

Meeting of the South Bank Engineering UTC School Advisory Board

4.00 pm on Wednesday, 18 March 2020
in South Bank Engineering UTC, 56 Brixton Hill SW2 1QS

Agenda

<i>No.</i>	<i>Item</i>	<i>Pages</i>	<i>Presenter</i>
1.	Welcome and apologies		LM
2.	Declarations of interest		LM
3.	Minutes of previous meeting	3 - 6	LM
4.	Matters arising	7 - 10	LM
Items to discuss			
5.	Principal's report	11 - 22	AS
6.	SEND Issues	To Be Tabled	AS
7.	Safeguarding policy (to review)	To Be Tabled	AS
8.	UTC risk register	23 - 32	HA

Date of next meeting
4.00 pm on Wednesday, 13 May 2020

Members: Lesley Morrison (Chair), Ed Arthur, Ian Brixey, Beau Fadahunsi, Tony Roberts, Austin Sheppard and Joanne Young

In attendance: Michael Broadway

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Minutes of the meeting of the South Bank Engineering UTC School Advisory Board
held at 4.00 pm on Wednesday, 5 February 2020
South Bank Engineering UTC, 56 Brixton Hill SW2 1QS

Present

Lesley Morrison (Chair)
Beau Fadahunsi
Austin Sheppard
Joanne Young

Apologies

Ed Arthur
Ian Brixey
Tony Roberts

In attendance

Kam Bains
Alexander Enibe

1. Welcome and apologies

The Chair welcomed everyone to the meeting.

The above apologies were noted.

2. Declarations of interest

The SAB noted interests of AS, and KB in the pay policy update under item 10.

3. Minutes of previous meeting

The SAB approved the minutes of the previous meeting held on 7 November 2019.

4. Matters arising

The SAB noted the actions arising from the previous meeting.

Under item 4, the Principal confirmed that he had visited two academies in Coventry and Warwick with strong links with Warwick University and Jaguar Land Rover.

The SAB noted that the careers event will be held later in the year but the date is yet to be confirmed.

The SAB noted that the risk register would come to the next meeting on 5 March 2020.

The SAB requested the SEND update to be on the next meeting agenda of 5 March 2020.

5. **Principal's report**

The SAB noted the Principal's report.

Quality of Teaching and Learning

KB confirmed that more learning walks are taking place in the afternoon. He also said that there is consistency in marking, they are now getting responses on feedbacks.

KB confirmed that he noticed inconsistent teaching and the reason for this was lack of leadership, but that a Director of Maths has now been appointed, which has started making an impact.

On department reviews, the SAB requested to see a summary of the action plan so that they are able to measure progress.

Attainment

The SAB noted the Redborne data provided for Year 10.

The SAB noted that the science figures do not look positive. KB said that this is likely to change because more time has been created for the students to study sciences.

Attendance

The SAB noted the attendance chart.

The SAB requested assurances from the Principal that students with different background are not disadvantaged.

The SAB requested to have indications on the chart showing pupil premium, SEND and gender.

The SAB noted that an attendance officer has been appointed and she is doing well, as there has been some impact. The Principal confirmed that she is taking on more responsibilities.

Behaviour and Exclusions

RH confirmed that the total number of behaviour incidents compared to the same time last year has reduced. He said that there has been 27 fixed term exclusions since September 2019.

The SAB noted the disproportionate numbers in the SEN students.

The SAB requested the Principal to also include data on repeated offenders in the table.

The SAB requested the Principal to provide data on all exclusions to the SAB.

RH confirmed that about 2/3 of the SEN students are undiagnosed and that the UTC has now started the process of getting them diagnosed.

The SAB requested the Principal to review the SEND issues at the UTC.

RH confirmed that students' behaviour outside the classroom is poor, but their behaviour inside the classroom is satisfactory. The SAB noted that this was an area that needs to be improved.

The SAB requested the detention data on Year 12 students.

Safeguarding

The SAB noted that the Designated Safeguarding Lead (DSL) received training on the UTC's single central register (SCR). The DSL will now work closely with the SBA Trust HR assistant and reception with regards to the SCR.

The SAB requested the Principal to review the safeguarding policy.

The SAB suggested that it would be good for the SBA Trust to have every staff on the DBS update service.

The SAB noted that the SAB need to receive a safeguarding update and the Chair would organise this with the Clerk.

The SAB requested the safeguarding link governor to organise a termly meeting with the DSL. The Chair to organise with the DSL.

Staff

The SAB noted the recruitment update.

The SAB noted that Maths replacement is required in September 2020.

6. Employment engagement project record

The SAB noted the Employment engagement project record.

The SAB suggested that the Principal liaise with the employment engagement link governor to confirm if this was the information he had requested.

7. **School Improvement Plan (2019/20) and SEF (2019/20)**

The SAB noted the updated School Improvement Plan.

It was agreed that the School Development Plan should come back to the May 2020 SAB meeting.

8. **Carolyn Unsted Report**

The SAB noted the Carolyn Unsted report.

The SAB noted the actions from this report and emphasised the importance of implementing these actions.

9. **Year 11 updated data dashboard**

The SAB noted the Year 11 updated data dashboard.

10. **Pay policy update**

The SAB noted the SBA pay policy update from the Executive Principal.

**Date of next meeting
4.00 pm, on Wednesday, 18 March 2020**

Confirmed as a true record

..... (Chair)

SOUTH BANK ENGINEERING UTC SCHOOL ADVISORY BOARD - WEDNESDAY, 5 FEBRUARY 2020
ACTION SHEET

Agenda No	Agenda/Decision Item	Action	Date Due	Officer	Action Status
4.	Matters arising	The SAB noted that the careers event will be held later in the year but the date is yet to be confirmed.		Austin Sheppard	Update at meeting
		Risk register would to the next meeting on 18 March 2020.	18 March 2020	Helena Abrahams	On agenda
		The SAB requested the SEND update to be on the next meeting agenda of 18 March 2020	18 March 2020	Austin Sheppard	On agenda

Agenda No	Agenda/Decision Item	Action	Date Due	Officer	Action Status
5.	Principal's report	On department reviews, the SAB requested to see a summary of the action plan so that they are able to measure progress.	18 March 2020	Austin Sheppard	In Principal's report
		The SAB requested to have indications on the chart showing pupil premium, SEN and gender.	18 March 2020	Austin Sheppard	In Principal's report
		The SAB requested the Principal to also include data on repeated offenders on the table.	18 March 2020	Austin Sheppard	Update at meeting
		The SAB requested the Principal to provide data on all exclusions to the SAB.	18 March 2020	Austin Sheppard	In Principal's report
		The SAB requested the Principal to review the SEND issues at the UTC.	18 March 2020	Austin Sheppard	On agenda
		The SAB requested the detention data on Year 12 students.	18 March 2020	Austin Sheppard	Update at meeting

Agenda No	Agenda/Decision Item	Action	Date Due	Officer	Action Status
7.	School Improvement Plan (2019/20) and SEF (2019/20)	The SAB requested the School Improvement Plan to come back to the May 2020 meeting.	13 May 2020	Austin Sheppard	On plan

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Principal's Report to SAB

Produced by: Austin Sheppard

Date: 13 3 20

a) Quality of teaching

Learning Walks

	Sept to Oct	Nov to Jan	Feb to Mar
Number of Learning Walks	33	37	20
Periods 1 and 2	24	25	4
Periods 3 and 4	0	6	14
Periods 5 to 7	7	6	2

A standard set of questions and format are used in each walk.

	Sept to Oct	Nov to Jan	Feb to Mar
All pupils were clear about lesson objectives	28	32	14
Technology was used as a teaching or learning tool	26	34	18
There was no evidence of feedback to pupils	3	1	1
All pupils were able to discuss and comment on feedback given to them	25	30	16
All pupils were on task and engaged during the observation	26	30	14
All pupils were following the code of conduct	28	33	16

Actions

- Training on engaging pupils through modelling, scaffolding and instruction methods have occurred.
- Updates on findings are sent to staff on the day of the LW.
- Concerns are raised with staff and line managers to address.

Department Reviews

The reviews involve the following activities: a pre meeting, a series of lesson observations, a book review, a series of pupil interviews and post review meeting. A report is prepared to summarise the findings and this term a lead teachers are required prepare a departmental improvement plans.

	Term 1	Term 2
Maths	Oct 2019	Jan 2020
English	Oct 2019	Feb 2020
Science	Oct 2019	Mar 2020
Engineering	Oct 2019	Mar 2020
Computing	Nov 2019	Tbc Mar 2020
Business Studies	Nov 2019	Tbc Mar 2020

Main Priorities from DIPs

English

- To develop the library use
- to improve 4 and 5 pass rates at KS4
- promote literacy across the curriculum

Maths

- Improve the quality of AfL
- Develop the schemes of work

Engineering

- Greater use of practical spaces
- Improve the speed and quality of KS5 feedback

CPD Sessions

These are weekly timetabled slots for all staff for Feb to March 2020

<i>Session</i>
Prevent
Behaviour Management
EHCP
Pastoral Care

Teaching and Learning Sessions

Sessions have been run on the principles of instruction by Rosenshine this half term

- Guided Practice
- Pupil Understanding
- Cognitive Apprenticeship

Teaching & Learning Conference

The Keynote speaker was David Weston from the Teacher Development Trust. There were number of workshops for staff and a comprehensive session on the Rosenshine's Principles of instruction.

Workshops

Title	Facilitator
Employer led projects	David Bell
Growth mindset and language	Clarise Mofor
SEND strategies	Elysa Alton
Using coaching to develop your staff	Giles Smith
Powerful knowledge curriculum	Hannah Dalton
Teaching tier two and three Vocabulary in the curriculum	Jayleigh Mathi
Stepping up to senior leadership	Austin Sheppard

Modelling Excellent Sentence Structures for Improved Writing at KS4.	Ruth Vandenhautte
SEND friendly approach to practicals	Ayan Abdi
What is Oracy?	Lizzie Bloor
Diagnostic questions in formative assessment	Jason Philipsz
Homework – what works?	Tom Plevoets
Knowledge organisers + technology = No marking and better AFL	Philip Herzberg

b) Attainment

Year 11 (current performance and professional prediction data)

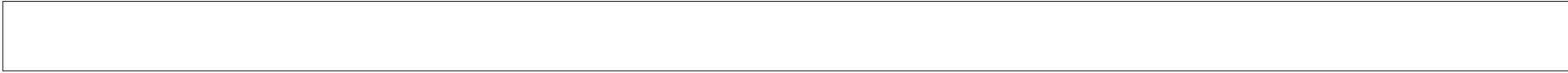
Data to be inserted here in school's own format for Year 11.

Notes: (commentary on performance of Year 11. To include measures: Attainment 8, Progress 8 / Progress from starting point, Basics at 4+ and 5+, key subjects at 4+. Needs to include current performance, change since previous data input and forecast. Needs to include commentary on gaps to target grades / subject residuals.)

Year 13 (current performance and professional prediction data)

Data to be inserted here in school's own format for Year 13.

Notes: (commentary on performance of Year 13. To include attainment at A*-C and A*-E for A levels, grades for BTEC, average grades, ALPS or progress/value added measures).



c) Attendance

KS4 – to date (08/03/20)

Year	Cohort size	2019-20	Cohort size.	2018-19	KS4 PA	2019-20.	2018-19.
10	26	92.34% (+0.54pp)	44	95.35%		19.23% (+3.85 pp)	12.19%
11	35	94.08% (-0.42pp)	53	92.20%		17.14% (+2.85 pp)	22.64%
Overall Att%	61	93.35% (=)	97	93.63%	Overall PA%	18.03% (+3.28pp)	18.08%

KS5 – to date (08/03/20)

Year	Cohort size	2019-20
12	96	82.08% (+3.27 pp)
13	59	85.17% (-1.83 pp)
Overall Att%	155	83.39% (+0.01 pp)

*UTC Target Attendance 2019/20 is 94%.

*Variations from Jan 2020 reporting.

Key Groups - to date (08/03/20)

1. Gender

Year	Gender	No. Students	Attendance
10	Male	17	95.53%
	Female	9	86.31%
11	Male	30	94.43%
	Female	5	92.04%
Overall Att%	All	61	93.35%

2. SEND (Including ECHP and SEN)

Year	SEND	No. Students	Attendance
10	Yes	5	91.85%
	No	21	92.46%
11	Yes	13	93.44%
	No	22	94.46%
Overall Att%	All	61	93.35%

Pupil Premium indicator

Year	PP	No. Students	Attendance
10	Yes	12	89.26%
	No	14	94.98%
11	Yes	14	91.70%
	No	21	95.67%
Overall Att%	All	61	93.35%

Ethnicity

Year	GRP	No. Students	Attendance
10	BAFR	5	96.71%
	BCRB	3	93.66%
	WBRI	5	89.06%
11	BAFR	8	95.19%
	BCRB	12	93.64%
	WBRI	5	89.25%

Behaviour and exclusions

Pastoral report – Behaviour

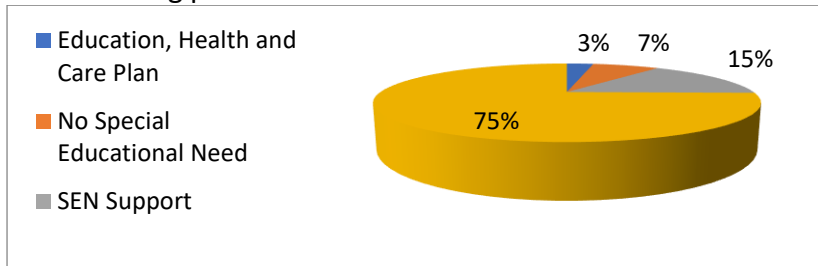
Fixed term Exclusions from 1st Sept 2019 – 29th February 2020:

	Year 10	Year 11	Year 12	Year 13
Number of exclusions	18	11	4	0
Total days	40.5	30.5	8	0
Maximum duration	5	5	2	0
Number of permanent exclusions	0	0	0	0

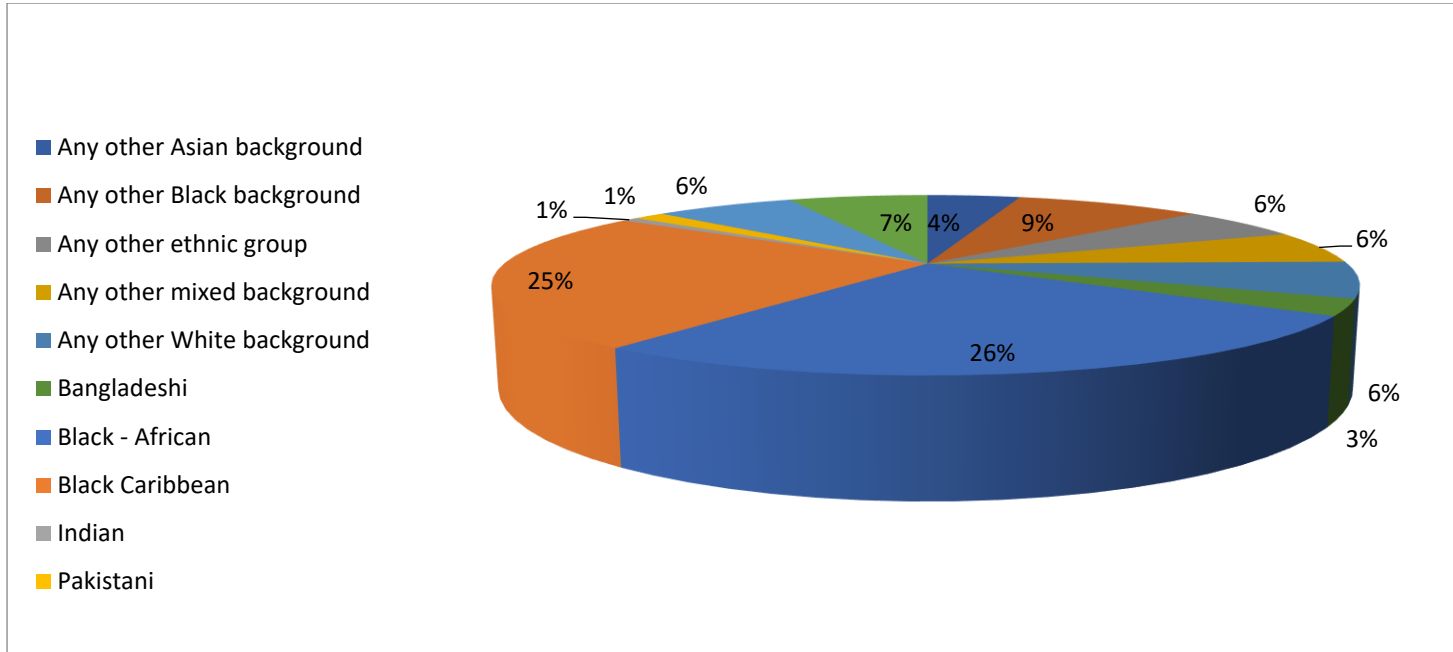
The following report shows the total number of behaviour incidents logged per month:

Year 10 January	Year 10 February	Year 11 January	Year 11 February	Year 12 January	Year 12 February
114	89	58	19	80	120

The following pivot chart shows the breakdown of the total incidents by SEND category from 1st September 2019 – 29th February 2020:



The following pivot chart shows the breakdown of the total incidents by ethnicity from 1st September 2019 – 29th February 2020:



d) **Safeguarding**

Safeguarding Update – March 2020

Please note the following information relevant to this group:

- All teaching staff received a Safeguarding information update in December
- All teaching staff have had a Prevent Duty information update session in February
- Governors need to receive a safeguarding update – Lesley to organise with DSL
- Main local issues which the UTC experiences include: Domestic violence, Female Genital Mutilation, knife crime, gang exploitation and poverty. Governors need to be aware of these issues
- The UTC actively uses CPOMS – an online portal to log incidents and share confidential information. The CPOMS icon is on every PC in the school and all staff have been trained to use it
- Link Governor for Safeguarding needs to organise a termly meeting with DSL – Lesley to organise with DSL

e) **Staffing**

Recruitment: (Include information on vacancies, staff leavers and joiners both for teaching and non-teaching staff)

Starting:

Teacher of Chemistry 23 March

Currently recruiting:

Director of Engineering (SEPT 20 start)

Lead Teacher of Health (May 20 start)

Teacher of English (SEPT 20 start)

Teacher of Maths (SEPT 20 start)

Also required:

SENDCO (SEPT 20 start)

Teacher of engineering/design technology (SEPT 20 start)

Roles currently delivered by agency staff:

TA Maths, TA Science, TA Engineering, Technician Science

Active disciplinary issues:

Lead teacher of maths about to start capability process

Risk Update Summary: December 2019

UTC – Risks that are reducing/changing

Risk No.	Risk Description	Previous Risk Rating	Updated Risk Rating	Direction of Travel	Further Notes
14	Failure to ensure that the quality of Management information produced by the UTC is of a high quality, timely and aids decision-making	4	2	↓	Probability has been reduced from 2 to 1
15	Failure to ensure that the quantity of Management Information produced by the UTC is good enough to aid decision making	4	2	↓	Probability has been reduced from 2 to 1
28	Inadequate level of expertise and challenge on Local Governing Body leading to ineffective local governance.	3	3	→	Probability has gone from 3 to 1 Impact has gone from 1 to 3

UTC – Risks that are still high

Risk No.	Risk Description	Previous Risk Rating	Updated Risk Rating	Direction of Travel	Further Notes
1	Failure of the UTC to recruit sufficient learners especially in Y710 and Y12 to make it viable	6	6	→	This risk continues to be high
3	Poor Student outcomes	6	6	→	This risk continues to be high
13	Safeguarding incident at one of the UTCs.	6	6	→	This risk continues to be high
17	Failure to ensure the managers of the UTC possess the skills and experience required to manage the UTC	6	6	→	This risk continues to be high

19	Failure to recruit key teaching and support staff posts. Inadequate competency of staff within the UTC.	6	6	→	This risk continues to be high
23	Failure to ensure the Financial reporting requirements of the UTC are met	6	6	→	This risk continues to be high

South Bank Academies UTC
Strategic and Reputational Risks

Risk No.	Risk Description	Risk Consequences	Impact	Probability	Overall Risk Rating	Existing Internal Controls and Evidence	Residual Risk Level	Assessment of Control Quality/Action Needed (Strong, Moderate, Weak)	Person Responsible	Direction of Travel	Next Review Date
1	Failure of the UTC to recruit sufficient learners especially in Y710 and Y12 to make it viable	Significant financial risk Risk that the confidence of stakeholders is diminished Cash flow problems Long term financial problems	3	2	6	Admissions Policy Parent/Carer Communication Marketing Strategy Integrated Financial Curriculum Planning Effective Networking	2	Moderate	Executive Principal Principals Marketing Team	→	
2	Failure to ensure that the objectives for the UTC are met	Risk that the UTC fails to operate within the strategic objectives agreed by the Local Advisory Body Risk that the UTC's strategic objectives become out of date or no longer appropriate Risk that the UTC receives an unfavourable Ofsted Report Risk that the objectives of the UTC are seen as controversial	2	2	4	Experienced Senior Leadership Team Principals' performance management with internal and external assessors Active and experiences Trustees and Local Advisory Body Stakeholders who take an active role in the operation of the UTC Regular Principal and Operations Meetings External Advisors Ofsted Action Plan T&L focus of the Governors Principals' Report Data Harvest	3	Moderate	Executive Principal Principals Marketing Team	→	
3	Poor Student outcomes	Poor examination results could cause a reputational and financial risk. Detrimental to student futures/careers. UTC's reputation at risk.	3	2	6	Teaching and Learning constantly monitored and reported. Termly attainment reporting sent to management and pupils Incoming students assessed for suitable attainment levels Executive Principal educational oversight UTC Improvement Partnership External consultants to improve Teaching and Learning Regular staff appraisals Trust HR Manager to advise on Staffing and issues. Principal reports to Local Advisory Body	5	Moderate/Weak	Executive Principal Principal SLT Trust HR Manager	→	

4	Failure to monitor and react according to the requirement of our stakeholders	Risk that stakeholders (especially students and families) and beneficiaries do not consider the UTC service to be valuable and high quality	3	1	3	Reports to Trustees Reports to SAB Parent/Carer Communication UTC Council Open Day Questionnaires Parent, Student, Staff surveys	2	Strong/Moderate	Executive Principal Principals SLT	→
5	Failure to monitor and react according to the requirement of our stakeholders	Risk that competitors make more attractive offer to stakeholders (students and families) leading to loss of students and poor retention. Risk that stakeholders fail to differentiate between the UTC and its competitors Risk of competition or the same share of the market	2	1	2	Marketing Strategy Effective Networking Post 16 Investments and Improvements Post 16 UTC Development Plan	1	Strong	Executive Principal Principals SLT Local Advisory Board	→
6	Failure to assess and review alliances and partnership with other organisations	Risk that an alliance or partnership is no longer appropriate Risk to the integrity of the UTC	1	1	1	Networking Visits to other UTCs Principal Meetings UTCs' Forum	0	Strong	Chief Executive Officer Executive Principal Principals SLT	→
7	Failure to ensure Information Technology in the UTC is maintained to the highest standard	IT security risk Risk to the corruption or loss of data Risk that IT equipment and services are outdated and no longer fit for purpose Financial risk Risk of Litigation	2	1	2	Outsourced IT service Regular back up of information on outsourced servers Acceptable Use Policy	1	Strong	Executive Principal Principal Vice Principal Outsourced IT Services Provider SLT Trust Business Manager	→
8	Failure to monitor the effect of risks over which the UTC has little or no control such as economic or natural disaster	Financial Risk Risk of Litigation Reputational risk	1	1	1	Part of UTC Insurance Review process organised by Trust Business Manager Fixtures, Fittings, Employer, Public Liability held by the UTC Disaster Recovery Plan ICT Disaster Recovery Plan Temporary building replacement scheme with insurers PREVENT strategy used in UTC Medical Reviews PHSE program in UTC	0	Strong	Executive Principal Principals SLT Trust Business Manager	↓

9	Failure of the UTC to recruit Governors who have the appropriate profile	<p>Risk that a Governor could attract negative publicity</p> <p>Risk that stakeholders view Governors merely as extension of SLT</p> <p>Risk that stakeholders lose confidence in the Local Advisory Body</p> <p>UTC receives a set of Unqualified Accounts from its annual audit. Fines from the ESFA</p> <p>Potential Financial Notice to Improve issues from the ESFA</p> <p>Financial Risk, Risk of Litigation, Reputational Risk, Risk to the future of the UTC, Risk of poor moral affecting staff and stakeholders</p> <p>Risk that committees fail to operate effectively</p> <p>Risk that committee delegation is poor</p> <p>Risk that Local Advisory Body does not delegate enough or delegates too much to the Principal or SLT.</p> <p>Risk that the Terms of Reference are inadequate and/or unfit for purpose</p> <p>Risk to the day-to-day operation of the UTC</p>	2	1	2	<p>Governor training and induction and recruitment process, formal application process</p> <p>Regular Governors' skills audit</p> <p>Monthly management accounts, budget monitoring</p> <p>Reports to SLT and Local Advisory Body</p> <p>Awareness of Financial Regulations</p> <p>Effective Internal and External Audit</p> <p>Monthly management accounts, internal; controls, daily reconciliations for real time data.</p> <p>Review of monthly accounts by Chair of FGP, robust financial policies and procedures, disseminated to staff</p> <p>Robust organisational monthly month-end review</p> <p>Risk Assessment process, Health and Safety policy, guidance on Data Protection, annual Governors' review and Terms of Reference, clear guidance on senior staff roles and clear cover arrangements</p> <p>Active Local Advisory Body membership, access to SLT for guidance and support</p> <p>External Advisors Judicium</p>	1	Strong	<p>SBA Board</p> <p>Local Advisory Boards</p> <p>LSB Governance Team</p> <p>Chief Operating Officer</p> <p>Executive Principal</p> <p>Principals</p>	↓	
10	Failure to comply with legislative requirements.	<p>Financial Risk</p> <p>Reputational Risk</p> <p>risk of Litigation</p> <p>Risk of poor morale affecting staff and stakeholders</p> <p>Risk to the future of the UTC and Trust</p>	3	1	3	<p>Clear policies disseminated to all staff</p> <p>Risk Assessment Process</p> <p>Health and Safety Policy</p> <p>Guidance on Data Protection</p> <p>External consultants and experts used</p> <p>Regular external and internal review of legislative areas in UTC</p>	2	Strong	<p>Executive Principal</p> <p>Principal</p> <p>SLT</p> <p>Trust Business Manager</p>	↓	
11	Failure of The UTC and the Local Advisory Board to have procedures in place to cover the absence of the Principal or other members of the Senior Leadership Team	<p>Financial Risk</p> <p>Reputational Risk</p> <p>Risk of poor morale affecting staff and stakeholders</p> <p>Risk to the day to day operations of the UTC</p> <p>Risk that Terms of Reference are inadequate or not fit for purpose</p>	2	1	2	<p>Clear guidance on Senior Staff roles</p> <p>clear cover arrangements</p> <p>Regular Local Advisory Board meetings</p> <p>CEO and Executive Principal meetings</p> <p>Access to SLT for guidance and support</p> <p>External Advisors Judicium, Local Authorities, LSBU Sponsor, UTC</p> <p>Improvment Partners</p> <p>Regular meetings with the Executive Principal</p>	1	Strong	<p>Executive Principal</p> <p>Principal</p> <p>Local Advisory Board</p>	↓	
12	High profile event in the UTC affects Trust overall and its reputation.	<p>Risk to reputation nationally and locally to the UTC and the trust.</p> <p>Risk to the Sponsor's reputation.</p>	3	1	3	<p>UTC has a Critical Incident plan which is reguarly assessed listing a delegation of duties in the event of an emergency situation.</p> <p>Advice abnd Expertises of the sponsor</p> <p>LSBU to advise in difficult circumstances</p> <p>Access to LSBU Sponsor legal expertise and advise</p>	2	Strong	<p>Executive Principal</p> <p>Principal</p>	→	

13	Safeguarding incident at one of the UTCs.	Risk to reputation locally and nationally DfE and HSE intervention depending on scale of the event. Risk of drop in numbers of enrollments	3	2	6	Experienced SENDCO employed at UTC All staff and governors are given safeguarding and prevent training annually All students and staff complete e-safety training and firewalls are in place to secure all ICT networks.	4	Moderate	Executive Principal Principal Principal SLT	↓	
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South Bank Academies UTC
Operational Risks

Risk No.	Risk Description	Risk Consequences	Impact	Probability	Overall Risk Rating	Existing Internal Controls and Evidence	Residual Risk Level	Assessment of Control Quality/Action Needed	Person Responsible	Direction of Travel	Next Review Date
14	Failure to ensure that the quality of Management information produced by the UTC is of a high quality, timely and aids decision-making.	Risk that the financial and non-financial performance of the UTC cannot be managed or reviews by SLT Risk that the financial and non-financial performance of the UTC cannot be challenged or reviewed by the Trust or SBA Board Risk to the UTC of receiving poor audits and inspections	2	1	2	Regular reporting and review of performance against targets for recruitment SIP and Self Evaluation Trustee and Local Advisory Body reports and Minutes Support from the UTC administration team Outsourced Data platforms	1	Strong	Executive Principal Principals SLT	↓	
15	Failure to ensure that the quantity of Management Information produced by the UTC is good enough to aid decision making	Risk that the SLT cannot take informed decisions Risk that the Local Advisory Body cannot make informed strategic decisions Risk that the Local Advisory Body has no financial expertise Risk that the individual Governors' play a 'passive' role on the Local Advisory Body Risk that leadership does not have the capability or experience within the sector, risk that the SLT do not have the integrity required. Risk that succession planning is ignored, risk that too much emphasis is placed on entrepreneurial work and strategic objectives of the UTC are ignored. Risk to staff and stakeholders of low morale, risk of poor recruitment of learners to UTC, risk of poor retention and success rates. Risk of recruiting unsuitable staff, risk of poor appraisal, CPD processes and the need to instigate costly disciplinary procedures, tribunals etc. Financial Risk, Risk of Litigation, Risk to the achievement of the UTC's Strategic objectives	2	2	2	Regular reporting and review of performance against target for recruitment SLT review process Trustee and SBA Board and Local Advisory Board reports and minutes UTC Recruitment and Selection policy and procedures, continuing professional development, appraisal, Staff Development strategy ESFA Handbook Active Senior Team Membership Continuing Professional Development Active Local Advisory Body membership Trust HR Manager for recruitment and employment oversight	1	Strong	Executive Principal Principals SLT Trust HR Manager	↓	

16	Failure to implement a Risk Management Strategy	Failure to optimise educational opportunities Non-compliance with ESFA requirements Exposure of the UTC to unnecessary risk Increased cost, eg insurance	1	1	1	Thorough recruitment programme with all relevant staff trained Comprehensive professional development Strong Appraisal system Competitive remuneration and career development.	0	Strong	Executive Principal Principal Principals SLT Local Advisory Board	→
17	Failure to ensure the managers of the UTC possess the skills and experience required to manage the UTC	Risk that the leadership at all levels including subject areas does not have the capability or experience within the sector Risk of poor recruitment of learners to the UTC Risk of poor retention and success rates Risk of recruiting unsuitable staff Risk of poor appraisal, CPD processes and the need to instigate costly disciplinary procedures	3	2	6	UTC Recruitment and selection policy and procedures Active Senior Leadership Membership Continual professional development Staff development strategy INSET Training Days Trust Finance Manager Trust HR Manager	4	Moderate	Executive Principal Principal Principals SLT Trust HR Manager Trust Finance Manager Trust Business Manager Chief Executive Officer	↓
18	Staff Recruited to the UTCs do not have the required skills and expertise to meet the strategic objectives of the UTC.	Risk to staff and stakeholders of low morale risk of poor recruitment of learners to the UTC risk of poor retention and success rates Risk of recruiting unsuitable staff Risk of poor appraisal CPD processes and need to instigate costly disciplinary tribunals.	2	2	4	UTC recruitment and selection policy and procedures Active Senior Team involvement in Recruitment Advice and support from the Trust Business Manager Continuing professional development Trust HR Manager oversight	2	Strong	Executive Principal Principal Principals SLT Trust HR Manager	↓
19	Failure to recruit key teaching and support staff posts. Inadequate competency of staff within the UTC.	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.	4	Moderate	Executive Principal Principal Principals Trust HR Manager	↓
20	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	3	Integrated Financial Curriculum Planning Monthly monitoring of staffing Exit interviews Timely recruitment processes Experienced Trust HR Manager in place	2	Strong	Executive Principal SLT Chief Executive Officer	↓

**South Bank Academies UTC
Compliance Risks**

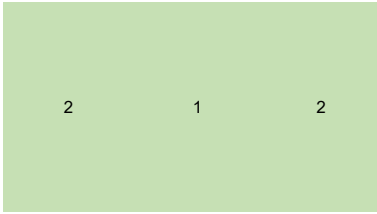
Risk No.	Risk Description	Risk Consequences	Impact	Probability	Overall Risk Rating	Existing Internal Controls and Evidence	Residual Risk Level	Assessment of Control Quality/Action Needed	Person Responsible	Direction of Travel	Next Review Date
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21	Failure to ensure the UTC complies with employee legislation	<p>Risk that legislative requirements are not known or complied with</p> <p>Risk that Equal Opportunities legislation may not be complied with or discrimination in the work place may occur</p> <p>Risk that Data Protection legislation may not be complied with</p> <p>Risk that Human Rights legislation will not be complied with</p> <p>Risk that employee contract legislation may not be complied with</p> <p>Risk that employee Pension legislative requirements are not known or complied with</p> <p>Risk that Health and Safety legislative requirements are not known or complied with</p> <p>Fines for not ensuring right to work in the UK</p>	2	1	2	<p>Support of HR Advice and the associated policies and procedure</p> <p>Support of UTC Data Protection Officer and supporting policy and procedure</p> <p>Health and Safety Policy</p> <p>First Aid Policy</p> <p>Fire Safety Policy</p> <p>Support from the UTC's external Health and Safety Officer</p> <p>External Advisors – Judicium</p> <p>Safeguarding policy</p>	1	Strong	Executive Principal Principals Trust HR Manager	↓	
22	Failure to ensure the UTC complies with environmental legislation	Risk that UK legislative requirements are not known or complied with	1	1	1	<p>Reporting to SLT and Local Advisory Body</p> <p>Support of the site team as appropriate</p> <p>Monthly Management Accounts</p> <p>Reports to Finance and General Purposes Committee and the Local Advisory Body</p> <p>Budget monitoring</p> <p>Awareness of Financial Regulations and AFH</p> <p>Effective External Audit</p> <p>3 year financial forecasts</p> <p>Support from the Responsible Officer</p> <p>Recycling program both teachers and students</p> <p>IT disposal policy</p>	0	Strong	Executive Principal Principals Trust Business Manager SLT	↓	
23	Failure to ensure the Financial reporting requirements of the UTC are met	<p>Risk that the legislative requirements relating to the production and reporting of the Statutory Accounts are not known or complied with</p> <p>Risk that the legislative requirements relating to Accounting Standards are not known or complied with</p> <p>Risk that the Charities Statement of Recommended Practice [SORP] legislative requirements are not known or complied with</p>	3	2	6	<p>Monthly Management Accounts</p> <p>Reports to Finance and General Purposes Committee and the Local Advisory Body</p> <p>Budget monitoring</p> <p>Awareness of Financial Regulations and AFH</p> <p>Effective External Audit</p> <p>5 year financial forecasts</p> <p>Support from the UHY internal Audit</p> <p>Governors Annual Audit against financial handbook.</p> <p>Governors Control document</p>	4	Moderate	Executive Principal Principals Local Advisory Board Chief Executive Officer Trust Business Manager	→	
24	Failure to ensure that the UTC ensures that Data Protection systems, procedures and processes are adequate	<p>Risk that the legislative requirements relating to the protection of data are known and complied with</p> <p>Financial risk</p> <p>Litigation risk</p>	2	1	2	<p>Support of outsourced Data Protection Officer and supporting policy and procedure</p> <p>Data Audit by external consultant</p> <p>Trust has an updated GDPR Policy</p> <p>All Trust and UTC staff have received GDPR training</p>	1	Strong	Executive Principal Principal SLT	→	

25	Failure to ensure that the UTC is compliant in respect of Welfare issues	Risk that the legislative requirements relating to disability are not known or complied with Risk that the legislative requirements of the Child Protection Act are not known or complied with	2	1	2	Support of HR Manager and the associated policies and procedures Parent/Carer Communication DBS Policy Citizenship Policy Personal, Social, Health Education Policy Reporting mechanisms to the Local Advisory Body Safeguarding Officer and ongoing training RESPECT procedures EpiPen Training Attendance Review	1	Strong	Executive Principal Principal Principal SLT	→
26	Failure to ensure that the UTC is compliant in respect of the requirements of the UTC sector	Risk that the legislative requirements relating to the National Curriculum are not known or complied with Risk that the legislative requirements relating to mental health are not known or complied with	1	1	1	Reporting mechanisms to the Local Advisory Body Government Website and advice External website subscriptions – The Key Exam entries Subscriptions to professional bodies Curriculum leaders meeting and regular review TBM networking with Baker Dearing and SBM groups for UTCs Reports to SLT and the Local Advisory Body Ofsted Inspections Internal and External Audit Networking Visits to other UTCs Principals' Meetings External subscriptions – The Key (UTCs and Governors)	0	Strong	Executive Principal Principal Principals SLT Trust Business Manager	↓
27	Failure to ensure that the UTC is compliant in respect of the requirements of the Government and other relevant Authorities	Risk that the terms and conditions relating to the payment of any grant is not known or complied with Risk that the legislative requirements relating to licensing are not known or complied with	1	1	1	Networking Visits to other UTCs Principals' Meetings External subscriptions – The Key (UTCs and Governors)	0	Strong	Executive Principal Principal Principals SLT	↓
28	Inadequate level of expertise and challenge on Local Governing Body leading to ineffective local governance.	Failure to achieve mission and objectives of the UTC/Trust. Poor decision making and information flow.	3	1	3	Appropriate recruitment process for governors. Representation of the Trust on local governing bodies Annual review of local governing bodies including skills audit.	2	Strong	Executive Principal Principal Principal Local Advisory Board	→
29	Serious breach of health & safety regulation or disability legislation occurs	Risk of litigation and Reputational risk.	3	1	3	Policies and procedures consistent with relevant legislation. Independent audit on Health and Safety and Policies Regular reports to the board Oversight of Trust Business Manager Adequate insurance cover through Govt recommended RPA Scheme	2	Strong	Executive Principal Principal	→
30	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 UTC reputation	3	1	3	Maintenance programme in place assessed and monitored by Principal and forwarded to Trust Adequate budgets for building maintenance are provided Regular site checks and external audits Appointment of skilled, qualified Premises Manager and team Funding by the Trust for Capital Expenditure on Buildings Access to CIF bid expertise and consultants.	2	Strong	Executive Principal Principal Principal Trust Business Manager Trust Business Manager Vice Principal Business Support Officer	→

31 Failure to safeguard Trust or UTC Assets from theft or damage by a third party.

Damage to building and assets
Health and safety risk to students and staff
Reputational damage and poor learning outcomes.

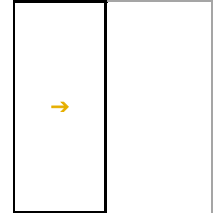


UTC has adequate security systems
Budgetary allowance for upkeep and maintenance
Asset registers at each establishment are monitored and audited regularly
DFC Funding for maintenance and upkeep.
Adequate insurance is provided by Govt recommended insurance scheme RPA



Strong

Principal
Vice Principal
Premises
Manager



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