in place to secure all ICT networks.	6	CEO	Dec-17	Mar-18	Open	→
Finance	Changes to Funding via Government policy	Potential loss in income and threat to viability.	2	3	6	Monitoring of Government policy, Long term forecasts, Financial expertise at Operational and Trustee level. Robust system of internal controls.	3	CFO/CEO	Dec-17	Mar-18	Open	→

Finance	Poor financial performance by one or more schools	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 Leading to DfE letter.	2	3	6	Trust financial controls and procedures in place 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	3	CFO/CEO	Dec-17	Mar-18	Open	↑
Finance	Financial controls and systems are not adequate or maintained. Failure of system of internal controls.	Risk that policies and procedures are not followed and that value for money is not considered in procurement and staff costs. Lack of adequate expertise in financial management.	3	3	9	Robust system of internal controls. Trust financial controls and procedures in place 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	6	CFO/CEO	Dec-17	Mar-18	Open	↑
Staffing	Failure to recruit key management posts and Inadequate capacity to review quality of work 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. Competitive remuneration and career development.	3	CEO/Principals	Dec-17	Mar-18	Open	↑
Staffing	Inadequate number of staff within the Trust or the Schools	Inadequate teaching and learning and student support, leading to poor outcomes. Insufficient management capacity at trust level.	2	3	6	Monthly monitoring of staffing levels from Trust and all schools, independent exit interviews for all staff, comprehensive recruitment processes to attract and retain competent staff.	3	CEO/Principals	Dec-17	Mar-18	Open	↑
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	3	6	Trust and school Marketing capacity and delivery effective admissions processes. Monthly reports on pupil numbers for monitoring. Networking with primary and secondary feeder schools.	3	CEO/Principals	Dec-17	Mar-18	Open	→
Pupils	Poor students outcomes in Trust schools	Poor examination results could cause a reputational and financial risk due to poor student recruitment. Detrimental to student futures/careers.	2	3	6	Teaching and Learning constantly monitored and reported. Termly attainment reporting sent to management and pupils. Principal reports to local governing body. Practice Ofsted inspections and quality insurance visits.	3	CEO/Principals	Dec-17	Mar-18	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	Maintenance programme in place and monitored by a Trust staff member. Adequate budgets for building maintenance . Regular site checks by facilities teams	3	Trust Business Manager/CEO	Dec-17	Mar-18	Open	→

Infrastructure	Failure to safeguard schools or assets from theft or damage by third party	Damage to building and assets. Health and safety risk to students and staff. Reputational damage and poor learning outcomes.	1	2	2	Adequate security systems and budgetary allowance for upkeep and maintenance. Asset registers at each establishment . Adequate insurance	2	Trust Business Manager/CEO	Dec-17	Mar-18	Open	↓
Reputation	High profile event in one school affects Trust overall	Risk to reputation nationally and locally depending on scale of the event.	1	3	3	Each School and the Trust has a Critical Incident plan which is regularly assessed listing a delegation of duties in the event of an emergency situation.	3	CEO	Dec-17	Mar-18	Open	→

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

- Key - Areas
- Compliance
 - Safeguarding
 - Finance
 - Staffing
 - Pupil Levels
 - Infrastructure
 - Reputation

**South Bank Academies
Risk Register - Academy**

Page 24

Area	Risk	Impact description	Probability assessment	Impact assessment	Combined risk level	Mitigating actions	Reisdual Risk	Owner	Last reviewed	Date for next review	Status	Change
Compliance	Inadequate level of expertise and challenge on Local Govering Body leading to ineffective local governance.	Failure to achieve mission and objectives of the School/Trust. Poor decision making and information flow.	1	3	3	Appropriate recruitment process for governors. Representation of the Trust on local governing bodies. Annual review of local governing bodies including skills audit.	3	Trust Board/Chair of LGB	Dec-17	Mar-18	Open	→
Compliance	Serious breach of health & safety regulation or disability legislation occurs	Risk of litigation and Reputational risk.	1	3	3	Policies and procedures consistent with relevant legislation. Independent audit on Health and Safety and Policies. Regular reports to the board. Adequate insurance cover.	3	Principal	Dec-17	Mar-18	Open	→
Safeguarding	Safeguarding incident at one of the schools.	Risk to reputation locally and nationally, DfE and HSE intervention depending on seriousness of the event.	1	3	3	Experienced full time SENDCO as member of staff. All staff and governors are given safeguarding and prevent training. All students and staff complete e-safety training and firewalls are in place to secure all ICT networks.	3	Principal	Dec-17	Mar-18	Open	→
Finance	Changes to Funding via Government policy	Potential loss in income and threat to viability.	2	3	6	Monitoring of Government policy, Long term forecasts monitored by LGB, Financial expertise at Operational and Trustee level. Robust system of internal controls.	3	CFO/CEO	Dec-17	Mar-18	Open	↑
Staffing	Failure to recruit key teaching and support staff posts. Inadequate capacity to review quality fo work.	Staff not able to carry out their duties, poor management and decision making, poor quality of teaching and learning leading to poor student outcomes. Inadequate Ofsted grading leading to reputational risk.	2	3	6	Thorough recruitment programme with all relevant staff trained, comprehensive professional development, Strong Appraisal system. Competitive remuneration and career development.	3	Principal	Dec-17	Mar-18	Open	→
Staffing	Inadequate number of teaching and support staff within the Academy.	Inadequate teaching and learning and student support leading to poor student outcomes. Unsatisfactory Ofsted grading leading to poor outcomes	2	3	6	Monthly monitoring of staffing, independent exit interviews carried out by Trust for all staff, timely recruitment processes to attract and retain competent staff.	3	Principal	Dec-17	Mar-18	Open	↑

Pupils	Failure to recruit sufficient number of pupils in to Year 7.	Reduction in pupil led income which could lead to cash flow or long term financial problems. Potential damage to the Academys reputation.	1	3	3	Trust and Academy Marketing capacity & delivery and effective admissions processes. Monthly monitoring of pupil numbers. Work with local primary schools to ensure the Academy remains a first choice.	3	Principal	Dec-17	Mar-18	Open	→
Pupils	Failure to recruit sufficient number of pupils in to Year 12.	Reduction in pupil led income which could lead to cash flow or long term financial problems. Potential damage to the Academys reputation.	2	3	6	Increase trust and Academy Marketing capacity & delivery and effective admissions processes. Monthly monitoring of student numbers. Work with secondary schools with no post 16 offer.	3	Principal	Dec-17	Mar-18	Open	→
Pupils	Poor students outcomes.	Poor examination results could cause a reputational and financial risk. Detrimental to student futures/careers. Academy's reputation at risk.	2	3	6	Teaching and Learning constantly monitored and reported. Termly attainment reporting sent to management and pupils. Incoming students assessed for suitable attainment levels. Principal reports to local governing body. Practice Ofsted inspections and quality insurance visits.	3	Principal	Dec-17	Mar-18	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 School reputation	1	3	3	Maintenance programme in place assessed and monitored by Principal and forwarded to Trust. Adequate budgets for building maintenance are provided. Regular site checks by facilities team and external audits.	3	Principal/Trust Business Manager	Dec-17	Mar-18	Open	→
Infrastructure	Failure to safeguard academy assets from theft or damage by third party	Damage to building and assets. Health and safety risk to students and staff. Reputational damage and poor learning outcomes.	1	2	2	Academy has adequate security systems and budgetary allowance for upkeep and maintenance. Asset registers at each establishment are monitored and auditted regularly. Adequate insurance is provided.	2	Principal	Dec-17	Mar-18	Open	→
Reputation	High profile event in the school affects Trust overall	Risk to reputation nationally and locally to the school and the trust.	1	3	3	Academy has a Critical Incident plan which is regularly assessed listing a delegation of duties in the event of an emergency situation.	3	Principal/CEO	Dec-17	Mar-18	Open	→

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

Key - Areas

Compliance

Safeguarding

Finance

Staffing

Pupil Levels

Infrastructure

Reputation

South Bank Academies Risk Register - UTC

Area	Risk	Impact description	Probability assessment	Impact assessment	Combined risk level	Mitigating actions	Residual Risk	Owner	Last reviewed	Date for next review	Status	Change
Compliance	Inadequate level of expertise and challenge on Local Governing Body leading to ineffective local governance.	Failure to achieve mission and objectives of the School/Trust. Poor decision making and information flow.	1	3	3	Appropriate recruitment process for governors. Representation of the Trust on local governing bodies. Annual review of local governing bodies including skills audit.	3	Trust Board/Chair of LGB	Dec-17	Mar-18	Open	→
Compliance	Serious breach of health & safety regulation or disability legislation occurs	Risk of litigation and Reputational risk.	1	3	3	Policies and procedures consistent with relevant legislation. Independent audit on Health and Safety and Policies. Regular reports to the board. Adequate insurance cover.	3	Principal	Dec-17	Mar-18	Open	→
Safeguarding	Safeguarding incident at one of the schools.	Risk to reputation locally and nationally, DfE and HSE intervention depending on seriousness of the event.	3	3	9	Experienced full time SENDCO as member of staff acquired from neighbouring school. All staff and governors are given safeguarding and prevent training. All students and staff complete e-safety training and firewalls are in place to secure all ICT networks.	6	Principal	Dec-17	Mar-18	Open	→
Finance	Changes to Funding via Government policy	Potential loss in income and threat to viability.	1	3	6	Monitoring of Government policy, Long term forecasts monitored by LGB, Financial expertise at Operational and Trustee level. Robust system of internal controls.	3	CFO/CEO	Dec-17	Mar-18	Open	↑
Staffing	Failure to recruit key teaching and support staff posts. Inadequate capacity to review quality of work.	Staff not able to carry out their duties, poor management and decision making, poor quality of teaching and learning leading to poor student outcomes. Inadequate Ofsted grading leading to reputational risk.	2	3	6	Thorough recruitment programme with all relevant staff trained, comprehensive professional development, Strong Appraisal system. Competitive remuneration and career development.	3	Principal	Dec-17	Mar-18	Open	→
Staffing	Inadequate number of teaching and support staff within the UTC.	Inadequate teaching and learning and student support leading to poor student outcomes. Unsatisfactory Ofsted grading leading to poor outcomes	1	3	6	Monthly monitoring of staffing, independent exit interviews carried out by Trust for all staff, timely recruitment processes to attract and retain competent staff.	3	Principal	Dec-17	Mar-18	Open	↑
Pupils	Failure to recruit sufficient number of pupils in to Year 12.	Reduction in pupil led income which could lead to cash flow or long term financial problems. Potential damage to the UTCs reputation.	3	3	9	Increase trust and UTC Marketing capacity & delivery and effective admissions processes. Monthly monitoring of student numbers. Work with secondary schools with no post 16 offer.	6	Principal	Dec-17	Mar-18	Open	↑

Pupils	Poor students outcomes.	Poor examination results could cause a reputational and financial risk. Detrimental to student futures/careers. UTCs reputation at risk.	2	3	6	Teaching and Learning constantly monitored and reported. Termly attainment reporting sent to management and pupils. Incoming students assessed for suitable attainment levels. Principal reports to local governing body. Practice Ofsted inspections and quality insurance visits.	3	Principal	Dec-17	Mar-18	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 School reputation	1	3	3	Maintenance programme in place assessed and monitored by Principal and forwarded to Trust. Adequate budgets for building maintenance are provided. Regular site checks by facilities team and external audits.	3	Principal/Trust Business Manager	Dec-17	Mar-18	Open	→
Infrastructure	Failure to safeguard UTC assets from theft or damage by third party	Damage to building and assets. Health and safety risk to students and staff. Reputational damage and poor learning outcomes.	2	3	6	UTC has adequate security systems and budgetary allowance for upkeep and maintenance. Asset registers at each establishment are monitored and audited regularly. Adequate insurance is provided.	3	Principal	Dec-17	Mar-18	Open	↑
Reputation	High profile event in the school affects Trust overall	Risk to reputation nationally and locally to the school and the trust.	1	3	3	The UTC has a Critical Incident plan which is regularly assessed listing a delegation of duties in the event of an emergency situation.	3	Principal/CEO	Dec-17	Mar-18	Open	→

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

- Key - Areas**
- Compliance
 - Safeguarding
 - Finance
 - Staffing
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 - Infrastructure
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	CONFIDENTIAL
Paper title:	Anti-fraud, bribery and corruption report
Board/Committee:	South Bank Academies Audit Committee
Date of meeting:	6 March 2018
Author:	Rao Bhamidimarri
Purpose:	Information
Recommendation:	The Board is requested to note the report.

Executive Summary

This brief report is to assure the Audit Committee that there have been no reported cases of fraud either at MAT schools or at the Trust since the last report.

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