

---

Submission to the Higher Education Authority  
regarding the Application to  
the Minister for Further and Higher Education,  
Research, Innovation and Science  
for an Order to Establish the

# South East Technological University

Under the Technological  
Universities Act 2018



Waterford Institute *of* Technology  
INSTITIÚID TEICNEOLAÍOCHTA PHORT LÁIRGE



INSTITUTE *of* TECHNOLOGY CARLOW  
Institiúid Teicneolaíochta Cheatharlach

## Table of Contents

Executive Summary	3
Introduction	5
Condition 1 of 6 specified by the Minister under section 35(1) of the TU Act 2018	9
Condition 2 of 6 specified by the Minister under section 35(1) of the TU Act 2018	15
Condition 3 of 6 specified by the Minister under section 35(1) of the TU Act 2018	31
Condition 4 of 6 specified by the Minister under section 35(1) of the TU Act 2018	34
Condition 5 of 6 specified by the Minister under section 35(1) of the TU Act 2018	37
Condition 6 of 6 specified by the Minister under section 35(1) of the TU Act 2018	41
Appendix 1: Draft Notice and Agenda for First Academic Council	45
Appendix 2: Agenda for First Governing Body Meeting/Audit and Risk Committee Meeting	47
Appendix 3: Governing Body Workplan to 2023	51

# Executive Summary

This document responds to the request by An tÚdarás um Ard-Oideachas (HEA) to the South East Technological University (SETU) consortium for a formal submission that demonstrates compliance with certain conditions for designation as a Technological University (TU). Specifically, this document addresses the conditions expressed by the Minister in his letter of 12 December 2021 and the process proposed by the HEA in the letter from the CEO of 13 December 2021.

The submission demonstrates the systematic and consistent approach to project governance and management, supported by external expertise, that has been a feature of the project since 2017. The layers of governance are described funneling from the joint governing body steering group through to the more than four hundred staff and students actively engaged in the various work groups working towards the singular objective of establishing a university in the South East.

The work group reports feed into the overall project master plan that is overseen by the domain leadership group and onwards to the joint governing body steering group. This circular process informs and directs the work plans, the change management processes and the risk management processes to ensure the continuous development and monitoring of the SETU programme of work. The governance and oversight processes are discussed under 'Condition 1'.

The areas of IT, HR, and Student Services and their post panel and onwards plans are the particular focus of this review. Work group leaders and their teams have contributed to this submission and their work is synthesised in the tables contained within the report on each domain in the discussion of 'Condition 2'. The consortium will deliver its IT integration plans in partnership with EduCampus Services, a subsidiary company of HEAnet CLG set up to deliver shared MIS and IT services to the HE sector. They are assisting, and will continue to assist, the IT team to implement, maintain and support the business-critical systems backboning our infrastructure. In addition, our HR teams is working with EduCampus on the delivery of our HR and Payroll systems. The progress of the IT, HR, and Student Services workgroups is outlined within this submission.

'Condition 3' refers to the overall project plan. A master programme plan is maintained by the Project Management Office. This provides the foundation for managing and monitoring cross-institutional progress against the stated deliverables. The robust programmatic approach ensures cascading levels of oversight, stress testing and review of deliverables in a structured manner. This approach, in alignment with the pre-designation and Establishment Day structures, provides strong assurance with respect to organisational readiness upon the date of establishment.

The identification, management and mitigation of risk is a fundamental pillar of the process. The SETU approach to risk management is discussed as 'Condition 4'. A strategic risk register was developed and approved by Joint Executive in May 2021. This risk assessment superseded a previous version from April 2019. The strategic risk register has evolved since May 2021 to account for external emerging risks and risks relating to the change management programme.

The identification of key deliverables and realistic and achievable timelines is also demonstrated. Critically consideration has been given to identifying potential risks to delivery and, in addition to transition plans, also developing fall back solutions. The overall objective is to achieve the legislative requirements to function as a unitary entity on Establishment Day maintaining the high standard of user service that is a feature of the partner institutes. This is discussed as 'Condition 5'.

The development of collaborations and partnerships and the part played by external advisors is discussed under 'Condition 6'. External expertise has been procured from the inception of the project to assist in the development of additional strategic and operational leadership and management capacity. This, together with a range of specific cross-institutional collaborative initiatives, has resulted in greater partnership and collaboration within and across the applicant institutes as they have progressed through the pre-application, evaluation and pre-designation phases, and in preparation for the new administration and governing body.

The Governing Bodies, the Steering Group, the Presidents and the Executives of the partners to this consortium are confident that the work done up to the panel visit and the substantial progress made since then, together with the planned programme of work for the coming months, will ensure that the new entity can operate effectively on designation day.

# Introduction

## Purpose of this Document

This document responds to the request by An tÚdarás um Ard-Oideachas (HEA) to the South East Technological University (SETU) consortium for a formal submission that demonstrates compliance with certain conditions for designation as a Technological University (TU). The document is concerned exclusively with giving assurance to the HEA that the consortium has the capacity to perform the functions of a TU indicated in the s28(1)(k)(i) of the Act and is confined to elaborating the arrangements in place or planned that are relevant to this criterion. This criterion states that

*the applicant institutes demonstrate to the satisfaction of the advisory panel that the applicant institutes have, at the time they apply under section 29 for an order under section 36, the capacity to effectively perform the functions of a technological university and in particular demonstrate that they have integrated, coherent and effective governance structures in place concerning academic, administrative and management matters.*

Specifically, this document addresses the conditions expressed by the Minister in his letter of 12 December 2021 and the process proposed by the HEA in the letter from the CEO of 13 December 2021. The conditions specified are as follows:

1. The applicant institutes shall jointly demonstrate that appropriate governance and management oversight structures are in place to ensure the development and monitoring of a programme of work leading to TU designation.
2. The work of the consortium that was planned to occur post-panel review up to the date of designation relating to the domains of IT, HR, and Student Services is completed.
3. A detailed plan is provided containing realistic and credible timelines that includes the timelines and deliverables required to ensure that sufficient governing structures in the areas of administration and services will be in place to allow the two separate institutes to successfully and safely become one legal entity upon the appointed date of establishment.
4. There is an account of the services within these domains that, if not ready on the proposed date of designation, would hamper crucial operations, identifying risks and plans for their management, in particular the protection of learners during any transition to TU status.
5. If the timelines included with these plans extend beyond the proposed date of designation, there are clear transition plans including fall-back options demonstrating that the TU can continue to act as one legal entity and have all crucial operations continue without interruption.

6. Appropriate independent external expertise has been procured to assist existing staff, examine the potential for developing additional leadership capacity that can help foster greater partnership and collaboration and to prepare for a new administration and governing body, post-designation.

This submission addresses the conditions in the order listed in the appendix.

We note that, in addition, the HEA issued the following clarifications following a meeting on 17 December 2021 with the applicant institutions.

**Condition 2:** For the purposes of this process ‘Student Services’ refers to technical/support services rather than academic affairs. This includes for example, student welfare, wellbeing and counselling services.

**Condition 6:** The HEA confirmed that the applicant institutes are requested under this condition to demonstrate progress “since the meeting of the Advisory Panel in July 2021 in relation to succession planning. This could include a provisional schedule of work for the Governing Body in the first 6 months post-establishment, for example. The applicant institutes should include reference to how external expertise procured to assist with TU preparation is facilitating staff within the institutes to manage and progress the planning process.”

We note the international panel’s endorsement of the consortium’s credentials regarding the substantive criteria relating to the profile of the student body, the qualifications of staff, the conduct of research, our relationship to the region and the recognition of the robust nature of our processes and practices (including as they relate to the protection of learners). We believe this submission, and the commitments detailed within, will give the necessary assurances to the HEA and subsequently to the Minister that his confidence in the Institutes to deliver the new university for the region will be further strengthened.

## Overall Approach to Consolidation and Merger Planning

The consortium has taken a measured and systematic approach over a number of years to planning for merging and TU designation. The approach has been informed by and is consistent with international best practice in higher education mergers, supported by external merger expertise where necessary, and focused on making key decisions in support of the ambitions of the new organisation in a timely and consistent manner.

Activity and planning has fallen into a number of phases.

### Phase 1: 2017-2019

Key activities in this phase included:

1. The framework within which focused merger planning commenced was provided by an initial programme of work from 2017-2019 facilitated by external change experts (Price Waterhouse Coopers, PwC) and involving an extensive consultation process with staff. The consortium developed principles informing a change plan in this period, and designed and structured a change programme. Specifically, work focused on defining the change programme objectives and scope, workstreams and projects, and governance structures and roles. This framework provided the platform for all subsequent activity.



2. Within the context of the structures defined by the Institutes and PwC, and with the specific oversight of the Joint Steering Group (reporting in turn to the Governing Bodies), a risk assessment exercise took place (supported by another set of external experts, Prospectus) and an economic impact assessment was carried out (supported by Ernst and Young).
3. This phase also saw the secondment of a number of Industrial Relations (IR) Facilitators from the academic, administrative and technical staff trade unions to support and facilitate communication and consultation with staff. A key element of their work included the organisation and facilitation of a number of consultative working groups that reported back to the Steering Committee early in 2020. IR Facilitators remain a core part of the project.

## Phase 2: 2019-2021

Key activities in this phase included:

1. Workstreams designed as part of the first phase of the project reflected the thematic areas set out in the agreed TU mission and vision. Executive members from both institutions jointly chaired Workstreams; this ensured that overall control of the process remained within the institutional communities, albeit with the support of external experts. Supported by the appointed TU Project Office as well as by external experts (BH Associates), workstreams began to meet in 2020, tasked with identifying key deliverables in support of merger and TU designation and developing an action plan in support of their delivery. The mobilisation of the Institutes' staff was a clear focus of workstream activities and upwards of c.400 staff were involved.
2. This period also saw the development of the application document that formed a focal point and facilitated activity, giving an overall direction of travel to the many different working groups (that numbered at one point over thirty).
3. Risk management for the project continued through this period, informed by the independently-commissioned Prospectus 2018/2019 review by the consortium covering the following seven areas: Governance and Legal; HR Analysis; Academic and Quality Assurance; Student Services and Support; Information Services and Infrastructure; Internationalisation; and Research and Innovation. Progress on mitigation of these risks, together with ongoing risk analysis as the project continues to evolve, inform the current risk register for the project that is reviewed on a regular basis by the Joint Executive.

## Phase 3: 2021 to Present

The current programme of work is encapsulated in the SETU *Master Project Management Plan*<sup>1</sup> and associated SETU *Risk Management and Risk Register*<sup>2</sup>, which focus not only on critical Establishment Day tasks and deliverables, but also on a programme of work for

1. the foundation year towards a fully unified multi-campus university,
2. capacity-building initiatives supported by HEA TUTF (Technological University Transformation Fund), and
3. strategic planning-related initiatives that will inform the development of the university's first strategic plan within the timeline specified under the Technological Universities Act 2018.

<sup>1</sup> Master Project Management Plan for South East Technological University Project (projected Establishment Day of the 1st May 2022), version last reviewed by Joint Governing Body Steering Group at its 32nd Meeting, 14th December 2021.

<sup>2</sup> Risk Management and Risk Register for South East Technological University Project, version last reviewed by Joint Governing Body Steering Group at its 32nd Meeting, 14th December 2021.

Elements in the Plan relevant to the various conditions are set out in the pages that follow.

In the period from July to September 2021, progress on the generation of a consolidated Master Project Management Plan from the plans developed by the eight SETU thematic workstreams was supported by external project management expertise (Grant Thornton) and the embedding of three professional project management practitioners into SETU's project office. The consolidated plan was further refined and stress tested by Grant Thornton throughout the month of October 2021, working with the senior executive joint workstream leads. A total of four detailed review cycles were completed in October 2021, and all reviews confirmed that critical Establishment Day tasks remained on schedule.

A further realignment of the Master Project Management Plan was completed throughout November 2021. This was necessary as previous versions of the plan were calibrated to the earlier indicative establishment date of the 1 January 2022. The profile and number of the critical Establishment Day tasks remained the same throughout all the review cycles as would be expected, while there were some additional non-critical tasks added to the plan.

The most recent review of the risk register was conducted by the Joint Governing Body Steering Group at its 32<sup>nd</sup> Meeting in December 2021 and the Joint Executive (also in December 2021). The current iteration of the risk register identifies nineteen risks which are being actively managed. The risk management process for the project at all levels of activity is further supported by published guidelines on the identification, assessment, and management of risk as the project evolves.

We note that some of the critical designation tasks identified in the Master Project Management Plan can only proceed to completion upon a Ministerial Order to establish the new university and the formation of the legal entity. Examples include the transfer of HR functions, the transfer of data pertaining to learners and staff, commencement of the recruitment process for the appointment of the first president, and those elements within the branding and identity project dependent on confirmation of the name of the new university. With reference to the latter, the Governing Bodies of the two applicant institutes unanimously endorsed a proposed naming/branding convention in mid-2021 that emerged from a broad and inclusive consultation process with internal and external stakeholders across the South East region and broader sphere of influence of the two Institutes.



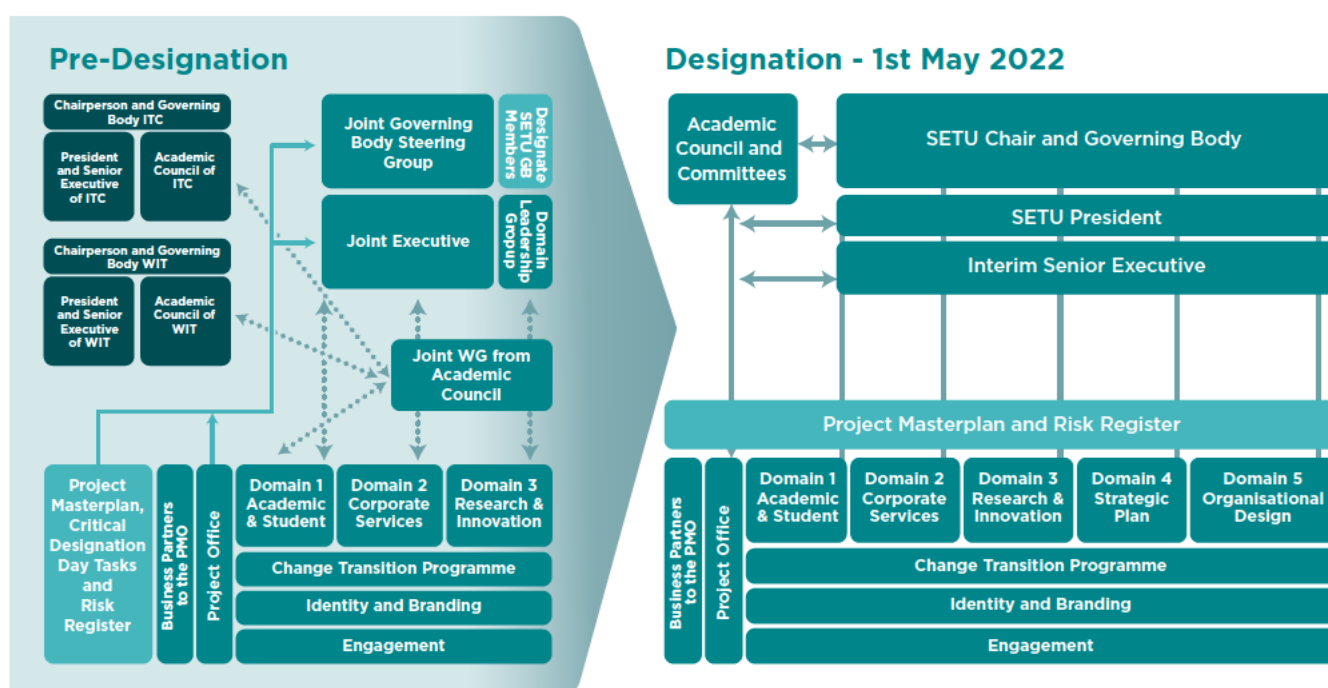
# Condition 1 of 6 specified by the Minister under section 35(1) of the TU Act 2018

The applicant institutes shall jointly demonstrate that appropriate governance and management oversight structures are in place to ensure the development and monitoring of a programme of work leading to TU designation.

The South East Technological University (SETU) consortium has in place appropriate governance and management oversight structures to ensure the continuous development and monitoring of the SETU programme of work.

The Master Project Management **Plan** is subject to ongoing development and review by appropriate governance and management oversight structures and arrangements. These are as originally described in the consortium's April 2021 submission to the Minister<sup>3</sup>, but with some necessary adjustments as the project has moved beyond the application and initial evaluation phase in July 2021. Current oversight structures and arrangements are summarised in Figures 1 and 2 and elaborated on in the rest of this section.

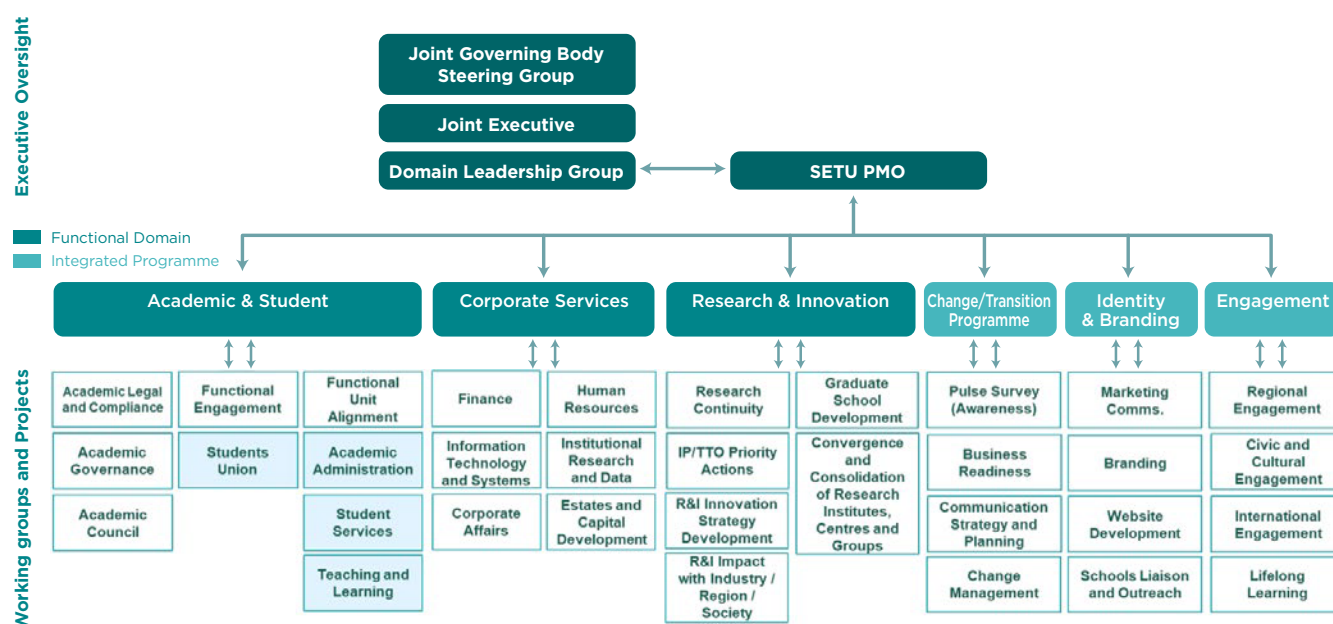
Figure 1 SETU governance and management oversight structures and arrangements



<sup>3</sup> Application to the Minister for Further and Higher Education, Research, Innovation and Science for an Order to Establish the Technological University of South-East Ireland Under the Technological Universities Act 2018, South East Technological University Consortium, Chapter 8, April 2021

Figure 2 SETU governance and management oversight structures and arrangements

## Programme Structure - Pre-designation



## Joint Governing Body Steering Group

A Joint Steering Group, established on behalf of the Governing Bodies of the two applicant South East Institutes of Technology, has been in place since December 2017, evolving in consultation with the Department of Education/Department of Further and Higher Education, Research, Innovation and Science in 2020 as the national technological university initiative matured. The purpose of the Steering Group is to:

- Provide oversight and strategic direction necessary for the project to achieve a successful outcome within the framework provided by the 2017 MOU.
- Oversee the work on the project by the project delivery structures.
- Approve key decisions regarding the direction of the project.

The current Terms of Reference and Operational Structure<sup>4</sup> for the Joint Governing Body Steering Group were approved by the Governing Bodies of the two applicant institutes in Q4 2020 and provides for a membership of fourteen governing body representatives comprised of members from organisations external to the two institutes, staff representatives, student representatives, and the current Chairs and Presidents. Meetings are co-chaired by the Governing Body Chairs of the applicant institutes.

The Joint Governing Body Steering Group is committed to meeting monthly in the lead-up to Establishment Day, when they will continue to review progress on the Master Project Management Plan and Risk Register. Grant Thornton have also been requested to provide the Joint Governing Body Steering Group with a written interim/mid-month report on progress throughout this period.

<sup>4</sup> Joint Governing Body Steering Group, South East Technological University Consortium, *Terms of Reference and Operational Structure* (October 2020 revised version).

On the 3 December 2021, Minister Harris invited expressions of interest to fill the Chairperson and Ordinary Members positions on the first Governing Body.<sup>5</sup> At the 31<sup>st</sup> Meeting of Joint Governing Body Steering Group, members unanimously approved a proposal by the Governing Body Chairs that, once designated by the Minister, those SETU Governing Body designate members would be invited to attend Joint Steering Group meetings in the lead up to Establishment Day. This will provide for a welcome degree of continuity upon designation.

## Academic Governance

The primary mechanism of academic governance is the Academic Council and the legislation (Section 17(3) of the Technological Universities Act 2018) requires a functional Council to exist and be operational for the University to discharge its obligations for effective control of the academic affairs of the university. From Establishment Day, all relevant business will be addressed by the SETU Academic Council.

A dedicated working group (including members of each existing Council) has detailed an approach and structure that is scheduled for presentation to the inaugural meeting of the SETU Governing Body and which will enable the duties of the first university Council to be performed effectively. This structure includes the creation of a new SETU Academic Council drawn from the existing elected Councils as well as the establishment of sub-committees (13) mapped to the requirements of section 17 of the Technological Universities Act. These committees will be:

- QA & Validation Committee
- Regulations Committee
- Academic Risk Committee
- Planning Committee
- Learning & Teaching, and Support Services Committee
- R&D, Innovation & Entrepreneurship Committee
- Agenda Setting Committee
- Linked Provision Committee
- Standing Committee of Academic Council
- Appeals Committee
- Programme Boards
- School/Faculty Boards (see separate document for full description)

A Transitional Arrangements Committee will also be convened, building on the activities of the working group, to establish and oversee the processes and structures by which the policies and procedures of ITC and WIT should be harmonised during the transitional period, to report to the first Academic Council on progress relating to harmonisation, and to make recommendations to the first Academic Council on how to proceed in respect of harmonisation of policies and procedures across the two former institutions.

<sup>5</sup> Minister Harris invites expressions of interest to fill Chairperson and Ordinary Members positions on the first Governing Body of the proposed new Technological University in the South East, [www.gov.ie/en/press-release/30410-minister-harris-invites-expressions-of-interest-to-fill-chairperson-and-ordinary-members-positions-on-the-first-governing-body-of-the-new-technological-university-in-the-south-east/](https://www.gov.ie/en/press-release/30410-minister-harris-invites-expressions-of-interest-to-fill-chairperson-and-ordinary-members-positions-on-the-first-governing-body-of-the-new-technological-university-in-the-south-east/), December 2021.

A document that sets out the proposed membership of each of the committees has been developed and this document, along with the terms of reference for Council and each committee, will be presented to the SETU Governing Body for approval at its inaugural meeting. Student representation at Council will continue as currently. An initial agenda has been developed for the first SETU Academic Council for Establishment Day and is included as Appendix 1.

## Joint Executive Group and Domain Leadership Group

The Joint Executive Group is comprised of members of the executive teams from the two applicant institutes and is an embryonic Interim Executive team for the university once established. It is therefore a complementary entity within the consortium to the Joint Governing Body Steering Group, mirroring the structures of the new university. With a total membership of twenty-three, meetings of the group are co-chaired by the Presidents of the applicant institutes in rotation.<sup>6</sup> The work programme for the merger of the two organisation is co-ordinated by this group, with members jointly chairing project workstreams and therefore having oversight of the component parts.

As the project moved beyond the application and initial evaluation phase in Q3 2021, the Joint Executive Group established a subgroup of the Joint Executive in September 2021, the Domain Leadership Group, whose Terms of Reference provide for its role in reviewing, consolidating, and further developing institutional plans on behalf of the Joint Executive.<sup>7</sup>

This subgroup of the Joint Executive Group has a membership of eight comprised of the Presidents, the VPs for Corporate Affairs, the VPs for Academic Affairs, the VP for Development and Research and the VP for Strategy. Meetings of the group are co-chaired by the Presidents in rotation. The group oversees domains that draw on and bring together workstream activities in the areas of Academic Affairs, Corporate Affairs, and Research and Innovation, together with workstreams that transverse these domains, including the change programme, identity and branding, and stakeholder engagement.

- The **Academic and Student Domain** and constituent working groups are focused on: academic governance, including the first SETU Academic Council; the legal and compliance requirements relating to the Academic and Student Affairs domain; functional unit alignment in the domain; supporting the consolidation of the Students Unions.
- The **Corporate Services Domain** and constituent working groups are focused on corporate readiness across Corporate Governance, Finance, HR, IT/IS, Estates and Capital Development, Institutional Data.
- The **Research and Innovation Domain** and constituent working groups are focused on: consolidation of graduate policies and regulations; research award standards; convergence of IP/TTO policies; convergence of policies on conflict of interest and conflict of commitment; research strategy and capacity building.

On Establishment Day, the Joint Executive will become the interim executive for the new organisation supporting and reporting to the first SETU President.

<sup>6</sup> Joint Executive Group, South East Technological University Consortium, *Role Outline* (December 2020)

<sup>7</sup> Domain Leadership Group, South East Technological University Consortium, *Terms of Reference* (September 2021).

## Cross-Domain Workstreams and Roles

These three domains of activity directed by the Domain Leadership Group are supplemented by three cross-cutting workstreams.

- The **Change Programme Workstream** builds further upon the considerable work already completed to-date on supporting staff through the significant change that is underway. As the work of the thirty-three working groups proceeds, new ways of working and operating are being identified and the Change Programme is an essential part of supporting the chairs of these working groups in implementing the new ways of working. As the project has moved beyond the application and initial evaluation phase, the focus is now on the pre-designation and foundation stages and a new PULSE survey has been completed which has gathered current insights and thoughts from staff across the two Institutes. A customised response is underway and includes, but is not limited to, training and development.
- The **Identity and Branding Workstream** and constituent working groups are focused on ensuring that the values and culture of the new university are shaped by all our stakeholders and expressed clearly, not just in day-to-day behaviours but also in our identity and branding.
- The **Engagement Workstream** and constituent working groups are focused on the enhancement of university frameworks for regional engagement, civic and cultural engagement, flexible provision and education engagement, and international engagement. This workstream is informed by the SETU Regional Engagement Advisory Group (REAG) whose membership is drawn from external stakeholders across the region. The REAG is chaired by the Presidents of the applicant Institutes in rotation.

As the merger project has developed, the Institutes have created **function-specific, cross-institutional roles**. These roles will further increase as the programme develops to support the foundation year. These roles are designed to operationalise the decisions that have been arrived at through the working groups. Specifically:

- Two **Project Directors** were appointed to lead the Project Office.
- A **Brand Manager** was appointed to ensure consistent external communication on the TU and as a focal point for the dissemination of information to stakeholders.
- An integration lead in the area of **Student Services** has been appointed to ensure decisions made in this area are operationalised cross-institutionally.
- An integration lead in the area of **Academic Administration** has been appointed similarly with a view to ensuring decisions are operationalised in an integrated fashion.
- Recognising the aspiration for a joint graduate school at an early stage, a **Graduate School Project Manager** was appointed to facilitate the consolidation of graduate studies in the merger.
- An **Engagement** specialist was appointed to ensure co-ordinated engagement with especially regional stakeholders through the ongoing merger.

## Working Groups

Working groups continue to be an important vehicle for staff engagement with the merger programme, identifying key pre-designation, post-designation, and long-term decisions to ensure a smooth and successful transition to the new university. The working groups across these domains and cross-cutting programme activities are responsible for completion of the tasks incorporated in the Master Project Management Plan and these responsibilities are clearly identified in the plan. The workstreams and working groups are supported by the SETU Project Office, assisted by other professional management and support service functions across the two institutes (e.g., finance, HR, communications, compliance offices and computing services). All domains work closely with the project office to provide regular feedback on progress, issues and risk management, which is then used for monitoring and governance purposes via updates to the Joint Governing Body Steering Group and the Joint Executive on the Master Project Management Plan and the Risk Register.

It is envisaged that the Working Groups will continue as an important vehicle for the change programme beyond Establishment Day.

In parallel with the working groups, and as a further enabler of staff engagement, the Joint Executive has initiated the process of establishing a change network to further facilitate and enable two-way communication about change across the applicant institutes. This is a dedicated network of people, Change Champions, who act to inform and facilitate the change and act as a key liaison between project leadership and stakeholder groups.

## Project Office

The Joint Executive is supported by the Project Management Office (PMO) that provides significant project management expertise and cross-institutional, cross-consortium intelligence and support for integrated planning as well as administrative and other resources. The Project Office has been further enhanced since September 2021 with the embedding of three senior project managers from Grant Thornton into the Project Office. The PMO has six distinct functions: Financial Management, Risks and Issues Management, Resource Management, Governance Support, Communications and Monitoring and Reporting. A Business Partnership model is leveraged to support the functions of the PMO and scheduled touchpoints are in place to ensure the successful operation of the PMO.

The role of the Project Office will expand further in the coming months and years as the change programme for this new stage of the project is implemented and other important SETU projects are expanded post-Establishment Day. Its primary role will continue to be in support of the overall Change Programme.

## Students' Unions

The consortium has given support to the Students' Unions to carry out their own work programme towards integration. Engagement and participation with Governing Body and Academic Council will continue as in the current organisations.



# Condition 2 of 6 specified by the Minister under section 35(1) of the TU Act 2018

**The work of the consortium that was planned to occur post-panel review up to the date of designation relating to the domains of IT, HR, and Student Services is completed.**

## **IT Systems Integration**

There are three parts to the overall ICT Systems Integration Programme of Work

### **1) Underlying IT Infrastructure**

The unified, underlying ICT infrastructure environment to service logins, email, applications, and security is in design and build phases and is awaiting name announcement to proceed further. A new, unified, secure, foundation IT infrastructure environment, based on Active Directory, Office 365 and a consolidated IT Network is the planned outcome for the new Technological University. The remaining work required to complete the new environment will take approximately ten weeks following allocation of the TU name.

TU email addresses will be available on Establishment Day. Staff email accounts will be activated on Establishment Day while student email accounts, to minimise impact on student users, will be activated at the start of the next academic year. The existing Active Directory (AD) and Office 365 (O365) environments of both Institutes will continue to coexist alongside the newly-built TU AD environment until all users are fully migrated.

To provide the newly branded, university email address to staff, while ensuring that existing ITC and WIT email addresses stay functional, it is planned to use an email redirection utility for incoming and outgoing emails. (Note: this is dependent on the newly-built TU Active Directory and Office 365 environments, which in turn is dependent on the name announcement)

A single TU telephone number will be setup for Establishment Day and all calls will be handled through an Auto Attendant service that redirects calls to the appropriate campus. A new TU website has been built and is ready for branding.

### Progress Update:

- A number of possible TU domain names have been reserved in preparation for official announcement of the TU name.
- Audit and discovery of both Institutes' AD, O365 and Network environments has been completed.
- High Level Design (HLD) of new AD and O365 environment has been completed and approved by both IT Departments
- Work on Low Level Design (LLD) is ongoing with weekly workshops to complete detailed design decisions such as AD Structure, naming standards, managing duplicate names, Domain policies, etc.
- Assessment and demonstration of migration tools has been completed and licenses purchased
- A Virtual Private Network (VPN) has been setup between both Institutes in preparation for the unified AD server environment

## 2) TU Business Systems supported by EduCampus

The further development and integration of certain key business systems within the consortium is supported by EduCampus Services, a subsidiary company of HEAnet established in 2015 by the HEA. EduCampus supports the delivery of shared services across the IoT (institute of technology) sector generally and, more recently, to all TU consortiums. The TU partners and EduCampus established a joint forum in January 2021 and have agreed a framework for engagement to allow planning and preparation for changes to the Management Information Systems (MIS) that supports Finance, HR, Library and Student Records. The forum has general oversight of the MIS Merge Programme of work nationally and will ensure that the plans are implemented and that milestones are met. The Forum promotes communication between the parties and facilitates collaboration and joint decision making in relation to the TU projects. The Forum also addresses issues of governance, funding and resourcing in relation to the relevant projects.

### Progress Update:

- **FMS (M7) – Finance:** Project Discovery workshops have been completed. Follow up sessions underway to focus on decision making, approach and data preparation/mapping. FMS unification 'Go-Live' planned for May 2022. Ongoing support will be provided from Unit4 post system unification.
- **HRP (COREHR) – HR & Payroll:** EduCampus and Access Group have completed an initial Systems Process Alignment (SPA) phase with both Institutes on the COREHR systems. Data Mapping process is underway and User Acceptance Testing (UAT), Revenue changes, Branding and User Authentication testing is scheduled between February '22 and May 22. Both Institutions will continue to use their existing COREHR systems during transition. 'Go-Live' of integrated system is planned for Q3 2022. Mapping of ITC payroll processes to Higher Education Payroll Shared Services (HEPSS) and alignment to WIT/HEPSS payroll processes is underway. Both Institutes will continue to use their existing payroll systems during transition. Payroll will be processed from a unitary system following the integration of the Institutes Core HR system and the transfer of the remaining processes to HEPSS.

- **SRMS (Banner) – Student Records Management System:** Both Institutes have begun the activities for Business Process Alignment. ITC have started the Banner 9 upgrade process which will be completed by April 2022. WIT will complete Banner 9 upgrade in November 2022. When both Institutes are on the same version of Banner, data will be merged to a single TU instance.
- **LMS (Koha) – Library:** LMS Merge approach is currently being defined and options identified. Similar Koha modules and similar library databases are used by both Institutes. Both Institutes will continue to use existing systems while the merge approach is being finalised. A common landing page for an integrated library website has been constructed.

### 3) Other Applications & Systems

All systems and applications in both Institutes have been audited and assessed by the IT Teams and Business users (e.g. Virtual Learning Environments, Student Cards, Printing, Access Control, etc.). The initial discovery work has identified that these systems will continue to function effectively through Establishment Day.

The following table summarises the consortium's plans with regard to IT integration, the associated risks and mitigating actions, and fallback positions.

Domain	Function	Deliverable	Progress Update	Issue identification and Fall back
<b>Corporate Services</b>	Computing Services	Underlying Infrastructure build	Network and servers built and ready for completion pending name. The steps completed included:  Engaged vendor, Discovery complete, Statement of Works and High Level Design agreed. Low Level Design ongoing.	The legacy infrastructure will co-exist alongside the new infrastructure to ensure full access to all existing systems and services and provide a level of redundancy.

Domain	Function	Deliverable	Progress Update	Issue identification and Fall back
<b>Corporate Services</b>	Computing Services	New TU Email	<p>Design completed, Tool procured, pending build of underlying infrastructure as per previous point for testing and implementation.</p> <p>New email addresses for staff will be available from Establishment Day while new email addresses for students will be available from the start of the Academic Year 2022/23.</p>	<p>Staff &amp; Students continue to use existing Institute email addresses.</p> <p>Create TU email addresses for key roles only if required.</p>
<b>Corporate Services</b>	Computing Services	SRMS Banner system continues to function and plan for upgraded and integrated system	Discovery work completed. Coordinated approach to the national rollout schedule agreed appropriate upgrades and merger schedule and approach agreed with EduCampus.	Continue as defined by the national rollout schedule.
<b>Corporate Services</b>	Computing Services	Provision of a merged Finance M7 systems	EduCampus project in progress. On track for integration. Authentication process in planning.	Use local accounts for login.
<b>Corporate Services</b>	Computing Services	Core HR & Payroll systems continue to function and plan for upgraded and integrated system	BPA and system alignment ongoing. Cease & Rehire process agreed. Refer to detail below re HRIS project.	Continue as defined by the national rollout schedule. Refer to detail below re HRIS project.

Domain	Function	Deliverable	Progress Update	Issue identification and Fall back
<b>Corporate Services</b>	Computing Services	Library systems continue to function and plan for upgraded and integrated system	EduCampus project in progress. Frontend branding changes planned.	Continue as defined by the national rollout schedule.
<b>Corporate Services</b>	Computing Services	Policy and Procedures Aligned	<ul style="list-style-type: none"> <li>• AUP policy under review.</li> <li>• Change Control policy under review by both teams.</li> <li>• Ongoing Workshops to complete detailed design decisions such as AD Structure, naming standards, managing duplicate names, Domain policies, etc.</li> </ul>	There is no risk to the completion of this.
<b>Corporate Services</b>	Computing Services	Operational telephones	Agreed method of providing public TU phone access	Current phone numbers will remain functional.
<b>Corporate Services</b>	Computing Services	Presence of TU Website	New TU website has been built	Legacy websites continue.
<b>Corporate Services</b>	Computing Services	Ancillary systems continue function and plan for upgraded and integrated system	<p>Audit of systems used at both institutes.</p> <p>Assessment of impact from Underlying Infrastructure changes.</p>	Continue legacy operations.

Domain	Function	Deliverable	Progress Update	Issue identification and Fall back
<b>Corporate Services</b>	Computing Services	Provision of TU Student Card	<p>Student cards will be required by the commencement of semester 1 Academic Year 2022/23.</p> <p>Validated the production of the card on each site will not be affected. The card will have the brand of the TU.</p>	There is no risk to the completion of this.

Table 1: Summary IT Integration Plan

## Human Resources

The HR work programme aims to create a unitary HR service covering the full employee lifecycle from talent acquisition through to retirement for the new university. A comprehensive, detailed and time-lined Project Plan has been developed to ensure that all major HR deliverables are captured, prioritised and risk managed. All designation-day critical deliverables are on target to completed by Establishment Day with 52% already completed and the remainder in progress on target for completion by Establishment Day. Where work is continuing post-designation, transitional plans to ensure critical operation can continue uninterrupted, are in place.

### Progress Update:

There are four areas where work continues or has been completed since July 2021.

- **HRIS Integration Project:** The HRIS integration project is underway with a planned go-live date of September 2022. In conjunction with EduCampus and Access Group the HR teams have held breakout workshops to complete a System Process alignment (SPA) template for each module in COREHR. Decisions on alignment have been made and proposals will go forward for consultation with IR partners where appropriate. In the interim each IoT has ownership of their existing COREHR systems. The MOU and letter of comfort ensure that policies and procedures currently in place will stand beyond designation until reviewed. However many are governed by Department circulars and are therefore identical across the institutes.
- **Payroll processing:** There will be a fully integrated COREHR system which will result in all staff payrolls running from a unitary system; this is scheduled for Quarter 3 2022 in line with the EduCampus Project Plan. In the interim, WIT payrolls will continue to be processed by HEPSS and the Carlow /Wexford campus payroll will be processed directly by TU with the on-boarding of ITC to HEPSS in line with the introduction of the merged system. To facilitate this, in November 2021 ITC kicked off the mapping of their 'as-is' payroll processes with 2 days of on-site workshops facilitated by HEPSS and EY. The next stage will be to review the current WIT/HEPSS 'to-be' processes and begin an alignment exercise. In the interim ITC process their payrolls and WIT payrolls are processed by HEPSS.



- **Alignment of policies:** The HR subgroup engagement resulted in the production of compare and contrast documents which outline all the policies in each IOT and captured the differences between them. The next stage is a detailed analysis of each to propose a new TU policy for management and where appropriate IR consultations. A number of draft unitary policies are at information and consultation stage with staff representatives. In the interim all policies and procedures remain in place until reviewed.
- **Structure of HR department:** The structure of the HR department for the TU will be considered by benchmarking the scale of the organisation and best practice in the sector along with the appointed change management consultants. In the interim existing HR departments and functions remain unchanged.

The following table summarises the consortium's plans with regard to HR integration, the associated risks and mitigating actions, and fallback positions.

Domain	Function	Deliverable	Progress Update	Issue identification and Fall back
<b>Corporate Services</b>	Human Resources	HRIS Integration Project	The HRIS integration project is underway with a planned go-live date in Q4 2020. In conjunction with EduCampus and Access Group (system providers), the HR teams have held breakout workshops to complete a System Process alignment (SPA) template for each module in COREHR. Since September 2021 over 40 consolidated workshops took place with HR Subject Matter Experts from both IOT's. The outputs from these joint workshops enabled the Access Group to commence work on the design and implementation of one integrated HR System for the TU. Decisions on alignment have been made and where required consultation with union representatives are in progress.	In the interim the legacy systems will remain on each site and operate under a common framework with common policies and procedures subject to the terms of agreements with unions which ensure that all policies, procedures currently in place will stand beyond establishment until reviewed while noting that many are governed by department circulars and therefore already achieve a high degree of consistency.

Domain	Function	Deliverable	Progress Update	Issue identification and Fall back
<b>Corporate Services</b>	Human Resources	Payroll processing	<p>There will be a fully integrated COREHR system which will result in all staff payrolls run from a unitary system; this is scheduled for Quarter 3 2022 in line the EduCampus Project Plan. In the interim, Waterford Campus payrolls will continue to be processed by HEPSS and the Carlow/Wexford campus payroll will be processed directly by TU with the on-boarding of ITC to HEPSS in line with the introduction of the merged system. To facilitate this, in November 2021 ITC kicked off the mapping of their 'as-is' payroll processes with 2 days of on-site workshops facilitated by HEPSS and EY. The next stage will be to review the current WIT/HEPSS 'to-be' processes and begin an alignment exercise.</p> <p>The process related to the complete alignment of the CORE HR IT System in partnership with EduCampus and the Access Group is well progressed. Since September 2021 over 40 consolidated workshops took place with HR Subject Matter Experts from both IOT's. The outputs from these workshops enabled the Access group to commence work on the design and implementation of one integrated HR System for the TU which should be delivered by Q4 2022.</p>	In the interim, Waterford payrolls will continue to be processed by HEPSS and the Carlow/Wexford payroll will be processed directly by TU.

Domain	Function	Deliverable	Progress Update	Issue identification and Fall back
<b>Corporate Services</b>	Human Resources	Alignment of policies	<p>The HR subgroup is engaged in a full review of all HR Policies and Procedures. The current status of the progress on the alignment of policies is:</p> <p>Confirmed alignment of nationally agreed policies including all leave policies (e.g., maternity, parental, adoptive, carer's etc), grievance procedure, disciplinary procedure, and code of conduct for staff.</p> <p>Completed no. of unitary policies and process which are out for consultation with IR partners including the Dignity &amp; Respect policy, Equality Diversity and Inclusion policy, Admin and Library staff lateral transfer policy, Career break policy, Compassionate leave policy and Progression policy.</p> <p>Remaining key HR policies are being drafted and are on target to be issued to IR partners for consultation in Q1 2022.</p>	In the interim all policies and procedures remain in place until reviewed.
<b>Corporate Services</b>	Human Resources	Structure of HR department	The structure of the HR department for the TU will be considered by benchmarking the scale of the organisation and best practice in the sector along with the appointed change management consultants.	In the interim existing HR departments and functions remain in place.

Table 2: Summary HR Integration Plan

## Student Services

Work relating to the provision of the broad range of supports and services to students is incorporated into the Academic and Student Domain (Figure 2). The applicant institutes have a common framework for student services and provide a similar range of services. The consortium has completed a detailed analysis of the services currently provided and has a detailed plan in place for transition to a framework for TU service delivery within realistic and appropriate timelines.

Working groups have emphasised that student service activity is grounded in the campus-based academic context of the service and of the student and that this recognised strength of the existing service provision is to be the baseline for a coordinated but localised student experience. Therefore Student Services-related working groups have focused on a model that builds localised communities of service-excellence with a centralised and coordinated management and policy framework. They have drawn from the best practices across the existing institutions and from reviews of practices national and international external to the new university.

The Establishment Day focus for Student Services is on ensuring first and foremost that user access to services continues to be assured. Common policy frameworks (in areas such as child protection, student discipline, and others), where appropriate, will ensure a structured and coherent basis for operation. The need for ongoing integration of background processes and systems have been planned and form part of the overall change programmes. This is ensuring that the services are in place and accessible for students immediately on designation by utilising the existing user interfaces which are familiar and recognisable to students. The approach also addresses a second risk factor, the level of services on offer on each campus. By building on the services in place a coordinated and timely evolution of student services can be achieved. The gap analysis completed to date confirms that there are no major differences in the user services across the institutes and only limited day one critical activities have been identified.

Single dedicated management resources have been recruited in both the student administration area and in the broader student services area. These positions are leading the activity of the area as a single management focal point with overall responsible across the two institutions. The Academic and Student Domain will accordingly have four fully assigned management resources, two full time administrators, a project lead from the project office and oversight from the two institutional registrars as well as support from the change management process facilitated by Grant Thornton.

SETU plans for student services therefore involve:

- A suite of services integrated around the student. In practice this means that connectivity must be maintained between the academic journey of the learner and a full suite of accessible and connected services that support that journey. Analysis of the services on offer within the existing Institutes has shown that a common frame for student services exists (driven by consistent funding frameworks) and we provide a similar range of services. Both institutes are already multi-campus and have appropriate models to ensure a fair distribution of access to appropriate services across the campuses with a central management structure that ensures best optimal use of resources.

- A fair distribution of services across the multiple campuses that leverages the full resource base of the service to maximum effect. The delivery of services on any campus must reflect the service needs of that campus within the overall context of the resources available. SETU however will ensure that the coordination of service delivery within the transition periods will not result in any reduction of service availability to students and will achieve this by ensuring a period of continuity of all existing services within the existing service model until the change management processes (including stakeholder involvement) is completed.
- The transition to a coordinated model of service delivery over the period of the change management plan that balances the need for centralised management of the service provision (including resource management) with decentralised needs of learners for integrated service provision at the student level. Extensive work to date has been completed in this regard including the appointment of two posts to lead the integration effort, one for student services domain and one for academic administration, as well as substantial work on policy coordination and service definition. An example of the work to date has included both institutions aligning their HEAR and DARE processes.
- The formation of a single management structure for the overall management of each service provision, post-establishment, to ensure appropriate delivery of both service expectations and the change management objectives and with singular responsibility.

Working groups have completed a root and branch review of practices and policies (and documented them) across student services areas within both Institutes and either developed new policies for approval in SETU or proposed how they might be progressed.

#### **Progress Update:**

All work planned to occur post-panel review up to the date of designation relating to the domain of Student Services is completed. The following table summarises the consortium's plans with regard to Student Services integration, the associated risks and mitigating actions, and fallback positions.

Domain	Function	Deliverable	Progress	Issue identification and Fall back
<b>Academic and Student</b>	Recruitment and Enrolment	Admissions for 2022 in progress across all areas and SETU will honour commitments made in those processes.	Common frame for branding created  Model for academic programme continuity agreed.  Business Process Mapping Phase Completed	Need for on-going and consistent communication for staff and prospective students identified
<b>Academic and Student</b>	Communication	Working with the Students Union, our plan is to have web and social media based information to students on Establishment concerning the range of services and how to access them.		No delivery risks identified on designation
<b>Academic and Student</b>	Clear Administration:  Academic Administration	Process for dealing with day 1 agreed – existing IT systems will support local student registration, examination and graduation processes	BPA work commenced. integration with IT workstream through Banner 9 project established.  Integration lead for Academic Administration area appointed  Business Process Mapping Phase Completed	No delivery risks identified on designation



Domain	Function	Deliverable	Progress	Issue identification and Fall back
<b>Academic and Student</b>	Academic Pathways and Support:  Access	Significant importance of maintaining existing models for day 1 to protect vulnerable students and to honour commitments to stakeholders	HEAR & DARE alignment agreed  Mapping of agreements and models of entry undertaken.  Alignment driven in many case by common funding frameworks  No new commitments to be made pending Establishment Day	Need to tolerate variation in the short term to ensure fairness to previous commitments
<b>Academic and Student</b>	Academic Pathways and Support:  Library	Tasks identified and completed	Process for continuity of service including electronic media agreed and in place.  Frameworks in place to ensure delivery continues post-designation	No risks to delivery, physical, staff and legal structures in place.
<b>Academic and Student</b>	Academic Pathways and Support:  Disability Services	Significant importance of maintaining existing models for day 1 to protect vulnerable students	DARE alignment completed (within commitments made to existing applicants). TU Policy & Procedure articulated	Policy, Procedures & Resources are in place to ensure equity & continuity.
<b>Academic and Student</b>	Academic Pathways and Support:  Retention (Transitions and Learner Support)	Significant importance of maintaining existing models for day 1 to protect and support students	Mapping of models complete	Resources are in place to ensure continuity

Domain	Function	Deliverable	Progress	Issue identification and Fall back
<b>Academic and Student</b>	Wellbeing and Support:  Counselling	Significant importance of maintaining existing models for day 1 to protect vulnerable students and promote student mental health wellbeing	Mapping exercise complete & orderly transition based on timing of existing contract renewal dates	Resources are in place to ensure continuity
<b>Academic and Student</b>	Wellbeing and Support: Student Health and Welfare	Significant importance of maintaining existing models for day 1 to protect students  Requirements for agreements with new university notified to service providers	Services to continue as present	Resources are in place to ensure continuity
<b>Academic and Student</b>	Wellbeing and Support: Canteen and Food Services	Requirements for contracts with new university notified to providers	Services to continue as present pending post-establishment review	No critical issues
<b>Academic and Student</b>	Wellbeing and Support: Accommodation Services	No critical issues	Services to continue as present pending post-establishment review	No critical issues
<b>Academic and Student</b>	Wellbeing and Support: Consent Framework	No critical issues as Student Services' role in delivery of the Framework will continue on Day 1	Engagement to continue as present pending post-establishment review	Resources are in place to ensure continuity of current provision
<b>Academic and Student</b>	Engagement: Student Union	Recognition of the SU arrangements requiring GB resolution on day 1 – process agreed	New constitution and post TU designation voting process being designed by SUs for post establishment formation of integrated SU	Resources are in place to ensure continuity with Student Charter for TU complete

Domain	Function	Deliverable	Progress	Issue identification and Fall back
<b>Academic and Student</b>	Career Preparation	No critical issue as both career services will continue on day one	Mapping exercise complete.  Services to continue as present	Resources are in place to ensure continuity
<b>Academic and Student</b>	Library Procurement	No critical issues	Both library services are using National Frameworks managed by Educational Procurement Services (EPS) in University of Limerick for book and journal procurement. This will continue and EPS have been notified of our intention to form one library service	No critical issues
<b>Academic and Student</b>	Library Systems	No critical issues	Both libraries are working together to align their database renewals to work towards a shared digital infrastructure.  Libraries are also in ongoing discussions with IReL regarding funding of library subscriptions and it is hoped that IReL funding will be made available to THEA libraries in 2022	No critical issues
<b>Academic and Student</b>	Library Policies	No critical issues	The libraries will be in a position to provide enhanced services to staff and students on Establishment Day.	No critical issues

Domain	Function	Deliverable	Progress	Issue identification and Fall back
<b>Academic and Student</b>	Social and Community: Sports Clubs & Societies		Whilst there is differentiation in both organisational frameworks, structures and procedures are in place to ensure that services will continue as present with focus on developing and enhancing participation and student life in an aligned manner.	
<b>Academic and Student</b>	Social and Community: Sports Clubs & Societies	No critical issues	<p>Outputs in Sports Clubs &amp; Societies include:</p> <p>Joint Clubs &amp; Socs Awards delivered</p> <p>International Best Practice Review of Sport in 6 Multi Campus Universities across England, Scotland, and Northern Ireland.</p> <p>New forms including</p> <p>Sports Scholarship, Formation of New Club and Society Applications, Standard Procedures for Clubs and Societies Memberships agreed</p>	No critical issues

Table 3: Summary Student Services Integration Plans

# Condition 3 of 6 specified by the Minister under section 35(1) of the TU Act 2018

**A detailed plan is provided containing realistic and credible timelines that includes the timelines and deliverables required to ensure that sufficient governing structures in the areas of administration and services will be in place to allow the two separate institutes to successfully and safely become one legal entity upon the appointed date of establishment.**

## Master Plan

A detailed plan, with accompanying timelines, for all aspects of the merger process has been developed and is included with this document.<sup>8</sup> The Master Plan consists of 194 deliverables and 414 tasks (comprised of critical, desirable and not-critical for Establishment Day). Each task is aligned to a domain/integrated programme and working group or project. Critical information is recorded and monitored against each task including: responsible persons, start and end dates, Establishment Day criticality, current task status and (inter)dependencies listed where appropriate.

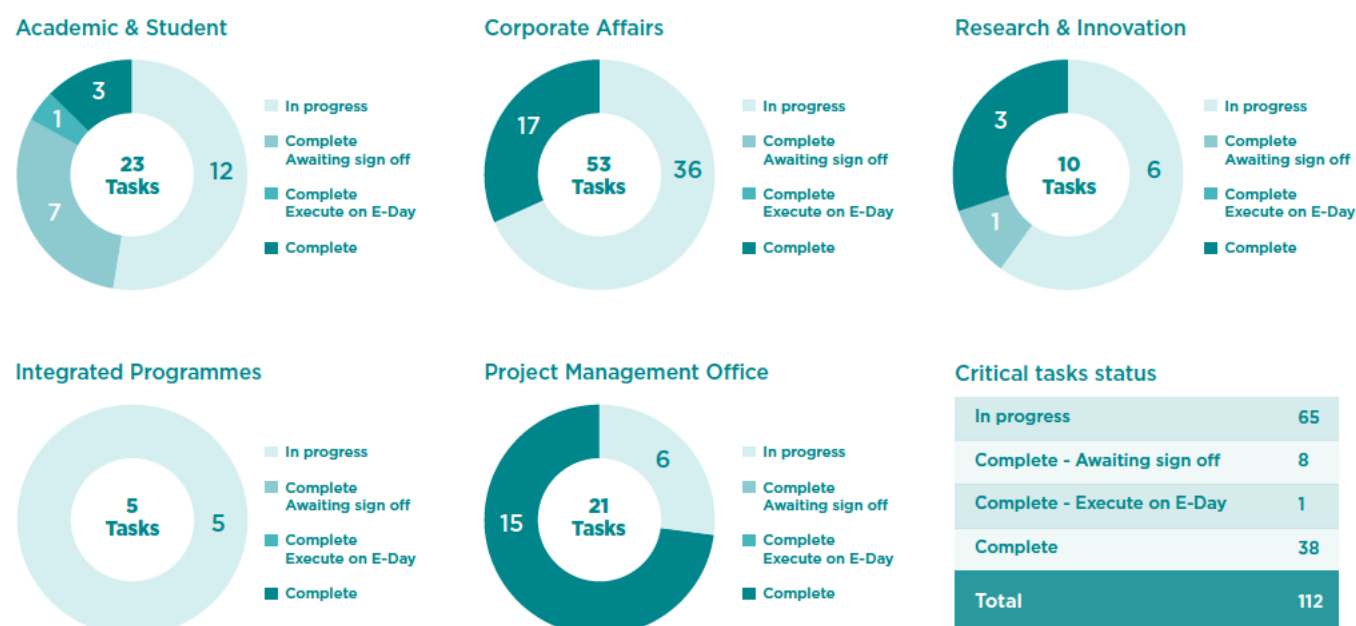
Plans specific to the areas of HR, ICT and Student Services are described in detail in the previous section of this document. The Master Plan also offers further detail on these domains of activity.

Of the 414 total tasks, 112 are categorised as critical for Establishment Day. 65 of these are in progress, with none at risk of delivery. The balance of this category of tasks are complete, complete awaiting sign-off or complete and awaiting execution on Establishment Day. An overview of this category of tasks is provided in Figure 3 below.

<sup>8</sup> *Master Project Management Plan for South East Technological University Project (projected establishment day of the 1st May 2022)*, last reviewed by Steering Group 14th December 2021, last reviewed by Joint Executive at its Meeting, 17th December 2021.

Figure 3 Overview of Establishment Day Critical Task Status, SETU Master Plan (17 December 2021)<sup>8</sup>

## Establishment Day Critical Task Status



## Process for Creating and Monitoring the Plan

Key processes in developing and executing the detailed programme plan have been outlined earlier in this document and include:

- A domain leadership group to oversee the domains and programmes
- A PMO to support the operationalisation of the plans across domains, programmes, working groups and projects.
- 3 Functional Domains (co-led by two domain leads, one from each institute) and 3 Integrated Programmes whose delivery will impact the various functions across both institutes.
- 30 working groups / projects aligned to the domains and programmes with cross-institutional membership comprising those directly involved in the domain area, key stakeholders and led by two working group chairs.
- Each working group identified key deliverables and associated timelines. This was further categorised into tasks that were deemed Establishment Day critical or not, supporting a critical path of deliverables.
- Identification of dependencies for each task in the programme plan and a consistent approach to project and risk management across the various working groups.
- Multi-stage review and sign-off process at working group/project, domain/programme and executive level.
- External support and assurance provided by Grant Thornton.



The PMO has implemented a formal process to manage the delivery of the programme plan including the provision of working group coordination support, domain project management support and weekly meetings to review status, RAID (Risks, Assumptions, Issues and Dependencies) and escalations. An example of this approach is the Risk and Issue function of the PMO which entails fortnightly meetings with the Institutes' Risk and Compliance teams to review all programme risks, sign-off risk ratings and mitigations, determine escalation requirements and align risks to the corporate risk register.

The master programme plan maintained by the PMO provides the foundation for managing and monitoring cross-institutional progress against the stated deliverables. The robust programmatic approach ensures cascading levels of oversight, stress testing and review of deliverables in a structured manner, while the functions of the PMO support the appropriate management of the programme of work.

## Oversight

The Master Plan is regularly reviewed at Domain Leadership level and then at Executive level to ensure all inter-dependencies are identified and appropriate resources directed towards the execution of the plan. High level oversight of the plan is provided by the Steering Group. The current version of the Plan has been approved by Joint Executive following an earlier review and input from the Joint Governing Body Steering Group at its 32<sup>nd</sup> meeting on the 14th December 2021.

# Condition 4 of 6 specified by the Minister under section 35(1) of the TU Act 2018

**There is an account of the services within these domains that, if not ready on the proposed date of designation, would hamper crucial operations, identifying risks and plans for their management, in particular the protection of learners during any transition to TU status.**

Previous sections have identified the functional area planning for Establishment Day, the services provided by each and the progress to date on developing and implementing the individual service plans. This section addresses the area of risk management and mitigation.

Regarding the reference to the protection of learners it is noted as per our meeting with the HEA that protection of enrolled learners requirements under section 65 (subsection 1) of the Qualifications and Quality Assurance (Education and Training) Act 2012 do not apply to Institutes of Technology.

In addition, both applicant institutes recently completed their CINNTE reviews with QQI. CINNTE reviews are an element of the broader quality framework for Institutes of Technology composed of: Quality Assurance Guidelines; Quality Assurance approval; Annual Institutional Quality Reports; Dialogue Meetings; the National Framework of Qualifications; Delegation of Authority; and the Quality Assurance systems that each institution operates as an individual HEI. This process gives confidence that the South East Technological University will have the capacity to operate as a unitary body in relation specifically to quality assurance processes. The CINNTE process has revalidated our programmes beyond the normal graduation date of all current learners.

The SETU is committed to establishing and maintaining an ongoing systematic approach to the identification, assessment and management of risk. Effective risk management will help to ensure that the SETU Project maximises its opportunities, and minimises the risks it faces, thereby improving the ability to deliver the strategic and operational priorities of the project. Joint Executive, Project Managers, Working Group Chairs and all staff in both Institutes are encouraged to raise risks at whatever stage the risk becomes apparent to them in the knowledge that the Steering Group will view this positively. The tables in the preceding sections demonstrate the level and depth of activity underway in identifying programmes of work, progressing the programmes, identifying risks inherent in the programme delivery timeline and identifying mitigation actions to be taken as a fall back situation.

Risk management is the systematic application of management policies, procedures and practices to identify, assess and manage risk effectively while reporting to the relevant stakeholders of the Project. There are six phases to the process as follows:

1. **Risk analysis**  
Risk analysis is performed fortnightly to facilitate the analysis of new and existing risks facing the working group / project. The Project Management Office Lead (PMO Lead) is responsible for maintaining an up-to-date SETU Project Risk Register which contains high level, strategic, risks to the Project along with any relevant risks identified within the Working Group / Project Risk Registers. The SETU Project Strategic Risk Register is presented to the Joint Executive for review and sign off and submission to Steering Group for their approval. The process of updating the SETU Project Strategic Risk Register may also be triggered by the Steering Group or Joint Executive at any stage during the project life cycle where a new risk is identified that warrants immediate attention.
2. **Gross risk assessment**  
Following the risk analysis, the gross (inherent) risk rating of each risk within the risk register is assessed. The impact and likelihood of the gross risk is assessed prior to the consideration of any controls or actions taken by the risk owner to manage the risk.
3. **Identification of controls**  
Following the Gross risk assessment, the controls in place to manage each risk are assessed. Controls reduce exposure to risk but cannot eliminate it in full. Controls identified are recorded on the risk register. The controls in place are assessed to determine if they remain relevant and to determine if new controls could also be included. This step is applicable to the Working Group / Project Risk Register as well as the SETU Project Strategic Risk Register.
4. **Net risk assessment**  
The impact and likelihood of the net risk is assessed after consideration has been given to the effect of controls identified on impact and likelihood. Where controls have been identified as having changed since the last review it is likely that there may be a change in the net risk assessment. The assessment of net risk is recorded on the risk register. This step is applicable to the Working Group / Project Risk Register as well as the SETU Project Strategic Risk Register.
5. **Identification of mitigating actions (to reduce risk)**  
The net risk identified during the net risk assessment can either be tolerated, treated, terminated or transferred. Actions taken to treat or transfer risk are recorded on the risk register as 'mitigating actions'. Contingency actions may be included which should outline actions that may be anticipated to be taken should the risk materialise. This step is applicable to the Working Group / Project Risk Register as well as the SETU Project Strategic Risk Register.
6. **Monitoring and reporting of the Risk Management Plan**  
Risk monitoring and reporting procedures are required to ensure an effective risk management plan and process is maintained on an ongoing basis. The Project Management Office Lead reviews new and existing updates to risk from the domain project managers and will determine the risk which warrant inclusion in the SETU Project Strategic risk register and will present an updated SETU Project Strategic Risk Register to the Joint Executive for review and sign off and submission to Steering Group.

This process is applied to the programme of each domain and not only the programmes discussed within this submission. The tables contained within the section discussing condition 2 demonstrates that the Establishment Day mission critical activities have been identified and action plans in place to deliver these activities. In the event that the planned timelines cannot be achieved the mitigation actions have been identified. The primary mitigation action is to retain the legacy system where feasible and practicable. This is further developed in the next section.

# Condition 5 of 6 specified by the Minister under section 35(1) of the TU Act 2018

**If the timelines included with these plans extend beyond the proposed date of designation, there are clear transition plans including fall-back options demonstrating that the TU can continue to act as one legal entity and have all crucial operations continue without interruption.**

A key element of the corporate services domain work plan was to gain an understanding of the TU Act 2018 which drives the key compliant and legislative requirements which must be fulfilled on Establishment Day and beyond for a technological university to function legally and effectively. The workgroup examined other relevant legislation, including the appropriate code of Governance and compiled a list of requirements that need to be put in place early in the life of the TU. This list is distributed to various working groups responsible for different areas from child protection, health and safety, academic governance to legal and corporate affairs and informs the risk identification and management processes of the partnership. An important facet of good governance is an effective risk policy and risk management system.

A strategic risk register was developed and approved by Joint Executive in May 2021. The function of the strategic risk register is to highlight strategic / high level risks which would inhibit the project achieving its objectives i.e. TU Designation. This risk assessment superseded a previous version from April 2019. The strategic risk register has evolved since May 2021 to account for external emerging risks and risks being faced by the change management programme. The current version, as approved by the Joint Steering Group and Joint Executive is in its fifth iteration. The identified risks have associated agreed mitigating controls and actions which are continually reviewed as per the process described in the previous section.

The following risks have been identified which if not ready on the proposed date of designation, could hamper crucial operations:

	Corporate/Governance matters that need to be addressed that could hamper crucial operations if not:	Plans for their management:	Clear transition plans with fall-back options
1.	Chairperson and members of the Governing Body are not appointed by the Minister in a timely manner to ensure legislative requirements are met at the Governing Bodies first meeting.	The Minister has published expressions of interest externally and recognises the advantage of having a Chair and Governing Body members nominated for the TU Governing Body prior to designation. This will allow training and induction on the SETU Project for these members. A delay in appointment will require the VPs for Corporate Affairs in both organisations to support the Chair and external members.	The TU cannot act as one legal entity without a Governing Body. This must be in place prior to designation and is dependent on the designation by the Minister.
2.	The name of the organisation is not decided upon in good time to allow an ICT infrastructure to be developed	Students and staff could continue to use their ITC / WIT email addresses at Establishment Day and beyond with a transition plan in place to build a new active directory and environment	Both operating and information systems can operate autonomously with a transition plan in place to merge the two organisations to one unitary system. Several ICT projects eg. Student information system upgrades are in progress and are dependent on variables outside the control of the Institutes.
3.	Appointment of the first President is not complete by Establishment Day	The TU must have a chief officer as per the TU Act. The recruitment process has commenced and is on hold pending the designation order from the Minister.	The Governing Body will immediately commence a recruitment process. In the interim, the technological university may designate a member of the staff of the TU to perform the functions of the President in the absence of the President or where the position of President is vacant. This appointment would be made by the Governing Body as soon as practicable following Establishment Day.



4.	A tax number for the new entity would not be set up in time to allow staff payroll to be facilitated	Engagement and coordination with Revenue Commissioners are ongoing. Revenue Commissioners are aware of this process as TU Dublin, TUS and MTU have been facilitated in the past. The TU can operate separate payrolls under one tax heading.	There is no fall back option if a tax number is not in place for Establishment Day. There is a plan in place for Institute payroll officers to end staff in both Institutes prior to Establishment Day ie 30th April and to commence their employment with the SETU under the new tax number on 1st May. Both campuses can operate payroll separately using separate company numbers on Core Pay and Core HR, via HEPS and payroll office in ITC.
5.	Academic delivery failure immediately preceding and following Establishment Day	Proposed Establishment Day is 1st May. Students will be engaged in end of semester / end of year exams. Academic regulations will apply post 1st May depending on the campus the student is registered on. The Academic Council will approve the regulations at its first meeting following its appointment.	Communication with students to ensure that the student cohort are updated and reassured as regards the minimal impact of change to the student delivery. Communication with all staff engaged in academic service delivery to ensure regulations are followed and implemented.
6.	Health & Safety framework for the new organisation is not in place for designation	Under Health and Safety legislation, the organisation must have a Health and Safety framework in place.	The legacy health and safety plan for each organisation will continue in place for the three campuses.
7.	QQI and SUSI (crucial schedules) are not updated of dissolution of Institutes and establishment of SETU	Engagement with the QQI and SUSI is ongoing to ensure stakeholders are aware of the requirements for pre-existing awards & standards to novate to the new organisation. Students must be guaranteed that their award / financial assistance is not impacted by the dissolution of the Institutes.	Communication with SUSI to ensure there is no impact on students. There is no foreseen impact relevant to QQI.

The functional level plans for the named functions have been presented under condition 2 of this report. The project leads have identified the progress to date and the transition plans including the fall back situation as per the tables in that section. They have also identified where projects cannot be completed prior to Establishment Day and how the services will continue to be provided while the new systems are being built.

Regarding learners, the vice presidents for academic affairs have proposed that the primary focus of the student services activity is on ensuring the change processes are delivered post-designation. The Establishment Day focus is on ensuring that the user access to services is assured and that all crucial activities as detailed in table 3 continue without interruption. It is important to reiterate that analysis of the services on offer within the existing Institutes has shown that a common framework for student services exists (driven by consistent funding frameworks) and we provide a similar range of services. Both institutes are already multi-campus and have appropriate models to ensure a fair distribution of access to appropriate services across the campuses with a central management structure that ensures best optimal use of resources.

Our IT managers have engaged external expertise and are working closely with local ICT and business teams on the most appropriate approaches to take to ensure business continuity during and after the transition to the new entity and to advise on suitable tools and migration strategies on the lead up to Establishment Day and beyond. They have identified the phased development of integrated IT services and this phasing extends beyond Establishment Day. Our ICT professionals are well experienced in the design and provision of contingency services and have well considered fall back options identified for each project with the overall programme. These are listed within the tables in the discussion of 'Condition 2'.

Within Corporate Services a comprehensive, project plan has been developed to ensure that all major HR deliverables are prioritised and risk managed. As detailed in the narrative regarding 'condition 2' all designation-day critical deliverables are on target for completion by Establishment Day. Non-critical deliverables will continue to be worked on post-designation with transitional plans in place to ensure critical operations can continue uninterrupted. Pending integration each partner has ownership of their existing COREHR systems and each will have control of existing payroll processes. The MOU and letter of comfort ensure that policies and procedures currently in place will stand beyond designation until reviewed; many are governed by department circulars.

Governance of these processes is contained within the terms of reference of the Domain Leadership group that provide for its role in reviewing, consolidating, and further developing institutional plans. The structure of the domain leadership process enhances timely communication between the parties involved in programme delivery and facilitates collaboration and joint decision making in relation to the TU projects. The joint executive has general oversight of the programme of work and will ensure that the plans are implemented and that milestones are met and that decisions and issues are raised to the joint steering group.

# Condition 6 of 6 specified by the Minister under section 35(1) of the TU Act 2018

**Appropriate independent external expertise has been procured to assist existing staff, examine the potential for developing additional leadership capacity that can help foster greater partnership and collaboration and to prepare for a new administration and governing body, post-designation.**

## Collaboration and Partnership

The principal vehicle for fostering greater partnership and collaboration between staff in the Institutes has been the various working groups and Workstreams. Upwards of 400 staff have been involved in these groups. The groups are co-chaired, are centrally supported by the PMO and with appointed BPAs in some cases, and—as plans set out in the pages above show—have been proactive in developing and executing plans for the transition to the new university. Supplementing, and in many cases directly informing the work of the working groups, have been a range of cross-institutional collaborative supported by TUTF funding with the principal goal of building greater collaboration and partnership. Projects in the research and innovation domain, for instance, have involved regular joint seminars, the development and delivery of a joint scholarship programme, and external joint activities with industry partners.

External expertise has been procured from the inception of the project to assist in the development of additional strategic and operational leadership and management capacity and, in some cases, directly in support of defined work within working groups. This, together with cross-institutional collaborative initiatives, has resulted in greater partnership and collaboration within and across the applicant institutes as they have progressed through the pre-application, evaluation and pre-designation phases, and in preparation post-designation for the new administration and governing body.

## External Expertise engaged Pre-July 2021

From the first meeting of the Joint Steering Group in 2017 to the conclusion of the evaluation panel review in July 2021, the consortium secured external expertise to assist the SETU project leadership. Experts included:

- Advance HE: support encompassing project governance; TU application development; TU mission, vision and values development
- Prospectus: support for risk identification and associated priority mitigation strategies

- Ernst and Young: environmental analysis and impact assessment
- PricewaterhouseCoopers: project planning, change management and organisational design principles
- Deloitte Ireland and BDO: TU metrics and systems alignment; finance review
- BH Associates: application and evaluation phase leadership and support
- Mazars: appointment of President

Within this broader context examples of supplementary relevant initiatives include:

- A Preparatory Panel Review in March 2021 established to mirror as near as possible the actual Advisory Panel Review in July 2021. This panel reviewed the TU application document in advance of submission to the Minister in April 2021, in addition to conducting sessions over four days with a broad cross section of the institutes addressing SETU governance, management, academic and corporate/administrative matters.
- External expertise procured in support of the work of specific joint thematic workstreams and working groups. Examples include UIIN (University Industry Innovation Network) with the working group on Regional Engagement; Red Dog with the Workstream on TU Identity and Branding; amongst others.
- At a sectoral level, and within the context of a changing higher education landscape towards technological universities, relevant initiatives include the THEA Executive Programme 360 which has been completed by members of the SETU Joint Executive. Designed by AdvanceHE and the Real-World Group in conjunction with THEA Ireland, the programme is based upon TMP 360 and includes a diagnostic 360-degree feedback process to support leadership and personal development. Dimensions examined are clustered within the overarching thematic areas of strategic leadership, implementing strategy, leading through collaboration, leading through individuals, personal qualities, and values. Advance HE has also delivered a Leadership for Women programme, which has paved the way for an internal mentoring programme, and a Strategic Leadership Programme.

## External Expertise engaged post-July 2021

The consortium continues, post-panel review, to draw on external expertise in support of its work. Specifically, we point to the following:

- Grant Thornton was appointed in September 2021 to work with the Joint Governing Body Steering Group and Joint Executive to build on the considerable work completed on the project to-date, providing (i) additional support in the area of professional project management and governance and (ii) expert knowledge and experience in the area of the change programme leading up to Establishment Day and throughout the foundation year.
  - In October 2021, Grant Thornton conducted a comprehensive Pulse Survey of all staff across both institutes to gauge awareness levels of the merger and to understand key issues amongst staff members. The ADKAR model (Awareness, Desire, Knowledge, Ability and Reinforcement) was used to measure against the outcomes individuals need to achieve for change to be successful. The Pulse Survey findings are being used as a baseline to measure progress of the change and identify any outlining issues that

remain. Any such issues will be addressed through further communications, training and support. The next Pulse survey is scheduled to issue prior to Establishment Day of May 1st, 2022.

- Grant Thornton have also conducted change assessment questionnaires through October and November 2021 which highlighted the areas that require functional change support such as process mapping, training needs analysis and tailored communication plans based on critical deliverables required for Establishment Day. The output of the change assessment questionnaires will form the basis for individual change plans for each Domain and/or Working Group.
  - In Q1 2022, Grant Thornton will conduct detailed impact assessments where a high level of change has been identified and will address any gaps such as leadership capacity or training requirements.
  - On behalf of the Joint Executive, Grant Thornton have initiated the process of establishing a change network to further facilitate and enable two-way communication about change across the applicant institutes. This is a dedicated network of people, Change Champions, who act to inform and facilitate the change. These Change Champions include staff at management level but also staff, researchers, and learners. These Change Champions act as a key liaison between project leadership and stakeholder groups, engaging with colleagues to help increase awareness and acceptance of the change, sharing and reinforcing change messages and being active listeners regarding concerns or ideas.
  - Grant Thornton are working closely with the Joint Executive Team and Joint PMO to assist them in steering the organisations towards Establishment Day and beyond. This work encompasses the provision of change leadership training to fulfil their objectives in both implementing change in their respective areas of responsibility and introducing sustainable cultural change aligned to the mission and vision of the new Technological University.
- The consortium has had some preliminary exploratory discussions and workshops with the international higher education organisation, EAB, throughout 2021. Membership of EAB is being considered in view of the resources and global best practice solutions that could be accessed by the new university through EAB, who commit to delivering strategic insight, decision support, and implementation guidance for higher education leaders across several dimensions including Academic Affairs, Student Affairs, Business Affairs, Higher Education Strategy, Information Technology, Estates, Research and Fund Raising. Several Irish Universities are already members and further discussions are scheduled for January 2022 when a recommendation will be made on membership of the EAB for SETU.

## Corporate Governance

The project recognised the need to demonstrate that it has “integrated, coherent and effective governance structures in place concerning academic, administrative and management matters” and that these structures need to be in place in order to commence business on Establishment Day. A list of all legislative, regulation and compliance requirements has been prepared and a draft work plan has been drafted, identifying the timeline for agreeing key TU corporate policies and procedures. The plan is that key corporate policies will be approved in principle by both ITC and WIT Governing Bodies in advance of Establishment Day with a view to being brought to the SETU’s first and subsequent Governing Body meetings as appropriate.

### **Governance Activities to April 2023**

Key governance activities that need to take place up to Establishment Day and beyond for the first 12 months have been plotted out. For each activity such as Alignment of Key Policies & Procedures related tasks, timelines have been agreed and actions progressed. A number are complete.

### **SETU Governing Body and SETU Audit & Risk Committee**

Draft agendas for first and subsequent meetings of the SETU Governing Body and SETU Audit & Risk Committee are an integral part of the work plan. The draft agendas for the First and Second meeting of the SETU Governing Body and the first meeting of the Audit & Risk Committee are drafted and included for information at Appendix 2. The detailed work plan to April 2023 is attached as Appendix 3. The detailed work plan includes details of the work of both committees which will populate the agendas and the call for papers.



# Appendix 1: Draft Notice and Agenda for First Academic Council

## NOTICE OF ACADEMIC COUNCIL MEETING

Date:

To: **All Members of the 1st Academic Council**

The First Meeting of the Inaugural Academic Council meeting of SETU will take place on as follows

Date:

Place:

### AGENDA

Item	Subject	Action Required	Sponsor	Time
1.	Outline of Transitional Academic Council Arrangements as approved by Governing Body	Noting	Chairperson	
2.	Committees, Terms of Reference, and Membership	Approval	Registrar	
3.	Quality Assurance <ul style="list-style-type: none"> <li>Quality Assurance Framework</li> <li>Award Standards and Titles</li> </ul>	Approval	Registrar	
4.	Register of Validated Programmes	Approval	Registrar	

5.	Interim Arrangements <ul style="list-style-type: none"> <li>• Academic Standards and Assessment Regulations</li> <li>• Programme Design, Development and Approval</li> <li>• Access, Transfer and Progression</li> <li>• Student Discipline Policy</li> </ul>	Approval	Registrar	
6.	Change Management Process and Engagement	Noting	Chairperson	
7.	A.O.B			

Signed:

Vice President for Academic Affairs & Registrar and Secretary to Academic Council

# Appendix 2: Agenda for First Governing Body Meeting/ Audit and Risk Committee Meeting

Agenda for 1st Statutory SETU Governing Body (Meeting No. 1)

Sunday 1st May 2022 - 10 am (via Teams)

Item	Title	Purpose	Sponsor	Time
1.	<b>Governing Body</b>		Chairperson	
	1.1 Pursuant to letter from DOES, noting the appointment of chair and other members of first SETU Governing Body	In accordance with provisions of Section 12 of TU Act 2018		
	1.2 Conflict of interests declarations - Standing Item on GB and ARC meeting agendas			
	1.3 Propose procedures for the selection and appointment of governing body members - Arrange a nominations committee	In accordance with the provisions of Section 6, Schedule I of TU Act 2018		
	1.4 Adoption of standing orders			
2.	<b>President</b>		Chairperson	
	2.1 President's Appointment with effect from the Establishment Day	In accordance with provisions of Section 56 of TU Act 2018		

3.	<b>Academic Affairs</b>  3.1 Appointment of the Academic Council  3.2 Approval of the Academic Council transitional plan	In accordance with the provisions of Section 16 of TU Act 2018	Chairperson	
4.	<b>Governance Matters</b>  4.1 Appointment of Governing Body Committee – Interim Audit and Risk Committee  4.2 Delegate Functions  4.3 Code of conduct for Governing Body members  4.3 2022 workplan of Governing Body – Schedule of meetings and include key items for review. Financial Statements of old institutes will have to be included.  4.4 Risk Management  Review Risk register for the TU project  Discuss commencement of SETU risk register. For review at next meeting perhaps.  Joint Executive will be supporting the TU for x period of time. Assurance that controls will remain in place	In accordance with the provisions of Section 6, Schedule I of TU Act 2018    For approval    For noting    For noting	Chairperson	

5.	<b>Corporate Administration</b>  5.1 Adoption of policies and procedures a) SETU Code of Governance 2022 b) Dignity and respect policy c) Equality statement d) Recruitment and selection policy e) Health and Safety Statement f) Code of conduct for staff  5.2 Authorisation of bank mandates  5.3 Approve and Sign Application for charitable status  5.4 Appoint a secretary to the Governing Body  5.5 Note minutes of final Institute of Technology Carlow (ITC) Governing Body Meeting  5.6 Note minutes of final Waterford Institute of Technology (WIT) Governing Body Meeting.  5.7 Note minutes of final ITC Audit and Risk Committee meeting – done at TU ARC  5.8 Note minutes of final WIT Audit and Risk Committee meeting – done at TU ARC	For approval	VP's for Corporate Affairs	
6.	<b>AOB</b>  Meeting schedule  Agree Governing Body Induction / Training			

## Agenda for 1st Statutory SETU Audit & Risk Committee (Meeting No. 1)

13 May 2022 - 10 am (via Teams)

Item	Title	Purpose	Sponsor	Time
1.	<b>Governing Body</b>		Chairperson	
	1.1 Noting the appointment of chair and other members of first SETU Governing Body	In accordance with provisions of Section 12 of TU Act 2018		
	1.2 Noting the appointment of the President			
	1.3 Noting the appointment of the Audit & Risk Committee Chair and members by the SETU Governing Body			
	1.4 Conflict of interests declarations - Standing Item on all GB and ARC meeting agendas			
2.	Agree terms of reference	For Approval	VP CAF	
3.	Agree TU Internal Audit Plan	For Approval	VP CAF	
4.	Note final ITC ARC Minutes	For noting	VP CAF	
5.	Note final WIT ARC Minutes	For noting	VP CAF	
6.	Agree 2022 work plan	For Approval	VP CAF	
7.	Any Other Business	For Approval	VP CAF	
	7.1 Meeting schedule			
	7.2 Agree ARC Induction / Training			



# Appendix 3: Governing Body Workplan to 2023

Project	Task
Alignment of key Policies & Procedures	Identify Key Policies and Procedures
Alignment of key Policies & Procedures	Advise WS leads of timelines
Alignment of key Policies & Procedures	Agree period required for alignment
Alignment of key Policies & Procedures	Consultation period where necessary
Alignment of key Policies & Procedures	Agree dates for GB ITC & GB WIT to review aligned policies
Alignment of key Policies & Procedures	Finalise Aligned Policies as new TU Policies & Procedures
Prepare GB ITC & GB WIT to review TU activities	Add TU to every agenda April to December 2021
Prepare GB ITC & GB WIT to review TU activities	Review and agree aligned policies
Prepare GB ITC & GB WIT to review TU activities	GBs to agree aligned policies June 2021
Prepare GB ITC & GB WIT to review TU activities	GBs to agree aligned policies Sept 2021
Prepare GB ITC & GB WIT to review TU activities	GBs to agree aligned policies Oct 2021
Prepare GB ITC & GB WIT to review TU activities	GBs to agree aligned policies Nov 2021
Prepare GB ITC & GB WIT to review TU activities	GBs to agree aligned policies Dec 2021
Prepare ARC ITC & ARC WIT to review TU activities	Add TU to every agenda April to December 2021
Prepare ARC ITC & ARC WIT to review TU activities	Prepare paper re alignment of work plans
Prepare ARC ITC & ARC WIT to review TU activities	Align Internal Audit Plan for 2022 to facilitate TU IA Plan
Prepare ARC ITC & ARC WIT to review TU activities	ARCS to agree alignment proposal
Prepare ARC ITC & ARC WIT to review TU activities	ARCS to review work in progress & alignment plan
Prepare ARC ITC & ARC WIT to review TU activities	ARCS to agree IA Plan 2022
Prepare ARC ITC & ARC WIT to review TU activities	ARCS to Finalise IA reports and agree follow ups
Prepare for Appointment of President	As per detailed workplan
Transitional Governing Body	Appointment of Chair of Governing Body

<b>Transitional Governing Body</b>	Appointment of Transitional Governing Body (GB)
<b>Transitional Governing Body</b>	Prepare 6 month work plan and agenda
<b>First meeting Transitional Governing Body</b>	Appoint President
<b>First meeting Transitional Governing Body</b>	Agree Deputy Chair
<b>First meeting Transitional Governing Body</b>	Note final ITC GB Minutes
<b>First meeting Transitional Governing Body</b>	Note final WIT GB Minutes
<b>First meeting Transitional Governing Body</b>	Note final ITC ARC Minutes
<b>First meeting Transitional Governing Body</b>	Note final WIT ARC Minutes
<b>First meeting Transitional Governing Body</b>	Agree Academic Council Transition Plan
<b>First meeting Transitional Governing Body</b>	Agree TU Code of Governance
<b>First meeting Transitional Governing Body</b>	Agree aligned Policies
<b>First meeting Transitional Governing Body</b>	Appoint TU ARC
<b>First meeting Transitional Governing Body</b>	Agree a Quorum
<b>First meeting Transitional Governing Body</b>	Agree Bank Mandate
<b>First meeting Transitional Governing Body</b>	Agree 2022 work plan
<b>First meeting Transitional Governing Body</b>	Adopt standing orders
<b>First meeting Transitional Governing Body</b>	Delegate functions
<b>First meeting Transitional Governing Body</b>	Signing application for charitable status
<b>First meeting Transitional Governing Body</b>	Appoint a secretary to the Governing Body
<b>Training for Transitional TU Governing Body</b>	Organise training
<b>Training for Transitional TU Governing Body</b>	Training delivered
<b>Training for Transitional TU Audit &amp; Risk Committee</b>	Organise training
<b>Training for Transitional TU Audit &amp; Risk Committee</b>	Training delivered
<b>First meeting of TU Audit &amp; Risk Committee</b>	Agree TU Internal Audit Plan
<b>First meeting of TU Audit &amp; Risk Committee</b>	Agree terms of reference
<b>First meeting of TU Audit &amp; Risk Committee</b>	Note final ITC ARC Minutes
<b>First meeting of TU Audit &amp; Risk Committee</b>	Note final WIT ARC Minutes
<b>First meeting of TU Audit &amp; Risk Committee</b>	Agree 2022 workplan
<b>Second Meeting Transitional Governing Body</b>	Agree Financial Regulations
<b>Second Meeting Transitional Governing Body</b>	Budgets for the TU
<b>Second Meeting Transitional Governing Body</b>	Policies & Procedures
<b>Second Meeting Transitional Governing Body</b>	Seal signatories
<b>Second Meeting Transitional Governing Body</b>	Establish procedures for the selection and appointment of the First TU Governing Body
<b>Second Meeting Transitional Governing Body</b>	Appoint external members of ARC

