Overview of the Regulatory Framework

The following short video, presented by Julie Wells, Vice-Principal Policy & Projects, provides an overview of the University of Melbourne Regulatory Framework, including:

- The University of Melbourne Act
- University Statute and University Regulations
- Delegations Framework
- University Policy and the Policy Framework
- University Process and the Process Management Framework.

Access the video via the following hyperlink: https://www.youtube.com/watch?v=dzlJaH-onLM

Governance and Management Policies

Governance and Management is one of the nine categories of University Policy. The Governance and Management suite of policies consists of the following policies:

- Commercial Activities and Joint Undertakings Policy (MPF1098)
- Contracts Policy (MPF1247)
- Delegations Policy (MPF1301)
- Election Policy (MPF1146)
- Privacy Policy (MPF1104)
- Records Management Policy (MPF1106)
- Risk Management Policy (MPF1194)
- Trusts Policy (MPF1110)
Key messages from the Policy Stewards for the Governance and Management category are:

- The **Election Policy** was reviewed in context of the new legislation passed at the end of 2015 to reinstate staff and student elected members of Council.

- The **Privacy Policy** notes that the process for disclosing personal information to law enforcement agencies has changed.

- The **Records Management Policy** has the following key messages:
  - All staff are responsible for creating, capturing, managing and disposing of records in all areas of University activities
  - Staff should use the University’s records management system or an enterprise application (eg Themis, ISIS) to save records at the time they are created or used

- The **Risk Management Policy** sets out the new risk assessment process.
Policy Breakdown

Commercial Activities and Joint Undertakings Policy – currently under review

Contracts Policy (MPF1247)
Policy Steward: Kylie Gould

The objectives of this policy are to:
   a) govern the negotiation, execution and management of contracts entered into by the University; and
   b) minimise University exposure to financial and reputational risk.

Delegations Policy (MPF1301)
Policy Steward: Gioconda Di Lorenzo

The objective of this policy is to ensure delegation of duties, powers and functions is:
   a) properly governed, recorded and accessible
   b) exercised in accordance with relevant University policies and legislation.

Elections Policy (MPF1146)
Policy Steward: Gioconda Di Lorenzo

The objectives of this policy are to ensure University elections are:
   a) open and fair
   b) comprehensive
   c) scrutinised.

Privacy Policy (MPF1104)
Policy Steward: Gioconda Di Lorenzo

The objectives of this policy are to:
   a) identify the University’s obligations for handling personal information of past and present University staff, students, prospective students and other individuals associated with the University
   b) encourage all University staff to take a proactive privacy approach; and
   c) identify the University’s obligations for responding to complaints about potential privacy breaches.

Records Management Policy
Policy Steward: Kathryn Dan

The objectives of this policy are to:
   a) facilitate legislative compliance and effective business practice
   b) protect University information assets as evidence of current practice and for future research.
Risk Management Policy
Policy Steward: Kylie Gould

The objectives of this policy are to:

a) outline the University’s approach to risk management;
b) align the University with best practice AS/NZS ISO 31000:2009 Risk management – Principles and guidelines;
c) establish the roles and responsibilities of staff in risk management; and
d) affirm the University’s commitment to developing a compliance framework in line with AS ISO 19600:2015 Compliance management systems – Guidelines, incorporating a risk based approach to compliance that:
   i. facilitates compliance with legislation and regulation (University’s Regulatory Framework);
   ii. continuously improves attention to compliance obligations within the Regulatory Framework; and
   iii. stimulates the identification, reporting and rectification of non-compliance.

Trusts Policy
Policy Steward: Kylie Gould

The objectives of this policy are to ensure the management and administration of University trusts are:

a) lawful;
b) accountable;
c) financially responsible; and

d) respectful.

Key Contacts for Governance and Management

Policy Stewards
Gioconda Di Lorenzo, University Secretary
Kathryn Dan, Associate Director, Records and Compliance
Kylie Gould, General Counsel and Executive Director, Legal and Risk

Process Group Champions:
Tamara Jimenez, Manager, Policy and Compliance Education

Key Resources

For all your policy development, review and approval resources head to: http://www.policy.unimelb.edu.au/

For all regulatory Mapping documents head to: http://unimelb.edu.au/governance/regulatory-framework

Policy Library  https://policy.unimelb.edu.au/
Processes  https://au.promapp.com/unimelb/Process/Group/Governance and Management