

Agenda



Meeting:	Trustee Board
Date:	16 Dec 2021
Time:	4pm
Location:	Online
Author	Ayane Hida/Toby Cunningham/Abbie Mulcairn
Status	Draft

**Starred items are for noting and will not usually be open for discussion unless a prior request is placed with the chair.*

Some papers are confidential- they will be marked as such.

As is normal for this meeting Chair will bring TB to the top of the agenda to cover before the any of the rest of the business

ADMINISTRATION

TB 1183 Report on Membership and Statements from the Chair report (AH: 15 minutes)

Student trustee membership of sub-committees

TB 1184 Declarations of Interest *

Need to get updates from members not yet making a declaration.

(See page 6)

TB 1185 Minutes of previous meeting*

The minutes of the meeting held on 17th September 2021 (see pages 7-11) and 9th November 2021 (See pages 12-19)

TB 1186 Verbal Update on Action Points and Matters Arising (AH: 10 mins)

The Chairs Actions report and any matters arising from the minutes not otherwise covered by the agenda.

Action	Assigned to	Date to be completed
Sharing the result of the pulse survey	TCu	December Board
Sharing Job Description of TCU with BF	CW	December Board
Sharing Job description of CW with BF	CW	December Board
Sharing the staff structure with BF	CW	December Board

Sharing the full extent of exit interview report between July 2020 through November 2021	CW	December Board
Sharing the result of staff survey 2021	CW	December Board
Send the dates of the committee meeting for the rest of 2021-22	LP, AC, IG	December Board
Share the dates of the committee meeting for the rest of 2021-22 with the board	AH	December Board
Re-write schedule delegation with those recommendations and present at December board	TCu	December Board
Invite AH to the meeting with the student	TCu	Before the meeting with the student

TB 1187

Sub-Committee Proceedings (AH: 10 mins)

Any verbal updates from Chairs of the Sub-committee

To report and not/discuss

PERFORMANCE

TB 1188

CEO Report and Update (TCU)

To receive:

The report for the last quarter from the Chief of Executive. Including taking questions (see pages 21-23)

TB 1189

CEO KPI Update (AH)

To receive:

A verbal report from the Chair about KPI's

TB 1190

Organisational plan update (TC)

To receive:

To take questions on the organisational plan update (See pages 24-30).

TB 1191

Social Enterprise report (TC)

To receive:

An update on the performance of social enterprises in the first quarter (see pages 31-35)

HR & PEOPLE & CULTURE

- TB 1192** **HR Report (CW: 20 mins)**
To receive: A summary paper of HR activities
A presentation on the staff Survey 2021 and actions arising
(See pages 37-41)

FINANCE AND LEGAL

- TB 1193** **Annual Report and Accounts for Approval**
to view click [here](#)
- TB 1194** **Receive Audit Findings Report from Janette Joyce, Crowe UK** - to view click [here](#)
- TB 1195** **Financial Update and summary of issues reviewed by Finance Committee** (see pages 45 – 51)
- TB 1195a** **FC WF Accounts 2021 Draft** – to view click [here](#)
TB 1195b **FC UUEAS 2021 Annual Report Draft** – to view click [here](#)
TB 1195c **FC SUS Accounts 2021 Draft** – to view click [here](#)
TB 1195d **FC LOR – UEASU 2021** – to view click [here](#)
TB 1195e **FC Going Concern Review 2021** – to view click [here](#)
TB 1195f **Letter of support SUS Ltd 2021** – to view click [here](#)

STRATEGY/POLICIES

- TB 1196** **The future meeting schedule of the Board**
To discuss Report from TCU (see pages 54 – 55)
and approve:
- TB 1197** **Rick Management Policy** (TCU: 30mins)
To discuss Risk Management policy (see pages 56-64)
and approve:
- TB 1198** **Schedule of Delegation/Cycle of Business** (TCU: 10
To discuss minutes)
and approve: (see page 65)

RISK

TB 1199

To receive

CEO ROC Report and ROC Minutes (IG 10 minutes) (See page 67)

TB 1200

To receive

Risk Register Update with links to papers (TCU)

Please view [here](#)

SUNDRIES

TB1201

Any Other Business*

TB1202

To note:

Time, Date and Place of the next meeting*

To agree a time, date and place for the next meeting

TB1203

To note:

Cycle of Business*

For revised cycle (See page 71)

AGENDA PAPERS

ADMINISTRATION

TB1184**TB1103 Declaration of Interests**

FULL TIME OFFICER TRUSTEES	DECLARED INTEREST
Hamish Williams	Graduate of the University, Member of UUEAS, salaried UUEAS Officer, Director of two UUEAS subsidiary Companies
Ayane Hida	Graduate of the University, Member of UUEAS, salaried UUEAS Officer, Director of two UUEAS subsidiary Companies
Elizabeth Payne	Graduate of the University, Member of UUEAS, salaried UUEAS Officer, Director of two UUEAS subsidiary Companies, member of University Council
Aaron Campbell	Graduate of the University, Member of UUEAS, salaried UUEAS Officer, Director of two UUEAS subsidiary Companies, former committee roles in Pride, ACS, Urban Women's Movement and Men's Basketball, former part time employee of the Law School (UEA casual staff member)
Ivo Garnham	Graduate of the University, Member of UUEAS, salaried UUEAS Officer, Director of two UUEAS subsidiary Companies, Member of University Council
PART TIME OFFICER TRUSTEES	
Serene Shibli Sexton	Member of UEASU, part-time People of Colour Officer
Patrycja Poplawska	part time women's+ Officer, member of Labour students and polish Students Society, Law School Rep and sits on Law School Diversity Committee
POSTGRADUATE TRUSTEE	
Bradley Foster	Member of UEASU, member of PG Committee
STUDENT TRUSTEES	DECLARED INTEREST
Adrian Ashby	Member of UUEAS undergraduate student at the University, President of Mature Students' Peer Support Group
Lucy Hawker	
Vacancy	
EXTERNAL TRUSTEES	DECLARED INTEREST
Dev Aditya	Managing Director at Ottoman Institute
Jeremy Clayton	Trustee of the Campaign for Science and Engineering. Independent member and deputy chair of UEA Council, chair of the UEA Senior Officers Remuneration Committee, member of the UEA Governance Committee, member of UEA Finance Committee and member of UEA Student Experience Committee
Martin Jopp	Full time employment with Kings College London, graduate of the University of East Anglia
Frances Fay	
Anwar Azari	

**Union of University of East Anglia Students
Board of Trustees
Register of Interests**

Dec 2021



TB1185 – Minutes of previous meetings

TB1104 Minutes of 17th September 2021 board

Minutes

Subject:	Trustee Board
Location:	Online
Date:	17 th September 2021
Time:	4pm
Author:	Joe Read/Ayane Hida

Present: Aaron Campbell (FTO), Ivo Garnham (FTO), Lizzie Payne (FTO), Tyler Bell (Student), Adrian Ashby (Student, Lucy Hawker (Student), Serene Shibli Sexton (PTO), Patrycja Poplawska (PTO), Abdul Shaikh (PG), Jeremy Clayton (External), Frances Fay (External),

Chair: Ayane Hida (FTO)

In attendance: Tim Cave (Head of Finance) (TCA), Toby Cunningham (TCU) (CEO), Caroline Wilson (HR Director)

Apologies: Hamish Williams (FTO), Martin Jopp (External), Dev Aditya (External)

TB1146 Statements from the Chair

AH thanked everyone for attending. Welcomed new trustees and thanked DA as it is last board.

TB1147 Declarations of Interest

None declared.

TB1148 Minutes of previous meeting

Minor name spelling adjustments made. Accepted unanimously.

TB1149 Verbal Update on Action Points and Matters Arising

AOBs declared by AC, TB and JC.

TB1150 Sub-Committee Minutes

Taken as read.

TB1151 Chief Executive Update

TCu took the paper as read and summarised the paper in a presentation in which he shared with board. Key areas included:

Staffing:

- TUPE agreement finalised
- Staff party held in the waterfront including staff that have moved via TUPE and for other reasons.
- High turn over of career staff. This is consistent across the sector. Totalling 20 in the calendar year and 15 from the year before. TCu detailed the reasons for why staff left including; relocation and return to education. This has led to time intensive projects recruiting new staff. This has meant that Assiant directors have not been able to look at the risk register.
- 1.5% pay rise was handed out. BBC are reporting inflation rising by 3.3%. This may lead to staff leaving for better pay in the private sector.

Southern SU's:

- Co-organised an event for officers and staff in conjunction with HertsSU and hosted by Reading SU.
- Bournemouth SU will organise a campaign hub on student finance, in light of government suggestions of increasing and changing student loans and repayment.
- Officers had chance to network.

GT reshuffle

- Reported a new minister and stated optimise. But believes this wont impact the free speech bill.
- Michelle Donoghue stays as universities minister

Horizon Scanning

- Reported excepted UCU industrial action on pensions and healthy and safety as staff return to work.
- Reported a plan b of the government to introduce to enforce local social distancing measures. This is very likely to impact universities where travelling and mixing is common.
- UEA sharp decline due to A level grade inflation and leaving to a number decrease. Estimates suggest UEA finances might suffer by £25mn and there may be an impact on venues.

Risks

- The primary risks occur in the budget and will be covered in the finance update. Other risks include UCU strikes, covid restrictions, staff leaving and student finance changes. All together could cause big problems for the union.

TCu asked if there were any questions. AH invited questions:

- TB asked if UEA finances suffer will this impact the block grant. TCu confirmed this year it will not impact the grant but could next year. TCu affirmed that the finances of the university are still no confirmed. Further stating
- LP asked if we could make a long term financial agreement with the university. TCu stated this is uncommon in the sector and the university would unlikely agree to terms for the future that was not in constant review.

TB1152 Organizational Plan 20-21 Update

TCu took the paper as read. And presented a summary presentation of the key points. TCu presented the charities mission, purpose and values. TCu then presented the 6 strategic themes to build a better union. TCu then presented the foundations of the SU: Our people, Social enterprise, Health and safety, risk and compliance, finance and the buildings. TCu expanded:

Engagement:

- Supporting officers and their workload
- Raising officer profiles
- Celebrating diversity
- Making all outlets covid secure
- Restart work against harassment and discrimination

Review recording

Support:

- Bystander support
- Wellbeing pulse survey work in conjunction with UEA
- Alcohol and rug impact – NUS project
- Updating landlord accreditation scheme to importance standards

Building a better union

- Preparing union for financial processing transfer to UEA
- Staff training and development
- Wellbeing and culture
- Reward and recognition
- Embedding risk and compliance policy
- Health and safety external review, general union and venues.

TCu and AH invited questions:

- TB asked 'Just wondering where we are with Alterline? Are we still going to be using them?'. TCu reported the current position which was that the first workshop had taken place and questions for the survey had been agreed and stated that with Alterline we should be careful not foul of the 'tyranny of the majority' where broad themes come out of the student body and the voice of minority are lost.

TB1153 CEO KPIs

With HW off ill, this item will be circulated by email. AH apologised to board and TCu.

TB1154 Social Enterprise Report

Due to the lack of trading. This will be covered in the finance section.

TB1155 HR Report

CW not present.

TB1156 Appointments and Departures

CW not present.

TB1157-59 Finance Update, End of Year Accounts, and Budget to January 2022)

TCa presented the finance paper to board. TCa took the papers as read but summarised the key aspects:

- The year through to July does not provide much information due to lack of any performance. However, the SU achieved better than it predicted in the original budget. This was due to less spending than anticipated. The main factor is the furlough scheme being extended.
- Forecasts suggest the union to break after depreciation.
- The budget forecast 700k in cash position, however we finished on £1.3m rising to £1.6m after UEA injection.
- Resolved issues that had not been formally resolved: Grant and TUPE issues. Including stock value would be paid for and the level of the grant would apply from the beginning of the year. Rent was also not paid to UEA for the original lock down period.
- £1.7m of long-term debt including advanced tickets.
- TCa recommends a modification to the reserve position, stating we used to add back commercial liabilities usually around £750k. TCa suggests adding back advanced tickets back to the reserves rather than other liabilities, capped out a historically normal level (£400k).

TCa updated on risk:

- Reported that most risks have been resolved and turned green on the register.
- The only orange risk was the VAT position. This is due to an unresolved VAT exemption that Sus have used in catering. NUS is fighting this challenge from HMRC and it is confident that HMRC will not prevail. The SU has contributed £5k towards the challenge. HMRC are yet to have contact the SU.
- Forecasting is based on 18-19 level of commercial performance.
- If staff are lost we may reduce the amount events and thus the income.
- Supply of beer and other stock is running low across the sector, including blackcurrant which might affect the sale of snakebite.
- The risk of capacity reduction was presented based on covid passports and UEA reduction.

TCa concluded the position was robust enough to survive 500k fluctuations. In normal times the union is in a cash generating position. Historical however a lot of the income comes in during October and November.

AH thanked TCa and asked for questions:

- JC asked if we are in a better financial position then predicted would the union have to restart repaying the loan to the university. TCa response it depends on the terms of the agreement with the university. Furthermore, this budget is a reflection of the funding model we currently have and would be impacted by changing financial agreements with the university and trading levels.
- LP asked when agreements would be finalised with the university. TCa said it would have to be in place before the auditors arrive, which should be within the next month.
- LP asked if having strong reserves might reduce the block grant the university hand the union. In the context of the university being in a poor position. TCa stated that at the moment the funding model is not clear as to whether it is robust enough thus it is unclear how the university would response.

- TCu feels the university don't wish to apply financial pressure on the union. Because the university values what the union provides.

TB1162 Schedule of delegation review

TCu presented the schedule of delegation. TCu summarised the purpose the reason for the document. TCu suggested the board might look at board's involvement with 'staff' with in the document. TCu concluded that a number of board items that are not often discussed should be delegated to the subcommittees. These can be reported back up via a report from the chair of management committee.

JC stated that board should have the opportunity to discuss the key issues TCu recommended be moved to a subcommittee. JC agrees if it goes to the subcommittee and then reported back to board.

(AP): TCu will re-write schedule delegation with those recommendations and present at December board.

TB1166 Nomination and Appointment of Supervising Trustee

FF was elected as a supervising trustee

Reject: Tyler

TB1169 Elect deputy chair

Vote to review in December as no nominations were present.

Tyler: rejected

TB1170 Subcommittees nominations

AHRC: TB, SSS

Finance: AA, MJ

ROC: AS

TB1171 AOB

TB1185 - Minutes of 9th November Board

Subject:	Trustee Board
Location:	Online
Time & Date:	9 th November 2021 – 5pm – 7pm
Status:	[Closed]
Author:	Abbie Mulcairn

Present (online): Ayane Hida (Chair) (FTO), Lizzie Payne (LP) (FTO), Ivo Garnham (IG) (FTO), Aaron Campbell (AC) (FTO), Jeremy Clayton (JC) (External), Patrycja Poplawska (PP) (PTO), Lucy Hawker (LH) (Student), Serene Shilbi Sexton (SS) (PTO), Bradley Foster (BF) Anwar Azari (AA), Frances Fay (FF) (External), Adrian Ashby

Chair: Ayane Hida (FTO)

In attendance: Toby Cunningham (TCu) (CEO), Caroline Wilson (CW) (HR Director)

Apologies: Hamish Williams (FTO), Martin Jopp (External) and Dev Aditya (External).

Agenda:

[TB1174](#) Statements from the Chair

[TB1175](#) Declarations of Interest

[TB1176](#) Action Points from previous meeting and Matters Arising

[TB1177](#) New Academic year

[TB1178](#) Board membership

[TB1179](#) Chair

[TB1180](#) Frequency of the Board

[TB1181](#) Any Other Business

[TB1182](#) Time, Date and Place of the next meeting

16th December 2021

[Action Log](#)

Page Break

TB1174 Statements from the Chair

Ayane (AH) welcomed the meeting and stated that since the previous Governance Coordinator had left, the meeting had no Clerk present. Ayane noted that the meeting would therefore be recorded and minuted after the meeting.

TB1175 Declarations of Interest

No conflicts of interest were declared.

TB1176 Action Points from previous meeting and Matters Arising

AH noted that there were no minutes to approve from the previous meeting as they are not finalised. AH confirmed that the Clerk usually kept an Action Log monitored by the Chair but that it was not currently active.

TCu noted in Matters Arising that Abdul was voted onto the Risk and Oversight Committee but has now left and been replaced by Bradley and as such a new Trustee needs to be voted onto the ROC. AH confirmed that this would be picked up in the AOB.

TB1177 New Academic year

TCu delivered key updates as follows:

Starting off the new year, this is the first year that the University had a week 0 with no teaching where students could transition. TCu noted that this is something the Union had been lobbying for for years. The consensus was that the week went well and teaching staff were happy with the transition and the events that were held. General consensus is that the week went well and that campus felt alive and welcoming. Some feedback from the University's survey showed that some students hadn't integrated well, but indicated that students who got involved in events outside their school reported much higher levels of belonging.

TCu noted that the Uni invested in new timetabling software which caused a lot of issues. He noted some issues had been resolved quickly following lobbying by IG.

TCu noted that the campus development programme included a plan to build a 'Sky Tower' in the carpark and refurbish the teaching wall. The teaching wall project has been pushed back but is still planned to happen. The consequence of this is that teaching space will be reduced and other spaces will need to be utilised.

TCu noted that the Uni's plan is to deliver face to face learning wherever possible but to maintain a blended learning approach where necessary. There is no record of how much teaching is taking place online vs. in person as decision making is devolved to schools. There is no tracking across the sector so there is no way to tell how UEA compares to other university's in this regard. Students seem generally satisfied with teaching, but finding timetabling and administration more difficult.

TCu noted that the University has a mask policy in place and are working to communicate this policy better to students. There are mixed views amongst teaching staff as to whether teachers should be wearing masks, but the UCU has been pushing for mask wearing due to health and safety concerns.

TCu confirmed the results of the UCU strike ballots. There were two ballots – one for pensions and one for the four campaigns. UEA met the threshold for pensions and voted 75% in favour of strike action and 85% in favour of all action short of a strike, but didn't meet the threshold for the other four campaigns. There is an internal UCU meeting next week to determine what

the next steps are. There has been nothing to confirm that there will be any strike action before Christmas.

TCu noted there were a lot of concerns around students getting spiked and that they had been looking at advice from NUS, Good Night In and other groups to see how to make our venues safer. Timetabling and spiking had been the two biggest stories of the term for students.

TCu noted to JC that on a finance side, we are about £88k ahead of budget after the first two months, but that this presents an overly optimistic view as staff implications have caused some of this saving due to staff leaving and not being replaced over summer. When new staff are in place, then the budget will rise back to expectation. Anecdotal feedback from venues is that trading has been positive with spend per head being up.

AH added that the University often makes decisions without consulting PGR and as such AH has been asked to be added to more of these meetings to ensure representation for PGRs.

IG added that course rep recruitment had finished with training currently in progress. This should result in increased feedback around teaching. IG noted that Education Committee was coming up, which is the best place for feedback around blended learning. IG also noted that the issues with timetabling meant staff capacity was moved over to fix this, leaving a gap in other areas of administration. IG confirmed that the Uni is happy for this to be communicated to students. IG has been able to put across student frustration to the University Timetable Review group and hopes this will lead to less issues in the future.

JC asked how it was going with the charitable side of the Union's work and whether we were meeting demand effectively. JC asked about budgets in uea(su) venues and whether spiking or other safety concerns were having an impact.

TCu responded that:

- Student interest in events is stretching staff capacity in some areas. There is a rigorous risk assessment process in place, but this was being reviewed due to the uptake in interest. Overall, there are no major concerns in this area.
- Advice Centre are busy but within capacity due to adding additional staff.
- Student Voice team is entirely new so although not in the usual place with understanding what's going on on the ground, the reps are still feeding back and new staff are energetic and doing well.
- Risks discussed at the last Board meeting re: security staff have carried over. SIA staff couldn't renew their badge and staff capacity has diminished due to lack of interest. The venue capacity has been limited due to both Covid and lack of security staff. TCu noted the head of security has done a brilliant job keeping the team together and motivated. TCu and CW might have to look at raising pay in order to secure adequate staff. Covid secure checks are still happening on the door and these are working well and not causing issues with the queue.
- TCu noted that the number of covid positive cases on campus had not exceeded 30 at any given time. Confident that LCR is not a covid spreading event.

LH asked about the survey which stated some student's didn't feel indicated and why they felt this way. TCu stated that this year has been difficult to transition for lots of reason, including students not having the confidence of A Level results and exams resulting in imposter syndrome.

AA asked about imposter syndrome and noted that this is especially apparent for mature students. AA asked whether the Board could get access to the raw data. TCu confirmed there is a data sharing issue with Tableau. TCu confirmed he would chase and that the union would be doing its own survey. There is work ongoing to secure data sharing between the union and university in the future.

TB1178 Board membership

AH has been working with CW to recruit one more external trustee from a HR perspective as this is currently missing from the Board. AH asked whether we need one more or whether the Board should wait.

JC noted that after being on the Board, their feeling is that that the board is a bit stretched for externals and extra capacity would be useful and that two extra additions would be good if possible.

TCu noted that the board needs to consider the balance between students, FTOs and externals and ensure that it doesn't fall in favour of one group. TCu noted there would be implications on how student trustees were recruited following the democracy review. Suggested bringing a paper to a future board meeting suggesting ways it could reform to be in line with the democracy review.

LP noted that its important for the Trustee Board to be student led and too many externals may unbalance the leadership of the SU. This being said more trustees could spread out the load and not put too much onus on each trustee.

SS noted that the democracy review would maintain a SOC like structure and the impact of the DR shouldn't be huge when it comes to student recruitment to the board.

AA agreed that the student balance should be maintained. AA noted that things like disciplinary's and lengthy investigations were taking a lot of time, and more expertise in this area from trustees could be useful to save time for the board.

TCu noted that there was currently nothing in place to ensure the diversity of the board makeup. This might be something for the Board to review in the future. IG noted that the board attempted to elect a new deputy chair at the previous meeting, and having that role filled with be important. IG noted having two more external trustees might be useful in this regard.

SS noted that although diversification of the board would be useful, student engagement across the board needs to be focused on, and if there is a diversity problem then wider solutions need to be sought. Roles should be advertised in more diverse places and board should seek ways to gain wider trust of students.

TB1179 Chair

The Board agreed to retain AH as interim Chair of the Board.

TB1180 Frequency of the Board

AH noted that the Board meets four times a year, and that other SU's Board's meet more frequently, usually once every two months. AH noted one of the Trustees has suggested increasing the frequency of the meetings, which would make each meeting shorter and reduce the need for emergency meetings.

JC confirmed that this was their suggestion. As an external trustee, JC felt that catching up four times a year doesn't give them an accurate depiction of the running of the SU throughout the year. Having six meetings rather than four reduces the burden for each meeting and enables the Board to work on other things (for example, an away day).

FF echoed JC thoughts and agreed that if Board is to stay online then more frequent meetings would be good. Suggested each meeting could have a topic of discussion which the Board could 'deep dive' into rather than a rolling agenda. FF asked whether this is the format that would remain for the rest of the academic year, or if the Board might move back to in person.

AH noted that as a Chair it is difficult to find time where everyone is available. AH hopes for some in person meetings in the future.

AA noted that at Essex SU they had Board meetings 6 times a year. This wouldn't be a huge commitment and especially on Teams, this wouldn't be any harder than the current set up of quarterly.

TB1181 Any Other Business

AOB – 1

AH raised that uea(su) has only 1.5 people in Senior Leadership roles. AH asked TCu what he thought about this, and whether he had any thoughts on increasing this number.

TCu noted that in 2018 he presented a structure for a senior leadership team of 4 people. Caroline was appointed into one of these roles, and the Union then ran into a finance problem recruiting the rest. The union has three assistant directors who aren't paid at the level of directors. TCu noted that current assistant directors don't want the level of responsibility of being directors yet. The options are: finding the money to appoint additional directors above the assistants, or taking a longer term approach to develop current assistants to take up the positions in a few years. The second approach is the one currently taken. The board deferred future decisions to a later date. TCu will gladly have more senior staff added to the leadership team.

LP asked how much longer the current assistant directors would need to reach the level of becoming a director. TCu noted that a training programme was being worked on for management staff that will run for two years on average. Covid has delayed some staff's progress in getting to grips with their roles. TCu suggested that it might be six months to a year for the two assistant directors to move up.

AOB – 2

AC raised the question of whether AHRC should provide the Board with dates of future meetings, and whether these meetings should be open for other trustees to join. AC invited the Board to feedback.

IG noted that this would be a good idea, and would be beneficial for ROC to do this too. TCu noted that members of union council are supposed to be on some of these committees and nobody ran for these positions. Officers should encourage councillors to step up to these positions. TCu suggested agenda and dates of meetings should be shared with all of the Board and members can email Chair and request to join. Would have to consult the Bye-Laws first, but the committees are not decision making bodies in themselves; they exist to make recommendations for the Board to decide on.

AOB – 3

AC raised an AOB in relation to a member of student staff (**name redacted for confidentiality**). The Board decided that they would not intervene in this situation and that the process should be followed as laid out in the bye-laws. Ayane noted that the Board should learn from this situation in the future.

AOB – 4

BF asked who ultimately makes hiring decisions. AH explained that it depends on the situation and there are different hiring panels for different roles. CW explained that each role has a diverse hiring panel and knowledgeable staff are involved. Sometimes this includes officers, but usually not for lower level positions.

BF asked whether TCu or CW could provide the Board with an organisational chart and all the positions especially in the management team.

AOB – 5

The Board voted to ratify Anwar's position on the Board. AH noted that an additional student trustee needs to be recruited.

TB1182 Time, Date and Place of the next meeting

16th December 2021

AGENDA PAPERS

PERFORMANCE

TB1188 CEO Report

Subject:	CEO update
Produced by:	Toby Cunningham CEO
To:	Trustee Board
Date:	18 th March
Action:	To consider
Paper:	TB 1108
Purpose:	To be noted and comments/feedback invited

Finance

Budgets

We now have a bit more confidence and I am mapping out the rest of the year and developing comprehensive five-year forecasts. Tim will update the board in full in on the financial position. We have been monitoring the cash position daily. Due to staff workload, we have in some areas relaxed the furlough scheme and have some staff working full hour. We have received an indication for the ban of approval of a (net) £250 loan which can be drawn to boost cash reserves in necessary. We have not been successful in the latest round of Arts Council grants. We are also mapping out realistic commercial operations from April onwards based on the developing road map. There are still some unresolved financial issues around the new financial settlement and the TUPE transfer and we will be meeting with Ian Callaghan to resolve.

Staffing

Consultation TUPE, Staff T&Cs

At the last moment the University requested an extension to the TUPE transfer seeking a late date of up to the 1st August. They listed a number of outstanding elements both financial and HR related which they justified their request. In our view many of the issues they advised us of do not in fact delay the transfer and can only take place at the point of transfer and the late allocation of a financial controller on their part has had a significant impact. Furthermore it appears their UEA payroll does not have the capability to undertake the payroll of such a large number of student staff there are to HR casework cases outstanding, one involving student staff and furlough which they want resolved prior to transfer. We have put together a combined UEA and Union working group that meet fortnightly to manage progress of a plan that I drafted derived from their list of obstacles. We have agreed that we can only set a date once the plan offers a clear route to transfer. The transfer of HR and finance staff is at present on indefinite hold

Staff concerns and wellbeing

Our internal monthly staff 'pulse' survey continued to improve over December and January, however number completing are only half (6) the cohort invited each month. After January's results (some of which were 10 out of 10) I raised the pulse survey with staff at our Monday Morning Live briefing requesting that more staff complete the survey and give us honest feedback that we can act on. The February results whilst not seeing an increase in take up did see one respondent giving several 1's as responses bring down the overall average.

We continue to monitor workload in central services and areas of the charity and looking to reduce work where possible and bolster additional staffing resources where we can. Since reducing staff hours workload remains an

issues for the staff forum and the trade union as does general 'change' fatigue and 'exhaustion' caused by the pandemic. I am worried about COVID driven burnout – we have a number of staff on long term sick related to mental health conditions. And the extension of the summer term resident contracts is giving some staff cause for concern as it eats into the normal downtime, holiday and planning season.

We have identified a potential annual leave crisis, with many staff holding onto annual leave in anticipation of taking a holiday later in the year. However as at the end of February we had 115 working days left with 1290 staff leave to be booked. We are working with the heads of department to manage this.

The Wider Picture

I have been attending regular CEO Sessions with colleagues across the sector as well as 121 with WONKSU.

David Davis presented a 10 minute motion to the House of Commons on freedom of Speech in HEI's, Clive Barber the outgoing Chair of the Office for Students raised this issue in his leaving speech, it has been picked up by both the Education Minister and the Universities Minister. There had been the consistent citing of Germaine Greer being 'No Platformed' at Cardiff University in 2015, however this meeting did actually take place demonstrating the difficulty ministers are having finding real evidence of the problem, they have identified as being, the most important thing to talk about during a global pandemic and student mental health crisis.

<https://www.independent.co.uk/news/education/gavin-williamson-education-university-free-speech-b1802674.html>

Michelle Donelan's intervention is deeply problematic as it contradicts your legal obligations under the Charity Commission and the 1994 education Act. This very useful article from WONKHE seeks to explain the contradiction.

<https://wonkhe.com/wonk-corner/michelle-donelan-on-free-speech-at-durham/>

Interestingly enough,. the minister appears to have a converse view regarding decolonising the curriculum, the expansion of the debate around history to include a more diverse range of views is described a 'Soviet Union-like' <https://www.independent.co.uk/news/education/education-news/history-curriculum-university-michelle-donelan-culture-war-b1808601.html>

We will continue to monitor this evolving situation working with other Unions, NUS and the University to make the Unions case and demand sight of the evidence that the issue is as bad as Ministers suggest.

Wider Strategic Objectives

Following the announcement of the third lockdown it is inevitable that our output has reduced, keeping up with the communication demands from the university and the members has been very challenging for a team reduced by furlough and staff absence.

Inclusivity

We have seen an improvement in the diversity of candidates standing for election and being elected (see Election Report). The Vice-Chancellor has agreed to have two BAME ambassadors attend his tasks Force on Anti-Racism. We have LGBTQ+ history month which included a training event for staff organising women's history month. Our progress has been hindered by long term staff absence in this area. We have piloted anti-racism training for student groups and leaders.

Building Academic Communities

We worked with the University swiftly securing academic safety nets, getting reassessment fees waived, and a comprehensive no detriment policy. Callum has had a paper on Content Warning Guidance passed at Student Experience Committee and Learning and Teaching Committee. We are working on how the University can

comprehensively display preferred pro-nouns and have got agreement to make ECOSIA to UEA's default search engine (ECOSIA plant trees for every search undertaken)

Opportunities and Activities - Enabling members to fulfil their ambitions

UEA Your Way has seen over 800 new membership, and we are supporting struggling societies. Lizzie has negotiated discounts and rebates for Sports Park and Clubs based on the activity they have done this year.

Making friends, trying new experiences

We continue to run a range of on-line activities throughout the lockdown and are beginning to plan events and activities in line with the Governments road map.

Communications - Building engagement with members

We have conducted what I view to be a successful election in difficult circumstances and praise must go to all the candidates for conducting themselves in such a professional and supportive manner.

Following correspondence with the Vice Chancellor and taking feedback from Students and across the wider sector Em and Hamish lead a campaign to target the Government to help students and Universities financially during the crisis at January the Government had assigned £280bn for the COVID crisis, with just £20mn assigned for student Hardship. That equates to just £8 for each student in HE. We lobbied the VC to write to the Government which he did with 7 other VCs. We also created draft template letters for students and their partners/guardians to send to the MP. With the assistance of WONKHE we wrote a letter to the CMA signed by 15 other Student Unions.

Student support - a campus that cares

We worked with the University to change the criteria and evidence for the new Government funded hardship funds and asked them to rename to make more accessible, we agreed a limit for a basic claim with provision for more money for those in desperate need. We helped promote the fund and they revived for 1300 applications and allocated over £450k to students in two weeks. Ayane wrote to the VC regarding International Student Wellbeing and had follow up meetings with Emma Sutton Pro-VC Student Experience and attended the Project 17 International students, they agreed to write to international students and encourage them to apply for 'International Student COVID Support fund'. To contribute to quarantine costs for any students forced into Gt hotels on arrival

We are working with student and the University on the use of indiscriminate fines for COVID breaches in Halls. Following research undertaken by Surrey SU we may join a collective complaint with the CMA as fines may be a breach of the Tenancy Fees Act 2019.

Conclusion

The third lockdown has proved a challenge to staff and departments. Many staff have been placed back onto fulltime furlough and others have been very busy, dealing with uncertainty, constant change and new ways of doing things, with an increased workload and less resource. It has become more evident how increasingly difficult it is to manage the workload of Communications and student voice staff as often we are not the masters of our own destiny with national or local events of driving workload. In both teams we are seeing staff with pre-existing mental health problems struggling to cope and taking long term absences. We are backfilling with student staff and taking away an hour restrictions from staff in these areas to help. All in all I think the board can be both pleased and proud of the work staff are doing to support the membership and each other.

TB1190: Organisational Dept Action Plan

Name:	Toby Cunningham		
Dept Leads:	Caroline Wilson, Tim Cave, Claire Boothby-Barnbrook, Richard Hunter	Year	2021-22

Strategic Outcome	Objective – longer term projects linked to departmental plan	Activity/task (Lead/s)	Quarterly update	Success Criteria Measurable/KPIs/Milestones	Target dates for review and completion
1. Engagement: Building trust with the membership					
Our Insight, Marketing and Communications department works seamlessly with officers to proactively support the delivery of our objectives and respond quickly to student needs	We will take a project based approach to our work, collaborating across departments and avoiding duplication.	Three stage project approval and prioritisation process implemented	The project to change our way of working toward projects has begun, the process has been agreed, we are setting up documents Claire to visit ARSU to cross reference with their approach	25 projects submitted to project approval panel Project approval panel and monthly Project Prioritisation meetings established	June 2022 October 2021
Students know who the officers are and what they do	Officer content online is accessible and there is a regular and on-going stream of content produced to support the officers	Officers are bought into and supported in the generation of content to populate their channels, collateral could include – blogs/vlogs/Live streams and videos	Still work to do in this area but progressing well; FTOs making good use of Officer Facebook and Instagram Blogs – FTOs use their socials more than blogs at the moment, they are not fully taking advantage of this space. But we are exploring vlogs in addition to blogs for those who find them more accessible. FTO videos were generated for Welcome.	Number of visits to the Officer pages increase MoM / YoY	Jan 2022 measure around Elections and end of year measure June 2022
All students feel represented in our communications	Our communication and marketing need to be more diverse in both imagery and tone to better reflect the membership.	Identify a suitable forum for consulting with diverse student groups and learning from their experience of our comms.	Not yet started but will also fall within the broader 'Alterline' project	Comms staff meet with students at identified forum at least once per semester	June 2022

		<p>Celebrate the cultural diversity of campus and the achievements of students of colour</p> <p>Utilise the Welfare, Community and Diversity Officer's Changing the Culture checklist to review both projects and their associated comms against specific inclusivity criteria.</p>	<p>Liberation history months to have a celebratory feel, this was achieved in BHM, new LGBTQ+ clubnight launched</p>	<p>Comms staff are familiar with and use the Changing the Culture Checklist</p>	<p>June 2022</p>
<p>We have a better understanding of what students want and what issues they have</p>	<p>Introduction of pulse survey</p> <p>Regular M.I. to include; social stats, web usage, and officer messages</p>	<p>Work with Alterline on the introduction and framework of the survey</p> <p>Devise an M.I. template that the team can then use to provide data and insight regularly for SMT.</p>	<p>Survey is live</p>	<p>Students engage with the pulse survey and we achieve the engagement targets agreed with Alterline</p> <p>MI form regularly used for management committee/SMT/board insight</p>	<p>June 2022</p> <p>June 2022</p>
<p>Re-start our work on making our venue free from harassment and discrimination</p>	<p>Restart Never OK, eradicate hate, safer taxi, and good night out for our venues</p>	<p>Train all staff, improve the recording of information and report regularly to MC</p>	<p>Staff training completed, improved recording, incident now reported to MC. Cross references what we do with GNI demands and NUS advice. Working with UEA on incident reporting structures and advising students, working with police and local licensing changing licensing conditions</p>	<p>Improved recording of incident types</p> <p>Monthly report to MC</p>	<p>Commence Sept 21</p>
<p>Making our venues and bars COVID secure</p>	<p>Ensuring we are following guidance and regulations to make our operations safe for staff, students and customers</p>	<p>Risk Assessments</p> <p>Attending UEA operations meetings</p> <p>Training staff</p> <p>Appropriate PPE</p> <p>Keeping up to date with GT regulation and guidance</p>	<p>RA done, review taking place following omncron variant</p>	<p>Monitoring of case transmission through staff absence and TT & T</p>	<p>August 21 and ongoing</p>
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2. Representation & Support: Building Academic Communities					
Students have a clear understanding of the routes available to raise issues with the delivery of their education	Our course representation and academic advice processes are clear and streamlined	Create a flowchart explaining the routes to raise issues with the delivery of education Train course reps Staff attend SSLC's		Flowchart created No of hits on page indicating that students are aware of the flowchart 80% of reps trained 80% of meetings attended	End Sept 2021 And ongoing
We successfully communicate the impact academic representatives have and the value we bring	Work with Insight and Marketing to create comms strategy for academic representation work	Introduce Faculty / School-level communication of outcomes of academic representation work (e.g. Course Reps lobbying, SSLCs)	Convenor and rep training and workshops planned for the new year	At least bi-monthly comms produced at faculty level (e.g. Faculty/School newsletter update)	June 2022
3. Democracy: Transparency in Decision Making					
We engage more students in our decision making, from policies to events	Increased engagement in officer and convenor elections	Use of engagement index in elections. Engagement targets created for next 3 years Blended in person and online approach to election in 2022	Election timetable set, starts in January	Increase in Engagement index score across all elections from 7 – 7.5 Increase percentage of student body voting in elections from 13% - 15% 20% increase in individual voters	Feb 2022 Feb 2022
Students feel empowered to make change	A broad range of students engage with us to create change on a variety of issues and using a variety of different approaches	Democracy review is refined and aligned with student insight New grassroots decision making structures and project proposal pathways introduced	DR continues to be refined, we have worked through 'what council does' and are mapping with DR. we have reviewed the debate process	New democratic structures fully in place No of new project proposals or ideas put forward by a diverse range of members	March 2023 March 2023
4. Inclusivity: A Union of All					
We create a sense of belonging and safety for all on our campus	Need to be more clear about zero tolerance in the SU for any inappropriate	Specific role holder identified for each department to ensure that there is antiracism compliance/incorporation.	TC attended Leadership and Race Equity training. TC working with NUS on sector	Named person for each team/dept sits on the anti-racism working group	Nov 2021

	behaviour and how to report concerns The SU needs to be and feel like a safe space for all students that embodies our values	<p>Work with other SUs and the Anti-racism working group to write and introduce Zero Tolerance for Racism policy</p> <p>Work with the university to improve reporting procedures including exploring alternatives to Report and Support</p> <p>Update Never OK and Eradicate Hate campaigns and create comms plan for promotion of key campaign messages, with particular focus on Union House and Venues activities</p>	<p>wide race awareness and allyship training.</p> <p>Terms of reference for the Anti-racism working group updated; a member of staff for each dept identified to attend and act as lead for their area.</p> <p>We have appointed the staff member to manage the ambassador scheme and lead the anti-racism project</p>	<p>Policy written</p> <p>Policy implemented</p> <p>Increase in reports of racism and sexual harassment to Report and Support indicating better engagement with students</p> <p>Increased student satisfaction with reporting processes and outcomes</p> <p>Student recognition of key campaigns in pulse surveys</p> <p>Improved metrics on campaign webpages</p>	
We work with students and the university to create a decolonised and inclusive curriculum and learning and teaching environment	Elevate the profile of Students of Colour Ambassadors and their work	<p>Create comms plan for promoting the scheme to students</p> <p>Introduce development and leadership training for Students of Colour ambassadors (Link to training for Black student leaders in 4.2)</p> <p>Increase staff resource for Students of Colour Ambassadors</p>	<p>UEA has an inclusive curriculum policy that includes decolonising the curriculum.</p> <p>More SoC ambassadors appointed and coordinating staff member now appointed</p>	<p>Comms plan created</p> <p>Deliver at least 3 leadership and empowerment training sessions to the students of colour ambassadors</p> <p>Additional staff recruited</p>	<p>Nov 2021</p> <p>June 2022</p> <p>Nov 2021</p>
Re-start our work on making our venue free from harassment and discrimination	Restart Never OK, eradicate hate, safer taxi, and good night out for our venues	Train all staff, improve the recording of information and report regularly to MC		Improved recording of incident types Monthly report to MC	Commence Sept 21
Students feel that discrimination and harassment are taken seriously and	Processes are clear and robust and students are kept informed at each step of the process See also 4.1	<p>Review of complaints data and feedback</p> <p>Review of Red Card system alongside Zero Tolerance for Racism Policy</p>	Complaints by type now reviewed by MC and SMT	<p>UEA pulse survey feedback</p> <p>SU pulse survey feedback</p>	June 2022

responded to appropriately		Review how we share information about cases of discrimination and harassment between services Explicit rules on acceptable behaviour on our social media platforms			
5. Transforming: enabling our members to fulfil their ambitions					
a range of events that are fun and safe and give students the opportunities to meet new people and try new things.	A range of activities and opportunities are available to students to help them overcome loneliness and isolation by making friends and finding their communities, these will be fun and safe	Welcome programme successfully delivered and evaluated	Welcome events ran well, UEA pulse survey suggests students who attended out events feel they have settled into UEA better DSD programme continues	No of attendees at welcome events Positive event feedback 10% rise in society sign ups	October 2021
We recognise that sustainability is a priority for our students	Explore the possibility of the university funding a new Sustainability Coordinator post	Create job description for a new Sustainability Coordinator role Submit proposal for funding	Not yet started	JD created Proposal submitted	Nov 2021 Nov 2021
6. Support: A campus that cares					
Students know how to take care of themselves and their mates	Clear information available for students to understand what is appropriate behaviour, the consequences of poor behaviour and where to get support.	Advice webpages updated to reflect what students are looking for, rather than assuming they know what their problem is. Work with Student support to review the Harassment Policy Work with Student Support to create a Healthy Relationships Policy Update Good Night Out training to include updates in harassment and reporting processes	Advice service case numbers currently higher for the time of year than they have been since 2015. Analysis taking place to understand what is driving this. Targeted sessions in Welcome Week were very well attended. Checklist not yet implemented. Meeting held with Sarah Ward to go through changes to mental health governance structure and plans for Student Minds Mental Health Charter in 2022-23. Respect campaign	Webpages updated Policy update approved New policy written Policy approved Training updated	Oct 2021 April 2022 Dec 2021 April 2022 Dec 2022

			launched and we inputted into the brief and the design		
Increased awareness of and help to mitigate the impact of drugs and alcohol on student experience	We will work in partnership with the university to achieve or be working towards the Drug and Alcohol Impact Accreditation	<p>Key criteria:</p> <p>Work with Student Support to create a Drugs policy</p> <p>Promote drug and alcohol survey so we can understand the data around substance use at UEA</p> <p>Collaboratively deliver education and awareness activities during Alcohol Awareness week</p> <p>Deliver drug awareness training for staff including Alcohol Impact Crew</p> <p>Update Good Night Out training to include updates in Drug and Alcohol impact</p>	D&A survey promoted we had 141 responses 4 th out of the 20 participating unions	<p>Policy written</p> <p>Policy approved</p> <p>Survey promoted with good engagement</p> <p>Good online and in-person engagement with activities and campaign</p> <p>Matthew Project training day held</p> <p>Accreditation achieved</p>	<p>Nov 2021</p> <p>April 2022</p> <p>Nov 2021</p> <p>Nov 2021</p> <p>Nov 2021</p> <p>Nov 2022</p>
We are connected to the wider Norwich community and use these networks to enhance student experience, particularly in housing and accommodation.	<p>To establish uea(su) as a driver for improved quality of accommodation and student rental experience in Norwich.</p> <p>Creation of new uea(su) housing accreditation re-establishing advice(su) as a key support service for student's at UEA</p>	<p>Over the 2021/2022 we will work with key stakeholders to inform the creation of a new landlord/agent accreditation scheme that aims to improve the fairness of renting in Norwich for tenants, hold landlords/agents to greater account of their actions and improve the student renting experience.</p> <p>We will run focus groups and consultation sessions with key stakeholders to first inform the creation and content of the accreditation scheme and secondly to review and feedback on the draft scheme before launch.</p>	<p>TC meeting local councillors and police regarding students in the community</p> <p>Don't rent yet campaign.</p> <p>Working on rental accommodation standards</p> <p>Alcohol and drug awareness week taken place</p> <p>Working with UEA on new drug policy</p>	<p>Accreditation written and ready for launch in spring 2022.</p> <p>As part of the new accreditation scheme we will establish a benchmark criteria for which future measures of the accreditation scheme will be assessed by.</p> <p>We will use 2018/2019 and 2019/2020 as comparable years to 2021/22.</p>	<p>Spring 2022</p> <p>Comparable measures will be taken termly - December, March & July.</p>
7. Building a better Union					
Social Enterprise Finance KPIs	Delivering an effective business to support the Union	Measuring sales, costs and contribution	SE report will detail the financial scorecard. Attendances are up where the cap has not been reduced as is the SPH.	<p>Campus Venues GP 69%</p> <p>Ss ratio 18%</p> <p>A list Avge Att 1600 SPH £6.88</p> <p>DG avge Att 1000 SPH £6</p> <p>Waterfront</p>	

			WF is running close to budget	GP 70% Ratio 11% Meltdown 500 SPH £14 Propaganda 700 SPH £14	
Risk Management	To continue our work on developing robust risk management process	Working with the Risk and Oversight Committee	SMT reviewed RR and LCC Deep dives conduct on three issues RMP on December Board agenda	Have the revised Risk Management Policy approved by Board Have SMT review RR Conduct 4 Deep Dives and report to Board	
Health and Safety	To maintain our emphasis in developing Robust Health and Safety processes	Conduct review of new H&S and risk systems in venues Conduct external review of organisational H&S	1 st H&S meeting of years taken place. Accident and incident reporting MML in SEPT21 Ents event reports include near misses	Review implementation of pre-COVID venue changes Conduct general H&S review	March 2022
Building sustainable finance	Prepare Finance for potential transfer to UEA	Review Job Descriptions Complete process manual	JD's under review, manual continues to be worked on	JD reviewed Manual Completed	June 2022
Developing the strategy	Work with Alterline to understand the needs of members in a post COVID era	Student Survey Focus Groups Develop long term pulse survey Align strategy, digital transformation, democracy review	Survey live	2,000 survey responses New strategy presented to Board	June 2022
Training and development	Develop a comprehensive training and development policy	Qualifies training programmes for staff at different levels i.e. ILM 3& V and SMT development programme	We have received briefs and quotes from two suppliers that work within the movement. We have signed up to linked in training.	No of people attending formal training 10% rise in pulse survey on T&D	Feb 2022
Reward and recognition	Comprehensive review of reward and recognition	Benchmarking against other SUs Review of student and career staff pay structure Review of grading system	Project briefing written for Project consultant to start in January	New process in place	July 2022ospe

TB1191: Report

Subject:	Social Enterprise Performance Report
Produced by:	Richard Hunter, ADSE (Venues)
To:	Trustee Board
Date:	16 th December 2021
Action:	To consider/discuss
Paper:	
Status:	Confidential
Purpose:	This paper updates on performance of the Social Enterprises for the first actual operating quarter year trading

Summary

Overall the Social Enterprise contributions to date are ahead of budget. This is a good performance against budget and 2018/19 the last full operating year.

Student Union Services Ltd

	Year to date		
Management accounts to October 2021	Actual	Budget	Variance
	£	£	£
Overview			
Bars	216,617	203,443	13,175
Entertainments - Events	116,762	126,847	(10,085)
Entertainments - Overhead	(36,350)	(66,969)	30,619
Total Venues	297,029	263,321	33,708
Marketing & Business Development	(55,574)	(64,903)	9,329
Social Enterprise Admin.	(23,694)	(24,191)	497
Premises	(897)	0	(897)
Net Operating Income / (Expenditure)	216,863	174,228	42,636

Bars

Overall bars revenue is ahead of budget GP is slightly under budget. The pub is holding its own in the evenings but has been affected by a decline in daytime sales not helped by the lack of food at lunchtimes, currently in discussions with the university about this. Whilst still operating at a lower capacity for club nights numbers have held up as have bar sales which continue to be strong (see average term comparisons below). A strong gig programme has also driven the bar sales, which are steady if not exceptional. Wages are up as we have focused on training and compliance. We have recently addressed the lack of proper a Stock Taker, by appointing a new company and we hope by January to be able to see a better picture of the Margins and GP.

The bars result has been exceptional in the face of a trend of a high turnover of staff in the face of COVID related fears and also a whole new Bars team. An indifferent and inflexible service from NUSL in the face of serious distribution and stock issues in October has been the trigger to look for a different partnership for Bar supplies.

Ents Events

Events are holding up well but we will be conducting a review of the club offering in the new year to ensure that we are future proofing and not becoming complacent. Sports Night has outgrown its old home in the Blue Bar and is now utilising the LCR on a weekly basis which has helped boost the Clubs income

We had a successful Welcome Week and we have seen a large number of live shows as a result of the backlog caused by COVID. However, the market place for Live is still volatile, with COVID continuing to create a certain amount of issues, such as cancellations postponements and a drop off in attendance at shows with customers still fearful of gathering in crowded places. It is still uncertain how this will play out long term.

We will be looking at costs in this area.

We have also instigated the process of taking our Live booking service in house, following the demise of our previous partners VMS. This will also save us money on shows.

Damn Good 25.09.18 - 27.11.18

Attendance	Drop Outs	Net Bar Take	SPH Net	Bar Staff as % of Bar Sales	Event Net Profit	Bars Net Profit
1591	215	9453.48	6.00	9.61	2152.27	4979.29

Damn Good 14.09.21 - 30.11.21

Attendance	Drop Outs	Net Bar Take	SPH Net	Bar Staff as % of Bar Sales	Event Net Profit	Bars Net Profit
1425	216	11991.49	8.47	11.08	2431.22	7051.6

A List 22.09.18 -01.12.18

Attendance	Drop Outs	Net Bar Take	SPH Net	Bar Staff as % of Bar Sales	Event Net Profit	Bars Net Profit
2156	82	13246.36	6.29	6.88	7773.90	7273.11

A List 18.09.21 -04.12.21

Attendance	Drop Outs	Net Bar Take	SPH Net	Bar Staff as % of Bar Sales	Event Net Profit	Bars Net Profit
1986	179	18460.37	9.21	8.40	7723.07	11186.14

Propaganda 27.07.2018 - 30.11.2018

Attendance	Drop Outs	Net Bar Take	SPH Net	Bar Staff as % of Bar Sales	Event Net Profit	Bars Net Profit
1025	32	9444.97	9.09	8.57	-1340.90	4798.23

Propaganda 23.07.21 -03.12.21

Attendance	Drop Outs	Net Bar Take	SPH Net	Bar Staff as % of Bar Sales	Event Net Profit	Bars Net Profit
885	41	10390.17	12.07	8.05	-1163.29	5429.90

MeltDown 21.07.18 - 01.12.18

Attendance	Drop Outs	Net Bar Take	SPH Net	Bar Staff as % of Bar Sales	Event Net Profit	Bars Net Profit
604	23	6865.77	11.36	10.63	524.65	3757.64

MeltDown 31.07.21 - 04.12.21

Attendance	Drop Outs	Net Bar Take	SPH Net	Bar Staff as % of Bar Sales	Event Net Profit	Bars Net Profit
405	4	5882.67	14.82	11.73	258.53	2730.16

Yearly Averages

	Attendance	Net Bar	SPH	Bar Staff as % of Net Wet sales	Bars Nett Contribution
Meltdown	500	7000	14.00	10%	3,500
Propaganda	750	9800	10.50	8%	5000
A List	1600	12000	7.50	8%	10000
Damn Good	1000	6000	7.00	10%	4500

Events Overheads

Remain within a reasonable range but will need to be kept closely observed. Booking fees are performing strongly at present and are ahead of budget. But due to a depressed recruitment market, lack of security staff and a reduced

use of student staff at present the wage bill is suppressed and will rise in the next quarter. We are currently operating at about 5k behind ` budget each month.

Venue Summary

Strong performance in gigs and the box office and also club nights, is reflected in the bars and events income. But as noted above there are some potential increases in overheads on the horizon, So whilst the first quarter has returned a promising result, we will need to keep a keep an eye on overheads.

Waterfront

The Waterfront has seen a decline in profitability in the period of live shows. This is due to a lot of shows being reprogrammed due to COVID but not selling well as audiences are still wary about coming back due to COVID. We will be looking at the booking policy and being more selective about what we put into the Venue from a live music point of view.

After a slow start the clubs are getting back to their pre COVID levels of income and attendance (see above club comparison) We continue to see string attendance at Propaganda the away fan football events continue to trade well.

The bar as a result is doing well and is ahead of budget

A toilet refurbishment may have to be followed by major work on the lift, although we are currently working on a application for a grant to help us with this.

Despite a major roadworks programme which has been very disruptive we have continued to trade well, and it would appear that these works will become less of an issue going forwards.

Waterfront Limited

Management accounts to October 2021	Year to date		
	Actual £	Budget £	Variance £
Overview			
Bars	154,328	144,152	10,176
Entertainment	(3,917)	(16,235)	12,317
Games Machines	0	0	0
Total Venues	150,411	127,917	22,494
Sundry Income	75,000	75,000	0
Administration	(8,927)	(8,962)	35
Premises	(40,358)	(40,319)	(40)
Net Income / (Expenditure)	176,125	153,636	22,489

Health and Safety

We had a successful Fire drill on the 11th November at the LCR.

The Waterfront has had to replace its Fire Panel due to obsolescence, this cost c £3k

Thankfully incidents have been low since August see summary below

Summary of Accidents across Venues August to October 2021

1	Assault outside Venue on staff member: to hospital			Staff
4	Cuts to fingers 1 to hospital for stitches			Staff
2	Seizures			Students
1	Small Chemical Burn			Staff
1	Scratch to Eye flying Glass: to Hospital			Staff
2	Sprains			1 Staff 1 Customer
1	Ankle Injury			Staff
1	Fainting			Student

AGENDA PAPER

HR, PEOPLE & CULTURE

TB1192 – HR Update



HR update

Subject:	HR Update- November 2021
Produced by:	Caroline Wilson
To:	Trustee Board
Date:	01.12.2021
Action:	To note
Paper:	CW 01.12.2021
Purpose:	For information / No direct actions for board

HR update

Operational HR overview heat map.

Headcount figures

Turnover (November 2021)

Career staff

Starters	3
Leavers	1
Turnover	1.41%

Student and Casual Workers

Starters	16
Leavers	6
Turnover	1.66%

Operational HR	Number in November 2021	RAG Rating Risk	Notes	Financial impact
Grievances cases	0		No outstanding Grievance cases.	
Disciplinary Cases/Investigation	3		3 x investigations, 1 nearing its conclusion and 1 due to commence in Dec (approx. W/C 6 th) 1 concluded for a Student Worker	High- Possible risk of litigation down the line and costs associated with the use of an external investigator. For the Student Worker related investigation, low risk. A fair process was followed and appeal period has lapsed.
Compliance				
GDPR number of requests in the period	2		2 x SAR requests	Low/Medium- Administering the requests are time consuming and take time away from other activities/priorities
Contract Review for Casual Staff	N/A		New contracts drafted and to be taken to AHRC	
Contract Review for Career Staff	N/A		New contract drafted and to be taken to AHRC	
DBS Checks	9		Letters issued and checks to be processed	Within budget necessary to ensure legal compliance
Systems Changes				
Migration of Career Staff from People HR onto Staff Savvy (Due to be completed in early 2022)	N/A		Moving all Career Staff and recruitment from People HR onto Staff Savvy	Low- This project will help to streamline processes and deliver some cost savings and also allow blind sifting in recruitment to support our equality strategy

Traffic light RAG rating		
Red – High Risk	Amber – Medium Risk	Green – Low Risk

Career Staff Absence – November 2021

Department	Number of employees absent	Working Days lost
Academic Engagement, Student Voice & Equality	1	2
Activities, Opportunities & Development	1	1
Advice, Community and Welfare	0	0
Finance	1	1.5
Insight, Marketing & Communications	0	0
Operations	0	0
People	0	0
Senior Management Team and Student Officers	2	23
Venues	0	0
Waterfront	0	0
TOTAL	5	27.5

Work related stress absence

	Number of employees absent	Days lost
November	0	0

COVID-19 (suspected)

	Number of employees absent	Days lost
November	0	0

COVID-19 (confirmed)

	Number of employees absent	Days lost
November	0	0

Grievances / Disciplinarys November 2021

Grievances	Outcome
0	N/A

Disciplinarys / investigation	Outcome
Career Staff – Performance related	Investigation ongoing, nearing its conclusion for the external investigator to share his findings
Career Staff- Conduct Related	Investigator approached, should commence W/C 6 th December, awaiting investigation plan
Student Worker	1 x Student Worker dismissed for gross misconduct (theft)- gave free drinks away 5 times and admitted this during the hearing

Capability

Extension to probationary period	1
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Colleague Development

We are currently planning for lunch and learn sessions for Managers and colleagues (where applicable) for a planned launch of 2022 and I have also met with external training providers to support colleague development for courses such as ILM and similar.

I have signed an agreement with LinkedIn Learning and this rollout will begin in early 2022 to support our strategy on equality and development in the UEASU.

Planning is underway for a HR Information System Integration to move from People HR to Staff Savvy for all staff and therefore training will be needed for Managers and Colleagues; this process is in its early stages.

Staff recruitment

We are currently recruiting the following roles:

Career/Trustee

Facilities and Technical Manager- Interviews held, awaiting outcome

Head of Events – Recruitment on hold

HR External Trustee- Open for applications, closing on 13/12

Office Managers- 2nd interviews to be held

Venues Marketing Supervisor- Shortlisting underway

HR Business Partner- Applications close 05/12

HR Administration Apprentice – This is replacing the HR Assistant career role and is within budget we had and will be funded within apprenticeship levy that we pay already and allows the post holder to study and work whilst we train them.

Student/Casual

Security Staff- Rolling recruitment, ongoing with no close date

Opportunities Admin Assistant- Closing date for applications 10/12

Student Voice Assistant- Closing date for applications 13/12

Recruitment has now concluded for:

Governance and Democracy Coordinator (Career)

Technical Supervisor (Career)

Waterfront Venues Staff (Casual)
uea(su) Venues Staff and Alcohol Impact Crew (Student)
HR Administration Assistant (Student)

Legal compliance

GDPR training now all completed

Contracts under review/to be implemented- liaising with AHRC

DBS Checks- Process underway to complete DBS Checks for Advice Team and Student Officers

Project delivery

HR Information System migration- moving away from People HR- due for completion in early 2022

AGENDA PAPERS

FINANCE

TB1193 Annual Report and Accounts for Approval

Please follow the link [here](#)

TB1194 Audit Findings Report from Janette Joyce, Crowe UK

Please follow the link [here](#)

TB1195 Financial Update and summary of issues reviewed by Finance Committee

Strategic aims of the Union

This paper updates the Board on a variety of issues informing Sustainability and Governance

Equality and Diversity Impact

Not relevant

Risk Assessment

The paper deals with risks to the financial sustainability of the Union and highlights key assumptions, upside and downside risks.

The papers and associated supporting reports will be reviewed by the Finance Committee on 14 December.

Financial Implications

As above

Subject:	Summary of Issues discussed at Finance Committee
Produced by:	Tim Cave – Assistant Director, Finance.
To:	Trustee Board ; Finance Committee
Date:	08 December 2021
Action:	For information and approval
Paper:	TB 1195
Purpose:	For Information

Summary

Matters tabled for discussion at the Finance Committee on 14th December:-

1. Management Accounts for 3 Months to October 2021
2. Approval of Annual Report and Accounts for the Year to July 2021
3. Approval of Letters of Representation and Holding Co. Support.
4. Receipt of Audit Findings Report for 2021 Audit
5. Discussion of Going Concern opinion in support of Annual Report
6. Update on Catering VAT issue.

Janette Joyce will attend the meeting via Teams at 5pm and briefly present the Audit Findings Report and take any questions from the Board. She will also attend the Finance Committee Meeting on 14th December to take any more detailed questions from FC members.

Full papers are available via links on the agenda.

Brief Summary of Issues and recommendations:-

1. Management Accounts for 3 Months to October 2021

Performance is ahead of budget by £181k due to

- savings on career staff salaries as vacancies are gradually filled £101k
- Lower than budget overhead spend across all areas £77k
- Trading is in line with budget overall supporting our assumption of a return to 2018/19 levels.

Cash continues to be healthy with a large amount owed in respect of Retail and Catering as we continue to collect cash pending UEA completing transfer arrangements.

Underlying Cash is £580k ahead of budget due to

- Profit £181k
- Advanced tickets £202k
- SAM collected £179k (paid to UEA in Spring)
- Clubs & Socs £74k

FC Paper follows on Agenda.

2. Approval of Annual Report and Accounts for the Year to July 2021

3. Approval of Letters of Representation and Holding Co. Support.

The Annual Report and Accounts have been prepared and audited subject to final review and agreement of the Going Concern disclosure (see below)

The attached FC paper provides a summary of key schedules but in summary no significant areas of concern were identified and numbers are in line with Management Accounts reviewed in September (with additional formats)

The accounts will be ready for signature in January, along with Letters of representation and Holding Co. Support, which are signed on behalf of the Board by nominated Officers

Recommendation:-

Approve Report and Accounts subject to final review and authorise Officers to sign when green-lighted by Auditors.

4. Receipt of Audit Findings Report for 2021 Audit

Janette Joyce from Crowe UK will attend the meeting to briefly present the report and take any questions.

The report outlines the audit approach to risk, findings and recommendations and other areas to consider in terms of our overall risk management.

5. Discussion of Going Concern opinion in support of Annual Report

A final step in the Accounts sign-off is a going concern statement which entails a forward view of the Solvency position of the Union over the 12 months following the sign-off date (i.e to January 2023).

A basic cash flow based on budget and with sensitivity analysis will be discussed at Finance Committee with a view to recommending adoption. (Such being a specific requirement from the Auditors).

At time of writing the much-publicised emergence of the Omicron Covid variant introduces additional uncertainty which will need to be factored-in to discussions with the Auditors. If there is a need to do further risk analysis on this area in the light of new information about potential lock-down measures, the signing of the accounts may be delayed. However we are still comfortably inside the filing deadline of the end of April 2022.

Recommendation:-

Delegate completion of Going Concern work to AD of Finance and Finance Committee and agree final wording around going concern with Auditors.

6. Update on Catering VAT issue.

A recent update from NUS regarding the joint approach to the potential HMRC challenge was reviewed at Finance Committee.

A specific recommendation was that Trustee Boards are mindful of disclosure of potential liabilities and that risk assessments note the current status of the appeal, which may proceed to judicial review. For clarity, the Union Accounts and reserves position excludes any potential liability which has been estimated previously at around £120k.

Recommendation:-

For information and update of the risk register.

For further detail see FC papers Cc'd below

+++++

Summary of Other issues

Management accounts for Quarter to October 2021

Operating Profit

In the first quarter the Union generated Net Income of £385k against a budget of £204k.

This indicates that our assumption that trading in the venues would revert to 2018/19 levels is holding good so far, but also includes a short-term boost from reduced staff costs with some vacancies remaining unfilled or having been filled towards the end of the quarter.

We also tend to expect departmental overhead spends to lag behind budget at this stage of the year.

The variance against budget of £181k can therefore be categorised as follows:-

	Variance	Career Staff	Direct Trading	Dept Spend
Venues Trading	65	27	3	35
Charity	56	28		28
Central Overheads	60	46		14
	181	101	3	77

Revenues are relatively strong in the campus venues with the mix of bar and events margins producing a contribution in line with plan.

Cash

Cash balance at the end of October was £3,174k, which is £1,262k higher than budget.

This is distorted by balances relating to the year end settlement with the UEA and also the transfer of retail and catering monies which continue to be received into SU bank accounts whilst UEA finance novate all arrangements.

This position is being worked on during November but will continue to inflate SU cash until the end of December.

In addition the SU collects SAM memberships and traditionally settles these with UEA in the Spring.

This represents around £679k of the variance to budget. The remaining variance of £583k relates to:-

Increased Net Income	181
Sports Memberships	179
Advanced ticket sales	202
Clubs & societies funds	74
Capital expenditure	(47)
Other	(5)
Total	583

For additional summary schedules see Excel file 'Exec Summary Oct 21'

Update on RISKS to Income generation.

In September we identified the following risks to the budget based largely on uncertainties around the impact of post-Covid trading.

As at October 2021 we are not seeing any adverse performance against budget with overall Trading in-line on slightly increased revenues. It is difficult to provide quantifiable impacts against the various risks identified but updated narrative is appended below:-

	Likelihood	Impact		Weighted Value	Amount in plan		
					LCR	WF	note
Costs of Security staff	3	4	20	82,376	183,000	146,504	50% uplift
Availability of staff	2	3	12	21,336	54,658	30,687	5% of Contribution
Venues staff structure	4	1	6	8,000	10,000		additional staff costs
Covid mini lockdown - Authorities	2	5	20	73,845	214,607	80,773	October Contribution
Covid mini lockdown - Freshers	1	4	12	13,880	138,800		September Contribution
Bars supply issues - short term margin impact	4	2	12	17,634	14,072	7,970	Similar impact to margin
Lower ticket sales / capacity	4	4	24	159,099	38,529	173,603	Until December 15% drop
bar margin - unrecovered cost pressures	3	2	10	33,063	42,216	23,910	2% fall in GP%
Reduction in Student Numbers	3	4	20	63,506	127,013		5% on Contribution
Covid passports	5	2	14	21,461	21,461	-	10 % of October Contribution
Social Care levy	5	1	7	10,000			1.25% of Pay after April 2022
				504,200			

Updated narrative:-

Costs of Security staff – at the moment Staff are being rostered on normal rates and the issue of security staff is manifesting more around availability than wage rates. However we are managing to run all events without cancellation so far.

Venues staff Structure – along with other departments, the venue team has an underspend in the first quarter and this should mitigate any cost impact. It is also looking unlikely that there will be lost contribution at this point.

Covid Mini-lockdown / Freshers / Covid passports. We have avoided any impact so far ... but recent developments around the Omicron variant mean this is still a situation which could arise.

Bars Supply Issues – there have been some concerns around plastic cups and cordials in the first term but this is factored into the first quarter result and seems to be a receding issue at this point.

Lower ticket sales / capacity/ reduction in student numbers. In the first term there has been an offset between reduced capacity for some events and spends per head which have been higher than expected. This situation will be monitored but has no hard an adverse impact to date.

Bar margins – inflationary pressures have so far not manifested themselves and centra billing costs are generally fixed for the contract period – this pressure is therefore more likely to arise in the summer and we will need a policy on pricing to meet this.

Social Care levy – this impact is 'baked in' for the period post-April 2022.

Summary of other issues

There are some additional issues for the Finance Committee to discuss and recommend to the Board

1. Going Concern review
2. Update of Catering VAT position.
3. Receive draft Audit Findings Report

1. Going Concern Review

The Annual Report and accounts contain a statement on Going Concern that relies on a forward view of the solvency position of the Union at the time of audit sign-off. The Audit Findings Report states that

2.1 Going concern

We explained in our Audit Planning Report that in preparing the financial statements to comply with Financial Reporting Standard 102 the Trustees and management are required to make an assessment of the charity's ability to continue as a going concern.

Due to the impact of coronavirus on The Union of UEA Students and Subsidiaries and the current financial resources available to the charity, we highlighted that going concern was a significant risk for our audit.

Auditing Standards require us as auditors to obtain sufficient appropriate auditevidence regarding, and conclude on:

- *whether a material uncertainty related to the entity continuing to be a going concern exists, and*
- *the appropriateness of management's use of the going concern basis of accounting in the preparation of the financial statements.*

In assessing whether the going concern assumption is appropriate, the Trustees and management are required to consider all available information about the future of the charity in the period of at least, but not limited to, twelve months from the date when the financial statements are approved and authorised for issue.

The trustees' going concern assessment is a key area of emphasis and importance for our audit and, in accordance with the requirements of ISAs (UK), our audit report includes a specific reference to going concern.

We have discussed this with The Union of UEA Students' management and explained that our work on going concern includes the following:

- reviewing the period used by Trustees to assess the ability of The Union of UEA Students (including its subsidiaries) to continue as a going concern,*
- examining budgets and forecasts prepared by management covering the period of the going concern assessment to ensure that these appropriately support the trustees' conclusion,*
- reviewing the accuracy of past budgets and forecasts by comparing the budget for the current year against actual results for the year, and*
- reviewed any other information or documentation which the Trustees have used in their going concern assessment.*

We understand that management are preparing a detailed paper setting out their assessment of The Union of UEA Students and Subsidiaries' ability to continue as a going concern for consideration alongside the draft financial statements by the Finance Committee. This will include a summary of the preliminary actions surrounding the outbreak of Covid-19. We will review this assessment alongside the detailed budgets and forecasts as part of our audit finalisation.

We will be seeking representations that the Board has considered the forecasts and is satisfied that the Going Concern basis is appropriate.

Attached is a forecast of the cash position of the Union and sensitivity analysis to support above (see Excel file 'Going Concern review 2021')

This should be discussed and approved at the Meeting.

2. Update on VAT Catering issue.

The following update was received from NUS on 1 December. Attention is drawn to the highlighted section.

Hi Tim,

I write to you today with a few updates, but first to thank everyone that came back to me with the answers to the questions I asked you a little while ago – we used your information to strengthen our arguments for our second stage complaint which has now been submitted.

To recap the situation so far – NUS Charity has facilitated a campaign group of SUs to challenge HMRC's most recent interpretation of the catering concession applied to SUs – an interpretation that means that food served from a bar (or bar like environment) is not exempt from VAT. HMRC have been targeting SUs for assessments and backdating them for the last four years with this interpretation, whilst claiming it was the policy from the implementation of the concession.

NUS Charity, working with Bates Wells and with information and evidence from SUs submitted a Stage One Complaint to HMRC about this issue, and received a response on the 17th September which explained that they did not uphold the majority of our complaint.

We started the process of a Second Stage Complaint, and after speaking with Bates Wells, their VAT specialist and a roundtable of your VAT advisors, here are most of the arguments we made in summary, which was submitted on the 22nd November:

We maintain our position that the wording of the notice is unclear, hence the differing advice given. Not applying the concession consistently has led to a divergence in the decisions made and advice given which is unfair.

Advice was purported to come from the HMRC policy department and is also not restricted to three instances (the written evidence we presented to HMRC) and therefore constitutes widely held HMRC policy

That HMRC were unable to find their own internal records is irrelevant

A holistic view of the concession is that it was created to ensure a level playing field re: pricing across university and SU catering, which HMRC's current position does not maintain

"Bar food" has changed dramatically over time. At the implementation of the concession, this was taken to mean the supply of salted snacks etc., whereas now this often means substantial meals that are the provision of catering. HMRC's current interpretation is therefore outdated.

[You can take a read of the full complaint here.](#)

We still expect this case to go to judicial review, as HMRC are unlikely to change their minds, even if they have got themselves in a bit of a pickle by treating similar organisations differently.

We will shortly be starting some of the prep work for the judicial review.

As requested, I did ask all of the VAT advisors present about how they would advise SU's financial liability is treated in your accounts. They unanimously said that a provision should be made for your potential liability.

I know this has caused some discussion on [Workplace](#) and through email conversations with myself and Peter Robertson, and we understand why – we advise that it would be prudent for your board to acknowledge the potential liability and have this minuted at a board meeting, if you don't want to include amounts in your account and therefore alert HMRC if you haven't been approached yet. We also encourage you to have these conversations with your auditors as well.

I hope that's a useful update and do feel free to pass this information and the complaint to your board. I understand how difficult it must be for your board to be sitting on a potential financial risk, especially if you have received an assessment, and we are doing our best to be as quick and as thorough as possible throughout this process with that in mind.

On a related note, HMRC should not be demanding payment for any assessments made involving this issue until it has been concluded so please let us know if you do get anything through – we have already had to deal with one case of this which was an apparent administrative error.

As ever, if you have any questions or would like any further detail from me for your board or just for yourselves do let me know by emailing me at charlotte.britton-stevens@nus.org.uk

I will email through with HMRC's response as soon as we receive it.

Wishing you all well,

Charlotte

Charlotte Britton-Stevens,
NUS Charity Union Development Project Manager

AGENDA PAPERS

Strategy/Policies

TB196: Board Paper

Subject:	Frequency of Board Meetings
Produced by:	Toby Cunningham CEO
To:	Full Board
Date:	16 th December 2021
Action:	To Consider and decide
Paper:	TB XXX
Purpose:	To consider option regarding frequency and structure of board meeting and cycle

Strategic aims of the Union

It is hoped that by increasing the frequency of board meetings, trustees will be appraised of ongoing developments more frequently, it may spread the load in each of the meetings and it is hoped this will increase engagement of board members.

Equality and Diversity Impact

The frequency of board meetings puts a great burden on trustees and staff, this may have a disproportionate effect on some board members, especially those with caring responsibilities

Risk Assessment

If an increase in meetings improves board member engagement it will have a positive impact on this area of the risk register

Financial Implications

There are no financial implications

Background

The trustee board currently meets four times a year. There are four sub-committees of the board, three meet quarterly and one meets fortnightly. There is a cycle of business that ensures the board covers it's regulatory and legal obligations.

The board originally met six times a year with three sub committees – this was reduced to four meeting in 2015 and the fourth sub-committee was introduced in 2018. In 2017 we introduced an additional strategy event in April which has been 2-2 days and was interrupted by COVID in 2020-21. In previous years we have also extended the September meeting to a full day, with presentations on strategy and annual plans.

Frequency across the sector

Every Union is different, however the board may care to consider what else is happening across the sector, so I asked Southern SU CEO's the frequency of their meetings to get an indication of a possible norm.

I got 13 responses 8 of which meet 4-5 times a year in which one occasion will be a 1-2 day strategic event. Five meet 6 times a year and will include a strategy event.

One board meets only four times a year two half days on-line and two full days in person.

Most have between 2-4 subcommittees that met 2-4 times a year.

Considerations

Adding more trustee board meetings into the schedule has some implication the board may wish to consider;

- Greater commitment from trustees potentially adding 50% to their commitment
- An increase in staff time in preparing papers, agendas and minutes
- An increase in time and commitment from the chair

Benefits

If used wisely additional board meetings can increase board engagement and keep board members more frequently appraised of developments and progress on the Union strategy, it can give the opportunity for the board to spend more time on key strategic issues and deep dive into areas of interest or concern.

The way forward

There are many ways adding additional meetings can impact on the current structure and I will give two options that I think meet the needs expressed in the last meeting.

Option one

The board maintains the current quarterly meeting cycle of the committee and sub-committees and the current cycle of business.

In additions

It holds an additional strategic event in the spring with two days (weekend) put aside for an in person event that reviews performance of the strategy, hosts strategic presentations, guest speakers and workshops. The invitation for this meeting could be extended to the newly elected incoming officers to give them a flavour of the board etc. it could also include some training.

This would be followed by an additional board meeting in either July or November.

July would be good for the new Board, this meeting could be focused on the year ahead, with officers presenting manifestos and plans and alongside staff. There could also be an opportunity to deep dive into a particular issue. If July was the preferred option a written chair/CEO update in November might suffice to keep the board updated on performance.

Or

November

An additional meeting in November would enable to board to consider the performance of the Union over the critical welcome period receiving reports on commercial and charity performance as well as the opportunity to deep dive into a particular issue.

I would recommend that at least two meetings a year are in person April and the first board meeting of the new board July/September.

Option 2

A rejig of the cycle of business to cover 6 meetings (ever other month) rather than four, sub committees could meet three times a year and feed into every other board meeting.

Two meetings a year could be extended into full days and take place in person, these would include additional session on strategy and deep dives. Cycled board items would be spread across more meetings and that should enable time at each meeting to deep dive into an issue or concern or each meeting could be given a strategic theme where the board spends more time on the work of the subcommittees and or other aspects of interest (using SWOT or PESTLE models to guide discussions).

Conclusion

Aspects of the options offered above are not mutually exclusive, the board needs to consider what it wants from more meetings and the best model to achieve this.

TB1197 Risk Management Policy

Subject:	Risk Management Policy
Produced by:	Toby Cunningham
To:	Rick and Oversight Committee
Date:	11/01/21
Action:	To approve
Paper:	ROC 36
Status	Open
Purpose:	To update the policy

Introduction

This policy sets out the organisations risk management process and procedures that ensure the effective management of risk. The responsibility for the Union's corporate risk lies with the board of trustees, however the board relies on its professional staff to undertake the bulk of its risk management. This policy sets out the operational procedures for the assessment and management of risk

Review

This policy will be formerly reviewed by the Board each year.

Background: Compliance and Responsibility

The Unions governing documents and strategic plans set out clearly our charity objectives. In order to achieve these, we must identify elements that put our organisations achieving our objectives at risk.

Trustees are required to ensure that the organization effectively identifies its risk in these categories and that these risks are evaluated, managed and monitored. Trustees must then define a risk exposure profile that identifies when a risk or decision must be reported to the Board and where the net risk profile is so high the Board may decide to cease to undertake the relevant activity.

The board has established its risk philosophy, attitude and appetite.

Risk Philosophy – The Board is moderately risk averse, prudent management of fiancé and resources is required to ensure the longevity of the organization and value to the membership and key stakeholders.

Risk Appetite – The board currently has a low appetite for risk, following the COVID crisis the future remains uncertain and therefore a period of financial rebuilding and stability is preferred.

Statement of Risk Appetite

This document defines the Risk Appetite of the Union as stated through various statements for the different risk categories identified. Risk Appetite is "the amount of risk that an organisation is willing to seek or accept in the pursuit of its strategic objectives." These are graded as follows;

- Zero tolerance of Risk
- Low risk appetite
- Low to medium risk appetite
- Medium risk appetite
- Medium to high risk appetite
- High risk appetite

Identification of Risk

The management will use their skill and knowledge alongside the Charity Commission guidance on identifying Risk in five core categories;

- Governance
- Financial
- Legal
- Operational
- External

These categories are now graded as below.

Governance Risks

The Union is a democratic organisation but also a registered charity and company limited by guarantee. In addition to Compliance Risks, the Union must ensure that it is governed appropriately. The Union has **zero appetite** for any risk to its governance.

It does however recognise that students engage within our democratic processes and this often leads to change. The Union has **moderate appetite** for associated risks in this area, envisaged to be in relation to changes and activity within the democratic structure such as the roles of sabbatical and student officers and remits of student committees.

Financial Risks

The Union is likely to finish the year with up to £1mn of debt and no reserves, the new financial model gives the Union a better balance between commercial revenues and black grant, however commercial revenues are required to fund Pension Debt, service loans, fund capital projects and contribute to central services costs. Therefore at this time the Union has **zero tolerance** of risk at this time in this area.

Legal Risks

Breaking laws and regulations likely leads to reputational damage, fines and/or loss of income. The Union has a **zero tolerance** approach to risk in this area.

Operational Risks

Student engagement

Students come from a diverse background and do not have a universal outlook. Sometimes the Union will make decisions through its democratic structures that challenge a perceived view. Unions have a long history of pushing political boundaries in favour of marginalised groups. The Union has a **moderately high level** of tolerance to risk in this area

Student Experience

The Union wishes to empower students to have a voice at University, fulfil their potential and get the most from University. The Union places strong emphasis on promoting diversity and inclusivity and ensuring equality of opportunity. The Union is also committed to being socially active and challenging social norms. The Union recognises that the achievement of these goals should involve an increased degree of risk in developing the student experience, and is comfortable in accepting a **moderate to high risk** subject to ensuring that potential benefits and risks are fully understood before developments are authorised and that sensible measures to mitigate risk are established.

Health and Safety

The Union takes the safety of its staff and members very seriously. We support student groups and run events in which students undertake activities of risk. These are managed through Risk Assessments that demonstrate some tolerance of risk, this demonstrates a **low risk appetite** in this area with adequate support to minimise risk

People

The Union aims to value, support, develop and utilise the full potential of staff and volunteers to make the Union a stimulating, fun, professional and safe place to work or volunteer. It places importance on a culture of equality and diversity, dignity and respect, performance management, staff development, and the health and safety of staff, volunteers, students and visitors. It has **low appetite** for deviation from its standards in these areas.

The Union recognises that people are its key resource in delivering its charitable aims and objectives, so has a **moderate appetite** for risk in the recruitment and selection process for new staff to endeavour to ensure the Union recruits and retains a diverse, high calibre work force and to periodically refresh the organisation from outside, as long as robust recruitment and induction processes are followed to maximise assurance of the fit of the potential new staff member's values to those of the Union.

Major Projects

Major projects are required periodically to develop the Union and the services we provide, and to adapt to changes in the regulatory and technological environment, in the demographics of our membership, and in the nature and conduct of the Union's activities. The Union expects such changes to be managed according to best practice in project and change management, including ensuring sufficient expertise and resources, including people and financial resources, are available, and has **low appetite** for deviating from such standards.

Assuming best practice standards are put in place for a particular project, the Union recognises that innovation is key to the future success and sustainability of the organisation and therefore has a **moderate to high appetite** for risk in identifying and implementing major projects that support delivery of the Union's strategic objectives.

External Risks

It is important that the Union preserve its reputation. The Union therefore has a **low appetite** for risk in the conduct of activities that put its reputation in jeopardy, could lead to adverse publicity, or could lead to loss of confidence by members, other major stakeholders and funders. However, the Union will campaign vigorously to achieve change in the best interests of students, even though such change may not be supported by a major stakeholder or funder. Putting the members first means that we have a **medium to high appetite** for risk in this area when representing the needs of students, locally and nationally. The Union will endeavour to maintain key relationships and minimise reputational damage to the Union by clearly explaining how the change is in the best interests of students, and why the Union is seeking such change.

Factors that may influence the Union Risk Appetite, might be ongoing financial stability, unjust legislation and changing needs of students. The Board should review its risk appetite in all categories on an annual basis

Risk Ambitions

The Board/sub-committee will consider the short, medium and long term response to an identified risk;

- Avoid
- Accept
- Reduce
- Eliminate
- Transfer
- Share

These categories and the risk grading will form part of the risk register.

Benefits of Risk Management

Effective risk management provides a framework for control, better informed decision making, reduced volatility, improved stakeholder relationships and protection of company assets. Risk management is an enabler of the Unions strategic ambitions and developing an organizational culture around effective risk management is a key strategic priority.

Legal requirements

Charities are required by law to make a risk management statement, in their audited accounts, confirming that '...the charity trustees have given consideration to the major risks to which the charity is exposed and satisfied themselves that systems or procedures are established in order to manage those risks (Charities(Accounts and Reports) Regulations 2008). Charities need to consider risks and its management in a structured way and this policy sets out that structure.

Risk Culture

Risk Culture is the philosophy, attitude and behaviours that the Board and staff have in relation to risk. Management controls can modify behavior but ultimately it is attitude, which determines culture of behavior.

The Board recognises that any organisation is on a Risk Culture Journey and the Union is no different. The Board want to see a culture emerge where the staff, volunteers and trustees share a common purpose and language with an holistic approach to risk and strategy and risk management and internal controls are fully embedded into operations.

The Board will develop Key Risk Indicators to measure the Union progress in developing its risk culture

Risk Architecture

Role	Responsibility
The Board	Has the responsibility for the management and control particularly in setting the parameters of the process and reviewing and considering the results. The Board is responsible for setting the cultural tone or Risk management, approving this policy and defining the organisations risk appetite and for monitoring and assessing the implementation of the Risk Management Policy
Risk and Oversight Sub- Committee	The risk and oversight committee, monitor and asses the implementation of the policy, receive regular risk updates, challenge the CEO and report to board any concerns or issues.
Chief Executive	The role of the CEO is to implement the Risk Management Framework set out in the Risk Management Policy, to identify any new risks, changes to risk and any failures of controls that relate to significant risks
Senior Leadership Team	To ensure that staff have the relevant skills and experience to implement the risk framework. To maintain and update the Risk Register
Management team	To identify new and emerging risks in their areas, to design policies and procedures to implement controls identifies in the Risk Register, to report any failings in controls and/or their management to the SLT
Management team	To identify new and emerging risks in their areas, to design and implement policies and procedures to implement controls identified in the Risk Register, to report any failings in controls and/or their management to the SMT
Management Group	To design and implement policies and procedures to implement controls identified in the Risk Register, to report any failings in controls and/or their management to the MT
Staff	To correctly implement policies and procedures and report any failing of controls to their line manager

Sub-Committee

In September 2019 the board agreed to set up Risk Oversight Sub Committee that would oversee the implementation of this policy. (see Appendix 1 below).

Overall responsibility for the organizational management of risk lies with the senior post holder, they will ensure that the processes set out below are followed diligently, reporting to the board any systematic process failures in a timely manner

Risk Management Framework

The RMF sets out the methodology for the management of risk by the staff team, this methodology is based on [ISO31000:2018](#).

Integration – design – implement – monitor – review

- Integrations - is about developing organization risk culture with risk embedded into operational practice
- Design - is about developing a comprehensive framework bespoke to our organization
- Implement – putting onto place the controls identified to manage risk
- Monitor – determine the organizational architecture to monitor risk and controls
- Improve – is about understanding the ongoing journey of improvement and development
- Identify – Assess – Evaluate appropriate Controls

Evaluation of Risk

The Union uses a Corporate Risk Register to evaluate risk in the above categories. Identified risks are evaluated based on their likelihood of occurrence and severity of impact. Using current standard practice these will be allocated scores, multiplied on a risk matrix to determine the level of risk and allows the board to identify areas of higher risk (likelihood(x) x severity(y)). However, this model gives equal weight to the two assessment factors, whereas there are a category of events that extremely unlikely but have potentially catastrophic outcomes we will therefore use the method of $xy+2y$.

Key Risk Indicators

The Board will identify KRI's that will enable the ROC monitors changes to risk that have been identified as key risk areas.

Executive management will then identify actions that can be taken to manage the risk, this aim of this is to reduce the 'gross risk' to a 'net risk' that can be re-scored. The net risk or residual risk will be mapped against the Boards risk appetite.

The CEO will report Changes in Residual Risk, New risks, failures of controls KRSs and the Top Five residual risks to the Risk and Oversight Committee.

Management of Risk

The organisations executive management is the Senior Management Team (SMT) who take responsibility for designing and implementing the controls and ensuring that the controls are effectively implemented. These will feature in departmental operational actions plans, policies and procedures. Staff are trained in the areas of risk that fall into their portfolio of work. Staff will report any incidents or variations to the CRR through the line management structure.

Monitoring of Risk

The Risk and Oversight Committee will receive the CRR at each quarterly Board meeting. This will be accompanied by a report from the senior post holder identifying any incidents, updates and changes to the CRR. The Risk and Oversight Sub-committee will interrogate and approve this paper, making recommendations to the full board as necessary. The

SMT will meet monthly and the CRR will feature as a standard agenda item – giving senior manager the opportunity to raise and discuss issues and concerns. SMT will review the CRR in full every quarter and this will form the foundation of the quarterly report to the sub-committee.

APPENDIX 1

Risk Matrix definitions and Exposure Profile

Definitions

Impact (x)

Descriptor	Score	Impact on service or reputation
Insignificant	1	<ul style="list-style-type: none"> No impact on service No impact on reputation Compliant unlikely Litigation risk remote
Minor	2	<ul style="list-style-type: none"> Slight impact on service Slight impact on reputation Compliant possible Litigation possible
Moderate	3	<ul style="list-style-type: none"> Some service disruption Potential for adverse publicity – avoidable with careful handling Compliant probable Litigation probable
Major	4	<ul style="list-style-type: none"> Service disrupted Localised adverse publicity unavoidable Compliant probable Litigation probable
Extreme Catastrophic	5	<ul style="list-style-type: none"> Service interrupted for significant time Major adverse national publicity unavoidable Major litigation expected Resignation of Senior Management and Board Loss of beneficiary confidence Loss of UEA confidence

Likelihood (y)

Descriptor	Score	Example
Remote	1	May only occur in exceptional circumstances
Unlikely	2	Expected to occur in a few circumstances
Possible	3	Expected to occur in some circumstances
Probable	4	Expected to occur in many circumstances
Highly Probable	5	Expected to occur frequently and in most circumstances

Risk Matrix

Very High	5	5	10	15	20	25
High	4	4	8	12	16	20
Medium	3	3	6	9	12	15
Low	2	2	4	6	8	10
Very Low	1	1	2	3	4	5
Likelihood		1	2	3	4	5
	Impact	Very low	Low	Medium	High	Very High

Risk Exposure Profile

Score	Risk Rating	Risk Outcome
1-5	Low	Acceptable
6-10	Medium	Acceptable
11-16	High	Report to Board
20+	Very High	Cease Activity, report to Board, Board Decision

Appendix 1

paper

Subject:	An extension to TB960 Risk Management Policy
Produced by:	Toby Cunningham
To:	Trustee Board
Date:	17/09/19
Action:	To approve
Paper:	Board oversight of Risk Management
Status	Open
Purpose:	Set out the Board's approach to risk management

Introduction

This policy sets out the process for the Board management and oversight of corporate risk management

Review

This policy will be formerly reviewed at the June Board 2020 to determine if the proposed Committee continues or is subsumed into a new Finance and Risk Committee.

Background: Compliance and Responsibility

The Board agreed policy TB960 in June 2019, this policy sets out the internal management of corporate risk. The Board needs to agree how it wished to have oversight of corporate risk management.

Legal requirements

Charities are required by law to make a risk management statement, in their audited accounts, confirming that "...the charity trustees have given consideration to the major risks to which the charity is exposed and satisfied themselves that systems or procedures are established in order to manage those risks (Charities(Accounts and Reports) Regulations 2008). Charities need to consider risks and its management in a structured way and this policy sets out that structure.

Overall responsibility for the organizational management of risk lies with the senior post holder, they will ensure that the processes set out below are followed diligently, reporting to the board any systematic process failures in a timely manner

Recommendation

The Board Established a Risk Oversight Sub Committee.

Purpose of Committee

To oversee:

The implementation of the Risk Management Policy.
The implementation of the Crowe report (AUG19) recommendations
The implementation of the Health and Safety Policy

To receive and review:

The Risk Register
The Legal Compliance Checklist
Risk Management Reports from Senior Leadership Team to approve actions as necessary

To Recommend

Any policies that relate to Risk, Health and Safety and Legal Compliance. To ensure the board awareness of any significant risks

Membership:

One Fulltime Officer Trustee, one External Trustee, one Student Trustee or Part Time Officer Trustee and any Council members or external expertise the Committee wishes to coopt.

In Attendance:

Member of the Senior Leadership Team

Meeting Frequency:

Quarterly reporting to each Board

TB1198 Schedule of Delegation/Cycle of Business

Paper to follow

AGENDA PAPERS

Risk

TB1199 CEO ROC Report and ROC Minutes

Link to ROC Report [here](#)

Link to ROC Minutes [here](#)

TB1200 Risk register update

Please view [here](#)

AGENDA PAPERS

SUNDRIES

TB1202 Provisional UUEAS Trustee Board Calendar 20-21

Date	Time	Meeting type
Thursday 17 th September	12-5pm	Strategy session and board meeting
Thursday 17 th December	4-6pm	Board Meeting – Virtual/campus TBC
Thursday 18 th March 2021	9am -1pm	Strategy Session
Friday 19 th March 2021	4-6pm	Board meeting
Thursday 17 th June 2021	4-6pm	Board Meeting

TB1203 Cycle of Business 20-21

The cycle is proposed to be quarterly with a mixture of standard items, governance items, finance items and strategic items, as well as space for ad hoc items as they arise.

Standard Board Meetings	September	December	March	June
Standard items				
Board, SMT and SOC minutes				
Risk Register Summary				
Management accounts & finance update				
KPI Update				
CEO Update				
Finance Update				
HR Update				
Organisational Plan Update				
Social Enterprise Report				
Governance				
Appointments				
Code of Conduct Annual Report				
Election Results				
SUS & WF Annual Report				
Scheme of delegation review				
Annual Detailed Risk Review				
Annual External Speakers Review				
Finance				
Detailed Internal Budgets				
Update on year end				
Receive and approve audited accounts				
Approve financial estimates to Union Council				
Strategy				
KPI annual report				
Senior post holder remuneration				
Measurement of performance against KPIs				
Setting of CEO KPIs				
Formulation of Strategy/ Review of Strategy				