Document Name and Version	2.2 IICP College's Quality and Governance Framework; (ii) Governance
Policy Number	2.2
Policies that Interact with Policy 2.2	All policies contained within Part 2: Governance and Management of Quality Assurance
Approval Body	Board and Academic Council
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1. Preamble.

1.1. Corporate Governance describes the framework of authority, responsibility and decision making of an organisation. Corporate governance recognises that the overall design of Governance places collective responsibility on an organisation which has a corporate identity. According to Code of Governance of Irish Universities[1]:

> Governance comprises the systems and procedures under which organisations are directed and controlled. A robust system of governance is vital in order to enable organisations to operate effectively and to discharge their responsibilities as regards transparency and accountability to those they serve. (p. 2)

1.2. Principles of good governance include:

- Distributed governance: Corporate governance recognises the organisation as a legal entity and that governing authority rests with a diversity of actors that have a stake in the organisation. This also recognises that the regulatory institutions impact on the structure of governance.

- Legitimate governance: This requires that the systems, structures, rules and procedures for making decisions in IICP College are adopted in accordance with IICP College's current Quality Assurance manual, and are enforced impartially.

- Transparent governance: Legitimate authority for the decisions of the organisation is made visible through a documented approach. Internally this communicates clearly responsibilities and limits of authority, as well as outcomes; externally this allows key stakeholders to have confident in the institution.

- Responsible governance: This recognises that good governance is effective and efficient, responsible to its stakeholders, and compliant with regulatory requirements. Consequently, good governance includes a system of checks and balances for the responsible exercise of executive or managerial authority.

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[1] HEA /EUA (2012) *Governance of Irish Universities.* Available at
http://hea.ie/assets/uploads/2017/05/Governance-of-Irish-Universities-2012.pdf (Accessed 28 October 2018).

1.3. Higher Education Institutions [HEI] such as IICP College have responsibility for ensuring that effective, fair and transparent governance and accountability arrangements are in place that ensure that the organisational mission and values are adhered to, organisational goals are achieved and that the strategic plan governs their activities. Centrally, governance must ensure a high-quality learning environment for learners.

1.4. Governance recognises that organisations are not closed systems: HEIs exist within a wider context to which they are responsible and accountable. Regulation describes this system of accountability and the responsibility of the organisation in monitoring and reviewing ongoing compliance. In addition to its internal role, quality assurance governance must also ensure that the HEI is compliant with legislative, regulatory or professional policies. Therefore, governance and quality assurance are mutually dependent, and adherence to the regulatory system is a subset of overall good governance.

1.5. Corporate governance is concerned with the authority of the Governing Body and its delegation, principally to the President and the Academic Council, but also to other 'delegate' bodies and individuals. Good corporate governance depends upon a transparent accountability structure and clear protocols for making and reporting decisions, in Executive Management Team, Academic Boards and Committees, and a wide variety of other bodies, subsidiary bodies and individuals.

1.6. IICP College governance and management structures set out roles, responsibilities and relationships that facilitate the implementation and improvement of IICP College's Quality and Governance Framework. These structures are designed to be comprehensive, efficient and responsive, utilising extensive feedback and data to shape future activities.

1.7. The College's governance and management structures are designed to meet with the requirements of good governance in Higher Education Institutions, and in particular the requirements of QQI set out in its Core Statutory Guidelines. These include that governance and management structures and procedures:

   1.7.1. Align objectives with mission and strategy, and in particular:
      • Examine the suitability of the objectives;

- Focus on how and whether the objectives are achieved, including through specifying operational objectives;

- Ensure that objectives take into account obligations to external stakeholders (statutory, regulatory, professional or other);

1.7.2. Embed and maintain the QA system, with involvement of all provider staff;

1.7.3. Protect the integrity of academic processes and standards;

1.7.4. Consider risk;

1.7.5. Consider the results of internal and external evaluation.

2. Purpose.

2.1. This policy describes IICP College's governance and management structure. It articulates the governance arrangements in the College and identifies the key boards, committees and positions and their regulatory context.

2.2. This policy summarises the key bodies responsible for Quality Assurance and the formal structure for their integration. It identifies the relationships between boards and committees, the structure and functioning of these bodies and the roles associated with these committee.

3. Scope.

3.1. The QA governance system applies to all corporate, academic and other boards and committees in IICP College, and members thereof as well as leaners and employees of IICP College.

4. Principles.

4.1. IICP College's framework for Quality Assurance [QA], illustrated in section 6.2, integrates mission, ethos, structures, and activities activity throughout the College. It has been designed to ensure governance, management and implementation of quality in the educational service provided to all learners, including continuous improvement in the management of quality.

4.2. The QA system outlined in IICP College's *Quality and Governance Framework*, places governance for quality at the heart of its activities. The relationship between Governance and Quality Assurance is well expressed by Hénard and Mitterle (OECD, 2009)[2]:

> Governance has become a major leverage tool for improving quality in all aspects of higher education. Meanwhile, quality assurance has increased worldwide with a view to addressing the balance between autonomy granted to institutions and accountability (p. 15).

4.3. Effective governance for quality recognises the inter-dependencies between corporate governance and the delivery of high quality, effective education and training. The IICP College Quality and Governance framework articulates how the IICP Community are together creating and improving the educational service provision of the College. Furthermore, it enhances trust in the College, through communicating the commitments and plans of the College, and the manner in which it approaches achieving its goals. This framework ensures that everyone in the College is aware of their responsibilities, rights, authority and accountability. This communal approach works towards achieving improved service provision to learners.

4.4. The key features of the Quality and Governance Framework are:

- *Governance and Leadership for Quality*: There is clarity about roles, responsibilities, accountabilities and rights; Leadership and management for quality is clearly communicated to all stakeholders.
- *Information Use for Quality*: Adequate and sufficient information is gathered and processed to measure, monitor and oversee quality.
- *Culture for Quality*: A culture of learning and development focused on quality is promoted throughout the college.
- *Learner-Centred for Quality*: The College is guided by learner needs, perspectives and experiences, and promotes strong relationships that partner with learners to facilitate the alignment of the College with the experiences of quality learning.

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[2] Hénard*, Fabrice*, *and* Alexander Mitterle*. (2009). *Governance and quality guidelines in higher education: A review on governance arrangements and quality*. Paris: OECD: Available at: http://www.oecd.org/education/imhe/46064461.pdf (Accessed 30 October 2018).

- *Quality Improvement*: There is a quality improvement plan in place which has been developed in line with the Quality and Governance Framework and is aligned with College strategic objectives.

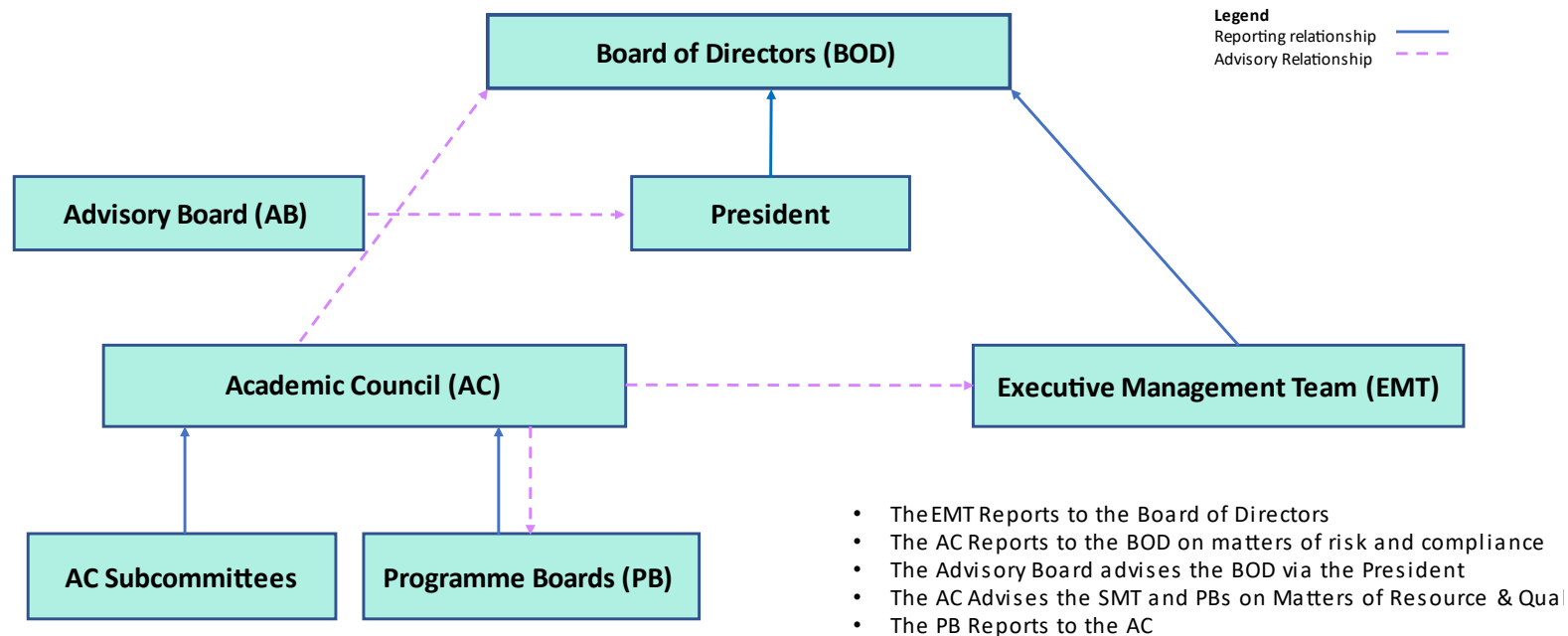4.5. **Reporting Relationships:**

4.5.1. IICP differentiates between reporting relationships (which entail accountability) and advisory relationships (which entail provision of information only).

4.5.2. The following table details the reporting and advisory relationships between the various governance structures in IICP College:

Name of Board	Reports to	Advises	Receives Reports From
Board of Directors	• CRO • Revenue		• EMT
Academic Council	BOD (matters of compliance and risk)	• BOD • EMT (Matters of Quality) • Programme Boards	• Programme Boards • AC Sub-committees • Exam Boards
EMT	• BOD		• Financial Controller • AC (Quality Matters) • Programme Board
Advisory Board		• BOD via President	
Programme Boards	• Academic Council • Registry (Monitoring)		Registry (monitoring data)

4.5.3. The reporting and advisory relationships between boards and governance structures are outlined in diagrammatic view in below:

IICP College – Reporting & Advising Relationship

Board of Directors (BOD)

Advisory Board (AB)

President

Academic Council (AC)

Executive Management Team (EMT)

AC Subcommittees

Programme Boards (PB)

Legend
Reporting relationship
Advisory Relationship

- The EMT Reports to the Board of Directors
- The AC Reports to the BOD on matters of risk and compliance
- The Advisory Board advises the BOD via the President
- The AC Advises the SMT and PBs on Matters of Resource & Qual
- The PB Reports to the AC

5. Policy.

5.1. Effective, enhancement-focused governance creates the conditions which commit organisational participants to the service of institutional goals; fosters creativity and innovation; and maintains a focus on compliance and risk management. Governance systems set the parameters under which management and administrative systems operate. The Governance Framework for IICP College establishes how authority and responsibility are distributed and shared, how policies are formulated, priorities set, and how institutional actors and bodies are held accountable.

5.2. IICP College's Governance framework is demarcated by the regulatory context. Within these requirements, the College has evolved a system of Governance that fits its overall ethos, mission, size and context. The interaction between its regulatory context and its governance framework is as follows:

5.2.1. Company Law:

5.2.1.1. IICP College is a Private Company Limited by Shares (LTD company). It is subject to Irish company law, in particular the Companies Act 2014 (as amended). This Act sets out the duties, including fiduciary duties, owed by directors to a company.

5.2.1.2. IICP College Governance occurs within the boundaries set by this act. In the Higher Education [HE] realm, effective governance for quality recognises the inter-dependencies between institutional governance and the delivery of high quality, effective education and training. Core to HE institutional governance is the role of a governing body, or Board of Directors, with responsibility for corporate governance, including finance, regulatory compliance and setting strategic direction. Matters relating to academic and professional programmes, and teaching and learning - academic governance – are normally the responsibility of the Academic Council. IICP College Board is responsible for Corporate Governance, while Academic Governance is delegated to the Academic Council. However, some matters of corporate or academic

governance can be of mutual concern, such as compliance with academic and professional body regulations, and major decisions that carry reputational or financial risks.

5.2.2 Legislative context: other.

5.2.2.1 IICP College identifies and addresses through its governance structures all regulatory provisions governing its operation. These include:

- Data Protection;
- Health and Safety;
- Employment legislation.

5.2.3 QQI policy framework:

5.2.3.1 Under the Qualifications and Quality Assurance (Education and Training) Act 2012[3], QQI is required to develop and publish guidelines for providers for the quality assurance (QA) of their programmes and services. To this end QQI has issued a Policy on Quality Assurance Guidelines which sets out its approach to quality assurance guidelines. The aim of this policy is to provide the rationale and architecture for all QA guidelines issued by QQI. All guidelines published are statutory guidelines and should be read in conjunction with QQI's Policy on Quality Assurance Guidelines. *Of particular relevance to IICP College are QQI* Core QA Guidelines, QQI Sector-Specific Quality Assurance Guidelines for Independent/ Private Providers and QQI Topic Specific Quality Assurance Guidelines for Blended Learning.

5.2.3.2 IICP College Governance is consistent with these guidelines. In particular, IICP College takes the following steps to ensure consistency with the following central elements of these polices:

a. *QQI Policy on QA:* Of particular importance here are the following Principles:

(i) The Provider-Owned QA Principle: "The quality assurance system should be organised based on the subsidiarity principle. Ultimate responsibility typically rests with the governing body (or equivalent), but all of a

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[3] *Qualifications and Quality Assurance (Education and Training) Act* 2012 (Act 28 of 2012).

provider's staff should be involved in quality assurance. Specific responsibilities should be assigned based on the subsidiarity principle."

IICP College attends to this principle as follows:

⇨ IICP College's QAM has been designed to provide a system of authority, responsibility and accountability that ensures clarity for decision making in the organisation., in particular through the following mechanisms:

- Each role is associated with identified tasks, responsibilities and reporting relationships.
- Each policy includes a description of roles and responsibilities.
- Each Board and Committee has a clear Terms of Reference, outlining purpose, authority, responsibility and reporting responsibilities.
- Terms of reference include regular consideration of reports on programme quality.

(ii) The Externality Principle: "A provider-owned quality assurance system makes appropriate use of external persons who are independent of the provider and who are expertly qualified to make relevant national and international comparisons."

IICP College attends to this principle as follows:

⇨ IICP College Advisory Board functions to provides advice and guidance to the College President on the College's stability, growth and development by collectively guiding the College's affairs while attending to the appropriate interests of its stakeholders. This Board brings an independent, objective and external perspective to the Strategic Planning Process in IICP College, oversees the strategic direction of the College, and advises the President on actions and initiatives that will facilitate the College to perform at the highest

levels. Through the President, this Board provides an independent perspective to the Board of Directors on the College's effectiveness in meeting its strategic goals.

⇨ IICP College's QAM has been designed to include externality on academic decision-making boards. This includes all Boards concerned with learner care, welfare and well-being, academic and professional conduct and learner support.

⇨ Academic Council terms of reference provide that membership may include external experts, in addition to core academic, support and management staff, and learners.

b. *QQI Core Statutory Quality Assurance Guidelines*[4] require the following:

(i) "There is a system in place to oversee the education and training, research and related activity of the provider to ensure its quality. This governance structure enforces separation of responsibilities between those who produce/develop material and those who approve it. Included in the governance structure are groups or units which (i) make decisions and (ii) approve them."

IICP College attends to this principle as follows:

⇨ IICP College's QAM details the governance, management, operational and reporting systems in place to ensure the quality of its provision of programmes of education, and the decision-making and planning framework in which it operates.

(ii) "A system of governance that protects the integrity of academic processes and standards. Academic decision-making reflects the interests of learners and the maintenance of standards. It is

[4] Quality and Qualifications Ireland. (2016) *Core Statutory Quality Assurance Guidelines.* Available at: https://www.qqi.ie/Downloads/Core%20Statutory%20Quality%20Assurance%20Guidelines.pdf (Accessed 28 November 2018).

independent of commercial considerations. Overall corporate decision-makers within the provider, whether trustees, owners, shareholders or others, do not exercise exclusive authority or undue influence over academic decision-making. Academic decision-makers are appropriately qualified and experienced; they are aware of available resources for programme delivery and ensure that standards are maintained."

IICP College attends to this principle as follows:

- ⇨ IICP College's Governance Framework outlines the structures in place to ensure separation of authority and responsibility between academic and corporate governance.
- ⇨ The Terms of Reference of College bodies, and the description of individual roles, define the limits of authority in decision-making, and consultation processes required in decision-making.
- ⇨ Strategic Planning, which comes within the remit of the College President, is influenced by the College's Advisory Body. This Body is constituted for the specific purpose of adding externality and expertise to the planning process.
- ⇨ High-stakes Academic procedures include external membership of decision-making bodies and rights of appeal, where appropriate.

(iii) "A system of governance that considers risk. There are procedures in place for the identification, assessment and management of risk. The system of governance has procedures in place to ensure that the provider is not engaged in activities or partnerships that might undermine the integrity of the education and training offered or the awards in the National Framework of Qualifications to which they lead, either in Ireland or abroad. Risk extends to the mode of

provision, for example, alternative modes of delivery not embraced by the QA system."

IICP College attends to this principle as follows:

⇨ IICP College's Quality and Governance Framework; (iv) Business Continuity, Resilience and Risk Management (Policy 2.4) governs the identification, assessment and management of risk. The College's governance structure allows for the separation of academic and corporate risk assessment. There is some overlap between the corporate and academic boards which helps facilitate communication between the two.

⇨ IICP College has developed a suite of Blended Learning policies which attend to ethics, compliance and risk in blended learning modes of delivery.

c. QQI Sector Specific Independent/Private Statutory Quality Assurance Guidelines[5]:

(i) "Where a provider's scale is such that it cannot support internal committees, alternative arrangements are put in place to ensure objective oversight, such as the use of external experienced expertise. Voluntary providers will ensure that academic decision-making (matters relating to education and training) is independent of commercial considerations or the undue influence of business owners."

IICP College attends to this principle as follows:

⇨ IICP College's QAM has been designed to include externality on academic decision-making boards. This includes all Boards

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[5] QQI *Sector Specific Independent/Private Statutory Quality Assurance Guidelines developed by QQI for Independent/Private Providers coming to QQI on a Voluntary Basis* (2016). Available at: https://www.qqi.ie/Downloads/Sector%20Specific%20Quality%20Assurance%20Guidelines%20V2.pdf (Accessed 28 November 2018).

concerned with learner care, welfare and well-being, academic and professional conduct and learner support.

⇨ IICP College Advisory Board brings an independent, objective and external perspective to the Strategic Planning Process in IICP College. It provides an independent, expert perspective that informs the strategic direction of the College, and advises the President on actions and initiatives that will facilitate the College to perform at the highest levels. Through the President, this Board provides an independent perspective to the Board of Directors on the College's effectiveness in meeting its strategic goals.

⇨ Academic Council terms of reference provide that membership may include external experts, in addition to core academic, support and management staff.

⇨ Academic decision-making is undertaken by the Academic Council (which is comprised primarily of persons who are not owners nor directors of the College) whereas commercial decision making is undertaken by the Board. Accordingly, academic decision-making is independent of commercial considerations or the undue influence of business owners.

5.2.4. Professional context: IACP.

5.2.4.1. In accordance with the College's mission, core programmes are professionally accredited, leading to professional recognition as well as academic awards for learners who achieve the required standards. Consequently, IICP College core programmes are governed by the following:

(i) IACP *Course Accreditation Criteria* (available at https://iacp.ie/course-accreditation-criteria).

(ii) IACP *Annual Monitoring of IACP Accredited Courses* (available at https://iacp.ie/annual-monitoring).

5.2.4.2 IICP College compliance with the requirements of IACP is demonstrated through accreditation and reaccreditation of its core programmes.

6. Governance Framework.

6.1. Good governance in Higher Education requires that there are distinct bodies with different responsibilities for the management of academic and corporate matters. QQI's Core QA Guidelines[6] state:

> Governance must consist of distinct roles and boards with separation between the management of academic and corporate matters. In particular academic decision making needs to be independent of commercial considerations (p. 6).

6.2. To this end IICP College has in place the structures outlined in the Higher Education Strategy[7] [Hunt Report] (DoES, 2011):

- ❖ A Governing Authority: the decision-making body.
- ❖ A Chief Officer (President/Provost/ Director): the executive management.
- ❖ An Academic Council: representing the academic community.

6.2.4. These three elements are mutually dependent, and each plays a specific role in governance.

6.3. Roles and Responsibilities.

6.3.1 Organisation roles, boards, committees, subcommittees and panels, set out in Section 6.2, have clearly defined authority, responsibility and reporting relationships. This structure not only fosters efficiency and fairness, but it also contributes to the separation of the management of academic and corporate matters, while still allowing the College to function as an interconnected system, with each part contributing to the College as a whole.

6.3.2 The College operates under a **Board of Directors**, an **Academic Council**, and a **College President.** The principle decision-making body is the Board of Directors. The Board is responsible for the College's objects, values and strategic direction, within a framework of national legislation, policy and good governance practice in Higher Education, Counselling and Psychotherapy and Company Law. Ultimately, authority

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[6] QQI's *Core Statutory Quality Assurance Guidelines Core QA Guidelines* (2016)
[7] DoES (2011). *National Strategy for Higher Education to 2030. Report of the Strategy Group.* Dublin: Department of Education and Skills.

in the academic realm lies with the Academic Council [AC]. The College President is identified as the designated officer of the institution, and is a member of the Board of Directors. The President is supported in her/his role by the Advisory Board, which brings an external perspective and expertise to the planning process, as well as providing advice and guidance on Quality Assurance and Enhancement, compliance and risk management. The Academic Council may establish panels and subcommittees to provide advice and/or to operate within the power of authority delegated to them. Panels and subcommittees are established for a particular purpose, or may be established to assist with the ongoing work of the AC, as stated in their Terms of Reference.

6.3.2.1 *The Board.* Overall responsibility for managing the College pursuant to the Companies Act, 2014 rests with the Board. The Board is comprised of three members, one of whom is Chair and one of whom is Secretary. The President of IICP College is Chair of the Board. The rules and procedures relating to the Board are set out in the Terms of Reference for the Board (Policy 2.5).

6.3.2.1.1 The Board has responsibility for approving and overseeing the implementation of the Strategic Plan which sets out the overall goals for IICP College for the specified period. It also has overall responsibility for Risk and Compliance and is ultimately responsible for exercising oversight over the College's system of risk management.

6.3.2.1.2 *Risk management:* Risk management is the ongoing process to identify, assess, manage and control potential events or situations to provide reasonable assurance regarding the achievement of organisations objectives. IICP College has established and maintains a systematic approach to the identification, assessment and management of risk. This includes taking on an acceptable level of risks which may lead to positive outcomes. This is documented in IICP College Business Continuity, Resilience and Risk Policy (Policy 2.4).

6.3.2.1.3 The Board, through their Terms of Reference, has delegated Academic Governance to the Academic Council and executive responsibility to the President of the College. The College is supported by

a management structure, consisting of roles and committees with clear responsibilities and reporting arrangements.

6.3.2.2 *The Academic Council [AC].* In IICP College, the Academic Council has overall responsibility for all academic matters relating to programmes, teaching and related professional activity. It is the ultimate authority related to academic decision making. The AC advises the Executive Management Team on matters of quality. The AC advises the Board on matters of quality and strategy. Much of the work of the AC is delegated to subcommittees. The Terms of Reference of the AC are set out in Policy 2.7.

6.3.2.3 The College President. The College President is the principal officer of the College. The key role of this position is to manage and direct the activities of the College and staff in accordance with the College's Mission and Strategic Plan, and to direct the daily management of the College. The College President has such powers as are necessary and expedient for those purposes subject to policies as set down from time to time by the Board and the Academic Council. The President reports to the Board of Directors. The role of the President is set out in Section 6.6.1.

6.3.2.4 *The Advisory Board*, which is composed of external Higher Education and Professional experts as well as key internal staff, advises and guides the College on:

- The review, development and implementation of the Strategic Plan, which sets out the overall goals for IICP College for the specified period;
- The College's approach to internal control and risk management;
- The College's approach to quality assurance and enhancement and reviewing the effectiveness of such policies and procedures;
- The effectiveness of the College in achieving its objectives.

6.3.2.4.1 The Terms of Reference of this Board are set out in Policy 2.5.

6.3.2.5 The Executive Management Team [EMT: Executive Team]. **The Executive** Management Team reports to the Board of Directors. It has responsibility for advising the Board on strategy, implementing strategy, and monitoring the College's performance. The Board can delegate power for developing and approving appropriate policies and procedures to the Executive Management Team. Each member has an overall defined area of responsibility of the College's operations. The Terms of Reference of the EMT are set out in policy 2.8.

6.4 Academic Governance: Academic Council subcommittees

6.4.1 The principal Academic Council subcommittees are:

6.4.1.1 Standing committees: A standing committee is a permanent committee established to aid the AC in accomplishing its duties. Its scope and powers are established in its Terms of Reference, which are ratified by the Academic Council [AC]. Standing Committees report to the AC.

6.4.1.2 Academic Subcommittees and Panels are established by the AC as requested by the Registrar or College President or Executive Management Team. Standing membership for these Committees and Panels are established at the beginning of each academic year. These bodies are:

❖ **Academic (Conduct in Assessment) Disciplinary Committee**
   o This committee considers allegations of breaches of assessment regulations & procedures not resolved by informal means.

❖ **Academic (Conduct in Assessment) Disciplinary Appeals Committee**
   o This committee considers appeals from learners on foot of decisions made by the **Academic (Conduct in Assessment) Disciplinary Committee***.*

❖ **Academic (Results in Assessment) Appeals Panel**
   o This Panel reviews exam related disputes that arise after a re-assessment of scripts has been concluded.

❖ **Disciplinary Committee**

- o This committee hears alleged infringements of IICP College's Conduct regulations, where these have not or cannot be resolved by informal means.
- ❖ **Disciplinary Appeals Committee**
  - o This panel hears Appeals from the Disciplinary Committee on specified grounds.
- ❖ **Complaints Appeal Panel**
  - o This panel hears Appeals from the Complaints Formal Investigation on specified grounds.
- ❖ **Research Ethics Committee:**
  - o This panel considers and decides upon ethical approval for research proposals.
- ❖ **Continuing with Clinical Placement Panel (Not yet implemented)**
  - o This committee, when implemented, will hear applications regarding Fitness to Practise questions not resolved at informal or investigation stage.

6.4.2 The Terms of Reference for these bodies are set out in Policy 2.10 (Terms of Reference of Academic Council Boards, Subcommittees and Panels). The Terms of Reference of the Research Ethics Committee is set out in Policy 7.1.

6.5 <u>Financial Governance</u>

6.5.1 IICP College has in place financial governance arrangements, that include (i) clearly defined roles and responsibilities in relation to financial matters; (ii) documented arrangements for the collection, management, monitoring and control of financial information, and (iii) the inclusion of external oversight and scrutiny for all areas of significant financial decision making.

6.5.2 **Purpose.**

6.5.2.1 Financial Governance arrangement are intended to:

- Ensure that the College fulfils its corporate governance, and financial reporting and regulatory obligations;
- Ensure financial sustainability of the College;

- Ensure diligent financial management and control to safeguard learners, employers and other stakeholders, and to protect the reputation and ensure the future of the College.

6.5.3 Financial Governance: Policy

6.5.3.1 <u>Externality in financial governance.</u> IICP College is committed to ensuring that significant areas of decision making throughout the College incorporate external perspectives. In financial matters this is provided by (i) external auditors, and (ii) the External Commercial and Financial Advisor (ECFA) as an independent consultative role.

6.5.3.2 <u>Internal Control:</u> The College has developed a robust internal control system which ensures that management has accurate, timely and complete information, including accounting records, in order to plan, monitor and report business operations.

6.5.4 Financial Governance: Procedures

6.5.4.1 <u>Internal Controls</u>

6.5.4.1.1 The College has developed robust internal control procedures. The Financial Controller is responsible for the maintenance of a strong internal control environment and for the development of new internal controls and procedures.

6.5.4.1.2 Appropriate controls and segregation of duties are assessed on an ongoing basis by the Financial Controller and areas for improvement are identified and appropriate procedures to facilitate these items are drafted by the Financial Controller and brought to the attention of the EMT for approval.

6.5.4.2 <u>Budget planning procedures</u>

6.5.4.2.1 Financial planning is conducted by the Financial Controller who submits an annual financial plan for approval by the Board. The plan contains a projected financial forecast, details of planned capital expenditures, investment in programme resources, projected department discretionary budgets and other items of note.

6.5.4.2.2 The financial planning procedure also facilitates a review of prior year / historical information, which assists with forming the basis of budgetary information for the upcoming academic year. It allows for clear budget objectives and priorities to be established which enables the college to achieve specified goals for the academic year.

6.5.4.2.3 The day to day management of finances is the responsibility of the Financial Controller with support from the College accountants.

6.5.4.3 <u>Budget review and agreement process.</u>

6.5.4.3.1 Departmental budgets are issued by the Financial Controller to each of the department managers, including Registry, IT and HR.

6.5.4.3.2 Each departmental manager is responsible for reviewing their allotted budget and determining spend based on the designated amount for the year.

6.5.4.3.3 Each staff member is accountable to their line manager for all financial activity associated with their role. The College has in place a procurement procedure that is designed to ensure a common approach across the College in the procurement of goods and services. This procedure must be followed by all staff.

6.5.4.3.4 Department Spend up to €50k can be approved by the Financial Controller subject to the review of availability of funds and the approved budget for that particular period.

6.5.4.3.5 Spending in excess of €50k must be brought by the Financial Controller to the EMT for consideration with overall approval being sought from the Board of Directors. The Financial Controller is responsible for drafting a proposal for any such amounts in excess of €50k and must present this and supporting information to the board.

6.5.4.3.6 The budget shall be submitted to the board on or before 30 November in any given year.

6.5.4.4 <u>Learner Fees Procedure:</u>

6.5.4.4.1 The annual fee for each course is decided prior to the commencement of marketing for the next intake. Fees and costs for each

course must be approved by the Financial Controller following an assessment and comparison to the budget.

6.5.4.4.2 All fees and costs are included as part of the marketing materials for each course circulated by the College. Learners are notified in their letter of offer of the amount owed in total for fees along with details of deposit amounts. Due dates by which fees must be paid and the consequences of falling into arrears are clearly set out in both the terms and conditions and in the learner handbooks.

6.5.4.4.3 Learners have the option to pay fees up front or via agreed set direct debit payment plans. When the College receives a payment it is recorded on the learner's account immediately.

6.5.4.4.4 Learner accounts are maintained electronically, and monitored from a fees perspective by the Financial Controller and College accounting team. Learners are issued with a receipt immediately if they pay online. Physical cash and cheque payments will result in a physical receipt being issued by the College accounts department.

6.5.4.4.5 Financial statements are drafted and reviewed by the Financial Controller on a Quarterly basis. These are then reviewed at a board level each quarter and queries with regards to revenue and expenditure are discussed at the quarterly board meetings.

6.6 **Roles and Responsibilities:** IICP College Organisational structure ensures that there are clearly designated roles and responsibilities for all staff. The principle management, academic and administrative staff, and their designated responsibilities, are as follows:

6.6.1 **Duties and Responsibilities of IICP College President.**

6.6.1.1 The President of IICP College reports to the Board of Directors. Within the policies and regulations of the Board and of the Academic Council, the President, as chief executive officer, has general authority and responsibility for the College and for keeping the Board of Directors informed regarding the College in a timely and appropriate manner.

6.6.1.2 The President is responsible for the dynamic pursuit of the goals and objectives embodied in the mission of IICP College. The President is responsible

for communicating the higher education needs of the College to the Board. The President works with the Board to develop proposals for meeting those needs, and provides leadership to foster cooperation between all aspects of the College operations in fulfilling the College's teaching, research, professional and civic responsibilities.

6.6.1.3 The President is responsible for ensuring appropriate consultation with faculty, learners, staff and administrators in discharging the responsibilities of the office. The President is also expected to ensure that the policies, procedures and actions of the Board are communicated appropriately throughout the College in a timely manner.

6.6.1.4 The President is advised and supported by the Advisory Board, which provides external perspective and expertise to the strategic planning process.

6.6.1.5 As chief executive of the College, the President is charged with the following specific responsibilities:

- Drafting and agreeing with the Board IICP College's Strategic Plan.
- Exercising effective leadership in a joint effort with the Board to implement the mission and the Strategic Plan of IICP College.
- Providing effective leadership and support for academic programmes that are consistent with the College mission, the needs of learners, sound standards of quality, and available resources.
- Providing effective leadership for learner support and care that complements the academic programme and recognizes the diverse interests and needs of the learner body.
- Developing high quality systems and staff to ensure effective and efficient management of the College.
- In addition to any budget established by the Board, recommending to the Board operating budgets and other plans, financial and otherwise, for realising the College's mission. Budgets should reflect priorities of the College and facilitate their achievement.
- Communicating the needs of higher education to the Board.

- Interacting with appropriate external bodies, including professional and academic accrediting bodies, and professional associations, to achieve the mission of the College in a manner consistent with Board policy, statutory and regulatory provisions, and sound academic principles.
- Developing an effective external relations programme.
- Undertaking assignments requested by the Board.
- Demonstrating effective pursuit of the College's goals and objectives.

6.6.2 Duties and Responsibilities of IICP College Director of Registry & Operations ["The Registrar"]

6.6.2.1 The Registrar of IICP College reports to, and acts as executive assistant to, the College President. The Registrar plans, organises and manages all of the activities related to the records and registration department of the College, including serving as the official keeper of the learner records. The Registrar's responsibilities include administering of registration, tuition, assessment and academic records, and ensuring the confidentiality and accuracy of learner records.

6.6.2.2 The Registrar is charged with the following specific responsibilities:

- Co-ordinating the overall management of Information Systems in relation to Training Programmes.
- Oversight of Admissions, including services related to recruitment and retention
- Ensuring that the quality assurance policies and procedures of the college are administered appropriately.
- Oversight of the development and maintenance of learner academic records, including academic transcripts, grade processing and award certification.
- Oversight of the registration process of all learners, including publishing of the programme timetable and schedule for all core (QQI/IACP) courses.

- Oversight of the process relating to deferrals and withdrawals, including, where necessary or useful, attending meetings with learners.
- Oversight of office reports prepared for internal (e.g. Programme Monitoring Report, Monthly Registrar Report, Course Evaluation Report, etc.) and external use (e.g. those reports requested by QQI, IACP, etc.).
- Promotion of customer service, to include learners, faculty, colleagues, alumni, and the external community.
- Administration of assessments and broadsheets and coordination of learner portfolios for Board of Examiner's meeting.
- Coordination, evaluation and certification of all graduation applications, while overseeing the complete graduation process to include all elements of the rehearsal and ceremony.
- Monitoring the results of the evaluation of faculty and taking action, if required.
- Development of new programmes and revalidation of existing programmes.
- Collaboration with administrators, faculty and colleagues to facilitate and improve services to learners.
- Management and administration of learner policies and procedures.
- Leading initiatives as determined by the College President.
- Engaging in research as part of the senior leadership team.
- Serving as chair of relevant Boards and Subcommittees.
- In conjunction with the College President, the selection, and advising the Board on the appointment of, faculty and key personnel; promoting the professional growth and development of academic staff with regards to improved teaching styles, techniques and methods of instruction.
- Line management of Faculty, Registry and Admissions team members.
- Networking, as required.

6.6.3 **Duties and Responsibilities of IICP College Head of Academic Studies**.

6.6.3.1 The Head of Academic Studies reports to the Registrar. The Head of Academic Studies is charged with the following specific responsibilities:

- Lecturing:
  - o Delivery of first class lecturing to learners on the Cert, Diploma, BA (Hons) and MA Programmes.
  - o Correction of assessments and adherence to IICP's policy of returning results within a three-week time frame.
  - o Provision of cover for lecturers when sick/absent.
  - o Supporting lecturers in other modules such as supervision, group process, CP1 for short periods where groups are split.
  - o Management of Moodle for relevant modules related to teaching schedule.
  - o Ensuring class notes are uploaded on time.
  - o Ensuring each module has relevant reading articles uploaded.
  - o Monitoring submission of relevant module assessments on Moodle.
  - o Ensuring Grading Rubrics and Results are accurately uploaded.
  - o Facilitating CPD workshops and assisting in the development and administration of a range of CPD programmes.
  - o Second marking for other members of lecturing team.
  - o Line management of Tutors and Teaching Assistants.
  - o Development of a quality pipeline of Teaching Assistants.
  - o Dissertation supervision and correction.
  - o Correction of CP2 Assignments as required.
- Student Care:
  - o Supporting programme leaders and faculty in learner meetings and one-to-one evaluations, including writing up of attendances.
  - o Coordination of semester meetings between learners and lecturers on every stage.

- Attending meetings with undergraduate learners regarding deferrals and withdrawals and communicating in writing the outcome of such meetings with the relevant member of the administration team.
- Preparing reports and obtaining reports from programme leaders on learner meetings.
- Supporting learners in clinical placement elements of programme.

- Library Management:
  - Management of library including the development of a rota for the, processing of books in/out of the library and overseeing the following up with learners for late returns (shared between Programme Coordinator and Registry Associate).
  - Coordination of library audit annually.
  - Research:
  - Supporting the development of the research function of the college.
  - Assistance in carrying out research for programme development purposes.

- Learner Application Process:
  - Interviewing prospective learners as required by the Registrar.

6.6.4 IICP College Financial Controller

6.6.4.1 The Financial Controller of IICP College reports to the College President. The Financial Controller is responsible for the management of the full spectrum of the accounting and finance tasks of the College, and working with the Executive Management Team in relation to all Financial Operations. This role ensures that the College plans for and maintains the capacity to provide its programmes, that it is financially stable and in good financial standing, and that it manages financial risk.

6.6.4.2 The **College Financial Controller** is charged with the following specific responsibilities:

- Compliance with statutory and regulatory fiscal, audit and tax compliance requirements.

- Ensuring the ongoing financial capacity of the College to deliver its programmes in accordance with the conditions and standards of QQI validation, professional body accreditation, and contractual obligations.

- Ensuring that where its capacity is reduced to an extent that might impact on its ability to comply with its regulatory requirements or contractual obligations that QQI will be notified.

- Providing financial leadership.

- Forming accounting strategies.

- Evaluating college projects from an accounting perspective to ensure that the college can meet costs incurred with developing and expanding in a variety of areas.

- Developing and implementing internal control procedures to ensure a robust control environment for the college.

- Development, implementation and oversight of the entire college budget.

- Managing all learner accounts from a fee perspective, ensuring appropriate fees are captured and that all fees are collected on a timely basis.

- Ensuring that all accounting allocations are appropriately made and documented.

- Hands-on management including overseeing cash management accounts payable, accounts receivable, cash disbursements, payroll and bank reconciliation functions.

6.6.5 Duties and Responsibilities of IICP College Senior Manager – Quality Assurance & Enhancement.

6.6.5.1 The Quality Assurance and Enhancement Manager reports to the President. This Manager reviews and monitors on a continuous basis the effectiveness of Quality Assurance structures and processes within the College.

She or he is responsible for the continued development of a robust quality assurance system to inform and support governance and organisational structures, and of mechanisms for monitoring their effectiveness.

6.6.5.2 The Quality Assurance and Enhancement Manager is charged with the following specific responsibilities:

- Developing and documenting Quality Assurance Systems;

- Day-to-day management of Quality operations;

- Acting as the point of contact for Programmes undertaking Internal Quality Reviews;

- Submitting Internal Quality Review Reports to relevant College Bodies and acting as coordinating liaison;

- Monitoring implementation of quality improvement initiatives arising from Internal and External Quality Reviews, and generating annual reports for the Academic Council;

- Overseeing on-going and systematic data capture;

- Engaging with external bodies to inform the enhancement of quality assurance procedures and systems in accordance with emerging best practice;

- Identifying legislation and regulations impacting on the College;

- Translating legal requirements into impact on the organization;

- Ensuring that organisational measures are taken in order to comply with the requirements;

- Self-assessing compliance, and recommending improvements.

6.6.6 **Duties and Responsibilities of IICP College Academic Staff**

6.6.6.1 **IICP College Academic Staff** are charged with the following specific responsibilities:

- Review and mark all work including final assessments of all their learners according to pre-determined deadlines and prior to the termination of their Contract.
- Carry out all of the Employee's duties with professional care and skill, to the best of their abilities and in accordance with the highest standards of professional and ethical competence and integrity.
- Undertake their duties according to the quality procedures in force within IICP College.
- Engage in scholarly activity to enable them to stay abreast of developments in their subject areas and to maintain their "authority to teach" in higher education.
- Contribute to the ongoing development of the courses and programmes that they teach upon, including developing and updating course plans and curriculum and course design.
- Contribute to the development of new programmes and courses and to contribute to documents required for validation.
- Endeavour to build and maintain a good rapport and an excellent working relationship with all colleagues and learners.

In addition, specific responsibilities are **associated** with specific roles.

6.6.6.2 **Programme Leaders** are charged with the following specific responsibilities:

- Plan, manage and ensure the quality assurance delivery of the Diploma/Degree/MA programmes;
- Contribute to the identification, maintenance and enhancement of the quality of teaching and learning on the course;
- Support the recruitment and selection of learners to the programme;
- Attend and assist at the main registration session, if required;
- Undertake pastoral responsibilities for the learners on the specified programme;

- Maintain effective delivery of exceptionally high-quality modules and to be willing to mentor tutors as deemed appropriate by the Head of Academic Studies;

- Observe and develop equality and inclusivity practices and procedures and promote equal opportunities at all times;

- Contribute to the development of the course curriculum and the necessary validations and periodic review;

- Assist with the production of programme handbooks and timetables and other material to support the delivery of the programmes;

- Distribution and collation of learner feedback, production of programme reports and collation of relevant module reports and analysis of information to inform the reports;

- Prepare module assessment and other forms of formative and summative assessment mediums;

- Oversee the grading and assessment of learners by course tutors for each stage of the Diploma/Degree/MA programmes;

- Maintain an accurate and up-to-date record of learner attendance and performance for modules delivered;

- Assist with the production of reports for learners studying on relevant modules;

- Representing the Company as a member on various boards as deemed appropriate by the President;

- Liaise externally with other Institutions, investigating and comparing systems of best practice;

- Provide academic leadership to and supervision of teaching staff involved in the delivery of modules for each stage of the Diploma/Degree/MA programmes; and

- Any other duties as required from time to time by the President or Registrar.

6.6.6.3 **Programme Co-ordinators** are charged with the following specific responsibilities:

- Handling of current learner queries related to the programme in person, by email and by telephone.
- Outreach to current learners on programme communications.
- Supporting Senior faculty in learner meetings and preparing attendances as necessary.
- Update Academic Calendar.
- Updating the weekly office calendar on the whiteboard.
- Updating the display TV in reception.
- Printing and readying of sign-in and apologies sheets and lecturer feedback sheets for learners (shared between Admissions Manager, Programme Coordinator and Registry Associate).
- Processing of books in/out of the library and periodically following up with learners for late returns (shared between Programme Coordinator and Registry Associate).
- Updating documents (handbooks, learner documentation, etc.).
- Placement Coordination:
    - Creation of nationwide database of approved placements.
    - Liaising with learners regarding potential placement site.
    - Conducting initial phone vetting of new placements.
    - Conducting placement site visits.
    - Documenting outcomes of phone vetting and site visits.
    - Communicating outcome of placement vetting to learners.
    - Preparation and distribution of endorsement packs for learners who have been endorsed.
    - Maintenance of placement feedback monitoring spreadsheet.
    - Supporting Registrar in processing of placement documentation.
- Assessment:
    - First /second marking of assignments as assigned by Registrar.
    - Preparation of Rubric packs as required by Registrar.
- Learner Admissions:

- Co-facilitating Interviews as required by the Registrar.

6.6.6.4 **Visiting Professors / Professors / Senior Lecturers / Lecturers /Associates** are charged with the following specific responsibilities:

- Preparation and delivery of programme modules with syllabus, learning outcomes, assessment schedule and reading lists;
- Grading assignments;
- Attending orientation/reorientation days;
- Attending Lecturer meetings as scheduled;
- Attending Programme and College meetings and events, as required;
- Supporting and assessing learners;
- Dissertation Supervision on the Applied Research module, if applicable;
- Being familiar with and up to date on academic and intellectual development within the field of counselling and psychotherapy;
- Being punctual and well prepared for all classes;
- Providing handouts, lecture notes and teaching materials in electronic format;
- Utilising Moodle, as required;
- Ensuring and facilitating learner participation in all assessment mediums used;
- Setting and marking course work in accordance with learning outcomes of the course;
- Provide learner feedback including providing written feedback on written assignments;
- The provision of tutorial support;
- Supporting the Programme Leader and Registry in maintaining an accurate and up-to-date record of learner attendance and performance for modules delivered;
- Submitting weekly review notes to the Registrar via email within 3 days of sessional delivery;

- Submitting a Lecturer's self-evaluation report on the course at the appointed deadline;

- Being familiar with the Company's policies and procedures and their relationship to the Company's quality control;

- Representing the College on various Boards as deemed appropriate and necessary;

- Representing the College at appropriate events and meetings;

- Attending the annual conferral ceremony;

- Taking part in the selection and interview process for candidates applying for the programmes on offer;

- Demonstrating role model behaviours that are congruent with the learner centred philosophy and with respect to the learner charter of the Company;

- Attending open days/marketing events;

- Completing any necessary administrative tasks; and

- Performing any other duties which are ancillary to, or necessary to effect, any of the above or which are requested by the line manager.

6.6.6.5 **Tutors / Teaching Assistants** are charged with the following specific responsibilities:

- To support the module lecturer in the administration associated with class delivery;

- To observe triads and offer learners feedback on their skills practice;

- To participate in debriefing sessions with module lecturers to provide feedback on learner performance;

- To support the module lecturer in monitoring attendance and participation in the class;

- To feedback any learner issues to the module lecturer;

- To encourage learner discussion in small group work;

- To assist the module lecturer in uploading grades and notes via Moodle;

- Take notes in class, where relevant;

- To support learners in a tutorial capacity;

- To prepare, when asked, short teaching inputs for delivery; and

- If appropriate, depending on experience as a Tutor / Teaching Assistant, to assist the module lecturer in correcting assignments; however, the lecturer is responsible for all marks and grades awarded.

6.7 *Policies and Procedures*: The IICP College boards, committees and panels, as well as individuals in their particular roles, operate under policies and procedures ratified by the AC. These include:

6.7.1 ACADEMIC REGULATIONS

- ❖ Policy and Procedure for Attendance.

- ❖ Protocol for Attendance at And Certification for Continuous Professional Development Courses.

- ❖ Academic and Professional Integrity Policy.

- ❖ Academic and Professional Impropriety Policy and Procedures.

- ❖ Policy and Procedure for Word Count.

- ❖ Policy and Procedure for Late Submission of Coursework.

- ❖ Policy and Procedure for Mitigating Circumstances.

- ❖ Data Protection in Assessments.

- ❖ Policy and Procedure on Dissertation Publication and Dissemination.

- ❖ Policy and Procedure on Moodle Copyright and Usage.

6.7.2 PROGRESSION REGULATIONS

- ❖ Overview of Progression Requirements.

- ❖ Policy and Procedure for Programme Deferral.

- ❖ Policy and Procedure for Programme Withdrawal.

- ❖ Fees Policy.

6.7.3 ASSESSMENT REGULATIONS

- ❖ Policy and Procedure: Examinations Board Regulations.

- ❖ Assessment Regulations.

- ❖ External Examiner.

- ❖ Moderation of Assessment Material and Results.

- ❖ Learner Information Provision and Feedback in Assessment.
- ❖ Learners with Learning Difficulties.
- ❖ Examination Results: Review, Recheck and Appeal.

6.7.4 LEARNER SUPPORT, WELFARE AND BEHAVIOUR

- ❖ Policy and Procedure for Learner Care, Support and Welfare.
- ❖ Learner's Code of Conduct.
- ❖ Learners' Charter.
- ❖ Policy and Procedure on Learner Welfare and Wellbeing.
- ❖ Learner Disciplinary Policy.
- ❖ Policy and Procedures on Internet, Social Media and Email Use.
- ❖ Dignity and Respect.
- ❖ Complaints Procedure.
- ❖ Physical Premises, Equipment and Learner Facilities and Services.
- ❖ 5.10 Health and Safety Policy.
- ❖ 5.11 Health and Safety Policy: Information for Learners.
- ❖ 5.12 Roles and Functions of Learner Representatives: Information for Learners.
- ❖ Protection of Enrolled Learners Policy.

6.7.5 RESEARCH, CLINICAL PLACEMENT AND CLINICAL PRACTICE POLICIES

- ❖ Ethics in Research: The Research Ethics Committee.
- ❖ Supervision of Masters Research.
- ❖ Quality Assurance of Workplace Learning.
- ❖ IICP College Framework for Monitoring and Maintaining Clinical Practice Requirements.
- ❖ Readiness to Practise.
- ❖ Continuing with Clinical Placement Policy.

7 Supporting **Documentation**

7.1 Figure 1. IICP College Quality and Governance Framework

Figure 2. IICP Organisational Chart

IICP College – Organisational Chart 2023 -2024 Academic Year

IICP COLLEGE
LEARN • GROW • SUCCEED

Legend
Reporting relationship
Advisory Relationship
Academic Governance
Corporate Governance

Board of Directors

Academic Council

Executive Management Team

College President

General Counsel

Advisory Board

Exam Board

Senior Manager – Quality Assurance & Enhancement

Vice President and Registrar

General Manager

Programme Board

Head of Academic Studies

Dean of Academic and Student Affairs

Financial Controller

Faculty

- Professors
- Programme Leaders
- Assistant Programme Leaders
- Senior Lecturers
- Lecturers
- Associate Lecturers
- Tutors
- Teaching Assistants

Manager in Learner Records and Registration

Academic Technology Manager
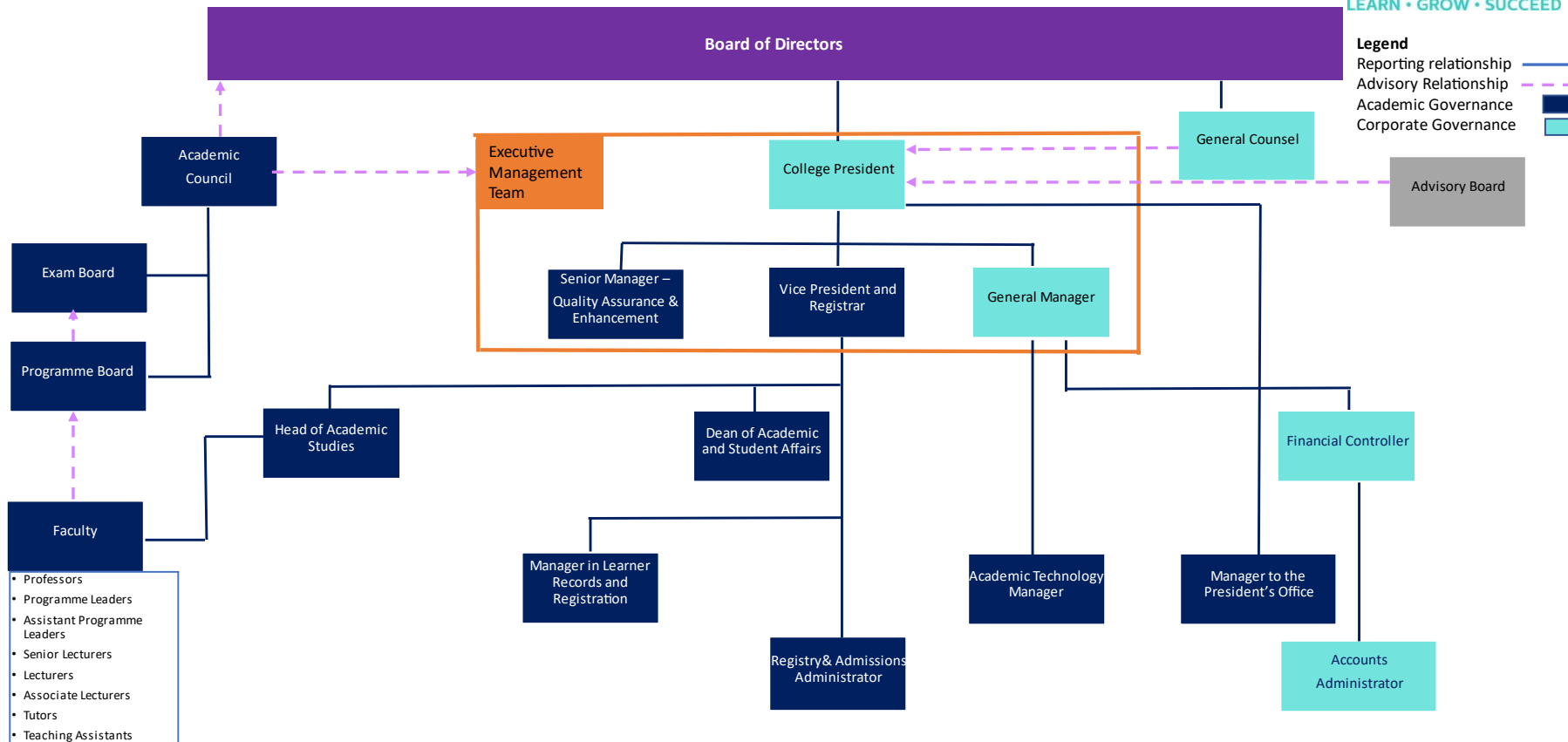
Manager to the President's Office

Registry& Admissions Administrator

Accounts Administrator

Figure 3: Structural Chart

IICP College – Structural Chart as Sept 2019

Board of Directors

Advisory Board

College President

Legend
Reporting relationship
Advisory Relationship
Academic Governance
Corporate Governance

Executive Management Team

Academic Council

Programme Boards

Exam Boards

Academic Disciplinary Committee

Disciplinary Committee

Complaints Appeal Committee

Continuing w/Clinical Placement Panel

Finance Team

Appeals Panel (Results)

Appeals Panel

Academic Team

Appeals Panel (Conduct)