

| FINANCE & AUDIT COMMITTEE REPORTS                 |                                                                |                   |                 |                        |                 |    |
|---------------------------------------------------|----------------------------------------------------------------|-------------------|-----------------|------------------------|-----------------|----|
| From                                              | Period start date                                              |                   |                 | To                     | Period end date |    |
|                                                   | 27                                                             | 08                | 2020            |                        | 22              | 10 |
| <b>Overview of Charity's key details</b>          |                                                                |                   |                 |                        |                 |    |
| <b>Charity name:</b>                              | The University of Bath Students' Union                         |                   |                 |                        |                 |    |
| <b>Other names:</b>                               | The SU                                                         |                   |                 |                        |                 |    |
| <b>Charity number:</b>                            | 1143154                                                        |                   |                 |                        |                 |    |
| <b>Charity address:</b>                           | The SU Bath, University of Bath, Claverton Down, Bath, BA2 7AY |                   |                 |                        |                 |    |
| <b>Governing document:</b>                        | Articles of Association                                        |                   |                 |                        |                 |    |
| <b>Constitution:</b>                              | Unincorporated association                                     |                   |                 |                        |                 |    |
| <b>Details of Charity's professional services</b> |                                                                |                   |                 |                        |                 |    |
| <b>Bank name:</b>                                 | National Westminster Bank Plc                                  |                   |                 |                        |                 |    |
| <b>Bank address:</b>                              | 39 Milsom Street, Bath, BA1 1DS                                |                   |                 |                        |                 |    |
| <b>Auditor name:</b>                              | RSM UK Audit LLP                                               |                   |                 |                        |                 |    |
| <b>Auditor address:</b>                           | Hartwell House, 55 – 61 Victoria Street, Bristol, BS1 6AD      |                   |                 |                        |                 |    |
| <b>Committee Membership</b>                       |                                                                |                   |                 |                        |                 |    |
| <b>Trustee name</b>                               | <b>Office</b>                                                  | <b>Start date</b> | <b>End date</b> | <b>Appointment</b>     |                 |    |
| Francesco Masala                                  | President                                                      | 02/07/2019        | 02/07/2021      | Elected by Members     |                 |    |
| Tom Sawko                                         | Sport Officer                                                  | 02/07/2019        | 02/07/2021      | Elected by Members     |                 |    |
| Rob Clay                                          | Independent Trustee                                            | 12/10/2015        | 12/10/2021      | Appointed by the Board |                 |    |
| Jordan Kenny                                      | Independent Trustee                                            | 19/12/2019        | 19/12/2022      | Appointed by the Board |                 |    |
| Valerie Copenhagen                                | Independent Trustee                                            | 19/12/2019        | 19/12/2022      | Appointed by the Board |                 |    |
| Kate Aldridge                                     | Independent Trustee                                            | 19/12/2019        | 19/12/2022      | Appointed by the Board |                 |    |

| Content                                                                       | Report Number |
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| <a href="#">Report on minutes of the previous meeting and actions arising</a> | R1            |
| <a href="#">Report on finance and audit</a>                                   | R2            |
| <a href="#">Report on risk management</a>                                     | R3            |

**PURPOSE**

To:

- approve the minutes of the previous meeting;
- inform Trustees of the outcome of actions arising from that meeting;
- note any decision that have been made since without a meeting.

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Pages 2-4: Appendix 1: minutes

**REPORT****1. MINUTES OF THE PREVIOUS MEETING**

- 1.1. The minutes of the previous meeting are attached as appendix 1 and require approval before being signed by the Chair.
- 1.2. If any Trustees have any amendments can they please email these to the secretary before the meeting. Any amendments made will be noted at the meeting.

**2. OUTCOME OF ACTIONS ARISING FROM THE LAST MEETING**

- 2.1. The Head of Finance to check what the impact of the proposed change to the limit authorisation would have been on last year's asset register.
- 2.2. The Head of Finance/Chief Executive have prepared a budget plan for the committee to consider at this upcoming meeting.
- 2.3. The work to identify charity grants to apply for to help support The SU through the pandemic is currently ongoing with Head of Finance, Sport Officer and Valerie Copenhagen.
- 2.4. The Chief Executive to draft communications to go out to key stakeholders communicating SU priorities for during the pandemic.

**3. DECISIONS MADE WITHOUT A MEETING**

- 3.1. No decisions have been made by the Trustees without a meeting since they last formally met.

**ACTIONS**

4. Trustees are asked to note the report.

|                 |                                                         |                                                          |
|-----------------|---------------------------------------------------------|----------------------------------------------------------|
| <b>CONTACT:</b> | Gregory Noakes (Governance & Executive Support Manager) | Telephone: 01225 386362<br>E-Mail: g.d.noakes@bath.ac.uk |
|-----------------|---------------------------------------------------------|----------------------------------------------------------|

## APPENDIX 1: Finance &amp; Audit Committee minutes

|                       |                                                                                                                                                              |               |                 |
|-----------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|-----------------|
| Meeting:              | <b>Finance &amp; Audit Committee</b>                                                                                                                         |               |                 |
| Location:             | <b>Microsoft Teams Meeting</b>                                                                                                                               |               |                 |
| Date & Time:          | <b>Thursday 27<sup>th</sup> August 2020 at 9am</b>                                                                                                           |               |                 |
| <b>Present:</b>       |                                                                                                                                                              |               |                 |
| Tom Sawko             | Sport Officer ( <i>Chair</i> )                                                                                                                               |               |                 |
| Jordan Kenny          | Independent Trustee                                                                                                                                          |               |                 |
| Katie Aldridge        | Independent Trustee                                                                                                                                          |               |                 |
| Rob Clay              | Independent Trustee                                                                                                                                          |               |                 |
| Valerie Copenhagen    | Independent Trustee                                                                                                                                          |               |                 |
| <b>In attendance:</b> |                                                                                                                                                              |               |                 |
| Gregory Noakes        | Governance & Executive Support Manager ( <i>Secretary</i> )                                                                                                  |               |                 |
| Helen McHenry         | Head of Finance                                                                                                                                              |               |                 |
| Andrew McLaughlin     | Chief Executive                                                                                                                                              |               |                 |
| Item                  |                                                                                                                                                              |               |                 |
| 1.                    | <b>Apologies for absence</b>                                                                                                                                 |               |                 |
|                       | <b>Name</b>                                                                                                                                                  | <b>Reason</b> | <b>Accepted</b> |
|                       | Francesco Masala                                                                                                                                             | Annual Leave  | Yes             |
| 2.                    | <b>Notice of any other business</b>                                                                                                                          |               |                 |
|                       | No items were identified for discussion under any other business.                                                                                            |               |                 |
| 3.                    | <b>Declaration of conflict of interest</b>                                                                                                                   |               |                 |
|                       | No conflicts of interests were declared in any items on the agenda.                                                                                          |               |                 |
| 4.                    | <b>Minutes of the previous meeting and matters arising</b>                                                                                                   |               |                 |
|                       | The Committee received a report on the minutes of the previous meeting and matters arising ( <i>See R1 of the Committee reports</i> ).                       |               |                 |
|                       | They approved the previous minutes for the Chair to sign and noted that the following matters were still to be actioned:                                     |               |                 |
|                       | <b>ACTION: The Head of Finance to check what the impact of the proposed change to the limit authorisation would have been on last year's asset register.</b> |               |                 |
| 5.                    | <b>Finance &amp; Audit</b>                                                                                                                                   |               |                 |
|                       | The Committee received a report on finance and audit matters ( <i>see R2 of the Committee reports</i> ).                                                     |               |                 |
|                       | <b>QUESTION:</b> A Trustee asked how much reserves did The SU have at the start of the year.                                                                 |               |                 |
|                       | <b>ANSWER:</b> The Head of Finance reported that The SU had begun the year with £430,000 in the reserves.                                                    |               |                 |
|                       | <b>(Valerie Copenhagen joined the meeting at this point)</b>                                                                                                 |               |                 |

**QUESTION:** A Trustee asked if using the reserves to support operating costs would be considered a reasonable use of the reserves.

**ANSWER:** A Trustee explained that one of the primary reasons for having reserves was to provide The SU with an emergency fund to support it during times of financial difficulties.

The Committee discussed the likelihood of Scenario Two occurring and concluded that activities such as club nights would be unlikely to resume until September 2021. While it was possible that restrictions might be lifted sooner plans should not rely on this. Instead plans should identify decisions that could be taken in-year to make further crucial savings if needed.

The Chief Executive advised that students will be expecting to have activities and if these are not available they will likely self-organise these increasing the risk of transmission. In the event of a local lockdown the impact to the budget will likely be more severe as there will be no furlough scheme to support staffing costs.

The Committee agreed that The SU should plan for a maximum -£150,000 deficit budget, but wherever possible actions should be taken in-year to reduce this further. This will ensure that there are still reserves for next year where further actions may be necessary depending on what the situation is with COVID-19. In order to achieve this deficit budget it will be necessary for additional savings to be identified by senior management and applied top down in the event that actual circumstances turn out closer to Scenario Two than Scenario One. These savings should be identified now and, as far as possible, we should also identify decision points where each saving would need to be enacted in order to stay within the maximum deficit, as we get a clearer view of Income through the year.

**ACTION: The Head of Finance/Chief Executive to prepare a budget plan for a -£150,000 deficit. This to include a list of additional decisions that can be made in-year to make further savings if the need arises.**

The Committee discussed looking at grants that may be available to them as a charity. There were currently a lot of COVID-19 response grants out there for charities to apply for which could be used to support everything from staffing to maintenance costs. A Trustee volunteered to support The SU with this piece of work.

**ACTION: The Head of Finance and Valerie Copenhagen to identify charity grants to apply for to help support The SU through the pandemic.**

The Committee discussed the auditor's recommendation that The SU should have three year financial plans. Currently this wasn't possible because the University determined the block grant to be given to The SU on a yearly basis making it impossible to plan more than a year ahead. If the University reduced the block grant next year this would have major implications for The SU operating budget.

**QUESTION:** A Trustee asked how Freshers' Week 2020 was being funded.

**ANSWER:** The Head of Finance explained that the University were paying the full costs for this event.

**QUESTION:** A Trustee asked if any more savings could be made by reducing the need for casual staff?

**ANSWER:** The Head of Finance advised that this part of the budget had already been cut down to the absolute bare essentials.

**QUESTION:** The Chair asked if there would be any potential to generate income from the acquisition of the Edge.

|    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
|----|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|    | <p><b>ANSWER:</b> The Head of Finance advised that they currently have no information for this to be able to factor it into the budget.</p> <p><b>(Rob Clay left the meeting at this point)</b></p> <p><b>QUESTION:</b> A Trustee asked if the Head of Finance felt they had enough support to do the required necessary work.</p> <p><b>ANSWER:</b> The Head of Finance explained that their work was being impacted by a recurring staff absence within their team. However, they felt strongly supported by the committee and RSM auditors. The Chief Executive reported that HR were aware of the issues and were working closely with The SU to address the matter.</p> <p><b>QUESTION:</b> A Trustee asked if there was anything that could be done provide short term support.</p> <p><b>ANSWER:</b> The Head of Finance explained that they felt they would be better supported once their term time staff returned to work as this would free up their time to focus more on this work.</p> <p><b>QUESTION:</b> A Trustee asked at what point does the Charity have to report to the Charity Commission.</p> <p><b>ANSWER:</b> The Head of Finance advised that The SU was not yet at the point where it needed to report to the Charity Commission. Financially the Charity Commission would want to be reported to in the event of fraud, significant financial loss or insolvency.</p> <p>The Committee discussed and agreed that The SU needs to communicate clearly to the University it's budget plans so that they understand how it could potentially impact them. Understanding some of the decisions that may need to be made under the worst case scenario might prompt them to consider giving financial support to The SU. The University has previously been pleased with The SU ability to manage its budget appropriately.</p> <p><b>ACTION: The Chief Executive to draft communications to go out to key stakeholders communicating SU priorities for during the pandemic.</b></p> <p><b>(Valerie Copenhagen left the meeting at this point)</b></p> |
| 6. | <p><b>Risk Management</b></p> <p>The Committee received a report on risk management (<i>see R3 of the Committee reports</i>).</p> <p>The Committee reviewed the risk register and agreed that the impact of the <i>'failure to handle reputational risk'</i> needs to be updated to reflect the greater risk associated with COVID-19.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| 7. | <p><b>Any other business</b></p> <p>No items had been previously identified for discussion under any other business.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| 8. | <p><b>To confirm the date and time of future meetings</b></p> <p>The Committee agreed the following dates and times for future committee meetings:</p> <ul style="list-style-type: none"> <li>• Thursday 22<sup>nd</sup> October 2020 9-11am</li> <li>• Thursday 19<sup>th</sup> November 2020 9-11am</li> <li>• Thursday 17<sup>th</sup> December 2020 9-11am</li> <li>• Thursday 21<sup>st</sup> January 2021 9-11am</li> <li>• Monday 15<sup>th</sup> March 2021 9-11am</li> <li>• Thursday 20<sup>th</sup> May 2021 9-11am</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |

| <b>The meeting ended at 11.10am.</b> |                                                                                                                                                                                                           |
|--------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Item number</b>                   | <b>Action</b>                                                                                                                                                                                             |
| 4                                    | The Head of Finance to check what the impact of the proposed change to the limit authorisation would have been on last year's asset register.                                                             |
| 5                                    | The Head of Finance/Chief Executive to prepare a budget plan for a -£150,000 deficit. This to include a list of additional decisions that can be made in-year to make further savings if the need arises. |
| 5                                    | The Head of Finance and Valerie Copenhagen to identify charity grants to apply for to help support The SU through the pandemic.                                                                           |
| 5                                    | The Chief Executive to draft communications to go out to key stakeholders communicating SU priorities for during the pandemic.                                                                            |

**PURPOSE**

To provide Trustees with:

- a revised budget for 2020/21;
- update on progress to implement audit recommendations;
- a project plan for the audit tendering process.

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**REPORT****1. MANAGEMENT ACCOUNTS**

1.1 Appendix 1 shows management account for September with original budget. The report has been amended to remove all restricted funds from the figures to show more clearly the performance of actual against budget. They are still a work in progress with budget phasing to be done for non-commercial areas to be processed to help better variance reporting.

1.2 Performance to date for all non-commercial area is in line with expectation as managers are still working on essential expenditure only.

1.3 The £81k grant from the university to part fund freshers week has not yet been fully expensed with the timing difference in payments causing the variance.

1.4 Freeze remains on recruitment of SU funded posts.

1.5 October accounts will have report with revised budget.

**2. 2020/21 BUDGET UPDATE**

2.1. Appendix 2 shows revised budget (-£253k loss) after the following amendments:

- University block grant cut by £34k. The SU only informed of this on 8<sup>th</sup> October.
- Salary forecast amended to remove 2% cost of living pay increase – confirmation that this will not be given to staff received on 15<sup>th</sup> October.
- Bars budget fully revised based on first weeks trading performance under Covid restrictions.

2.2 Other assumptions in budget:

- Social distancing restrictions remain for Semester 2.
- No club nights.
- No Summer Ball
- Other non-commercial activities to resume in January

2.3 Potential Insurance pay out for business loss not included in budget as not yet guaranteed.

**3. RESERVES**

3.1. The SU holds unrestricted reserves currently totalling £320k (this figure is to be confirmed after 19/20 accounts audit finalised). In light of Covid 19 and the financial implications of the restricted commercial operation in 20/21, £150k has been identified as a minimum permanent reserve which must be held. All additional commitments to investment have been halted and another £150k identified as a maximum to fund the forecast deficit in 20/21.

**4. BUDGET RECOMMENDATIONS**

4.1. Separate confidential paper with budget recommendations to be sent separately to committee.

**4. AUDIT RECOMMENDATIONS – UPDATE ON OUTSTANDING ITEMS**

These will be updated on completion of audit for FY19/20 next month.

**4.1. Segregation of Duties:**

- Work on creation of procedures manual and replacement of existing Bye Laws and regulations paused.
- The team has been affected by the absence of a key staff member, meaning some tasks not fully segregated as Head of Finance has to cover number of their tasks.

**4.2. Cash Controls**

- The SU has gone cashless, with staff relocated from the Finance Office to The Edge offices removing the service to the University. No problems have been reported to us.

**5. AUDIT TENDERING**

5.1. This process was last carried out in 2012 with the original plan for it to last until July 2015. The current Auditors RSM have been extended yearly on a rolling basis since then partly due to the need to minimise disruption while work was being carried out to improve finance systems.

5.2. A project plan has been put together (*appendix 3*) to plan out the tendering process for completion by the end of January.

5.3. RSM will need to be kept for our year ending 31 July 2020 to complete the work done last year on the Chart of Accounts so The SU would be looking for tender to start with year-end accounts 31 July 2021.

|                |
|----------------|
| <b>ACTIONS</b> |
|----------------|

6. Trustees are asked to note the report.

6.1. Trustees are asked to:

- discuss project plan for audit tendering and determine if this should proceed;
- confirm Client, Sponsor and Project Manager for the project;
- confirm project team members;
- identify any other risks to the project.

|                 |                                              |                                                                                  |
|-----------------|----------------------------------------------|----------------------------------------------------------------------------------|
| <b>CONTACT:</b> | Andrew McLaughlin ( <i>Chief Executive</i> ) | E-Mail: <a href="mailto:a.m.mclaughlin@bath.ac.uk">a.m.mclaughlin@bath.ac.uk</a> |
|-----------------|----------------------------------------------|----------------------------------------------------------------------------------|

|  |                                             |                                                                            |
|--|---------------------------------------------|----------------------------------------------------------------------------|
|  | Helen McHenry ( <i>SU Head of Finance</i> ) | E-Mail: <a href="mailto:h.m.mchenry@bath.ac.uk">h.m.mchenry@bath.ac.uk</a> |
|--|---------------------------------------------|----------------------------------------------------------------------------|

## APPENDIX 1: Management Accounts

| Core Summary                   | Annual budget 2020-21<br>£ | August 2020           | September 2020        | YTD                 |                     |                         | PRIOR YTD                        | Annual budget remaining<br>£ |
|--------------------------------|----------------------------|-----------------------|-----------------------|---------------------|---------------------|-------------------------|----------------------------------|------------------------------|
|                                |                            | Actual for month<br>£ | Actual for month<br>£ | Actual 2020-21<br>£ | Budget 2020-21<br>£ | Variance to budget<br>£ | Actual Year-to-date 2019-20<br>£ |                              |
| <b>Income</b>                  |                            |                       |                       |                     |                     |                         |                                  |                              |
| University Block Grant         | 1,774,924                  | 141,917               | 141,917               | 283,833             | 295,821             | -11,987                 | 261,167                          | -1,491,091                   |
| Commercial Income              | 733,958                    | 0                     | 16,623                | 16,623              | 44,157              | -27,534                 | 107,539                          | -717,335                     |
| Student Groups                 | 0                          | 0                     | 0                     | 0                   | 0                   | 0                       | 1,672                            | 0                            |
| Sports                         | 123,950                    | 0                     | 180                   | 180                 | 0                   | 180                     | 19,222                           | -123,770                     |
| Advertising & Sponsorship      | 29,000                     | 3,023                 | 6,010                 | 9,033               | 5,500               | 3,533                   | 5,868                            | -19,967                      |
| Events Income                  | 195,650                    | 0                     | 39,690                | 39,690              | 0                   | 39,690                  | 202,211                          | -155,960                     |
| Union Income                   | 26,090                     | 81,005                | 1,257                 | 82,262              | 5,417               | 76,845                  | 41,146                           | 56,172                       |
| Internal Recharges             | 0                          | 0                     | 0                     | 0                   | 0                   | 0                       | 0                                | 0                            |
| <b>Total Income</b>            | <b>2,883,572</b>           | <b>225,944</b>        | <b>205,677</b>        | <b>431,621</b>      | <b>350,894</b>      | <b>80,727</b>           | <b>638,825</b>                   | <b>-2,451,951</b>            |
| <b>Staff Costs</b>             |                            |                       |                       |                     |                     |                         |                                  |                              |
| Staff: Salaries & Wages        | -1,692,054                 | -126,041              | -128,436              | -254,476            | -283,942            | 29,465                  | -222,444                         | 1,437,578                    |
| Staff: Agency                  | -15,600                    | 0                     | -2,828                | -2,828              | -2,267              | -561                    | 0                                | 12,772                       |
| Staff: Casual                  | -232,206                   | -1,479                | -16,119               | -17,599             | -17,662             | 63                      | -7,762                           | 214,607                      |
| <b>Total Staff Costs</b>       | <b>-1,939,860</b>          | <b>-127,520</b>       | <b>-147,383</b>       | <b>-274,903</b>     | <b>-303,870</b>     | <b>28,968</b>           | <b>-230,205</b>                  | <b>1,664,957</b>             |
| <b>Other Expenditure</b>       |                            |                       |                       |                     |                     |                         |                                  |                              |
| Commercial                     | -234,800                   | -1,789                | -16,209               | -17,998             | -17,060             | -938                    | -55,046                          | 216,802                      |
| Staff: Other                   | 42,333                     | -1,868                | -1,512                | -3,998              | 5,247               | -9,245                  | -8,231                           | -46,330                      |
| Student groups                 | -1,050                     | 0                     | -380                  | -380                | -450                | 70                      | -1,934                           | 670                          |
| Sports                         | -215,660                   | -18,632               | -490                  | -19,123             | -20,350             | 1,227                   | -42,487                          | 196,537                      |
| Advertising & marketing        | -23,820                    | -3,525                | -2,642                | -6,167              | -11,233             | 5,066                   | -2,463                           | 17,653                       |
| Event costs (direct)           | -203,566                   | -7,500                | -24,615               | -32,115             | 0                   | -32,115                 | -57,634                          | 171,451                      |
| Union expenses                 | -90,725                    | -3,631                | -42,192               | -46,247             | -45,008             | -1,238                  | -11,276                          | 44,413                       |
| Motor expense                  | 0                          | 2,851                 | -1,234                | 1,616               | 0                   | 1,616                   | -29,026                          | 1,616                        |
| Internal Recharges             | -17,548                    | 0                     | 0                     | 0                   | 0                   | 0                       | 0                                | 17,548                       |
| Volunteer and student costs    | -13,655                    | -84                   | 0                     | -84                 | 0                   | -84                     | -2,470                           | 13,571                       |
| Establishment                  | -108,169                   | -46,679               | -10,962               | -55,752             | -55,946             | 194                     | -72,203                          | 50,527                       |
| Asset and finance expenses     | -99,868                    | -18,579               | -43,503               | -60,732             | -11,386             | -49,346                 | -57,324                          | 37,786                       |
| Depreciation                   | -15,400                    | -1,217                | -1,217                | -2,434              | -2,567              | 132                     | -2,434                           | 12,965                       |
| <b>Total Other Expenditure</b> | <b>-1,011,680</b>          | <b>-105,634</b>       | <b>-147,719</b>       | <b>-248,018</b>     | <b>-161,514</b>     | <b>-86,504</b>          | <b>-349,263</b>                  | <b>757,187</b>               |
| <b>Total Expenditure</b>       | <b>-2,951,540</b>          | <b>-233,154</b>       | <b>-295,102</b>       | <b>-522,920</b>     | <b>-465,384</b>     | <b>-57,536</b>          | <b>-579,468</b>                  | <b>2,422,145</b>             |
| <b>Net Surplus/(Deficit)</b>   | <b>-67,968</b>             | <b>-7,210</b>         | <b>-89,425</b>        | <b>-91,299</b>      | <b>-114,490</b>     | <b>23,191</b>           | <b>59,356</b>                    | <b>-29,806</b>               |

APPENDIX 2: Budget Scenarios

|  |             |             |                   |             |                   |               |             |
|-----------------------------------------------------------------------------------|-------------|-------------|-------------------|-------------|-------------------|---------------|-------------|
|                                                                                   | Budget V1   | Budget S1   | Budget S1 Updated | Budget S3   | Budget S3 Updated | Revised Oct20 |             |
|                                                                                   | 2020/21     | 2020/21     | 2020/21           | 2020/21     | 2020/21           | 2020/21       | 2020/21     |
|                                                                                   | £           | £           | £                 | £           | £                 | £             | £           |
| <b>Income</b>                                                                     |             |             |                   |             |                   |               |             |
| Block Grant                                                                       | 1,774,924   | 1,774,924   | 1,774,924         | 1,774,924   | 1,774,924         | 1,774,924     | 1,740,924   |
| Commercial sales                                                                  | 1,087,934   | 736,434     | 736,434           | 378,608     | 378,608           | 378,608       | 218,679     |
| Sports income                                                                     | 121,702     | 121,702     | 99,300            | 121,702     | 99,300            | 99,300        | 97,000      |
| Advertising & Marketing                                                           | 45,000      | 39,000      | 39,000            | 38,000      | 38,000            | 38,000        | 39,000      |
| Event Income                                                                      | 400,865     | 274,467     | 274,467           | 78,600      | 78,600            | 78,600        | 78,600      |
| Other                                                                             | 87,638      | 165,994     | 131,856           | 156,404     | 121,266           | 121,266       | 136,156     |
|                                                                                   | 3,518,063   | 3,112,521   | 3,055,981         | 2,548,238   | 2,490,698         | 2,490,698     | 2,310,359   |
| <b>Staff Costs</b>                                                                |             |             |                   |             |                   |               |             |
| Staff: Salaries & Wages                                                           | - 1,708,324 | - 1,704,324 | - 1,704,324       | - 1,704,324 | - 1,704,324       | - 1,704,324   | - 1,656,429 |
| Staff: Casual                                                                     | - 295,990   | - 252,625   | - 234,995         | - 177,013   | - 159,383         | - 159,383     | - 133,907   |
| Staff: Training & Conferences                                                     | - 27,500    | - 13,500    | - 11,000          | - 13,500    | - 13,700          | - 13,700      | - 11,000    |
| Staff: Vacancy Factor                                                             | 62,533      | 62,533      | 62,533            | 62,533      | 62,533            | 62,533        | 61,627      |
| Other                                                                             | - 17,618    | - 14,070    | - 27,320          | - 12,070    | - 23,570          | - 23,570      | - 22,820    |
|                                                                                   | - 1,986,899 | - 1,921,986 | - 1,915,106       | - 1,844,374 | - 1,838,444       | - 1,838,444   | - 1,762,530 |
| <b>Other Expenditure</b>                                                          |             |             |                   |             |                   |               |             |
| Commercial                                                                        | - 364,417   | - 252,654   | - 252,654         | - 134,900   | - 134,900         | - 134,900     | - 70,050    |
| Sport                                                                             | - 271,805   | - 271,805   | - 212,660         | - 271,805   | - 212,660         | - 212,660     | - 212,660   |
| Advertising & Marketing                                                           | - 24,620    | - 24,620    | - 23,820          | - 24,620    | - 23,820          | - 23,820      | - 23,820    |
| Event costs                                                                       | - 396,586   | - 323,962   | - 323,962         | - 125,596   | - 125,596         | - 125,596     | - 125,586   |
| Affiliation                                                                       | - 39,250    | - 39,250    | - 38,110          | - 39,250    | - 38,110          | - 38,110      | - 38,110    |
| IT Management Fee                                                                 | - 44,500    | - 44,500    | - 44,500          | - 44,500    | - 44,500          | - 44,500      | - 44,500    |
| Administration Costs                                                              | - 47,483    | - 30,280    | - 26,983          | - 29,280    | - 24,033          | - 24,033      | - 26,983    |
| Budget allocated to student group                                                 | - 19,773    | - 19,773    | - 15,023          | - 19,773    | - 15,023          | - 15,023      | - 15,023    |
| Volunteer & Student Costs                                                         | - 34,533    | - 27,133    | - 20,263          | - 27,133    | - 20,263          | - 20,263      | - 20,263    |
| Establishment                                                                     | - 113,399   | - 106,279   | - 106,279         | - 105,279   | - 105,279         | - 105,279     | - 106,279   |
| Capital Purchase Under £1000                                                      | - 19,700    | - 16,700    | - 16,700          | - 15,700    | - 15,700          | - 15,700      | - 16,700    |
| Repairs & Maintenance                                                             | - 29,318    | - 25,318    | - 25,318          | - 25,318    | - 25,318          | - 25,318      | - 13,560    |
| Irrecoverable VAT                                                                 | - 26,500    | - 21,500    | - 21,500          | - 14,000    | - 14,000          | - 14,000      | - 14,000    |
| Bank & Credit Card Charges                                                        | - 22,500    | - 18,500    | - 18,500          | - 18,500    | - 18,500          | - 18,500      | - 15,500    |
| Professional fees                                                                 | - 15,000    | - 15,000    | - 15,000          | - 15,000    | - 15,000          | - 15,000      | - 15,000    |
| Depreciation                                                                      | - 15,400    | - 15,400    | - 15,400          | - 15,400    | - 15,400          | - 15,400      | - 15,600    |
| Other                                                                             | - 46,161    | - 45,161    | - 32,150          | - 44,161    | - 31,150          | - 31,150      | - 27,700    |
|                                                                                   | - 1,530,945 | - 1,297,835 | - 1,208,822       | - 970,215   | - 879,252         | - 879,252     | - 801,334   |
| <b>Total Expenditure</b>                                                          | - 3,517,844 | - 3,219,821 | - 3,123,928       | - 2,814,589 | - 2,717,696       | - 2,717,696   | - 2,563,863 |
| <b>Surplus / -Deficit</b>                                                         | 219         | - 107,300   | 67,947            | - 266,351   | - 226,998         | - 226,998     | - 253,504   |

|                                            |
|--------------------------------------------|
| <b>APPENDIX 3: Audit Tendering Project</b> |
|--------------------------------------------|

|                           |                                                                                                                            |
|---------------------------|----------------------------------------------------------------------------------------------------------------------------|
| <b>Project Title:</b>     | <b>Audit Tendering</b>                                                                                                     |
| <b>Planned Activity:</b>  | To complete tendering process for Auditors                                                                                 |
| <b>Strategy Strands:</b>  | NA – This is an operational activity that requires completing.                                                             |
| <b>Objectives:</b>        | <ul style="list-style-type: none"> <li>• To successfully complete the tendering process for Auditors</li> </ul>            |
| <b>Project Group</b>      |                                                                                                                            |
| Client:                   | Tom Sawko ( <i>Sport Officer</i> ) <b>TBC</b>                                                                              |
| Sponsor:                  | Andrew McLaughlin ( <i>Chief Executive</i> )                                                                               |
| Project Manager:          | Greg Noakes ( <i>Governance &amp; Executive Support Manager</i> )                                                          |
| Project team:             | Helen McHenry ( <i>Head of Finance</i> )<br>Rob Clay ( <i>Independent Trustee</i> )<br>Independent Trustees ( <i>TBC</i> ) |
| Internal Stakeholders:    | Finance & Audit Committee<br>Board of Trustees                                                                             |
| External Stakeholders:    | NA                                                                                                                         |
| <b>Approval</b>           |                                                                                                                            |
| Client brief approved by: | NA.                                                                                                                        |
| Project plan approved by: |                                                                                                                            |

|                                                                                          | <b>Actions</b> |                                                                                                                                                                                                                                                                                              | <b>Responsibility</b>                     | <b>Cost</b> | <b>Deadline</b> | <b>Progress</b> |
|------------------------------------------------------------------------------------------|----------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------|-------------|-----------------|-----------------|
| Project Phase 1                                                                          | 1              | Meet to: <ul style="list-style-type: none"> <li>• discuss project plan and determine if this should proceed;</li> <li>• confirm Client, Sponsor and Project Manager for the project;</li> <li>• confirm project team members;</li> <li>• identify any other risks to the project.</li> </ul> | Finance & Audit Committee                 | NA          | 22/10/2020      |                 |
|                                                                                          | 2              | Potential companies identified and contacted for expression of interest.                                                                                                                                                                                                                     | Project Team                              | NA          | 19/11/2020      |                 |
|                                                                                          | 3              | Invitation letters prepared and approved by Finance & Audit Committee via decision without a meeting.                                                                                                                                                                                        | Project Team<br>Finance & Audit Committee | NA          | 03/12/2020      |                 |
|                                                                                          | 4              | Invitation letters sent out to companies to invite for financial year ending 31/07/2021 till financial year ending 31/07/2025.                                                                                                                                                               | Project Team                              | NA          | 03/12/2020      |                 |
|                                                                                          | 5              | Companies submit applications for contract.                                                                                                                                                                                                                                                  | Project Team                              | NA          | 31/12/2020      |                 |
| Project Phase 2                                                                          | 6              | Meet to review applications received and shortlist three companies to make presentation to Finance & Audit committee.                                                                                                                                                                        | Project Team                              | NA          | 11/01/2021      |                 |
|                                                                                          | 7              | Meet to receive presentation from final three companies and decide which company to go with.                                                                                                                                                                                                 | Finance & Audit Committee                 | £15,000     | 21/01/2021      |                 |
|                                                                                          | 8              | Companies are informed of the outcome.                                                                                                                                                                                                                                                       | Project Team                              | NA          | 31/01/2021      |                 |
|                                                                                          | 9              | Write report for Board of Trustees detailing the process followed, any issues that arose, the company chosen and the rationale for this.                                                                                                                                                     | Project Team                              | NA          | 17/03/2021      |                 |
|                                                                                          | 10             | Meet to receive report on audit tendering process.                                                                                                                                                                                                                                           | Board of Trustees                         | NA          | 25/03/2021      |                 |
| <b>Issues identified:</b><br>•                                                           |                |                                                                                                                                                                                                                                                                                              |                                           |             |                 |                 |
| <b>Decisions:</b><br>•                                                                   |                |                                                                                                                                                                                                                                                                                              |                                           |             |                 |                 |
| <b>Success Criteria:</b><br>• Successfully complete tendering process for auditors.      |                |                                                                                                                                                                                                                                                                                              |                                           |             |                 |                 |
| <b>Evaluation Method:</b><br>• Review in 4 years' time when beginning the process again. |                |                                                                                                                                                                                                                                                                                              |                                           |             |                 |                 |

| Risk Assessment Matrix |       |          |         |       | Risk Rating Bands                     |                                                       |                                                                                 |
|------------------------|-------|----------|---------|-------|---------------------------------------|-------------------------------------------------------|---------------------------------------------------------------------------------|
| Trivial                | Minor | Moderate | Serious | Fatal | LOW RISK (1-8)                        | MEDIUM RISK (9-12)                                    | HIGH RISK (15-25)                                                               |
| 1                      | 2     | 3        | 4       | 5     |                                       |                                                       |                                                                                 |
| 2                      | 4     | 6        | 8       | 10    |                                       |                                                       |                                                                                 |
| 3                      | 6     | 9        | 12      | 15    | Continue,<br>but review periodically. | Continue, but monitor controls<br>in place regularly. | Must not proceed until risks are<br>reduced to a lower level ( <i>Medium</i> ). |
| 4                      | 8     | 12       | 16      | 20    |                                       |                                                       |                                                                                 |
| 5                      | 10    | 15       | 20      | 25    |                                       |                                                       |                                                                                 |

|   | Risk(s) identified                                               | Impact | Likelihood | Gross Risk | Controls & measures                                                                                                                                                                                                                                                                           | Impact | Likelihood | Gross Risk | Movement |
|---|------------------------------------------------------------------|--------|------------|------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------|------------|------------|----------|
| 1 | Failure to manage conflict of interest affects tendering process | 4      | 3          | 12         | <ul style="list-style-type: none"> <li>Check that Trustees involved have no conflicts of interests directly or indirectly with any of the companies.</li> <li>Check that staff involved have no conflicts of interests directly or indirectly with any of the companies.</li> <li></li> </ul> | 4      | 2          | 8          | -4       |
| 2 |                                                                  |        |            |            |                                                                                                                                                                                                                                                                                               |        |            |            |          |
| 3 |                                                                  |        |            |            |                                                                                                                                                                                                                                                                                               |        |            |            |          |
| 4 |                                                                  |        |            |            |                                                                                                                                                                                                                                                                                               |        |            |            |          |

|                                                                             |                  |                         |
|-----------------------------------------------------------------------------|------------------|-------------------------|
| Assessor: Greg Noakes ( <i>Governance &amp; Executive Support Manager</i> ) | Date: 15/10/2020 | Review date: 22/10/2020 |
|-----------------------------------------------------------------------------|------------------|-------------------------|

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**PURPOSE**

To provide an update on risk management matters handled by The SU since the previous meeting.

**CONTENTS**

|            |                                                   |
|------------|---------------------------------------------------|
| Pages 1-2: | Report                                            |
| Page 2:    | Actions                                           |
| Page 3:    | Appendix 1: Risk Register                         |
| Pages 4-5: | Appendix 2: Business Continuity and Recovery Plan |
| Page 6:    | Appendix 3: Accident Statistics                   |
| Page 7:    | Appendix 4: Health & Safety Inspection Update     |

**REPORT****1. RISK REGISTER**

- 1.1. Appendix 1 contains the Risk Register which was last updated in March 2020.
- 1.2. A further risk to be potentially added to the risk register is poor handling of safeguarding, complaints and student member disciplinary matters. Work needs to be done to evaluate where The SU stands on this and this will be carried out by the Governance & Executive Support Manager.

**2. BUSINESS CONTINUITY AND RECOVERY**

- 2.1. Due to the current pandemic caused by Covid-19 The SU is currently operating in accordance with its Business Continuity and Recovery policy.
- 2.2. Senior Management and Officers were previously meeting daily online to discuss any issues arising and make decisions. This has now switched to meeting three times a week.
- 2.3. The SU finance team continues to monitor the budget closely.
- 2.4. Appendix 2 contains a copy of the current Business Continuity and Recovery plan.

**3. HEALTH & SAFETY**

- 3.1. Appendix 3 contains statistics for accidents that have been reported to the Departmental Health & Safety co-ordinator.
  - 3.2. The Cheerleading club's activities have currently been suspended due to concerns around standards of health & safety. Work is currently ongoing to address these.
  - 3.3. Due to the heightened risk around student groups events/activities in relation to COVID-19 a weekly events meeting is now being held with key staff attending to advise on more complex event plans.
  - 3.4. Appendix 4 contains an update for actions identified from the Health & Safety inspection carried out in November 2019.
  - 3.5. The Departmental Health & Safety coordinator will be retiring in December and planning is currently underway for how this role will be carried out going forward.
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**ACTIONS**

4. Trustees are asked to note the report.

|                 |                                                                      |                          |
|-----------------|----------------------------------------------------------------------|--------------------------|
| <b>CONTACT:</b> | Gregory Noakes ( <i>Governance &amp; Executive Support Manager</i> ) | E-Mail: gdn26@bath.ac.uk |
|                 | Paul Brooks ( <i>Departmental Safety Co-ordinator</i> )              | E-Mail: pb262@bath.ac.uk |

APPENDIX 1: RISK REGISTER

Student Union Risk Register

| Risk Key     |  | Score   |                                                                                                         | Action |  |
|--------------|--|---------|---------------------------------------------------------------------------------------------------------|--------|--|
| Low Risk:    |  | (1-8)   | continue, but review periodically to ensure controls remain effective                                   |        |  |
| Medium Risk: |  | (9-12)  | continue, but implement additional reasonably practicable controls where possible and monitor regularly |        |  |
| High Risk:   |  | (15-25) | identify new controls to reduce risk to a low or medium level.                                          |        |  |

  

| Description of risk                                                     | Impact (1-5) | Likelihood (1-5) | Gross Risk | Key controls/processes to mitigate risk                                                                                                                                                                                                                                                                                        | Impact (1-5) | Likelihood (1-5) | Net Risk | Movement | Improvement actions/additional controls to be added                                                                                                                                                | Timescale | Risk Owner                                                                        |
|-------------------------------------------------------------------------|--------------|------------------|------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------|------------------|----------|----------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|-----------------------------------------------------------------------------------|
| Reduced income from University block grant and/or commercial activities | 5            | 3                | 15         | Regular reviewing of commercial income performance.<br>Regular ongoing analysis of current market competition.<br>Budget monitoring and approval by Trustees<br>Reserve budget can cover SU operating costs for a year                                                                                                         | 5            | 2                | 10       | 5        | Budget planning to account for different levels of funding.<br>Exploring opportunities to diversify and strengthen commercial income.<br>Establish back-up of alternative supply options to NUSSL. |           | Chief Executive<br>Head of Finance<br>Head of Commercial                          |
| Fraud                                                                   | 5            | 3                | 15         | Financial policies, procedures and regulations.<br>Budget monitoring and approval by Trustees<br>External audit with auditors reporting directly to Trustees.                                                                                                                                                                  | 5            | 2                | 10       | 5        | Review of financial policies.                                                                                                                                                                      |           | Chief Executive<br>Head of Finance<br>Governance Manager                          |
| Staff/Student serious injury or fatality                                | 5            | 3                | 15         | Annual internal health & safety audit.<br>staff/student health & safety training<br>Risk assessments for high risks activities.<br>Student/Staff events approved via online Event Planner.<br>Fire wardens and agreed evacuation procedures.<br>UHSE external healthy & safety audits.<br>Suitable insurance cover for The SU. | 5            | 2                | 10       | 5        |                                                                                                                                                                                                    |           | Chief Executive<br>Governance Manager<br>Head of Commercial<br>Head of Activities |
| Data breach                                                             | 5            | 3                | 15         | staff/student data handling training.<br>Data sharing agreement with University.<br>Data stored securely on MSL and Alterline servers.<br>Personal staffing records kept by the University HR dept.                                                                                                                            | 5            | 2                | 10       | 5        | GDPR policy to be reviewed.<br>Data sharing agreement with University to be reviewed.<br>Retention schedule to be added to SU File Policy.                                                         |           | Chief Executive<br>Governance Manager                                             |
| IT Support Services                                                     | 5            | 3                | 15         | University run                                                                                                                                                                                                                                                                                                                 | 5            | 2                | 10       | 5        |                                                                                                                                                                                                    |           | Chief Executive<br>Governance Manager                                             |
| Sudden reduction in staffing resources                                  | 5            | 3                | 15         | Business continuity plan.<br>Emergency planning pre-meetings.<br>Chief Executive on University business continuity team.                                                                                                                                                                                                       | 5            | 2                | 10       | 5        |                                                                                                                                                                                                    |           | Chief Executive<br>Deputy Chief Executive                                         |
| Poor stakeholder engagement.                                            | 4            | 3                | 12         | Regular engagement activities with University stakeholders.                                                                                                                                                                                                                                                                    | 4            | 3                | 12       | 0        | Memorandum of understanding with University.<br>Clear SLA with key University departments.<br>Stakeholder management strategy.                                                                     |           |                                                                                   |
| Poor Student engagement                                                 | 4            | 3                | 12         | Ongoing data insight research into student participation.                                                                                                                                                                                                                                                                      | 4            | 3                | 12       | 0        | Student Engagement Policy to be written.<br>Development of Citizen Assembly.                                                                                                                       |           | Chief Executive<br>Head of Student Voice                                          |
| Poor strategic planning and oversight                                   | 4            | 3                | 12         | Strategy monitored and approved by Leadership Committee/Board.<br>Annual staff area planning.<br>Ongoing data insight research to inform strategies/planning.<br>Project Management training.<br>Projects approved and monitored by Leadership Committee/Board.                                                                | 4            | 2                | 8        | 4        |                                                                                                                                                                                                    |           | Chief Executive<br>Deputy Chief Executive<br>Heads of Departments                 |
| Poor recruitment, retention and diversity                               | 4            | 3                | 12         | Trustee training and induction.<br>Staff taining for chairing interview panels.<br>Staff development and training opportunities.<br>Regular staff wellbeing surveys.                                                                                                                                                           | 4            | 2                | 8        | 4        | Development of second line support and succession planning.                                                                                                                                        |           | Chief Executive<br>Deputy Chief Executive<br>University HR                        |
| Failure to handle reputational risk                                     | 3            | 3                | 9          | List of events<br>Slander and libel training for student media/officers                                                                                                                                                                                                                                                        | 3            | 2                | 6        | 3        |                                                                                                                                                                                                    |           |                                                                                   |

**APPENDIX 2: Business Continuity and Recovery Plan**

| Core Function/Process       | Activity                       | Impact of loss/disruption upon business continuity | Recovery Time Objective | Maximum Tolerable Period of disruption | Department or staff with special interest | Planned mitigation prior to disruption                                                        | Period(s) during which more critical | Gaps in resilience and/or further required mitigation                      |
|-----------------------------|--------------------------------|----------------------------------------------------|-------------------------|----------------------------------------|-------------------------------------------|-----------------------------------------------------------------------------------------------|--------------------------------------|----------------------------------------------------------------------------|
| <b>Commercial Income</b>    | Bar day time activities        | financial                                          | 3-7 days                | 7 days                                 | Bars & Events Team                        | None                                                                                          | Term time                            |                                                                            |
|                             | Club Nights                    | financial                                          | 3-7 days                | 7 days                                 | Bars & Events Team                        | None                                                                                          | Term time                            |                                                                            |
|                             | Events held in the bar         | financial                                          | 3-7 days                | 7 days                                 | Bars & Events Team                        | None                                                                                          | Term time                            |                                                                            |
|                             | External stallholders          | financial                                          | 3-7 days                | 7 days                                 | Marketing Team                            | Move event if notice given                                                                    | Term time                            |                                                                            |
| <b>Key Events</b>           | Freshers' Week                 | financial/reputational                             | 1/2 day                 | 1/2 day                                | Bars & Events Team                        | Event Risk Management plan/Move event if week notice given.                                   | At time of the event                 | Cancelation policy<br>Add event cancelation to bookings terms & conditions |
|                             | Freshers' fair/re-fresh fair   | financial/reputational                             | 1/2 day                 | 1/2 day                                | Marketing Team                            | Move event if notice given                                                                    | At time of the event                 |                                                                            |
|                             | Varsity                        | financial/reputational                             | 1/2 day                 | 1/2 day                                | Activities Team                           | Risk Management plan for event cancelation                                                    | At time of the event                 |                                                                            |
|                             | Rugby at Rec                   | financial/reputational                             | 1/2 day                 | 1/2 day                                | Activities Team                           | Event Risk Management plan/Move event if week notice given/cancel with minimal impact         | At time of the event                 |                                                                            |
|                             | Summer Ball                    | financial/reputational                             | 1/2 day                 | 1/2 day                                | Bars & Events Team                        | Event Risk Management plan/Move event if week notice given.                                   | At time of the event                 | Cancelation policy                                                         |
|                             | Masquerade                     | financial/reputational                             | 1/2 day                 | 1/2 day                                | Activities Team                           | Event Risk Management plan/cancel in accordance with notice required under venue contracts.   | At time of the event                 |                                                                            |
|                             | Snowball                       | financial/reputational                             | 1/2 day                 | 1/2 day                                | Activities Team                           | Event Risk Management plan                                                                    | At time of the event                 |                                                                            |
|                             | Awards                         | financial/reputational                             | 1/2 day                 | 1/2 day                                | Activities Team                           | Event Risk Management plan/Cancel in accordance with notice required under venue contracts.   | At time of the event                 | Cancelation policy                                                         |
|                             | Farmers Market                 | financial/reputational                             | 1/2 day                 | 1/2 day                                | Marketing Team                            | Cancel with minimal impact if 48 hours notice given                                           | At time of the event                 |                                                                            |
|                             | Elections                      | reputational                                       | 3-7 days                | 7 days to 1 month                      |                                           | Move if elections if necessary                                                                | At time of the event                 |                                                                            |
| <b>Finance Functions</b>    | Paying suppliers               | financial/service delivery                         | 1/2 day                 | 7 days to 1 month                      | Finance Team                              | Remote working/Head of Finance hold credit card                                               | NA                                   |                                                                            |
|                             | Re-imbursing students          | financial/service delivery                         | 1/2 day                 | 7 days to 1 month                      | Finance Team                              | Remote working                                                                                | NA                                   |                                                                            |
|                             | Managing income                | financial/service delivery                         | 3-7 days                | 7 days to 1 month                      | Finance Team                              | Remote working                                                                                | NA                                   |                                                                            |
|                             | Managing bank account          | financial/service delivery                         | 1/2 day                 | 7 days to 1 month                      | Finance Team                              | Remote working                                                                                | NA                                   |                                                                            |
|                             | Budgetary managemant           | financial/service delivery                         | 3-7 days                | 7 days to 1 month                      | Finance Team                              | Remote working                                                                                | NA                                   |                                                                            |
|                             | VAT return                     | financial/regulatory                               | 7 days                  | 7 days to 1 month                      | Finance Team                              | Remote working/Submit at least a week before deadline/HMRC give 1 warning for late submission | Quarterly                            |                                                                            |
|                             | Charity Return                 | financial/regulatory                               | 7 days                  | 7 days to 1 month                      | Finance Team                              | Remote working/Submit at least a month before deadline                                        | Jan-Feb                              |                                                                            |
| <b>Advice &amp; Support</b> | Student Casework               | Service delivery/health & safety                   | 1/2 day                 | 3-7 days                               | Advice & Support Team                     | Remote working                                                                                | Term time                            |                                                                            |
|                             | day to day advice & support    | Service delivery/health & safety                   | 1/2 day                 | 3-7 days                               | Advice & Support Team                     | Remote working                                                                                | Term time                            |                                                                            |
| <b>Communication</b>        | Social media channels          | service delivery/reputation                        | 1/2 day                 | 3-7 days                               | Marketing Team                            | Remote working                                                                                | Term time                            |                                                                            |
|                             | Maintaining website            | service delivery/reputation                        | 1/2 day                 | 3-7 days                               | Marketing Team                            | Remote working                                                                                | Term time                            |                                                                            |
| <b>General Activities</b>   | BUCS games                     | financial                                          | 3-7 days                | 7 days to 1 month                      | Student Group Activities                  | Remote working                                                                                | Term time                            |                                                                            |
|                             | Approving Student group events | financial                                          | 3-7 days                | 3-7 days                               | Student Group Activities                  | Remote working                                                                                | Term time                            |                                                                            |
|                             | Responding to enquiries        | service delivery                                   | 1-2 days                | 3-7 days                               | The SU                                    | Remote working                                                                                | Term time                            |                                                                            |
|                             | Day to day office functions    | service delivery                                   | 3-7 days                | 7 days to 1 month                      | The SU                                    | Remote working                                                                                | Term time                            |                                                                            |

| Department/supplier     | Description of equipment/external service provider | Special features                                  | Mitigation                                         | Recovery Time Objective | Maximum Period of Disruption | Users/Stakeholders    | Gaps in resilience and/or further required mitigation |
|-------------------------|----------------------------------------------------|---------------------------------------------------|----------------------------------------------------|-------------------------|------------------------------|-----------------------|-------------------------------------------------------|
| External Supplier       | Security                                           | Understand student clientele and campus security. | Links to other local Bath-based security companies | 3-7 days                | 7 days                       | Students/Staff/The SU |                                                       |
| NUS Ltd                 | Food/Beverage suppliers                            | Good discounts on products                        | List of alternative suppliers kept                 | 3-7 days                | 7 days                       | Students/Staff/The SU |                                                       |
| SU Bars & Entertainment | Plug and Tub                                       | Large fully equipped Venue                        | Very well managed - inaccordance with procedures   | 3-7 days                | 7 days                       | Students/Staff/The SU |                                                       |
| Advance                 | Exchequer software                                 | Finance software                                  | NA                                                 | 1/2 day                 | 1/2 day                      | Finance team          |                                                       |
| Nat West/gemalto        | Card reader                                        | Allows card payment                               | NA                                                 | 1/2 day                 | 1/2 day                      | Finance team          |                                                       |
| MSL                     | Website                                            |                                                   |                                                    | 1/2 day                 | 1/2 day                      | Marketing team        |                                                       |
| Adobe creative cloud    | Software                                           | High design specs                                 |                                                    | 3-7 days                | 7 days                       | Marketing team        |                                                       |
| Advice Pro              | Advice Database software                           | Software                                          |                                                    |                         |                              |                       |                                                       |

| Name          | Department/sub-group | Role            | Description of concerns | Mitigation  | Gaps in resilience and/or further required mitigation |
|---------------|----------------------|-----------------|-------------------------|-------------|-------------------------------------------------------|
| Helen McHenry | Finance Team         | Head of Finance | VAT Return              |             |                                                       |
| Helen McHenry | Finance Team         | Head of Finance | International payments  |             |                                                       |
| Helen McHenry | Finance Team         | Head of Finance | fixed asset register    |             |                                                       |
| Rajiv         | Marketing Team       | Web Developer   | Back end MSL functions  | Contact MSL |                                                       |

APPENDIX 3: ACCIDENT STATISTICS

|              | Incident Details |                            |                                 |          |               | Injury Details |             | Injured Party Details |         |          | Referral Details       |                  |                        | Investigation Details |                     |                  | Insurance Claims |               |   |
|--------------|------------------|----------------------------|---------------------------------|----------|---------------|----------------|-------------|-----------------------|---------|----------|------------------------|------------------|------------------------|-----------------------|---------------------|------------------|------------------|---------------|---|
|              | Activity         | Club/Event                 | Date of Incident                | Location | Reported by   | Injury to      | Type        | Student/Staff         | Year    | Category | First Aid Administered | Sent to Hospital | Reported to University | Investigated          | Was it preventable? | Anything Updated | Claim made       | Claim Outcome |   |
| Semester one | 1                | Setting up                 | Backstage/Freshers Week         | Sep-19   | Underdeck     |                | Head        | Gash                  | Student | 5        | Undergraduate          | Yes              | Yes                    | Yes                   | Yes                 | No               | Risk Assessment  | -             | - |
|              | 2                | Inflatable Obstacle Course | Freshers Week                   | Sep-19   | Founders Hall |                | Shoulder    | Dislocated            | Student | 1        | Undergraduate          | Yes              | Yes                    | Yes                   | Yes                 | Not known        | No               | -             | - |
|              | 3                | Practice                   | Cheerleading club/Freshers Week | Sep-19   | STV           | Club Chair     | Shoulder    | Unspecified           | Student |          |                        | Yes              | No                     | Yes                   | Yes                 | No               | No               | -             | - |
|              | 4                | Practice                   | Cheerleading Club               | Oct-19   | STV           | Club Chair     | Head        | Concussion            | Student | 2        | Undergraduate          | Yes              | Yes                    | Yes                   | Yes                 | No               | No               | -             | - |
|              | 5                | Practice                   | Cheerleading Club               | Oct-19   | STV           | Club Chair     | Nose        | Fracture              | Student | 2        | Undergraduate          | Yes              | Yes                    | Yes                   | Yes                 | No               | No               | -             | - |
|              | 6                | Match                      | Rugby                           | Oct-19   | Sulis pitch   | Captain        | Leg         | Fracture              | Student | 2        | Undergraduate          | Yes              | Yes                    | Yes                   | Yes                 | No               | No               | Yes           | - |
|              | 7                | Practice                   | Cheerleading Club               | Nov-19   | STV           | Club Chair     | Ankle, Head | Concussion & sprain   | Student | 1        | Undergraduate          | Yes              | Yes                    | Yes                   | Yes                 | No               | No               | -             | - |
|              | 8                | White water rafting        | Canoe                           | Nov-19   | River Dart    | IP             | Chin        | Gash                  | Student | 1        | Undergraduate          | Yes              | Yes                    | Yes                   | Yes                 | No               | No               | -             | - |
|              | 9                | Bars                       | Bars                            | Nov-19   | Plug          | N/K            | Ankle       | Dislocation           | Student | 1        | Undergraduate          | Yes              | Yes                    | Yes                   | Yes                 | Not known        | No               | -             | - |
|              | 10               | Practice                   | Cheerleading Club               | Nov-19   | STV           | Club Chair     | Nose        | Broken                | Student | 1        | Undergraduate          | Yes              | Yes                    | Yes                   | Yes                 | No               | No               | Yes           | - |
|              | 11               | De-rigging                 | BUSMS Show                      | Dec-19   | Edge          | Edge staff     | Head        | Unspecified           | Student | 1        | Undergraduate          | Yes              | No                     | Yes                   | Yes                 | Yes              | Yes              | -             | - |
|              | 12               | Night Club                 | Night Club                      | Dec-19   | Tub           | Bar Security   | Head        | Laceration            | Student | 1        | Undergraduate          | Yes              | Yes                    | Yes                   | Yes                 | No               | No               | -             | - |
|              | 13               | Practice                   | Ultimate Frisbee                | Dec-19   | N/K           | Club Chair     | Knee        | Fracture/Dislocation  | Student | 2        | Undergraduate          | Yes              | Yes                    | Yes                   | No                  | No               | No               | Yes           | - |
|              | 14               | Match                      | Dodgeball                       | Jan-20   | Founders Hall | Club Chair     | Humerus     | Fracture              | Student | 1        | Undergraduate          | Yes              | Yes                    | Yes                   | No                  | No               | No               | Yes           | - |
|              | 15               | -                          | The Plug                        | Feb-20   | Plug          | Sally Williams | Torso       | Blunt force injury    | Student | 4        | Undergraduate          | Yes              | Yes                    | Yes                   | Yes                 | Yes              | Ongoing          | -             | - |
|              | 16               | Practice                   | Cheerleading Club               | Mar-20   | STV           | Club Chair     | Head        | Concussion            | Student | 1        | Undergraduate          | Yes              | Yes                    | Yes                   | No                  | No               | No               | -             | - |
|              | 17               |                            |                                 |          |               |                |             |                       |         |          |                        |                  |                        |                       |                     |                  |                  |               |   |
|              | 18               |                            |                                 |          |               |                |             |                       |         |          |                        |                  |                        |                       |                     |                  |                  |               |   |
|              | 19               |                            |                                 |          |               |                |             |                       |         |          |                        |                  |                        |                       |                     |                  |                  |               |   |
|              | 20               |                            |                                 |          |               |                |             |                       |         |          |                        |                  |                        |                       |                     |                  |                  |               |   |
|              | 21               |                            |                                 |          |               |                |             |                       |         |          |                        |                  |                        |                       |                     |                  |                  |               |   |
|              | 22               |                            |                                 |          |               |                |             |                       |         |          |                        |                  |                        |                       |                     |                  |                  |               |   |
|              | 23               |                            |                                 |          |               |                |             |                       |         |          |                        |                  |                        |                       |                     |                  |                  |               |   |

Summary points:

- There have been no further accidents reported to The SU since the last meeting.
- There have been no near miss accidents reported to The SU since the last meeting.

**APPENDIX 4: Health & Safety Inspection Report (November 2019)****Actions identified as part of previous inspections which have been completed:**

- a) The overall storage space for The SU has been addressed to the best of our abilities. There has been some re-arrangement of storage space on campus and off-site store space has also been acquired.
- b) The issue of dangling PC cables throughout the offices occupied by The SU has been addressed.
- c) The issue of Bath Time and URB sofas which weren't able to be proved fire retarded has been addressed by their removal and disposal.

**Issues identified as part of the previous inspections that are still ongoing:**

- a) Stacking of newspaper within the Bath Time currently present a potential fire hazard. Discussions are ongoing with Bath Time about how best to safely store these.
- b) It was identified that the conversion of 'aluminium pan' male toilets to ones with lids had still not been actioned. The Departmental Safety Co-ordinator is still awaiting a quote from Estates about this.
- c) Heating and ventilation remain an issue within The SU with staff complaining that rooms can be too cold or too hot depending on what time of the year it is. Unfortunately there is little that can be done to address this issue other than to monitor it.
- d) Large roll cages and boxes of merchandise continue to be deposited in the passageways of Norwood House level 2. The Chief Executive remains in conversation with AHS about this issue.
- e) The maintenance of Norwood House social spaces continues to be an issue in particular on level 2 where there is a significant amount of footfall generated by visitors to Fresh and Pitstop. The Chief Executive remains in conversation with Estates about who is responsible for ensuring that this area is kept tidy.