

## ***Audit & Risk Committee of Governing Body***

### ***Minutes of 21<sup>st</sup> March, 2018***

**Present:** Dr Fionnuala Anderson (Chairperson), Marie Carroll, Kieran Connolly, Maeve McConnon

**In Attendance:** Dr Annie Doona, Bernard Mullarkey, Conor Logan, Elaine Dominguez (Minute-taker)

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#### **1. Adoption of Agenda**

The Agenda was adopted as circulated.

Proposer: KC

Secunder: MC

#### **2. Adoption of Minutes of the Meeting of 13<sup>th</sup> December, 2017**

The Minutes of the meeting of 13<sup>th</sup> December 2017 were adopted as circulated.

Proposer: KC

Secunder: MMcC

#### **3. Matters Arising**

**3.1 Capital Developments Call** – it was reported that IADT attended a follow-up meeting with the Department of Education and Skills in relation to the funding for a Digital Media Building as part of Bundle 1 of the Private Public Partnership (PPP) process. It was noted that technical advisors for all the proposed PPP buildings will be appointed in April 2018. In addition, IADT met with representatives of the Planning Office of Dún Laoghaire Rathdown County Council and the difficulties in relation to obtaining planning permission were noted. The Institute will continue to work with the appointed technical advisors to ensure that everything is in order.

**3.2 Code of Practice for the Governance of Irish Institutes of Technology** – it was noted that the Code of Practice for the Governance of Institutes of Technology was approved by the Governing Body on 10<sup>th</sup> January 2018 and that IADT is currently operating in accordance with the Code.

#### **4. Programmes & Budgets 2018**

The Audit & Risk Committee members were briefed on the Preliminary Overview of 2018 Budgetary Position as circulated. It was noted that the formal Programmes & Budgets 2018 document was received on 15<sup>th</sup> March 2018 from the HEA and the return date for the completed submission is 31<sup>st</sup> March 2018. The Institute was allocated a Recurrent Grant totalling €9.406M for February 2018. In addition, the HEA allocated IADT an amount of €231K in relation to surplus Devolved Recurrent Grant for 2017. It was noted that the HEA has introduced an additional €1,000 on top of Grant in Lieu of Fees (Tuition Fees) for each student of ICT related courses and that this funding is now accounted for as a separate entry on the Institute's financial statements. It was further noted that the estimated Pay Costs for 2018 are €15,065K, which includes pay restorations. The total

proposed Non Pay Budget for 2018 is €4,738K. It was reported that additional costs for 2018 include: the development of the Institutes Strategy, Programmatic Review and various professional fees (e.g. legal).

Proposer: KC  
Secunder: MC

## 5. Corporate Procurement Plan 2018

The Audit & Risk Committee members were briefed on the Institute's Corporate Procurement Plan 2018 as circulated. In relation to Section 3.2 Future spending needs, it was reported that both the Writing & Research Support Service (WRSS) and Disability Support Service are currently being fulfilled via contracted services. In the case of the Disability Support Service, the National Learning Network (NLN) currently provide two part-time Disability Support Officers. However high staff turnover rates have led to a lack of continuity for students. As a result, a proposal to allocate a permanent post to the role of Disability Officer is currently being investigated by Dr Andrew Power (VP for Equality & Diversity and Registrar) and will be considered by the Executive Team. The Audit & Risk Committee members will be updated regarding any developments.

Proposer: MMcC  
Secunder: FA

## 6. Internal Audit Report on the Review of Examinations Procedures and Related Processes

Following a brief discussion, Mr. Mike Sullivan (Partner with PwC) joined the meeting via teleconferencing. Mr. Sullivan proceeded to brief the Committee members on the Internal Audit Report as circulated. It was reported that there were a total of eight findings: three 'Grade 2' – Substantial and five 'Grade 3' – Observations/Minor findings. There were no issues considered to be 'Grade 1 – Critical' status. The Grade 2 findings were as follows:

- (i) **Access Control to Secure Examination Materials are not Robust** – it was noted that examination papers and solutions are stored on unprotected USB keys; that the Exams Office does not have a detailed sign in and out log book for exam scripts and papers; and that there are no documented procedures in place regarding how exam papers, solutions, scripts, project work and interim assessments are to be appropriately secured by lecturers, the Faculty Offices and Exams Office. The Institute fully accepts the recommendations and recognises the need for a secured shared folder with the Faculties, the enhancement of the existing log book for exam scripts and papers, and the adoption and implementation of a Policy on Access Control. The recommendations will be the responsibility of Mr. David Doyle, Academic & Student Affairs Manager, and the target dates are Summer and December 2018.
- (ii) **No Signed Contract in place between IADT and Bridge Interpreting Services** – it was noted that there is no signed contract in place for the provider of readers, scribes and translators as well as other special assistance staff to IADT throughout the academic year and during examinations. In addition, no evaluation as to the suitability/qualifications of staff provided nor Garda Vetting has been carried out. The Institute accepts the recommendation to put in place a formal signed contract with Bridge Interpreting Services, including terms and conditions relating to data protection and confidentiality. The Institute will shortly commence a tender process for interpreting services and it is hoped

to have a company in place by December 2018. The action is to be carried out by Denise McMorrow, Student Experience Manager, during the first quarter of 2018.

- (iii) **Processes in place for Appointing, On-boarding and Training Exam Invigilators are not robust** – the following issues were noted: the Institute has no documented criteria in place for the appointment of Exam Invigilators; there is a lack of a panel of invigilators; no periodic conflicts of interests declarations; Garda Vetting for Invigilators is non-mandatory; and there is a lack of guidance as to the expectations and procedures for invigilating at exams. The Institute accepts the recommendations made with: new invigilators being sought via an advertisement in local newspapers, new and current invigilators to provide CVs, compulsory Garda Vetting from April 2018 onwards, a formal panel set up of on-boarded and Garda Vetted invigilators. In addition, full training to be provided to all invigilators on the commencement of new terms of office. The actions are to be carried out by Mr. David Doyle (Academic Administration & Student Affairs Manager) and the target date is for the Autumn Examination period 2018.

The five Grade 3 findings were:

- (i) Lack of formal documenting and evidence of Examination Process Controls;
- (ii) Insufficient documentation retention for the appointment and on-boarding of External Examiners;
- (iii) External Examiner Reports not being effectively utilised by Faculty Departments;
- (iv) No formally documented procedures in place in relation to the preparation, delivery and grading of continuous assessment;
- (v) Lack of periodic review and updating of policies and procedures in relation to the examination process.

One typographical error was noted in the Internal Audit Report, as follows:

- a) 'Top Management Group' and 'Institute Management' headings to be replaced by 'Executive Team' and Dr Andrew Power's name to be included under this heading (page 1)

PwC to reissue the Internal Audit Report once amended.

## **7. Public Accounts Committee (PAC) Report on the Higher Education Sector**

It was noted that PAC Report was tabled for discussion at the Governing Body meeting of 7<sup>th</sup> February 2018. All references to the Institute in the report have been extracted and consolidated into the summary report as circulated. Appendix 3 provides details of the status of third level sector audits and it was noted that no matters were recorded in IADT's audit certificate of the financial statements for year ended 31<sup>st</sup> December 2015. The Institute's financial statements were one of only five (out of 26 sets) financial statements with no issues identified as a result of the audits carried out.

## **8. Risk Register – V.P. for Equality & Diversity and Registrar**

It was reported that due to a prior engagement with the Council of Registrars, Dr Andrew Power was unable to make a presentation on the Risks associated with his functional area. It is hoped that Dr Power will be in a position to make a presentation at the Audit & Risk Committee meeting of 23<sup>rd</sup> May 2018.

## 9. Contracts Control Sheet


The Audit & Risk Committee members were briefed on the contracts control sheets as circulated. The following items were noted:

- (i) Car Park Management - the contract for Car Park Management (with NCPS) has been in situ since 2007 and is renewed annually; the contract is at no cost to IADT with an income share once the overall income reaches a threshold. To date, the threshold has not been reached, however, if the situation were to change then a tender processes for car park management would be required.
- (ii) Cleaning Services - the current four-year contract for cleaning services is due to expire in July 2018, however there is an option to extend same for two additional one-year terms. It was noted that invoicing issues with Noonan are currently being resolved in full.
- (iii) Design & Print – the end date for this service contract is 30<sup>th</sup> April 2018; it was noted that a tender request notice has been posted on the eTenders website.
- (iv) Grounds Maintenance – the tender process for this service has been completed, with SAP Landscapes being awarded a three-year contract (with an option to extend same for two one-year terms).
- (v) Legal Services – the end date for this service is 14<sup>th</sup> March 2018; as no new sectoral agreement has been put in place, the Institute uses the OGP Framework to appoint any legal advisors as required in accordance with the drawdown mechanisms available under the Framework.
- (vi) Network Maintenance – the Institute is still awaiting an OGP tender for this service.
- (vii) NFS Equipment Maintenance – the original contract was not renewed and the Institute put in place a one-year contract following a procurement process; it is planned to undertake a procurement process later in the year for a larger contract.
- (viii) Student Support (Interpretation & Translation) – a tender process is required for this service due to the number of years the contract with Bridge Interpreting has been in operation.

## 10. A.O.B.

There were no items raised under A.O.B.

**Next Meeting:** Wednesday, 23<sup>rd</sup> May 2018 at 9.30am

Signed:   
Dr Fionnuala Anderson  
Chairperson

Date: 23/5/18