

Meeting of the South Bank Academies Board

1.00 - 3.00 pm on Tuesday, 11 December 2018
in 1B27 - Technopark, SE1 6LN

Agenda

<i>No.</i>	<i>Item</i>	<i>Pages</i>	<i>Presenter</i>
1.	Welcome and apologies		RF
2.	Declarations of interest <i>Directors are required to declare any interest in any item of business.</i>		RF
3.	Minutes of last meeting	3 - 6	RF
4.	Matters arising	7 - 18	RF
	Items to discuss		
5.	CEO's Report <ul style="list-style-type: none"> • UTC draft inspection report 	19 - 52	NL
6.	Management accounts update	Verbal Report	CC
7.	Safeguarding reports	53 - 72	DC
8.	Governance update <ul style="list-style-type: none"> • Trustee recruitment update 	73 - 86	MB
	For Approval		
9.	Annual cost of living pay awards	87 - 90	CC
	Year End matters		
10.	External audit findings	91 - 136	CC
11.	External letter of representation	137 - 144	CC
12.	Annual report and accounts 2017/18 (to approve)	145 - 190	NF
13.	Appointment of auditors	191 - 192	MB
	Items to note		
14.	Policies Update	193 - 194	CC
15.	Risk registers	195 - 214	CC
16.	SBA Audit committee and School Advisory	215 - 216	AE

<i>No.</i>	<i>Item</i>	<i>Pages</i>	<i>Presenter</i>
	Board reports		
17.	Annual register of interests	217 - 222	MB

Date of next meeting
4.00 pm on Thursday, 21 March 2019

Members: Richard Flatman (Vice-Chair, in the Chair), Nicole Louis, Lesley Morrison and James Stevenson

Apologies: Douglas Denham St Pinnock, Tony Giddings and David Phoenix

In attendance: Michael Broadway, Clym Cunningham, Dan Cundy, Shivani Kothari and Alexander Enibe

**Minutes of the meeting of the South Bank Academies Board
held at 2.00 pm on Thursday, 11 October 2018
1B16 - Technopark, SE1 6LN**

Present

Richard Flatman (Vice-Chair, in the Chair)
Douglas Denham St Pinnock
Tony Giddings
Nicole Louis
Lesley Morrison
David Phoenix
James Stevenson

Apologies

Richard Parrish

In attendance

Michael Broadway
Natalie Ferer
Joe Kelly

1. Welcome and apologies

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

2. Declarations of interest

No member declared any interest in any item on the agenda.

3. Minutes of last meeting

The Board approved the minutes of the meeting held on 19 July 2018, with minor amendments.

4. Matters arising

The Board noted the Judicium audit report will be circulated to members prior to the next meeting and, if available, discussed at the Audit Committee meeting on 12 November 2018. The Board requested that any key recommendations are acted on immediately.

5. CEO's Report

The Board discussed the Interim CEO's report.

The Board noted that Judicium had offered guidance re the UKVI / SCR audit and the Board requested the report is circulated.

The Board noted that a new Trust Business Manager had been appointed and would start in post on 15 October 2018: interviews for the Interim Executive Principal role would take place on 18 October 2018.

The Board noted exam results at both schools and the challenges which exist particularly in relation to A-levels. Exam performance was discussed in depth at both SABs and both will monitor intervention plans. The Board noted that staff and curriculum changes are already in progress. The Board requested that information on the destination of leavers is circulated.

The Board noted good student recruitment to Sixth Form and requested a medium-term plan. The Board noted that SABs would review A-level curriculum early in 2019.

The Board noted good GCSE results at the UTC and offered congratulations to staff.

The Board noted that the Baker Dearing Trust had announced plans to allow UTCs to recruit from age 11.

The Board noted that an Ofsted preparation session was held on 10 October 2018 for local governors in anticipation of an inspection at the UTC. It was decided that a mock inspection would not be held but that the Lambeth Adviser would support Middle Leaders in preparation.

6. Finance update

The Board discussed the finance updates.

The Board noted the annual audit was in progress and draft financial statements 2017/18 would be presented to the next meeting. The Board noted a surplus of £272k is predicted but that this is likely to be adjusted. The Board noted that the land valuation, in relation to the Academy, is dependent on the DfE. The Board noted that the internal audit by PwC was in progress.

The Board noted that the budget 2018/19 was being updated to reflect revised GAG (General Annual Grant) calculations.

The Board noted the changes to the bank mandate. The Board approved the following authorised signatories and requested the bank signatories be further revised to incorporate the Executive Principal and consideration be given to an A / B structure.

Nicole Louis – Chief Executive
Richard Flatman - Director
Natalie Ferer – Group Financial Controller
John Taylor – Principal
Dan Cundy – Executive Principal

7. **Governance**

The Board discussed the Governance reports.

The Board noted the recent update given to the DfE on the governance review and the positive feedback received.

The Board noted that recruitment was starting for three trustees - an independent Chair of the Board and Chairs of SABs – and an Executive Principal. Trustees were asked to encourage suitable candidates from their networks to apply.

The Board noted the final draft of the Governance Agreement, defining the relationship between SBA and LSBU would come to the next meeting in December after being discussed with the DfE.

The Board approved the appointment of Nicole Louis as Accounting Officer.

8. **Consolidation of audits report**

The Board noted the consolidation of audits report.

The Board noted the Health & Safety review raised matters for immediate management attention. Both schools have action plans to address the recommendations and will be supported by LSBU Estates: progress reports will be reviewed by the Audit Committee and Board.

The Board noted that asbestos was present in the UAE and requested that the LSBU Estates team inspect the premises. The Board agreed the principle of support from LSBU.

The Board noted that staff recruitment was a key issue in relation to both pay structure and its impact on accessing experienced staff.

The Board requested:

- (i) an action plan to track key issues and regular reports
- (ii) an annual Health & Safety report
- (iii) a six-monthly staffing report.

9. **Safeguarding update**

The Board discussed the Safeguarding reports.

The Board requested trend analysis and baseline reporting and an interpretation of acronyms and explanation of the significance of different levels and actions to accompany each report. The Board requested a revised report is circulated via email to the Board. The Board requested an Executive Principal report to each meeting covering educational aspects and Safeguarding.

10. **UTC Transitional Funding 2018/19**

The Board noted the UTC Transitional Funding 2018/19 report.

11. **Accounting and internal control systems update**

The Board noted the update on the accounting and internal control systems.

12. **Public Benefit statement**

The Board noted the Public Benefit statement for inclusion in the annual report and accounts.

13. **School Advisory Board reports**

The Board noted the reports from the School Advisory Boards.

The Board noted that a 3-5 year strategy for the development of the UTC was a condition of funding and should reflect the sustainability of the Trust and its operational model. The Board agreed to schedule a Trust strategy day and requested that the current strategy is circulated to members.

Date of next meeting
2.00 pm, on Tuesday, 27 November 2018

Confirmed as a true record

..... (Chair)

**SOUTH BANK ACADEMIES BOARD - THURSDAY, 11 OCTOBER 2018
ACTION SHEET**

Agenda No	Agenda/Decision Item	Action	Officer	Action Status
4.	Matters arising	Judicium data audit / report to be circulated to Governors	Nicole Louis	verbal update
5.	CEO's Report	UKVI / SCR audit report (Judicium) to be circulated Circulate summary of destination of leavers Update on outcome of EP interviews SABs to review A-level curriculum early 2019	Clym Cunnington Clym Cunnington Nicole Louis Nicole Louis	On Audit committee agenda for meeting of 27/11/18 completed email circulated on 19/11/18 on business plan
6.	Finance update	SBA bank mandate to be revised	Natalie Ferer	completed
7.	Governance	Final draft of Governance Agreement to the next Board meeting after discussion with DfE	Michael Broadway	Draft governance agreement still to be discussed with DfE. Will be brought to the next Board meeting
8.	Consolidation of audits report	Incorporate schools into LSBU Health and Safety Committee (i) an action plan to track key issues and regular report (ii) an annual Health & Safety report (iii) a six-monthly staffing report.	Nicole Louis, Clym Cunnington, Ed Spacey and Clym Cunnington	To do on plan

Agenda No	Agenda/Decision Item	Action	Officer	Action Status
9.	Safeguarding update	(i) an interpretation of acronyms and explanation of the significance of different levels and actions to accompany each report (ii) a regular assurance report.	Clym Cunnington	on agenda
13.	School Advisory Board reports	Arrange Trust strategy day Circulate current SBA strategy to trustees	Nicole Louis Clym Cunnington	14 May 2019 attached



**London
South Bank
University**

EST 1892

South Bank Academies

Towards 2020

Draft Strategic Plan

**Creating professional opportunities
for young people in South London**

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Our Vision

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

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

Foreword

The education system has seen a significant change over the last six years with the emergence of multi-academy trusts, university technical colleges (UTCs), studio schools and free schools.

London South Bank University launched a STEM Academy in Southwark in 2014 to support the development of employment oriented education in South London. The Academy quickly established itself as a school of choice in our community. We extended the STEM educational opportunities further by opening a UTC in Brixton for 14 – 19 year old young people in Lambeth and neighbouring boroughs. The Academy and the UTC are now part of the South Bank Academies Trust sponsored by the University.

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

Our academies are closely aligned with London South Bank University will all teachers and students designated as associate members of the university community. The students and staff of the academies can access university facilities such as the laboratories, library and the Academy of Sport. They seek to provide a STEM based, employer focused education whilst ensuring the holistic development of each individual student. Our primary driver is to ensure we play an active role in helping each of our students develop to their full potential irrespective of background.

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

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

Professor Dave Phoenix OBE
Chair, South Bank Academies Trust

Intro- duction

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

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

Although our Trust is young, having been established earlier this year, its support to the education in South London is rapidly developing. We are also delighted with the way the collaboration with world leading employers and the University is developing. Partnerships with employers is important to us, as employer links provide a real world context to the education through mentoring and internships, but also offer apprenticeships and employment opportunities for our students. The access to the University's staff and facilities means our students have an enormous advantage in their learning and personal development.

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

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

Professor Rao Bhamidimarri
Chief Executive

Strategy at a glance

Outcome 1 – Student success:

We will apply the principles of our educational framework to help ensure pupils reach their potential academic achievement and have the skills needed for career success

Goal 1: Student progress, attainment and success

All our students will show high levels of achievement and will be in higher education, apprenticeships or employment upon completion of their studies regardless of their background.

Goal 2: Student welfare and engagement

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

Outcome 2 – Real world impact:

Our learning environment will help prepare pupils for life in the real world;

Goal 3: Innovative and entrepreneurial learning environment

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

Outcome 3 – Access to opportunity:

We will provide access to new networks and opportunities through collaborations with local partners

Goal 4: Collaborative development

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

Enablers:

Goal 5: Effective resource management

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

Goal 6: People and organisation

Our Academies and Colleges offer development support to all our staff to attract and retain high quality staff and to ensure that we have high performing institutions.

Outcome 1: Student success

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

The schools' focus activity around our educational framework:

- We provide the knowledge needed to succeed
- We enable learning through the application of knowledge to ensure understanding

- We emphasise the use of extra-curricular activity to develop confidence
- We use links to business and the professions to help provide insight into future roles and opportunities

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

Secondary School students are mature enough to take on responsibility and act increasingly independently, but to get the best out of their learning, they need a safe environment. The Trust recognises that safeguarding and promoting the welfare of all children in the academies is the responsibility of all who come into contact with them.

The children must receive the right help at the right time to mitigate risks and to prevent issues escalating. We will ensure that our students grow up with the provision of safe and effective care, and that action is always taken to enable all children to have the best outcomes.

Goal 1: Student progress, attainment and success



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

Where our Schools will be by 2020

- Our Key Stage 4 and Key Stage 5 attainment and progress levels will put us in the top 25% of schools nationally.
- All our students will participate in enrichment programmes and all students progress into higher education, apprenticeships or employment.
- Disadvantaged and other vulnerable groups of students perform in line with their peers.
- Internal assessments will show that all of our teaching is consistent with Good or Outstanding schools.

The role of our Trust – by 2020

- Our academies and colleges will be outstanding places of learning and personal development for young people in South London communities.
- We will offer additional certificated education and training opportunities for our students in partnership with the University and industry partners to enhance career opportunities for our students.
- All of our institutions will be rated 'Good' or better by Ofsted, maintaining a strong reputation for the group.

Goal 2: Student welfare and engagement

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

Where our Schools will be by 2020

- Our students will be preferred by universities and world leading employers.
- We will aim for no permanent exclusions across any of our academies and colleges.
- We will grow our whole schools attendance records to 97%
- External health and safety audits will record that our academies have no critical incidents each year.
- Every one of our students will participate in enrichment programmes including voluntary projects.

The role of our Trust – by 2020

- All teaching posts will be filled with high quality staff.
- We will aim for a record of zero critical safeguarding issues within our institutions.
- All governors will maintain fully training on safeguarding, including Prevent and e-safety.
- We will keep up to date and functional data protection policies.



Outcome 2: Real world impact

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

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

Goal 3: Innovative and Entrepreneurial Learning Environment

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

Where our Schools will be by 2020

- Students and parents will celebrate our success with at least 95% Satisfactory returns to our Key Stage 4 and Key Stage 5 questionnaires.
- Feedback from employers and industry will be at least 90% positive each year.
- We will ensure that all students have access to a computer or device Each school will grow the number of sponsor-led student projects to at least 6 each year.
- Students at each school will be able to access University modules.

The role of our Trust – by 2020

- We will have innovative learning environments in our academies and colleges that will promote student led learning with access to state of the art infrastructure.
- We will increase the financial reserves available for capital infrastructure projects to £250k each year.
- We will invest at least £50,000 per annum on curriculum innovation and implementation.



Outcome 3: Access to opportunity

We constantly renew the learning resources including science and engineering equipment in line with the real work place standards. The employer links offer distinct advantage to our students by working directly with practising scientists and engineers on real world projects.

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

Goal 4: Collaborative Development

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

Where our Schools will be by 2020

- Every one of our students will engage in post 16, Further Education course of study or apprenticeships.
- All of our post 16 students will have mentoring or work experience placements.
- Parent engagement will be 95%.
- Staff and resources will be deployed across the Trust to maximise value and impact.

The role of our Trust – by 2020

- We will establish two more schools within South London boroughs by 2020 to enhance collaborative learning opportunities for our students.
- We will expand the number of masterclasses or workshops led by employers and universities and enhance opportunities for interaction of students and staff with business and industry.
- We will ensure London South Bank University and employer partners is integral to the learning and personal and professional development of our students.

Enablers

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

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

Our academies are committed to providing outstanding teaching and learning with appropriate learning and development support. We set high expectations for every student regardless of their background and attainment at the time of joining our academies. We provide continuing professional development opportunities to our staff enabling them to remain at the forefront of their subjects and pedagogy. We also undertake research into heutagogy or self-determined learning to continuously improve our innovative approach to learning and teaching.

Goal 5: Effective resource management

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

Where our Schools will be by 2020

- All our schools will be graded "Good" or better by Ofsted.
- 1.5% of each school's income will be self-generated through Enterprise and commercial activities.
- Our staff costs will not exceed 75% of our General Annual Grant income.
- The Local Governing Bodies will meet at least 5 times a year to ensure effective Governance and support to the Principals.

The role of our Trust – by 2020

- The annual surplus in our Trust accounts, and all Trust schools accounts, will have risen to 3% of income.
- The Trust will offer comprehensive central services to schools so that the schools focus on enhancing teaching & learning and student support.
- Costs of running the Trust will not exceed 6% of the incomes of our schools to ensure that investment in learning & teaching and student support is maximised.
- Our Trust will meet at least 4 times each year, and ensure 100% of our statutory requirements are met.
- Annual audit will be authorised and returned to DFE, and returns made to Companies House, on time each year.

Goal 6: People

High quality staff will embrace the challenges of curriculum innovation and novel pedagogies and take particular pride in creating a distinctive learning environment and learning community.

What our people profile look like by 2020

- All our staff embrace the distinctive education vision of the Trust and are confident of challenging the status quo in learning and teaching.
- Staff feel they are valued and are fairly rewarded as reflected by below average staff turnover rates.
- 50% of the Senior Leadership Team developed internally.
- Trust staff are accorded the status of the Associate Staff of the University, thus

enabling them to access the resources and facilities of the University.

What the Trust will do to support staff

- The Trust and the University will make staff development programmes available to all staff.
- The Trust, working with the University will develop and implement an organisational development plan for each of the schools.
- Students of the Trust will have access to the University's Library, Academy of Sport, laboratories and workshops.
- The Trust will identify career progression opportunities across the Trust consistent with the MAT strategy.

Our values

Excellence

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

Professionalism

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

Inclusivity

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

Integrity

We are an educational institution committed to creating educational opportunities for young people in South London. Honesty, sincerity and openness transcend the activities of the Trust and our schools.

Creativity

The ethos of education in our academies is to nurture the inherent curiosity and creativity in pupils, to support innovation and the skills they will need in whatever career path they choose.

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	CONFIDENTIAL
Paper title:	CEO's Report
Board/Committee:	South Bank Academies Board
Date of meeting:	11 December 2018
Author(s):	Nicole Louis, CEO
Sponsor(s):	The Board
Purpose:	To Review
Recommendation:	To review the CEO's Update Report

Executive Summary

The CEO's Report is written to update the Board on the main activities of the Trust and its Academies. This report covers items such as Audit Reports, Annual Report, Recruitment of Management Positions, Salary Increases, DfE Meeting, Mock Ofsted Findings and Y13 Destinations. This report is for the Board to review.

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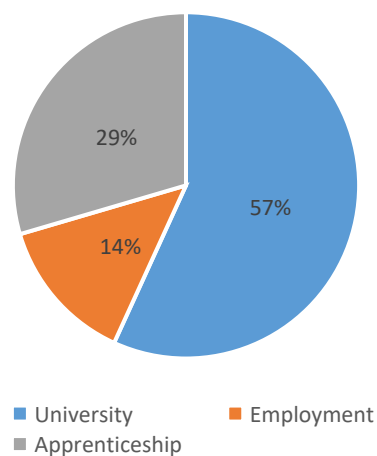
South Bank Academies Trust

1. Following an internal recruitment process and an interview selection panel comprised of SBA Board members, a HR lead and the PVC for South Bank Colleges, Dan Cundy, of the UTC has been appointed as the Executive Principal for the Trust effective 12th November. Dan will continue to act as the Principal for the UTC for the remainder of the academic year and we the process for back-filling a leadership role for UTC has commenced. The appointment of an Executive Principal is in line with recommendations arising from the DfE review of governance.
2. The Annual Report and Statement of Financial Activity for the period 2017/18 is nearing completion in accordance with DfE Accounts Direction. As of 30th November 2018 the draft Accounts are ready in both accounting and non-accounting content and formatting. The Trust is waiting for final amendments and adjustment from Kingston Smith at which point the SOFA will be finalised. The draft Accounts have been approved by the Audit Committee and are on target for timely reporting to the ESFA by 31st December 2018.
3. During the November period 2018 the Trust received Audit Reports from PwC and Kingston Smith. Following the PwC Audit, work has begun to address the report findings. The Kingston Smith Management Letter points were presented by the auditors to the Audit Committee on 27th November 2018.
4. Following the finding of the HR audit undertaken for both schools, the Trust has now appointed a HR Manager to work across both schools, who will lead on all matters relating to HR transaction, compliance and organisation development. Audits of the single central register (SCR) for both schools have now taken place and a number of areas requiring action have been identified. The HR Manager is leading on the action plan. The reports were shared with the SBA Audit Committee.
5. Salary step increases and cost of living increases have been prepared for approval by the SBA Board. The award for Teachers is based on a Government funded increase in addition to a 2% increase funded by the Trust to those Pay Scales unaffected by DFE Teachers Pay Award. All support staff across the MAT and the two Academies Cost of Living increase in line with Budget Forecasts.
6. Richard Flatman, Nicole Louis, Dan Cundy and Clym Cunnington attended a general monitoring meeting at the DfE on 20th November where we provided an update on governance operations, strategy and funding across Trust. The meeting was positive and collegiate and a reporting letter will be generated by the DfE from this meeting and sent to us.

South Bank Engineering UTC

7. The UTC is currently preparing for its first OFSTED inspection and continues to implement a number of measures to ensure readiness. A recent DfE Education Advisor visit (8th October) identified a range of improvements since the last visit (March 18) but also highlighted a number of areas which required additional attention in order for the school to be fully Ofsted ready. Areas requiring attention include (but are not restricted to); readiness of middle leader staff, readiness of governors, compliance with link governors assigned to SEN and Safeguarding (now complete), further work on the SEF and the Improvement plan and updating the SCR. A mock OFSTED inspection took place on the 13th November by Judicium. The final report is included. The overall score from the assessor on the day was 'Good'. The areas in particular which are strong are: Safeguarding, Leadership & Management, and Personal Development and Welfare. However, in order to secure 'Good' in an Ofsted inspection, the advice was to focus on continuing to improve: Teaching and Learning, specifically performance management and support for Teachers that are delivering less than good lessons, consistency needs establishing in quality of assessment and feedback; sharpening the School Development Plan around measurable impact, target and milestones; and attendance.
8. The first set of Year 13 intended destinations from the UTC were very positive as expected. Four students were accepted into LSBU, 2 to study Mechanical Engineering, 2 to study Civil Engineering. Of the 44 students leaving from this first cohort:
- 25 applied and were accepted to university (57%)
 - 13 chose to pursue an apprenticeship (29%)
 - 6 entered employment (13%)

Year 13 destinations 2018



All students who applied to university through the UCAS process were accepted to one of their choices. Of particular interest was the proportion progressing into STEM degrees (100%), of which 58% were in engineering. Four students progressed to LSBU.

Apprenticeships were varied. Three students progressed to apprenticeships with our employer partners, Skanska and Mace. In all cases, this was following personal engagements, projects and work experience opportunities, removing some of the potential barriers to application. The other students pursuing apprenticeships have done so through other companies including Vodafone, following careers input and support with the application process.

9. A Safeguarding update has been provided in a separate document for the month of November 2018 for review.

University Academy of Engineering South Bank

10. Autumn School Improvement Adviser Report was completed at the UAE on 13th November 2018. The report has now been distributed and is attached for review.
11. The UAE has launched a new and innovative enrichment programme entitled Day 10. All students from Year 7 – Year 10 take part in project-based learning once a fortnight, from 11.30am – 3.40pm. The curriculum covers either projects, many of which are being run by LSBU outreach staff, or visits to key organisations in and around London. This is to inspire application of learning in a practical and visible way in the local and wider community. It also enables students to develop key skills that they will need beyond the classroom.
12. LSBU continues to support student development at the UAE including support for Day 10. Current projects supported this term include:
 - Digital Storytelling and Playful Coding with Y7s – 6 sessions so far.
 - Robotics Club with Y9s – 3 sessions so far
 - Fire Safety Inspectors with Y8s at LSBU Technopark – 3 sessions this term
13. For the UAE, all students who applied to University or Apprenticeships were successful (20 out of the 21 students).

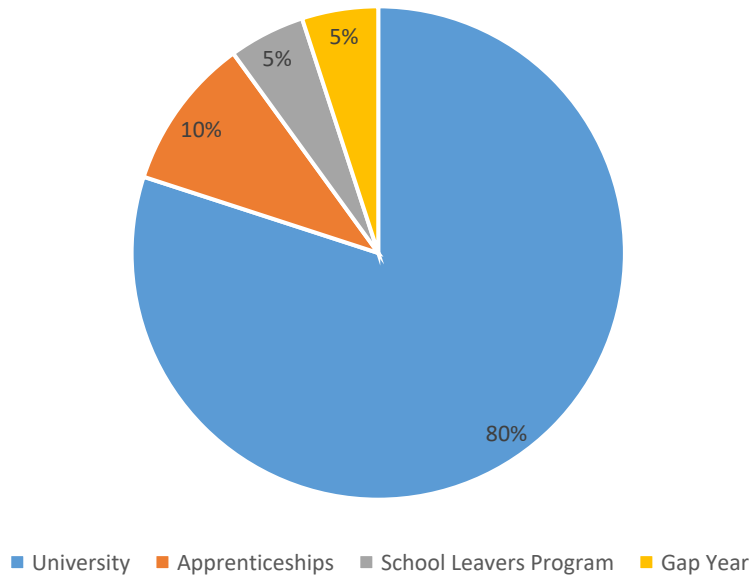
This includes 2 students who are going to study Civil Engineering at UCL, one student studying Maths at Coventry (rated 8th best maths department in the country), 3 students studying Civil Engineering at LSBU. In total 4 UAE students are studying at LSBU. Apprenticeships with prestigious companies such as Mott Macdonald and Tideway.

Of the 21 students leaving the 2017/18 cohort:

- 17 applied to university
- 2 applied for apprenticeships

- 1 applied for a school leavers programme
- 1 is on gap year

Year 13 Destinations 2018



14.A Safeguarding update has been provided in a separate document for the month of November 2018 for review.

Lambeth Schools Partnership

SCHOOL IMPROVEMENT ADVISER REPORT

School	UAE
Headteacher	John Taylor
School Improvement Adviser	Rachael Norman
Dates of visit	Autumn: 20/11/18 Spring: Summer:



2018-19

Autumn 2018

A1. Outcomes for pupils (2018, within the context of the last 3 years and reference to significant groups)

Year 11 data is now more reliable and robust and 4Matrix is being used for analysis.

Year 11 mocks took place in July 2018 using papers on topics students had covered until that point and mocks are due to take place on 3rd December during which students will take full examination papers in most subjects – there will be another full mock at Easter.

A8 is currently 34.57 and P8 is -1.14. 53% of students are entered for Ebacc (2% strong pass, 10% standard pass). Basics are currently 28% 4+ and 10% 5+. Strategic work is being done to ensure there is a strong match between English and maths and regular meetings are being held to look at key groups.

Computer science and triple and combined science are a cause for concern. This is because a skills based curriculum has previously been taught at the UAE so there are significant gaps in knowledge in science and there has been some poor quality teaching in computer science. Some students have now been put on reduced timetables and have been removed from computer science and art to focus on other subjects. Mock results in January are expected to improve, partly because practical elements will be taken into account when grading subjects this time and they weren't previously.

The quality of teaching in year 11 is good and the quality of interventions is generally good. Some period 7 lessons need to be more focussed in terms of the content being taught to ensure that they are addressing and closing gaps and an additional summative assessment may need to take place to ensure that the right gaps are identified. Humanities subjects are doing well and have now completed their courses and are revising. MFL lessons are well delivered and there are strong teachers across the department but leadership is an area for development as there is someone new to the role in post.

There are a range of interventions taking place. 4 groups of children have been identified based on effort and rates of progress as well as prior attainment. Community time/tutor time/period 7 interventions are all teacher or HoD led. These are in all subjects for all prior attainment groups and focus on gaps identified following question level analysis following June examination papers. The intervention groups have not been stagnant and changes have been made in response to formative assessments done in lessons.

The careers adviser is leading on another wave of interventions. There are 4 groups identified and those with low effort and low progress are called "action" and intense work is being done with this group in terms of guiding them towards appropriate pathways based on their current data including visits to colleges. With more able students the adviser is looking at different pathways and university routes.

October half term booster sessions were offered for all subjects. English did a walking, talking mock, maths, art, music and science also ran additional lessons. Other activities were made available to all students via Google classrooms. Easter revision sessions will be delivered by teachers who will be paid to teach them.

Students who are high prior attainers – 14 students – are involved in a programme called the “Access Project” which promotes Russell Group University pathways as well as providing 1:1 tuition. A member of staff is employed for 2 days per week at the UAE as part of the Access Project to focus on this. Each student also has a mentor in the City that they see on a weekly basis.

Talent Ed tutors are providing 21 weeks of tuition, 10 weeks of maths, 10 weeks of English and a review session. They are rigorous in their approach and do a lot of tracking and monitoring. Dulwich tutors are being used for science and former LSBU students are also providing tutors. There is also another tutor in science for year 10, 11 and 13 students.

Low prior attainers are being removed from Spanish to do enhanced English and Maths.

Current year 10 data is showing P8 at -0.83 and A8 at 38.2 with Basics 5+ at 20% and 4+ at 51%.

KS3 data is still not accurate so a new assessment model has been devised and was launched yesterday. The previous model incentivised teachers to submit incorrect and meaningless data in order to show linear progress. An interim model has been in place for a short period which involved submitting a full GCSE grade twice during the year which had to be summative and not formative and purely based on assessment.

The new model involves all students getting a GCSE target for each subject during year 7 which is FFt20 moderated by CAT scores. Formative assessment should happen in every module to establish barriers to learning and identify next steps for teaching and learning using predetermined tasks or tests. Developmental feedback is given to students every 6 weeks and they interact with the feedback in a variety of ways e.g. redrafting. Formative assessments must inform teacher’s planning but the nature of the assessment can be tailored to the department. Mid-year reporting to parents will take place.

At the end of each year there will be a summative assessment in the form of a formal examination with grade boundaries. This will assess a selection from the domain of content covered in that year along with some from previous years. Leaders have suggested 75% in-year content and 25% from previous years. Each student will be given a grade A-E based on an examination percentage.

There will be an annual moderation exercise so that teachers can share their assessments and benchmark grade boundaries. Some students will also take the English and Maths assessments from “GL” or “No more marking”.

Teachers are aware that they need to ensure there is a sufficient range of challenge in their end of year assessments. Teachers need to ensure they are not teaching to the test and tests should not impact on the breadth or depth of the curriculum that is taught.

A2. Quality of teaching, learning and assessment

The quality of teaching is consistently at least good across the school and there is some excellent teaching in some subjects. The Head of English is particularly strong as is the Head of Science.

Learning walk – SIA and HT

Year 9 English – Hamlet and Revenge - Progress trackers and knowledge organisers are evident in books. Marking WWW and EBI evident in some books. Marking for literacy codes are on the front of all books. There is evidence of short tests. One book was last marked 17th September and then there is lots of incomplete work which has not been marked or acknowledged. Another book was last marked on 20th October. There are presentation issues in several books e.g. titles not underlined. This teacher is leaving at end of this term

Year 9 English – students were analysing language in Hamlet. “Duplicatous” was mispronounced and spelt incorrectly by the teacher on the board - she meant duplicitous, however, the Headteacher says that this does not reflect typicality and indeed the rest of her vocabulary was accurate and very high level. There was evidence of good marking in books and WWW and EBI are precise and feedback was useful. There was evidence of pupil response and use of marking for literacy codes. Progress trackers have been completed for module 1. The teacher was skilfully facilitating the completion of an analysis grid and asking questions to prompt further thinking about the text and unpacking key words.

Year 9 English (HoD) - Students were writing paragraphs that were structured using the “Petal” model to consider ways in which Hamlet responds to the ghost. Students were focussed and working in silence and the teacher was circulating and supporting less able students with their learning as well as stretching and challenging the more able through skilful questioning. Use of deep marking was evident in at least one piece of work this term which aligns with the school marking policy. Marking for literacy codes are not on the front of books but there is lots of evidence of marking for literacy in books. Progress trackers have not been completed in any book but these may be in folders.

Displays in all English classrooms and corridors are engaging and inspiring e.g. “Starbooks” display with a particular focus on encouraging students to read high quality literature and use high level vocabulary and promote literacy skills and oracy skills. All displays are colourful and vibrant and in classrooms they provide an additional resource for students to access to support their learning which helps develop their independence and autonomy as learners.

Lesson changeover in the English corridor was extremely orderly and well managed and all teachers were in the corridor ready to meet and greet their students and encourage them to move quickly to their next lesson. The transition between lessons was quick, student behaviour was good and minimal learning time was lost.

English – year 11 – students were debating the proposition “This house believes that Lady Macbeth is a powerful woman”. Students were presenting their arguments and the class were debating them.

Teacher questioning was a strength and there was a strong focus on developing oracy skills in the lesson.

Year 11 maths – reflecting on PLCs and personalised learning plans. Students all had an individual topic list to be working on. Folders contained marked maths papers and based on these, the teacher has created a “Most Wanted” topic list that the class will work through which has identified group priorities but they will also work individually on topics that they need to focus on. Feedback and marking in books is regular and meaningful but the impact is lost due to some students not responding to feedback so it is not always moving them on in their learning. The quality of marking seen in this lesson was a significant improvement on that seen on previous visits.

Year 11 Maths – small class, not all students were present. Marking is regular but comments do not seem to expect a response e.g. “check again” rather than a specific question being asked or task set to which the student can respond. There are several comments that address attitude to learning and presentation rather than mathematical misconceptions and subject specific issues – there might be a need for more balance here. Folders contain marked examination papers. There was a nice relationship between the teacher and students but they were quite passive and didn’t appear to be particularly engaged in the learning.

Displays in maths classrooms are not as neat or as inspiring as they are in English rooms – perhaps some best practice could be shared here. Student work is displayed in some classrooms but with no headings or explanation. Display could be better used as an additional resource to support learning as this is easily achieved in maths. There are some good corridor displays reflecting high expectations e.g. “how to achieve a grade 9 at GCSE”.

Year 7 maths – the class were not particularly settled. There were 4 student lead learners who were helping the other students which is a good technique. They were measuring angles on the bends of a F1 track as a starter which is an engaging way to present a maths problem. There was evidence of deeper marking in the module 1 assessment but aside from this there was little evidence of marking and work was not particularly well presented. Teacher presence could be a little more assertive to ensure there is greater control of the learning. Students may have been working on this activity for 35 minutes but there is some lack of clarity about this.

Year 7 maths – NQT – the students were involved in an engaging task looking at traffic incidents and speed limits. They were engrossed in the task and understood what they had to do. There are some issues with presentation in the books. Lots of worksheets are used and these are poorly stuck in and titles are not underlined. There is some evidence of light marking and slightly more detailed marking in the half termly assessment but this could be improved upon.

Year 7 drama – students were doing an activity in which they passed a dice, they were excited by this activity, perhaps slightly overly so in some cases, but the teacher generally retained control. Folders contain module booklets with clear assessment criteria for activities and evidence of peer assessment WWW and EBI but no teacher assessment. Marking for literacy codes sheets are on the front of folders. Year 11 books are well marked with helpful feedback but it does not always appear to be responded to so some of the impact may be lost.

A class were working in the Learning Resources Centre on “Accelerated Reader”. Students were using lap tops to do their assessments after reading their books. One English lesson per week is devoted to silent reading/accelerated reader and two half hour tutor time sessions. There is a big focus on reading across the school including posters and reward cards. There is a good CPD library for staff containing books read and recommended by teachers.

Enrichment today – Year 8 day 10 - some were on a trip to the Science Museum, another group were going to LSBU to work on robotics, a bake sale is taking place in Borough Market tomorrow and students were decorating the stall today as well as baking cakes at home, some students were going to a local care home to eat lunch with the residents and stay and play games with them. Some students were involved in writing newspaper articles for the school newspaper. Activities are quality assured and work is being done with the external providers to help them deliver the best provision for the students. There is progression built into the programme in terms of complexity of tasks. All of these activities support the acquisition and development of social and cultural capital and align with the wider vision and ethos of the UAE as champions of equality and social justice.

The school now has a homework policy in place.

A3. Effectiveness of leadership and management

A business manager and a HR manager have now been appointed across the trust, Dan Cundy is now running the UTC three days a week and is Executive Headteacher across the trust for two days a week.

English, humanities and science department reviews have all been conducted. Spanish, engineering, computing and business studies will take place later this week and the others will be next week. So far, the findings have verified leaders’ self-evaluations and some teachers have performed better than expected. Leaders feel the school has many strengths and will need to consider how to embed these and enable the school to move forward and improve further in 2018/19.

The SEF has been reviewed and a continuum has been used to show where each element of the school is on a spectrum from good to outstanding which enables more nuanced judgements to take place. There is also an evidence section which includes comments from external advisors to verify and triangulate the SEF judgements. The SLT have also done a SWOT analysis which also aligned with the SEF judgements.

A couple of areas emerged from the SEF that do not currently have a separate section on the SDP including CIEAG (a whole school action plan is currently being produced) and middle leadership development. It was decided that middle leadership development should not have a discrete section on the SDP as their work needs to be a gold thread running through the other elements. Senior leaders need to continue to work to develop and empower middle leaders and increase their capacity.

The school has now moved to using Google Classroom and some teachers are still transitioning to the new way of working. Homework is being set via Google Classroom and some teachers are assigning and marking homework using this system.

The curriculum is currently under review and knowledge organisers are being used as a first stage in this process so CPD has been delivered to support staff in producing these. It is essential that teachers have ownership of this process and devise them to match their curriculum specifically. They will be moderated and quality assured by the SLT and then implications for the curriculum will be discussed.

A4. Personal development, behaviour and welfare

Behaviour seen during observations both in and out of the classroom was generally very good.

Attendance is currently at 93.5% if year 12 and 13 are included but this is skewing the figures down as study periods are marked as absences for the sixth form. Attendance overall for years 7-11 is 95.1%.

There have been 0 permanent exclusions this year. There have been 22 fixed term exclusions this year for a total of 51.5 days. Year 8 have the highest rate of fixed term exclusions at 12 due to a small group of students with more challenging behaviour and individual needs that are being met. Lack of engagement to lessons is the most logged issue (s3 for which you receive an after school detention).

A5. School priorities for 2018/19

These are all detailed in the school improvement plan. Key priorities include:

- KS4 - developing and delivering bespoke interventions based on individual need and progress
- KS5 – Accurate tracking data and intervention programmes based on Pixl techniques
- Development of the knowledge based curriculum
- Further development of the formative assessment model
- Further development of RSE policy
- Ongoing focus on ensuring appropriate challenge in lessons
- Homework policy and use of Google Classrooms as platform for hosting homework
- Fully embedding expectations around engagement for learning
- Further development of SEND provision – cost effectiveness and primary links
- Curriculum review and development
- Accuracy of summative assessment
- Further development of ambition, confidence and social responsibility

Spring 2019

General updates
SP1. Outcomes for pupils. current school progress data (include proportions of pupils making expected and exceeding expected progress and performance of groups)
SP2. Issues arising from the data
SP3. Quality of teaching, learning and assessment
SP4. Effectiveness of leadership and management
SP5. Personal development, behaviour and welfare

SP6. Effectiveness of Early Years provision/16 to 19 study programmes

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Summer 2019

General updates

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SU1. Outcomes for pupils: current school progress data (include proportions of pupils making expected and exceeding expected progress and performance of groups)

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SU2. Issues arising from the data

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SU3. Quality of teaching, learning and assessment

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SU4. Effectiveness of leadership and management

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SU5. Personal development, behaviour and welfare

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SU6. Effectiveness of Early Years provision/16 to 19 study programmes

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SU7. School priorities 2019-20

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SU8. Agreed support 2019-20

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Headteacher's SEF Judgements:

	Autumn 18	Spring 19	Summer 19
OVERALL EFFECTIVENESS	2		
Pupil outcomes	2		
Teaching, learning and assessment	2		
Effectiveness of leadership and management	2		
Personal development, behaviour and welfare	2		
Sixth Form	2		

Autumn 2018

Date	20/11/18
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SIA	R. Jemou
Local Authority Officer	
Spring 2019	
Date	
SIA	
Local Authority Officer	
Summer 2019	
Date	
SIA	
Local Authority Officer	

Question prompts based on the Ofsted framework (updated 23rd August 2016)

OVERALL EFFECTIVENESS

- What is the quality of teaching, learning and assessment?
- Are all key judgements good or outstanding? One of the key judgements may be good, as long as there is convincing evidence that the school is improving this area rapidly and securely towards outstanding.
- Does the school's thoughtful and wide-ranging promotion of pupils' spiritual, moral, social and cultural development and their physical well-being enable pupils to thrive?
- Is Safeguarding is effective?

EFFECTIVENESS OF LEADERSHIP AND MANAGEMENT

- Have leaders and governors created a culture that enables pupils and staff to excel. Are they committed unwaveringly to setting high expectations for the conduct of pupils and staff?
- How would you judge the quality of relationships between staff and pupils?
- Do leaders and governors focus on consistently improving outcomes for all pupils, but especially for disadvantaged pupils. Are they uncompromising in their ambition?
- Have the school's actions secured substantial improvement in progress for disadvantaged pupils. Is Progress rising across the curriculum, including in English and mathematics?
- Do Governors systematically challenge senior leaders so that the effective deployment of staff and resources, including the pupil premium, the primary PE and sport premium, Year 7 literacy and numeracy catch-up premium and special educational needs funding, secures excellent outcomes for pupils. Do Governors shy away from challenging leaders about variations in outcomes for pupil groups and between disadvantaged and other pupils nationally?
- Do leaders and governors have a deep, accurate understanding of the school's effectiveness informed by the views of pupils, parents and staff. Do they use this to keep the school improving by focusing on the impact of their actions in key areas?
- Do leaders and governors use incisive performance management that leads to professional development that encourages, challenges and supports teachers' improvement?
- Is teaching highly effective across the school?
- Do staff reflect on and debate the way they teach? Do they feel deeply involved in their own professional development?
- Have leaders created a climate in which teachers are motivated and trusted to take risks and innovate in ways that are right for their pupils?
- Does a broad and balanced curriculum inspire pupils to learn?
- Does the range of subjects and courses help pupils acquire knowledge, understanding and skills in all aspects of their education, including the humanities and linguistic, mathematical, scientific, technical, social, physical and artistic learning?
- Are pupils' spiritual, moral, social and cultural development and, within this, the promotion of fundamental British values, at the heart of the school's work?
- Do leaders promote equality of opportunity and diversity exceptionally well, for pupils and staff, so that the ethos and culture of the whole school prevents any form of direct or indirect discriminatory behaviour? Do leaders, staff and pupils tolerate prejudiced behaviour?
- Is safeguarding effective? Have leaders and managers created a culture of vigilance where pupils' welfare is actively promoted. Are pupils listened to and do they feel safe? Are staff trained to identify when a pupil may be at risk of neglect, abuse or exploitation and do they report their concerns. Do leaders and staff work effectively with external partners to support pupils who are at risk or who are the subject of a multi-agency plan?
- Do leaders' work to protect pupils from radicalisation and extremism? Do leaders respond swiftly where pupils are vulnerable to these issues? Does high quality training develop staff's vigilance, confidence and competency to challenge pupils' views and encourage debate?

QUALITY OF TEACHING, LEARNING AND ASSESSMENT

- Do teachers demonstrate deep knowledge and understanding of the subjects they teach? Do they use questioning effectively and demonstrate understanding of the ways pupils think about subject content? Do they identify pupils' common misconceptions and act to ensure they are corrected?
- Are lessons planned effectively, making maximum use of lesson time and coordinating lesson resources well? Is pupils' behaviour managed effectively with clear rules that are consistently enforced?
- Do teachers provide adequate time for practice to embed the pupils' knowledge, understanding and skills securely? Do they introduce subject content progressively and constantly demand more of pupils? Do teachers identify and support any pupil who is falling behind, and enable almost all to catch up?
- Do teachers check pupils' understanding systematically and effectively in lessons, offering clearly directed and timely support?
- Do teachers provide pupils with incisive feedback, in line with the school's assessment policy, about what pupils can do to improve their knowledge, understanding and skills? Do pupils use this feedback effectively?
- Do teachers set challenging homework, in line with the school's policy and as appropriate for the age and stage of pupils, that consolidates learning, deepens understanding and prepares pupils very well for work to come?
- Do teachers embed reading, writing and communication and, where appropriate, mathematics well across the curriculum, equipping all pupils with the necessary skills to make progress? For younger children in particular, is phonics teaching highly effective in enabling them to tackle unfamiliar words?
- Are teachers determined that pupils achieve well? Do they encourage pupils to try hard, recognise their efforts and ensure that pupils take pride in all aspects of their work? Do teachers have consistently high expectations of all pupils' attitudes to learning?
- Do pupils love the challenge of learning and are they resilient to failure? Are they curious, interested learners who seek out and use new information to develop, consolidate and deepen their knowledge, understanding and skills? Do they thrive in lessons and regularly take up opportunities to learn through extra-curricular activities?
- Are pupils eager to know how to improve their learning? Do they capitalise on opportunities to use feedback, written or oral, to improve?
- Are parents provided with clear and timely information on how well their child is progressing and how well their child is doing in relation to the standards expected? Are parents given guidance about how to support their child to improve?
- Are teachers quick to challenge stereotypes and the use of derogatory language in lessons and around the school? Do resources and teaching strategies reflect and value the diversity of pupils' experiences and provide pupils with a comprehensive understanding of people and communities beyond their immediate experience?

PERSONAL DEVELOPMENT, BEHAVIOUR AND WELFARE

- Are pupils confident, self-assured learners? Do their attitudes to learning have a strong, positive impact on their progress? Are they proud of their achievements and of their school?
- Do pupils discuss and debate issues in a considered way, showing respect for others' ideas and points of view?
- In secondary schools, does high quality, impartial careers guidance help pupils to make informed choices about which courses suit their academic needs and aspirations? Are they prepared for the next stage of their education, employment, self-employment or training?
- Do pupils understand how their education equips them with the behaviours and attitudes necessary for success in their next stage of education, training or employment and for their adult life?
- Do pupils value their education and rarely miss a day at school? Are any groups of pupils disadvantaged by low attendance? Is the attendance of pupils who have previously had exceptionally high rates of absence rising quickly towards the national average?
- Does pupils' impeccable conduct reflect the school's effective strategies to promote high standards of behaviour? Are pupils self-disciplined? How common are incidences of low-level disruption?
- For individuals or groups with particular needs, is there sustained improvement in pupils' behaviour? Where standards of behaviour were already excellent, have they been maintained?
- Do pupils work with the school to prevent all forms of bullying, including online bullying and prejudice-based bullying?

- Do staff and pupils deal effectively with instances of bullying behaviour and/or use of derogatory or aggressive language?
- Does the school have an open culture that actively promotes all aspects of pupils' welfare? Are pupils safe and do they feel safe at all times? Do they understand how to keep themselves and others safe in different situations and settings? Do pupils trust leaders to take rapid and appropriate action to resolve any concerns they have?
- Can pupils explain accurately and confidently how to keep themselves healthy? Do they make informed choices about healthy eating, fitness and their emotional and mental well-being? Do they have an age-appropriate understanding of healthy relationships and are they confident in staying safe from abuse and exploitation?
- Do pupils have a good understanding of how to stay safe online and of the dangers of inappropriate use of mobile technology and social networking sites?
- Does pupils' spiritual, moral, social and cultural development equip them to be thoughtful, caring and active citizens in school and in wider society?

OUTCOMES FOR PUPILS

- Throughout each year group and across the curriculum, including in English and mathematics, do current pupils make substantial and sustained progress, develop excellent knowledge, understanding and skills, considering their different starting points?
- Does the progress across the curriculum of disadvantaged pupils and pupils who have special educational needs and/or disabilities currently on roll match or is it improving towards that of other pupils with the same starting points?
- Are pupils typically able to articulate their knowledge and understanding clearly in an age-appropriate way? Can they hold thoughtful conversations about them with each other and adults?
- Do pupils read widely and often across subjects to a high standard, with fluency and comprehension appropriate to their age? Do pupils in Year 1 achieve highly in the national phonics check?
- For pupils generally, and specifically for disadvantaged pupils and pupils who have special educational needs and/or disabilities, is progress above average across nearly all subject areas?
- How many CLA do you have? Are they making progress in line with others nationally?
- From different starting points, is progress in English and in mathematics high compared with national figures? Does the progress of disadvantaged pupils from different starting points match or is improving towards that of other pupils nationally?
- Is the attainment of almost all groups of pupils broadly in line with national averages? If below these, is it improving rapidly?
- Are pupils exceptionally well prepared for the next stage of their education, training or employment and have they attained relevant qualifications? Compared with the national average for all pupils, do higher proportions of pupils and of disadvantaged pupils, progress on to a range of higher and further education establishments, apprenticeships, employment or training? Do these destinations strongly support their career plans?

EARLY YEARS PROVISION

- Is the pursuit of excellence by leaders and managers shown by an uncompromising, highly successful drive to improve outcomes or maintain the highest levels of outcomes, for all children over a sustained period?
- Does incisive evaluation of the impact of staff's practice lead to rigorous performance management and supervision? Does highly focused professional development improve the quality of teaching?
- Is Safeguarding effective?
- Have there been any breaches of statutory welfare requirements?
- Is children's health, safety and well-being enhanced by the vigilant and consistent implementation of robust policies and procedures?
- Do leaders use highly successful strategies to engage parents and carers, including those from different groups, in their children's learning in school and at home?
- Is there a highly stimulating environment and exceptional organisation of the curriculum? Does this provide rich, varied and imaginative experiences?

- Is teaching consistently of a very high quality, inspirational and worthy of dissemination to others? Is it highly responsive to children's needs?
- Is assessment accurate and based on high quality observations? Does it include all those involved in the child's learning and development? Is provision across all areas of learning planned meticulously? Is it based on rigorous and sharply focused assessments of children's achievement so that every child undertakes highly challenging activities?
- Are children highly motivated and eager to join in? Do they consistently demonstrate curiosity, imagination and concentration? Are they highly responsive to adults and each other? Do they distract others or become distracted easily themselves?
- Are children developing a good understanding of how to keep themselves safe and manage risks? Do they demonstrate positive behaviour and high levels of self-control, cooperation and respect for others?
- Do children make consistently high rates of progress in relation to their starting points and are they well prepared academically, socially and emotionally for the next stage of their education? Are almost all children, including children who have special educational needs and/or disabilities, disadvantaged children and the most able, making substantial and sustained progress?
- Have gaps between the attainment of groups of children and all children nationally, including disadvantaged children closed or are they closing rapidly? Are any gaps between areas of learning closing?

16 TO 19 STUDY PROGRAMMES

- Do leaders pursue excellence? Have they improved provision and outcomes rapidly and reduced achievement gaps between groups by monitoring the quality of teaching, learning and assessment as well as learners' retention, progress and skill development?
- Do leaders plan, manage and evaluate study programmes so that learners undertake highly individualised and challenging learning that builds on their prior attainment, meets all the requirements of 16 to 19 provision and prepares them very well for future employment?
- Do learners without GCSE grades A* to C in either English or mathematics follow appropriately tailored courses in English and/or mathematics? Do the majority make substantial and sustained progress towards grade C or above?
- Does high quality impartial careers guidance ensure that learners follow study programmes that build on their prior attainment and enable them to develop clear, ambitious and realistic plans for their future? Do learners understand the options available and are they informed about local and national skills needs?
- Does teaching, learning and assessment support and challenge learners to make sustained and substantial progress in all aspects of their study programme? Does teaching enables learners who fall behind to catch up swiftly and the most able to excel?
- Are learners confident and do they conduct themselves well? Are they punctual? Do they have excellent personal, social and employability skills and do they undertake high quality non-qualification activities and work experience that matches their needs? Are attendance rates high.?
- Are learners safe and do they feel safe? Are they thoughtful, caring and respectful citizens? Do they take responsibility for keeping themselves safe and healthy and contribute to wider society and life in Britain?
- Throughout the time spent on their study programmes, do learners and groups of learners make substantial and sustained progress from their starting points? Are rates of retention high for almost all groups of learners? Are any gaps in the progress or retention of groups with similar starting points closing?
- Do almost all learners progress swiftly to higher levels during their study programme? Do almost all learners complete their study programmes, achieve qualifications relevant to their career aims and move on to sustained education, employment, training or an apprenticeship?
- Is progress on level 3 qualifications in terms of value added above average across nearly all subjects?

	CONFIDENTIAL
Paper title:	CEO's Report – UTC Draft Inspection Report
Board/Committee:	South Bank Academies Board
Date of meeting:	11 December 2018
Author(s):	Karen Lowe, Judicium
Sponsor(s):	Nicole Louis, CEO
Purpose:	To Review
Recommendation:	To review the report that was generated from the mock OFSTED carried out by Judicium.

Executive Summary

In preparation for OFSTED, a Mock OFSTED was completed for South Bank Engineering UTC.

Summary of the Report – Overall 'Good' with Improvements to Make

Effectiveness of Leadership and Management (Good)

The Head Teacher is committed to improving the School and maintaining professional and respectful attitudes among Staff and Students. Students also carry this attitude and are mature and ambitious about their future after UTC.

An area for improvement is making the School Development Plan sharper, in terms of measurable impact, quantitative targets and milestones, along with the need to rapidly develop middle leaders.

Safeguarding (Good)

Safeguarding at reception was good. Along with files and Single Central Record checks completed and filed. The playground was safe and Students said they felt safe. It was advised that regular checks should be made of safeguarding records, making sure that every details is correct and up to date.

Quality of Teaching, Learning and Assessment (Mostly Good)

Majority of students felt that their lessons with good, and the work was 'challenging but do-able'. In the better lessons, Teachers planned for different levels of challenge in their lessons, time for students to reflect on their learning, and encouraged active participation. The stronger Teachers exude enthusiasm and knowledge with engaging content. However, some Teachers asked questions and didn't allow students enough thinking time. From some of the Students' books, there was not enough evidence to confirm Teacher corrections. There is a need to develop skill in Middle Leaders. They should be confidently going into classrooms, carrying out learning walks and book

scrutiny on a regular basis. Overall Teacher written marking and feedback is inconsistent. The quantity and quality of marking and feedback differs between subjects.

In order to secure 'Good' at inspection, Teachers who are delivering less than good lessons need to be performance managed with appropriate support. A focus on questioning techniques would be good. And more consistency is required quickly with respect to the quality of assessment and feedback.

Student Feedback

A mix of good things and areas for improvement.

Some of the main areas of positive feedback were:

- English and Business Studies Lessons are the best lessons, with most practical learning and feedback.
- Teachers understand Students' needs and don't give up on meeting their needs
- Behaviour is good

Some of the main areas for improvement were:

- More practical hands-on learning needed
- Help in Computer Science and Trigonometry lessons were too fast paced for some
- More peer learning in lessons
- More work experience
- More praise from some of the Teachers

Personal Development and Welfare (Good)

Students are committed, well-dressed and take pride in the UTC. Behaviour is also normally very good, and the Teachers are skilled at managing behaviour.

To improve, and secure 'Good' at inspection, attendance needs to improve as well as punctuality. They need to be constantly monitored and actions adjusted where they are not having impact.

Conclusion

In order to secure 'Good' at inspection these improvements need to be made swiftly and put in place with the correct monitoring procedures.



Paper Title: 5e. UTC Draft
Inspection Report
Committee: SBA Board
Date: 27 Nov 2018
Purpose: To Review

South Bank Engineering UTC

Date: November 13, 2018

Headteacher: Dan Cundy

Reviewer: Karen Lowe

Background

South Bank Engineering UTC is located in Brixton in the London borough of Lambeth. The School opened in 2016. The student body has grown since the initial opening rising from 90 students in 2016/17 to 222 in 2018/19. Broadly half of the UTC's intake are resident in Lambeth and Southwark and the other half from the surrounding boroughs with a number of students now travelling a considerable distance to attend the school. 84% of the intake are male. The two predominant ethnic groups are Black Caribbean at 24% and Black African at 19%. 23% of students speak English as an additional language. There are high levels of disadvantage with 45% of pupils eligible for Pupil Premium funding.

The school has yet to have an Ofsted inspection but has been subject to a number of DFE visits. A Baker Dearing Trust adviser also visits the school termly. The leaders of the UTC requested this review as they anticipate an Ofsted inspection sometime this academic year.

Methodology

The Reviewer met with the DSL and looked at the security of the site in particular the playground. She looked at a few safeguarding files with the DSL and also checked the Single Central Record.

The Reviewer had meetings with the Principal to discuss assessment and moderation and performance data, leadership and management, self-review and performance planning. She also met with available teachers.

Learning walks were conducted jointly by the Reviewer and the Vice Principal Kam Bains. Book scrutiny was carried out both in class and outside of class. The Reviewer asked students in class about how they found the work in the subject: was it easy, challenging but do-able or too hard for them, were students given different work from others in the class, what helped them most to learn and how they received assessment feedback about how well they were doing and what they needed to do to improve their work.

A meeting was also held with a group of year eleven students to collect further student voice information.

Effectiveness of Leadership and Management: Good Strengths

- The visible commitment, determination and energy of the Headteacher to make ongoing improvements to the provision is evident. He has set high expectations for the school. The Head has ensured that the school is orderly and has focused on ensuring that behaviour and conduct in lessons and around the school is good.
- The school is welcoming and looks tidy and professional.
- The school has developed a strong culture whereby the majority of pupils readily and willingly engage in learning in academic classes.
- Students demonstrate strong work related skills and professional attitudes. They engage well with adults and articulate their thoughts and views about the school and the subjects they are studying, and their ambitions after leaving the UTC, with maturity and confidence.
- There is a strong culture of respect
- The SEF is clear, focused and evaluative.
- The results of the staff survey were mainly positive. These results was backed up by the views of the small number of staff spoken to on the Review day.

Areas for improvement

- The School Development Plan could be sharper so that the impact that the actions taken are having are measurable. This could be achieved by the use of more quantitative targets. The milestones should be measurable, clearly identifying what will be achieved; for example, at the end of the first term, then the second and so on.
- Rapidly develop middle leaders (see Teaching and Learning section)

Safeguarding

- Safeguarding at reception was good. The receptionist asked to see photo I.D which is good practice.
- The Single Central Record is complete, compliant and up to date.
- A few Safeguarding files were sampled on the day, CPOMs is in place, and they had a clear template, a summary and a chronology of events and it was evident that appropriate timely action, where needed, had been taken to get a multi- agency approach.
- Paper records of older records are also in place.
- The playground is safe.
- Students told the Reviewer that they felt safe in the school.

In order to quality assure the Safeguarding process it is advisable to ensure that:

- Regular checks are made as part of the Q.A process that safeguarding records note the name, the date, the event, clearly distinguish between fact, opinion, observation, allegation, first hand or second-hand information, etc and that they are clearly dated and signed.

Quality of teaching, learning and assessment: Good

- The quality of teaching and learning seen on this visit was mostly good:
- When the Reviewer asked pupils in all the classes visited, about how they found the work in the subject: 'was it easy', 'challenging but do-able', 'or too hard', the responses were mostly challenging but do-able. The majority of students stated that the level of work set in lessons was stretching and challenging them.
- Teachers have high expectations regarding pupils' readiness to learn. This has resulted in almost all pupils having positive attitudes to learning. Relationships are respectful and the majority of pupils informed the Reviewer that most of their lessons were good.
- Where teaching was most effective, teachers ensured that they had planned for different levels of challenge in their lessons. This was achieved through carefully targeted questioning by the teacher. In these lessons teachers knew their pupils well enough, and their individual needs, to know when to support and encourage and knew when to ask a further question to increase the challenge. In the best examples teachers delved deeper and deeper to secure fuller answers and pupils were given sufficient time to reflect on their learning and could answer with confidence. Pupils responded well in these lessons to the teachers' high-quality questioning.
- In the better lessons teachers' used praise well and encouraged active participation. These teachers moved around the room actively and made checks during the lesson on all pupils' learning.
- Teachers' subject knowledge is almost always secure.
- The strongest teachers have the highest expectations and exude enthusiasm for their subjects and create a positive climate for learning. Engaging content, along with teaching techniques that involve all pupils result in pupils that are committed to learning. The pupils in these classes are confident to ask questions when needed. In the better lessons' pupils talk confidently about how they can improve their work and try hard to do their best. This was typified in an English lesson seen.

Areas for improvement

- Although directed questioning is used by the majority of the teachers to make checks on students learning there are a few teachers, whose lessons required improvement. They allowed some pupils to answer most of the questions in the lesson or didn't give the students sufficient thinking time to answer the question and then moved on too quickly to ask another student the question and on one occasion the teacher answered the question them self. When the Reviewer asked students whether some students were given different work from that of other pupils the majority responded that pupils were given the same work in most classes but if they had finished the work they were given extension exercises. The Reviewer did see a minority of students working on extension exercises.
- Although students spoke on this Review about teachers checking their corrections there was not sufficient evidence of this seen in the books scrutinised to confirm this.
- There is an identified need to develop the skills of middle leaders in monitoring progress and leading improvements to secure consistently effective teaching across the school for all students. Middle leaders should be confidently to go into classrooms and carrying out learning walks and book scrutiny on a regular basis.
- In a minority of lessons teachers relied mostly on whole class questioning so that only those with the hands up were asked to answer questions. Targeted questions would have been appropriate to check the understanding of those pupils who sat quietly and were not seen to contribute.
- Overall teacher written feedback and marking is inconsistent. Some teachers need to make it clearer to pupils what they need to do to improve in-line with the policy.
- The quantity and quality of marking and feedback differs within subjects and students commented on this. The most helpful marking was in English and this was endorsed by the majority of students spoken to.

In order to secure a Good at inspection

- Those teachers who are delivering less than good lessons need to be performance managed with appropriate support put in place quickly to improve their current practices. A focus on questioning techniques would be appropriate.
- More consistency is required quickly with respect to the quality of assessment feedback.

Student Feedback

The Reviewer also asked pupils about what teachers do that really helps them to learn. Most of the responses were positive. Pupils spoke about:

- The best lessons were in English because the teachers' lessons were creative and the teaching was supportive. The English teachers ensured that everyone understands- they explain things better- and they move around the room and check students' understanding on an individual basis. Business Studies was also good with supportive and helpful teaching.
- How practical learning helped them most to learn
- Marking and feedback was generally okay but very good in English and was good in Business Studies.
- Pupils reported that they found it very useful when teachers gave them live feedback during lessons, which they could respond to right away and improve their work.
- Teachers understand students' needs and don't give up on meeting their needs
- Teachers deal with any poor behaviour well. Behaviour is normally good

Students would like:

- More practical hands on learning
- More help in Computer Science
- Trigonometry lessons are too fast paced for some students
- Better more helpful and constructive feedback in Engineering, maths and Computer Science.
- More trips
- A few mentioned more peer learning in some lessons
- More work experience
- More variety in terms of the food offered at lunch time
- More praise from some teachers. Most praise given in English and Business Studies

Personal Development and Welfare: Good

Strengths

- Most pupils are well motivated and committed and display positive attitudes.
- Students take pride in their appearance, are work ready when they enter the classroom and are proud of the UTC.
- Behaviour for Learning was very good on this visit.
- Students informed the Reviewer that behaviour is normally good and what she saw was typical of a normal day at the school. Students also stated that should any poor behaviour be exhibited their teachers know how to calm it down quickly and effectively.

Areas for Improvement

- Attendance for Year eleven students requires improvement. In 2017/18 it was 94.50%. It is currently at 95.50% in Autumn 2018/19. Punctuality at 6% also needs improvement.

In order to secure Good at inspection

- Attendance is a recognised key priority for the school and leaders have put actions in place to rapidly improve attendance. They need to be constantly monitored and reviewed and recorded in terms of the impact they are having and actions adjusted where they are not having impact.

Outcomes for Learners: Good

The UTC started educating pupils partway through the 5-year period covered by Progress 8. Taking this into account the school should be measured on its success in terms of preparing pupils for their future career by providing an integrated academic and professional education. Pupil destination data is therefore an important measure in terms of outcomes for the UTC given that there are variable outcome results.

Strengths

- Destination data is positive and in line with the expectations set by the Leadership of the UTC. Of the 44 students leaving from the first year 13 cohort 25 applied for and were accepted to university. 13 entered an apprenticeship and 6 entered employment.
- 41% of students achieved Grade 5 or above in English and maths GCSE compared to the English average of 39.9%.
- Science results were good -28% above the national average at 4+ and 28% above at 5+
- Outcomes in the specialism of BTEC Engineering at level 2 were very good with significantly more than the national average Distinction grades awarded.
- Leaders have put in place a robust system for tracking students

Areas for further improvement/consideration

Year eleven results represent the first cohort of students through to GCSE. The two key measures are Progress 8 and Attainment 8.

- Progress 8 in 2018 was -0.30 with a confidence level of 0.76 to 0.16 against an England state-funded schools average of -0.02.
- Attainment 8 in 2018 was 43.3 points (taken from GOV.UK figs these are different from the school's figure at 44.7%) against the English average of 44.3.
- Poor results in Computer Science at 27% compare to 66% national A* to C.
- Gaps present for Pupil Premium and SEND but UTC data shows this is narrower than at national level.
- A level results were poor, below target and national average with a negative value added score

In order to secure Good at inspection:

Current UTC assessment information must indicate a continuous improvement in attainment and progress from their starting points for all pupils in each subject with clear interventions in place where students are not making the required progress. These interventions should be clearly being monitored, reviewed and adjusted where they are not quickly making the necessary improvements.

	CONFIDENTIAL
Paper title:	Safeguarding Update
Board/Committee:	South Bank Academies Board
Date of meeting:	11 December 2018
Author(s):	Dan Cundy, Executive Principal
Sponsor(s):	Nicole Louis, CEO
Purpose:	To review
Recommendation:	To review the safeguarding update, approve the new safeguarding update reporting format, and to have the explanation of Safeguarding Levels of Need document for information.

Executive Summary

The Safeguarding Update comprises of three documents:

Safeguarding Update

This is the Safeguarding Update for November 2018 for both the UAE and the UTC. This is updated in the current format for this update as the new format needs reviewing and approving before we use an improved format for reporting. A key has been added to this document to explain the implications for the different levels of need. This document has been submitted for review.

Proposed New Format for Safeguarding Updates

This document is a proposed new format for Future Safeguarding Updates. It provides comparison with the previous update along with commentary for each section. It also provides the information for each level and what it refers to. This document is submitted for approval.

Safeguarding Levels of Need

Following the Governors' request a detailed explanation of safeguarding terms and of the levels of need framework has been provided. The Safeguarding Levels of Need document is to outline the different levels of need that need to be understood in order to use the levels of need framework properly. This document is submitted for information.

South Bank Academies Trust
Safeguarding Data

Name of Academy/School: South Bank Engineering UTC
Month/Year this related to: Nov 2018

December 2018 Update

Number of safeguarding cases currently dealing with		Number of cases		Number of students with statements and care plans		Summary of Key Actions
Level 1	12	MASH	0	Currently on EHCP	5	
Level 2	0			EHCP agreed	0	
Level 3	0	Early Help	0	EHCP application stage	0	
Level 4	3			EHCP yet to join school	0	

Summary of Key Actions and Comparison of Data with Previous Update

2 students added to level 4 in October 2018. This is after Child Protection Conferences were held with Lambeth Council. CP Plans were issued in both cases. One is related to neglect and housing issues in the family, involving younger siblings of the UTC student. The other pupil has been added due to boyfriend's gang involvement.

6 Pupils have been added to the level 1 category for the following reasons: domestic violence, mental health, eating disorders, substance misuse and attendance.

South Bank Academies Trust
Safeguarding Data

Name of Academy/School: UAE South Bank
 Month/Year this relates to: Nov 2018

Number of safeguarding cases currently dealing with		Number of cases/referrals made (2018/19)		Number of students with statements and care plans		Summary of key actions
Level 1	10	MASH	4 (2)	Currently on EHCP	11 (12)	PLP, assigned key worker, intervention in place
Level 2	6 (4)			EHCP agreed	13 (12)	As above + NP and KI now taken off roll
Level 3	8 (6)	Early help	6 (2)	EHCP application stage	3	JP RB – rejected, going to appeal AC – rejected
Level 4	5			EHCP yet to join school	12 (0)	12 have applied, so far we have accepted 6

Key of Terms

Level 1	Universal Services
Level 2	Child in need of Early Help
Level 3	Child in need of Targeted or Specialist Support
Level 4	Child at Risk of Significant Harm
EHCP	(SEN) Education and Health Care Plans



Southwark Safeguarding Children Board

Multiagency threshold guide

Welcome to Southwark thresholds guide 2015, published by Southwark Safeguarding Children Board. This guide has been produced to support and promote the effective and early identification of needs, and to assist professionals in deciding how best to help protect children, young people and families.



Introduction

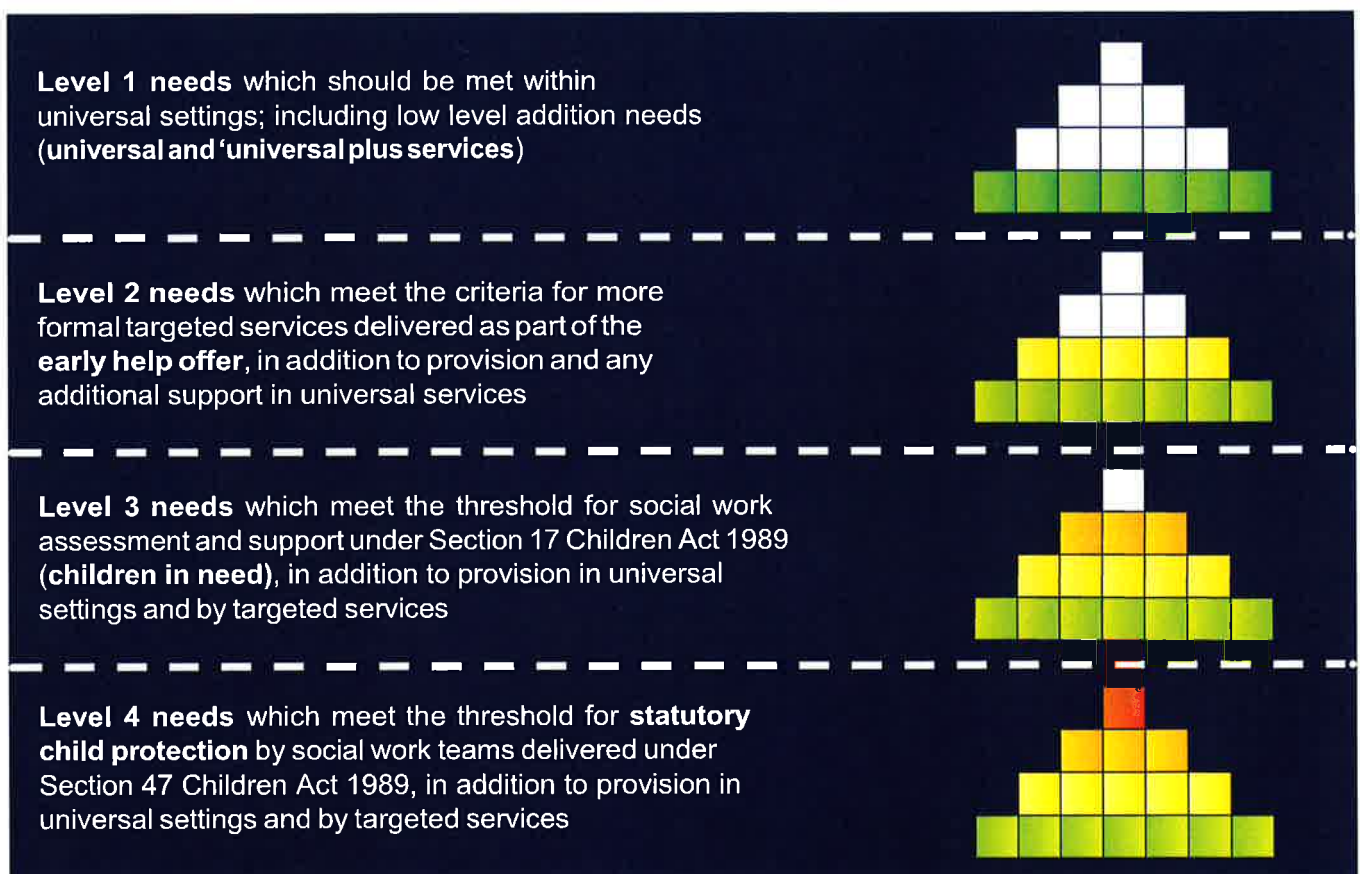
The aim of this guide is to ensure a timely and proportionate service response to needs as soon as they emerge. Low-level needs can and should be met within universal provision. Higher level needs will require an additional targeted response through early help arrangements; complex needs and risks of significant harm warrant a statutory intervention by social care.

Whilst some families will need specialist services, these families will also be supported by the services that provide universal and targeted help, during, and in many cases beyond the social care episode.

This document should encourage agencies to meet needs as soon as they occur – and respond to those needs at the lowest level. As such, the partnership aspires that fewer cases reach levels 3 and 4, as help is provided more swiftly at levels 1 and 2. Agencies are urged to pay close attention to the thresholds when assessing children and making referrals to ensure the most appropriate response is requested.

This guide outlines the thresholds, whose overall model is as follows. The higher and more complex the needs of the child, the more services will be involved at more levels. Supporting and protecting children with the highest needs is achieved through provision at all levels, not just level 4.

Some indicators of themselves may be considered either level 2 or level 3 depending on other context. It is therefore important that full consideration is given to assess accumulative indicators that may interplay and escalate or de-escalate through the levels.



These thresholds are here to guide decisions regarding the welfare of children. If individual decisions do not resolve matters as you see fit please escalate concerns to your line manager at any stage in the process.

Remember, there can be no justification for failing to share information that will allow action to be taken to protect children. The golden thread throughout all information sharing rules is that the duty to safeguard children must be paramount.

In 2015 the Government published guidance for practitioners on what to do if you are worried about a child. This document has been written with reference to the requirements laid out in Working Together to Safeguard Children, available online at www.workingtogetheronline.co.uk, which states that Local Safeguarding Children's Boards should publish a threshold document.

Referral and assessment



Level 1 needs Universal and universal plusservice

No referral is required. Needs are met within single agencies. Children, young people and families should access **universal services** as required.

In addition to this, universal services should recognise those children, young people and families that require low-level additional support that can be provided within the community to prevent needs from escalating. Practitioners may complete a common assessment framework (CAF) to help them better understand the family's needs. The assessment should be conducted with the family to ensure their early engagement in the process.

Key universal services that may provide support at this level include:

- Schools and nurseries
- Children's centres
- Early years' providers
- Health visiting service
- School nursing
- GP and community health
- Play services
- Integrated youth support services and youth centres
- Police
- Housing
- Voluntary and community sector
- Secondary and further education
- Training

Other services which may be in a position to support a family within universal provision may be identified using the Southwark local offer website, at <http://localoffer.southwark.gov.uk>. The local offer is under development and being continually updated.



Level 2 needs Targeted early help services

An Early Help Referral Form is required.

The Early Help Referral Form should be completed with the child and family to identify their strengths and needs, and to gain targeted support from multi-agency Early Help services. It should be sent to earlyhelp@southwark.gov.uk. If you are unable to gain parental consent a referral can still be made to the MASH, but as the referrer you are required to set out your professional reasons why the referral should be progressed without consent. At this point the referrer may wish to bring the referral to the attention of the safeguarding lead professional in their agency.

Key early help services that may provide support at this level include

- Early help service (includes parenting, education welfare, education psychology, family support, SEN support, CAMHS early intervention)
- Specialist family focus team (includes parenting)
- Team around the family interventions led by other agencies
- A range of commissioned services, for example speech and language therapy, HomeStart
- Other local services listed within Southwark's local offer, available at <http://localoffer.southwark.gov.uk>. The local offer is under development and being continually updated.

Where support from the council's Early Help service is required, following the receipt of the Early Help referral form, further professional assessments will be undertaken in response to the specific needs of the child identified.



Level 3 needs

Children in need

A MASH Interagency Referral Form should be completed and sent to MASH@southwark.gov.uk . An informal social care consultation is available with the social worker in MASH on request. The MASH is open during office hours and can be contacted on 020 7525 1921.

The referral form should be completed with the child to identify their strengths and needs and to gain specialist support from children's social care. It is anticipated that in most cases a referral will be made for a level 3 response.

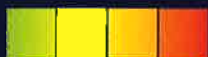
Upon receipt of the referral, the duty team in the MASH will review it within one working day in line with the thresholds laid out in this document. If it meets the level 3 threshold, it will proceed to single assessment, led by a social worker. This will be preceded by multi-agency information sharing within MASH.

What happens to your referral and how to escalate if you disagree with the outcome

The MASH will inform you of the outcome of your referral. If you do not agree with the decision, you must challenge it with clear rationale and reference to the thresholds. If there is still disagreement you must escalate the case to your manager within your agency and, if necessary, the safeguarding lead within your agency. Please refer to your own agency's safeguarding policy for further details.

Only once the referral has been accepted by Children's Social Care does the lead professional role change to the social worker. Until that point, the lead professional responsibility would remain within Level 1 or Level 2 services.

If the assessment identifies a need for a child in need plan, a network of professionals will be formed around the child that will meet regularly for the duration of that plan. Universal and early help services will typically be core members of this network.



Level 4 needs

Child protection

If an agency identifies a child thought to have suffered or be at risk of significant harm, a referral to MASH should be made immediately by:

- Telephone 020 7525 1921
- Email mash@southwark.gov.uk where possible with a completed MASH Interagency Referral Form.
- In an emergency, the agency should call 999 and ask for a Police response.

What happens to your referral and how to escalate if you disagree with the outcome

Upon receipt of the referral form, within one working day, where MASH identify that the case meets the level 4 threshold, a child protection Section 47 Enquiry will be initiated alongside a single assessment, supported by information sharing between agencies in the MASH.

The MASH will inform you of the outcome of your referral. If you do not agree with the decision, you must challenge it with clear rationale and reference to the thresholds. If there is still disagreement you must escalate the case to your manager within your agency and, if necessary, the safeguarding lead within your agency. Please refer to your own agency's safeguarding policy for further details.

While a level 4 child protection case is led by a named allocated social worker, other services, including universal and early help services will remain fully involved in the case, including through membership of the core group of professionals and/or of the Child Protection Conference, which is independently chaired. Different aspects of the case may be led by different agencies – for example the police will lead on criminal investigation.

Level 1 needs: Universal and universal plus services

Children, young people and families with no additional needs or where low-level needs can be met by universal services



Example indicators - Developmental needs

Learning / education

- Children whose additional needs can be met within their school or early years setting
- Children whose attendance is maintained at a satisfactory level with the support that can be provided within their school setting
- Barriers to learning can be addressed with the existing resources in the school or setting
- Progression between phases of education is planned within standard procedures or with support of previous mainstream setting

Health

- Health needs which can be well met within GPs and other primary or universal care
- Developmental milestones including speech and language can be achieved with help provided within single agency setting as required

Social, emotional, behavioural, identity

- Good mental health and psychological well-being can be achieved with low-level single agency support as required
- Good quality early attachments, confident in social situations, with low-level single agency support as required
- Knowledgeable about the effects of crime and antisocial behaviour, with guidance as necessary
- Knowledgeable about sex and relationships and consistent use of contraception if sexually active, with low-level advice if necessary

Family and social relationships

- Stable families where parents are able to meet the child's needs

Level 1 needs continued



Example indicators - Family and environmental needs

Self-care and independence

- Age appropriate independent living skills are evident or can be easily achieved with low-level single agency intervention

Family history and well-being

- Supportive family relationships are evident or can be secured with low-level single agency intervention

Housing, employment and finance

- Child adequately supported financially
- Good quality stable housing

Social and community resources

- Good social and friendship networks exist or can be easily established
- Safe and secure environment
- Access to consistent and positive activities

Example indicators - Parent and carer needs

Basic care, safety and protection

- Parents able to provide care for child's needs, with low-level advice if required

Emotional warmth and stability

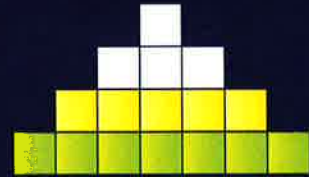
- Parents provide secure and caring parenting, with low-level advice or support as required

Guidance boundaries and stimulation

- Parents provide appropriate guidance and boundaries to help child develop appropriate values, with low-level advice from agency if required

Level 2 needs: Targeted services

Vulnerable children, young people and families with low-level additional needs that are not being met or cannot be met by universal services that require multi-agency intervention, a lead professional and a team around the family approach, in addition to support in Universal settings



Example indicators - Developmental needs

Learning / education

- Children with development delay within early years foundation stage
- Children at early years SEN support and not making progress in meeting targets of action plan
- Children and young people in educational establishments at SEN support and not making progress in meeting targets of action plan
- Children and young people with an education, health and care (EHC) plan and not making progress in meeting targets in plan
- Children with low attendance at school (below 90%) and persistent absence
- Children with identified language and communication difficulties
- Children with persistent short term exclusions and/or risk of permanent exclusion
- Children who are permanently excluded from school and require managed moves or alternative provision
- Missed appointments - routine and non-routine which are impacting significantly on the child's health
- Children who are missing education
- Young carers
- Children who are electively home educated, where there are concerns about the suitability and efficiency of the home education
- Pregnant women with a history of vulnerability that may include disability, mental ill health, learning difficulties, child protection concerns or experience of being a looked after child

Health

- Children who are delayed in reaching developmental milestones
- Children whose physical and emotional development raises concerns
- Children with chronic/recurring health problems
- Children with a pattern of missed appointments – routine and non-routine
- Children with complex needs requiring specialist support in both mainstream and specialist provision
- Children who are showing early signs of failure to thrive and there is no medical explanation

Level 2 needs continued



Example indicators - Developmental needs continued

Social, emotional, behavioural, identity

- Children with mental health or emotional issues requiring intervention
- Children with an early onset of offending behaviour or activity (10-14)
- Children who come to the notice of police on a regular basis
- Children where there is evidence of low level substance/alcohol misuse
- Children with low self esteem which is impairing their the educational and personal development
- Children where there is an early onset of sexual activity and who may be vulnerable to sexual exploitation
- Young parents and those in sexual relationships under age of 16
- Children who display a pattern of risk taking
- Children who are victims of crime, which could include discrimination and sexual exploitation
- Children who are bereaved

Self-care and independence

- Children who lack age appropriate behaviours and independent living skills, likely to impact negatively on development

Family and social relationships and family well-being

- Children are impacted upon negatively by the significant relationship difficulties of parents/carers which could include domestic abuse (at levels 1 or 2) / substance or alcohol abuse or mental health needs.
- Children's behaviour results in parents/carers requesting support to manage behaviour
- Children negatively affected by difficult family relationships which could include bullying
- Children who are young carers who exhibit additional needs which are a direct result of their caring responsibilities
- Children who may need additional support due to the learning needs of their parents

Level 2 needs continued



Example indicators - Family and environmental needs

Housing, employment and finance

- Children are negatively affected as a result of overcrowded living conditions and potential homelessness
- Children are negatively affected by their family's low income or unemployment

Social and community resources

- Children are negatively affected as a result of insufficient facilities to meet needs or to access local services
- Children are negatively affected as a result of the family's social exclusion
- Children are associating with anti social or criminally active peers including gang association
- Children have limited access to age appropriate advice including contraceptive and sexual health advice, information and services

Example indicators - Parent and carer needs

Basic care, safety and protection

- Children affected negatively by inconsistent care
- Children affected negatively by significant issues of parents which could include learning difficulties, disability, domestic abuse, substance misuse, mental health needs.
- Children affected negatively by parental non – compliance which could include non attendance at school

Emotional warmth and stability

- Children's emotional and behavioural development affected negatively by inconsistent parenting

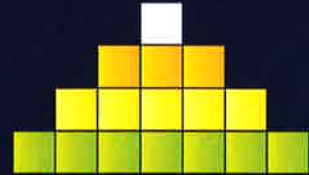
Guidance boundaries and stimulation

- Children's development negatively affected by inconsistent parenting in relation to boundaries, responses and engagement in learning

Level 3 needs: Children in need

Children, young people and families with high or complex additional needs requiring integrated targeted support or defined as a child in need under Section 17 of the Children Act 1989.

A child in need is a child who is unlikely to achieve or maintain a satisfactory level of health or development, or their health and development will be significantly impaired without the provision of services; or a child who is disabled.



Example indicators - Developmental needs

- Disability requiring specialist support to be maintained in mainstream setting
- Physical and emotional development raising significant concerns
- Chronic/recurring health problems including concerns about weight
- The child shows signs of physical abuse, for example bruising, scalds, burns and scratches, which are accounted for but are more frequent than would be expected for a child of a similar age
- Missed appointments - routine and non-routine which are impacting significantly on the child's health
- A young person over 13 but under 16 and in a sexual relationship and/or pregnant
- Unborn child vulnerable where there are risks of accumulative indicators such as substance misuse, learning difficulties, domestic violence and/or mental health
- Coming to notice of police on a regular basis
- Young people who have admitted a criminal offence and received a diversionary programme (triage) or a pre court disposal, for example youth caution, youth conditional caution or conditional discharge
- Evidence of regular/frequent drug or alcohol use which may be combined with other risk factors
- Mental health issues requiring specialist intervention in the community
- Child/young person self-harms
- Child/young person who is missing education where targeted services are not impacting
- Child/young person who is missing from home
- Self-harm
- Suspicion of sexual abuse or child sexual exploitation e.g. sexualised behaviour, medical concerns or referral by concerned relative, neighbour carer.
- Risk of radicalisation or involvement in extremism

Level 3 needs continued



Example indicators - Family and environmental needs

- Lack of age appropriate behaviour and independent living skills, likely to impair development
- Risk of relationship breakdown with parent or carer and the child which would lead to the child coming into care
- History of domestic abuse, current domestic abuse
- The family is excluded and the child is seriously affected but the family actively resists all attempts to achieve inclusion and isolates the child from sources of support
- Young carers where the child's outcomes are being impacted by their caring responsibilities
- Privately fostered children
- Children of those detained in prison
- Severe overcrowding, temporary accommodation, homelessness, transience, which is significantly impacting on the parent's ability to look after the child
- Siblings or other members of the family have a disability or serious health condition, including mental health concerns which impact on the child

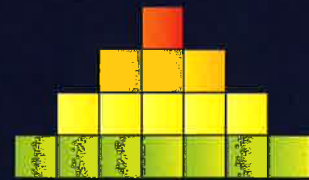
Example indicators - Family and environmental needs

- No available parent and child is in need of accommodation
- Parental learning disability, parental substance misuse or mental ill-health impacting on parent's ability to meet the needs of the child
- Parent is unable to meet child's needs without support
- Allegation of physical assault with no visible or only minor injury (other than to a pre- or non- mobile child)
- Physical care or supervision of a child is inadequate
- Allegations concerning parents making verbal threats to children
- Pregnant woman who has no access to public funds or services due to their immigration status or who is receiving a service during confinement.
- Inconsistent parenting significantly impairing the emotional or behavioural development of the child
- Allegations of neglect including inadequate supervision, poor hygiene, clothing or nutrition
- Failure to seek/attend treatment or appointments
- Hostile and aggressive behaviour by parent and carer that will likely have an impact on the child's emotional wellbeing

Level 4 needs: Child protection

Children, young people and families with complex or acute needs requiring specialist or statutory integrated response under Section 47 of the Children Act 1989. This may also include children subject to a Care Order (Section 31) or children looked after under Section 20 (duty to accommodate a child) of the Children Act 1989.

A child in need of protection is a child that is suffering, or is likely to suffer, significant harm. Where the local authority suspects this to be the case, it has a duty to make enquiries under section 47 of the Children Act 1989.



Example indicators - Developmental needs

- Concern where the child is failing to thrive and there is no medical explanation, particularly in those aged under 5
- Child is suspected to have suffered or be at risk of Female Genital Mutilation (FGM)
- Child/young person is engaged in criminal activity, including gang activity that is placing them at serious risk of harm
- Child is the victim of sexual or physical assault by another child
- Child is exhibiting sexually harmful behaviour
- Child/young person has complex mental health issues requiring specialist interventions in order to prevent them harming themselves or others
- Child/young person is in a sexually exploitative relationship or at high risk of child sexual exploitation
- Child/young person is in a violent or abusive relationship
- Young person is under 13 and is pregnant or engaged in sexual activity
- Unborn child vulnerable where there is evidence of accumulative indicators such as substance misuse, learning difficulties, domestic violence or mental health
- Child/young person is at risk of, or has been subjected to, forced marriage
- Child/young person is subject to spiritual abuse
- Child/young person who is missing from education for long periods
- Child/young person is frequently going missing from home for long periods
- Child/young person with complex needs who is at risk of or experiencing current harm through their use of substances
- Child is suspected of being trafficked or subject to child trafficking
- Child is suspected of engaging in radical or extremist activities
- Professional staff being denied access by parent or carer to the child

Level 4 needs continued



Example indicators - Family and environmental needs

- Suspicion of physical, emotional or sexual abuse or neglect that may cause significant harm to the child
- Severe domestic abuse that leads to a child being traumatised injured or neglected
- Siblings or other members of family living with disability, health conditions or mental health concerns that are seriously impacting on the child, for example causing neglect, putting them at risk of significant harm or causing them high levels of stress and emotional anxiety
- Knowledge of a registered sex offender or violent offender under multi agency public protection arrangements living in household or having regular contact
- An individual (adult or child) or organisation is posing a serious risk to a child
- Child or family need immediate support and protection due to severe harassment /discrimination within the community
- Grooming of child/young person via social media or other process
- Concern that parents/carers are displaying aggressive behaviour with professionals involved in working with the family

Example indicators - Family and environmental needs

- Any allegation of abuse or neglect or any suspected injury suspected to be a non-accidental injury to a child
- Repeated allegations or reasonable suspicion of non-accidental injury
- Child/young person is suffering neglect
- Parent is emotionally abusive to a child
- No available parent and child is at risk of suffering significant harm (e.g. abandoned baby)
- Child or young person's safety and emotional development is at risk due to parental substance misuse and/or mental health including parental delusions
- Suspicion that a child may have suffered or be at risk of significant harm due to fabricated or induced illness



Safeguarding update November 2018

South Bank Engineering UTC

No. of cases at level 1: Universal Services	
Change since previous report (October 2018)	
Commentary	

No. of cases at level 2: Child in need of Early Help	
Change since previous report (October 2018)	
Commentary	

No. of cases at level 3: Child in Need of targeted or specialist support	
Change since previous report (October 2018)	
Commentary	

Number of cases at level 4: Child at Risk of significant harm	
Change since previous report (October 2018)	
Commentary	

Work with external agencies:

Significant safeguarding issues in school since last report:

Education and Health Care Plans. Update since last report:

University Academy of Engineering South Bank

No. of cases at level 1: Universal Services	
Change since previous report (October 2018)	
Commentary	

No. of cases at level 2: Child in need of Early Help	
Change since previous report (October 2018)	
Commentary	

No. of cases at level 3: Child in Need of targeted or specialist support	
Change since previous report (October 2018)	
Commentary	

Number of cases at level 4: Child at Risk of significant harm	
Change since previous report (October 2018)	
Commentary	

Work with external agencies:

Significant safeguarding issues in school since last report:

Education and Health Care Plans. Update since last report:

	INTERNAL
Paper title:	Chairs' appointment update
Board/Committee:	South Bank Academies Board
Date of meeting:	11 December 2018
Author:	Michael Broadway, SBA Company Secretary
Sponsor:	Richard Flatman, SBA Interim Chair
Purpose:	For Information
Recommendation:	The Board is requested to note the recruitment update

Chairs' appointment update

Following the DfE governance review of South Bank Academies Trust, and the SBA Board meeting of 11 October 2018, the Board agreed to appoint an independent Chair of the Board and Chairs of the School Advisory Boards (also a Trustee and member of the SBA Board) is still ongoing.

The positions were advertised in October 2018 on these websites:

- Governors for Schools
- Inspiring Governance
- National Governance Association

LSBU and SBA's networks were also searched for appropriate candidates.

Three independent candidates have applied and an additional candidate has been approached:

- Ian Mehrrens
- Jacob Conalty
- Chris Pluck
- Chris Mallaband

Their profiles are attached.

It is recommended that all four candidates are met to discuss their interest in the role further. A two stage selection process is proposed:

- meet Group CEO and SBA CEO designate for an informal discussion

- meet interim Chair of Board, interim CEO and an independent director.

The governance team is continuing to explore the LSBU alumni network for suitable candidates.

Any recommendation to appoint will be brought back to the Board to approve via email.

The Board is requested to:

- note this update;
- review the applications; and
- approve the selection process.

PROFESSIONAL PROFILE

IAN MEHRTENS BSc MPhil FRICS MBA

113 Edmund Road, Hastings TN35 5LE

Tel: 07711 118497 / 01424 443577

Email: ian.mehrtens@fastmail.co.uk

An experienced and successful professional senior leader in Higher Education with a wealth of experience across a range of academic institutions both as an academic and more recently as a non-executive Director and Chair of the Board of Trustees.

Key Skills

- Commercial experience in the higher education private sector as Chairman of the Board of Trustees and non-executive Director.
- A confident strategic leader managing a broad portfolio of activities covering estates, ICT, HR, marketing, brand and social media, student support
- Experience of a project based portfolio career. Assignments at University of London, University of Leicester and at London South Bank University.
- Directorships of Regents College Conference Centre Ltd, Regent's Marylebone Ltd, Abbots Wharf Management Ltd, RVC Developments Ltd, Ian Mehrstens Consulting Ltd.
- Significant commercial experience in strategic land acquisitions and disposals.
- An experienced and successful Vice Principal
- Highly motivated professional senior manager.
- Enjoys working with people and delivering against challenges and exploiting opportunities.
- Excellent interpersonal and communication skills.
- Proven ability to motivate and develop staff.
- Results driven and customer focused.

Key Achievements

Strategic

- Leadership of a £35m private sector HEI
- Creation of a diverse fully functioning and challenging board
- Leadership of a university acquisition absorbing and international for-profit organisation into a not for profit university charity
- Leading the HE College to degree awarding powers and university title
- Creation of Chief Operating Officer portfolio and development of quality service delivery across Estates, ICT, Marketing and Recruitment, HR and student support.
- Part of a small team leading the acquisition and integration of an FE College into a Group structure
- Completion of a restructuring project at the University of London.
- Worked as a senior manager in the College to develop strategies to face the financial challenges ahead.
- Development and implementation of strategic plans.
- Instrumental in achieving capital funding for strategic projects.
- Created a department from two failing departments and raising the profile within the institution to one of respect.
- Leadership of departments across different locations
- Innovative solutions to strategic challenges.
- Development of College strategies.

Governance

- Chairmanship of a major not for profit private University Board of Trustees.
- Ensuring full compliance with statutory instruments in accordance with the Charities Commission.
- Consideration of public benefit and outreach.
- Preparation and delivery of strategic plans to Finance Committee and full University Board.
- Chairmanship of Regent's University Board, Space Management & Planning Committee, College Services Committee, Environmental Management Committee, Information Security Committee, IT Strategy Group.

Budgets and Financial Management

- Procurement and delivery of over £100m capital expenditure transforming the estate to enable the delivery of a state of the art learning environment.
- Financial stewardship and control.
- Effective budgetary management.
- Corporate financial management of a significant private HEI.
- Development and evaluation of investment appraisals.
- Commitment to developing a major renewable energy scheme ensuring its sustainable future.

Human resource management

- Management of the "one organisation" concept.
- Line management for over 650 staff of diverse professional, administrative, clerical and manual disciplines
- Line manager
 - HR
 - Marketing and recruitment
 - Project management
 - Facilities Management
 - Catering Services
 - Security
 - Residential accommodation
 - Health & Safety
 - IT Infrastructure & Network Services
- Coordination
 - Finance Department
 - Human Resources Department
- Responsible for recruitment, development and discipline of staff
- Performance management by setting objectives, evaluating performance and taking a personal interest in individuals development
- Responsible for contracting out of services including preparing the specification of requirements, tendering and evaluation of bids

Professional Development & Education

Honorary Fellow, Regent's University London, 2017

Master of Business Administration MBA

[University of Leicester, 1992]

Master of Philosophy MPhil

[CNA, 1988]

BSc (Hons) in Quantity Surveying

[Trent Polytechnic, 1976]

Dearle & Henderson Professorship, 1995

Fellow of the Royal Institution of Chartered Surveyors FRICS, 1990

Associate Member of the Royal Institution of Chartered Surveyors ARICS, 1978

Professional Career History

2013 to 2018 <ul style="list-style-type: none">• 2014 to 2018• 2013 to 2014	London South Bank University Chief Operating Officer Executive Director of Corporate Services
2011 – 2013	Ian Mehrstens Consulting Ltd
2007 – 2014 <ul style="list-style-type: none">• 2007 – 2014	Regent’s University London, Board of Trustees Chair, Board of Trustees
2005 – 2011 <ul style="list-style-type: none">• 2009 – 2011• 2005 – 2009	The Royal Veterinary College Vice Principal Operations Director of Estates
1999 – 2005 <ul style="list-style-type: none">• 2004 – 2005• 2000 – 2004• 1999 – 2000	Anglia Polytechnic University (now Anglia Ruskin University) Director of Estate Development Director of Estates Estate & Development Manager
1997 – 1999 <ul style="list-style-type: none">• 1997 - 1999	IMC (Ian Mehrstens Consulting) Director
1992 – 1997 <ul style="list-style-type: none">• 1996 – 1997• 1992 – 1996	Anglia Polytechnic University (now Anglia Ruskin University) University Projects Manager Associate Dean of Faculty & Professor of Built Environment
1988 – 1992 <ul style="list-style-type: none">• 1988 - 1992	Kingston Polytechnic (now Kingston University) Principal Lecturer - Surveying
1988 – 1992 <ul style="list-style-type: none">• 1988 - 1992	Thames Polytechnic (now University of Greenwich) Senior Lecturer – Quantity Surveying
1976 – 1979	Private Practice and new town development corporation

Other Professional Experience and Responsibilities

2007 – 2014	Director, Regent’s University London
2012 – 2014	Director, Regent’s Marylebone Ltd
2007 - 2014	Director, Regent’s College Conference Centre Ltd
2006 – Date	Director, Abbots Wharf Management Company Ltd
2009 - 2011	Director, RVC Developments Ltd
2002 - 2013	Member, RIBA Higher Education Design Quality Forum
1998 - 2002	Lay Chair, NHS Complaints Panels,
1997 - 2004	School Governor & Chair of Finance Committee, Plume School, Essex
1996 - 1998	Specialist Subject Assessor, Quality Assurance Agency (QAA)
1995 - 1999	District Councillor, Maldon District Council
1985 - 1996	Chair, Royal Institution of Chartered Surveyors Careers Steering Group
1994 – 1996	Chair, Royal Institution of Chartered Surveyors Careers Material Working Party
1990 - 1993	Royal Institution of Chartered Surveyors (RICS) Teaching Fellow

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Jacob Conalty

Organisation Civil Service

Employment Status : Full Time

Job Title : Private Secretary for Minister of Children and Families

Skills, experiences and aptitudes

Career Dev; Chairing; DA; Edu Sys; Negotiation; Prob Solving; PM; Strategic; Teaching; Child Welfare

Has previous experience as governor / trustee

No

Personal statement

I have a strong background in education and currently work for the Minister for Children and Families, where I am responsible for policies relating to children with special educational needs and disabilities, disadvantaged pupils, school food and looked after children. In 2017, I left my role as Head of Politics, after completing the Teach First Leadership Development Programme. As a teacher I taught in two contrasting schools, and, therefore, while I am experienced with the education system from my policy work, I also know how important good leadership is in a school . Governors play an essential role in establishing a powerful vision, which filters down to staff and students and can determine the success of that institution. I am committed to inclusion in schools, and ensuring that vulnerable children are supported in education. I would value the opportunity to apply my experience as a governor.

Interested in specific governance roles

LinkedIn Profile

Faith/Willingness to uphold the religious character of the

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I AM WILLING TO MEET THE REQUIREMENTS OF BEING A SCHOOL GOVERNOR: YES

BASIC INFORMATION

Title: Mr
First Name: Christopher
Surname: Pluck

Employment Status: Employed
Occupation: Policy Advisor
Employer Name: Ministry of Housing, Communities and Local Government

QUALIFICATION DETAILS

Qualification: 3 Degree
Subject: Politics, Philosophy, Economics
Institution: University of Oxford
Other professional qualifications: I have a PGCE from the University of Nottingham and I have completed the Teach First Leadership Development Programme

SUPPORTING INFORMATION AND SKILLS

Why would you like to become a school governor?

In the summer of 2016 I completed the Teach First Leadership Development Programme. It was a fantastic experience. I then went on to work for PwC but wanted to continue to make a contribution to the lives of young people/ I feel an excellent way of doing that would be by becoming a volunteer governor.

Just over ten years ago, the school I worked in had a pass rate of 16%. It has now hit 60%. Many factors account for this change. But one of them was certainly high quality leadership. I have experience of an institution where high quality leadership has had an enormous impact upon the prospects of young people; and I would leap at any opportunity to play a role in any such change in future.

At PwC I worked on a digital transformation project at a County Council, and worked on a data management project at a London Borough.

I've since left PwC, and now work as a Civil Servant. I was a Private Secretary in the Special Advisors Office at Department for Education. I am now a Policy Advisor at the Ministry of Housing, Communities and Local Government, where I work on local government sustainability.

Skill Level

Finance	Basic
HR	Basic
Law	Basic
Premises	Basic
Health & Safety	Basic
IT	Basic
Procurement	Basic
Education	Moderate
Fundraising	Moderate
Other Skills	First and foremost, I believe I would be an effective governor because I have spent two years working in a challenging school which has attempted to improve. I have seen initiatives fail; I have seen initiatives succeed. I got a taste of what it felt like when things were going well, but also when things were going badly. While admittedly I only spent two years working in a school, I believe I would be able to ask the sort of questions that will need to be asked in order to hold the school's leadership to account.

Do you have children of school age? No

~~No~~ you currently or have you previously been a school governor?

DECLARATION AND SUBMISSION

I confirm that I have read the Qualifications and Disqualifications (regulation 17 and Schedule 4 of the Constitution Regulations 2012) and that I am not disqualified from serving as a school governor and that this form can be recorded and used by SGOSS in accordance with the data protection act

Declaration Confirmation Box: YES

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Contact

www.linkedin.com/in/chris-mallaband-374823a1 (LinkedIn)

Top Skills

Education Leadershio
Leading transformational change
Values based leadership

Chris Mallaband

Retired Principal at Various Academies and Schools
London, Greater London, United Kingdom

Summary

Retired Principal with 16 years of school leadership experience in a variety of schools and academies. All leadership roles have been in challenging inner city schools usually facing some form of crisis!

Experience

Various Academies and Schools
Retired Principal
September 2017 - Present
London, United Kingdom

Bacon's College
Principal
September 2015 - Present

CfBT Schools Trust
Executive Principal
April 2014 - August 2015 (1 year 5 months)

Langdon School
Principal
September 2013 - April 2014 (8 months)

St. Mark's Academy
Principal
September 2010 - August 2013 (3 years)

Parkwood Academy
Principal
2009 - 2010 (2 years)

Education

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The Open University

Master of Arts (M.A.), Education Management · (1990 - 1997)

Chelsea College, University of London

PGCE, Education · (1983 - 1984)

Imperial College London

Bachelor of Science (BSc), Chemistry · (1980 - 1983)

Abbeydale Grange School

· (1973 - 1980)

	CONFIDENTIAL
Paper title:	Proposed Salary Increases 2018/19
Board/Committee:	South Bank Academies Board
Date of meeting:	11 December 2018
Author(s):	Clym Cunnington, Trust Business Manager
Sponsor(s):	Nicole Louis, CEO
Purpose:	Approve
Recommendation:	To approve of the annual cost of living pay award across SBA Trust; central and school staff for 2018/19

Executive Summary

The Trust proposes to implement an annual cost of living pay award for SBA staff for 2018/19 which represents an average award of 2% across the staff base. This is in addition to scale-based increases post appraisal which will drive a further 3.5 % increase in the base. In developing this recommendation, consideration has been given to the 2018/19 Teachers' COL Pay Award which was announced in June of this year and includes differentiated awards to smooth out the differences between the lowest and higher paid teachers. Whilst SBA is not required to follow the national awards, we believe that there is merit in applying the same principals to our own SBA pay scales.

The recommendation is to apply the full percentage increases as per the DfE Teachers Pay Award (3.5%) to the minima and maxima of the relevant scales or the SBA equivalents, combined with an overall 2% increase on all other teacher scales and support staff. The awards are affordable given that SBA had provisioned 2% staff cost inflation within its staff budgets and we will receive additional GAG income to cover the higher awards to specific teacher pay scales. A summary of the awards is below:

Cost of Living Increases to SBA Pay Scales

- Teachers on bottom of main scale – 3.5%
- Teachers on top of main scale – 3.5%
- Other teachers and support staff – 2%
- SBA Central Support Staff – 2%
- Leaders (Principals) 2%

	<p>Background</p> <p>Across most of the Secondary Education Sector, pay and conditions have varied between members of the teaching body and those staff members who are Educational or Administrative Support Staff.</p> <p>Teachers are qualified, recognised professionals who h meet the training requirements of the Department for Education in order to be a qualified teacher. Within the State sector, Teachers are governed by the School Teachers Pay and Conditions (STPC). Support staff are governed by different terms and conditions particularly in relation to pay, hours and working terms and conditions.</p> <p>Academisation has freed Converter Schools and Free Schools to introduce their own pay scales, differentiated from the “Burgundy Book”, which stipulates the terms and conditions for qualified Teachers. In order to remain competitive and to attract suitable experienced, qualified professionals, it is good practice to benchmark SBA salaries against the increases to the Burgundy Book Scales.</p> <p>Both the Teachers and the Support Staff pay increases are twofold.</p> <ul style="list-style-type: none"> a) The Pay Scale step advancement, dependent on the Annual Appraisal for all Staff. b) The Pay Scale or Cost of Living (CoL) increase where a percentage increase is applied to each individual scale.
	<p>Teachers Pay Award 2018.</p> <p>In June 2018 the Department for Education announced the Teachers’ Pay Award for the CoL element of the pay increase. In an attempt to smooth the differentials on the Burgundy Book pay scales, an uplift of 3.5% was awarded to the minima and maxima of the Main Scale (M1 and M6 pf the scale). An uplift of 2% was awarded to the minima and maxima of the Upper Pay Scale (UPS1 and UPS3) while 1.5% was given to the lowest level on the Leadership Scale. Teaching and Learning Responsibility points (TLRs) were also increased on the minima and maxima of the scales. SBA does not use the Burgundy Book Scales. A portion of this year’s Teachers Pay Award is partially funded by the DfE.</p> <p>Prior to the 2018 Pay Award, Teachers were awarded a 1% increase per annum from 2014 to 2018. The result of this was a 1% unfunded increase that was to come from School budgets for the current Academic/Financial year. The effect of this on the current Pay Award is an overall increase of 3.5%, 2% and 1% for those scales already mentioned, 1% is already budgeted for. The net effect of the government award for Schools is an additional funded increase of 2.5%, 1% and 0.5% increase on the current scales.</p>
4.	<p>Process for Determining Pay Awards</p> <p>The schools’ annual appraisal process takes place in October of each year. For those members of Staff who have been successful in their Annual Appraisal, a step increment is awarded. This part of the process has now been completed and the step increases have been applied. Taking the freedoms Academies have been granted by the DfE to set its own Pay Scales and in order to make a recommendation of the step increase, two scenarios were modelled.</p>

	<p>The SBA Trust had already budgeted for a 1% increase on the 2018-19 pays scales with a further 1% contingency added to enable some flexibility in light of the national award.</p> <p><u>Scenario 1: 2% Blanket Award</u></p> <p>In this scenario, we modelled adding a further 1% to all the scales resulting in a blanket award of 2% across the Trusts Teachers' and Support Staff Salary Scales.</p> <p>There are implications of inconsistency in this approach which would compound the existing challenges faced with the current SBA pay scales. For example, the 2.5% uplift on the Main Scales funded by the Government wouldn't be implemented in this scenario leaving the Trust open to criticism that it had not funded the pay award in the way it was intended for all teaches. Upper Pay Scale or SBA equivalents would hit the mark with the relevant Leadership Scales though the lowest spine point alone and the scale would be affected.</p> <p><u>Scenario 2 - "Hybrid" Approach</u></p> <p>The second scenario modelled is a hybrid award, combining the minima and maxima pay spine increases on the Burgundy Book Scales, which the SBA mirrors, plus the increase percentage budgeted for by the Trust. This approach applies the full percentage increases to the letter of the DfE Teachers Pay Award (minima and maxima of the relevant scales or the SBA equivalents) with an overall 2% increase on all other scales.</p> <p>The result of this is an application of the monies received from the DfE to fund the additional increases over and above the 1% already awarded to teachers in the previous pay award. SBA has already budgeted for 2 increase in the 18-19 salary scales.</p>
5.	<p>Recommendation</p> <p>It is recommended that the hybrid award is adopted to ensure the Trust is meeting the DfE requirements of funding for the money it is providing. The Pay Scale increase is already in the budget across the Trust Schools as are the step increment increases, therefore this is affordable. The 2% award on the 'non-increased scales' is more than the application of the DfE pay.</p> <p>When budgeting, all salary increment steps are increased even though not all staff will be eligible. Pension costs are also increased across all staff members even though some staff members have opted out of contributing. This provides a cushion to keep salary costs within budget. National Insurance is applied across the salaries at a fixed rate of 13.38% when budgeting again as an assurance that all staffing costs have been covered. As this doesn't take into account the upper and lower thresholds it does ensure costs are covered as a result. These all ensure a surplus on the budget.</p>
6	<p>Salary Increase Costs</p> <p>1. UAE</p> <p>Applying step increases to UAE Teachers and Support Staff yields an increase in staffing costs of £18,055 whilst percentage Salary Scale increases</p>

brings the total staffing costs for the 18-19 Academic year to £116,225. This is already budgeted for with the additional safeguards mentioned in point 5.

2. UTC

Step increase and Salary Scale increase are lower than the UAE as there are fewer staff members. The combined increase is for step increments and Cost of Living Salary Scale increases is £33, 549. This is already in the budget.

3. Trust Central

The central staff scale awards are aligned to that of LSBU with the exception of the Executive Principal post where the pay scale award mirrors that of the Burgundy Book.

Agenda Item 10

	CONFIDENTIAL
Paper title:	External Audit Findings
Board/Committee	South Bank Academies Board
Date of meeting:	11 December 2018
Author:	Kingston Smith
Purpose:	To present the findings from the audit for the year ending 31 st August 2018.
Recommendation:	It is recommended that the Board note the attached audit findings from Kingston Smith

Recommendation

The Board is requested to note the main findings and recommendations contained in the attached report.

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South Bank Academies

Post Audit Management Report

Year Ended 31 August 2018

Post Audit Management Report – South Bank Academies

We have completed the audit of South Bank Academies (SBA) for the year ended 31 August 2018 and whilst we expect to issue an unqualified audit opinion on our Kingston Smith Audit report, there have been significant difficulties encountered which have been identified throughout his report.

As part of our audit work and in accordance with the reporting requirements outlined in the regularity report we have identified irregularities in relation to the maintenance of the books and records and the management information being reported to the Board. Whilst improvements and new appointments have been made and training provided, financial control issues still remain. We have highlighted key areas of concern in Section 2, Section 3 and Section 4 of this report, with further details outlined in the appendices. An explanation of the issues has been included in the Financial Statements by the Directors.

We understand that a new Trust Business Manager has now been appointed post year end and changes to the finance structure and staff have also been agreed. The Trust is also in the process of bringing their accounting system up to date and a more rigorous internal control process is to be introduced once this exercise has been completed.

This report covers the findings from our audit, the scope of which was communicated to you prior to commencing the work. It includes a number of points which have been deemed to be high and medium risk which need to be resolved.

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

Yours faithfully

.....
Kingston Smith LLP

.....
Date

Contents

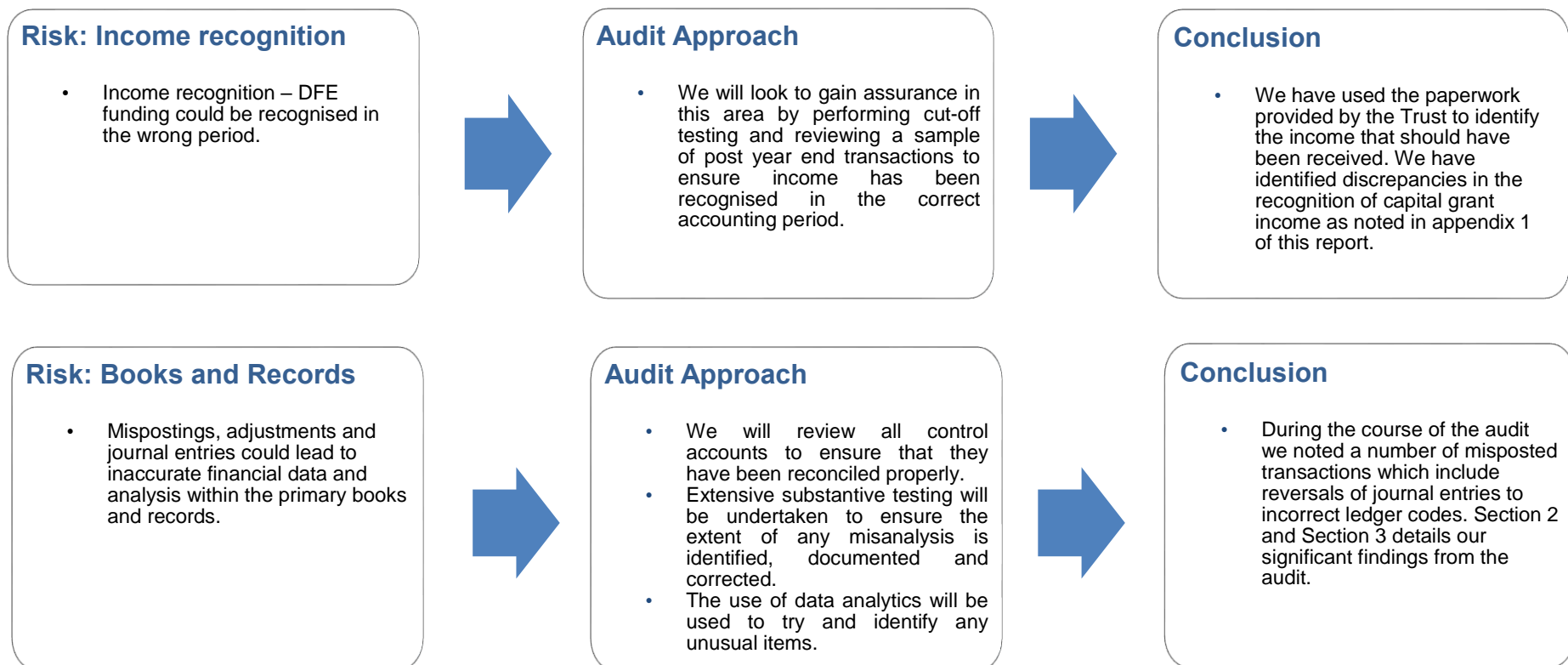
Section 1	Audit Approach
Section 2	Significant findings from the Audit
Section 3	Operation of the Accounting and Internal Control Systems
Section 4	Operation of the Accounting and Internal Control Systems – follow up on prior year points raised for the year ended 31 August 2017
Section 5	Sector update
Appendix 1	Corrected Misstatements and Reclassifications
Appendix 2	Uncorrected Misstatements and Reclassifications
Appendix 3	Other matters

Section 1: Audit Approach

As outlined in our pre-audit letter dated 5 June 2018 our audit approach is based on an assessment of the audit risk relevant to the individual financial statement areas. Areas of risk are categorised according to their susceptibility to material misstatement, whether through complexity of transactions or accounting treatment. For each area we calculated a level of testing and review sufficient to give comfort that the financial statements are free from material misstatement.

The following table lists any risks identified at the planning stage and during the course of the audit, our approach to mitigate the risk and our conclusions from completing this work. Unfortunately due to the difficulties encountered as part of the audit process as identified in section 2 and 3 of this report, and from the work that we have undertaken ourselves we believe that the conclusions we have reached have to be referenced to the detail issues raised within this report.

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Section 1: Audit Approach

Risk: Management override

- Management override of controls – management are in a unique position to perpetrate fraud because of their ability to manipulate accounting records, overriding controls that otherwise appear to be operating effectively (ISA 240 para 31).



Audit Approach

- We will review journals raised in the year for any unusual entries or patterns
- We will test a sample of journals to identify the nature of the journal and evaluate whether there is a genuine rationale for the adjustment.



Conclusion

- Whilst transactional testing did not identify any instances of management override, due to the number of errors that were identified and the lack of information to support the journals that had been processed, we have raised significant issues in the body of this report.

Section 2: Significant Findings From The Audit

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

Corrected material misstatements and reclassifications

As referred to in the Significant difficulties section, the original trial balance presented for audit was not reflective of the year's results.

Management were not able to correct the system on a transactional level within the time frame, but prepared reconciliations and breakdowns for balance sheet items and capital income. A manual extended trial balance was created to record all the adjustments identified from the work undertaken, in order to bring the figures to the correct year end position.

This revised trial balance was then audited, and included as Appendix 1 are the corrected misstatements identified during the course of our audit work which have been discussed and agreed with you.

Uncorrected immaterial misstatements and reclassifications

Included as Appendix 2 are the uncorrected, immaterial misstatements and reclassifications identified during the course of our audit work.

Observations concerning the operation of the accounting and control systems

We detail in section 3 and section 4 other matters concerning the operation of the accounting and control systems that we consider should be brought

to your attention. The observations have been ranked in order of potential risk to the Trust.

We look forward to receiving your responses on the points raised.

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

Significant difficulties

We experienced significant difficulties and delays during our audit as financial information presented to us was incomplete and did not accurately represent the underlying financial records.

The original draft accounts presented for audit were not reflective of the year's results, underlying records and a number of the key control accounts had not been reconciled or reviewed.

The answers given to some of the audit queries and requests during our audit work were inadequate and indicated a lack of understanding of the underlying issues, or are reflective of the lack of a full audit trail throughout the year.

There appears to be a communication issue between the central function and the individual academies as to who holds specific supporting documentation. This has been noted in section 4 of this report.

Section 2: Significant Findings From The Audit

Whilst we appreciate there has been some progress in year in areas such as payroll, however there are a significant number of points that were raised last year that have reappeared as issues this year and these have been updated in section 4 of this report.

Significant matters

The number of significant issues noted within this report as well as the state of the financial records indicate that no adequate internal reviews had been undertaken by an independent person during the year which would have identified the issues sooner. This has resulted in a number of control deficiencies that were noted during the course of the prior year audit being noted as still not having been resolved or rectified.

It also indicates the lack of systematic controls and processes that should be undertaken on a weekly/monthly basis. In light of the outcome of the prior year audit we were engaged to perform an interim audit to provide assurance over the financial records. The interim work was undertaken in July 2018 and we identified the issues needed to be resolved before the final audit was undertaken.

The unresolved issues included the purchase ledger control account which included a number of duplicate entries, year end balances, payment only entries and outstanding invoice payments where invoices had been paid directly through the bank as identified during the prior year audit. In addition, prior year journals posted directly to this account had not been reversed and resulted in the aged listings not reconciling to the trial

balance. A review of the ledger and a process to reconcile it to the trial balance would have identified the discrepancies at a much earlier stage.

Whilst we appreciate there have been improvements during the year, there are still a number of errors that have been identified and corrected during the current year audit, and there are still figures included in the accounts where although materially correct based on the information we have to date, we cannot be certain will not result in a prior year adjustment in the following year. For example we are unable to ascertain whether an accrual of £111k is an accurate charge for the light and heat used.

Management Response

Following the 2016/17 audit which was finalised in January 2018, a number of processes were redesigned and additional control processes were put in place. This included independent review of the bank reconciliation, tighter controls around supplier payments, agreement to implement functionality available in our accounting system, formal review and approval of the payroll, implementation of a month end processing and reconciliation check list, automating the production of management accounts and agreement to move to a single bank account. However, it has been recognised this year that lack of skills and capacity within the Trust finance team has made it difficult to implement all of these new processes and procedures. A new Trust Business Manager has now been appointed and retraining of staff is already underway.

Section 2: Significant Findings From The Audit

It has also been agreed to change the structure of the team responsibility for financial processing within the Trust Finance function to reduce the risk of problems reoccurring in the future. An interim solution will be in place by the end of December 2018 with a permanent staffing structure due to be put in place in the first half of 2019.

In addition to the above, the Trust has now engaged PwC to deliver its internal audit function. The first review took place in September 2018 and a number of recommendations were made which The Trust is in the process of addressing. A follow up review is planned to take place in the first quarter of 2019.

There have also been changes to the management structure across the Trust following concerns around management oversight. This includes the previous CEO being replaced, appointment of a new Trust Business Manager and alignment of school management structures with the appointment of a single Executive Principal.

Detailed Management responses are shown in section 3 of this report. As indicated above, significant progress has been made during 2018 in terms of staff, process, roles and governance. It is planned that most remaining matters will be addressed by April 2019, in particular those relating to routine monthly processing and month end routines.

Management Representation Letter

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

Point 7 – This we only refer to material transactions as opposed to all transactions

Point 8 – This has been expanded to refer to donated services and South Bank University

Point 9 - This has been included to capture the transactions with South Bank University which have been disclosed within the related party note of the accounts and that the Trust believes the transactions have taken place at arm's length.

Point 11 – we have sought further confirmation that we have all the information we need in respect to the notional rent for South Bank Engineering UTC

Point 14 – We have asked for confirmation on the LGPS liability associated with the MAT

Point 15 – We have asked for you to confirm the accrual of £186k for light and heat is valid based on the information available to you at the time of signing this letter.

Section 2: Significant Findings From The Audit

Point 17 - We have asked you to confirm that the actuarial assumptions used by the actuaries Aon Hewitt Limited and Hymans Robertson LLP in calculating the actuarial movements, and fair values of the assets and liabilities of the local government defined benefit pension schemes are consistent with our knowledge of the trust.

Point 28 – The point has been expanded to take note of the additional wording relating to the Regularity audit report in the financial statements

Point 29 – the point has been expanded to include reference to materiality.

Section 3: Operation of the Accounting and Internal Control Systems

	MATTER ARISING	RISK	IMPLICATION	RECOMMENDATION	MANAGEMENT RESPONSE
1	Reconciliation of Reserves It was noted that opening reserves did not reconcile to the opening trial balance by £608k. This was as a result of capital grant income and the associated depreciation on these assets being posted directly against reserves.	HIGH	This resulted in the opening reserves in the trial balance being materially incorrect.	Adjustments should not be posted to reserves. Where reserves transfers are required these should purely be reallocations between reserve balances	Agreed. Correct accounting treatment will be applied going forward.
2	Use of Capital Grant Funding On review of the assets funded via the UTC ESFA capital grant it was noted that £83k worth of these assets had been capitalised within the UAE fixed asset register. The Trust believes that they have received prior agreement concerning the use of shared assets across both academies however we have not been provided with evidence of approval could not be provided. Therefore we were unable to see evidence that the funding was spent in line with the grant conditions.	HIGH	As we have not been provided with evidence to agree that the funding can be spent on UAE assets, we are led to conclude that this may have resulted in UAE benefiting from the use of assets for which UTC has funded and thus not in accordance with the terms of the grant.	Where funding has been granted, it should be spent in line with the stipulated terms of the agreement unless prior approval has been received from the ESFA. Where prior approval has been granted we recommend that evidence of this is kept and is readily available should it be required.	We are satisfied that the assets purchased from the capital grant are being appropriately used by the UTC. We will recode these assets within our ledgers to correctly reflect their usage.

Section 3: Operation of the Accounting and Internal Control Systems

	MATTER ARISING	RISK	IMPLICATION	RECOMMENDATION	MANAGEMENT RESPONSE
3	Monitoring of Capital Grants The trust does not track its capital funding expenditure against the grants that are received. During the audit we noted discrepancies between the UTC ESFA capital grant and the Local Authority schedule 21 funding.	HIGH	The Trust cannot prove that it has spent the money in accordance with the terms of the grant.	We recommend that procedures are implemented to continuously monitor capital grant spend. The accounting system should be set up and used to ensure capital funding and the associated expenditure can be tracked. In addition this will help identify any spend incurred for which income has not yet been received and therefore additional funding to be accrued at the year end.	Agreed. Capital funds received and spent will be reconciled as part of the month end process and reported as part of the monthly management accounts. At year end grants spent but not yet received will be accrued
4	Other Creditors (Including Salary Advances and Payroll Control) Salary advances are not reconciled and not indicative of outstanding balances. The accounts are showing a debtor of £5,065 and a creditor of £16,830 where the majority of items have had no or little movement from the prior year. Salary advances have not been properly recorded on the system or tracked. Details of what balances related to have not been made available.	HIGH	The overall outstanding balance which would normally be an overall debtor in the accounts is currently sitting as a net creditor. Not only can this result in costs not being recovered by the Trust and or challenges by staff.	A review should be conducted in regards to 'Other Creditors' and any amounts that are unable to be reconciled to relevant documentation should be written off. It is also recommended that a list of all salary advances including season ticket loans is prepared and reconciled against payroll deductions on a monthly basis.	Agreed. This task will be part of the month end reconciliation process and will also be checked when checking payroll reports before payroll is approved. Overall payroll accounts are being reconciled including the main net pay, PAYE and pension control accounts but during the year smaller reconciling items were not addressed. Going

Section 3: Operation of the Accounting and Internal Control Systems

	MATTER ARISING	RISK	IMPLICATION	RECOMMENDATION	MANAGEMENT RESPONSE
					forward all payroll control accounts will be reconciled and reconciling items investigated as part of the month end process. Please also see management response on Page 4.
5	Bank Mandate We were not able to see an up to date bank mandate onsite and one has had to be reordered from the bank. This shows that documents might not be filed and stored correctly. The bank mandate has also not been updated for the Trustees who have left or joined during the year.	HIGH	In the event of the main signatories not being present, the MAT could incur penalties for not making payments on time as was the case during the year when LSBU had to pay expenses on behalf of the MAT. In addition, the existence of old signatories on the bank mandates (especially where employees have left the Trust) leads to an increased risk of fraudulent transactions taking place.	It is recommended that all important and confidential documents are filed correctly so that they can easily be retrieved. It is also recommended for the bank mandate to be kept up to date to minimise the risk of fraud.	Agreed. Going forward, instruction will be sent to Lloyds to update the mandate as personnel change.

Section 3: Operation of the Accounting and Internal Control Systems

	MATTER ARISING	RISK	IMPLICATION	RECOMMENDATION	MANAGEMENT RESPONSE
6	<p>Trade Creditor Reconciliations The UAE trade creditors listing could not be reconciled to the year end trial balance by £59k.</p> <p>In addition, there balances noted on all listings which were labelled 'YE PL Adjustments on the trade creditors reports. The amounts are:</p> <ul style="list-style-type: none"> - UAE - £39,980 - MAT - £-1,862.05 - UTC - £-585.56 <p>It was also noted that a number of suppliers had been paid twice. We believe that this is a result of the lack of controls surrounding the posting of transactions and invoices as well as the maintenance and reconciliation of the trade creditors listing.</p> <p>Although the net adjustment made to the accounts was immaterial this resulted in the year end listing not reflecting the true yearend balance.</p>	HIGH	<p>The Trust could potentially be paying suppliers based on incorrect data. This could also lead to the Trust being unaware of supplier invoices due to be paid. As evidenced during the audit a number of duplicate payments had been made. These duplicate payments have a negative impact of the Trusts cash flow and has resulted in trade creditors being understated.</p> <p>Consequently trade creditors may be misstated due to the fact that we are unaware what these cost constitute and whether they actually relate to creditors at the year end.</p>	<p>Trade creditors aged listing should be reconciled to the purchase ledger control account on a monthly basis and any differences investigated. The ledgers should be reviewed for unusual balances which differ from expectation.</p> <p>By making full use of control accounts, e.g. trade creditor control account, it will help prevent duplicate payments. Reconciling the trade creditor control account on a monthly basis will help identify those balances which are still outstanding and those which are now cleared. Whilst this will not eradicate instances of duplicated payments being made this is one of the ways to help mitigate the risk.</p>	<p>Agreed.</p> <p>The supplier accounts that make up the difference between the PL and control accounts have been identified and we have asked the software supplier for help in correcting this. The supplier has not so far been able to offer this support. Going forward, this reconciliation will be completed as part of the month end reconciliation process and any discrepancies will be investigated.</p>

Section 3: Operation of the Accounting and Internal Control Systems

	MATTER ARISING	RISK	IMPLICATION	RECOMMENDATION	MANAGEMENT RESPONSE
7	Payroll Documentation Student working for the academy trust are not issued contracts of employment although they are included on the monthly payroll. This is relevant for the following student members of staff <ul style="list-style-type: none"> - Aaron Iduh - Jackson Moore - Andre Edwards 	HIGH	Lack of clear evidenced and agreed terms and conditions can increase the risk of misunderstandings and disputes. In the event that the entity is taken to a tribunal, a clear contract will help to support the entity's position.	It is recommended that employment contracts are drafted for all student employees.	These students are casual workers and contracts were not in place. We will consider issuing casual worker contracts to students.
8	Bank reconciliation Whilst we note that the bank reconciliations were provided and a listing of transactions reconciling the trial balance to the year end bank statement were prepared, we note that the bank reconciliations included reconciling items that could not be validated.	HIGH	The bank forms the core of the financials for the year. Where reconciling items are not indicative are valid reconciling transactions this can result in a number of other areas of the financial being misstated. For example, any proposed adjustments from the bank reconciliation to other control accounts such as trade creditors would result in questions over the reliability over what has the reported within the trade creditors listing.	Bank reconciliations should be performed each month to ensure errors are easy to detect and can be rectified immediately. Bank reconciliations along with documentation of reconciling items allow for more efficient management; knowing what has cleared the bank and what hasn't will be beneficial in trade creditor and payable reconciliations.	Agreed. Bank reconciliations have been prepared by University staff since January 2018 but some reconciling items have not been correctly allocated. Going forward a more robust month end process will ensure that all reconciling bank items are followed up. Also see management comment on page 4.

Section 3: Operation of the Accounting and Internal Control Systems

	MATTER ARISING	RISK	IMPLICATION	RECOMMENDATION	MANAGEMENT RESPONSE
9	<p>Timely posting of transactions Ledgers have not been updated and maintained during the year. Invoices have been posted in the incorrect period due to lack of timely posting of invoices on receipt. The insufficient monitoring of income has also resulted in the understatement of income and income was noted as not being correctly allocated within appropriate nominal codes within the ledgers.</p> <p>For example:</p> <ol style="list-style-type: none"> Capital grant income had been netted off the expenditure and therefore no complete record of income received and assets purchased was maintained during the year. We identified £303k of fixed asset payments which should have been recognised within trade creditors and prepayments last year. These assets were funded by grant income which should have 	HIGH	<p>This has resulted in the misstatement of a number of balances in the accounts and has also meant that the Trust will not have a clear view of any amounts outstanding, paid or received on review of the ledgers as they are not complete and have not been maintained.</p> <p>Transactions have not being accounted for in the correct period which goes against the accruals reporting concept.</p> <p>This will also have a knock on effect for the financial figures and budgets included in this year's accounts as prior year prepayments should have been reversed against the correct nominal account.</p>	<p>We recommend that all invoices are posted to the system as soon as they are received. Monthly reconciliations of all control accounts and income should be performed.</p> <p>Invoices should be processed and reviewed upon arrival to ensure the correct accounting treatments have been applied.</p> <p>Where a prepayment has been identified and adjusted for, we would expect that the reversal of the prepayment should be processed back against the original nominal account that was adjusted.</p>	<p>Agreed.</p> <p>Going forward, correct accounting treatment will be applied. A required timeline for posting sales and purchase ledger items will be agreed and general ledger posting and reconciliation will be undertaken in line with the month end check list with a target of 10 working days after month end.</p>

Section 3: Operation of the Accounting and Internal Control Systems

	MATTER ARISING	RISK	IMPLICATION	RECOMMENDATION	MANAGEMENT RESPONSE
	<p>been accrued for in 2017. All transactions have been included in this year's accounts.</p> <p>3. We also noted incorrect treatment of prior year prepayments has occurred during the year. Instead of being allocated to the correct nominal code to which they relate. They have been posted to the 'write off' account.</p>				
10	<p>Depreciation of fixed assets As a result of a fixed asset register not previously being maintained, the straight line depreciation is being calculated on costs brought forward. There is no full record of assets held or their associated net book values.</p>	HIGH	<p>By calculating the depreciation charge straight line based on cost brought forward, the Trust is unable to identify assets as they are coming to the end of their Useful economic life and therefore assets are at risk of being depreciated in excess of cost.</p> <p>Fixed assets are highly material and therefore the depreciation charge associated with any assets are likely to be material and the incorrect application of the depreciation policy is therefore likely to result in material misstatement.</p>	<p>We recommend that a full fixed asset register is maintained which shows the depreciation charges on a monthly basis by asset. This will enable depreciation to be calculated from the date of acquisition to the date of disposal and will allow for tracking of assets.</p>	<p>Agreed.</p> <p>A fixed asset register has been maintained throughout the year and includes calculations of depreciation but does not detail opening balances or identify grant funded assets.</p>

Section 3: Operation of the Accounting and Internal Control Systems

	MATTER ARISING	RISK	IMPLICATION	RECOMMENDATION	MANAGEMENT RESPONSE
11	LGPS pensions We could not be provided with an LGPS actuarial report which incorporated the liability associated with staff members employed in the MAT.	MEDIUM	Whilst this related to only one employee this has resulted a understatement of the year end liability in the accounts.	We recommend that the Trust reviews the documentation received by the actuaries to resolves any issues directly. The actuarial reports should be reviewed in detail to ensure the information contained within them is consistent with the Trusts expectation and underlying records.	Agreed. It has been difficult communicating with the pensions team at Southwark but going forward actuarial reports will be reviewed and reconciled to accounting and HR records
12	Local Authority income We could not be provided with details on local authority income received for the Summer Term for each school.	MEDIUM	Incomplete records surrounding income can result in the misstatement of income. Additionally the lack of controls surrounding the posting of income in the ledger and reconciliations can result in the Trust having not received income that it is due.	The Trust should reconcile income against both remittances and expectation noted any amounts which may be misallocated or not yet received but due.	Agreed. The income referred to had not been claimed or received until after year end and it is agreed that the income should have been accrued. Going forward detailed analysis of income against budget or the raising of a sales invoice will ensure that income had been properly recorded. The budget will include all expected income streams to make this variance analysis meaningful.

Section 3: Operation of the Accounting and Internal Control Systems

	MATTER ARISING	RISK	IMPLICATION	RECOMMENDATION	MANAGEMENT RESPONSE
13	Building occupied by UTC There does not appear to be documentation i.e. a license to occupy or a lease with Trinity Academy London for the use and occupation of the building.	MEDIUM	Although the building is occupied and in use by UTC there needs to be documentation in place to support the current arrangement.	We recommend a lease or license is obtained correctly reflect the status of the arrangements between UTC and Trinity Academy London.	Agreed. We have however been in talks with The Department for Communities and Local Government for 2 years on this matter which can only be dealt with once the building is complete.
14	Accruals Some items which have been accrued for are of a trivial value, and will therefore have minimal effect on the financial statements. A significant number of these accruals were also noted as being invalid with respect to the current financial year.	LOW	It is likely that a significant amount of time is involved in the administration needed to account for numerous trivial accruals, especially with a small finance team. This has therefore resulted in accruals not being tracked and released as and when required and thus accruals which are not valid being present on the year end listing.	There should be a consideration of implementing a threshold value of which it should then be compulsory to raise an accrual. Whilst it is good practice to account for all accruals required, we would recommend that controls are put in place to ensure all larger amounts are accounted for first.	Partially agreed. Even though some accruals will have minimal effect on the financial statements, they may be important in terms of management of individual budgets. It is agreed that invalid items should not have been accrued.

Section 3: Operation of the Accounting and Internal Control Systems

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

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

Section 4: Operation of the Accounting and Internal Control Systems – follow up

Prior Year Points

	MATTER ARISING DURING THE YEAR ENDED 31 AUGUST 2017	RISK	IMPLICATION	RECOMMENDATION	FOLLOW UP TO 31 AUGUST 2018
1	Roles and responsibilities It was noted that there is a lack of clarity over individuals' roles and responsibilities within the finance team particularly in respect of the accounting system, once the former finance manager had left the Trust.	HIGH	This caused omissions of some entries such as payroll entries, and duplication of others such as purchase invoice payments, and therefore a material misstatement of the figures. This also caused journal entries to be processed without clear audit trails.	It is recommended that clear roles and responsibilities are allocated amongst staff and clear procedures are put in place for all aspects of the accounting system. Adequate training must be given to all members of staff who are responsible for maintaining the accounting records.	Whilst we appreciate that progress has been made including new appointments and training and the development of a scheme of delegation as agreed with the DfE, this needs imbedding in. During the course of the onsite visit when requesting documentation it was not clear whether information was held by individual schools or centrally.

Section 4: Operation of the Accounting and Internal Control Systems – follow up

	MATTER ARISING DURING THE YEAR ENDED 31 AUGUST 2017	RISK	IMPLICATION	RECOMMENDATION	FOLLOW UP TO 31 AUGUST 2018
2	Cash management Bank reconciliations were not performed during the year. This has resulted in material adjustments being required as prompted by auditors. As this work is being done long after the date of transactions, there is increased risk of misstatement and does not reflect timely bookkeeping or management.	HIGH	Conducting regular bank reconciliations is regarded as a basic financial management tool. In the absence of this basic check, the Trust is unable to prove that the accounts and the financial information is correct.	It is recommended that formal bank reconciliations are performed on a regular basis - once a month - and the bank balance as per PS Financials is reconciled to the bank balance as per the bank statements. Any issues identified should be investigated and resolved on a timely basis.	Whilst the bank reconciliations have been performed this year, although immaterial, a number of transactions were noted on each reconciliation that were not indicative of actual reconciling items and therefore did not accurately reflect the year end cash position.
3	Accounting system Through discussion with management, and review of the financial data presented for audit, it is apparent that those in charge of the finance function are not fully conversant in PS Financials and inadequate training was provided.	HIGH	For example, we note that some expenditure invoices have been posted multiple times to creditors and expenditure, following payment, we note that the transaction has been between bank and expenditure; therefore overstating expenditure and leaving the MAT open to risk of overpayment.	We recommend that all appropriate staff members are formally trained on PS Financials and are trained on their function as well as other functions to ensure that there is always someone on hand with knowledge of the system to advise appropriate treatment.	We believe that this continues to be an issues for the Trust. During the course of the audit we identified duplicate payments and postings for purchase invoices which resulted in the trade creditor's accounts not appropriately reflecting the year end position.

Section 4: Operation of the Accounting and Internal Control Systems – follow up

	MATTER ARISING DURING THE YEAR ENDED 31 AUGUST 2017	RISK	IMPLICATION	RECOMMENDATION	FOLLOW UP TO 31 AUGUST 2018
4	Management information It is clear from the information viewed, that full management information has not been prepared and reviewed on a regular basis during the year.	HIGH	Management have a responsibility to review regular management information and this would have identified the deficiencies in the system at an earlier point during the year.	A full set of management information should be made available and reviewed at least on a termly basis.	Management accounts have been prepared from February 2018. Having said this we believe that the management accounts are at risk of being incorrect due to the lack of timely posting of transactions, as detailed in section 3 of this report.
5	Control accounts Control accounts are not being utilised properly, reviewed nor reconciled, such as net wages, PAYE/NI, pensions, trade debtors, trade creditors.	HIGH	The payroll charge is significant to the MAT - if the journals are not being processed monthly as per the payroll reports, then there is a major weakness in the controls surrounding the payroll function. There is therefore a risk of misappropriation of funds as the reporting could be manipulated and payments manipulated also as there is not a full reconciliation of the charge and the payments made.	We recommend that the payroll process is revised and a formal reconciliation of the payroll report with the postings as per the financial system are reconciled with the payments made. This should ensure that staff are paid appropriately as per approved calculations and that we reduce any misappropriation risks.	Whilst we note that the Trust now utilises the control account function and a number of reconciliations are now being performed, we have noted that these do not accurately reflect the year end position. References to trade creditors and bank reconciliations have been noted within section 3 of this report. We also note that the PAYE/NIC control account did not correctly reflect the year end liability.

Section 4: Operation of the Accounting and Internal Control Systems – follow up

	MATTER ARISING DURING THE YEAR ENDED 31 AUGUST 2017	RISK	IMPLICATION	RECOMMENDATION	FOLLOW UP TO 31 AUGUST 2018
6	Supplier transactions The supplier ledger within PS Financials is not being utilised, and management have confirmed that they do not have a complete listing of liabilities as at 31 August 2017, with the year-end position being ascertained based on post year end payment of physical invoices located.	HIGH	Given the size of the trust, the lack of a functioning supplier ledger increases the risk of duplicate payments being made as there is no complete trail of purchase invoices and payments made.	We recommend that supplier invoices and payments are properly tracked within the accounting system so that outstanding balances can be seen and historic invoices can be viewed.	During the course of the audit we noted that supplier transactions were being posted to supplier accounts.
7	Land and Buildings As at 8 January 2018 a 125-year lease for the land and buildings of UAE was made available to us as the external auditors. Being dated in August 2016, this represents a material prior year adjustment to recognise the long leasehold property controlled by the Trust, and this information should have been made available to us during the prior year.	HIGH	Whilst the accounts have been adjusted for this material prior year adjustment, this is a significant item which we as auditors had not been initially informed of.	The Trust has a responsibility to ensure that there is no relevant audit information of which the external auditor is unaware.	An updated land and buildings valuation for UAE is not yet available and is still being sought by UAE.

Section 4: Operation of the Accounting and Internal Control Systems – follow up

	MATTER ARISING DURING THE YEAR ENDED 31 AUGUST 2017	RISK	IMPLICATION	RECOMMENDATION	FOLLOW UP TO 31 AUGUST 2018
8	Unidentified provisions Upon querying the accruals balance, there is an unsupported general provision for energy costs of £111,000, and unidentified accruals of £42,325. Total energy costs recognised within expenditure for the year however only amounts to £58k.	HIGH	This indicates a lack of clarity and control over the expenditure recognised within the trust's financial statements.	We recommend that proper controls are put in place around supplier invoices which would allow clear monitoring of transactions.	Whilst we did not note any 'unidentified' accruals, we noted that a significant number of accruals related to older transactions that had not been cleared off the ledger and therefore should not have been included as a year-end accrual. We have received a narrative confirming the basis of calculation for the current year energy cost accrual however the prior year provision has changed and is neither the same as that provided for last year or based on the information used to calculate the current year provision.

Section 4: Operation of the Accounting and Internal Control Systems – follow up

	MATTER ARISING DURING THE YEAR ENDED 31 AUGUST 2017	RISK	IMPLICATION	RECOMMENDATION	FOLLOW UP TO 31 AUGUST 2018
9	Related party transactions There is not an appropriate process in place whereby related parties and pecuniary interests of key management personnel are recorded on a timely basis	HIGH	There are specific ESFA requirements that state Academies are to keep a record of related parties and pecuniary interests of all key management personnel, directors and budget holders. This is to ensure that all goods and services procured are done so at a reasonable rate, and to ensure that management are fully aware of related parties at all times.	It is recommended that a formal register of related parties and pecuniary interests is kept centrally by the finance team. It is further recommended that this is updated when new staff are appointed, and on an annual basis. This will allow for the MAT to be aware of all related parties at all times.	We note that there is a formal register of related parties maintained by the University Governance team.
10	Accruals based reporting The accounting records were being maintained on a cash accounting basis instead of an accruals and prepayments basis. A number of adjustments had to be processed to recognise the appropriate accruals, creditors and accrued income.	MEDIUM	There is a risk that incorrect financial information is presented to the board.	The finance staff need to be trained to understand the difference between cash accounting and the accruals concept. This should incorporate an understanding of cut off procedures making it easier to identify the necessary adjustments for monthly, termly and year end accounts.	We note that this continues to be an issue. On review of year end prepayments and accruals we noted that these were incomplete. For example, rates prepayment had not been accounted for, pupil premium not accrued and PNA adjustments not accrued.

Section 4: Operation of the Accounting and Internal Control Systems – follow up

	MATTER ARISING DURING THE YEAR ENDED 31 AUGUST 2017	RISK	IMPLICATION	RECOMMENDATION	FOLLOW UP TO 31 AUGUST 2018
11	<p>VAT receivable</p> <p>Throughout the account period, we note that only 2 VAT 126 returns have been processed and submitted.</p> <p>The UTC VAT balance per PS Financials is £56k overstated compared to the draft claim workings.</p> <p>The VAT balances have not been reconciled during the period.</p>	MEDIUM	<p>There is a risk that these claims have been prepared incorrectly and/or the balance showing as receivable in the accounting system is incorrect.</p> <p>The Trust is also not taking advantage of cash flow opportunities as these returns can be processed on a monthly basis.</p>	<p>It is firstly recommended that the financial system is brought up to date and the VAT 126 returns already processed are reviewed for appropriateness. It is further recommended that the governors of the MAT consider adopting the policy of processing these returns on a monthly basis to aid inflows.</p>	<p>On review of the current year VAT ledger we note that although immaterial at £20k a number of outstanding amounts were dated pre 2016.</p> <p>The year end VAT control account therefore did not accurately reflect the year end liability. We also note that returns continue to not be processed on a timely basis and therefore is no reconciliation of VAT receipts against VAT 126 returns and therefore we do not believe the Trust is able to monitor what is outstanding and has/hasn't been claimed on a continuous basis.</p>

Section 4: Operation of the Accounting and Internal Control Systems – follow up

	MATTER ARISING DURING THE YEAR ENDED 31 AUGUST 2017	RISK	IMPLICATION	RECOMMENDATION	FOLLOW UP TO 31 AUGUST 2018
12	Fixed asset register A formal fixed asset register is not maintained	MEDIUM	The figures within the trial balance in respect of fixed assets are highly material to the MAT, we were not provided with supporting documentation by way of a fixed asset register. This therefore a risk that depreciation, capital additions and capital disposals are not processed appropriately on a timely basis. The fact that this is not being done on a timely basis means that management may not remain aware of the true position of the Academy at all times.	It is recommended that a formal fixed asset register is maintained with capital transactions and depreciation being posted on a regular basis (at least termly), when the management accounts are prepared. This will ensure that the true position of the Academy is reflected at all times.	The fixed asset registers provided for the current year included only current year additions. A full register of all assets held is not maintained and therefore we believe this matter remain an issue.
13	LGPS pensions We identified discrepancies between the amounts showing on the actuarial reports for employer contributions received, and the trust records of employer contributions paid to the scheme.	MEDIUM	These discrepancies indicate potential error in the information used by the actuaries in preparing the LGPS pension report figures.	We recommend that the Trust reviews the documentation received by the actuaries and reconciles contributions paid to internal records, with discrepancies investigated and resolved directly.	On reconciliation of employer contributions presented on the actuarial report to the Trusts records, we continued to note discrepancies.

Section 4: Operation of the Accounting and Internal Control Systems – follow up

	MATTER ARISING DURING THE YEAR ENDED 31 AUGUST 2017	RISK	IMPLICATION	RECOMMENDATION	FOLLOW UP TO 31 AUGUST 2018
14	Agency staff The agency staff costs in the year of £587k is extremely high compared to other trusts, and indicates a potential staffing and budgeting issue which should be closely monitored.	MEDIUM	Having heavy reliance on agency staff is a potential issue and needs to be managed by the team. Whilst there is an obvious financial impact, it also has an impact on the day to day operations as there is inconsistency in approaches as staff change.	We recommend that the Trust reviews its staffing position and prepares an action plan in respect of this area.	The Trust is confident that they have reviewed their staffing position and have approved a budget in accordance with this. They have informed us that they have monitored costs closely during the year and are satisfied that they are reasonable. In addition they have stated that whilst current year agency costs remained fairly consistent at £576k, they have reduced in absolute terms as a percentage of staff costs. As expected, staff costs have increased significantly during the year which reflects the corresponding increase in the level of activity of the Trust.

Section 4: Operation of the Accounting and Internal Control Systems – follow up

	MATTER ARISING DURING THE YEAR ENDED 31 AUGUST 2017	RISK	IMPLICATION	RECOMMENDATION	FOLLOW UP TO 31 AUGUST 2018
15	Members and directors It was noted that the appointed members and trustee directors of the trust were not reflected accurately and on a timely basis at the get-information-schools.service.gov.uk website (previously known as Edubase) - (the DfE's register of educational establishments).	MEDIUM	The Trust is in breach of the Academy Handbook requirement that the Trust must notify DfE of the appointment or vacating of the positions of members, directors and local governors within 14 days of that change through the governance section of DfE's Edubase.	We recommend that the Trust gets the information up to date and monitors this on a regular basis.	We are satisfied that Edubase is up to date as at the date of audit.
16	Expenditure vs budgets The budget for the year (as approved by Governors) had not been uploaded onto the PS Financials system. Therefore, the current financial position cannot be properly monitored or managed as compared to the budgets set.	LOW	Expenditure cannot be monitored against the budget without accurate reporting and there is therefore an increased risk of the Trust not adhering to the approved budget which increases the risk of excess spending.	The approved budgets are uploaded into PS Financials once finalised. It is further recommended that the budget to actuals are compared on a regular basis (perhaps termly) and any projected under / over spends can be brought to attention in a timely manner.	Whilst the 2017/18 budget was uploaded within PS Financials, the lack of timely postings will have resulted in inaccurate reporting of under/spends.

Section 4: Operation of the Accounting and Internal Control Systems – follow up

	MATTER ARISING DURING THE YEAR ENDED 31 AUGUST 2017	RISK	IMPLICATION	RECOMMENDATION	FOLLOW UP TO 31 AUGUST 2018
17	Payroll records As a result of the testing performed, an instance was noted where we could not locate a staff leaver's supporting documentation to confirm their leave date from UAE.	LOW	There is a risk of misappropriation of the MAT's funds here as incomplete record keeping could result in this member of staff not being removed from payroll appropriately.	It is recommended that the process of processing starters and leavers is formalised. As well as this, there should be a checklist for starters / leavers to ensure that the appropriate steps are taken and documents are processed; for example a P45 and resignation letter.	During the year we noted that a number of student workers had not been provided with employment contracts although paid via payroll. Consequently we have raised a current year observation regarding this.
18	Central recharges Where internal bank transfers are made, there is not always supporting documentation available.	LOW	If inter academy transactions are not being consistently monitored and recorded, then the risk of entity level reporting being inaccurate is increased.	Where a financial transaction is to be processed there should be sufficient and appropriate evidence and documentation to support this. Where there are internal recharges required to be posted via journal, it is recommended that a schedule is maintained as to the basis of the recharge as well as who it has been approved by and when the posting has been made.	Central recharges were posted at the yearend via intercompany ledger transfers and therefore we did not see any physical payments with respect to these transactions. We continued to note that supporting documentation in the form of an invoice has not been available in support of the transactions and therefore the matter remains unresolved.

Section 5: Sector Update

Academies Useful Links

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

Gov.uk

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

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

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

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

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

NABSM good practice Library:

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

FD Forum:

www.thefdforum.co.uk

ICAEW:

www.icaewvolunteers.com

Section 5: Sector Update

Employment tax changes commencing 6 April 2018

From April 2018, the employment tax rules changed again.

Termination payments

From 6 April 2018 the taxation of termination payments changed. The aspect which has the most impact is that both contractual and non-contractual payments in lieu of notice (PILONs) will be taxable and subject to Class 1 NIC's whereas, before April 2018, non-contractual PILONs can be tax and NI free.

The taxable amount after April 2018 is the amount the employee would contractually have been entitled to had they worked their notice period. This includes any bonus, commission or incentive payments that they would be entitled to had they worked their notice period, as well as any sums which would accrue during the notice period. The amount calculated is treated as earnings and will not be eligible for the £30,000 Income Tax exemption.

Also changing is the calculation of termination packages which are subject to NICs. Although this has now been delayed to April 2019, payments in excess of the £30,000 exemption are subject to employer's NIC but not employee's NIC whereas before this date they were exempt NIC altogether.

Employers will have to provide itemised payslips from April 2019

[The Employment Rights Act 1996 \(Itemised Pay Statement\) \(Amendment\) Order 2018](#) comes into force on 6 April 2019. It aims to increase transparency of employees being paid correctly and address underpayment – whether national minimum wage, national living wage or under the employee's contract of employment. This will apply to employees with an hourly rate, not salaried employees with fixed working hours.

From April 2019, employers will be required to include on payslips the number of hours worked by an employee for which they are being paid. This will only apply where the employee's pay varies because of actual time worked.

Where the amount of wages or salary varies by reference to time worked, the total number of hours worked in respect of the variable amount of wages or salary will be shown either as:

- a single consolidated figure by showing the combined number of hours worked for which payment is being made; or
- separate figures for different types of work or different rates of pay by itemising the figures for different types of work worked and/or different rates of pay.

The new order amends section 8 of the Employment Rights Act 1996, adding to the list of particulars which must be included in the itemised pay statement which an employee has a right to be given.

Section 5: Sector Update

Currently, an employer only has to include:

- details of the employee's gross amount of wages or salary;
- deductions from that gross amount; and
- the net amount of wages or salary received.

What action should employers take?

Before the order comes into force, employers should:

- Adjust their payroll processes to collect the new information required; and
- Amend the format of their payslips to include this new information, where appropriate.

Please note that the amendments only apply to periods worked after the new order comes into force in April 2019.

What action will an employee be able to take?

An employee will be able to see on their payslip whether the number of paid hours matches their record of how many hours they have actually worked. Employees can then:

- challenge their employer if they think their payslip is wrong;
- raise a case with the Advisory, Conciliation and Arbitration Service (ACAS); or
- raise a case with HMRC (if the national minimum wage has not been paid).

In all these cases, the employee will be able to use their payslip as evidence.

Fraud in the Charity Sector

Fraud in the charity sector is unfortunately at an all-time high, with recent estimations being a loss of £2.3bn annually to the UK Not for Profit sector (an increase of some £400m from estimates shared in 2016). Alongside our own Kingston Smith specialists in this area, the sector is beginning to develop a suite of tools, guides and blogs which are worth a visit to ensure your Charity is aware of the key fraud considerations, potential pitfalls and suggested controls:

- The Fraud Advisory Panel (a registered charity and independent voice of the anti-fraud community) - <https://www.fraudadvisorypanel.org/>
- 10 questions every Trustee should ask about Fraud and suggested policies - <https://www.gov.uk/guidance/protect-your-charity-from-fraud>
- The National Cyber Security Centre - <https://www.ncsc.gov.uk/news/advice-thwart-devastating-cyber-attacks-small-charities>
- Action Fraud for reporting - <https://www.actionfraud.police.uk/>

Section 5: Sector Update

This area is notoriously fast moving, with new areas of attempted fraud arising daily, but some of the prevalent current frauds and potential controls to protect your charity from these, include:

“Supplier mandate fraud”

Contact is made from a “supplier” employee who is noting (either by phone or official headed notepaper) a change of bank details. The bank details are fraudulent.

Control to mitigate the risk – review and approval of all standing data supplier changes and calls to confirm BEFORE updates processed.

“Batch supplier duplication”

An example of an internal fraud – the details of a supplier are duplicated onto the system and the duplicate given the fraudulent parties bank details. “Real invoices” are paid twice, hidden in the batch run, once real and once fraudulent.

Controls to mitigate the risk – Approval of new suppliers and monthly management accounts reviews. The additional payment debit will need to be either to a balance sheet code or will be seen through an inflated expense code on the SOFA.

“Fraudulent staff/temp staff costs”

The fraudulent party continues to pay staff after they have left (using updated fraudulent bank details), enrolls ghost employees for payment or processes fake invoices through “busy” nominal codes such as temp staff costs.

Controls to mitigate the risk - This fraud is almost always discovered through a review of management accounts vs budgets. Preventive controls would include approval of staff detail changes and “lock down” on leavers details in a timely fashion.

“Email takeover”

An internet based fraud that is expanding rapidly (and becoming more sophisticated). The finance team receive an email “from” the FD/CEO usually late afternoon, indicating they have forgotten to pay a key supplier and it should be paid immediately.

The email is fraudulent and so are the bank details given.

Controls to mitigate the risk – Communication by phone or face to face to confirm details. Do not allow payments to supplier details that do not match those saved on the standing data.

Section 5: Sector Update

Trustee Disqualifications

The Charities (Protection and Social Investments) Act 2016 received Royal Assent back in March of that year. This Included a number of provisions which have been implemented over the past 18 months (raising standards in fundraising, for example). One of the most written about and extensive provisions, relating to automatic disqualification of Trustees and Senior Managers, is applicable from 1 August 2018.

Whilst the sector, via the Charity Commission, already had disqualification provisions, these new requirements are far more extensive in nature and could have significant potential ramifications for your Charity:

- Those individuals who have **unspent** convictions for offences of dishonesty or deception, declared bankrupt or disqualified from being a company director are already automatically disqualified as charity trustees
- A new wide range of unspent convictions will be added to this automatic disqualification, including:
 - terrorism, money laundering and bribery
 - perverting the course of justice
 - breaching Charity Commission orders relating to finances or property
 - attempting, aiding or abetting any of the above offences.

- The provisions extend all of the above unspent convictions to not only trustees, but also “senior management” – a definition is provided in the Act which outlines those employees who are management and/or have control over money. Almost definitely, your Charity CEO and Finance Director (or equivalent) will meet the definition.

The systems and controls in place to check Trustees are eligible (both for new appointments and, now given the new requirements, those already in post) will need to be reviewed and updated. Charities can make use of official registers which record the names of people who are disqualified from acting as charity trustees. These include:

- *The Individual Insolvency Register* maintained by the Insolvency Service. <https://www.gov.uk/search-bankruptcy-insolvency-register>, which contains details of:
 - bankruptcies that are either current or have ended in the last 3 months
 - current individual voluntary arrangements and fast track voluntary arrangements
 - current bankruptcy restriction orders and undertakings
 - Searches of the Register can be made on the [Insolvency Service website](#), by visiting your local Official Receiver’s office, or by post or fax.

Section 5: Sector Update

- *The register of disqualified directors maintained by Companies House, <https://www.gov.uk/government/organisations/companies-house>. Searches of the register can be made on the [Companies House website](#).*

- *The [register of all persons who have been removed as a charity trustee](http://apps.charitycommission.gov.uk/trusteeregister/search.aspx). <http://apps.charitycommission.gov.uk/trusteeregister/search.aspx> either by the commission or by an Order of the High Court since 1 February 1993.*

Those affected may also be able to apply for an advanced waiver from the Charity Commission (the service opened from February 2018 and must be applied for by the individual, rather than the Charity on their behalf) through <https://www.gov.uk/guidance/automatic-disqualification-rules-for-charity-trustees-and-charity-senior-positions#apply-waiver>

Further information can be found at <https://www.gov.uk/guidance/automatic-disqualification-rules-for-charity-trustees-and-charity-senior-positions>

Appendix 1: Corrected Misstatements and Reclassifications

	Balance Sheet		Profit and loss account		Effect on Net Surplus
	Dr	Cr	Dr	Cr	
Draft net surplus					272,335
Donations and / or Voluntary Funds				104,290	104,290
Finance & Admin - Salaries			104,290		- 104,290
<i>Being adjustment for donated salaries</i>					
GAG Clawback			19,687		- 19,687
GAG abatement creditor		19,687			
<i>Being UTC PNA clawback</i>					
Accruals		9,397	9,397		- 9,397
Electricity					
<i>Being accrual for electricity</i>					
Intra-Company		220,953			
Intra-Company	220,953				
<i>Being correction to central recharge postings</i>					
Pupil Premium				56,412	56,412
Prepayments	56,412				
<i>Being pupil premium adjustment</i>					
Pupil Premium				10,986	10,986
Other Govt Grants: Excluding Capital			10,986		- 10,986
<i>Being pupil premium adjustment for Q1 not posted</i>					

Appendix 1: Corrected Misstatements and Reclassifications

	Balance Sheet		Profit and loss account		Effect on Net Surplus	
	Dr	Cr	Dr	Cr		
Donations and / or Voluntary Funds			12,642		-	12,642
Finance & Admin - Salaries				12,642		12,642
Being adjustment to donated salary						
Pupil Premium			37,088		-	37,088
Advertising			190		-	190
Write Offs				85,830		85,830
Insurance			250		-	250
Rates			36,385		-	36,385
Equipment (Not IT)			1,993		-	1,993
IT Support Services			9,924		-	9,924
Being correction of PY prepayment reversals						
Prepayments	37,406					
Rates				37,406		37,406
Being prepayment of rates						
Other GAG				83,680		83,680
UTC Expenditure			83,680		-	83,680
IT Equipment at Cost		401,670				
IT Equipment Accum Dep'n	156,133					
Restricted Funds - Other		15,390				
Restricted Funds - Fixed Asset	504,214					
Furniture & Equipment at Cost		769,411				
Schedule 21 Expenditure			181,742		-	181,742
Furniture & Equipment Accum Dep'n	159,904					
Land & Buildings Accum Dep'n	184,526					
Intra-Company		17				
Being correction to year end reserves						

Appendix 1: Corrected Misstatements and Reclassifications

	Balance Sheet		Profit and loss account		Effect on Net Surplus
	Dr	Cr	Dr	Cr	
Equipment (Not IT)				9,711	9,711
Purchase Ledger Control	9,711				
Being reversal of duplicate invoices Scientific Lab supplies					
Accruals		110,066			
Electricity			110,066		- 110,066
Being accrual for academy hot water supply					
Central services Cost			220,953		- 220,953
Head Office Recharge Income				220,953	220,953
Being central recharge costs					
Catering Food/Drink			10,424		- 10,424
Catering Maintenance & Repairs			494		- 494
Books			13		- 13
Audit Costs			1,170		- 1,170
UTC Expenditure			869		- 869
Advertising			1,572		- 1,572
Professional Services - Non Educational			6,527		- 6,527
General Office Costs			232		- 232
Hospitality			1,711		- 1,711
Building Projects/Maintenance			4,773		- 4,773
Cleaning Contract			5,105		- 5,105
Water/Sewerage Charges			660		- 660
Gas			83		- 83
Equipment (Not IT)			18,081		- 18,081
Agency Supply Cover - Support			7,521		- 7,521
Telephone Costs			469		- 469
Purchase Ledger Control		59,704			
Being correction to Aged Creditors					

Appendix 1: Corrected Misstatements and Reclassifications

	Balance Sheet		Profit and loss account		Effect on Net Surplus
	Dr	Cr	Dr	Cr	
Catering Maintenance & Repairs				234	234
Books				13	13
Audit Costs				1,170	1,170
UTC Expenditure				869	869
Advertising				1,572	1,572
Professional Services - Non Educational				6,527	6,527
General Office Costs				232	232
Hospitality				1,711	1,711
Building Projects/Maintenance				4,773	4,773
Cleaning Contract				5,105	5,105
Water/Sewerage Charges				660	660
Gas				83	83
Equipment (Not IT)				9,041	9,041
Agency Supply Cover - Support				7,521	7,521
Telephone Costs				469	469
Purchase Ledger Control	39,980				
Being correction to Aged Creditors (2) - Removal of Dummy Invoice					
Start Up Grant Part A				182,500	182,500
Other EFA Grants: Excluding Capital			182,500		- 182,500
Being reallocation of start up grant					
Pre-16 School Budget Share			176,601		- 176,601
GAG Clawback				176,601	176,601
Being net off of income					
16-19 School Budget Share				11,260	11,260
Pre-16 School Budget Share				3,740	3,740
Insurance			15,000		- 15,000
Being reallocation of RPA					

Appendix 1: Corrected Misstatements and Reclassifications

	Balance Sheet		Profit and loss account		Effect on Net Surplus
	Dr	Cr	Dr	Cr	
IT Equipment at Cost	401,671				
IT Equipment Accum Dep'n		156,133			
Furniture & Equipment at Cost	769,411				
UTC Expenditure				989,370	989,370
Schedule 21 Expenditure				181,743	181,743
Furniture & Equipment Accum Dep'n		159,904			
Land & Buildings Depreciation			274,100		- 274,100
Furniture & Equipment Depreciation			159,904		- 159,904
IT Equipment Depreciation			66,559		- 66,559
Land & Buildings Accum Dep'n		184,526			
Being capitalisation of grant expenditure					
Rates Relief				106,875	106,875
Rates			106,875		- 106,875
Being adjustment for rates relief					
Finance & Admin - Supn			64,000		- 64,000
LGPS Pension Deficit		18,000			
finance cost LGPS			1,000		- 1,000
actuarial movement on LGPS				47,000	47,000
Being year end LGPS pension					
Capital grant				164,995	164,995
Prepayments	164,995				
Accruals		103,020			
Furniture & Equipment at Cost	103,020				
Being accrual for capital grant and associated assets					-
Central services Cost				289,565	289,565
Head Office Recharge Income			289,565		- 289,565
Being elimination of group balances					

Appendix 1: Corrected Misstatements and Reclassifications

	Balance Sheet		Profit and loss account		Effect on Net Surplus
	Dr	Cr	Dr	Cr	
16-19 School Budget Share				12,500	12,500
Other GAG			12,500		- 12,500
Being reallocation of GAG					
16-19 School Budget Share			6,691		- 6,691
Yr 7 catch up				6,691	6,691
Being reallocation of yr 7 catch up					
Other GAG				1,075,024	1,075,024
UTC Expenditure			1,075,024		- 1,075,024
Being reallocation of capital grant from ACA to UTC					
Final surplus					852,793

Appendix 2: Uncorrected Misstatements and Reclassifications

	Balance Sheet		SOFA		Effect on Net Surplus
	Dr	Cr	Dr	Cr	
Prepayments	3,850				
Professional services				3,850	3,850
<i>Being prepayment of community services speech therapy invoice</i>					
Prepayments	6,412				
Computer running costs				6,412	6,412
<i>Being prepayment of annual fibre fee</i>					
Fixed asset costs		14,784			
Expenditure			14,784		(14,784)
<i>Being duplicated posting of fixed asset invoice</i>					
Bank current account		4,289			
Purchase ledger control account	2,271				
Deferred Income		2,140			
Bank interest				81	81
General office costs			2,955		(2,955)
Bank charges			33		(33)
Other income			1,251		(1,251)
<i>Being adjustments to correct bank reconciliations</i>					
PAYE control	2,371				
Payroll costs				2,371	2,371
<i>Being reconciliation of year end PAYE creditor</i>					
Total effect on net surplus as a result of uncorrected misstatements					(6,308)

Appendix 3: Other Matters

Engagement & Independence

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

We have implemented policies and procedures to meet the requirements of the Financial Reporting Council's (FRC) Ethical Standards. To this end we considered our independence and objectivity in respect of the audit for the period under review before commencing planning our audit and communicated with you on these matters in our pre-audit letter dated 9 June 2017.

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

Qualitative aspects of accounting practices, accounting policies and financial reporting

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

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

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

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

	CONFIDENTIAL
Paper title:	External Audit Letter of Representation
Board/Committee:	South Bank Academies Board Meeting
Date of meeting:	11 December 2018
Sponsor:	Nicole Louis, South Bank Academies CEO
Author:	Natalie Ferer, LSBU Financial Controller
Purpose:	For approval
Recommendation:	For approval following recommendation by South Bank Academies Audit committee.

Executive Summary

The letter of representation requires the South Bank Academies Board to give specific assurances to the auditors over matters regarding the financial statements and the year-end audit. It should be signed by the Chair at the time of signing the accounts.

The letter confirms mostly standard representations. The following representations have been inserted specific to South Bank Academies:

11) we confirm that there is no fixed asset or notional rent to be disclosed in respect of the premises from which South Bank Engineering UTC was operating during the year.

14) we confirm that we do not anticipate a material adjustment to the actuarial valuation prepared by Aon Hewitt Limited as a result of the omission of the actuarial movements, and fair values of the assets and liabilities of the local government defined benefit pension scheme for the MAT.

15) we confirm the accrual for light and heat of £186,914 is a valid liability and is the best estimate based on the information available at the time of signing the accounts.

17) we confirm that the actuarial assumptions used by the actuaries Aon Hewitt Limited and Hymans Robertson LLP in calculating the actuarial movements, and fair values of the assets and liabilities of the local government defined benefit pension schemes are consistent with our knowledge of the trust.

The Audit committee have reviewed the letter of representation.

The Board is requested to approve.

Attachments

- Letter of representation

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LETTER OF REPRESENTATION

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

Dear Sirs,

We confirm to the best of our knowledge and belief the following representations given to you in connection with your audit of the Academy Trust's financial statements for the year ended 31 August 2018. We confirm that they are made on the basis of enquiries of management and staff with relevant knowledge and experience (and, where appropriate, of inspection of supporting documentation) sufficient to satisfy ourselves that we can properly make each of the following representations to you.

General

- 1) We acknowledge our responsibility for keeping adequate accounting records which disclose with reasonable accuracy at any time the financial position of the Academy Trust and enable us to ensure that the financial statements comply with the Companies Act 2006 and the Academies Accounts Direction 2017 to 2018 issued by the Education and Skills Funding Agency (ESFA).
- 2) We acknowledge our responsibility for preparing financial statements in accordance with the Companies Act 2006, the Academies Accounts Direction 2017 to 2018 issued by the ESFA and United Kingdom Accounting Standards (UK Generally Accepted Accounting Practice/UK GAAP), including FRS 102 'The Financial Reporting Standard Applicable in the UK and Ireland' and are satisfied that the financial statements give a true and fair view.
- 3) We acknowledge our responsibility for the design and implementation of internal control systems to prevent and detect fraud and error in safeguarding the assets of the Academy Trust.
- 4) We confirm that the accounting policies selected are suitable to the Academy Trust's circumstances and that they have been applied consistently; that any judgements and estimates made are reasonable and prudent; and that it is appropriate to prepare the financial statements on a going concern basis.
- 5) We confirm that significant assumptions used by us in making accounting estimates, including those measured at fair value are reasonable.

Information Provided

- 6) We have provided you with:
 - a) Access to all information of which we are aware that is relevant to the preparation of the financial statements such as records, documentation and other matters;
 - b) Additional information that you have requested from us for the purpose of the audit; and
 - c) Unrestricted access to persons within the entity from whom you determined it necessary to obtain audit evidence.
- 7) All material transactions have been recorded in the accounting records and are reflected in the financial statements.
- 8) We have disclosed to you the identity of all of the entity's related parties, related party relationships and transactions, and any services donated of which we are aware, including those with South Bank University.
- 9) We have disclosed to you all the transactions undertaken by LSBU on behalf of the academy trust, financial and otherwise. We confirm that these transactions have taken place at arm's length and are disclosed within the related party note of the accounts.

Assets and Liabilities

- 10) All known assets and liabilities as at the balance sheet date have been included in the financial statements.
- 11) 11) We confirm that there is no fixed asset or notional rent to be disclosed in respect of the premises from which South Bank Engineering UTC was operating during the year.
- 12) We confirm the Academy Trust has satisfactory title to all assets and there are no liens or encumbrances on the Academy Trust's assets except those disclosed within the financial statements.
- 13) We confirm that the financial statements disclose appropriately all liabilities, actual and contingent, and have disclosed all guarantees given to third parties.
- 14) We confirm that we do not anticipate a material adjustment to the actuarial valuation prepared by Aon Hewitt Limited as a result of the omission of the actuarial movements, and fair values of the assets and liabilities of the local government defined benefit pension scheme for the MAT.
- 15) We confirm the accrual for light and heat of £186,914 is a valid liability and is the best estimate based on the information available at the time of signing the accounts.
- 16) The value and classification of assets and liabilities in the financial statements is not materially affected by management's plans and intentions.
- 17) We confirm that the actuarial assumptions used by the actuaries Aon Hewitt Limited and Hymans Robertson LLP in calculating the actuarial movements, and fair values of the assets and liabilities of the local government defined benefit pension schemes are consistent with our knowledge of the trust.

Transactions Involving Directors and Connected Persons

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

Fraud

19) We have disclosed to you the results of our assessment of the risk that the financial statements may be materially misstated as a result of fraud.

20) We have disclosed to you all information in relation to fraud or suspected fraud that we are aware of and that affects the entity and involve management, employees who have significant roles in internal control and others where the fraud could have a material effect on the financial statements.

21) We have disclosed to you all information in relation to allegations of fraud, or suspected fraud, affecting the entity's financial statements communicated by employees, former employees, analysts, regulators or others.

Contingent Liabilities

22) Provision has been made where a material loss is expected to result from any litigation or claim against the Academy Trust. Other contingent liabilities at the balance sheet date, none of which are expected to result in a material loss to the Academy Trust or in commitments which it cannot meet, have been disclosed in the financial statements.

Going Concern & Future Cash Requirements

23) In our opinion the Academy Trust will have adequate cash resources available to finance its trading and meet its obligations during the course of the twelve months following the date of approval of the financial statements. Accordingly, the financial statements have been drawn up on a going concern basis.

Post Balance Sheet Events

24) All events subsequent to the date of the financial statements and for which the financial statements require adjustment or disclosure have been adjusted or disclosed.

Data Protection Act

25) We confirm that the Academy Trust complied with the statutory requirements of the Data Protection Act during the year.

Laws and regulations

26) We confirm that we have disclosed to you all those events which we are aware of which involve actual or possible non compliance with laws and regulations, together with the actual or contingent consequences which may arise there from.

Other Regulatory Regimes

- 27) We confirm that the academy was in compliance with the Companies Act 2006 during the period and that we are not aware of any breaches or other matters that should be brought to your attention.

- 28) We confirm that the academy was in compliance with the rules of the ESFA on all other matters except for those disclosed in the regularity report.

Unadjusted Errors

29) We acknowledge the unadjusted errors on the attached Appendix 1 identified from your audit work, which you have requested that we correct, but consider that adjustments are not necessary for the following reasons:

The adjustments in totality fall below the materiality level of £50,483.

Yours faithfully

For and on behalf of Management

.....
Accounting Officer
Nicole Louis

.....
Date

For and on behalf of the Board

.....
Trustee
Richard Flatman

.....
Date

Appendix 1: Uncorrected Misstatements and Reclassifications

	Balance Sheet		SOFA		Effect on Net Surplus
	Dr	Cr	Dr	Cr	
Prepayments	3,850				
Professional services				3,850	3,850
Being prepayment of community services speech therapy invoice					
Prepayments	6,412				
Computer running costs				6,412	6,412
Being prepayment of annual fibre fee					
Fixed asset costs		14,784			
Expenditure			14,784		(14,784)
Being duplicated posting of fixed asset invoice					
Bank current account		4,289			
Purchase ledger control account	2,271				
Deferred Income		2,140			
Bank interest				81	81
General office costs			2,955		(2,955)
Bank charges			33		(33)
Other income			1,251		(1,251)
Being adjustments to correct bank reconciliations					
PAYE control	2,371				
Payroll costs				2,371	2,371
Being reconciliation of year end PAYE creditor					
Total effect on net surplus as a result of uncorrected misstatements					(6,308)

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	CONFIDENTIAL
Paper title:	Annual Report and Accounts 2017/18
Board/Committee:	South Bank Academies Board Meeting
Date of meeting:	11 December 2018
Sponsor:	Nicole Louis, South Bank Academies CEO
Author:	Natalie Ferer, LSBU Financial Controller
Purpose:	Approval
Recommendation:	To approve the Annual Report and Accounts 2017/18

Executive Summary

The Board of Directors are asked to review and approve the Annual Report and Accounts.

The Annual Report shows the financial performance of the Trust during the past year (12 months to 31/08/18).

At its meeting of 27 November 2018, the Audit committee reviewed the accounts in detail. Some changes were recommended at the meeting. These changes have been implemented – the main changes are:

- removed the circa £14m adjustment to account for the funding paid to trinity re UTC occupied premises
- Note 16, funds, has been expanded to include the prior year comparative and the combined 24 month position as required by the Academies Accounts Directions

The Audit committee recommends the Annual Reports and Accounts for approval to the Board.

The Annual report is required to be submitted to the Department for Education and published on SBA's website by the 31st December 2018..

South Bank Academies

Annual Report and Financial Statements

For the year ended 31 August 2018

Company Registration Number: 08589525

South Bank Academies Contents

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South Bank Academies Directors' Report

The directors of the Company present their Annual Report together with the Financial Statement and Auditors' report of South Bank Academies (The Trust) for the period ended 31 August 2018. The annual report serves the purpose of both a Trustee's' report and a Directors' report under Company Law.

The Company operates two education establishments, the University Academy of Engineering South Bank (UAE) in the London Borough of Southwark which opened in September 2014, and South Bank Engineering (UTC) in the London Borough of Lambeth which opened in September 2016. It is registered at Companies House under number 08589525 (England and Wales) and its registered office is 103 Borough Road, London SE1 0AA.

Auditor

Kingston Smith LLP
Devonshire House
60 Goswell Road
London

Internal Auditor

PricewaterhouseCoopers LLP
1 Embankment Place
London
WC2N 6RH

Bankers

Lloyds Bank Plc
Threadneedle
Street London

Members

London South Bank University (LSBU)
Richard Flatman
David Phoenix

Directors

David Phoenix	Chair of the Board until 22/03/2018
Rao Bhamidimarri	Retired 16/04/2018
Nicole Louis	From 15/03/2018
Douglas Denham-St-Pinnock	
Adam Crossley	Resigned 19/07/2018
Richard Flatman	Chair from 22/03/2018
Anthony Giddings	
Lesley Morrison	From 01/09/2017
Richard Parrish	Resigned 18/10/18
James Stevenson	
Steve McGuire	Resigned 27/09/2017

Company Secretary

Michael Broadway

Principal Officers

Rao Bhamidimarri	Chief Executive Officer (until 15/03/2018)
Nicole Louis	Chief Executive Officer (from 15/03/2018)
Dan Cundy	Principal of South Bank Engineering UTC
Claire Viner	Business Manager (resigned 31/03/2018)
Clym Cunningham	Business Manager (appointed 30/09/2018)
John Taylor	Principal of University Academy of Engineering South Bank (appointed 01/09/2017)

South Bank Academies

Directors' Report

Chief Executive's Statement

2017/18 has seen both Schools develop in scale and maturity and correspondingly the Trust has enhanced its supporting infrastructure and Governance model to ensure that it is well structured today and in the future to provide excellent support, meeting the schools' needs in the areas of academic oversight, student and staff collaboration and robust financial and operational support.

In April 2018, the Trust appointed a new Chief Executive Officer following the retirement of founding CEO Professor Rao Bhamidimarri. Ms Nicole Louis, who holds the joint posts of CEO for South Bank Academies Trust and Chief Customer Officer for London South Bank University, will steer the Trust through the next phase of its growth and development, leading on translating the Trust strategy and vision into robust School and Trust operational plans, ensuring robust academic oversight and strengthening collaboration between the Trust and its Sponsors to further enhance the offer for learners and the support for staff.

During the year ending August 2018 the Trust has introduced a revised Governance Model taking on board recommendations arising from a DfE sponsored review. Key changes include a revised Scheme of Delegation, the introduction of Independent Chairs for both the Local School Boards and the Trust Board, and the introduction of a new post of Executive Principal to provide academic and operational leadership for the Schools. These positions are anticipated to be filled early in the new Academic Year.

The UTC grew in terms of pupil numbers and associated income despite the ongoing recruitment challenges associated with the UTC model, and phase 2 building works proceeded to schedule, handed over in October 2018. The Academy, UAE, has expanded its campus footprint adding new specialist facilities in both Engineering and Sport, which will make the Academy more appealing for both current and prospective learners.

Pupils at the UTC completed their first set of final outcomes for KS4 and KS5 achieving particularly encouraging results for BTEC and GCSE. For GCSE, in each subject, all key measures of attainment were above or very close to National Averages. For the UTC's specialist subject of BTEC Engineering, it achieved a 100% Pass+ rate with a significant proportion of students achieving top grades. A Level results were below expectations and are an area of intense focus for leadership and staff. An important measure for the UTC is destinations: all students who applied for a University place or an Apprenticeship were successful, with 0% of UTC students classed as NEETs (Not in Education, Employment or Training).

The Academy also grew in terms of pupil numbers and associated income and further enhanced its campus facilities including dining, computing and outdoor sports space. August 2018 final outcomes were delivered for KS5 including BTEC and A Levels. For BTEC Engineering, all but one student passed with those who passed achieving very strong grades combining distinctions and merits. A Level results were below expectations however out of 21 students, 80% secured a place at University, 10% Apprenticeships, 5% School Leavers Programme and 5% took a gap year. 0% of UAE students classed as NEETs.

Collaborative programmes between London South Bank University and the Schools have expanded and broadened in scope and frequency. LSBU Engagement Teams supported by Student Ambassadors have led academic enrichment activities in both Schools, along with skills development, UCAS mentoring, employability workshops and wellbeing support. For example at the UTC, the InventEURs project linked students across the LSBU family and with schools internationally in designing an app for migrants. Additionally, LSBU gave significant support with student recruitment activities by co-running a robotics event for primary school children and a Girls into STEM event. Other engagements at the Academy have supported the innovative Day 10 enrichment programme. These engagements have strengthened and deepened the relationship between and the University and the Schools, have a positive impact on students and in wider reputation-building and student recruitment. The first MAT students are now studying at LSBU.

In addition to the support received from our main university sponsor, we are also very grateful to the continued support of industry sponsors: Skanska, Guy and St Thomas' Trust, and King's College Hospital, who have worked with us to create real world projects and work experience for our students.

South Bank Academies

Directors' Report

Structure, Governance and Management

Constitution

South Bank Academies is a Company Limited by Guarantee. The Company's Articles of Association are its primary governing documents. SBA's Directors are also Trustees in relation to the Charity.

Members

The members are the sponsor and two persons nominated by the sponsor. Each member of the Company undertakes to contribute to the assets of the Company in the event of it being wound up while they are a member, or within one year after they cease to be a member, such amount as may be required, not exceeding £10, for the debts and liabilities contracted before they ceased to be a member.

Directors' Indemnities

The Company is a member of the Department for Education's Risk Protection Scheme which gives cover of up to £10 million for Governor's Liability Insurance. This cover has been renewed and is ongoing.

Method of Recruitment and Appointment or Election of Trustees

The Board of Directors has agreed its composition as:

- 5 Directors appointed by the Sponsor, LSBU
- The CEO
- The Chairs of the Local Governing Bodies
- Co-opted Trustees

During the year the Board appointed Nicole Louis as a Director. The Board has established a Nomination Committee to recruit new Co-opted Trustees to the Board. Co-opted Trustees will be recruited through an open recruitment process. No Co-opted Trustees were appointed during the year.

Policies and Procedures Adopted for the Induction and Training of Trustees

Directors and Local Governors are required to attend training. A training register is maintained by the Clerk.

During the year, Directors and Local Governors received training in Safeguarding, Pupil Premium, Spiritual, Moral, Social and Cultural Development, New Governor Induction, SEN Code of Practice, preparing for GDPR, and the new National Curriculum, among others. These were delivered by the London Boroughs of Southwark and Lambeth.

Organisational structure

The Company is responsible for running the University Academy of Engineering South Bank and South Bank Engineering UTC.

The Company is headed by a Board of Directors which is responsible for overseeing the business of the Company and may exercise all the powers of the Company (article 93). The Board has three sub-committees: Nomination Committee, Remuneration Committee and Audit Committee. Both schools have a Local Governing Body.

The matters reserved to the Board and responsibilities delegated to the Local Governing Bodies is set out in a Scheme of Delegation approved by the Board at its meeting of 7 January 2016.

Following a review of the Governance during the year, the Board has delegated decisions regarding the curriculum, learning and teaching strategy, and school performance management to Local Governing Bodies. Although local control is delegated, the Board remains responsible for ensuring that standards are maintained across all Academies. The Board, with its oversight of all the Schools, will ensure sharing of best practice, professional development and effective resource management delivering value for money. The Scheme of Delegation is being revised accordingly.

South Bank Academies Directors' Report

Value for Money

The Trust achieves good value in its use of public resources across its two schools by:

Efficient purchasing

The Trust uses competitive tendering processes for ensuring value for money when it comes to capital expenditure. The UTC has significant start-up funding for its Engineering specialism and this is monitored closely. The process for making claims, monitoring of the remaining funds as well as the relevance of the equipment required is regularly reviewed.

All major projects are subject to the Trust's purchasing procedures and authorisation limits with final contracts being awarded after careful consideration by those responsible for purchasing. Consultation takes place with the ESFA representative for Capital Expenditure on engineering equipment for the UTC.

Cleaning and catering contracts are in place across the Trust. There is also a much greater level of cooperation across the schools of sharing knowledge, experience and inter School consultation.

Sponsor links

London South Bank University sponsors the Trust, benefiting from the expertise and economies of scale. The support offered includes access to Estates Management, Finance, Legal and Professional Services, Human Resources and Health and Safety.

Contracts Review

A regular review of all contracts is held particularly at the time of renewal. Other suppliers are considered to compare costs and the extent of the service offered. Special emphasis is placed on reviewing higher cost contracts such as IT services, energy costs and capital expenditure contracts.

Membership to the RPA Insurance Scheme

The ESFA believes the government organised scheme for School Insurance is best value. The SBA Trust is a member of the RPA.

Income Generation

The schools in the Trust, in line with its charitable objectives, makes its facilities available to the local community. These include facilities such as its assembly hall, sports facilities and classrooms.

Trade Union Facility Time

In accordance with the Trade Union (Facility Time Publication Requirements) Regulations 2017, we are required to publish certain information on trade union officials and facility time. During the period from 1 April 2017 – 31 March 2018 no union representatives were employed by The Trust and therefore there is no time, pay costs or paid trade union activities to report.

Auditor

Insofar as the trustees are aware:

- there is no relevant audit information of which the charitable company's auditor is unaware
- the trustees have taken all steps that they ought to have taken to make themselves aware of any relevant audit information and to establish that the auditor is aware of that information.

Directors' report, incorporating a strategic report, was approved by order of the board of trustees, as the company directors, on and signed on the board's behalf by:

Richard Flatman

Chair of the Board

Date:

South Bank Academies Governance Statement

The information on Governance included here supplements that described in the Directors' Report and in the Statement of Directors' Responsibilities. The Board of Directors has formally met five times during the year. Attendance during the year at meetings of the Board of Directors was as follows:

Director	Meetings attended	Out of a possible
Dave Phoenix (Chair until 22/03/2018)	5	5
Richard Flatman (interim Chair from 22/03/2018)	3	5
Douglas Denham St Pinnock	4	5
James Stevenson	3	5
Richard Parrish	3	5
Tony Giddings	1	5
Nicole Louis (CEO and Director) (appointed 15/03/2018)	3	3
Lesley Morrison (appointed 01/09/2017)	2	5
Adam Crossley (resigned 19/09/2018)	2	4
Rao Bhamidimarri (CEO until 15/02/2018) (retired as director 16/04/2018)	3	3
Steve McGuire (resigned 27/09/2017)	0	1

The Board began a review of Governance during the year taking into account a Self-Assessment Effectiveness Review, recommendations from an external review of Governance at the South Bank Engineering UTC, as well as consultation with School Principals, Local Governing Body representatives, and Directors. The new Governance Structure will be implemented in the new academic year 2018/19. The key changes are as follows:

- The CEO who is also a Director, is responsible to the Board for the Executive Management of the MAT and Schools. The CEO will manage the MAT and line manage a new Executive Principal role, a MAT Business Manager and Administrative Assistant.
- A new Executive Principal role will lead the academic direction of the Schools, apply budgets, ensure compliance, and contribute to strategy and policy. The Executive Principal will line manage the School Principals.
- The Local Governing Bodies will become School Advisory Bodies (SAB) with a focus on Teaching & Learning, Well-being and Safeguarding, and the general development of the local School. The SABs will have no decision-making powers but will focus on adding value at local level through engagement with the School and Community, including Link Governor Roles.

The Board has taken steps to address its gender imbalance. Two new female directors were appointed in 2017/18.

Committee Structure

The Board is supported by three committees: Remuneration Committee, Audit Committee and Nomination Committee.

The Remuneration Committee's purpose is to set the objectives and review the Principals' performance, to set the pay of the Key Management Personnel, and to approve the HR policy for the Company. Attendance at meetings in the year was as follows:

South Bank Academies Governance Statement

Directors	Meetings attended	Out of a possible
Douglas Denham St Pinnock (Chair)	2	2
Richard Parrish	1	2
David Phoenix	2	2
Lesley Morrison	2	2

The Audit Committee's purpose is to monitor the internal and external audit functions, risk management and internal financial control at the Company.

Attendance at meetings in the year was as follows:

Directors	Meetings attended	Out of a possible
Richard Flatman (Chair)	5	5
Adam Crossley	1	4
Tony Giddings	4	5

The purpose of the Nomination Committee is to consider succession planning for the Board and to recruit new Co-opted Trustees to the Board. The committee did not meet during the year. Filling vacancies, including for the Chair of the Board and the Chair of the SABs, and addressing succession planning will take place during the new academic year 2018/19, following the governance effectiveness review and implementation of the revised governance structure.

Arrangements for Setting Pay and Remuneration of Key Management Personnel

The Remuneration Committee has defined the key management personnel as the CEO, Business Manager and Principals. The Committee reviews performance of the key management personnel, against agreed objectives and relevant benchmarking data when setting pay. The CEO is seconded from London South Bank University, which pays her salary.

System of Internal Control

Scope of Responsibility

As Directors, we acknowledge we have overall responsibility for ensuring that South Bank Academies has an effective and appropriate system of control, financial and otherwise. However, such a system is designed to manage rather than eliminate the risk of failure to achieve business objectives, and can provide only reasonable and not absolute assurance against material misstatement or loss.

The Board of Directors has delegated the day-to-day responsibility to the Chief Executive Officer and the Business Manager, for ensuring financial controls conform with the requirements of both propriety and good financial management and in accordance with the requirements and responsibilities assigned to it in the funding agreement between South Bank Academies and the Secretary of State for Education. They are also responsible for reporting to the Board of Directors any material weaknesses or breakdowns in internal control.

The Purpose of the System of Internal Control

The system of Internal Control is designed to manage risk to a reasonable level rather than to eliminate all risk of failure to achieve policies, aims and objectives. It can, therefore, only provide reasonable and not absolute assurance of effectiveness. The system of Internal Control is based on an on-going process designed to identify and prioritise the risks to the achievement of Company policies, aims and objectives, to evaluate the likelihood of those risks being realised and the impact should they be realised, and to manage them efficiently, effectively and economically. The system of Internal Control has been in place

South Bank Academies Governance Statement

in South Bank Academies for the period 1 September 2017 to 31 August 2018 and up to the date of approval of the Annual Report and Financial Statements.

Public Benefit

South Bank Academies is an exempt charity within the meaning of the Charities Act 2011 and is regulated by the Secretary of State for Education on behalf of the Charity Commission.

Charity Commission guidance on Public Benefit

The members of the Board of Directors are the charitable trustees of the company. In undertaking its duties the Board of Directors has regard to the Charity Commission's guidance on public benefit.

Charitable objects

South Bank Academies receives the majority of its income from the Department for Education to provide educational services to children and to ensure a broad and balanced curriculum across its schools.

The charitable objectives of the company as set out in its articles of association are restricted to the following:

“to advance for the public benefit education in the United Kingdom, in particular but without prejudice to the generality of the foregoing by establishing, maintaining, carrying on, managing and developing schools offering a broad and balanced curriculum which includes provision for technical education.”

The company's objects are applied solely for the public benefit, as follows.

The company advances education for the public benefit by:

- establishing and running two academy schools which offer a broad and balanced curriculum. Both schools have an engineering focus and have provision for technical education;
- each school providing teaching to its students; and
- setting and marking assessments and giving feedback to students.

Beneficiaries

In carrying out its objects the company benefits its students and future students through teaching and learning activities.

The trustees affirm that the opportunity to benefit is not unreasonably restricted. The schools are committed to open, fair and transparent admissions arrangements and act in accordance with the School Admissions Code.

Key Performance Indicators

South Bank Academies has a list of key performance indicators (KPIs), both financial and non-financial.

The main KPIs that were set were:

- Finance — Surplus of over 1% in Company accounts
- Infrastructure — All compliance documentation was complete
- Teaching and Learning — Good or better
- Income target — £4.6m
- Student numbers — 82% of submission to DfE

South Bank Academies

Governance Statement

Reserves Policy

South Bank Academies aims to carry forward some resources from the central services charge against its General Annual Grant (restricted fund).

The Company also expects its schools to carry forward some resources from the General Annual Grant (restricted fund) and the School fund (unrestricted fund) to cover the medium and long term needs for renewal and replacement of major capital projects and unforeseen contingencies.

Currently the balance of Unrestricted Funds is £92k. This is to be used to increase the capacity for learning and teaching at the Academy. Restricted funds carry forward balance is £1,053k.

Total reserves are £25.03m, which also includes £23.89m restricted fixed assets carried forward and a £66k restricted pension deficit.

Investment Policy

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

Capacity to Handle Risk

The Board of Directors has reviewed the key risks to which the Trust is exposed together with the operating, financial and compliance controls that have been implemented to mitigate those risks. The Board of Directors is of the view that there is a formal on-going process for identifying, evaluating and managing the Trust's significant risks that has been in place for the period 1 September 2017 to 31 August 2018 and up to the date of approval of the Annual Report and Financial Statements. This process is regularly reviewed by the Board of Directors.

The Risk and Control Framework

The Trust's system of Internal Financial Control is based on a framework of regular management information and administrative procedures including the segregation of duties and a system of delegation and accountability. In particular it includes:

- Comprehensive budgeting and monitoring systems with an Annual Budget and periodic financial reports which are reviewed and agreed by the Board of Directors
- Regular reviews by the Board of reports which indicate financial performance against the forecasts and of major purchase plans, capital works and expenditure programs
- Regular reviews of the risk and control framework by the audit committee
- Setting targets to measure financial and other performance
- Clearly defined purchasing (asset purchase or capital investment) guidelines
- Delegation of authority and segregation of duties
- Identification and management of risks

South Bank Academies Governance Statement

As reported in the previous year's accounts, a combination of factors contributed to a breakdown in controls with significant gaps in the oversight of routine financial operations and data quality toward the end of the 2016/17 financial year. A detailed action plan was developed to rectify the position including higher levels of oversight and regular checks of monthly closedown routines. The plan was monitored carefully throughout the year and agreed actions implemented.

Indeed we have gone further and the pace and scale of governance and control change has been significant during 2017/18. We have;

- Appointed a new CEO, Nicole Louis, to replace Rao Bhamidimarri who retired mid-way through the year
- Undertaken a complete review of structures, focusing on streamlining the governance and management of the Trust to support effective decision making and continuously improving outcomes for students
- Aligned the two school structures under a new Executive Principal, appointed to oversee academic delivery in both schools
- Appointed PwC as internal auditors to deliver independent internal audit assurance to the Board. Their first review was carried out in September 2018 and they have made a number of recommendations that the Trust is in the process of addressing
- Re-designed financial processes and implemented a number of additional controls. These include independent reviews of bank reconciliations, tighter controls around supplier payments, formal review and approval of the payroll, implementation of a month end processing and reconciliation check list, automating the production of management accounts and agreement to move to a single bank account.

As noted above, significant improvements have been made. We have also completed the year-end financial closedown and accounts preparation routines in a more timely manner this year. However, given the nature of the timeline, and with new appointments needing to be made, financial control issues still remain, and these reflect continuing capability and experience issues within the finance team, even though training has been put in place. To address these issues, a new Trust Business Manager has now been appointed post year end and it has also been agreed to change the finance structure and staff within the Trust function. We are confident that these further changes, coupled with the progress already made this year, will deliver an improved position in 2018/19. Comprehensive follow up review by the internal auditors is planned to provide independent assurance of this improved control.

Review of Effectiveness

The Trust Business Manager and the Chief Executive Officer have responsibility for reviewing the effectiveness of the system of internal control. During the year, the review has been informed by:

- The work of the Chief Executive and Trust Business Manager
- The work of the External Auditor
- The work of the Executive Managers within South Bank Academies who have responsibility for the development and maintenance of the internal control framework

A plan to address any weakness and to ensure continuous improvement of the system is in place.

Approved by the Board of Directors on and signed on its behalf by:

Richard Flatman
Chair of the Board

Date:

Nicole Louis
Chief Executive Officer

Date:

South Bank Academies

Statement on Regularity, Propriety and Compliance

As accounting officer of South Bank Academies I have considered my responsibility to notify the Academy Trust Board of Directors and the Education and Skills Funding Agency (ESFA) of material irregularity, impropriety and non-compliance with ESFA terms and conditions of funding, under the funding agreement in place between the Academy Trust and the Secretary of State. As part of my consideration I have had due regard to the requirements of the Academies Financial Handbook 2018.

I confirm that I and the Academy Trust Board of Directors are able to identify any material irregular or improper use of funds by the Academy Trust, or material non-compliance with the terms and conditions of funding under the Academy's funding agreement and the Academies Financial Handbook 2018.

I confirm that the following instances of material irregularity, impropriety or funding non-compliance discovered to date have been notified to the Board of Directors and the ESFA. If any instances are identified after the date of this statement, these will be notified to the Board of Directors and the ESFA:

- As noted on pages 9-10, we have taken agreed action as identified last year and delivered significant in year improvements around governance and control. We have also completed the year-end financial closedown and accounts preparation routines in a more timely manner this year. However, some financial control issues and errors identified in the previous year still remain. These reflect a combination of timeline, new appointments needing to be made and continuing capability and experience issues within the finance team. An updated action plan has been developed to ensure that these remaining financial control issues are resolved, a new Trust Business Manager has been appointed and it has been agreed that the finance structure and staff within the Trust will be changed and strengthened. Further information is provided on pages 9-10.

Nicole Louis

Accounting Officer

Date:

South Bank Academies

Statement of Directors' Responsibilities

The Directors are responsible for preparing the Directors' Report and the financial statements in accordance with the Annual Accounts Direction issued by the Education and Skills Funding Agency, United Kingdom Accounting Standards (United Kingdom Generally Accepted Accounting Practice) and applicable law and regulations.

Company law requires the directors to prepare financial statements for each financial year. Under company law the directors must not approve the financial statements unless they are satisfied that they give a true and fair view of the state of affairs of the charitable company and of the incoming resources and application of resources, including its income and expenditure, for that period. In preparing these financial statements, the directors are required to:

- select suitable accounting policies and then apply them consistently;
- observe the methods and principles of the Charities SORP 2015 and the Academies Accounts Direction 2017 to 2018;
- make judgments and accounting estimates that are reasonable and prudent;
- state whether applicable UK Accounting Standards FRS 102 have been followed, subject to any material departures disclosed and explained in the financial statements; and
- prepare the financial statements on the going concern basis unless it is inappropriate to presume that the charitable company will continue in business.

The directors are responsible for keeping adequate accounting records that are sufficient to show and explain the charitable company's transactions and disclose with reasonable accuracy at any time the financial position of the charitable company and enable them to ensure that the financial statements comply with the Companies Act 2006. They are also responsible for safeguarding the assets of the charitable company and hence for taking reasonable steps for the prevention and detection of fraud and other irregularities.

The directors are responsible for ensuring that in its conduct and operation the charitable company applies financial and other controls, which conform with the requirements both of propriety and of good financial management. They are also responsible for ensuring grants received from the ESFA/DfE have been applied for the purposes intended.

The directors are responsible for the maintenance and integrity of the corporate and financial information included on the charitable company's website. Legislation in the United Kingdom governing the preparation and dissemination of financial statements may differ from legislation in other jurisdictions.

Approved by order of the members of the Board of Trustees on and signed on its behalf by:

Nicole Louis

Trustee

South Bank Academies

Independent Auditors Report on the Financial Statements to Members of South Bank Academies

Opinion

We have audited the financial statements of South Bank Academies ('the Academy Trust'), for the year ended 31 August 2018 which comprise the Statement of Financial Activities, the Balance Sheet, Statement of Cash Flows and the related notes to the financial statements, including a summary of significant accounting policies. The financial reporting framework that has been applied in their preparation is applicable law and United Kingdom Accounting Standards, including FRS 102 'The Financial Reporting Standard Applicable in the UK and Ireland' (United Kingdom Generally Accepted Accounting Practice).

In our opinion the financial statements:

- give a true and fair view of the state of the Company's affairs as at 31 August 2018 and of its incoming resources and application of resources, including its income and expenditure, for the year then ended;
- have been properly prepared in accordance with United Kingdom Generally Accepted Accounting Practice;
- have been prepared in accordance with the requirements of the Companies Act 2006; and
- have been prepared in accordance with the Academies Accounts Direction 2017 to 2018 issued by the ESFA.

This report is made solely to the Company's members, as a body, in accordance with Chapter 3 of Part 16 of the Companies Act 2006. Our audit work has been undertaken so that we might state to the Company's members those matters we are required to state to them in an auditors' report and for no other purpose. To the fullest extent permitted by law, we do not accept or assume responsibility to any party other than the charitable company and charitable company's members as a body, for our audit work, for this report, or for the opinions we have formed.

Basis for opinion

We conducted our audit in accordance with International Standards on Auditing (UK) (ISAs(UK)) and applicable law. Our responsibilities under those standards are further described in the Auditor's Responsibilities for the audit of financial statements section of our report. We are independent of the Company in accordance with the ethical requirements that are relevant to our audit of the financial statements in the UK, including the FRS's Ethical Standard, and we have fulfilled our other ethical responsibilities in accordance with these requirements. We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our opinion.

Conclusions relating to going concern

We have nothing to report in respect of the following matters in relation to which the ISAs (UK) require us to report to you where:

- the directors' use of the going concern basis of accounting in the preparation of the financial statements is not appropriate; or
- the directors have not disclosed in the financial statements any identified material uncertainties that may cast significant doubt about the Company's ability to continue to adopt the going concern basis of accounting for a period of at least twelve months from the date when the financial statements are authorised for issue

South Bank Academies

Independent Auditors Report on the Financial Statements to Members of South Bank Academies

Other information

The other information comprises the information included in the annual report, other than the financial statements and our auditor's report thereon. The directors are responsible for the other information. Our opinion on the financial statements does not cover the other information and, except to the extent otherwise explicitly stated in our report, we do not express any form of assurance conclusion thereon.

In connection with our audit of the financial statements, our responsibility is to read the other information and, in doing so, consider whether the other information is materially inconsistent with the financial statements or our knowledge obtained in the audit or otherwise appears to be materially misstated. If we identify such material inconsistencies or apparent material misstatements, we are required to determine whether there is a material misstatement in the financial statements or a material misstatement of the other information. If, based on the work we have performed, we conclude that there is a material misstatement of this other information, we are required to report that fact.

We have nothing to report in this regard.

Opinion on other matter prescribed by the Companies Act 2006

In our opinion, based on the work undertaken in the course of the audit:

- the information given in the strategic report and the directors' annual report for the financial year for which the financial statements are prepared is consistent with the financial statements.
- the strategic report and the directors' annual report have been prepared in accordance with applicable legal requirements.

Matters on which we are required to report by exception

In light of the knowledge and understanding of the Company and its environment obtained in the course of the audit, we have not identified material misstatements in the strategic report or the trustees' annual report.

We have nothing to report in respect of the following matters where the Companies Act 2006 requires us to report to you if, in our opinion:

- adequate accounting records have not been kept, or returns adequate for our audit have not been received from branches not visited by us; or
- the financial statements are not in agreement with the accounting records and returns; or
- certain disclosures of directors' remuneration specified by law are not made; or
- we have not received all the information and explanations we require for our audit.

Responsibilities of directors

As explained more fully in the Statement of Directors' Responsibilities set out on page 17, the directors (who are also the trustees of the charitable company for the purposes of charity law) are responsible for the preparation of the financial statements and for being satisfied that they give a true and fair view, and for such internal control as the directors determine is necessary to enable the preparation of financial statements that are free from material misstatement, whether due to fraud or error.

In preparing the financial statements, the directors are responsible for assessing the Company's ability to continue as a going concern, disclosing, as applicable, matters related to going concern and using the going concern basis of accounting unless the directors either intend to liquidate the Company or to cease operations, or have no realistic alternative but to do so.

South Bank Academies

Independent Auditors Report on the Financial Statements to Members of South Bank Academies

Auditor's responsibilities for the audit of the financial statements

Our objectives are to obtain reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditor's report that includes our opinion. Reasonable assurance is a high level of assurance, but is not a guarantee that an audit conducted in accordance with ISAs (UK) will always detect a material misstatement when it exists. Misstatements can arise from fraud or error and are considered material if, individually or in aggregate, they could reasonably be expected to influence the economic decisions of users taken on the basis of these financial statements.

As part of an audit in accordance with ISAs (UK) we exercise professional judgement and maintain professional scepticism throughout the audit. We also:

- Identify and assess the risks of material misstatement of the financial statements, whether due to fraud or error, design and perform audit procedures responsive to those risks, and obtain audit evidence that is sufficient and appropriate to provide a basis for our opinion. The risk of not detecting a material misstatement resulting from fraud is higher than for one resulting from error, as fraud may involve collusion, forgery, intentional omissions, misrepresentations, or the override of internal control.
- Obtain an understanding of internal control relevant to the audit in order to design audit procedures that are appropriate in the circumstances, but not for the purposes of expressing an opinion on the effectiveness of the Company's internal control.
- Evaluate the appropriateness of accounting policies used and the reasonableness of accounting estimates and related disclosures made by the directors.
- Conclude on the appropriateness of the directors' use of the going concern basis of accounting and, based on the audit evidence obtained, whether a material uncertainty exists related to events or conditions that may cast significant doubt on the charitable company's ability to continue as a going concern. If we conclude that a material uncertainty exists, we are required to draw attention in our auditor's report to the related disclosures in the financial statements or, if such disclosures are inadequate, to modify our opinion. Our conclusions are based on the audit evidence obtained up to the date of our auditor's report. However, future events or conditions may cause the Company to cease to continue as a going concern.
- Evaluate the overall presentation, structure and content of the financial statements, including the disclosures, and whether the financial statements represent the underlying transactions and events in a manner that achieves fair presentation.

We communicate with those charged with governance regarding, among other matters, the planned scope and timing of the audit and significant audit findings, including any significant deficiencies in internal control that we identify during our audit.

Date:

Shivani Kothari (Senior Statutory Auditor)
for and on behalf of Kingston Smith LLP, Statutory Auditor

Devonshire House
60 Goswell Road
London
EC1M 7AD

South Bank Academies

Independent Reporting Accountant's Report on Regularity to South Bank Academies and the Education and Skills Funding Agency

In accordance with the terms of our engagement letter dated 22 July 2016 and further to the requirements of the Education Funding and Skills Agency (ESFA) as included in the Academies Accounts Direction 2017 to 2018 we have carried out an engagement to obtain limited assurance about whether the expenditure disbursed and income received by South Bank Academies during the period 1 September 2017 to 31 August 2018 have been applied to the purposes identified by Parliament and the financial transactions conform to the authorities which govern them.

This report is made solely for South Bank Academies and ESFA in accordance with the terms of our engagement letter. Our work has been undertaken so that we might state to South Bank Academies and ESFA those matters we are required to state in a report and for no other purpose. To the fullest extent permitted by law, we do not accept or assume responsibility to anyone other than South Bank Academies and ESFA, for our work, for this report, or for the conclusion we have formed.

Respective responsibilities of South Bank Academies accounting officer and the reporting accountant

The accounting officer is responsible, under the requirements of South Bank Academies funding agreement with the Secretary of State for Education dated 8 April 2014 and the Academies Financial Handbook, extant from 1 September 2018 for ensuring that expenditure disbursed and income received is applied for the purposes intended by Parliament and the financial transactions conform to the authorities which govern them.

Our responsibilities for this engagement are established in the United Kingdom by our profession's ethical guidance and are to obtain limited assurance and report in accordance with our engagement letter and the requirements of the Academies Accounts Direction 2017 to 2018. We report to you whether anything has come to our attention in carrying out our work which suggests that in all material respects, expenditure disbursed and income received during the period 1 September 2017 to 31 August 2018 have not been applied to purposes intended by Parliament or that the financial transactions do not conform to the authorities which govern them.

Approach

We conducted our engagement in accordance with the Academies Accounts Direction 2017 to 2018 issued by ESFA. We performed a limited assurance engagement as defined in our engagement letter.

The objective of a limited assurance engagement is to perform such procedures as to obtain information and explanations in order to provide us with sufficient appropriate evidence to express a negative conclusion on regularity.

A limited assurance engagement is more limited in scope than a reasonable assurance engagement and consequently does not enable us to obtain assurance that we would become aware of all significant matters that might be identified in a reasonable assurance engagement. Accordingly, we do not express a positive opinion.

Our engagement includes examination, on a test basis, of evidence relevant to the regularity and propriety of the academy trust's income and expenditure.

The work undertaken to draw to our conclusion includes:

- Enquiry
- Inspection and review
- Observation and reperformance

South Bank Academies

Independent Reporting Accountant's Report on Regularity to South Bank Academies and the Education and Skills Funding Agency

Conclusion

In the course of our audit work we have identified instances where the Academy Trust has not complied with the guidance and the internal control framework as set out in the Academies Accounts Direction 2017 to 2018 and the Academies Financial Handbook, extant from 1 September 2018. These matters have been reported by the Directors in the Governance Statement on pages 6 to 10, as referred to in the Accounting Officer's Statement on Regularity, Propriety and Compliance on page 11.

In the course of our work, no other matters have come to our attention which suggest that in all material respects the expenditure disbursed and income received during the period 1 September 2017 to 31 August 2018 has not been applied to purposes intended by Parliament and the financial transactions do not conform to the authorities which govern them.

Date:

Shivani Kothari (Senior Statutory Auditor)
for and on behalf of Kingston Smith LLP, Statutory Auditor

Devonshire House
60 Goswell Road
London
EC1M 7AD

South Bank Academies
Statement of Financial Activities for the year ended 31 August 2018
(Including income and expenditure account)

	Note	Unrestricted Funds £000	Restricted General Funds £000	Restricted Fixed Asset Funds £000	Total 2018 £000	Total 2017 £000
Income and Endowments from:						
Donations and capital grants	2, 16	3	92	1,339	1,434	95
Transfer on conversion		-	-	-	-	28
Charitable activities:						
Funding for the academy trusts'						
Educational operations	3	-	6,832	-	6,832	4,811
Other trading activities	4	2	-	-	2	1
Investments	5	1	-	-	1	2
Total		6	6,924	1,339	8,269	4,937
Expenditure on:						
Raising funds	6	-	-	-	-	10
Charitable activities:						
Academy trust educational operations	7	-	6,908	553	7,461	4,663
Total		-	6,908	553	7,461	4,673
Net income		6	16	786	808	264
Transfers between funds	16	-	(104)	104	-	-
		6	(88)	890	808	264
Other recognised gains / (losses)						
Actuarial gains on defined Benefit pension schemes	16,23	-	47	-	47	44
Net movement in funds		6	(41)	890	855	308
Reconciliation of funds						
Total funds brought forward		86	1,094	22,995	24,175	23,867
Total funds carried forward		92	1,053	23,885	25,030	24,175

All of the academy's activities derive from continuing operations during the above two financial periods.

**South Bank Academies
Balance Sheet
As at 31 August 2018**

	Note	2018 £000	2018 £000	2017 £000	2017 £000
Fixed assets					
Tangible assets	12		23,720		22,995
Current assets					
Debtors	14	649		217	
Cash at bank and in hand	21	1,542		2,240	
		<u>2,191</u>		<u>2,457</u>	
Liabilities					
Creditors: Amounts falling due within one year	15	(815)		(1,229)	
Net current assets / (liabilities)			<u>1,376</u>	<u>(1,229)</u>	<u>1,228</u>
Total assets less current liabilities			25,096		24,223
Net assets excluding pension liability					
Defined benefit pension scheme liability	23		(66)		(48)
Total net assets			<u>25,030</u>		<u>24,175</u>
Funds of the academy trust:					
Restricted funds					
Fixed asset fund	16	23,885		22,995	
General fund	16	1,119		1,142	
Pension reserve	16	(66)		(48)	
Total restricted funds			24,938		24,089
Unrestricted income funds	16		92		86
Total Funds			<u>25,030</u>		<u>24,175</u>

The Financial Statements on pages 18 to 42 were approved by the Trustees, and authorised for issue onand are signed on their behalf by:

Nicole Louis

Trustee

South Bank Academies
Statement of Cash Flows
For the year ended 31 August 2018

	Note	2018 £000	2017 £000
Cash flows from operating activities:			
Net cash provided by operating activities	18	579	1,208
Cash flows from investing activities	20	(1,277)	(156)
Cash flows from financing activities	19	-	-
Change in cash and cash equivalents in the reporting period		<u>(698)</u>	<u>1,052</u>
Cash and cash equivalents at 1 September 2017		2,240	1,188
Cash and cash equivalents at 31 August 2018	21	<u>1,542</u>	<u>2,240</u>

South Bank Academies

Notes to the Financial Statements

for the year ended 31 August 2018

1. Statement of Accounting Policies

A summary of the principal accounting policies adopted (which have been applied consistently, except where noted), judgements and key sources of estimation uncertainty, is set out below.

Company information

South Bank Academies is a limited Company domiciled and incorporated in England and Wales. The registered office is 103 Borough Road, London, SE1 0AA.

Basis of Preparation

The Financial Statements of the academy trust, which is a public benefit entity under FRS 102, have been prepared under the historical cost convention in accordance with the Financial Reporting Standard Applicable in the UK and Republic of Ireland (FRS 102), the Accounting and Reporting by Charities: 'Statement of Recommended Practice applicable to charities preparing their accounts in accordance with the Financial Reporting Standard applicable in the UK and Republic of Ireland (FRS 102) (Charities SORP (FRS 102)), the Academies Accounts Direction 2016 to 2017 issued by the ESFA, the Charities Act 2011 and the Companies Act 2006.

South Bank Academies meets the definition of a public benefit entity under FRS102.

The Financial Statements are prepared in sterling, which is the functional currency of the Company. Monetary amounts in these Financial Statements are rounded to the nearest thousand pound.

Going Concern

The Trustees assess whether the use of going concern is appropriate i.e. whether there are any material uncertainties related to events or conditions that may cast significant doubt on the ability of the Company to continue as a going concern. The Trustees make this assessment in respect of a period of at least one year from the date of authorisation for issue of the financial statements and have concluded that the academy trust has adequate resources to continue in operational existence for the foreseeable future and there are no material uncertainties about the academy trust's ability to continue as a going concern, thus they continue to adopt the going concern basis of accounting in preparing the Financial Statements.

Income

All incoming resources are recognised when the Academy Trust has entitlement to the funds the receipt is probable and the amount can be measured reliably.

Grants

Grants are included in the Statement of Financial Activities on a receivable basis. The balance of income received for specific purposes but not expended during the period is shown in the relevant funds on the balance sheet. Where income is received in advance of meeting any performance related conditions there is not unconditional entitlement to the income and its recognition is deferred and included in creditors as deferred income until the performance-related conditions are met. Where entitlement occurs before income is received, the income is accrued.

General Annual Grant is recognised in full in the statement of Financial Activities in the year for which it is receivable and any abatement in respect of the period is deducted from income and recognised as a liability.

South Bank Academies

Notes to the Financial Statements

for the year ended 31 August 2018

1 Statement of Accounting Practices (continued)

Capital grants are recognised when there is entitlement and are not deferred over the life of the asset on which they are expended. Unspent amounts of capital grant are reflected in the balance in the restricted fixed asset fund.

Donations

Donations are recognised on a receivable basis (where there are no performance-related conditions) where the receipt is probable and the amount can be reliably measured.

Other Income

Other income, including the hire of facilities, is recognised in the period it is receivable and to the extent the academy trust has provided the goods or services.

Donated goods, facilities and services

Goods donated for resale are included at fair value, being the expected proceeds from sale less the expected costs of sale. If it is practical to assess the fair value at receipt, it is recognised in stock and "Income from other trading activities". Upon sale, the value of the stock is charged against "Income from other trading activities" and the proceeds are recognised as "Income from other trading activities". Where it is impractical to fair value the items to the volume of low value items they are not recognised in the Financial Statements until they are sold. This income is recognised within "Income from other trading activities".

Expenditure

Expenditure is recognised once there is a legal or constructive obligation to transfer economic benefit to a third party, it is probable that a transfer of economic benefits will be required in a settlement and the amount of the obligation can be measured reliably. Expenditure is classified by activity. The costs of each activity are made up of the total of direct costs and shared costs, including the support costs involved in undertaking each activity. Direct costs attributable to a single activity and support costs which are not attributable to a single activity are apportioned between those activities on a basis consistent with use of resources. Central staff costs are allocated on the basis of time spent, and depreciation charges allocated on the portion of the asset's use.

Expenditure on Raising Funds

This includes all expenditure incurred by the academy trust to raise funds for its charitable purposes and includes costs of all fundraising activities events and non-charitable trading.

Charitable Activities

These are costs incurred on the academy trust's educational operations, including support costs and costs relating to the Governance of the academy trust apportioned to charitable activities.

All resources expended are inclusive of irrecoverable VAT.

South Bank Academies

Notes to the Financial Statements

for the year ended 31 August 2018

1 Statement of Accounting Policies (continued)

Tangible Fixed Assets

Assets costing £2,000 or more are capitalised as tangible fixed assets and are carried at cost, net of depreciation and any provision for impairment.

Where tangible fixed assets have been acquired with the aid of specific grants, either from the government or from the private sector, they are included in the Balance Sheet at cost and depreciated over their expected useful economic life. Where there are specific conditions attached to the funding requiring the continued use of the asset, the related grants are credited to a restricted fixed asset fund in the Statement of Financial Activities and carried forward in the Balance Sheet. Depreciation on the relevant assets is charged directly to the restricted fixed asset fund in the Statement of Financial Activities. Where tangible fixed assets have been acquired with unrestricted funds, depreciation on such assets is charged to the unrestricted fund.

Depreciation is provided on all tangible fixed assets other than freehold land, at rates calculated to write off the cost of each asset on a straight-line basis over its expected useful life, as follows:

Leasehold buildings	125 years over period of lease
Fixtures, fittings and equipment	5 years
Computer hardware	3 years

Assets in the course of construction are included at cost. Depreciation on these assets is not charged until they are brought into use.

A review for impairment of a fixed asset is carried out if events or changes in circumstances indicate that the carrying value of any fixed asset may not be recoverable. Shortfalls between the carrying value of fixed assets and their recoverable amounts are recognised as impairments. Impairment losses are recognised in the Statement of Financial Activities.

Liabilities

Liabilities are recognised when there is an obligation at the balance sheet date as a result of a past event, it is probable that a transfer of economic benefit will be required in the settlement, and the amount of the settlement can be estimated reliably.

Liabilities are recognised at the amount that the academy trust anticipates it will pay to settle the debt or the amount it has received as advanced payments for the goods and services it must provide.

Provisions

Provisions can be recognised when the academy trust has an obligation at the reporting date as a result of a past event which it is probable will result in the transfer of economic benefits and the obligation can be estimated reliably.

Provisions are measured at the best estimate of the amounts required to settle an obligation. Where the effect of the time value of money is material, the provision is based on the present value of those amounts, discounted at the last pre-tax discount rate that reflects the risks specific to the liability. The unwinding of the discount is recognised within interest payable and similar charges.

South Bank Academies

Notes to the Financial Statements

for the year ended 31 August 2018

1 Statement of Accounting Policies (continued)

Financial Instruments

The academy trust only holds basic financial instruments as defined in FRS 102. The financial assets and financial liabilities of the academy trust and their measurement basis are as follows:

Cash and cash equivalents include cash in hand, deposits held at call with banks, and other short-term liquid investments with original maturities of three months or less.

Financial assets - trade and other debtors are basic financial instruments and are debt instruments measured at amortised cost as detailed in note 13. Prepayments are not financial instruments.

Financial instruments are recognised in the Company's balance sheet when the Company becomes party to the contractual provisions of the instrument.

Financial liabilities - trade creditors, accruals and other creditors are financial instruments, and are measured at amortised cost as detailed in note 13. Taxation and social security are not included in the financial instruments disclosure definition. Deferred income is not deemed to be a financial liability, as the cash settlement has already taken place and there is an obligation to deliver services rather than cash or another financial instrument.

Taxation

The academy trust is considered to pass the tests set out in Paragraph 1 Schedule 6 of the Finance Act 2010 and therefore it meets the definition of a Charitable Company for UK corporation tax purposes.

Accordingly, the academy trust is potentially exempt from taxation in respect of income or capital gains received within categories covered by part 11, chapter 3 of the Corporation Tax Act 2010 or Section 256 of the Taxation of Chargeable Gains Act 1992, to the extent that such income or gains are applied exclusively to charitable purposes.

Employee benefits

Termination benefits are recognised immediately as an expense when the Company is demonstrably committed to terminate the employment of an employee or to provide termination benefits.

Pensions Benefits

Retirement benefits to employees of the academy trust are provided by the Teachers' Pension Scheme ('TPS') and the Local Government Pension Scheme ('LGPS'). These are defined benefit schemes.

The TPS is an unfunded scheme and contributions are calculated so as to spread the cost of pensions over employees' working lives with the academy trust in such a way that the pension cost is a substantially level percentage of current and future pensionable payroll. The contributions are determined by the Government Actuary on the basis of quadrennial valuations using a prospective unit credit method. As stated in note 23, the TPS is a multi-employer scheme and there is insufficient information available to use defined benefit accounting. The TPS is therefore treated as a defined contribution scheme for accounting purposes and the contributions recognised in the period to which they relate.

South Bank Academies

Notes to the Financial Statements

for the year ended 31 August 2018

1 Statement of Accounting Policies (continued)

The LGPS is a funded scheme and the assets are held separately from those of the academy trust in separate trustee administered funds. Pension scheme assets are measured at fair value and liabilities are measured on an actuarial basis using the projected unit credit method and discounted at a rate equivalent to the current rate of return on a high quality corporate bond of equivalent term and currency to the liabilities. The actuarial valuations are obtained at least triennially and are updated at each balance sheet date. The amounts charged to operating surplus are the current service costs and the costs of scheme introductions, benefit changes, settlements and curtailments. They are included as part of staff costs as incurred. Net interest on the net defined benefit liability/asset is also recognised in the Statement of Financial Activities and comprises the interest cost on the defined benefit obligation and interest income on the scheme assets, calculated by multiplying the fair value of the scheme assets at the beginning of the period by the rate used to discount the benefit obligations. The difference between the interest income on the scheme assets and the actual return on the scheme assets is recognised in other recognised gains and losses.

Actuarial gains and losses are recognised immediately in other recognised gains and losses.

Fund Accounting

Unrestricted income funds represent those resources which may be used towards meeting any of the charitable objects of the academy trust at the discretion of the Trustees.

Restricted fixed asset funds are resources which are to be applied to specific capital purposes imposed by funders where the asset acquired or created is held for a specific purpose.

Restricted general funds comprise all other restricted funds received with restrictions imposed by the funder/donor and include grants from the Education and Skills Funding Agency and Department for Education.

Critical Accounting Estimates and areas of judgment.

Estimates and judgements are continually evaluated and are based on historical experience and other factors, including expectations of future events that are believed to be reasonable under the circumstances.

Critical accounting estimates and assumptions

The Trust makes estimates and assumptions concerning the future. The resulting accounting estimates and assumptions will, by definition, seldom equal the related actual results. The estimates and assumptions that have a significant risk of causing a material adjustment to the carrying amounts of assets and liabilities within the next financial year are discussed below.

The present value of the Local Government Pension Scheme defined benefit liability depends on a number of factors that are determined on an actuarial basis using a variety of assumptions. The assumptions used in determining the net cost (income) for pensions include the discount rate. Any changes in these assumptions, which are disclosed in note 23, will impact the carrying amount of the pension liability. Furthermore a roll forward approach which projects results from the latest full actuarial valuation performed at 31 March 2016 has been used by the actuary in valuing the pensions liability at 31 August 2018. Any differences between the figures derived from the roll forward approach and a full actuarial valuation would impact on the carrying amount of the pension liability.

South Bank Academies
Notes to the Financial Statements
for the year ended 31 August 2018

2 Donations and capital grants

	Unrestricted General Funds £000	Restricted General Funds £000	Restricted Fixed Asset Funds £000	Total 2018 £000	Total 2017 £000
Capital grants	-	-	1,339	1,339	-
Donations	3	-	-	3	3
Donated salaries	-	92	-	92	92
	<u>3</u>	<u>92</u>	<u>1,339</u>	<u>1,434</u>	<u>95</u>

3 Funding for the Academy Trust's Educational Operations

	Unrestricted Funds £000	Restricted General Funds £000	Total 2018 £000	Total 2017 £000
DfE / ESFA revenue grants				
General Annual Grant (GAG)	-	5,763	5,763	3,787
Start-up grants	-	324	324	612
Other DfE / ESFA grants	-	624	624	275
		<u>6,711</u>	<u>6,711</u>	<u>4,674</u>
Other Government grants				
Local authority grants	-	57	57	54
		<u>57</u>	<u>57</u>	<u>54</u>
Other income from the academy trust's educational operations	-	64	64	83
Total funding for academy trust's educational operations	<u>-</u>	<u>6,832</u>	<u>6,832</u>	<u>4,811</u>

4 Other trading activities

	Unrestricted Funds £000	Restricted Funds £000	Total 2018 £000	Total 2017 £000
Hire of facilities	-	2	2	1
	<u>-</u>	<u>2</u>	<u>2</u>	<u>1</u>

5 Investment income

	Unrestricted Funds £000	Restricted Funds £000	Total 2018 £000	Total 2017 £000
Short term deposits	1	-	1	2
	<u>1</u>	<u>-</u>	<u>1</u>	<u>2</u>

South Bank Academies
Notes to the Financial Statements
for the year ended 31 August 2018

6 Expenditure

	Staff Costs £000	Non Pay Expenditure		Total 2018 £000	Total 2017 £000
		Premises £000	Other £000		
Expenditure on raising funds	-	-	-	-	10
Academy's educational operations:					
Direct costs	3,414	-	275	3,689	2,199
Allocated support costs	1,254	1,513	1,005	3,772	2,464
	4,668	1,513	1,280	7,461	4,673

Net income / (expenditure) for the period includes:	2018 £000	2017 £000
Depreciation	553	263
Fees payable to auditor for:		
Audit	19	7
Other services	28	34
	600	304

7 Charitable Activities

	Total 2018 £000	Total 2017 £000
Direct costs – educational operations	3,689	2,199
Support costs – educational operations	3,772	2,464
	7,648	4,663

	Educational Operations £000	Total 2018 £000	Total 2017 £000
Support staff costs	1,254	1,254	1,012
Depreciation	553	553	263
Technology costs	217	217	87
Premise costs	960	960	567
Catering	299	299	217
Governance costs / other support costs	489	489	318
Total support costs	3,772	3,772	2,464

South Bank Academies
Notes to the Financial Statements
for the year ended 31 August 2018

8 Staff

a. Staff costs

	2018	2017
	£000	£000
Staff costs during the period were:		
Wages and salaries	3,219	1,760
Social security costs	326	246
Operating costs of defined benefit pension scheme	457	408
	4,002	2,414
Supply staff costs	574	587
Donated staff costs	92	92
Staff restructuring costs	-	-
	4,668	3,093
Staff restructuring costs comprise:		
Other restructuring and settlement costs	-	-
	-	-

b. Staff numbers

The average number of persons employed by the academy during the period was as follows:

	2018	2017
	No.	No.
Teachers	49	47
Administration and support	43	32
Management	17	8
	109	87

c. Higher paid staff

The number of employees whose employee benefits (excluding employer pension costs) exceeded £60,000 was:

	2018	2017
	No.	No.
£60,001 - £69,999	4	4
£70,001 - £79,999	2	2
£80,000-£89,999	1	-
£90,001 - £99,999	1	1

d. Key management personnel

Key Management Personnel include persons who have authority and responsibility for planning, directing and controlling the activities of the schools and The Trust. This includes salary, employer national insurance contributions, and employer pension contributions. The total amount paid during the year was £371,996 (2017: £365,153).

**South Bank Academies
Notes to the Financial Statements
for the year ended 31 August 2018**

9 Disclosure of central services

The Trust has provided the following central services to its academies during the year: human resources; financial services; educational support services; marketing; recruitment. The Trust charges for these services on the following basis:

3.5% of GAG income received for each school is taken as a fee for central services the actual amounts charged during the year were as follows:

	2018	2017
University Academy of Engineering South Bank	220,953	147,512
South Bank Engineering UTC	68,612	41,665
	289,565	189,177

10 Related party transactions – Trustees’ remuneration and expenses

None of the Trustees have been paid remuneration or have received other benefits from an employment with the Trust (2017: none).

During the year ended 31 August 2018, no travel and subsistence expenses were reimbursed or paid directly to any Trustees (2017: none).

11 Trustees and officers insurance

The academy trust has opted into the Department of Education’s risk protection arrangement (RPA), an alternative to insurance where UK government funds cover losses that arise. This scheme protects Trustees and officers from claims arising from negligent acts, errors or omissions occurring whilst on academy business, and provides cover up to £10,000,000. It is not possible to quantify the Trustees and officers indemnity element from the overall cost of the RPA scheme.

South Bank Academies
Notes to the Financial Statements
for the year ended 31 August 2018

12 Tangible fixed assets

	Leasehold Land and Buildings £000	Leasehold Improvements £000	Furniture and Equipment £000	Computer Hardware £000	Total £000
Cost					
At 1 September 2017	23,000	17	59	197	23,273
Additions	-	-	874	404	1,278
Disposals	-	-	-	-	-
At 31 August 2018	23,000	17	933	601	24,551
Depreciation					
At 1 September 2017	184	1	18	75	278
Charged in year	184	1	168	200	553
Disposals	-	-	-	-	-
At 31 August 2018	368	2	186	275	831
Net book values					
At 31 August 2018	22,632	15	747	326	23,720
At 31 August 2017	22,816	16	41	122	22,995

13 Financial instruments

	2018 £000	2017 £000
Carrying amount of financial assets		
Debt instruments measured at amortised cost	170	2
Carrying amount of financial liabilities		
Measured at amortised cost	610	1,174

14 Debtors

	2018 £000	2017 £000
VAT recoverable	368	129
Other debtors	5	2
Prepayments and accrued income	276	86
	649	217

South Bank Academies
Notes to the Financial Statements
for the year ended 31 August 2018

15 Creditors: Amounts falling due within one year

	2018	2017
	£000	£000
Trade creditors	285	95
Taxation and social security	103	55
ESFA creditor: abatement of GAG	20	769
Other creditors	54	22
Accruals and deferred income	353	288
	815	1,229

Deferred income

	2018	2017
	£000	£000
Deferred income at 1 September	-	34
Resources deferred in the year	-	-
Amounts released from previous years	-	(34)
Deferred income at 31 August	-	-

South Bank Academies
Notes to the Financial Statements
for the year ended 31 August 2018

16 Funds

	Balance at 1 September 2017 £000	Incoming Resources £000	Resources Expended £000	Gains, Losses and Transfers £000	Balance at 31 August 2018 £000
Restricted general funds					
General Annual Grant (GAG)	1,142	5,763	(5,682)	(104)	1,119
Start-up grant	-	324	(324)	-	-
Other DfE grants	-	624	(624)	-	-
Other sources	-	213	(213)	-	-
Pension reserve	(48)	-	(65)	47	(66)
	1,094	6,924	(6,908)	(57)	1,053
Restricted fixed asset funds					
ESFA capital grants	-	1,339	(248)	-	1,091
Local authority capital grants	118	-	(62)	-	56
Transfer from Local Authority	22,816	-	(184)	-	22,632
Other transfers	61	-	(59)	104	106
	22,995	1,339	(553)	104	23,885
Total restricted funds	24,089	8,263	(7,461)	47	24,938
Total unrestricted funds	86	6	-	-	92
Total funds	24,175	8,269	(7,461)	47	25,030

The specific purposes for which the funds are to be applied are as follows:

Restricted general funds

All restricted funds are grants received from the Department for Education and the Local Authority for the purpose of running the academy. This also includes catering income received from pupils.

South Bank Academies
Notes to the Financial Statements
for the year ended 31 August 2018

16 Funds (continued)

Comparative information in respect of the preceeding period is as follows:

	Balance at 1 September 2016 £000	Incoming Resources £000	Resources Expended £000	Gains, Losses and Transfers £000	Balance at 31 August 2017 £000
Restricted general funds					
General Annual Grant (GAG)	458	3,787	(2,943)	(160)	1,142
Start-up grant	-	612	(612)	-	-
Other DfE grants	-	275	(275)	-	-
Other sources	89	229	(318)	-	-
Transfer from South Bank Engineering UTC	(18)	-	-	18	-
Pension reserve	(28)	-	(127)	107	(48)
	501	4,903	(4,275)	(35)	1,094
Restricted fixed asset funds					
Local authority capital grants	289	-	(171)	-	118
Transfer from Local Authority	23,000	-	(184)	-	22,816
Other transfers	15	-	(33)	79	61
	23,304	-	(388)	79	22,995
Total restricted funds	23,805	4,903	(4,663)	44	24,089
Total unrestricted funds	62	34	(10)	-	86
Total funds	23,867	4,937	(4,673)	44	24,175

South Bank Academies
Notes to the Financial Statements
for the year ended 31 August 2018

16 Funds (continued)

A current year 12 months and prior year 12 months combined position is as follows:

	Balance at 1 September 2016 £000	Incoming Resources £000	Resources Expended £000	Gains, Losses and Transfers £000	Balance at 31 August 2018 £000
Restricted general funds					
General Annual Grant (GAG)	458	9,550	(8,625)	(264)	1,119
Start-up grant	-	936	(936)	-	-
Other DfE grants	-	899	(899)	-	-
Other sources	89	442	(531)	-	-
Transfer from South Bank Engineering UTC	(18)	-	-	18	-
Pension reserve	(28)	-	(192)	154	(66)
	501	11,827	(11,183)	(92)	1,053
Restricted fixed asset funds					
ESFA capital grants	-	1,339	(248)	-	1,091
Local authority capital grants	289	-	(233)	-	56
Transfer from Local Authority	23,000	-	(368)	-	22,632
Other transfers	15	-	(92)	183	106
	23,304	1,339	(941)	183	23,885
Total restricted funds	23,805	13,166	(12,124)	91	24,938
Total unrestricted funds	62	40	(10)	-	92
Total funds	23,867	13,206	(12,134)	91	25,030

South Bank Academies
Notes to the Financial Statements
for the year ended 31 August 2018

16 Funds (continued)

Total funds analysis by academy

Fund balances at 31 August 2018 were:

	Total 2018 £000	Total 2017 £000
University Academy of Engineering South Bank	905	1,065
South Bank Engineering UTC	293	162
Central services	13	1
Total before fixed assets and pension reserve	1,211	1,228
Restricted fixed asset fund	23,885	22,995
Pension reserve	(66)	(48)
Total	25,030	24,175

Total cost analysis by academy

Expenditure incurred by each academy during the year was as follows:

	Teaching and Educational Support Staff Costs £000	Other Support Staff Costs £000	Educational Supplies £000	Other Costs (excluding depreciation) £000	Total £000
University Academy of Engineering South Bank	2,454	726	155	1,462	4,797
South Bank Engineering UTC	960	287	116	380	1,743
Central Services	-	241	4	123	368
Academy Trust	3,414	1,254	275	1,965	6,908

South Bank Academies
Notes to the Financial Statements
for the year ended 31 August 2018

17 Analysis of net assets between Funds

Fund balances at 31 August 2018 are represented by:

	Unrestricted Funds £000	Restricted General Funds £000	Restricted Fixed Asset Funds £000	Total Funds £000
Tangible fixed assets	-	-	23,720	23,720
Current assets	92	1,934	165	2,191
Current liabilities	-	(815)	-	(815)
Pension scheme liability	-	(66)	-	(66)
Total net assets	92	1,053	23,885	25,030

Comparative information in respect of the preceeding period is as follows:

	Unrestricted Funds £000	Restricted General Funds £000	Restricted Fixed Asset Funds £000	Total Funds £000
Tangible fixed assets	-	-	22,995	22,995
Current assets	86	2,371	-	2,457
Current liabilities	-	(1,229)	-	(1,229)
Pension scheme liability	-	(48)	-	(48)
Total net assets	86	1,094	22,995	24,175

South Bank Academies
Notes to the Financial Statements
for the year ended 31 August 2018

18 Reconciliation of Net Income to Net Cash Inflow from Operating Activities

	2018	2017
	£000	£000
Net income / (expenditure) for the reporting period	808	264
Adjusted for:		
Depreciation	553	263
Interest receivable	(2)	(2)
Defined benefit pension scheme cost less contributions payable	64	64
Defined benefit pension scheme finance cost	1	-
(Increase) / decrease in debtors	(432)	(93)
Increase / (decrease) in creditors	(414)	712
Net cash provided by operating activities	579	1,208

19 Cash flows from financing activities

	2018	2017
	£000	£000
Repayments of borrowing	-	-
Cash inflows from new borrowing	-	-
Net cash provided by / (used in) financing activities	-	-

20 Cash flows from investing activities

	2018	2017
	£000	£000
Dividends, interest and rents from investments	1	2
Purchase of tangible fixed assets	(1,278)	(158)
Net cash provided by / (used in) operating activities	(1,277)	(156)

21 Analysis of cash and cash equivalents

	At 31	At 31
	August	August
	2018	2017
	£000	£000
Cash in hand and at bank	1,542	2,240
Total cash and cash equivalents	1,542	2,240

South Bank Academies

Notes to the Financial Statements

for the year ended 31 August 2018

22 Members' Liability

Each member of the Charitable Company undertakes to contribute to the assets of the Company in the event of it being wound up while he/she is a member, or within one year after he/she ceases to be a member, such amount as may be required, not exceeding £10 for the debts and liabilities contracted before he/she ceases to be a member.

23 Pension and Similar Obligations

The trust's employees belong to three principal pension schemes: the Teachers' Pension Scheme England and Wales (TPS) for academic and related staff; and the two Local Government Pension Schemes (LGPS') for non-teaching staff, one managed by Southwark Council and one by Lambeth Council. All are multi-employer defined-benefit schemes.

The latest actuarial valuation of the TPS related to the period ended 31 March 2012 and of the LGPSs 31 March 2016.

Contributions amounting to £16,576 were payable to the schemes at 31 August 2018 (2017: £21,608) and are included within creditors.

Teachers' Pension Scheme Introduction

The Teachers' Pension Scheme (TPS) is a statutory, contributory, defined benefit scheme, governed by the Teachers' Pensions Regulations (2010) and, from 1 April 2014, by the Teachers' Pension Scheme Regulations 2014. Membership is automatic for full-time teachers in academies and, from 1 January 2007, automatic for teachers in part-time employment following appointment or a change of contract, although they are able to opt out.

The TPS is an unfunded scheme and members contribute on a 'pay as you go' basis – these contributions along with those made by employers are credited to the Exchequer. Retirement and other pension benefits are paid by public funds provided by Parliament.

Valuation of the Teachers' Pension Scheme

The Government Actuary, using normal actuarial principles, conducts a formal actuarial review of the TPS in accordance with the Public Service Pensions (Valuations and Employer Cost Cap) Directions 2014 published by HM Treasury. The aim of the review is to specify the level of future contributions. Actuarial scheme valuations are dependent on assumptions about the value of future costs, design of benefits and many other factors. The latest actuarial valuation of the TPS was carried out as at 31 March 2012 and in accordance with the Public Service Pensions (Valuations and Employer Cost Cap) Directions 2014. The valuation report was published by the Department for Education on 9 June 2014. The key elements of the valuation and:

- employer contribution rates set at 16.48% of pensionable pay (including a 0.08% employer administration charge).
- total scheme liabilities (pensions currently in payment and the estimated cost of future benefits) for service to the effective date of £191,500 million, and notional assets (estimated future contributions together with the notional investments held at the valuation date) of £176,600 million giving a notional past service deficit of £14,900 million.
- an employer cost cap of 10.9% of pensionable pay will be applied to future valuations.
- the assumed real rate of return of 3.0% in excess of prices and 2% in excess of earnings. The rate or real earnings growth is assumed to be 2.75%. The assumed normal rate of return is 5.06%.

South Bank Academies

Notes to the Financial Statements

for the year ended 31 August 2018

23 Pension and Similar Obligations (continued)

During the previous year the employer contribution rate was 14.1%. The TPS valuation for 2012 determined an employer rate of 16.4%, which was payable from September 2015. The next valuation of the TPS is currently underway based on April 2016 data, whereupon the employer contribution rate is expected to be reassessed and will be payable from 1 April 2019.

The employer's pension costs paid to TPS in the period amounted to £265,405 (2017: £183,791).

A copy of the valuation report and supporting documentation is on the Teachers' Pensions website.

Under the definitions set out in FRS 102, the TPS is a multi-employer pension scheme. The trust has accounted for its contributions to the scheme as if it were a defined contribution scheme. The trust has set out above the information available on the scheme.

Local Government Pension Scheme

The LGPS is a funded defined benefit pension scheme, with the assets held in separate trustee-administered funds. The total contribution made for the year ended 31 August 2018 was £146,000 (2017: £75,000), of which employer's contributions totalled £108,000 (2017: £57,000) and employees' contributions totalled £38,000 (2017: £18,000). The agreed contribution rates for future years are 14.5 per cent for employers and between 5.5 per cent and 7.5 per cent for employees.

Parliament has agreed, at the request of the Secretary of State for Education, to a guarantee that, in the event of an academy closure, outstanding Local Government Pension Scheme Liabilities would be met by the Department for Education. The guarantee came into force on 18 July 2013.

Principal Actuarial Assumptions	Lambeth At 31 August 2018	Southwark At 31 August 2018	Lambeth At 31 August 2017	Southwark At 31 August 2017
Rate of increase in salaries	2.70%	3.50%	2.80%	3.40%
Rate of increase for pensions in payment/inflation	2.30%	2.00%	2.40%	1.90%
Discount rate for scheme liabilities	2.80%	2.80%	2.50%	2.50%
Inflation assumption (CPI)	2.30%	2.00%	2.40%	1.90%

The current mortality assumptions include sufficient allowance for future improvements in mortality rates. The assumed life expectations on retirement age 65 are:

	Lambeth At 31 August 2018	Southwark At 31 August 2018	Lambeth At 31 August 2017	Southwark At 31 August 2017
<i>Retiring today</i>				
Males	21.6	22.5	21.6	22.5
Females	23.9	26.2	23.9	26.1
<i>Retiring in 20 years</i>				
Males	23.8	24.2	23.8	24.1
Females	26.0	28.0	26.0	27.9

South Bank Academies
Notes to the Financial Statements
for the year ended 31 August 2018

23 Pension and Similar Obligations (continued)

Sensitivity analysis

Approximate momentary increase to the obligation as a result of following changes in assumptions at 31 August 2018:

	At 31 August 2018	At 31 August 2017
Southwark		
0.1% increase in the salary increase rate	3.5	3.4
0.1% increase in the pension increase rate	2.0	1.9
0.1% decrease in the real discount rate	2.8	2.5
Lambeth		
0.5% increase in the salary increase rate	2.7	2.8
0.5% increase in the pension increase rate	2.3	2.7
0.5% decrease in the real discount rate	2.8	2.5

The trust's share of the assets in the scheme were:

	Fair Value at 31 August 2018 £000	Fair Value at 31 August 2017 £000
Equity instruments	185	81
Debt instruments	56	41
Property	43	21
Cash and other liquid assets	2	1
Total market value of assets	286	144

The actual return on scheme assets was £13,000 (2017: £2,000)

South Bank Academies
Notes to the Financial Statements
for the year ended 31 August 2018

23 Pension and Similar Obligations (continued)

Amounts recognised in the statement of financial activities	2018 £000	2017 £000
Current service cost	164	127
Interest income	(5)	(2)
Interest cost	6	2
Total amount recognised in the SOFA	165	127

Changes in the fair value of defined benefit organisations were as follows:	2018 £000	2017 £000
At 1 September	192	80
Current service cost	164	127
Interest cost	6	2
Employee contributions	30	20
Actuarial (gain) / loss	(38)	(35)
Benefits paid	(2)	(2)
At 31 August	352	192

Changes in the fair value of the Academy's share of scheme assets:	2018 £000	2017 £000
At 1 September	144	52
Interest income	5	2
Actuarial gain / (loss)	9	9
Employer contributions	100	63
Employee contributions	30	20
Benefits paid	(2)	(2)
At 31 August	286	144

Net movements in the defined benefit liability:	2018 £000	2017 £000
At 1 September	(48)	(28)
Current service cost	(164)	(127)
Finance cost	(1)	-
Employer contributions	100	63
Net actuarial gain / (loss)	47	44
Net pension liability	(66)	(48)

South Bank Academies

Notes to the Financial Statements

for the year ended 31 August 2018

24 Related Party Transactions

Owing to the nature of the Trust and the composition of the board of Trustees being drawn from local public and private sector organisations, transactions may take place with organisations in which the trust has an interest. All transactions involving such organisations are conducted at arm's length and in accordance with the trust's financial regulations and normal procurement procedures. The following related party transaction took place during the year ending 31 August 2018.

Five directors are full time salaried employees of LSBU including the current and previous CEO;

One director is a non-remunerated governor of LSBU;

The Trust has utilised the services of 2 employees from LSBU. The value of these services for the year were £91,648 (2017: £91,800)

The Trust received Governance services from LSBU. During the year £22,941 was invoiced, including services relating to the prior year, and £22,941 was owing to LSBU at year end, included in creditors.

A Director, Prof Dave Phoenix, is a member of the Science Museum Group. During the year the Trust paid this organisation £120 for a school trip.

Richard Flatman is a director of South Bank Enterprises Ltd. During the year, the Trust spent £11,662 for the provision of invigilators.

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	CONFIDENTIAL
Paper title:	Written resolution to reappoint Kingston Smith as External Auditors with delegation of remuneration to the Group Executive
Board/Committee:	South Bank Academies Board meeting
Date of meeting:	11 December 2018
Author(s):	Michael Broadway, Company Secretary South Bank Academies
Sponsor(s):	Richard Flatman, Interim Chair of the Board
Purpose:	For Approval
Recommendation:	The Board is requested to approve the written resolutions set out below regarding the reappointment and remuneration Kingston Smith as external auditors.

Executive Summary

The Board is requested to recommend to the members of the company the written resolutions set out below regarding the reappointment and remuneration of Kingston Smith as external auditors.

Company Number: 08589525

The Companies Act 2006

Ordinary Resolutions

of

**South Bank Academies
("the Company")**

(SBA)

Pursuant to Chapter 2 of Part 13 of the Companies Act 2006 (**Act**), the Trustees/directors of the Trust propose that the following resolutions (**Resolutions**) are passed as ordinary resolutions:

Ordinary Resolutions

1. That the Company reappoint Kingston Smith as auditors to hold office from the conclusion of this meeting until the conclusion of the next meeting at which accounts are approved by the directors, subject to any review by the Audit Committee.
2. That the Company delegate approval of the remuneration of the auditors, Kingston Smith, for the year ending 31 July 2019 to the Group Executive.

Agreement

The members of the Company who were entitled to vote on the Resolutions on xx December 2018 irrevocably agree to the Resolutions.

..... **Dated**.....

Richard Flatman

..... **Dated**.....

David Phoenix

..... **Dated**.....

James Stevenson, on behalf of London South Bank University

	CONFIDENTIAL
Paper title:	Policies Update
Board/Committee:	South Bank Academies Board
Date of meeting:	11 December 2018
Author(s):	Clym Cunnington, Trust Business Manager
Sponsor(s):	Nicole Louis, CEO
Purpose:	To Review
Recommendation:	To review the current status of the SBA Policies

Executive Summary

This summary is to update the Board of the status of the policies.

Status is as follows:

- It needs to be decided what policies are to be central at the Trust and which sit locally at the Schools.
- Sequencing and analysis of policies, and analysis of timing for policies needs to take place so that they are spaced throughout the year and raised for review and/or approval at the relevant Committee/Board.
- A general review has taken place but actual updates to a large number of policies are still in hand.
- Ownership of policy schedule is now agreed and this sits with the Trust Business Manager and the Trust Administration Officer.
- Policy schedule revised update timings are to be finalised.

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	CONFIDENTIAL
Paper title:	Risk Register Report and Template
Board/Committee:	South Bank Academies Board Meeting
Date of meeting:	11 December 2018
Author(s):	Clym Cunnington, Trust Business Manager
Sponsor(s):	Nicole Louis, South Bank Academies CEO
Purpose:	Note
Recommendation:	To note the proposed new risk registers template

Executive Summary

Risk registers give a detailed account of the approach and the procedures that the Trust and its Academies have in place to manage risk. The current MAT Risk Register format was evaluated and updated in November 2018. A proposal of redeveloping a new format has been proposed and accepted by the Audit Committee.

The changes to the current risks are:

- Nine Risk categories remain unchanged (GDPR compliance, Trust Governance, Adherence to Guidelines, Financial Performance, Staffing, Pupil Numbers, Safeguarding, Pupils and Reputation)
- Three Categories have seen an improvement (Finance Deadlines, Infrastructure and Reputation)
- One category has seen a minor downward change (Infrastructure – Assets)

The Risk Registers are now owned by the Trust Business Manager. Risk Registers for the UAE and the UTC are not attached as the ownership and updating of these Registers is with the Schools in conjunction with the Trust Business Manager. They will be reviewed in January 2019 in line with the discussions around introducing a new Risk Register format.

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South Bank Academies
Risk Register - MAT

Area	Risk	Impact description	Probability assessment	Impact assessment	Combined risk level	Mitigating actions	Residual Risk	Owner	Last reviewed	Date for next review	Status	Change	Previous Rating	Explanation of change
Compliance	Failure to meet new GDPR guidelines for storing and collating data in Trust and across schools.	Litigation, possible fines, loss to reputation.	2	3	6	Recruiting a Data protection officer in the UAE and the UTC to deliver appropriate training and ensure compliance. (external services).	3	Chair	N/A	Jan-19	Open	↓	↓	GDPR comes into effect. Schools need to adhere to compliance requirements.
Compliance	Inadequate challenge and ineffective local governance for Trust and Schools.	Failure to achieve mission and objectives of the Trust. Poor decision making and information flow. Risk of one establishment not following Trust procedures.	2	2	4	Introduction of new governance model following DFE feedback and in consultation with LGB and SBA boards.	1	Chair	Nov-18	Jan-19	Open	→	→	Current review of governance led by company secretary and CEO
Compliance	UKVI regulations not met	Loss of licence, fines and/or prosecution.	1	3	3	Audit completed and HR manager for the trust no in place. Ongoing monitoring of HR compliance	1	CEO	Nov-18	Jan-19	Open	↓	↓	Current review of governance led by company secretary and CEO
Compliance	Failure to comply with ESFA and DFE guidelines.	Notice given on non performance, litigation, possible fines, loss to reputation.	1	3	3	Timely audit. Preparation & submission of annual report. Quarterly internal audit. Financial training taken place and TBM in role from October	3	CEO	Nov-18	Jan-19	Open	→	→	Despite improvements in timescale and appointments no change as a result of findings.
Safeguarding	Failure of Safeguarding incident at any of the schools.	Risk to child/children, risk to reputation of Trust and/or schools, DFE and HSE intervention depending on seriousness of incident. Risk to Ofsted rating.	1	3	3	All schools employ the services of experienced staff with appropriate safeguarding qualifications. All staff and governors are given annual safeguarding and prevent training . All students and staff complete e-safety training and firewalls are in place to secure all ICT networks. Safeguarding regularly reviewed as part of governance. Safeguarding is review at local advisory boards and overseen by a link governor.	4	CEO	Nov-18	Jan-19	Open	→	→	Safeguarding governor recommended for main board.

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Finance	Failure to meet internal/external financial targets and deadlines.	Late submission of budgets/accounts to ESFA, possible litigation, possible fines.	2	3	6	Employment of agency worker (Accountant) to ensure correct budgeting/accounting takes place. Budget timetables agreed and set to run alongside LGB and Audit committee meetings for review of budgeting process. Also help given from LSBU finance department. TBM appointed and deadlines scheduled.	2	CEO/CFO	Nov-18	Jan-19	Open	↓	↓	Key personnel in place, management tools under review and correct process implemented.
Finance	Poor financial performance by one or more of the 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. Staff training also in place.	3	CEO/CFO	Nov-18	Jan-19	Open	→	→	No change as financial processes not embedded though now underway.
Staffing	Change in personnel affecting the running of the MAT.	Change destabilising the work with the schools, bringing confusion to the vision of the MAT,	1	3	3	Rigorous interview process, and working with LSBU teams such as governance and HR to ensure that the right person is in place. Internal supervisions to monitor performance. Strategy and structure meetings with principals and CFO.	2	CEO	Nov-18	Jan-19	Open	↓	↓	Appointment of Executive Principal (an Educator) and of a TBM.
Pupils (Numbers)	While overseeing student recruitment, failure to recruit target student numbers for both schools.	Reduction in pupil led income which could lead to cash flow or long term financial problems.	3	3	9	Careful budget setting, working on alternative scenarios for income, careful cost control, and budgeting to create surplus. Expansion strategy in place to change the	6	CEO/Principals	Nov-18	Jan-19	Open	→	→	Although not at rate first thought, UTC number growing. Expansion strategy in place with a change to the model.
Pupils	Poor student outcomes in one or both 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.	2	CEO/Principals	Nov-18	Jan-19	Open	→	→	Executive Principal now in charge of attainment and reporting. Link in place to oversee progress.

Infrastructure	Failure to carry out the correct audit/review procedures to ensure building, maintenance, health and safety regulations are upheld in both schools.	Requirements are not met, danger to staff and students, could lead to loss of reputation and litigation.	2	2	4	Suitable team in place with relevant skills. Clarification of roles and responsibilities. There is now delegated oversight from the MAT transition to a shared services model Teams from LSBU being brought in to help carry out audits/reviews. Scoping documents drafted/being drafted. Meetings with principals set up.	2	CEO/Principals/TBM	Nov-18	Jan-19	Open	→	↓	Not yet moved to a shared service model with the University. Risk is higher than previously reported.
Infrastructure	Failure to safeguard schools or assets from theft or damage.	Damage to building and assets. Health and safety risk to students and staff. Reputational damage and poor learning outcomes.	2	2	4	Adequate security systems and budgetary allowance for upkeep and maintenance. Asset registers at each establishment. Adequate insurance.	2	CEO/Principals/TBM	Nov-18	Jan-19	Open	↑	→	More accountability and training needed. Clear expectation of key personnel required with better control and oversight
Reputation	Failure to uphold the values and visions of the Trust for its schools through change in leadership.	The schools lose original focus, students do not achieve well, loss of unity across MAT, value for money on current equipment supplied becomes void.	1	2	3	Previous CEO offering support and advice during transitional leadership. Interim CEO developing vision and scope and management meetings held with acting CEO and principals of both schools to ensure smooth transition.	3	CEO	Nov-18	Jan-19	Open	↓	↓	Leadership structure now in place. Look to integrate with LSBU response handling and business continuity,

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

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

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South Bank Academies: Financial Risk Register

This is a proposed template of risk registers that is intended to be extended to include the Trust and its Academies

Risk No	Financial Risk	Likelihood H/M/L	Significance H/M/L	Key Controls	Assessment of Control Quality/ Action Needed	Person Responsible in School	Date for Next Review
1	<i>These areas of risk are a proposed starting point.</i> Overspend budget, caused by weak expenditure management			<i>These proposed controls are a template to build the specific controls for SBA from.</i> Annual budget/ Regular financial reporting/ Strong strategic plan of action/ Auditors			
2	Overspend budget, caused by poor budgeting						
3	Received less income than budgeted, caused by poor budgeting						
4	Overspend on capital schemes			Asset Management Plans, Regular monitoring by Finance and ABM and introduction of control documents by the Governing Body. Improved Tender process with governors' oversight.			
5	Short term cash shortages			School currently has a strong cash flow surplus position for 17-18. Suitable level of reserves in place.			
6	Long term cash shortages – insufficient reserves			Funds now separated out into restricted and unrestricted. Restricted funds have a surplus while unrestricted funds of £250k are now in a separate business account.			
7	Improper or irregular use of funds			Scheme of delegation in place. Internal Controls subject to regular scrutiny by auditors performing regular internal audits. Expenditure authorisation process clear. AO and CFO familiar with AFH and updates.			
8	Errors in accounts caused by inadequately skilled or inexperienced finance staff			Experienced, stable Finance Team with proven qualifications and experience in place.			
9	Loss caused by lack of security over assets including cash			CFO reports to Finance and General Purposes Committee on annual inventory check. Improved processes and paperwork in place for financial and booking reconciliations. Replaced card payment machine.			

10	Fraudulent payments to suppliers			Annual review of effectiveness of internal controls. Expenditure authorisation procedures Systems under constant review by UHY/CFO			
11	Fraudulent payments to staff			Robust procedures for monthly payroll sign off Personnel establishment under regular review			
12	Insufficient insurance cover			Annual review of insurance arrangements by CFO and Finance and General Purposes Committee			
13	Failure to ensure that the income due to the school is collected in a timely and efficient manner and fully reconciled as per financial regulations			Month end reporting reviews income and ensure it is at the correct level. This is checked off against the GAG Income payment schedule to ensure all income is received. Aged debtors are sent statement reminders while all income is cross referenced on the cash flow. Business Manager monitors all income regularly reconciling it to invoices and remittance advices. Sports Hall income is closely monitored with extensive paperwork.			
14	Failure to ensure that Goods and Services are purchased in line with Financial Regulations and that Suppliers are paid in a timely and efficient manner			Monthly Creditor Control, Monthly reports from the School, Financial regulations awareness, Internal Controls operated by the School, BACS Payment system used by the School, Effective Internal and External Audit			
15	Failure to ensure that a comprehensive, up-to-date list of Suppliers to the School is maintained			<ul style="list-style-type: none"> • Financial Regulations awareness • Internal Controls operated by the School Finance Team • Effective Internal and External Audit 			

South Bank Academies: Strategic and Reputational Risks

Risk No	Risk Description	Risk Consequences	Likelihood H/M/L	Risk H/M/L	Existing Internal Controls and Evidence	Assessment of Control Quality/ Action Needed	Person Responsible	Date for Next Review
1	Failure of the School to recruit sufficient learners to make it viable	<ul style="list-style-type: none"> • Significant financial risk • Risk that the confidence of stakeholders is diminished 			<ul style="list-style-type: none"> • Admissions Policy • Parent/Carer Communication • Marketing Strategy • Effective Networking 			
2	Failure to ensure that the objectives of the School are met	<ul style="list-style-type: none"> • Risk that the School fails to operate within the strategic objectives agreed by the Governing Body • Risk that the School's strategic objectives become out of date or no longer appropriate • Risk that the School receives an unfavourable Ofsted Report • Risk that the objectives of the School are seen as controversial 			<ul style="list-style-type: none"> • Experienced Senior Leadership Team • HT performance management with external HT • Active and experienced Trustees and Governing Body • Stakeholders who take an active role in the operation of the School • Regular HT and Operations Meetings • External Advisors • Ofsted Action Plan • T&L focus of Governors • HT Report • Data Harvest 			
3	Failure to monitor and react accordingly to the requirement of our stakeholders	<ul style="list-style-type: none"> • Risk that stakeholders and beneficiaries do not consider the School service to be valuable and high quality 			<ul style="list-style-type: none"> • Reports to Trustees • Reports to School Governing Body • Parent/Carer Communication • School Council • Open Day Questionnaires • Parent, Student, Staff surveys. 			

Risk No	Risk Description	Risk Consequences	Likelihood H/M/L	Risk H/M/L	Existing Internal Controls and Evidence	Assessment of Control Quality/ Action Needed	Person Responsible in School	Date for Next Review
4	Failure to monitor and react accordingly to the risks associated with competitor establishments	<ul style="list-style-type: none"> Risk that competitors make a more attractive offer to stakeholders Risk that stakeholders fail to differentiate between the School and its competitors Risk of competition or the same share of the market 			<ul style="list-style-type: none"> Marketing Strategy Effective Networking Designated Assistant Headteacher with responsibility for Community Post 16 Investments and Improvements Post 16 SDP Strong Family Links to the School 			
5	Failure to assess and review alliances and partnerships with other organisations	<ul style="list-style-type: none"> Risk that an alliance or partnership is no longer appropriate Risk to the integrity of the School 			<ul style="list-style-type: none"> Networking Visits to other schools Headteacher Meetings Schools' Forum 			
Page 204	Failure to ensure Information technology in the School is maintained to the highest standard	<ul style="list-style-type: none"> 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 			<ul style="list-style-type: none"> IT Support Contracts IT Strategy Access to School IT staff and Policies Ongoing review of major incidents EG Malware Outsourcing of Risk to external platforms eg SCOMIS Safeguarding Meetings 			

Risk No	Risk Description	Risk Consequences	Likelihood H/M/L	Risk H/M/L	Existing Internal Controls and Evidence	Assessment of Control Quality/ Action Needed	Person Responsible in School	Date for Next Review
7	Failure to monitor the effect of risks over which the School has little or no control such as economic or natural disaster	<ul style="list-style-type: none"> Financial risk Risk of litigation Reputational risk 			<ul style="list-style-type: none"> Part of School Insurance Review process organised by Business Manager Fixtures, Fittings, Employer, Public Liability held by the School Disaster Recovery Plan ICT Disaster Recovery Plan Temporary building replacement scheme with insurers (Zurich). PREVENT strategy used in School Medical Reviews PHSE program in school. 			
8	Failure of the School to recruit Governors who have the appropriate profile	<ul style="list-style-type: none"> Risk that a Governor could attract negative publicity Risk that stakeholders view Governors merely as extension of SLT Risk that stakeholders lose confidence in the Governing Body 			<ul style="list-style-type: none"> Governor Training and Induction Formal Application process Regular Governors' skills audit. Induction and recruitment process 			
9	Failure of the School to produce open and regular management accounts	<ul style="list-style-type: none"> School receives a set of Unqualified Accounts from its Annual Audit. Fines from the EFSA Potential Financial Notice to Improve issues from EFSA. 			<ul style="list-style-type: none"> Monthly Management Accounts Budget Monitoring Reports to SLT and Governing Body Awareness of Financial Regulations Effective Internal and External Audit 			
10	Failure of the School to have Financial Management systems to prevent fraud	<ul style="list-style-type: none"> Financial risk Risk of litigation Reputational risk Risk to the future of the School 			<ul style="list-style-type: none"> Monthly Management Accounts Internal Controls Daily reconciliations for real time data. Read only online banking to all finance staff. 			

					<ul style="list-style-type: none"> • Review of monthly accounts by Chair of FGP. • Robust financial policies and procedures • Robust organisational Monthly HT/AO month-end review. 			
11	Failure to comply with legislative requirements	<ul style="list-style-type: none"> • Financial risk • Reputational risk • Risk of litigation • Risk of poor morale affecting staff and stakeholders • Risk to the future of the School 			<ul style="list-style-type: none"> • Clear policies disseminated to staff • Risk Assessment process • Health and Safety Policy • Guidance on Data Protection 			
12	Failure of the Academy and the Governing Body to ensure that the School has a robust organisational approach in place to deliver governance of the School	<ul style="list-style-type: none"> • Risk that Committees fail to operate effectively • Risk that Committee delegation is poor • Risk that the Governing Body does not delegate or delegates too much to the Headteacher or SLT • Risk that the Terms of Reference are inadequate and/or unfit for purpose 			<ul style="list-style-type: none"> • Governor Training and Induction • Register of Governor interests • Minutes of Governing Body Meetings • approach. • Financial Regulations • Effective Internal and External Audit • Annual governors' review and Terms of Reference. 			
13	Failure of the Academy and the Governing Body to have procedures in place to cover the absence of the Headteacher or other members of SLT	<ul style="list-style-type: none"> • Financial risk • Reputational risk • Risk of poor morale affecting staff and stakeholders • Risk to the day-to-day operation of the School 			<ul style="list-style-type: none"> • Clear guidance on senior staff roles • Clear cover arrangements • Active Governing Body membership • Access to SLT for guidance and support • External Advisors Browne Jacobson 			

South Bank Academies: Operational Risks

Risk No	Risk Description	Risk Consequences	Likelihood H/M/L	Risk H/M/L	Existing Internal Controls and Evidence	Assessment of Control Quality/ Action Needed	Person Responsible in School	Date for Next Review
1	Failure to ensure that the quality of Management Information produced by the School is of a high quality, timely and aids decision making.	<ul style="list-style-type: none"> • Risk that the financial and non-financial performance of the School cannot be managed or reviewed by SLT • Risk that the financial and non-financial performance of the School cannot be challenged or reviewed by the Trust or Governing Body • Risk to the School of receiving poor audits and inspections 			<ul style="list-style-type: none"> • Regular reporting and review of performance against targets for recruitment • SIP and Self Evaluation. • Trustee and Governing Body Reports and Minutes • Support from the School's Administration Team • Outsourced data platforms eg ALPS/4Matrix/SISRA • Addition of a New Data Assistant in 2017 to staff structure. 			

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Risk No	Risk Description	Risk Consequences	Likelihood H/M/L	Risk H/M/L	Existing Internal Controls and Evidence	Assessment of Control Quality/ Action Needed	Person Responsible in School	Date for Next Review
2	Failure to ensure that the quantity of Management Information produced by the School is good enough to aid decision making	<ul style="list-style-type: none"> • Risk that SLT cannot take informed decisions • Risk that the Governing Body cannot make informed strategic decisions 			<ul style="list-style-type: none"> • Regular reporting and review of performance against targets for recruitment • SLT Review process • Trustee and Governing Body Reports and Minutes 			

Risk No	Risk Description	Risk Consequences	Likelihood H/M/L	Risk H/M/L	Existing Internal Controls and Evidence	Assessment of Control Quality/ Action Needed	Person Responsible in School	Date for Next Review
		<ul style="list-style-type: none"> Risk that the Governing Body has no financial expertise Risk that individual Governors play a 'passive' role on the Governing Body 						
5	Failure to ensure the Managers of the School possess the skills and experience required to manage the School	<ul style="list-style-type: none"> Risk that Leadership does not have the capability or experience within the sector Risk that SLT do not have the integrity required Risk that succession planning is ignored Risk that too much emphasis is placed on entrepreneurial work and the strategic objectives of the School ignored 			<ul style="list-style-type: none"> School Recruitment and Selection Policy and Procedures Continuing Professional Development Appraisal Staff Development Strategy EFA Handbook School Policies 			
6	Staff recruited to the School have the required skills and expertise to meet the strategic objectives of the School	<ul style="list-style-type: none"> Risk to staff and stakeholders of low morale Risk of poor recruitment of learners to the School 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 			<ul style="list-style-type: none"> School Recruitment and Selection Policy and Procedures Active Senior Team Membership Continuing Professional Development Active Governing Body membership Staff Development Strategy 			

Risk No	Risk Description	Risk Consequences	Likelihood H/M/L	Risk H/M/L	Existing Internal Controls and Evidence	Assessment of Control Quality/ Action Needed	Person Responsible in School	Date for Next Review
		<ul style="list-style-type: none"> Financial risk Risk of litigation Risk to the achievement of the School's strategic objectives 						
9	Failure to implement a Risk Management Strategy	<ul style="list-style-type: none"> Failure to optimise educational opportunities Non-compliance with EFA requirements Exposure of the School to unnecessary risk Increased costs, eg insurance 			<ul style="list-style-type: none"> Risk Strategy Risk register and Action Plans Risk Management group Governing Body reporting mechanisms 			

South Bank Academies: Compliance Risks

Risk No	Risk Description	Risk Consequences	Likelihood H/M/L	Risk H/M/L	Existing Internal Controls and Evidence	Assessment of Control Quality/ Action Needed	Person Responsible in School	Date for Next Review
1	Failure to ensure the School complies with employee legislation	<ul style="list-style-type: none"> • Risk that legislative requirements are not known or complied with • Risk that Equal Opportunities legislation may not be complied with or discrimination in the work place may occur • Risk that Data Protection legislation may not be complied with • Risk that Human Rights legislation will not be complied with • Risk that employee contract legislation may not be complied with • Risk that employee Pension legislative requirements are not known or complied with • Risk that Health and Safety legislative requirements are not known or complied with • Fines for not ensuring right to work in the UK 			<ul style="list-style-type: none"> • Support of HR Advice and the associated policies and procedures • Support of school Data Protection Officer and supporting policy and procedure • Health and Safety Policy • First Aid Policy • Fire Safety Policy • Support from the School's external Health and Safety Officer • External Advisors – Browne Jacobson • Safeguarding policy 			
2	Failure to ensure the School complies with environmental legislation	<ul style="list-style-type: none"> • Risk that UK legislative requirements are not known or complied with • Risk that EU legislative requirements are not known or complied with • 			<ul style="list-style-type: none"> • Reporting to SLT and Governing Body • Utilisation of School Sustainability Policies [as Landlord of building] • Support of the School Site Manager • Monthly Management Accounts • Reports to Finance and General Purposes 			

					<ul style="list-style-type: none"> Committee and the Governing Body Budget monitoring Awareness of Financial Regulations and AFH Effective External Audit 3 year financial forecasts Support from the Responsible Officer Recycling program both teachers and students. IT disposal policy Members of LBH carbon monitoring program 			
3	Failure to ensure the Financial reporting requirements of the School are met	<ul style="list-style-type: none"> Risk that the legislative requirements relating to the production and reporting of the Statutory Accounts are not known or complied with Risk that the legislative requirements relating to Accounting Standards are not known or complied with Risk that the Charities Statement of Recommended Practice [SORP] legislative requirements are not known or complied with 			<ul style="list-style-type: none"> Monthly Management Accounts Reports to Finance and General Purposes Committee and the Governing Body Budget monitoring Awareness of Financial Regulations and AFH Effective External Audit 5 year financial forecasts Support from the UHY internal Audit Governors Annual Audit against financial handbook. Governors Control document. 			
4	Failure to ensure that up-to-date information regarding the legislation relating to charities is maintained and kept updated by School Business Manager	<ul style="list-style-type: none"> Risk that legislative requirements are not known or complied with Financial risk Risk that the Governing Body are not aware of their legislative obligations 			<ul style="list-style-type: none"> Independent Clerk to the Governing Body Networking Groups EFA Updates School website Professional bodies, The Key UHY Internal and External Auditors 			
5	Failure to ensure that the School	<ul style="list-style-type: none"> Risk that the legislative 			<ul style="list-style-type: none"> Support from School 			

	complies with Tax legislation	<p>requirements relating to VAT, PAYE, National Insurance etc are not known or complied with</p> <ul style="list-style-type: none"> • Financial risk • Litigation risk 			<p>Payroll Provider and the associated policies</p> <ul style="list-style-type: none"> • UHY Auditors – internal and external 			
6	Failure to ensure that the School ensures that Data Protection systems, procedures and processes are adequate	<ul style="list-style-type: none"> • Risk that the legislative requirements relating to the protection of data are known and complied with • Financial risk • Litigation risk 			<ul style="list-style-type: none"> • Support of School Data Protection Officer and supporting policy and procedure • Data Manager recruited and introduction of new Data Officer Post • Archive and storage recently over hauled and moved to more secure area. • 			
7	Failure to ensure that the School is compliant in respect of Welfare issues	<ul style="list-style-type: none"> • 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 			<ul style="list-style-type: none"> • 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 Governing Body • Safeguarding Officer and ongoing training. • RESPECT procedures • EpiPen Training • Attendance Review 			

Risk No	Risk Description	Risk Consequences	Likelihood H/M/L	Risk H/M/L	Existing Internal Controls and Evidence	Assessment of Control Quality/ Action Needed	Person Responsible in School	Date for Next Review
8	Failure to ensure that the school is compliant in respect of the requirements of the school sector	<ul style="list-style-type: none"> • 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 			<ul style="list-style-type: none"> • Reporting mechanisms to the Governing Body • Government Website and advice • External website subscriptions – The Key • Exam entries • Subscriptions to professional bodies. • Curriculum leaders meeting and regular reviews. 			
9	Failure to ensure that the School is compliant in respect of the requirements of the Government and other relevant Authorities	<ul style="list-style-type: none"> • 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 • 			<ul style="list-style-type: none"> • Reports to SLT and the Governing Body • Ofsted Inspections • Internal and External Audit • Networking • Visits to other schools • Headteachers' Meetings • External subscriptions – The Key (Schools and Governors) 			

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Summary of SAB meetings

South Bank Engineering UTC SAB – 7 Nov 2018

The SAB discussed:

- Principal's report. On preparation for Ofsted visit and readiness, the Principal confirmed that a lot of work has gone into the preparation. The Principal provided a list of documents for the governors to read to prepare themselves for Ofsted visit, and these documents have been circulated.
- Self-evaluation form 2018/19.
- Exam results. The Principal confirmed that he had met with his senior leadership team to review the results.
- Principal's objectives 2018/19, which had been prepared with input from the School Improvement Advisor (Lambeth).
- School Improvement Plan. The Principal confirmed that this is still being developed, following detailed discussion at the last SAB meeting.
- Review of parent, staff and pupil survey results. The Principal confirmed that there was a low parent participation in the survey. The SAB requested the Principal to encourage higher participation.

University Academy of Engineering SAB – 29 Nov 2018

The SAB discussed:

- The Self-evaluation form 2017/18. The Principal confirmed that the school improvement advisor provided input in developing the SEF. The SAB confirmed that the SEF is good and comprehensive.
- The School Development Plan. The SAB agreed to read the SDP and prepare some questions for the Principal at the next SAB meeting on 31 January 2019.
- The sex and relationship education, policy and practice. This is new and the school started this because they realised gaps in the students' knowledge in these areas. The Principal confirmed that the policy is still being developed and will bring it back to the SAB when it is completed.
- The career advice, information and guidance plan.
- Student attendance. The SAB noted the presentation. The SAB noted that one of the staff at the UAE is being trained to take over from the external Education welfare officer, which costs the school around £12k per year.
- The recommendation on appropriate attainment and progress targets for KS4 and KS5 2019 outcomes. The SAB noted that this is same as in the Principal's appraisal and SDP. The SAB noted that the targets are set against National average and Southwark average.

SBA Audit Committee – 27 November 2018

The committee discussed:

- The external audit findings. The committee noted the external audit findings (in the board papers).
- The going concern statement which was approved.

- The system of internal control report.
- The risk register and proposed new template. The committee reviewed the current risk registers and approved the new template.

The committee noted:

- The annual value for money statement. The Trust Business Manager confirmed that the Trust is getting value for money across the Trust schools.
- The land valuation update. The Trust Business Manager confirmed that LSBU is still in the process of looking at the valuation of the UTC premises. The plan is to do this in early January 2019 and will update the Audit committee at its next meeting in March 2019.
- The external audit letter of representation, reviewed and recommended approval to the Board.
- The annual report and accounts for the year ending 31 August 2018, reviewed and recommended approval to the Board, subject to amendments.
- The audit of personnel files and report findings. The committee was briefed on the gaps identified in the HR processes and systems and the steps being taken to address these gaps.
- The anti-fraud, bribery and corruption report. The committee noted that there has been no identified attempted fraud or reported incidents of bribery or corruption since the last Audit committee meeting in July 2018.
- The Speak up report. The committee noted that there have been no reports made in-line with the Speak up policy since the last Audit committee meeting in July 2018.

	CONFIDENTIAL
Paper title:	Annual Conflicts of Interest Declarations
Board/Committee:	South Bank Academies Board
Date:	11 December 2018
Author:	Michael Broadway, Company Secretary
Purpose:	To authorise declared interests of company directors and members of the executive.
Recommendation:	The Board is requested to authorise the directors' interests.

Executive summary

1. Under the Companies Act 2006, directors have a duty to avoid a "situation" in which they have, or can have, a direct or indirect interest that conflicts, or possibly may conflict, with the interests of South Bank Academies, unless this has previously been authorised by the Board. Following a declaration process during October 2017, the Register of Interests has been updated and is attached. Declarations have been made by directors and members of SBA executive. Additions and amendments to the register are in italics.
2. The Board is requested to review existing interests and authorise new interests. Please note, that any new interests or changes to the authorised interests will need to be approved by unconflicted members of the Board. This means that directors must not participate in the authorisation of their own interests.
3. When authorising interests, unconflicted directors will need to consider whether to attach any conditions to the authorisation, for instance to not disclose confidential SBA information.
4. Directors will continue to have a duty to inform the Company Secretary if their interests change throughout the year.
5. Directors will also continue to have a duty to declare any conflicts of interest in items on the agenda at each meeting.
6. The Board is requested to authorise the declared situational conflicts of directors and members of the executive.

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South Bank Academies Register of Interests 2018-19

DIRECTORS/GOVERNORS

Professor David Phoenix					
Organisation with which connected	Sector	Relationship with organisation	As of date	Notes	Authorised by Board
Higher Education Funding for England (HEFCE)	Higher Education	Teaching & Quality Committee	2013		12 July 2016
Government Equalities Office	Government	Ambassador	2010		12 July 2016
National Centre for Universities and Business	Membership Organisation	Board Member	2015		12 July 2016
Museum of Science and Industry	Educational Charity	Board Member	2015		12 July 2016
MillionPlus	Think tank	Executive Member and Chair	2014		12 July 2016
Kings College	Higher Education	Visiting Professor	2010		12 July 2016
Sichuan University	Higher Education	Visiting Professor	2010		12 July 2016
University of Central Lancashire	Higher Education	Visiting Professor	2014		12 July 2016
British University in Egypt Board	Higher Education	Trustee	2013		12 July 2016
Science Museum Group Board	Educational Charity	Trustee	2015		12 July 2016

Diana Lesley Morrison					
Organisation with which connected	Sector	Relationship with organisation	As of date	Notes	Authorised by Board
None					
James Stevenson					
Organisation with which connected	Sector	Relationship with organisation	As of date	Notes	Authorised by Board
London South Bank University	Higher Education	University Secretary & Clerk to the Board / member of the Executive	2009		12 July 2016
Anthony Giddings					
Organisation with which connected	Sector	Relationship with organisation	As of date	Notes	Authorised by Board
Clarke	M & E Contracting	Non-Executive Director	2014		14 September 2016
Craigewan	Property Development	Non-Executive Director	2016		14 September 2016
Crash	Charity for Homeless and Hospices	Trustee	2014		14 September 2016
Douglas Denham St Pinnock					
Organisation with which connected	Sector	Relationship with organisation	As of date	Notes	Authorised by Board
Owengate Capital Ltd	Financial trading	Owner/director (paid)	1988		14/09/2016
Owengate Ltd	Financial trading	Owner/director	Pre 1995	Dormant Company	14/09/2016

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Council for the Defence of British Universities	Higher Education	Member	2012		14/09/2016
Owengate Green Technology Ltd	Licensing, financing, manufacturing & maintaining green technology	Owner/director	July 2015	Dormant Company	14/09/2016
Nanogentech Limited	Licensing, financing, manufacturing & maintaining green technology	Owner/director	July 2015		14/09/2016
AqSorp Ltd	Licensing, financing, manufacturing & maintaining green technology	Owner/director	July 2015	Dormant Company	14/09/2016
London South Bank University	Higher Education	Vice Chair & Pro Chancellor of LSBU	1 st June 2016		7/12/2017
West Hoathly Parish Council	Local Authority	Member	July 2016		7/12/2017
Zoe Mackey, Senior HE Policy Advisor, Quality Assessment, HEFCE. (Transferring to the OFS from HEFCE on 1st April 2018 when the OFS replaces HEFCE.)	HE regulator	Son's partner			7/12/2017
Richard Flatman					
Organisation with which connected	Sector	Relationship with organisation	As of date	Notes	Authorised by Board
South Bank University Enterprises Ltd	Commercial arm of LSBU	Director	2002		12 July 2016
London South Bank University	Higher Education	Chief Financial Officer	18 Nov 2002		12 July 2016
SW London & St. George's Mental Health NHS Trust	NHS Trust	NED & Chair of Audit Committee	1/04/2016		12 July 2016

Clym Cunnington					
Organisation with which connected	Sector	Relationship with organisation	As of date	Notes	Authorised by Board
None					