

FINANCE & AUDIT COMMITTEE REPORTS							
From	Period start date			To	Period end date		
	16	12	2019		16	03	2020
<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>Senior SU Management</b>							
<b>Chief Executive:</b>	Andrew McLaughlin						
<b>Deputy Chief Executive:</b>	Mandy Wilson-Garner						
<b>Secretary to the Board:</b>	Greg Noakes						
<b>Committee Membership</b>							
<b>Trustee name</b>	<b>Office</b>	<b>Start date</b>	<b>End date</b>	<b>Appointment</b>			
Jiani Zhou	Postgraduate Officer	02/07/2018	02/07/2020	Elected by Members			
Tom Sawko	Sport Officer	02/07/2018	02/07/2020	Elected by Members			
Rob Clay	Independent Trustee	12/10/2015	12/10/2021	Appointed by the Board			
Vacancy	Independent Trustee	-	-	Appointed by the Board			
<b>SU General Management</b>							
<b>Manager name</b>	<b>Job Title</b>			<b>Staff</b>			
Naomi Galliford	Advice & Community			6			
Polly Hawker	Activities			6			
Anna Boneham	Student Volunteer			3			
Charlie Slack	Student Voice			6			
Helen Webb	Marketing			2			
Mike Dalton	Bars & Entertainment			4			
Greg Noakes	Governance & Executive Support			1			

Content	Report Number
<a href="#">16/12/2019 Finance &amp; Audit Committee Minute</a>	R1
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**FINANCE & AUDIT COMMITTEE – 16 MARCH 2020****REPORT ON ACTIONS ARISING FROM THE PREVIOUS COMMITTEE MEETING****PURPOSE**

To inform the committee of the outcome of actions arising from their previous meeting in December.

**CONTENTS**

Pages 1-2: Report

**REPORT****1. ACTIONS ARISING FROM THE LAST COMMITTEE MEETING**

1.1. Rob Clay and the Head of Finance to agree a timeline for the retendering of The SU's auditors.

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

2.1. Rob Clay and the Head of Finance to give a verbal update on the timeline for the retendering of The SU's auditors.

**ACTIONS FOR THE COMMITTEE**

3.1. The Finance & Audit committee is asked to note the report.

<b>CONTACT:</b>	Gregory Noakes (Governance & Executive Support Manager)	Telephone: 01225 386362 E-Mail: g.d.noakes@bath.ac.uk
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<b>Appendix 1: Finance &amp; Audit Committee minutes</b>
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Meeting:	<b>Finance &amp; Audit Committee</b>
Location:	<b>1 East 3.10</b>
Date & Time:	<b>Monday 16<sup>th</sup> December 2019 at 9.00am</b>
<b>Present:</b>	
Tom Sawko	Sport Officer (Chair)
Jiani Zhou	Postgraduate Officer
Ruqia Osman	Education Officer
Rob Clay	Independent Trustee
<b>In attendance:</b>	
Gregory Noakes	Governance & Executive Support Manager ( <i>Secretary</i> )
Helen McHenry	Head of Finance
Item	
1.	<b>Apologies for absence</b>  All committee members were present at the meeting.
2.	<b>Notice of any other business</b>  The following item was identified for discussion under any other business: 1) Fixed asset register
3.	<b>Declaration of conflict of interest</b>  No committee members declared a conflict of interest in any item on the agenda.
4.	<b>Minutes of the previous meeting</b>  The minutes of the previous meeting were approved by the committee and signed by the Chair ( <i>See R1 of the Committee reports</i> ).  The Head of Finance noted that the University Estates Department had agreed to pay for University Radio of Bath (URB) station repairs.
4.2.	<b>Matters arising from the previous minutes</b>  The Committee received a report on matters arising from the previous meeting ( <i>see R2 of the Board reports</i> ).  The Head of Finance noted that they would require a new auditor contract for next year.  The Committee discussed plans and timelines for the retendering of The Student Union (SU) auditors as this was due.  <b>ACTION: Rob Clay and the Head of Finance to agree a timeline for the retendering of The SU's auditors.</b>
5.	<b>Management Accounts</b>  The Committee received a report on SU management accounts and reserves ( <i>see R3 of the Committee reports</i> ).

	<p>The committee reviewed the new layout of the management accounts and agreed that they would prefer:</p> <ul style="list-style-type: none"> <li>• the income to be presented as positive and expenditure as negative;</li> <li>• project expenditure to be moved from the reserves statement to the management accounts with a note explaining that the expenditure came out of the reserves.</li> </ul> <p>The Head of Finance noted that from the start of the next financial year the management accounts would include actual expenditure to date. It was not possible to do it for the current year due to the change in cost codes.</p>
6.	<p><b>Reserves statements</b></p> <p>The committee received a report on reserves statements (<i>see R3 of the Committee reports</i>).</p> <p>The Head of Finance noted that the Flo Café was still making a small loss and that the Head of Commercial – Venues and Events would be making a recommendation to the Board that this be shut down.</p> <p><b>QUESTION:</b> A Trustee asked if The SU was making the same loss from the café as had been made when University Accommodation Hospitality Services (<i>AHS</i>) were running it.  <b>ANSWER:</b> The Head of Finance explained that The SU weren't making the same loss as AHS but were not meeting the minimum commercial targets set to make it viable to keep it running.</p>
7.	<p><b>Audit recommendations</b></p> <p>The Committee received a report on the current management accounts and reserves (<i>see R4 of the Committee reports</i>)</p> <p>The Head of Finance noted the actions they had taken to address the cash controls audit recommendation. However, they explained that they could not fully address this recommendation without the University changing their own operating procedures.</p> <p>The Head of Finance and the Governance &amp; Executive Manager reported on plans to write new financial policies which would be brought to this committee for scrutiny before going to the Board for approval.</p>
8.	<p><b>Any other business</b></p> <p>The following item had been previously identified for discussion under any other business;</p> <p>1) Fixed asset register</p> <p>The Head of Finance reported that IT intended to shut down an old server to replace with a new SQL server. This server hosted the SU's fixed asset register software. They were unable to transfer the software across; they had contacted the company that provided it who informed them there would be a one-off charge to move it and then going forward a maintenance cost of over £2000 a year.</p> <p>As The SU could not afford this The Head of Finance suggested a contact in Bristol they knew who could create an alternative system for doing this. They noted that the alternative system would require more manual work than the previous one.</p> <p>The committee agreed that this should be done, and that this area should be flagged for specific review by the Auditors.</p>

9.	<b>To set the date and time of future meetings</b>  The committee noted and confirmed the following meeting dates: Monday 16 <sup>th</sup> March 2020 at 9am.
<b>The meeting ended at 9.30 am.</b>	
<b>Item number</b>	<b>Action</b>
4.2.	Rob Clay and the Head of Finance to agree a timeline for the retendering of The SU's auditors.

**FINANCE & AUDIT COMMITTEE – 16 MARCH 2020****REPORT ON THE SU MANAGEMENT ACCOUNTS AND RESERVES.****PURPOSE**

To provide the Finance & Audit committee with an update on the financial position of The SU.

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Page 3:	Appendix 2: Reserves

**REPORT****1. Management Accounts**

- 1.1. Appendix 1 shows the management accounts for period ending 31 January 20. These reports have implemented some of the adjustments requested but remain a work in progress. Further work to be done on the phasing of budgets will eliminate some of the year to date timing variances enabling a forecast column and narrative.
- 1.2. The accounts show current surplus of £11k against expected year to date budget. There are a lot of timing differences however no significant exceptional items to note. The commercial area has closed Flo's café and will focus now on campus bars. Its income has picked up again after club nights dropped towards the end of Semester One and is expected to meet its budgeted target at year end. Central sponsorship is down but this has been offset by an increase in stall hire. Transport is a concern as the usage levels are lower than expected which may result in a deficit in this area. This is being investigated and options will be considered.

**2. Reserves**

- 2.1. Appendix 2 shows the reserves balance as at 31 January 20. This report format remains unchanged however a new version is currently being worked on and will be presented to the board for approval. Current expenditure is in line with expectation.

**ACTIONS FOR THE COMMITTEE**

3. The Finance & Audit committee is asked to note the report.

<b>CONTACT:</b>	Helen McHenry (SU Head of Finance)	Telephone: 01225 38 6903 E-Mail: <a href="mailto:h.m.mchenry@bath.ac.uk">h.m.mchenry@bath.ac.uk</a>
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## APPENDIX 1: Management Accounts

Student's Union Budget Summary	Annual budget 2019-2020 £		August	September	October	November	December	January	YTD			Annual budget remaining £	
			2019 Actual for month £	2020 Actual for month £	Actual Year-to-date 2019-20 £	Budget Year-to-date 2019-20 £	Variance to budget £						
			£	£	£	£	£	£	£	£	£		
<b>Income</b>													
University block grant	1,703,349	500	130,583	130,583	130,583	175,917	141,917	141,917	851,500	851,675	-174	-851,849	
Student groups	6,875	520	521	9,055	50,918	59,993	13,503	27,743	161,733	3,438	158,295	154,858	
Sports clubs income	367,800	530	2,129	75,264	338,972	136,441	48,937	49,677	651,420	302,300	349,120	283,620	
Commercial income	1,202,083	510	8,161	122,759	185,721	154,649	75,653	54,312	601,255	645,277	-44,022	-600,828	
Advertising & Sponsorship	43,000	540	8,510	2,038	-348	1,695	925	12,120	24,940	21,500	3,440	-18,060	
Event income	203,000	550	400	179,391	11,741	19,953	6,073	1,519	219,077	189,000	30,077	16,077	
Union income	117,800	560	31,189	10,414	19,770	12,090	4,147	5,996	83,606	36,400	47,206	-34,194	
Motor & travel income	5,000	570	0	0	0	785	370	60	1,215	2,500	-1,285	-3,785	
Internal recharges	45,000	580	0	0	9,225	5,217	16,559	3,193	34,194	22,500	11,694	-10,806	
<b>Total Income</b>	<b>3,693,908</b>		<b>181,493</b>	<b>529,505</b>	<b>746,583</b>	<b>566,740</b>	<b>308,083</b>	<b>296,537</b>	<b>2,628,940</b>	<b>2,074,590</b>	<b>554,351</b>	<b>-1,064,967</b>	
<b>Staff Costs</b>													
Staff: Payroll	-1,713,201	705	-118,011	-129,560	-152,716	-119,553	-135,133	-130,729	-785,702	-856,601	70,899	927,499	
Staff: Agency	-20,000	706	0	0	-3,472	-2,792	-4,198	-7,933	-18,395	-10,000	-8,395	1,605	
<b>Total Staff Costs</b>	<b>-1,733,201</b>		<b>-118,011</b>	<b>-129,560</b>	<b>-156,188</b>	<b>-122,345</b>	<b>-139,330</b>	<b>-138,662</b>	<b>-804,096</b>	<b>-866,601</b>	<b>62,504</b>	<b>929,105</b>	
<b>Other Expenditure</b>													
Student groups	-14,203	720	-6,982	-12,558	-34,910	-38,641	-30,635	-7,102	-130,829	-7,101	-123,728	-116,626	
Sports clubs	-423,293	730	-72,380	-47,020	-97,714	-175,739	-72,900	-75,952	-541,703	-211,647	-330,057	-118,410	
Volunteer and student costs	-54,475	785	-2,169	-3,999	-2,531	-1,793	-410	230	-10,672	-27,237	16,566	43,803	
Commercial costs (direct)	-417,269	710	-10,807	-46,569	-68,399	-63,244	-8,524	-24,952	-222,495	-208,634	-13,860	194,774	
Staff: Other	-289,087	700	-6,926	-11,378	-74,039	-54,548	-32,423	-30,039	-209,352	-177,504	-31,848	79,735	
Advertising & marketing	-18,530	740	-455	-2,100	-495	-523	-4,230	-2,179	-9,982	-9,265	-717	8,548	
Event costs (direct)	-263,400	750	-24,786	-32,848	-35,136	-10,862	-108,564	-13,732	-225,928	-181,700	-44,228	37,472	
Union expenses	-121,135	760	-20	-71,405	-12,843	-5,353	6,555	-5,319	-88,385	-90,567	2,182	32,750	
Internal Recharges	-23,300	780	0	0	-9,225	-5,517	-15,585	-1,203	-31,530	-11,650	-19,880	-8,230	
Establishment	-128,693	790	-64,322	-8,617	-1,913	-7,983	29,697	-4,607	-57,744	-54,347	-3,398	70,949	
Asset and finance expenses	-111,910	795	-16,303	-43,021	-35,265	-13,695	36,064	-8,800	-81,019	-48,955	-32,064	30,891	
Administration	-50,980	765	-13,129	3,091	-27,079	13,651	-3,734	-2,106	-29,306	-25,489	-3,818	21,673	
Motor expense	-43,375	770	-18,323	-10,703	-5,387	2,119	-7,941	-2,416	-42,651	-21,687	-20,964	724	
Depreciation	-16,100	799	-1,217	-1,217	-1,217	-1,217	-1,217	-1,217	-7,303	-8,050	747	8,797	
<b>Total Other Expenditure</b>	<b>-1,975,750</b>		<b>-237,820</b>	<b>-288,345</b>	<b>-406,151</b>	<b>-363,346</b>	<b>-213,846</b>	<b>-179,393</b>	<b>-1,688,901</b>	<b>-1,083,834</b>	<b>-605,066</b>	<b>286,849</b>	
<b>Total Expenditure</b>	<b>-3,708,951</b>		<b>-355,831</b>	<b>-417,905</b>	<b>-562,340</b>	<b>-485,691</b>	<b>-353,176</b>	<b>-318,055</b>	<b>-2,492,997</b>	<b>-1,950,435</b>	<b>-542,562</b>	<b>1,215,954</b>	
<b>Surplus/(Deficit)</b>	<b>-15,043</b>		<b>-174,338</b>	<b>111,600</b>	<b>184,243</b>	<b>81,049</b>	<b>-45,093</b>	<b>-21,518</b>	<b>135,943</b>	<b>124,155</b>	<b>11,788</b>	<b>150,986</b>	
<b>Union Projects Spend from Reserves</b>			<b>-9,108</b>	<b>-6,413</b>	<b>-6,270</b>	<b>-6,498</b>	<b>-7,671</b>	<b>-5,925</b>	<b>-41,884</b>				
<b>Net Union Surplus/(Deficit)</b>			<b>-183,446</b>	<b>105,188</b>	<b>177,972</b>	<b>74,551</b>	<b>-52,764</b>	<b>-27,443</b>	<b>94,058</b>				
<b>Other Restricted Activities:</b>													
Alumni Bids			0	-543	0	0	0	0	-543				
Student Community Partnership			-3,030	31,759	-3,581	-3,262	-4,169	-4,857	12,859				
SCP River Safety Fund			-404	0	-1,125	0	0	0	-1,529				
RAG			-4,567	-97	5,310	1,029	4,983	4,656	11,316				
<b>Net Surplus/(Deficit) Per Exchequer</b>			<b>-191,447</b>	<b>136,307</b>	<b>178,577</b>	<b>72,318</b>	<b>-51,950</b>	<b>-27,644</b>	<b>116,161</b>				

## APPENDIX 2: Reserves

		Forecast 2019/20	Actual YTD 2019/20
Opening Balance at 1 Aug 19		434,487	434,487
Permanent Reserves Held	10% Full Annual Cost	186,751	186,751
	25% Trading Margin	37,279	37,279
		224,030	224,030
<b>Reserves available for Investment</b>		<b>210,457</b>	<b>210,457</b>
<b>Forecast Operating Surplus/(Deficit)</b>		<b>(15,043)</b>	<b>(3,255)</b>
<b>Committed Reserves projects spend</b>			
2. Strategic plan		(9,867)	(9,586)
4. Business process improvements		(3,232)	(3,161)
9. CDO role		(38,625)	(17,782)
	Total	(51,724)	(30,529)
<b>Outline projects spend</b>			
5. Rowing club investment		13,859	
10. Meeting room improvements		(10,000)	
11. Staff development fund		(20,000)	(1,750)
	Total	(16,141)	(1,750)
<b>Forecast Reserves available for Investment at FYE19/20</b>		<b>127,549</b>	<b>174,923</b>

**FINANCE & AUDIT COMMITTEE – 20 MARCH 2020****REPORT ON PROGRESS MADE TO IMPLEMENT AUDIT RECOMMENDATIONS.****PURPOSE**

To provide the committee with an update on progress made to implement audit recommendations.

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Page 1: Report

Page 1: Actions for the Committee

**REPORT****1. Audit Findings Report – update on outstanding items****i. Segregation of Duties**

Work to begin later in Semester Two on creation of procedures manual and replacement of existing Bye Laws and regulations

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 some of their tasks. This is hopefully a temporary situation.

**ii. Cash Controls**

No action until University finds an alternative location for its cash deposits and security collections, and AHS to use own facilities for providing change for its outlets.

**ACTIONS FOR THE COMMITTEE**

2. The Finance and Audit Committee is asked to note the report.

<b>CONTACT:</b>	Helen McHenry (SU Head of Finance)	Telephone: 01225 38 6903 E-Mail: <a href="mailto:h.m.mchenry@bath.ac.uk">h.m.mchenry@bath.ac.uk</a>
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**FINANCE & AUDIT COMMITTEE – 16 MARCH 2020****REPORT ON BUSINESS CONTINUITY PLAN****PURPOSE**

To review and approve the business continuity plan.

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Page 2:	Actions for the Committee
Page 3-4:	Appendix 1: NEW Business Continuity Plan
Page 5-10:	Appendix 2: OLD Business Continuity Plan

**REPORT****1. BACKGROUND**

- 1.1. The business continuity plan was last reviewed in 2017. Its purpose is to identify specific areas of The SU that in the event of wide scale disruption must be prioritised to ensure continuity, even if only in a reduced capacity.
- 1.2. Examples of wide scale disruption can vary from snow days, which might only last a few days, to pandemics, which could last several months.
- 1.3. Due to the varying nature of the scenarios that might arise the business continuity plan does not go into specific details on how it will respond to each. Instead, it is intended to be a strategic tool to help senior management make essential decisions and ensure those areas that need to continue operating are.

**2. CHANGES**

- 2.1. The new business continuity plan contained within appendix 1 is a complete re-write. It has been written with key input from Heads of Departments with respect to their own areas.
- 2.2. The decision to start over with the business continuity plan was made by the Governance & Executive Support Manager who having reviewed it concluded that it was in need of updating.
- 2.3. The new business continuity plan moves away from an approach where every team had a section to one which only focuses on the vital areas of The SU. Those areas that if no thought is given to in the event of large scale disruption could have a severe and potentially lasting impact on the organisation.
- 2.4. Anything that was contained within the previous business continuity plan (appendix 2) that would not have any severe or lasting impact on The SU if it had to stop has now been removed.

**3. RECOMMENDATIONS**

- 3.1. To ensure that the business continuity plan is always up to date and ready for use it is recommended that this should be reviewed annually by the senior management team, Finance & Audit committee and Board of Trustees.

- 3.2. The senior management team should also practice holding annual emergency planning meetings to test The SU ability to respond to various scenarios.
- 3.3. Each member of the senior management team should have ready access to the business continuity plan whether at work or home to ensure that they are prepared to respond to any unexpected event that might cause wide scale disruption to the running of The SU.
- 3.4. These points should be written into the Risk Management policy.

<b>ACTIONS FOR THE BOARD</b>
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4. The Committee to decide if they approve the following recommendations being made to the Board:

**Recommendation 1:** that the business continuity plan should be reviewed annually with the risk register.

**Recommendation 2:** that the points mentioned in point 3 should be included in the Risk Management policy.

**Recommendation 3:** to approve the business continuity plan, subject to any amendments they decide

<b>CONTACT:</b>	Gregory Noakes ( <i>Governance &amp; Executive Support Manager</i> )	Telephone: 01225386362 E-Mail: <a href="mailto:gdn26@bath.ac.uk">gdn26@bath.ac.uk</a>
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**APPENDIX 1: NEW BUSINESS CONTINUITY 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 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 management	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	The SU	Remote working	Term time	
	Approving Student group events	financial	3-7 days	3-7 days	The SU	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 2: OLD BUSINESS CONTINUITY 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>Student support</b>	Independent advice and support	Loss of independent and peer-to-peer support during recovery period.	1-2 days	2 days	Student Support Services, Academic Departments	Relocate service to Virgil Building. A number of staff are trained in this area and can signpost to Student Services if needed. The Officer team is also able to answer some queries and trained to signpost to other professional services where necessary	Induction: Start of academic year until December. Welfare and Academic issues: All year	
	Housing advice and contract checking	Loss of independent and peer-to-peer support during recovery period.	1-2 days	2 days	Accommodation Services	Relocate service to Virgil Building. Officers have been trained to give housing advice so could provide additional support. Accommodation Services would be signposted too. Information also available on website	December to March	
	Support for Student Academic Appeals	Loss of independent and peer-to-peer support during recovery period.	1-2 days	2 days	Registry and Academic Departments	Relocate service to Virgil Building. Officers have been trained to support students during academic appeals. In event of bad weather staff can access queries and give advice from home. Information is also available on the website		
	Advice on mitigating circumstances (exams)	Loss of independent and peer-to-peer support during recovery period.	1-2 days	2 days	Registry and Academic Departments	Relocate service to Virgil Building. Officers have been trained to support students with mitigating circumstances. In event of bad weather - can access queries and give advice from home. Information is also available on the website	End May and beginning January	
<b>Student voice</b>	Elections: Co-ordination of Academic Reps and Faculty Reps for departments	Impaired ability to engage students in academic issues, reducing NSS scores and rankings.	1-2 weeks	2 weeks	Academic Departments, Centre for Learning & Teaching	In the event that the technology is inaccessible or disrupted it would be necessary for departments to elect student representatives via lectures. If disruption was due to extreme weather or closure of the University, the election period could be extended. The SU Marketing Department would be able to provide additional support if staffing was an issue	Two weeks prior to the start of the academic year and four weeks after	
	Academic Representatives Conference	Impaired ability to engage students in academic issues, reducing NSS scores and rankings.	Up to 3 weeks	3 weeks	Centre for Learning & Teaching, Academic Departments	In the event of disruption leading to cancellation of the event, the event would need to be rescheduled	November	Potential financial loss due to loss of food order and requirement to reorder for a second event
	Academic Representative meetings	Impaired ability to engage students in academic issues, reducing NSS scores and rankings.	Up to 2 weeks	4 weeks	Centre for Learning & Teaching, Academic Departments	Relocate to Virgil Building where possible. Meetings of Academic Council, Postgraduate or International Student Forums that are unable to take place would be rescheduled at a later date but may require additional funding due to food order commitments	October-August	Potential financial loss due to loss of food order and requirement to reorder for a second event
	Academic Representatives Awards evening	None due to mitigation approach.	Up to 4 weeks	4 weeks	Centre for Learning & Teaching, Pro VC L&T office, Academic Departments	Disruption requiring cancellation of the event would require the event to be rescheduled with potential financial loss due to food order commitments. Where rescheduling proves to be impossible, certificates to staff and students could be distributed individually	April - May	Potential financial loss due to loss of food order and requirement to reorder for a second event

	Briefings	Impaired ability to engage students in academic issues, reducing NSS scores and rankings.	1 week	4 weeks	Academic Departments, Faculties, Centre for Learning & Teaching, University Secretariat	Relocate to Virgil Building. Briefings for students unable to attend meetings could be rescheduled in the case of short term disruption. Where longer disruption, staff can brief students from home via email (briefing paper) or telephone as staff and students have virtual access to documents via the LMF SU officers are also able to help with any queries students may have	One staff member who provides a significant amount of briefings has a disability making travel difficult during poor weather
Student Development	Bath Award	Delay in accrediting students' achievements.	1 day	4 weeks	University	Information and support is available online for students undertaking the Award as the Bath Award is now entirely online via the Moodle course. The Activities Officer in Student Development team is able to support this function if necessary. Trained assessors can also provide assistance if and where necessary.	Throughout the year
	The Bath Award - Assessment and Moderation	Delay in accrediting students' achievements.	Up to 4 weeks	4 weeks	University	All assessments now take place online via the Moodle course, so campus closures/severe weather should not cause any problems, except for those assessors who are unable to access the internet off campus Moderation takes place on campus (1 day) and could potentially be postponed with students advised of the delay in results via Moodle	Various periods throughout the year
	Joblink - receiving and scanning ID for new starters	Wokforce not available for key University operations.	2 days	1 week	Payroll, University departments	Relocate to campus if possible. Unable to process any forms onto iTrent for pay unless original ID has been seen by Joblink staff	Throughout the year Students not able to start any shifts until this evidence is seen leading to loss of earnings
	Joblink - processing forms onto iTrent	Wokforce not available for key University operations.	2 days	1 week	Payroll, University departments	Relocate to campus if possible. If forms are taken home, iTrent can be accessed remotely and students added to iTrent for pay. However, they cannot be actioned without the paperwork.	Throughout the year Students not processed in time for pay deadlines
	Joblink - administrering the vacancy database	Wokforce not available for key University operations.	2 days	1 week	University departments	Can be accessed remotely via BathStudent.com and emails	Throughout the year Jobs not advertised; students unable to apply for new jobs
	Skills Training - course cancellations	Students unable to take part in development opportunities.	1 day	3 weeks	University departments running courses for Skills Training	Staff can remotely advise of changes to courses via email and social media to student attendees but unable to put posters up in room where course due to be held. Courses would be rescheduled	Throughout the year Students fail to receive information on time
	Enterprise events such as Apps Crunch, Dragons' Den and the Business Plan Competition	Students unable to take part in development opportunities.	1 week	3 weeks	Innovation Centre	Deputy Chief Executive can also provide support for this area. Events would be postponed in the event of significant adverse weather	October to March
Student groups	Support for British Universities & Colleges Sport (BUCS) fixtures (league and tournament) including eligibility and appeals	Students unable to take part in sporting fixtures, negatively impacting BUCS performance in league table.	1-2 days	1 week	Sports Development	All staff in Student Activities are trained to support BUCS	Throughout the year
	Health & Safety Advice/Risk Assessments for student trips/tours	Student events not able to take place.	1-2 days	1 week	Health and Safety, Security	The Executive & Facilities Manager provides support if the personnel are not available (as does the University Health & Safety Office). Trips would be cancelled in the event of significant adverse weather	Throughout the year
	Freshers Fair, Sports & Societies Fairs	Limited due to mitigating action	1-2 days	2 weeks	Registry/other University areas	Marketing and Student Activities both help organise these events and there are a number of staff in each area. The Events Committee could also be able to support this funditon. In the event of significant extreme weather the events would be cancelled	September/October

	The Volunteer Recognition Scheme	Limited due to mitigating action	1 day	3 weeks		In the event of severe weather/travel disruptions/campus closure, students are currently contacted via email, so any delays or changes - students could be notified by email using a mailing list which is due to be set up. The Skills & Development Coordinator could also update the BathStudent VRS webpages if necessary from off campus Vouchers are due to be given out in January, so if the campus was affected by severe weather during this time, students would have problems receiving these vouchers The Ceremony has not yet been planned but would have to be cancelled if need be. Students will have already received their rewards	
	Major events such as Edinburgh Hitch	Limited due to mitigating action	1-2 days	3 weeks	Security	In the event of significant bad weather or transport disruptions these events would be cancelled. Where possible alternative events would be planned to mitigate the possible financial risk/loss The Bars & Events Manager would provide support and an Events Committee is in place to provide advice/support The CE can also take a lead	Throughout the year
	Support for students on overseas trips (Romania/Nepal) plus any of the 'challenge' events involving trips to Kilimanjaro etc	Limited due to mitigating action	1 day	3 weeks	Security	Deputy Chief Executive acts as Home Contact in event of Volunteer staff not being available. Trip could be cancelled if significant issues in country to be visited.	Summer vacation
Experiences	TheSUBath.com	Inability to communicate with students severely affected; mitigated by work-around activities through social media. Inability to facilitate membership of student groups can be mitigated by manual work-arounds.	1-2 days	2 weeks	Marketing	MSL (external web providers) have back up servers housed in a fireproof centre. MSL can also take on additional work on our behalf. Other SU staff are also trained to provide content and functionality Student staff list in place to contact replacement student staff if needed.	Throughout the year
	Events in Bar	Loss of income essential for SU activities.	1-2 days	2 weeks	Bars	Cancel events if adverse weather conditions and low staffing	Freshers and throughout the year
	Bar Entertainment System	Loss of income essential for SU activities.	1-2 days	2 weeks	Marketing	Bar staff have contact details for the system supplier which they can contact	Throughout the year
	Freshers' Week	Welcome activity hampered, with knock-on to student engagement throughout the academic year.	1-2 days	3 days	University	In the event that Freshers' Week Events Managers (FWEMs) were all unable to continue, the Events Committee and the Bars & Events Manager would coordinate this week. Business Interruption Insurance is in place	September

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
Web site	MSL	<i>Provides a specialist digital platform developed specifically for SU use, featuring online voting, administration and purchasing functionality.</i>	<i>Digital media and manual work-arounds are possible but not sustainable over a long period of time.</i>	1-2 days	2 weeks	<i>Student groups; student leaders</i>	<i>Manual systems need regular updates.</i>
NUS Media LTD	<i>Media sales supporting SU activity</i>	<i>Media sales to national advertisers and local businesses - specialise in SU-segment brands.</i>	<i>NUS Media have a number of head office staff who would take over if there was any absence from the local agent</i>	1-2 days	2 weeks	<i>Marketing</i>	
SU Bars	<i>Metropolis security</i>	<i>Strong understanding of student clientele and campus security.</i>	<i>Bars have links with a local Bath-based security company and can call more security staff out as necessary</i>	1 day	1 day	<i>Bars</i>	
Suppliers	<i>Various suppliers provide food/beverages to the Bar area</i>	<i>NUS Ltd hold national contracts with suppliers, enabling Bath SU to benefit from discounted sales.</i>	<i>The Bars Office keeps a list of suppliers and the Bar staff are able to contact suppliers as necessary</i>	1-2 days	2 days	<i>Students/staff</i>	
Bar venue/The Tub	<i>Limited number of external hirers</i>		<i>The SU Bath has an ongoing relationship with most of the external hirers and can cancel at short notice without loss of reputation/financial risk</i>	1-2 days	4 weeks	<i>External hirers/Open University</i>	
Finance systems	<i>Finance system 'Exchequer' supports all SU activities Cashiers Office receives cash from students</i>	<i>Exchequer handles high volume low value transactions, allowing responsive approach in line with needs of student groups.</i>	<i>The University Finance team would be able to provide staff and support. Back up systems are in place through the network</i>	1 day	1 day	<i>Students/staff</i>	

<b>IT systems</b>	Computers/server/printers		Computing Services protocol would apply if the system was offline. Purchase anyew equipment/maximise use of existing equipment. Phone use if server down. If software provider for website failed a different supplier would be identified	2 days	2 days	All staff	
<b>Student Centre</b>	Provision of Student Centre for general student use/events/University functions		Singpost students to other facilities on campus. Staff in Student Centre will be able to double up in offices in 1 East and/or work from home. Other venues will be identified on campus for any events	1 day	1 day	Staff/students	
<b>Students' Union Bar/venue</b>	Bar/venue during daytime/evening		Find alternative venue on or off campus. Signpost to Parade Bar Business Interruption insurance in place	1 day	1 day	Staff/students	
<b>Storage</b>	Storage required for the thousands of pounds worth of sports and other activities' equipment		Negotiate with Estates for additional storage on campus Also able to use storage companies in the Bath/Bristol area and lock-up facilities	2 days	2 days	Students	
<b>1 East office space</b>	Staff offices		Negotiate use of other office space on campus for temporary use/move to Student Centre. Staff can work from home	1 day	1 day	Staff	
<b>Transport fleet</b>	Three people carriers One minibus One 4x4 truck		Contact hire companies in Bath (list of contacts already available)	1.5 days	1.5 days	Students/staff	
<b>Data storage</b>	Storage of electronic data on Trent (Joblink) and shared drives. Student casework data in ARC is paper based Legal contracts		All electronic data is backed up and retrievable. A database (Advice Pro) ensures casework records are kept electronically. Legal contracts are also held by suppliers as well as kept in a saf The safe is insured	2 days	2 days	Staff/students	
<b>Backstage</b>	Provision of lighting and other backstage services	Student group activity on which a large proportion of activity on campus is reliant on	There is a large contingent of Associate members who are also able to give support. Backstage/The Edge/SU also have details of external backstage companies Backstage have a Force Majeure clause	1 day	1 day	Students/The Edge/external clients	

Name	Department/sub-group	Role	Description of concerns	Mitigation	Gaps in resilience and/or further required mitigation
<i>Andrew McLaughlin</i>	<i>University of Bath Students' Union</i>	<i>Chief Executive</i>	<i>1. Decision making/financial</i>	<i>Deputy Chief Executive in place to take over decision making</i>	
<i>Michael Dalton</i>	<i>SU Bars</i>	<i>Bars &amp; Events Manager</i>	<i>Licensee</i>	<i>Recruit temporary Bars Manager/make arrangement with University Bars/other SUs</i>	

**FINANCE & AUDIT COMMITTEE – 16 MARCH 2020****REPORT ON RISK REGISTER****PURPOSE**

To review and approve the risk register.

**CONTENTS**

Page 1-2:	Report
Page 2:	Actions for the Committee
Page 3:	Appendix 1: NEW Risk Register
Page 4-16:	Appendix 2: OLD Risk Register

**REPORT****1. BACKGROUND**

1.1. The risk register was last reviewed in 2018. Its purpose is to identify and keep under review the biggest risks to The SU. These are the key risks that senior management and the Board of Trustees must keep under review due to the potentially severe impact that these could have on The SU if they were to happen.

**2. CHANGES**

- 2.1. The risk register contained within appendix 1 is a complete re-write. It has been written with key input from Heads of Departments with respect to their own areas.
- 2.2. The decision to start over with the risk register was made by the Governance & Executive Support Manager who having reviewed it concluded that it was in need of updating.
- 2.3. The previous risk register (appendix 2) contained very specific risks which meant that the register was constantly being updated yearly with new specific risks along with old ones being removed. Many of these risks were also not necessarily significant enough to require their inclusion on the risk register.
- 2.4. The new risk register moves away from very specific risks to including risks that are more broader and overarching. Many of the specific risks included on the previous risk register are now factors to be considered when reviewing to determine the likelihood of the risk happening.

**3. RECOMMENDATIONS**

- 3.1. To ensure that the risk register is always up to date it is recommended that this should be reviewed annually by the senior management team, Finance & Audit committee and Board of Trustees.
- 3.2. Next year when the risk register is reviewed key risk owners should review the past 12 months to determine if anything has changed to increase the likelihood of a risk happening.
- 3.3. These points should be written into the Risk Management policy.

**ACTIONS FOR THE BOARD**

4. The Committee to decide if they approve the following recommendations being made to the Board:

**Recommendation 1:** that the risk register should continue to be reviewed annually.

**Recommendation 2:** that this should be written into the Risk Management policy.

**Recommendation 3:** to approve the risk register, subject to any amendments

<b>CONTACT:</b>	Gregory Noakes ( <i>Governance &amp; Executive Support Manager</i> )	Telephone: 01225386362 E-Mail: <a href="mailto:gdn26@bath.ac.uk">gdn26@bath.ac.uk</a>
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**APPENDIX 1: NEW 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. Regular ongoing analysis of current market competition. Budget monitoring and approval by Trustees Reserve budget can cover SU operating costs for a year	5	2	10	5	Budget planning to account for different levels of funding. Exploring opportunities to diversify and strengthen commercial income. Establish back-up of alternative supply options to NUSSL.		Chief Executive Head of Finance Head of Commercial
Fraud	5	3	15	Financial policies, procedures and regulations. Budget monitoring and approval by Trustees External audit with auditors reporting directly to Trustees.	5	2	10	5	Review of financial policies.		Chief Executive Head of Finance Governance Manager
Staff/Student serious injury or fatality	5	3	15	Annual internal health & safety audit. staff/student health & safety training Risk assessments for high risks activities . Student/Staff events approved via online Event Planner. Fire wardens and agreed evacuation procedures. UHSE external healthy & safety audits. Suitable insurance cover for The SU. staff/student data handling training.	5	2	10	5			Chief Executive Governance Manager Head of Commercial Head of Activities
Data breach	5	3	15	Data sharing agreement with University. Data stored securely on MSL and Alterline servers. Personal staffing records kept by the University HR dept.	5	2	10	5	GDPR policy to be reviewed. Data sharing agreement with University to be reviewed. Retention schedule to be added to SU File Policy.		Chief Executive Governance Manager
IT Support Services	5	3	15	University run	5	2	10	5			Chief Executive Governance Manager
Sudden reduction in staffing resources	5	3	15	Business continuity plan. Emergency planning pre-meetings. Chief Executive on University business continuity team.	5	2	10	5			Chief Executive Deputy Chief Executive
Poor strategic planning and oversight	4	3	12	Strategy monitored and approved by Leadership Committee/Board. Annual staff area planning. Ongoing data insight research to inform strategies/planning. Project Management training. Projects approved and monitored by Leadership Committee/Board.	4	2	8	4			Chief Executive Deputy Chief Executive Heads of Departments
Poor stakeholder engagement.	4	3	12	Regular engagement activities with University stakeholders.	4	3	12	0	Memorandum of understanding with University. Clear SLA with key University departments. 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. Development of Citizen Assembly.		Chief Executive Head of Student Voice
Poor recruitment, retention and diversity	4	3	12	Trustee training and induction. Staff taining for chairing interview panels. Staff development and training opportunities. Regular staff wellbeing surveys.	4	2	8	4	Development of second line support and succession planning.		Chief Executive Deputy Chief Executive University HR
Failure to handle reputational risk	3	3	9	List of events Slander and libel training for student media/officers	3	2	6	3			

<b>APPENDIX 2: OLD RISK REGISTER</b>
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Risk ID	Description of risk	Likelihood (1-5)	Impact (1-5)	Gross Risk	Key controls or processes in place to mitigate risk	Likelihood (1-5)	Impact (1-5)	Net Risk	Movement	Improvement actions	Timescale	Risk Owner
	<b>FINANCE I</b>											
	Failure to improve our finance culture and systems, leading to: <ul style="list-style-type: none"> <li>• Disenfranchisement of under-funded student groups</li> <li>• Reduced student satisfaction with SU services due to bureaucracy and slow response times</li> <li>• Poor staff satisfaction and engagement due to lack of budget flexibility, efficient systems, transparency and decision making</li> </ul>	3	2	6	There is an improvement programme in place as part of the enabling strategy.	2	2	4	2	<ul style="list-style-type: none"> <li>• Continue improving management accounts and ledger systems</li> <li>• Budget holder development to increase accountability in SU operations</li> <li>• Review finance support structure for the SU</li> <li>• Ongoing upgrades to finance software including implementation of expense app for students.</li> </ul>	Summer 2019	Finance Manager
	Inadequate financial management: <ul style="list-style-type: none"> <li>• Failure to comply with audit and statutory requirements leading to legal infringement.</li> <li>• Revenue targets are not achieved.</li> <li>• Inability to control expenditure.</li> <li>• Single Point of Failure for management of Exchequer in SU Finance</li> <li>• Exposure to fraud.</li> <li>• Unexpected major reduction in income from remaining commercial services or unexpected increase in expenditure.</li> </ul>	2	4	8	<ul style="list-style-type: none"> <li>• Internal/External audits.</li> <li>• Board approves annual budgets.</li> <li>• Management Accounts scrutiny by SU Finance Committee.</li> <li>• Regular budget meetings to review actual spend versus budget spend.</li> <li>• Financial policies, procedures and regulations.</li> <li>• University overview of the Students' Union annual accounts / budgets.</li> </ul>	2	4	8	0	<ul style="list-style-type: none"> <li>• Development of role supporting Finance Manager.</li> </ul>	Ongoing	Finance Manager

Risk ID	Description of risk	Likelihood (1-5)	Impact (1-5)	Gross Risk	Key controls or processes in place to mitigate risk	Likelihood (1-5)	Impact (1-5)	Net Risk	Movement	Improvement actions	Timescale	Risk Owner
	<b>FINANCE II</b>											
	University charging VAT on salary recharges to The SU from January 2019 which could have a major impact on our ability to fund core Students' Union activity if there is no change in our block grant to accommodate these payments, or if no alternative solution is identified.	2	4	8	The SU are engaging the University to remain informed of changes that might take place in this area.	1	4	4	4	No further actions are possible at this time.		Finance Manager + Chief Executive
	Lack of an SU-wide inventory means that we do not have a full sense of what assets we hold, what state of repair they are in, or when they might need replacing. No provision in the annual budget to fund replacement costs. Inadequate insurance leading to unforeseen losses.	4	2	8	<ul style="list-style-type: none"> <li>Asset registers in place for key risk-bearing assets: vehicles, portable electrical appliances, office equipment.</li> <li>Annual returns of student group assets to The SU.</li> </ul>	3	2	6	2	Find out approximate cost of furnishing one work station and multiply by number of work stations. Find out approximate cost of meeting room and area furnishing. Audit of key asset areas Extend use of single asset register system Identify replacement timings and costs Include budget line for inventory costs	Feb 2019	Governance & Executive Support Manager
	The University has frozen the block grant and possibly may reduce in future. This restricts our ability to deliver the strategy and maintain the current standard of offer for our students.	3	4	12	The SU are engaging the University to remain informed of changes that might take place in this area. Board of Trustees being kept informed.	2	4	8	4	Budget planning for possible eventualities. Keeping relevant parties within The SU informed.	Ongoing	Finance Manager + Chief Executive

Risk ID	Description of risk	Likelihood (1-5)	Impact (1-5)	Gross Risk	Key controls or processes in place to mitigate risk	Likelihood (1-5)	Impact (1-5)	Net Risk	Movement	Improvement actions	Timescale	Risk Owner
	<b>GENERAL</b>											
	<p>Failure to ensure that there are adequate health and safety procedures in place for all SU activities:</p> <ul style="list-style-type: none"> <li>• Risk of injury/serious injury/death to staff, students and/or visitors.</li> <li>• Risk of civil action or prosecution to senior executive(s) and/or trustees.</li> <li>• Reputational damage affects ability to deliver core purpose.</li> </ul>	3	5	15	<p>Departmental and student group activity risk assessments completed.</p> <p>Health &amp; safety training provided to staff and student groups.</p> <p>Events Committee providing guidance to student groups and staff managing large events with high risk.</p> <p>Close partnership working with University H&amp;S team</p> <p>Full compliance with University health &amp; safety framework and audits.</p> <p>Health &amp; safety audit undertaken by UHSE.</p> <p>Provision of fire wardens and arrangements in place to handle evacuation.</p>	1	5	5	10	<ul style="list-style-type: none"> <li>• Further develop training resources for student leaders.</li> <li>• Implement UHSE audit recommendations.</li> <li>• Health &amp; safety committee to be created.</li> <li>• Health &amp; safety policy to be annually brought to staff attention.</li> </ul>	Sept 2019	Chief Executive
	<p>Failure to implement / design business continuity plans</p> <ul style="list-style-type: none"> <li>• Loss of income / revenue.</li> <li>• Loss of reputation.</li> <li>• Computer system failure.</li> <li>• Loss/corruption of data.</li> <li>• Loss of property and equipment.</li> </ul>	2	2	4	<p>Students' Union Business Continuity Plan (reviewed 2017).</p> <p>Alarm and Security systems.</p> <p>Appropriate insurance cover including insurance for business interruption.</p> <p>Health and Safety Management.</p>	2	2	4	0	<ul style="list-style-type: none"> <li>• No further action required at this time</li> </ul>		Deputy Chief Executive

Risk ID	Description of risk	Likelihood (1-5)	Impact (1-5)	Gross Risk	Key controls or processes in place to mitigate risk	Likelihood (1-5)	Impact (1-5)	Net Risk	Movement	Improvement actions	Timescale	Risk Owner
	<b>DATA</b>											
	<p>Personal data is not held securely, is kept longer than necessary or is used for inappropriate / unregistered purposes:</p> <ul style="list-style-type: none"> <li>• Failure to comply with statutory requirements,</li> <li>• Possible large fine from ICO</li> <li>• Damage to reputation.</li> <li>• Restrictions imposed on future data transfer limiting our ability to operate</li> </ul>	3	4	12	<p>Data transfer agreement between SU and University Registry ensures compliance. SU data stored by MSL and Alterline on secure servers under clear data agreements. Personal data (case files etc.) are securely stored, reviewed and deleted within appropriate timeframes. University's HR department is responsible for securely holding personnel records. Staff and student leaders receive mandatory data compliance training on induction.</p>	2	4	8	4	<ul style="list-style-type: none"> <li>• All staff renew data compliance training.</li> <li>• Implementation plan for any potential breaches of data agreements.</li> </ul>	June 2019	Web Developer & Digital Technology Lead

Risk ID	Description of risk	Likelihood (1-5)	Impact (1-5)	Gross Risk	Key controls or processes in place to mitigate risk	Likelihood (1-5)	Impact (1-5)	Net Risk	Movement	Improvement actions	Timescale	Risk Owner
	<b>LACK OF SPACE</b>											
	<p>Available space is insufficient for high levels of student demand, leading to:</p> <ul style="list-style-type: none"> <li>Erosion of student satisfaction and to being unable to access SU events, negative impact on KPIs and league tables</li> <li>Inability to respond to student feedback requesting new opportunities on campus – particularly for postgraduates and diverse audiences</li> </ul>	4	2	8	<ul style="list-style-type: none"> <li>Existing arrangements with The Edge and Sports Department facilitating student group usage.</li> <li>Ad-hoc arrangements with AHS and others for student events and activities</li> <li>Space in the Student Centre for bookings by student groups.</li> <li>SU presence in Virgil Building as venue for alternative services</li> </ul>	4	2	8	0	<ul style="list-style-type: none"> <li>Monitor participation levels for key SU events/activities to develop a clearer picture of demand on space.</li> <li>Develop clearer narrative around student need.</li> <li>Continue discussions with University partners, such as ICIA, Sports Development and AHS, about more regular low-cost access options students/student groups.</li> <li>Ongoing dialogue with University stakeholders regarding additional space in the town centre and on campus.</li> </ul>	Ongoing	Chief Executive

Risk ID	Description of risk	Likelihood (1-5)	Impact (1-5)	Gross Risk	Key controls or processes in place to mitigate risk	Likelihood (1-5)	Impact (1-5)	Net Risk	Movement	Improvement actions	Timescale	Risk Owner
	<b>MAINTAINING RELEVANCE</b>											
	<p>Failure to identify and meet the needs and interests of all students (particular emphasis on international and postgraduate students, and other groups such as mature students and BAME), or do not take adequate account of the diverse University community:</p> <ul style="list-style-type: none"> <li>• Disengagement from The SU.</li> <li>• Loss of SU credibility as the representative body for students.</li> <li>• Damage to reputation</li> <li>• Failure to comply with equality, diversity and inclusivity policies</li> </ul>	3	3	9	<ul style="list-style-type: none"> <li>• Equality return to the University.</li> <li>• Participation statistics explore inclusivity and action plans in all areas.</li> <li>• Engagement with student groups and International Students Association (ISA) &amp; Post-Graduate Association (PGA).</li> <li>• Action plans based on analysis of information gathered from a number of key surveys and other feedback mechanisms.</li> <li>• Mandatory training linked to diversity awareness</li> <li>• Attendance at specific University committees, eg attainment.</li> </ul>	2	3	6	3	<ul style="list-style-type: none"> <li>• Strategy commits SU to relevance for all students</li> <li>• Expand research to better understand motivational factors across audience types (eg Alterline student pulse and participation data)</li> <li>• Implement changes to the SU offer and targeting of different groups.</li> <li>• Business case requests to fund core work targeting diverse audiences.</li> <li>• Increase SU offer for postgraduate audiences.</li> <li>• Continue staff diversity training.</li> <li>• Student Life Pulse and participation data providing robust student insight for effective planning</li> <li>• Proactive research to determine issues.</li> </ul>	Ongoing	Chief Executive & Deputy Chief Executive

Risk ID	Description of risk	Likelihood (1-5)	Impact (1-5)	Gross Risk	Key controls or processes in place to mitigate risk	Likelihood (1-5)	Impact (1-5)	Net Risk	Movement	Improvement actions	Timescale	Risk Owner
	<b>COMMERCIAL PERFORMANCE I</b>											
	<p>Failure to achieve commercial targets in the bars, sponsorship, events, media sales and/or other commercial areas:</p> <ul style="list-style-type: none"> <li>Negative impact on SU finances,</li> <li>Reduced ability to support core work in the SU or fund step-change activity</li> </ul>	3	4	12	<p>Close monitoring of performance data through weekly and monthly reporting</p> <p>Budget forecasting to highlight phasing or confirmed performance variations</p> <p>Provision in Reserves to cover up to 20% of one year's net trading income.</p>	2	3	6	6	<ul style="list-style-type: none"> <li>Student feedback as an ongoing review of venues and events programme</li> <li>Explore options for diversifying income streams and strengthening current commercial activities.</li> <li>Identify trends, opportunities and challenges for future years</li> </ul>	Ongoing	Chief Executive
	Loss of Ede & Ravenscroft income due to lack of clarity about historic agreement and rationale for it	3	3	9		3	3	9	0	If required, build case for retaining income channel in support of student experience	Ongoing	Chief Executive
	<p>Advertising/sponsorship income declines due to:</p> <ul style="list-style-type: none"> <li>Industry moves away from advertising routes we offer</li> <li>Shift in market due to reduced competition/economic trends</li> <li>Companies reducing spending on sponsorship due to uncertain economic climate.</li> </ul>	3	3	9	Partnership with Bath Spa SU to capitalise on local media sales opportunities and partnership development	3	3	9	0	No further actions required at this time.	Ongoing	Marketing Manager
	NUS Service Ltd collapse could potentially affect commercial income and increase purchasing and transaction costs.	3	3	9	Maintain close dialogue with the NUSSL team to keep ahead of potential changes.	3	3	9	0	Identify alternative supply options.		Bars & Events Manager

Risk ID	Description of risk	Likelihood (1-5)	Impact (1-5)	Gross Risk	• Key controls or processes in place to mitigate risk	Likelihood (1-5)	Impact (1-5)	Net Risk	Movement	Improvement actions	Timescale	Risk Owner
	<b>COMMERCIAL PERFORMANCE II</b>											
	Bars fail to meet commercial contribution targets due to lack of sales or cost increases	3	3	9	<ul style="list-style-type: none"> <li>• Strong awareness of sector trends</li> <li>• Agreed programme, pricing and offer of the bars and entertainments</li> <li>• Continued focus on cost efficiency measures to ensure control of management and staff costs.</li> <li>• Ongoing competitor analysis (campus, city and nationally) to ensure relevance and currency of offer of the entertainments programme.</li> <li>• Robust financial monitoring.</li> </ul>	2	3	6	3	No further actions required at this time.		Bars & Events Manager
	Collapse of A-list partnership affects our ability to offer a quality club experience on Saturdays, reducing bar and ticket sales	2	2	4	<ul style="list-style-type: none"> <li>• Long-standing agreement and settled ways of working</li> </ul>	2	2	4	0	Continue to maintain strong relationships and partnership working	Ongoing	Bars & Events Manager
	Failure to achieve ticketing targets for large scale events such as summer ball/ and Freshers week.	2	2	4	<ul style="list-style-type: none"> <li>• Budgeting management strategy in place for events to allow for scaling back the event costs.</li> </ul>	2	2	4	0	None possible.		Bars & Events Manager.
	Poor event management will lead reputational damage with key commercial traders that The SU deals with.				Events committee					To establish clear staff protocols for checking and approving all major events.		Bars & Events Manager.

Risk ID	Description of risk	Likelihood (1-5)	Impact (1-5)	Gross Risk	Key controls or processes in place to mitigate risk	Likelihood (1-5)	Impact (1-5)	Net Risk	Movement	Improvement actions	Timescale	Risk Owner
	<b>STUDENT DEMOCRACY</b>											
	<p>Failure to promote and encourage student participation in the Students' Unions' governance / democratic processes and elections:</p> <ul style="list-style-type: none"> <li>Poor level of representation.</li> <li>Reduced engagement with membership.</li> <li>Reduced credibility with University stakeholders.</li> <li>SU Officers elected unopposed, reducing candidate quality and mandate</li> <li>Quality of SU officers declines, reducing impact and reputation of The SU</li> </ul>	3	3	9	<ul style="list-style-type: none"> <li>Strong ethos of being student-led maintains relevance with members</li> <li>Effective delegation by the Board of Trustees of responsibility within agreed parameters.</li> <li>Marketing and Communications activity, including content strategy.</li> <li>Referendums, polls, focus groups and other traditional feedback mechanisms.</li> <li>Targeting of groups such as PGs, International students and placement students</li> <li>Accessibility through on-line nominating and voting.</li> </ul>	2	3	6	3	<ul style="list-style-type: none"> <li>Prioritise student voice within the new communications content calendar</li> <li>Identify participation strengths and weaknesses to enable targeted communications.</li> <li>Increase the impact of marketing communications through improved content.</li> <li>Improve feedback loop to show benefits of participation in democratic process.</li> <li>Improve training and development of future leaders to develop their impact and visibility.</li> <li>Further develop engagement with student groups to encourage the development of student-led policy and campaigns.</li> <li>Election support to address single point of failure within staffing.</li> </ul>	Q4 2017/18	Student Voice Manager

Risk ID	Description of risk	Likelihood (1-5)	Impact (1-5)	Gross Risk	Key controls or processes in place to mitigate risk	Likelihood (1-5)	Impact (1-5)	Net Risk	Movement	Improvement actions	Timescale	Risk Owner
	<b>GOVERNANCE / DECISION MAKING</b>											
	<p>Poor decision making within the SU governance structure reduces the delivery of quality outcomes and/or exposes trustees and The SU to legal action:</p> <ul style="list-style-type: none"> <li>• Lack of clarity in responsibilities.</li> <li>• Impaired decision making.</li> <li>• Ineffective Board of Trustees.</li> <li>• Disengagement of students</li> <li>• Petition/s for a motion of no confidence in elected member/s</li> <li>• Damage to reputation.</li> <li>• Exposure to personal liability of Trustees</li> <li>• Intervention by University/Charity Commission</li> </ul>	2	3	6	<ul style="list-style-type: none"> <li>• Articles, Bye-Laws, policies and constitutions.</li> <li>• Training provided to Board of Trustees detailing legal framework.</li> <li>• Directors and Officers insurance policy in place.</li> </ul>	1	3	3	3	<ul style="list-style-type: none"> <li>• Review of Articles, policies and procedures will help improve transparency of Governance and decision making, and make it easier to access</li> <li>• Establishing of Finance &amp; Audit committee and Health &amp; Safety committee will ensure that trustees have appropriate oversight in these areas.</li> </ul>	End 2018/19	Governance & Executive Support Manager

Risk ID	Description of risk	Likelihood (1-5)	Impact (1-5)	Gross Risk	Key controls or processes in place to mitigate risk	Likelihood (1-5)	Impact (1-5)	Net Risk	Movement	Improvement actions	Timescale	Risk Owner
	<b>STUDENT REPRESENTATION</b>											
	<p>Failure of The SU, Officers, elected reps and Execs to achieve change:</p> <ul style="list-style-type: none"> <li>Reduced influence in University decision making &amp; in the wider community.</li> <li>Reduced perception by University of importance of the SU as key representative body.</li> <li>Negative impact on funding in support of SU strategy/core work</li> </ul>	2	5	10	<ul style="list-style-type: none"> <li>SU Officers &amp; elected representatives on key University committees</li> <li>Briefings and de-briefings of student representatives</li> <li>Maximisation of opportunities for informal networking,</li> <li>Training in place for SU Officers and elected representatives</li> <li>Targeted campaigns through identification of Top Ten Issues and engaging with key stakeholders</li> <li>Partnership working with other bodies and departments</li> </ul>	1	3	3	7	<ul style="list-style-type: none"> <li>Review student leader training to enhance lobbying and campaigning skills.</li> <li>Rolling review of actions in Top Ten.</li> <li>Communications enabling programme to improve impact and awareness of SU activity</li> <li>Proactive research to find out issues.</li> <li>Doctorial reps system review.</li> <li>Student Voice report.</li> </ul>	Ongoing	Student Voice Manager
	<p>Failure to support students to effectively promote change in their student life through campaigns and policy</p> <ul style="list-style-type: none"> <li>Students fail to perceive the Union as an effective support for change and their campaign activity.</li> <li>Policy conflict</li> </ul>	2	3	6	<ul style="list-style-type: none"> <li>Campaigns co-ordinator post supports student-led campaign activity and training</li> <li>Policy framework supports effective policy making within The SU</li> </ul>	1	2	2	0	<ul style="list-style-type: none"> <li>Further develop Student Leaders to be agents of change.</li> <li>Communications enabling programme to improve awareness and support for student-led campaigns</li> <li>Review policy support process.</li> </ul>	End 2017/18	Student Voice Manager

Risk ID	Description of risk	Likelihood (1-5)	Impact (1-5)	Gross Risk	Key controls or processes in place to mitigate risk	Likelihood (1-5)	Impact (1-5)	Net Risk	Movement	Improvement actions	Timescale	Risk Owner
	<b>PEOPLE</b>											
	The SU has identified several single points of failure within the SU staffing in the following areas: <ul style="list-style-type: none"> <li>Finance</li> <li>Student led democracy</li> <li>Health &amp; Safety</li> <li>Governance</li> </ul>	3	3	9	This is a new section and therefore no controls currently in place.	3	3	9	0	Contingency plans to be developed for each single point of failure to ensure The SU can cover staff absences in these areas.	September 2019	Chief Executive
	Failure to recruit, retain and develop high quality staff. Failure to deal effectively with poor performance: <ul style="list-style-type: none"> <li>Reduced efficiency/effectiveness in service delivery</li> <li>Declining student satisfaction</li> <li>Failure to deliver strategic plan</li> <li>Loss of experience and/or technical skills.</li> <li>Increase in expenditure for recruitment.</li> <li>Tribunal risk.</li> </ul>	2	4	8	<ul style="list-style-type: none"> <li>Support and advice from HR business partner.</li> <li>Competency framework</li> <li><b>Personal Development Planning</b></li> <li>Analysis of employee satisfaction surveys leading to staff action plan.</li> <li>SDPR process linked to annual team/individual objectives.</li> <li>Full induction/training and review</li> <li>Regular 1:1 review meetings and performance management</li> <li>Access to staff training.</li> <li>Trustee training and development through NUS/NCVO</li> <li><b>Absence monitoring working with HR Business Partner on an HR scorecard.</b></li> <li>Exit interview and feedback process.</li> </ul>	2	3	6	2	Implement people enabling programme, including: <ul style="list-style-type: none"> <li>Developing a distinct SU employer brand</li> <li>Manager development programme</li> <li>Review of recruitment and induction</li> <li>Structure reviews</li> <li>Improve staff recognition process</li> <li>Student leader training</li> <li><b>Next staff survey and action plan</b></li> <li><b>Review of existing people enabling strategy and working towards new SU strategy and new people enabling strategy</b></li> <li><b>Full job evaluation and staffing structure changes including job titles</b></li> </ul>	Ongoing	Deputy Chief Executive

Risk ID	Description of risk	Likelihood (1-5)	Impact (1-5)	Gross Risk	Key controls or processes in place to mitigate risk	Likelihood (1-5)	Impact (1-5)	Net Risk	Movement	Improvement actions	Timescale	Risk Owner
	<b>STRATEGY</b>											
	<p>The SU is unable to deliver key objectives within its new strategy, through lack of funding, capacity or wider support within the student body, staff and/or university:</p> <ul style="list-style-type: none"> <li>• Failure to provide services relevant to student needs.</li> <li>• Failure to deliver KPIs</li> <li>• Decline in student satisfaction and impact</li> <li>• Decline in staff satisfaction and engagement</li> <li>• Loss of stakeholder support</li> </ul>	3	4	12	<ul style="list-style-type: none"> <li>• High levels of student and staff engagement in the development of the strategy.</li> <li>• Strategy aligned against University and Education strategies.</li> <li>• Approval of Strategic Plan by Board of Trustees, with regular monitoring of progress.</li> <li>• SU reserves allocated against strategic investments.</li> <li>• Monitoring of progress through Student Pulse and other evaluation data.</li> </ul>	2	4	8	4	<ul style="list-style-type: none"> <li>• Area planning process ensuring that the strategy is embedded across all areas of work.</li> <li>• Launch strategy and plan at the start of the 2017/18 academic year.</li> <li>• Improved stakeholder activity</li> </ul>	Ongoing	CE