

"A HUGE WELCOME TO THE COUNCIL OF THE PESGB FROM THE OFFICE TEAM, THE OTHER COUNCIL MEMBERS AND THE MEMBERSHIP. BEING PART OF OUR COUNCIL IS GOING TO BE A REWARDING, INTERESTING AND AT TIMES, CHALLENGING EXPERIENCE. THIS PACK IS DESIGNED TO HELP YOU GET TO GRIPS WITH YOUR ROLE AND TO UNDERSTAND THE NATURE OF THE RESPONSIBILITIES THAT GO WITH THE ROLE, BOTH LEGAL AND AS A MEMBER OF OUR COUNCIL.

AS A COUNCIL MEMBER YOU HAVE A RIGHT TO QUESTION AND CHALLENGE THE WAY WE DO THINGS AND WHY. PLEASE SPEAK YOUR MIND, IF YOU DISAGREE WITH A DECISION THAT THE COUNCIL MAKES PLEASE SAY, AS A BOARD WE HAVE GROUP LIABILITY FOR ANY DECISIONS MADE AND THIS LIABILITY CONTINUES AFTER YOU ARE NO LONGER ON THE BOARD, SO SPEAK UP AND SHAPE THE PESGB INTO AN ORGANISATION YOU ARE PROUD TO BE PART OF FOR YEARS TO COME."

EXECUTIVE DIRECTOR,
Maria Tredale





CONTENTS

THIS PACK OUTLINES THE CHARITY; IT INCLUDES:

1. Most recent annual report and accounts
2. The Strategic Plan
3. Key Policies (Health and Safety, Reserves)
4. Annual Risk Report

Legal Status and Regulatory Guidance

5. A copy of our governing document – Memorandum and Articles
6. Charity Commission Guidance – The Essential Trustee
7. Good Governance – A code for the voluntary and community sector.

Governance

8. Role descriptions for the Council
9. Code of Conduct – (confidentiality, conflict of interest)
10. Document setting out the levels of the Boards Delegated Authority, including financial delegation and controls
11. List of trustees and their contact details
12. List of important dates for the year
13. Details of travel and expenses allowances with a claim form.
14. Diagram of the Office team structure and responsibilities.

PESGB RESERVES POLICY

This continues to be applied in accordance with 'The Charities Act' as follows:

Given the cyclical nature of the Oil Industry and therefore the potential threat to Society income sources, the PESGB Trustees intend to hold back sufficient funds from the reserves to ensure that the Society can function effectively over a two-year period of severely reduced income. In addition, the Society will retain funds in the reserve that are designated for the specific purposes of pre-investing in its large exhibitions and in investment in the organisation for its continued growth and development as a benefit for the members. The Trustees review the sum annually.



HEALTH AND SAFETY POLICY 2016

INTRODUCTION

PESGB will abide by the Health and Safety at Work Act 1974 (and all other health and safety legislation) and, so far as is reasonably practicable, to provide a healthy and safe environment in which to work. This undertaking to act and work in a responsible way, with regards to health and safety, applies to management, employees, sub-contractors and public affected by the activities of the company.

PESGB will ensure that health and safety is an integral part of the overall management process and seek to develop a safety culture reflecting a positive attitude to the health and safety of all staff by:

- Visibly demonstrating a clear commitment to improving health and safety performance
-
- Promoting cooperation by recognising that all the staff have an important contribution to make to the effective management of health and safety by providing opportunities for participation and involvement in health and safety activities
-
- Ensuring communication of necessary information throughout PESGB
-
- Securing the competence of employees and sub-contractors

In the organisation and management of events, and whilst on site, PESGB will abide by and refer to the "Event Safety Guide - A Guide to Health, Safety and Welfare at Music and Similar Events" and any health and safety guidelines issued by show and event venues.

In situations where PESGB does not have direct control of the premises, or site, where staff are required to work, every effort will be taken to ensure that the client / venue owner is aware of their duty to provide a safe and healthy working environment. In addition, they should not request or instruct PESGB staff or sub-contractors to undertake any action that may represent a risk to their safety or the safety of others.

This policy includes information relating to health and safety not only on PESGB premises in London, but also "on site" where the services of the organisation are delivered as an event organiser.

All employees and subcontractors will be informed of the current Health and Safety Policy and updated when alterations are made.



POLICY STATEMENT FOR HEALTH AND SAFETY

It is the policy of PESGB to ensure at all times, so far as is reasonably practicable, the health, safety and welfare of their employees, subcontractors, public and other people who maybe affected by PESGB's activities.

A high standard of health and safety is one of the PESGB's primary objectives and is recognised as an integral part of service delivery.

The standard will be achieved by: -

- Creating and maintaining a positive health and safety culture which secures the commitment and participation of all employees and subcontractors.
- Meeting its responsibilities to employees, non-employees, members of the public and the environment, in a way, which recognises that legal requirements are the minimum standard.
- Adopting a planned and systematic approach to the implementation of the PESGB's Health and Safety Policy to ensure:
- The provision of equipment and systems of work that are, so far as is reasonably practicable, safe and without risks to health;
- Arrangements for ensuring, so far as is reasonably practicable, safety and absence of risks to health in connection with the use, handling, storage and transportation of articles and substances;
- The provision of information, instruction, supervision and training as is necessary to ensure, so far as is reasonably practicable, the health and safety and welfare of its employees;
- So far as is reasonably practicable, any place of work under PESGB control, the maintenance of it in a condition that is safe and without risks to health and the provision and maintenance of safe access and egress to and from it;
- The provision and maintenance of a working environment that is, so far as reasonably practicable, safe, without risks to health, and adequate as regards facilities and arrangements for welfare.
- Identifying and assessing risks associated with all activities of PESGB with the aim of eliminating or controlling the risks, so far as is reasonably practicable.
- Allocating adequate resources to meet the requirements of PESGB's Health and Safety Policy.
- Planning for health and safety including the setting of realistic short and long-term objectives, deciding priorities and establishing adequate performance standards.
- Identifying the safety elements within planned development and procurement.
- Monitoring and reviewing performance on a regular basis to ensure that high standards are maintained.

Signed: Review date: 28/07/16

Executive Director,

Maria Iredale



COUNCIL MEMBER ROLE DESCRIPTION COUNCIL MEMBER OF THE PESGB

PERSON SPECIFICATION

- A commitment to the organisation and the industry it represents
- A willingness to devote the necessary time and effort
- Strategic vision
- Good, independent judgement
- An ability to think creatively
- A willingness to speak their mind
- An understanding and acceptance of the legal duties, responsibilities and liabilities of trusteeship
- An ability to work effectively as a member of a team
- A commitment to Nolan's seven principles of public life: selflessness, integrity, objectivity, accountability, openness, honesty and leadership.

The duties of a council member are as follows:

- Ensuring that the organisation pursues its stated objects (purposes), as defined in its governing document, by developing and agreeing a long-term strategy
- Ensuring that the organisation complies with its governing document (ie its trust deed, constitution or memorandum and articles of association), charity law, company law and any other relevant legislation or regulations
- Ensuring that the organisation applies its resources exclusively in pursuance of its charitable objects (ie the charity must not spend money on activities that are not included in its own objects, however worthwhile or charitable those activities are) for the benefit of the public
- Ensuring that the organisation defines its goals and evaluates
 - performance against agreed targets
- Safeguarding the good name and values of the organisation
- Ensuring the effective and efficient administration of the organisation, including having appropriate policies and procedures in place
- Ensuring the financial stability of the organisation
- Protecting and managing the property of the charity and ensuring the proper investment of the charity's funds
- Following proper and formal arrangements for the appointment, supervision, support, appraisal and remuneration of the executive director

In addition to the above statutory duties, each council member should use any specific skills, knowledge or experience they have to help the council reach sound decisions. This may involve scrutinising board papers, leading discussions, focusing on key issues, providing advice and guidance on new initiatives, or other issues in which the council member has special expertise.



COUNCIL MEMBER ROLE DESCRIPTION

TREASURER

The overall role of a Treasurer is to maintain an overview of the organisation's affairs, ensure its financial viability and ensure that proper financial records and procedures are maintained.

In addition to the general responsibilities of a council member, duties of the treasurer include the following:

- Overseeing, approving and presenting budgets, accounts and financial statements
- Being assured that the financial resources of the organisation meet its present and future needs
- Ensuring that the charity has an appropriate reserves policy
- Preparing and presenting financial reports to the board
- Ensuring that appropriate accounting procedures and controls are in place
- Liaising with paid staff and volunteers about financial matters
- Advising on the financial implications of the organisation's strategic plans
- Ensuring that the charity has an appropriate investment policy
- Ensuring that there is no conflict between any investment held and the aims and objects of the charity
- Monitoring the organisation's investment activity and ensuring it is consistent with the organisation's policies and legal responsibilities
- Ensuring that the accounts are prepared and disclosed in the form required by funders and the relevant statutory bodies, for example the Charity Commission and/or the Registrar of Companies
- If external scrutiny of accounts is required, ensuring that the accounts are scrutinised in the manner required (independent examination or audit) and any recommendations are implemented
- Keeping the board informed about its financial duties and responsibilities
- Contributing to the fundraising strategy of the organisation
- Making a formal presentation of the accounts at the annual general meeting and drawing attention to important points in a coherent and easily understandable way
- Be a second signatory on cheques
- Sitting on appraisal, recruitment and disciplinary panels as required
- Sitting on SCID Committee.

PERSON SPECIFICATION

In addition to the person specification for a council member, the treasurer should have the following qualities:

- Financial qualifications and experience
- Some experience of charity finance, fundraising and pension schemes
- The skills to analyse proposals and examine their financial consequences
- Being prepared to make unpopular recommendations to the board
- A willingness to be available to staff for advice and enquiries on an ad hoc basis



COUNCIL MEMBER ROLE DESCRIPTION PRESIDENT OF PESGB

PERSON SPECIFICATION

In addition to the person specification for a council member, the president should have the following qualities:

- Leadership skills
- Experience of committee work
- Tact and diplomacy
- Good communication and interpersonal skills
- Impartiality, fairness and the ability to respect confidences

In most circumstances, it would also be desirable for the president/president elect to have knowledge of the type of work undertaken by the organisation and a wider involvement with the oil and gas sector.

In addition to the general responsibilities of a council member, duties of the president include the following:

- Providing leadership to the organisation and the council by ensuring that everyone remains focused on the delivery of the organisation's charitable purposes in order to provide greater public benefit
- Chairing and facilitating council meetings and attending the SCID and Outreach committees.
- Giving direction to board policy-making
- Checking that decisions taken at meetings are implemented
- Representing the organisation at functions and meetings, and acting as a spokesperson as appropriate
- Bringing impartiality and objectivity to decision-making
- With the executive director:
 - Planning the annual cycle of board meetings and other general meetings where required, for example annual general meeting
 - Acts as line manager for executive director as required
 - Setting agendas for board and other general meetings
 - Developing the council, including induction, training, appraisal and succession planning
 - Addressing conflict within the board and within the organisation, and liaising with the executive director to achieve this
 - Liaising with the executive director to keep an overview of the organisation's affairs and to provide support as appropriate
 - Leading the process of supporting and appraising the performance of the executive director
 - Sitting on appointment and disciplinary panels
 - The president elect acts for the president when the president is not available and undertakes assignments at the request of the president.



COUNCIL MEMBER ROLE DESCRIPTION SECRETARY OF PESGB

Note: The role of the secretary is to support the President by ensuring the council functions smoothly. The secretary may carry out their duties directly or delegate them to a member of staff and ensure that they have been carried out.

In addition to the general responsibilities of a council member, duties of the secretary are as follows:

- Preparing agendas in consultation with the president and executive director, and circulating them and any supporting papers in good time.
- Chairs the SCID (Disbursements) committee
- Making all the arrangements for meetings (booking the room, arranging for equipment and refreshments, organising facilities for those with special needs, etc)
- Receiving agenda items from other trustees/staff
- Checking that a quorum is present
- Taking minutes (or being responsible for them being taken) and circulating draft minutes to all trustees
- Ensuring that the minutes are signed by the chair once they have been approved
- Checking that council members and staff have carried out actions agreed at a previous meeting
- Circulating agendas and minutes of the annual general meeting and any special or extraordinary general meetings (where required)
- Fulfilling the functions of a company secretary if these responsibilities have not been delegated to a member of staff
- Sitting on appraisal, recruitment and disciplinary panels as required

PERSON SPECIFICATION

In addition to the person specification for a council member, the secretary should have the following qualities:

- Organisational ability
- Knowledge or experience of business and committee procedures
- Minute-taking experience, if this is not being delegated to staff



COUNCIL MEMBER ROLE DESCRIPTION

PRESIDENT ELECT

The role of President Elect is to support the president during their year in office in anticipation of the president elect taking on the role.

This role is specific to the PESGB

In addition to the general responsibilities of a council member, duties of the president elect include the following:

- The president elect is responsible for chairing the PROSPEX committee and takes the lead in ensuring PROSPEX success.
- The president elect is responsible for organising the annual elections that fill the rotating positions on the council. Ensuring the election is viewed positively and the roles available are contested.
- The president elect represents the member's interests to the council and ensures their views are always considered.
- When the president is not available the president elect will chair the meetings of the council.
- President Elect will attend the Outreach and SCID Committee.

PRESIDENT OF PESGB

The role of Past President is to support and mentor the president during their year in office in anticipation of leaving the council on completion of the term.

This role is specific to the PESGB.

In addition to the general responsibilities of a council member, duties of the past president include the following:

- Ensures any initiatives that were begun during their term as President are completed.
- Past President will attend the Outreach and SCID Committee.



COUNCIL MEMBER ROLE DESCRIPTION

VICE PRESIDENT

In addition to the general responsibilities of a council member, duties of the Vice President include the following:

- Organises and chairs the London Evening Lectures, introduces speakers and facilitates the evening.
- Organises the Stoneley lecture as a way of engaging the public in the excitement of geology.
- Events liaison and support for the London based Young Professionals. Engaging with the group to support the new talent within Petroleum Geology.
- Vice President will attend the SCID Committee.

DIRECTOR OF EDUCATION AND TRAINING

The role of Director of Education and Training is to work with the office team to develop the programme of activities that benefit the membership around education and training.

This role is specific to the PESGB.

In addition to the general responsibilities of a council member, duties of the Director to Education and Training include the following.

- Developing a programme of field trips, training courses and core workshops which respond to the needs and wants of the membership. Working with the office team to respond to member feedback and networking within the industry to secure the best speakers and trainers.
- Is responsible for the giving of grants and the follow up with the MSc students who receive funding for their courses.
- Liaises with the Young Professionals regarding the University outreach programme. This involves coordinating with the office and using contacts to secure opportunities within Universities for visits to promote the society to students.
- Works with the ED to prepare budgets for the coming year on the Education and Training programme.
- Will attend the Outreach and SCID Committee.



COUNCIL MEMBER ROLE DESCRIPTION

DIRECTOR OF EVENTS

In addition to the general responsibilities of a council member, duties of the Director of Events include the following:

- Organises the Presidents evening in London after Prospx, working with the office team to ensure the event is cost neutral or raises funds for the society.
- Responsible for the Special Interest Groups (SIGs) and Regional Groups (RGs). As well as strengthening these groups, new groups should also be encouraged and supported. Director of Events to produce an Annual Review of the groups to the Council. This is supported by the office team.
- Organises and promotes with the support of the office team the supplementary public outreach events around the Stoneley lecture.
- Is responsible for setting up and Chairing the Outreach Committee.

DIRECTOR OF PUBLICATIONS

In addition to the general responsibilities of a council member, duties of the Director of Publications include the following:

- Supports and mentors the Marketing and Communications member in the Office Team.
- Edits and proof reads the monthly newsletter offering advice and support on the content and editorial direction of the publication.
- Advises on the Web and social media content, ensuring the technical and industry content are correct.
- Advises on the office when appropriate on external communications with the membership.

DIRECTOR OF YOUNG PROFESSIONALS

In addition to the general responsibilities of a council member, duties of the Director of Young Professionals include the following:

- Organises and chairs the YP Committees supporting both London and Aberdeen where appropriate.
- Fundraises for sponsorship for the YP events
- Organises and publicises the YP events
- Represents the views of the YPs on the Committee and at Conferences organised internally and externally.



COUNCIL MEMBER ROLE DESCRIPTION

ABERDEEN DIRECTOR

The role of Director of Aberdeen is to be the representative for the PESGB in Aberdeen. The society has a large cohort of members in the city and they require representation.

This role is specific to the PESGB.

In addition to the general responsibilities of a council member, duties of the Aberdeen Director to include the following.

- Organising, sourcing speakers for and chairing the Aberdeen lectures and events. Promoting these events and encouraging participation through the membership.
- Is the Chair of DEVEX or sits on the committee in years when PESGB is not leading, ensuring the societies views are represented.
- Liaison with the Aberdeen Young Professionals on their events in order to mentor and encourage their participation.
- Promotes the views of the Aberdeen members at Council meetings.

DIRECTOR ELECT OF ABERDEEN

The role of Director Elect of Aberdeen is to be a representative for the PESGB in Aberdeen and will be the Aberdeen Director the following year. The society has a large cohort of members in the city and they require representation.

This role is specific to the PESGB.

In addition to the general responsibilities of a council member, duties of the Director Elect include the following:

- Organising the Aberdeen Christmas party for the membership. Sourcing the venue and working with the office team on the logistics.
- Acts as Chair at the monthly lectures if the Aberdeen Director is not present.
- Act as a advocate for unemployed members and develop initiatives that support them, particularly in a downturn.



OUR VALUES

COUNCIL CODE OF CONDUCT

As a Council Member of the PESGB, I promise to abide by the fundamental values that underpin all activities of this organisation. These are as follows:

HONESTY AND INTEGRITY

These will be the hallmarks of all conduct when dealing with colleagues within the PESGB and equally when dealing with individuals and institutions outside it.

ACCOUNTABILITY

Everything PESGB does will be able to stand the test of scrutiny by the public, the media, the Charity Commission, members, stakeholders, sponsors, parliament and the courts.

TRANSPARENCY

PESGB strives to maintain an atmosphere of openness throughout the organisation to promote confidence of the members, stakeholders, staff, charity regulators and parliament.

Additionally, I agree to the following points:

LAW, MISSION, POLICIES

I will act within the governing document of PESGB and abide by the policies and procedures of the organisation.

I will not break the law or go against charity regulations in any aspect of my role of council member.

I will support the objects and mission of PESGB and act as their guardian and champion.

I will develop and maintain an up-to-date knowledge of PESGB and its environment.

CONFLICTS OF INTEREST

I will always strive to act in the best interests of the organisation as a whole and not as a representative of any group, considering what is best for PESGB and its present and future beneficiaries.

I will declare any conflict of interest, or any circumstance that might be viewed by others as a conflict of interest, as soon as it arises.

I will submit to the judgment of the Council and do as it requires regarding potential conflicts of interest.

PERSONAL GAIN

I will not personally gain materially or financially from my role as council member, unless specifically authorised to do so, nor will I permit others to do so as a result of my actions or negligence.

I will use organisational resources responsibly. I will document expenses and seek reimbursement according to procedure.

I will not accept gifts or hospitality without the prior consent of the chair.



Est. 1964

PES  GB

PERSON TO PERSON

I will not break the law, go against charity regulations or act in disregard of organisational policies in my relationships with fellow council members, staff, volunteers, members, sponsors, contractors or anyone I come into contact with in my role as council member.

I will strive to establish respectful, collegial and courteous relationships.

Where I also volunteer with the organisation I will maintain the separation of my role as a council member and as a volunteer.

ENHANCING GOVERNANCE

I will participate in induction, training and development activities for council members.

I will continually seek ways to improve board governance practice, and will strive to identify good candidates for council, appointing new council members on the basis of merit.

I will support the chair in his/her efforts to improve his/her leadership skills.

I will support the executive director in his/her executive role and, with my fellow council members, seek development opportunities for him/her.

LEAVING THE BOARD

I understand that substantial breach of any part of this code may result in my removal from the council.

Should procedures be put in motion that may result in my being asked to resign from the council, I will be given the opportunity to be heard. In the event that I am asked to resign from the council, I will accept the majority decision of the council and resign at the earliest opportunity.

Should I resign from the council I will inform the chair in advance in writing, stating my reasons for resigning. Additionally, I will participate in an exit interview.



IN THE BOARDROOM

I will strive to embody the principles of leadership in all my actions and live up to the trust placed in me by PESGB.

I accept my responsibility to ensure that PESGB is well run and will raise issues and questions in an appropriate and sensitive way to ensure that this is the case.

I will abide by board governance procedures and practices, and will strive to attend all council meetings, giving apologies ahead of time to the secretary if unable to attend.

I will study the agenda and other information sent me in good time prior to the meeting and be prepared to debate and vote on agenda items during the meeting.

I will honour the authority of the chair and respect his or her role as meeting leader.

I will engage in debate and voting in meetings according to procedure, maintaining a respectful attitude toward the opinions of others while making my voice heard.

I will accept a majority board vote on an issue as decisive and final.

I will maintain confidentiality about what goes on in the boardroom unless authorised by the chair or board to speak of it.

PROTECTING THE ORGANISATION'S REPUTATION

I will not make public comments about the organisation unless authorised to do so.

Any public comments I make about PESGB will be considered and in line with organisational policy, whether I make them as an individual or as a trustee.

When I am speaking as a council member of this organisation, my comments will reflect current organisational policy even when these do not agree with my personal views.

When speaking as a private citizen I will strive to uphold the reputation of the organisation and those who work in it.

I will respect organisational, council and individual confidentiality.

Signed:

Name:

Date:/...../.....



DECLARATION OF INTERESTS

CATEGORY

PLEASE GIVE DETAILS OF THE INTEREST AND WHETHER IT APPLIES TO YOURSELF OR, WHERE APPROPRIATE, A MEMBER OF YOUR IMMEDIATE FAMILY, CONNECTED PERSONS OR SOME OTHER CLOSE PERSONAL CONNECTION.

Current employment and any previous employment in which you continue to have a financial interest.

Appointments (voluntary or otherwise), eg trusteeships, directorships, local authority membership, tribunals etc.

Membership of any professional bodies, special interest groups or mutual support organisations.

Investments in unlisted companies, partnerships and other forms of business, major shareholdings (e.g. more than 1% or 5% of issued capital) and beneficial interests.

Do you use, or care for a user of the organisation's services?

Gifts or hospitality offered to you by external bodies and whether this was declined or accepted in the last twelve months.

Any contractual relationship with the charity or its subsidiary.

Any other conflicts that are not covered by the above.

To the best of my knowledge, the above information is complete and correct. I undertake to update as necessary the information provided, and to review the accuracy of the information on an annual basis. I give my consent for it to be used for the purposes described in the conflicts of interest policy and for no other purpose.

Signed:

Position:

Date:/...../.....



2017 COUNCIL MEETINGS

COUNCIL MEETING DATES

| DATE | LOCATION | ACTION/COMMENT | VENUE |
|--------------|---------------------|--|---------------|
| 10 January | London | 10am start, followed by lunch at 13:30 in London | PESGB Office |
| 14 February | London | | PESGB Office |
| 14 March | London and Aberdeen | | PESGB Office/ |
| 11 April | London | Stoneley Lecture night | PESGB Office |
| 9 May | Aberdeen | SCID/Devex | Aberdeen |
| 13 June | London | AGM@GeolSoc | PESGB Office |
| 11 July | London | | PESGB Office |
| AUG | London | Presidents Lunch | |
| 12 September | London | | PESGB Office |
| 10 October | London | SCID | PESGB Office |
| 14 November | London | | PESGB Office |
| 5 December | Aberdeen | Xmas Party | Aberdeen |

NOTE :

Meetings start at 13:30 and typically finish by 16:30 in order to allow travel into London for the evening lectures.

The January meeting starts earlier and includes all the previous Council and the newly elected members.

On the day with a SCID meeting this is typically the hour before the Council meeting.

August – Presidents lunch in Central London, typically first/second week to find a suitable mid-point between English and Scottish holidays.

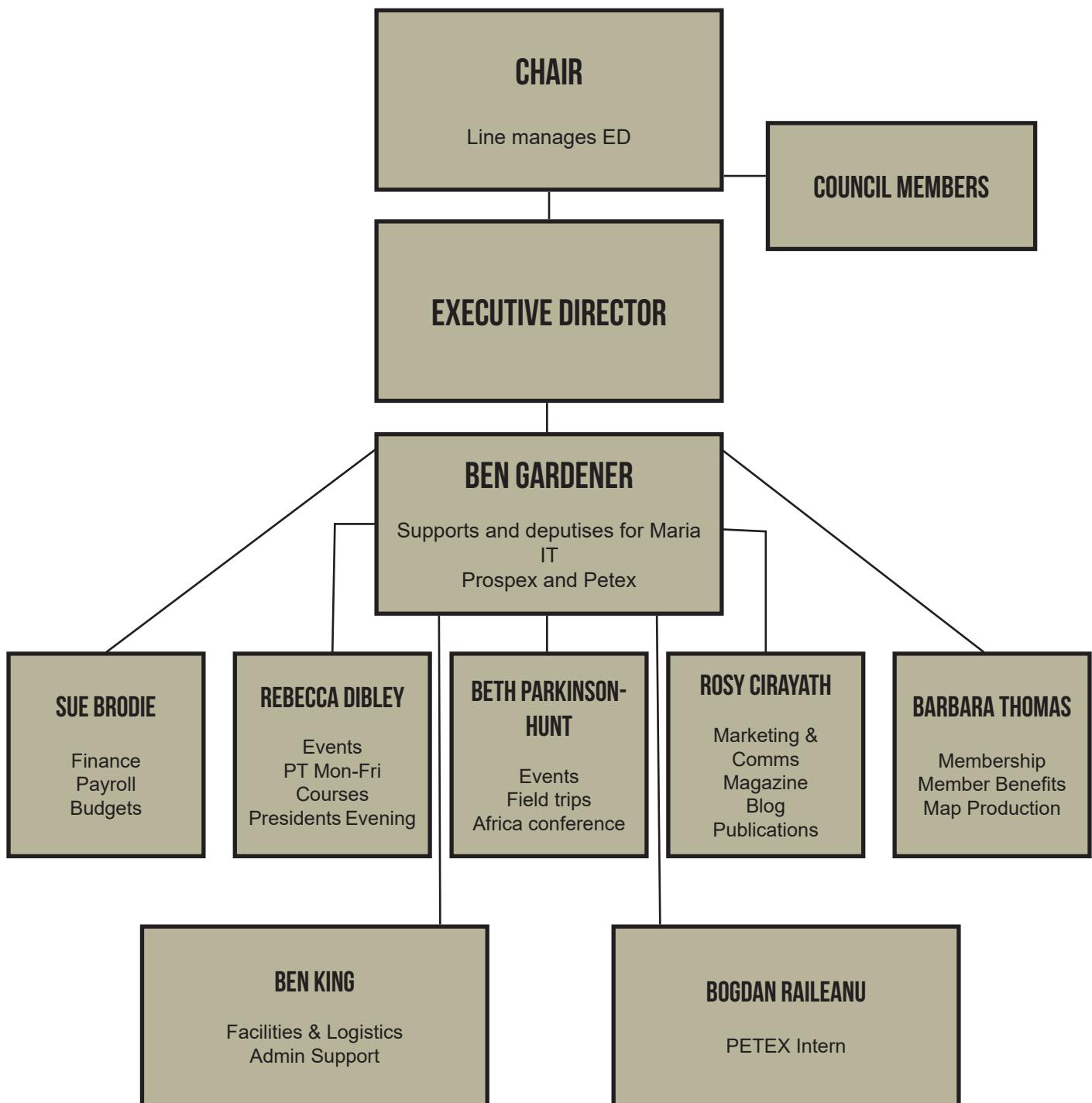
OTHER COMMITTEES

| SCID | HOUSE COMMITTEE |
|--------------------|-----------------|
| Secretary (Chair) | President |
| President Elect | President Elect |
| President | Past President |
| Past President | Treasurer |
| Treasurer | Exec Director |
| Director of Ed & T | |
| Exec Director | |

House Committee (decide on salaries) meets before the December meeting on the same day or the week before.



ORGANISATION CHART



SUPPORT FROM INTERNS AND VOLUNTEERS AVAILABLE SPORADICALLY THROUGH THE YEAR



PESGB TRAVEL EXPENSE POLICY

INTRODUCTION

PESGB will reimburse employees and Council members for reasonable and necessary out-of-pocket business expenses incurred in direct connection with company business. Employees should exercise good judgment that supports the company's objectives, and submit expenses through the channels and within the timeframe outlined in this policy. Employees and Approving Managers who do not comply with this T&E Policy may be subject to:

- Reimbursement delays for improper documentation.
- Non-reimbursement for policy violation.
- Disciplinary action, which may include termination of employment.

Employee and Approving Manager Responsibility

All travel and entertainment expenses must follow the guidelines outlined below, and employees are expected to exercise sound judgment when evaluating any expense category not included. Employees should seek direction from Finance if clarification is needed. Approving Managers are expected to review employees' submitted expenses, and decline all expenses that do not meet the requirements set forth in this policy.

EXPENSE REPORTING REQUIREMENTS

PESGB employees must use the expense reporting forms on the shared drive to process all claims for reimbursement.

Employees should contact Finance if they need any guidance on the use of this form. It's the employee's responsibility to make a detailed entry for each expenditure which includes all the required information listed in this section.

DOCUMENTATION

Employees must attach original receipts to the expense report.

Credit card statements and doctored receipts are not acceptable and could result in either a rejected expense report and/or non-reimbursement

REIMBURSEMENT

Expense reports have to be entered and approved within the monthly deadlines communicated by the Accounting Department.

Expenses not submitted by the applicable deadline will not be reimbursed in the current cycle, and will become part of the next monthly cycle. Credit card late fees are not reimbursable.



Est. 1964

PES  GB

EXPENSE GUIDELINES

CAR SERVICE/TAXI/UNDERGROUND

Employees are expected to use reasonable judgment when selecting car transportation. The most cost efficient, available service should be chosen and in compliance with the below guidelines.

- Employees are expected to take either a local taxi service, ride-hailing service (such as Uber), or public transportation when traveling throughout a metropolitan area on business.

PERSONAL CAR USAGE

An employee may use his/her personal car for business purposes. The Company will reimburse employees for business travel using their personal vehicle at the prevailing rate per mile. This rate is adjusted periodically depending on the current economic climate. (Please check with Finance for the current rate).

Charges for bridges, highway tolls, ferries, parking, etc. incurred when using a rental car for business purposes will be reimbursed. Traffic fines, court costs, parking violations, etc. are not reimbursable.

RENTAL CARS/RAIL

- Employees should request a mid-size/intermediate car class when renting a vehicle for business travel.
- Loss Damage Waiver (LDW) and Collision Damage Waiver (CDW) must be accepted when renting a car, unless the employee's personal credit card offers this protection.
- Traffic fines, court costs, parking violations, etc. are not reimbursable.
- Economy class should be used when booking any rail transportation. First Class may be booked if the trip is greater than 4 hours and the cost is within budget.

AIRFARE

- All employees are required to fly economy class for flights less than four hours. Economy Premier Class is permitted for flights four hours or longer.
- An airfare budget must be obtained and approved by the ED prior to booking any air travel.
- Employees should attempt to purchase airline tickets at least 30 days in advance. Flights should be booked through a reputable website always seeking to take the lower cost option with the most convenient route.
- Traveling employees may retain frequent flyer program benefits. However, participation in these programs should not influence flight selection, which could result in incremental cost to PESGB.
- Airline club memberships and usage are not reimbursed.
- Employees may not voluntarily get "bumped" from a flight for cash or cash equivalent incentives.



EXPENSE GUIDELINES

ENTERTAINMENT

Entertainment of business clients or associates may be a responsibility of employees in certain roles or on certain assignments. Client entertainment should not be lavish, excessive or inappropriate in nature. Meals, refreshments and other forms of entertainment are permitted so long as there is a sound business-related purpose and the level of expense is reasonable and customary in context of the business, and the frequency is not excessive or inappropriate. Entertainment should adhere to the following guidelines:

- Entertainment costs require pre-approval of a budget and rational with the ED. This requires a completed expense form submitted to Finance immediately after the transaction occurs.

Business entertainment expenses may include meals and event attendance.

MOBILE PHONE

Certain roles require employees to be connected and respond to business needs outside of normal office hours. If regular mobile access is required, PESGB will provide a phone. If the employee is required to use their own phone outside of their regular personal mobile plan, for a business reason (travel abroad) then these additional expenses can be claimed through an expense form.

Credit Card

PESGB credit cards will be provided to members of staff, which are strictly for business use only. PESGB credit cards are not to be used for personal expenditure. The PESGB reserves the right to withdraw any credit card from you or to restrict your use of the credit card without giving notice or reasons.

If you are found to be using the PESGB credit card for personal use, this may be treated as a disciplinary offence and could lead to disciplinary action, up to and including the termination of your employment without notice for gross misconduct.

INTERNAL EXPENSES

Includes food and drink spend either while traveling alone or with PESGB employees only.

- While traveling for business purposes, employees should use reasonable judgment for spend on meals. Guidelines are: Breakfast [£10.00], Lunch [£15], and Dinner [£25.00].
- Expenses for group meals must be submitted by the most senior employee present.

HOTELS

1. Overnight expenses should only be incurred when an overnight stay is unavoidable and prior permission has been obtained from the Executive Director.
2. Employees are expected to reserve standard rooms. Employees may accept room upgrades to suites or executive floor rooms only if the upgrade is at no additional cost to PESGB.
3. Hotel reservations should be purchased by company credit card where available.
4. Reimbursable items include: hotel internet connection, valet/ parking for car rental.
5. The Company will not reimburse the following items:
 - In-room movies
 - Cash advances
 - Minibar charges
 - Laundry and dry cleaning



EXPENSE CLAIM FORM

EXPENSES CLAIMED FROM: PETROLEUM EXPLORATION SOCIETY OF GREAT BRITAIN

7th Floor, No 1 Croydon, 12-16 Addiscombe Road, Croydon, CR0 0XT • Tel: +44 (0)20 7408 2000 • Fax: +44 (0)20 7408 2050 • pesgb@pesgb.org.uk • www.pesgb.org.uk

Please attach all receipts and complete the form below:

I claim the above expenses incurred during my work for the PESGB.

Signed:

Date:

Sort Code:

Account No:



PESGB RISK REGISTER

Adopted: December 2015

| Description of risk | Potential impact | Existing Controls | Impact | Probability | Total Risk Rating Score | Further action needed | Responsibility | Date for next review |
|---------------------|------------------|-------------------|--------|-------------|-------------------------|-----------------------|----------------|----------------------|
|---------------------|------------------|-------------------|--------|-------------|-------------------------|-----------------------|----------------|----------------------|

Governance Risks

| | | | | | | | | |
|--|---|--|---|---|---|---|-------------------------------|--|
| Conflicts of interest | Charity's best interests not followed | Recruitment and selection processes in place for new staff | 3 | 3 | 9 | Trustees: Conflicts of interest register to be reviewed/updated and signed off annually by trustees and key personnel | Trustees | |
| Reporting to trustees (accuracy, timeliness and relevance) | Poor quality decision making, trustee body becomes remote | Budgets prepared and sixth monthly management accounts prepared on a departmental basis for trustee review | 3 | 3 | 9 | Development of reporting systems to trustees by staff in relevant areas | Trustees / Executive Director | |
| Lack of relevant skills required for the Board on the part of Trustees | Charity fails to achieve its purpose | Recruitment process for trustees | 3 | 3 | 9 | Introduction of schedule of trustee skills on election and regularly updated. Full induction programme for trustees, including areas of charity law/good practice. Trustee training courses to be identified. | Trustees/ Executive Director | |
| Management override of controls risk | Financial loss through fraud or error | Regular trustee meetings, segregation of duties and auditor involvement through audit | 4 | 1 | 4 | Regular review of existing controls and levels of supervision | Trustees | |
| Regular changes to Board Positions | Lack of continuity and knowledge of historical matters | Consistency of Executive Director and fully documented minutes. Annual meeting of past Presidents | 3 | 3 | 9 | Ensure key points from the past are maintained in trustee induction pack and improvement of handover arrangements | Trustees | |

| Description of risk | Potential Impact | Existing Controls | Impact | Probability | Total Risk Rating Score | Further action needed | Responsibility | Date for next review |
|---------------------|------------------|-------------------|--------|-------------|-------------------------|-----------------------|----------------|----------------------|
|---------------------|------------------|-------------------|--------|-------------|-------------------------|-----------------------|----------------|----------------------|

Operational Risks

| | | | | | | | | |
|--|---|---|---|---|----|---|--|--|
| Leaving of key staff | Small team, therefore skills lost will have a negative operational impact | Regular appraisals of staff, identification of training needs and agreed notice periods. Pooling of staff responsibilities and detailed advisory handbook. | 4 | 3 | 12 | Regular review of staff handbooks. Regular review of remuneration and bonus structure. | Trustees / Executive Director | |
| Sudden/Accidental loss of key staff | Serious operational impact on events, making payments | Use process mapping to simplify the roles and create Handbook | 5 | 3 | 15 | Further development of stand-in arrangements between staff Setting up of formal emergency cover arrangements for key posts | Executive Director | |
| Fall in income streams following oil price reduction | Various income streams | The charity has various income streams and no dependency on one customer | 4 | 3 | 12 | Development of alternative income streams e.g. hiring of training room to external parties. Review business insurances | Trustees / Executive Director | |
| Possible poor customer feedback from events held | Reputation, future income | Staff training on events, budgets set up for each major event | 4 | 2 | 8 | Post event review of event budgets and customer attendance numbers | Event Committee/ staff members | |
| Newsletter advertising income continues to fall year on year | Income | Charity continues to look at ways to maintain newsletter profitability via review of content, sales promotions and cost cutting. | 3 | 5 | 15 | Compare newsletter income per customer year on year and consider looking at customer base to potentially target new customers | Executive Director / Newsletter co-ordinator | |
| Reliance on various key event venue suppliers | Event profits | Regular review of event venues that are available to reduce reliance on | 4 | 1 | 4 | Review feedback of event venues & consider alternative venues. | Executive Director / Staff members | |



PESGB RISK REGISTER

| Description of risk | Potential impact | Existing Controls | Impact | Probability | Total Risk Rating Score | Further action needed | Responsibility | Date for next review |
|---------------------|------------------|-------------------|--------|-------------|-------------------------|-----------------------|----------------|----------------------|
|---------------------|------------------|-------------------|--------|-------------|-------------------------|-----------------------|----------------|----------------------|

| | | | | | | | | |
|--|--|---|---|---|----|--|----------------------------------|--|
| | | certain venues, insurance for venue cancellation | | | | | | |
| Potential Terrorism / Protestors (fracking etc) | Reputation, future income | Security at events, insurance in place | 3 | 2 | 6 | Review insurance cover, keep up to date with current issues | Trustees / Executive Director | |
| Loss of speaker at event (especially Stoneley Lecture) | Reputation, event profits | Speaker booked well in advance, regular contact with speaker | 3 | 4 | 12 | Consider alternatives, consider insurance for this. | Trustees / Executive Director | |
| Health and safety in particular relating to outdoor events / field trips | Injury to member, possible liability | Health and safety laws complied with supported by IOSH trained team member | 2 | 2 | 4 | Continue to monitor potential risks, review insurance policy Update risk assessment annually. | Trustees / Executive Director | |
| Reliance on ticket website re PETEX event | Income | Monitor income levels expected from attendance numbers and collect balances due as soon as possible | 4 | 2 | 8 | Review contract with income collector re remittance of income due. Review financial sustainability of provider. Review insurance | Executive Director / Finance Mgr | |
| Termination or significant changes to lease | Operational ability, financial cost impact | Copy of signed lease agreement held. | 3 | 2 | 6 | Discuss lease with property owner well in advance of lease expiration | Trustees / Executive Director | |

Financial Risks

| | | | | | | | | |
|---|--|--|---|---|---|--|-------------------------------|--|
| Budgetary control and financial reporting | Inability to meet key objectives, poor decision making | Event Budgets prepared annually and set in line with charity objectives. | 3 | 2 | 6 | Review actual results compared to budgets and enquire into major variances. Introduction of central administrative budgets, including renewal replacements of equipment and software | Trustees / Executive Director | |
| Cash flow sensitivities | Impact on operational activities | Deposits held with banking review quarterly with finance | 5 | 1 | 5 | Deposits held with banking providers regularly reviewed. | Trustees / Finance Mgr | |

| Description of risk | Potential impact | Existing Controls | Impact | Probability | Total Risk Rating Score | Further action needed | Responsibility | Date for next review |
|---------------------|------------------|-------------------|--------|-------------|-------------------------|-----------------------|----------------|----------------------|
|---------------------|------------------|-------------------|--------|-------------|-------------------------|-----------------------|----------------|----------------------|

| | | | | | | | | |
|---------------------------|---|---|---|---|----|---|---|--|
| | | manager. | | | | | | |
| Reserves policy | Inability to meet key objectives, reputational risks | Regular review of reserves policy and reserve levels for under/over funding | 3 | 1 | 3 | Monitor reserve levels and that the usage of them matches the aims and objectives of the charity. | Trustees | |
| Fraud or error | Financial loss, reputational risk | Controls in place to segregate duties. Annual audit | 5 | 2 | 10 | Review implementation of controls regularly to confirm operating in line with expectations. | Trustees / Executive Director / Finance Mgr | |
| Loss of Data on Computers | Loss of financial records, membership information etc | Backups held remotely. Data compliance audit carried out every 2 years. | 5 | 2 | 10 | Regularly test remote system to ensure operating as expected | Executive Director / Finance Mgr | |

Environmental / External Factor Risks

| | | | | | | | | |
|---------------------------|---------------------|--|---|---|---|---|----------------------------------|--|
| Adverse publicity | Loss of income | Thorough planning done for each event held. | 5 | 1 | 5 | To agree proper review procedures for complaints and construct a complaints policy if not already done. | Trustees / Executive Director | |
| Fire or flood at premises | Fixed assets / data | Fire procedures in place, regular fire alarm checks. Insurance | 5 | 1 | 5 | Obtain regular fire checks and review of equipment maintenance and fire insurance | Executive Director/Fire Marshals | |

Compliance Risks (laws and regulations)

| | | | | | | | | |
|----------------------------|------------------------|--|---|---|---|---|-------------------------------|--|
| General Health and Safety | Potential provisions | Training of staff, insurance obtained for any instances that may occur during events | 3 | 2 | 6 | Ensure checks carried out. Enquire into the existence of claims made with Insurance Company | All staff | |
| Poor advice on investments | Investment performance | Investments managed by external, reputable | 4 | 2 | 8 | Financial performance of investments to be reviewed at 6 monthly intervals, | Trustees / Executive Director | |



PESGB RISK REGISTER

| Description of risk | Potential impact | Existing Controls | Impact | Probability | Total Risk Rating Score | Further action needed | Responsibility | Date for next review |
|---------------------|------------------|-------------------|--------|-------------|-------------------------|-----------------------|----------------|----------------------|
|---------------------|------------------|-------------------|--------|-------------|-------------------------|-----------------------|----------------|----------------------|

| | | | | | | | | |
|---|----------------------------|--|---|---|---|---|---|--|
| | | provider. | | | | investment policy to be agreed | | |
| Non compliance with certain Employment or PAYE legislation | Employees /Employers costs | Membership of advice bodies re HR and charity law. Auditor currently manages payroll. | 3 | 1 | 3 | Ensuring compliance through bulletins on HR legislation. | Trustees / Executive Director/ Finance Manager | |
| Non filing of accounts and annual return (or incorrect accounts) or other breach of Company law / Charities Act | Costs / registration | Ensure accounts filed by deadlines set and all correspondence sent to registered office is actioned. Auditors currently help to ensure filing dates are not overlooked | 3 | 1 | 3 | Monitor post received from Companies House, Charity Commission, and HMRC. | Trustees / Executive Director / Finance Mgr | |
| Non compliance with Corporation tax legislation resulting in penalties / interest | Financial impact | Auditor involvement in preparing and reviewing tax treatment and timing | 4 | 1 | 4 | Review of current activities to determine if separate Limited company recommended for specific activities undertaken. | Trustees / Executive Director | |
| Non compliance with VAT legislation resulting in penalties / interest | Financial impact | Auditor involvement in preparing and checking vat treatment and timing | 3 | 1 | 3 | Review VAT treatment on new activities. Check VAT registration limits. Implement controls in the authorisation of VAT returns | Trustees / Executive Director / Finance Manager | |

Risk score = impact x probability

| | | |
|---------|------|----------------------|
| > | 11 | Risk score is high |
| > but < | 5-10 | Risk score is medium |
| < | 4 | Risk score is low |