

Audit & Risk Committee of Governing Body ***Minutes of 23rd May, 2018***

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

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

Apologies: Kieron Connolly

1. Adoption of Agenda

The Agenda was adopted as circulated.

Proposer: MMcC

Seconder: MC

2. Adoption of Minutes of the Meeting of 21st March, 2018

The Minutes of the meeting of 21st March 2018 were adopted as circulated.

Proposer: MC

Seconder: MMcC

3. Matters Arising

3.1 Capital Developments Call – it is unclear as to whether or not the technical advisors have been appointed as yet. It was noted that a site visit has been requested for Wednesday, 6th June 2018, however it is now highly unlikely that the originally planned completion date of 1st September 2021 will be met.

3.2 Programmes & Budgets 2018 – it was noted that Programmes and Budgets 2018 document was approved by Governing Body at its meeting of 2nd May 2018 and was subsequently submitted to the HEA. It was noted that the President, Secretary/ Financial Controller and Finance Manager attended an Accountability Meeting with the HEA on 24th April 2018 to discuss budget allocations.

3.3 Corporate Procurement Plan 2018 – it was noted that the Corporate Procurement Plan 2018 was approved by Governing Body at its meeting of 2nd May 2018. In March the HEA launched a new Corporate Procurement Plan template which includes a proposal that all tender requests be submitted by November each year. The Secretary/Financial Controller will review the Plan during the summer months and will report back to the Audit & Risk Committee at its meeting in September.

4. Update on Financial Statements for year ending 31st August, 2017

It was reported that auditors from the C&AG commenced their audit on site on Monday, 21st May 2018. It was noted that the Secretary/Financial Controller had met with the auditors to answer initial queries. In relation to the cover letter which accompanied the Institute's draft Financial Statements for year ended 31st August 2017

sent to the C&AG on 15th May 2018, it was reported that a reference was included to the potential weakness discovered in the Institute's Statement of Internal Control 2017 and subsequent investigation (as advised to the Audit & Risk Committee members on 13th December 2017) It was noted that Mr. John Byrne is the Senior Auditor of the C&AG who has been assigned to the Institutes of Technology sector.

Agreed: A copy of the correspondence to the C&AG and HEA (sent on 18th September 2017) to be forwarded to the Chair of the Audit & Risk Committee.

5. Contracts Control Sheet Update

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

- (i) Catering Services – the data gathering phase of the tender process is approaching completion.
- (ii) Design & Print – a tender process was completed and shortlisted companies were interviewed; the Institute is currently working towards a decision regarding the awarding of the Design & Print Services contract.
- (iii) Reading & Writing Services – a one-year (academic) extension to the existing tender is in the process of being developed, with an expected due date of 15th June 2018.
- (iv) Student Support (Interpretation and Translation) – a two-year tender process is currently being prepared for this service, with an expected due date of 30th June 2018.
- (v) Waste Management – an option has been granted to extend the existing contract for up to two six-month periods.
- (vi) Website – included as part of the Design & Print tender process.

6. Draft IADT Risk Policy

The Audit & Risk Committee members were briefed on the THEA Risk Management Policy (May 2018) which was approved by the THEA Council of 9th May 2018 (THEA Internal Audit Steering Committee on the 8th March, 2018) for localisation by individual Institutes of Technology. It was noted that the format of the Risk Appetite Statement, as well as the Risk Management Process require review and adaptation to IADT's needs.

The Audit & Risk Committee adopted the THEA draft Risk Management Policy for localisation.

Proposer: FB

Secunder: MC

7. Risk Register – V.P. for Equality & Diversity/Registrar's Area

The Chair of the Audit & Risk Committee requested a briefing on the Institute's plans for compliance with the new General Data Protection Regulation (GDPR) which comes into force on 25th April 2018, as this could be a significant risk item. The GDPR replaces the existing data protection framework under the EU Data Protection Directive. The Committee members were briefed on the Institute's Record Management Policies, on the development and completion of a Record of Processing Activities (ROPA). The Committee members were also briefed on the basis upon which the Institute obtains

and retains information on individuals; primary contracts with the Institute are legally based and it was noted that while consent forms are obtained, these have limited value to the Institute.

The Chair of the Audit & Risk Committee requested an update on any legal cases recently completed or ongoing. It was reported that the auditors had also sought a similar update. The first legal case related to property damage of the Media Cube building and that the institute is close to reaching an agreement through our solicitors with the contractor, Purcell Construction who have accepted liability; it is estimated that the legal costs will amount to €12,000.

It was noted that there were a number of Workplace Relations Court (WRC) cases (current and past) to report including the following:

- One case involved a staff member who was contesting their qualification to participate in a recruitment process – the Institute was represented by IBEC and the ruling was that there was no case to answer.
- A case involving a grievance on behalf of a staff member in relation to an internal transfer within the Institute – the Institute is being represented by IBEC and the matter is ongoing.
- An appeal regarding a disciplinary process which was initially rejected by the Institute but which is currently being reconsidered. The Institute is being represented by IBEC.
- A complaint regarding a grievance made by a staff member – this matter was dealt with through the Institute's lawyers and a settlement was reached to provide the staff member with an enhanced redundancy (as agreed by the Department of Education & Skills); the legal costs for this amounted to €30,000.

Dr Andrew Power, V.P. for Equality & Diversity and Registrar, joined the meeting at 10.22am and briefed the Committee members on the risks associated with the Registrar's functional area. The following risk entries were noted:

- (i) Item 3.1.1 Academic Students: Recruitment – it was noted that the number of second level students sitting the Leaving Certificate examination has declined this year; this linked with competition for other IoTs, universities and private colleges requires a new strategy to increase student recruitment.
- (ii) Item 3.1.14 Academic: Student Deferrals – it was reported that this risk has been improved from 'Unacceptable' to 'Acceptable with Caution' due to the work being carried out to identify and monitor students applying for deferrals. It was noted that an analysis had been carried out of all deferral applications received during the past 18 months to identify any similarity in the issues raised and also the area of study. It was reported that a number of supports have been put in place to assist students who are struggling with meeting deadlines as well as a review of the deferral applications submitted by postgraduate students.
- (iii) Items 3.1.15 & 3.1.16 Academic Supports – it was reported that during the last 12 months, significant amount of work has been carried out in the Student Services area, including the expansion, cohesion and regularisation of the provision offered. It was noted that the Student Experience Manager has achieved Path funding of €1M as part of the Leinster Pillar Consortium.
- (iv) Item 3.2.1. Collaborative Programmes & Collaborative Partnerships – it was reported that all policies in relation to this have been reviewed in conjunction with the Secretary/Financial Controller, Head of Creative Engagement and Heads of Faculty.

- (v) Item 3.2.2. Student Numbers: Springboard – it was noted that the continuation/funding of Springboard programmes is solely dependent on the HEA; the Faculty of Enterprise & Humanities has succeeded in obtaining funding for 25 students as part of this programme.
- (vi) Item 3.2.3. Student Numbers: Postgraduate – it was reported that taught postgraduate students make up 14% of overall student numbers in IADT, however the numbers of M.A. by Research students remain low. It was noted that a strategy has been developed to increase applications to the MA by Research programmes offered by IADT.

8. President's Expenses (January – May 2018)

The Chairperson reviewed and signed each of the President's Visa Expense Forms and an Expense Claim form, all of which relate to the period from January to May 2018.

9. Audit & Risk Committee Meeting Schedule 2018-2019

The draft Audit & Risk Committee Meeting Schedule 2018-2019 was discussed as circulated. Committee members requested that alternative dates towards the end of September 2017 and March 2018 be provided.

10. A.O.B.

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

Next Meeting: To be confirmed

Signed: Marie Carroll
Marie Carroll
Chairperson for Meeting

Date: 27/9/18