

# **Management Framework Agreement**

**Between**

**City of Dublin Education and Training  
Board and the Department of Education  
and Skills for the centralised  
Administration  
of Student Grants**

**10<sup>th</sup> October 2013**



**CDET B**

An Bord Oideachais agus Oiliúna Chathair Bhaile Átha Cliath  
City of Dublin Education and Training Board



# 1 Introduction and Interpretation

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This Management Framework Agreement defines, informs and prescribes for the administration of student grants by City of Dublin Education and Training Board on behalf of the Minister and Department of Education and Skills in accordance with the Student Support Act 2011 and regulations made thereunder.

Specifically, this Framework Agreement defines the governance structures and functioning mechanisms with a view to ensuring the development, delivery and effective administration of student grants.

Detailed operational parameters of the agreement are set out in working papers and other arrangements which reflect and implement the principles and parameters of this memorandum. A list of working papers is set out in the Appendix to this Agreement.

In this document:

- “the Agreement” means the agreement between the Department and CDETБ as represented by the foundation documents;
- “the Department” means the Department of Education and Skills;
- “CDETБ” means City of Dublin Education and Training Board;
- “SUSI” means Student Universal Support Ireland, an operating unit of CDETБ;
- “the Act” means the Student Support Act 2011;
- “the Regulations” means regulations and schemes made by the Minister in accordance with the Act;
- “the foundation documents” includes the following documents and related correspondence exchanged between the Department and CDETБ and concerning the agreement:
  - the invitation by the Minister to make expressions of interest in providing a centralised student grants administration function at national level dated 7<sup>th</sup> January, 2011,
  - the detailed service proposal submitted as part of the Expression of Interest process by CDETБ dated 18<sup>th</sup> February, 2011,
  - the agreed Implementations Plan (May 2012),
  - the Order of the Minister dated 22<sup>nd</sup> May, 2012 designating CDETБ as the awarding authority for student grants SI 161 of 2012;
- “working papers” includes, although not limited to, those listed in the appendix to this agreement and other directions, guidance, communications and documents agreed or exchanged between the Department and CDETБ or SUSI as pertaining to the agreement.

## 2 Service Delivery

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The Minister has designated CDETB as the awarding authority for student grants under the Act and has specified in the regulations the extent of that authority.

The Department and CDETB have agreed that CDETB accordingly provides and delivers the following services and makes necessary supporting arrangements with associated service levels specified.

Service to be delivered includes the following:

- Carry out the functions of an awarding authority including making decisions on grant applications and awarding grants, appeals, inquiries, change of circumstances, recovery of debt and facilitate necessary engagement with the Student Grants Appeals Board.
- Implement the prescribed terms and conditions of the Student Support Act, the Student Grant Scheme, the Student Support Regulations and any related policies and directions issued from time to time by the Minister consistently, correctly and in a timely manner.
- Implement policy and operational change smoothly, correctly and in a timely manner, deliver agreed reforms and efficiencies and honour agreed service levels.
- Manage the annual application process and grant cycle on time each year through well-defined, efficient, streamlined, transparent and effective business processes, including the development of new ICT and business processes, to result in an overall enhanced service for applicants and improved management and financial information for government, and deliver cost effective services that are operational and meet customer's needs.
- Process applications in a timely manner and establish a student's provisional entitlement to grant assistance in advance of the student being offered a place on an approved course and make on-time payment of grants by EFT to eligible students.
- Provide clear, accurate, concise and timely information, advice and guidance to students and other stakeholders in relation to grant entitlements, scheme requirements and the grant application and appeals process in a professional, courteous and helpful manner, across all functions, whether in-house or outsourced, and maintain a single website with information on all aspects of the Student Grant Scheme, as well as outlining key dates and other critical information.
- Provide a customer-centred service and monitor levels of customer satisfaction at all stages of the grant enquiry, application and appeal process and deal satisfactorily with issues which may arise in relation to SUSI's responsibilities as a grant awarding authority.
- Provide management, financial, profile and other data or information required by the Department to assess, plan and develop policy for the service going forward.

### **3 Service Levels**

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The Service Levels are intended to act as a measure of how well CDETБ provide the Services, to agreed levels of acceptable performance.

The metrics to be measured comprise of:

- System Availability, Functionality & Development
- Application Process
- Application/Process timeframes
- Payment Process/Timelines
- Appeals process review
- Appeals process adherence
- Communications Strategy
- Resource Management
- Operations Management (system, resources, document management)

The Service Level Agreement including metrics and targets by which CDETБ will operate are set out in the Performance Measurement Table below.

## Performance Measurement Metrics

Metric Reference	Process	Metric Type	Metric Objective	Metric Description	Metric Target (SLA)	Monitoring Frequency	Assessment Frequency
1.01	System Availability of online application	SLA	System Availability	% "System Available" time for online application system	97% availability between opening and closing of scheme	Monthly	Annually
2.01	Application Process	Key Process Measure (/KPI)	Timeliness	% of new applications processed by month (cumulative)	New applications processed to award, refusal or cancellation <ul style="list-style-type: none"> <li>55% by 31<sup>st</sup> October</li> <li>75% by 30<sup>th</sup> November</li> <li>85% by 31<sup>st</sup> December</li> </ul>	Weekly	Monthly
2.02	Application Process	Key Process Measure (/KPI)	Timeliness	% of renewal applications processed by month (cumulative)	Renewal applications processed to award, refusal or cancellation: <ul style="list-style-type: none"> <li>95% by 31<sup>st</sup> October</li> </ul>	Weekly	Monthly
2.03	Application Process	SLA	Timeliness	% Documents scanned and uploaded within 3 business days of receipt	85%	Weekly	Monthly
2.04	Application Process	SLA	Timeliness	Mean time for initial and final assessment	12 weeks	Monthly	Annually
2.05	Application Process	Process Measure (/KPI)	Timeliness	Mean time for initial assessment	6 weeks	Monthly	Annually
2.06	Application Process	Process Measure (/KPI)	Timeliness	Mean time for final assessment	6 weeks	Monthly	Annually
2.07	Application Process	SLA	Timeliness	% of refusals flagged at initial assessment	33%	Monthly	Annually
2.08	Application Process	SLA	Timeliness	% dormant applications closed out within agreed timeframes	95%	Monthly	Annually
2.09	Application Process	SLA	Quality	% of applications not requiring a second referral	50% decrease	Weekly	Annually
2.10	Application Process	SLA	Timeliness	% of letters issued to applicants within 3 days after final assessment completed	85%	Weekly	Annually
2.11	Communications	Process Measure (/KPI)	Timeliness of submission	% of new applications received weekly before closing date (cumulative) based on expected volumes	90%	Weekly	Annually
2.12	Communications	Process Measure (/KPI)	Timeliness of submission	% of renewal applications received weekly before closing date (cumulative) based on expected volumes	90% of all (new and renewal) applications	Weekly	Annually
2.13	Application Process	Volume Indicator	Volume reporting	Number of applications returned to applicant 'under query'	33% and reducing by 10% each year (e.g.29.7%)	Weekly	Monthly
3.01	Payment Process	Key Process Measure (/KPI)	Timeliness	% of total anticipated new awards paid per month (cumulative)	<ul style="list-style-type: none"> <li>40% paid by 31<sup>st</sup> October</li> <li>65% paid by 30<sup>th</sup> November</li> <li>85% paid by 31<sup>st</sup> December</li> </ul>	Weekly	Monthly
3.02	Payment Process	Process Measure (/KPI)	Timeliness	% of total anticipated renewal awards paid per month (cumulative)	<ul style="list-style-type: none"> <li>80% paid by 31<sup>st</sup> October</li> <li>95% paid by 30<sup>th</sup> November</li> </ul>	Weekly	Monthly
4.01	Appeals Process	Process Measure (/KPI)	Timeliness	% of notification of appeals decisions within 25 days	80%	Weekly	Monthly
5.01	Customer Service	SLA	Timeliness	% of calls answered within 30seconds	70%	Weekly	Monthly
5.02	Customer Service	SLA	Timeliness	% email queries responded to within 5 days	90%	Weekly	Monthly
5.03	Customer Service	Volume Indicator	Volume reporting	Number of contacts to helpdesk per application received per annum	20% decrease	Weekly	Annually
6.01	Cost	Key Process Measure (/KPI)	Quantitative	Percentage reduction in cost per awarded grant	10% year on year percentage decrease	Annually	Annually
6.02	Cost	Key Process Measure (/KPI)	Quantitative	Percentage reduction in cost per grant application processed	10% year on year percentage decrease	Annually	Annually

## 4 Funding

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The Department will allocate funding to the CDETБ for the administration and payment of student grants in accordance with the Financial Accountability Framework and Financial Policies and Procedures. CDETБ shall keep proper records and in particular adhere to Sections 51 and 52 of the Education and Training Boards Act 2013.

The Department, in each financial year will advance to CDETБ such sum from monies sanctioned by the Department of Public Expenditure which is not greater than the sum required for the purpose of defraying expenditure incurred by CDETБ in the performance of its functions in administering Student Grants.

The funding allocated for administration will cover the following costs:

- Pay (subject to the agreed level of resources as sanctioned by DPER in respect of each financial year and operating within Employment Control Frameworks)
- Non-Pay to include:
  - Once off project set up costs (including ICT costs - all ICT expenditure must be compliant with the Office of the Government Chief Information Officer (OGCIO) guidelines and parameters)
  - Operational costs (including outsourcing costs).

## 5 Outsourced Service Providers

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CDETБ is accountable to the Department for the performance of all functions in respect of the Administration of Student Grants under the Order of the Minister, SI No. 161 of 2012, (whether performed internally or outsourced to third party providers). This includes liability and overall responsibility for any outsourced functions, having particular regard to quality control, financial control and the provision of effective services in a customer-focused and cost effective manner.

Any legal and contractual requirements regarding payments to any outsourced service providers remain at all times the responsibility of CDETБ. However, no contractual commitments are to be entered into by the CDETБ with any third party in relation to the provision of service without prior agreement and approval from the Department on the funding for such expenditure, and until the appropriate sanction and draw-down arrangements have been put in place between the CDETБ and the Department.

The agreement of the Department of Public Expenditure and Reform is required in relation to any departures from the arrangements already agreed with them.

A review of outsourced arrangements, including contractual arrangements, should be undertaken periodically by CDETБ to ensure optimal service provision by the delivery agent and establish that these continue to be the most effective and cost efficient arrangements for the delivery of the services involved.

## **6 Reporting**

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The Department must be kept fully informed of the progress of all aspects of provision of service and the execution of this Framework Agreement.

This includes but is not limited to the requirement to immediately report any issues to the Department which are or may affect the provision of student grant services.

The management information requirements as agreed between the parties from time to time will be included in the working papers at the Appendix.

## **7 Audit**

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CDETБ shall adhere to Section 52 of the Education and Training Boards Act 2013, comply with the Public Financial Procedures published by the Department of Finance and at all times keep appropriate records for the purpose of providing the service and as agreed from time to time between the parties.

## **8 Risk, Control and Compliance**

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CDETБ will develop and maintain a structured approach to risk and control and where appropriate enhance its risk management and keep it under continuous review for improvement.

- Monitoring and quality control measures must be put in place to verify assessment and payment accuracy in relation to grant applications. These measures must also ensure that any grant overpayments, grant awards made in error or any other financial discrepancies relating to any activity or function under CDETБ's remit are minimised, quickly identified, satisfactorily remedied and reported to the Department.
- Where possible and as necessary, changes to procedures should be agreed and put in place to prevent any recurrence of same. The Department must be kept informed of any such proposed changes for approval prior to implementation and any agreed changes undertaken through the Change Control procedures of this Agreement.
- An annual internal review of the effectiveness of CDETБ's system of internal controls, including financial, operational and compliance controls and risk management must be carried out as soon as possible following the end of each financial year. The findings of this internal review and suggested improvements/corrective actions to be taken must be submitted to the Department.
- Appointment of a fraud inquiry team within SUSI, as a permanent element of core staffing requirements, dedicated to fraud prevention, whose duties shall include sampling, and continuous monitoring and review of grant applications and documentation as part of the provision of quality assurance and control and the detection of fraud or suspected fraud.
- A detailed Procedures Manual must be in place, outlining CDETБ's control procedures and the in-built control and financial monitoring, control and verification checks implemented to ensure accountability and compliance with best financial practice.
- The segregation of duties, roles and financial responsibilities must be clearly defined to ensure that clear lines of accountability exist for the Administration of Student Grants within CDETБ and any outsourced service provider.

- CDETБ will establish a quality assurance system to measure customer satisfaction, and highlight opportunities to improve work processes.
- A “maker-check “ approach to grant assessment is to be implemented by CDETБ to ensure that the same staff member cannot make a provisional award and confirm final grant approval on the same application, i.e. at least two staff members to review each grant application.
- CDETБ will ensure that adequate business continuity arrangements are in place to prevent and/or minimise disruption to the greatest possible extent in the event of any unforeseen circumstance, e.g. fire, flood, technical issues, IT crashes etc. CDETБ will have a “Disaster Recovery and Service Continuity Plan”, detailing the alternative arrangements for continuity of service in the event of any such unforeseen circumstances. Where any services or functions are outsourced to third party providers, it is the responsibility of CDETБ to ensure that such third party providers have similar comprehensive and effective arrangements in place to enable continuity of service.

The Department shall have a right of review to conduct reviews and inspections of the activities and records of CDETБ for the purpose of confirming that the services are being provided, and CDETБ’s other obligations are being performed, in accordance with this Agreement.

## **9 Financial Accountability Framework**

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### **Objective**

The objective of this Financial Accountability Framework operating as an integral part of the wider Management Framework Agreement is to ensure that there are appropriate structures in place in City of Dublin Education and Training Board to provide the necessary assurances to the Department of Education and Skills in respect of the funding advanced to CDETБ for the administration of the centralised grants function and funding for the payment of grants.

### **Financial Procedures**

CDETБ will have written financial procedures in respect of SUSI which reflect the requirement of the Public Spending Code and other relevant financial regulations and guidelines. These procedures will be kept under ongoing review having particular regard to the findings of the annual internal review of the effectiveness of SUSI’s system of internal controls, audits and transaction testing.

### **Risk Management and Compliance**

CDETБ will adopt a structured approach to risk and control in respect of SUSI which will provide for the identification and control of financial risks and for the ongoing improvement of its financial management systems.

### **Validation and measures to eliminate fraud and overpayment**

The CDETБ will report to the Minister on a quarterly basis in relation to its functions relating to the validation of applications for student grants. The report should, among other matters, address the number of Inquiries carried out, the activities of the fraud inquiry team within SUSI, including the outcomes of sampling and on-going monitoring and review of grant applications and documentation as part of the provision of quality assurance and control.



## **Assessment of resource requirement and Management of Resources**

CDETБ will assess and review the resources required by SUSI for the purposes of performing its functions related to the administration of student grants, setting out a workforce plan to include the relevant balance of permanent and temporary staffing within available resources and ensuring appropriate skills development through effective training plans. CDETБ will comply with sanctioned numbers and allocations and relevant employment law.

## **Funding arrangements, including Monitoring and Reporting**

CDETБ will put in place regular monitoring and verification arrangements to ensure best practice is followed and financial controls are adhered to in order to safeguard the public funding provided from the Exchequer. CDETБ will effectively manage the public monies provided, ensuring that agreed savings are delivered to provide for sustainable arrangements for student grants.

Funding for the provision and administration of grants will be advanced to CDETБ in line with agreed procedures which are included in the working papers in the Appendix to this agreement. These procedures will be kept under review to ensure they remain fit for purpose. CDETБ will provide financial reports and statistical data including data to support the preparation of budget and performance assessment and reporting.

## **10 Governance**

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The Government sets out the strategic policy direction for student grants, and CDETБ as the appointed awarding authority implements the agreed policy in the exercise of its statutory functions.

The governance objectives of this Agreement are to ensure that CDETБ, its SUSI unit and any outsourced service provider:

- follow the strategic direction laid out by the Department by ensuring the delivery of the agreed services and achievement of the agreed targets for service and cost.
- has a workforce with the capability, capacity and authority to effectively carry out its statutory functions as an awarding authority as set out in the Student Support Act 2011.
- has a proper accounting framework for both the monies advanced towards administration cost of student grants as well as the student grants monies, and that appropriate structures are in place to provide assurance to the Department.
- allocates student grant funding in line with the eligibility criteria as set out in the relevant Student Support Scheme and related regulations in an efficient and effective manner.
- has the means to make available data in respect of the effectiveness of the policies to enable Government to have evidence based decisions in relation to the future decisions on student grant monies.
- has standards and codes of practice to ensure integrity and professionalism and maintain reputation in the performance of its function and ensuring that such standards are adhered to by its staff and any outsourced service providers

The governance structure sets out to ensure that the executive management team of both parties, who will be responsible for overseeing the on-going administration of student grants, have early visibility of the performance as per the Service Levels agreed and can take necessary business and operational decisions and actions to remedy any variance from the requirements as and when it arises.

The following sets out the governance and key relationships between DES and CDETb to facilitate the provision of the Services in accordance with the terms of this Agreement.

The governance structure is intended to:

- provide a set of principles, guidelines and processes for the management of the relationship between the DES and CDETb and the performance of their respective obligations under this Agreement;
- maintain control of all changes that are made in relation to the Agreement or the Services and manage associated, financial, technical and operational issues;
- ensure adequate prioritisation and planning of Services;
- provide general oversight, service reporting and provide a clear route for project reporting, issue escalation and resolution; monitor levels of satisfaction with the Services;
- discuss potential improvement actions or innovations that may come to the Parties' attention during the term of the Agreement.

The parties recognise that these provisions may change during the course of this Agreement and the parties shall comply with the Change Control Procedure in the event that any changes are required.

#### **GOVERNANCE FRAMEWORK & MEETINGS**

A two-tiered Governance structure will be established to govern the Services. The two tiers are:

(i) Strategic –supported via a Quarterly Business Review (QBR) meeting

and

(ii) Operational –supported via Monthly Operations Review (MOR) meeting

The overall engagement of the parties will be governed through the QBR meeting. The purpose of this forum is to review the overall performance of this Agreement, to review the performance of the parties, and to set future medium and long term strategies for developing the relationship. The QBR meeting will be held at three-month intervals, with the first such meeting being held before the end of the first calendar quarter of this agreement being signed, ("Quarter").

The parties shall also meet on a monthly basis in the MOR meeting to monitor, review and manage ongoing operational planning and execution.

## Quarterly Business Review Meeting

The following table describes the format of the Quarterly Business Review Meeting ("QBR"):

<b>Quarterly Business Review Meeting ("QBR")</b>	
<b>Purpose:</b>	The quarterly QBR is intended to provide <b>senior executive</b> input to the overall management of the Agreement. The quarterly QBR will also act as a point of escalation for the monthly review meeting (MOR) if required
<b>Attendees:</b>	CDETБ CEO Head of SUSI DES Deputy Secretary DES Principal Officer Up to two external attendees agreed by DES and CDETБ
<b>Frequency:</b>	Quarterly (dates to be agreed)
<b>Responsibilities:</b>	The roles and responsibilities of the QBR, as shared jointly between DES and CDETБ are outlined below. <ul style="list-style-type: none"><li>• Review overall Service Delivery Performance</li><li>• Review Escalations from MOR</li><li>• Review Risk Register</li><li>• Review performance of key vendors</li><li>• Resourcing capacity versus demand assessments appropriate to MOR</li><li>• Financial Plan</li><li>• Stakeholder Management</li><li>• Medium term strategic objectives</li><li>• Long term strategies</li></ul>
<b>Administration</b>	Pre-Reads to be issued three business days prior Minutes to be finalised three business days following

## Monthly Operations Review

The following table describes the format of the Monthly Review Meeting:

<b>Monthly Operations Review ("MOR")</b>	
<b>Purpose:</b>	The MOR is intended to be an operational meeting designed to manage the parties respective performance under the Agreement, including ongoing operational planning and execution. This forum is also intended to support the smooth execution and performance of the Agreement, to help each party to meet its obligations and to raise and resolve contractual issues.
<b>Attendees:</b>	Attendees from the Operations Management team within SUSI (to be specified by Head of SUSI) and across DES and Major Vendors (as appropriate)
<b>Frequency:</b>	Monthly (dates to be agreed).
<b>Responsibilities:</b>	<ul style="list-style-type: none"><li>• Monitor and review ongoing operational planning and execution</li><li>• Monitor and assess performance against agreed metrics</li><li>• Identify service performance improvement initiatives</li><li>• Examine early warnings provided by system indicators</li><li>• Report on escalated matters</li><li>• Review and agreement on working papers to this agreement.</li><li>• Report on and assess outcomes of financial accountability</li></ul>
<b>Administration</b>	Pre-Reads to be issued by SUSI one business day prior Minutes to be finalised two business days following.

The parties agree to attend additional meetings, which may be required on an ad-hoc basis depending on business needs (including any meeting between each party's representatives which may be necessary to facilitate the delivery by CDET of the Services).

### ICT Governance

Responsibility for ICT process and system design, development, implementation and system security lies with CDET, including ensuring that all appropriate consultation with the Office of the Government Chief Information Officer (OGCIO) takes place in relation to optimal IT systems and compliance with the relevant OGCIO financial guidelines and parameters, including reporting requirements. ICT governance will be established in accordance with OGCIO requirements in order to increase transparency of ICT delivery.

## 11 Data and Data Protection

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CDETБ and any outsourced service provider must develop and integrate policies, guidelines, and standards for managing the data held in respect of student grant applications. It must be implemented by a data governance management team of information technology and business processes who are unified by a common goal to ensure:

- Data is what it is supposed to be (Data Quality).
- Data is in the correct context (Data Integrity).
- Data and its associated metadata are accessible (Data Usability).

### Document Retention

CDETБ must ensure that accounting records and all supporting documentation relating to expenditure, procurement, publicity, verification checks etc. are retained for the relevant time period to ensure compliance with the provisions for data retention under the Data Protection Act. Any such documentation is to be made available to the Minister and the Department of Public Expenditure and Reform on request.

All records in relation to the administration of SUSI, including procurement records and documentation, must be retained for a minimum of six years and made available for inspection by officials from the Department on request.

### Data Transfer Agreements

The transition to fully automated provision of evidence must be done on a planned basis as part of the annual implementation planning process.

Service Level Agreements and data exchanges agreements must be in place for exchanging of data with third parties in line with Section 28 of the Student Support Act 2011.

CDETБ must ensure that any agreements with such agencies are sufficiently detailed and comprehensive to ensure that adequate resources and capacity are in place to allow for the seamless and safe transfer of data within the specific timeframes involved.

## 12 Change Control Process

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If at any time CDETБ or the Department, acting reasonably, requires a change to this Agreement such party may only request or recommend such change in accordance with the Change Control Process set out below, except changes that may be agreed in writing as part of the governance meetings detailed in Governance section 10 above, to which the Change Control Process detailed below will not apply.

Where either party wishes to request or recommend a Change, then that party shall notify the other party of that fact by sending a written change request template below for reference ('**Change Request**') to the other party's authorised representative, specifying in as much detail as is reasonably practicable the nature and extent of the proposed Change.

Where a Change Request is received from DES, CDETБ shall as soon as is reasonably practicable after receipt, issue a written acknowledgement to the Change Request and shall submit a change control proposal ('**Change Proposal**') to DES within seven (7) Working Days of the date of the Change Request. If within five (5) days of receipt of such a Change Request CDETБ considers that it will not be able deliver the Change Proposal it will on an exceptional basis notify DES of the date by which it will be able to submit such Change Proposal.

## CHANGE CONTROL NOTE FORMAT

Ref. No:

Date:

Title of proposed Change:

Details of proposed Change:

Reasons for proposed Change:

Practical impact of proposed Change and necessary amendments to the Agreement:

Timetable for implementing proposed Change:

Period of validity of this Change Note:

Originator:

Signed.....

Response: Approved / Rejected

Signed by

Signed.....

For, and on behalf of, DES

Signed by

Signed.....

For, and on behalf of, CDETB

## 13 Sign off and Review Arrangements

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This Management Framework Agreement is jointly signed by the Deputy Secretary General of the Department of Education and Skills with responsibility for Higher Education and the Chief Executive Officer of City of Dublin Education and Training Board, and takes effect from the date on which it is agreed and signed by the two parties.

Both organisations will ensure that all relevant staff are familiar with this Agreement and its implications, and that all relevant dealings between the two organisations in relation to the administration of student grants are conducted in accordance with its principles and provisions.

This Management Framework Agreement will be reviewed regularly, at least on a quarterly basis each year at a minimum as part of the overall governance process, to ensure it remains fit for purpose.

It will be fully reviewed at the end of its first year of operation. The performance of CDETBSUSI will be reviewed periodically on the basis of achievement of the service commitments, delivery expectations and Key Performance Indicators outlined in this agreement of this Framework.

This Framework may be renewed where a satisfactory level of service has been provided and service commitments have been satisfactorily attained by SUSI.

Where CDETBSUSI becomes aware of non-compliance or potential compliance issues in respect of any obligation, this should immediately be brought to the attention of the Department by the Chief Executive Officer of City of Dublin Education and Training Board.

### Signed on behalf of the Department of Education and Skills:

  
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Mary Doyle, Deputy Secretary General

Date:

11/10/13

### Signed on behalf of City of Dublin Education and Training Board:

  
.....  
Jacinta Stewart, CEO, City of Dublin Education and Training Board

Date:

10/10/13



**CDETBSUSI**

An Bord Oideachais agus Oifim Chathair Bhaile Átha Cliath  
City of Dublin Education and Training Board



## Appendix

### Working Papers

NO	WORKING PAPER	STATUS AT DATE OF SIGNATURE	AGREED TIMELINE FOR COMPLETION
1	Relevant Student Grant Primary and Secondary Legislation for relevant academic year	Complete	Complete
2	Escalation and Resolution Processes	Under Review	Q4 2013
3	Management Information Requirements - Inputs	Under Review	Q1 2014
4	Management Information Requirements – Processing of applications	Complete	Complete
5	Management Information Requirements - Awarded Grants and Payment	Under Review	Q4 2013
6	Management Information Requirements – Refusals and Cancellations	Under Review	Q4 2013
7	Management Information Requirements – Appeals outcomes	Under Review	Q4 2013
8	Management Information Requirements – Performance metrics	Complete	Complete
9	Governance Structures Model	Under development	Q4 2013
10	Statement of Controls	Under development	Q1 2014
11	Risk Management Policy and Register	Under development	Q4 2013
12	Business Continuity and Disaster Recovery Plan	Under development	Q2 2014
13	Audit Plan	Complete	Complete
14	Fraud Policy	Under development	Q1 2014
15	Procedures manual, including written financial procedures	Under development	Q2 2014
16	Data and Data Protection Policy	Complete	Complete
17	Key Calendar Dates and Timeframes	Complete	Complete
18	Process and Systems Development Plans 2013	Complete	Complete



19	Process and Systems Development Plans 2014	To be commenced	Q2 2014
20	Customer Service Plans	To be commenced	Q1 2014
21	Quality Plan (Core Business Processes)	Under Review	Q4 2013
22	Annual Administration Budget for Financial year	Agreed	Complete
23	Annual Staffing Forecast (DPER Sanctions) and Workforce Plan	Complete	Complete
24	CDETБ Report on Employment Control Framework	Under Review	Q4 2013
25	Accounts of SUSI Administrative Expenditure	Under Review	Q1 2014
26	Outsourced Services and Contractual Durations	Complete	Complete
27	Statement of Deployed Assets and Facilities	To be commenced	Q1 2014
28	SUSI Organisation Chart	Complete	Complete
29	Key Staff Roles and Contact Details	Under review	Q4 2013
30	Procedures for budget approval, provision of Funding and Financial Reporting	Complete	Complete
31	Stakeholder Management Plan including Student Grants Advisory Board	Complete	Q4 2013
32	Representations, including Oireachtas Matters	Complete	Complete