

Operations Governance Policy

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Purpose

The Federation University [Operations Governance Policy](#) mandates the operational requirements for Property and Infrastructure, Information Management and Systems, Library and Finance Operations within the University.

This policy mandates Operational requirements for Federation University Australia in accordance with the *Federation University Australia Act 2010*, Statutes and Regulations and any other applicable legislative and regulatory bodies. This policy must be followed in conjunction with supporting procedures, operating manuals, and work instructions.

Reconciliation statement

As a leading Reconciliation Action Plan (RAP) organisation, Federation University is deeply committed to embedding reconciliation and Indigenous matters throughout all areas of the University. Our key policy areas will complement and engage with our RAP and several Indigenous strategies in across the University.

Anti-Modern Slavery Statement

Federation University Australia acknowledge that modern day slavery and the exploitation of an individual's rights and freedoms is a complex global issue. We are committed in doing our part to identify and prevent instances of modern slavery in all forms.

Policy statement

The [Operations Governance Policy](#) mandates a range of associated University procedures, manuals and work instructions developed to ensure that physical and financial resources are available and responsibly utilised by the University, minimising duplication, and maintaining internal controls to mitigate identified risks.

This policy should be read in conjunction with procedures, manuals, and supporting documents to guide decision making and ensure all information is captured accurately, completely and managed in accordance with all relevant legislative acts and regulations. The University will provide access to formal or informal learning material to ensure staff have the knowledge, competencies, and ability to interact with information in their roles.

1. Sustainability

Federation University is committed to improving the sustainability performance of the organisation through promoting a culture of sustainability, managing our operations in a manner that minimises our environmental and social impacts and enabling the integration of sustainability principles and practices into teaching and learning, research and community engagement.

The university will meet this commitment by:

- Ensuring sustainability is reflected in the University's strategic documents.
- Developing an annual Sustainability Reporting framework.
- Developing education for sustainability through utilising the university's research, curriculum and administrative practice to enhance organisational sustainability.
- Incorporating the principles of Ecologically Sustainable Design (ESD) into all capital and infrastructure projects.
- Providing training and support for staff to adopt sustainability principles and practices to achieve sustainable behaviour change in the workplace.
- Undertaking research which will develop and strengthen regional partnerships that address sustainable development.
- Building capacity in the community by producing graduates who are sustainability literate through their experience at the University.

2. Property and infrastructure

Federation University is committed to the appropriate utilisation, allocation and management of space in support of the teaching and research goals and objectives of the University.

As the University's physical space is a valuable asset, this policy and its associated procedures and operations manuals endeavour to maximise efficiencies of use through effective facilities management strategies and sustainable planning for all its current and future operations.

This policy applies to all physical spaces owned or operated by the University and utilised by members of the University's community whether for learning and teaching, research, administration or other operational purposes. This policy **does not apply** to properties managed or utilised by partner provider organisations.

As far as reasonably practicable, a safe, secure and crime-free environment for all members of its community is provided by Security Services. Federation University Security Services apply to:

- all University premises;
- all activities taking place on University premises, whether they are University activities or not; and
- all members of the University community whilst planning, managing or engaging in any University activity, whether this activity takes place on University premises or not.

Supporting documents

- [Space Management - Operations Manual](#) OG2093
- [Security Procedure](#) CG1982
- [Parking Procedure](#) OG1498

3. Information and communications technology

Federation University expects reasonable and appropriate use of Information Technology Services and associated systems. This policy, combined with procedures and other mandated documents, provides direction regarding acceptable use of all computing and communications facilities provided by the University. It applies to all users and includes the implementation of measures to protect corporate Information Technology Services ITS systems, services and equipment of Federation University.

The University will take reasonable and necessary steps to ensure information security protection. Information Security Classifications and associated access will enable appropriate management of information including securing the University's assets against theft, fraud, malicious or accidental damage and breach of privacy or confidentiality. This includes the protection of the University from damage or liability arising from the use of ITS facilities for purposes contrary to Federation University Australia Legislation and Policies.

The University has a variety of procedures, manuals and work instructions developed to ensure the integrity, authenticity, availability, access, confidentiality and security of data produced and/or utilised, minimising duplication and fragmentation and introducing internal controls to mitigate identified risks.

At Federation University, Information will be:

- collected, created, managed, used, re-used and shared according to ethical practices, any applicable laws and with due consideration to individual privacy.
- appropriately stored to ensure protection from loss and unauthorised access.
- accessible, transparent and available to be used and shared whilst respecting matters of identity, privacy and confidentiality. This applies to internal as well as third party data.
- managed in accordance with records management and archiving requirements.
- adhere to the principles that govern:
 - i. web-based content and
 - ii. the processes surrounding the publishing and hosting of web-based content on the University website and also applies to all research outputs (other than research data and other non-traditional research outputs) generated while the author has a formal association with the University unless the author has entered into an incompatible licensing or publication agreement.

Federation University operates under a set of Information Technology rules and requirements covering information privacy, material and data copyright, information security, control and use of intellectual property and records management.

Federation University will implement and action procedures, manuals and support documents to ensure all information is captured accurately and completely and managed throughout its lifecycle.

Federation University will provide access to formal or informal learning material to ensure staff have the knowledge, competencies, and ability to interact with information in their roles.

3.1 Information technology usage, support and management

Federation University provides students and staff with access to computing and communications services in support of its teaching, learning, research and administrative activities. The University provides access to

standalone or networked personal computers, multi-user computers and to other ITS resources accessible via on-campus networks.

It is expected that all users will make use of University computing and communications facilities in a manner, which is ethical, lawful, effective, efficient, in accordance with other University policies and not to the detriment of others. Usage must also be in line with a current course of study or job function.

The University acknowledges its obligation to ensure appropriate security of personal data in relation to all relevant legislation while providing approved data storage solutions to accommodate the varying needs of the University community. University data is recognised as a valuable asset and will be efficiently managed and availed through development of a best practice approach to data management.

Through its associated procedures the University will:

- define the roles, responsibilities and accountability for different data usage;
- ensure best practice processes for effective data management including access, retrieval, reporting, managing and storing; and
- protect the University's data against internal and external threats.

The University is also required to produce evidence of its activities to external regulators, internal auditors, accreditation and funding bodies. Adherence to this policy will ensure the University is able to meet these requirements.

Supporting documents

- [Disclosing and Exploiting Intellectual Property Procedure](#) RS2027
- [Information Privacy Procedure](#) IM1893
- [Records Management Procedure](#) IM1697
- Information Technology Services Operations Manual- Master Data Management, Data Classification and Usage, and Data Storage OG2083
- [Information Technology Services Operations Manual- Use of Computing and Communication Facilities and, Information Security](#) OG2084

4. Finance management and operations

Federation University expects clear and transparent Finance Management practices, consistent with relevant state and federal legislation and appropriate regulatory bodies. This policy sets out the direction regarding the collection, distribution of funds, allocation of purchasing cards and acceptable use. Collection of revenue or cash equivalent, student fees management, budgeting, forecasting, reporting (internal and external), debt management, investment, procurement of goods and services, purchasing of university motor vehicles, travel, and asset management.

The University will take reasonable and necessary steps to ensure financial management of accounts, budgets including securing the University's assets against theft, fraud, and breach of privacy or confidentiality to Federation University Australia Legislation and Policies. System will be in place to maintain the integrity, authenticity, availability, access, confidentiality and security of financial data produced and/or utilised by the University through minimising duplication and introducing internal controls to mitigate identified risks.

Federation University Finance data will be:

1. Collected, created, managed, used, re-used, and shared according to ethical practices, any applicable laws and with due consideration to individual privacy.
2. Appropriately stored to ensure protection from loss and unauthorised access.
3. Accessible, transparent, and available to be used and shared whilst respecting matters of identity, privacy and confidentiality.

4. Managed in accordance with records management and archiving requirements.
5. In adherence to the principles that govern:
 - a. revenue collection, recording, expenditure;
 - b. credit card usage and limits;
 - c. procurement of services and goods including motor vehicles and travel; and
 - d. management of Assets.

4.1 Fundraising and philanthropy

Federation University Australia Foundation manages funds and monies received from bequests, donations, endowments, and gifts. Funds raised provide scholarship opportunities for students.

All philanthropic gifts received by the University, including its Teaching Schools, Research Office, Administration Portfolios, the Federation University Australia Foundation (the Foundation) and subsidiary entities are protected, accurately and processed in a timely manner, whilst documented and reported accurately in accordance with *Financial Management Act 1994*.

Supporting documents

- Federation University Australia Foundation Revenue Collection Procedure GC1914
- Federation University Australia Foundation Scholarships Procedure GC1960
- [Philanthropic Donations Procedure](#) GC2012

4.2 Procurement of goods and services

Federation University maintains consistent procurement practices across the University. Effective internal control procedures must be implemented and maintained by the University to ensure all procurement activities of the University are authorised in accordance with the delegated authorities and business requirements within a documented procurement framework.

Procurement to purchasing activities within the University includes ethical, compliance and financial obligations, as well as opportunities for financial savings, improved sustainability, service and quality.

Supporting documents

- [Finance Governance Procedural Manual - Procurement of Goods & Services, Corporate Purchasing Card, Travel, and Motor Vehicles](#) OG2080
- [Delegations - Contract, Financial, Staffing and Tender Procedure](#) OG1829

4.3 Use of Electronic Signature

Federation University has established an effective business process for utilising electronic signatures on both incoming and outgoing documents. This approach not only enhances operational efficiency but also ensures the University meets legislative and regulatory compliance standards.

Federation University does not endorse any specific commercial products that enable collection of electronic signatures.

The following table identifies the types of e-signatures supported by the university.

	Method	Steps
More robust	Graphical representation of a signature, such as a signature directly onto an electronic device.	One of these methods is likely to be robust for most purposes.
	Encrypted codes (issuing a unique code or encryption key to a user and then requiring the user to enter the code when signing the relevant document by ticking a box and/or entering their name).	
	Use of an electronic signature program or software	
	Ticking a box in an online form.	A combination of one or more of these methods may be required for a higher risk application. A single method may be sufficient for lower risk applications, or for actions occurring within a secure system.
	Sending or receiving an email if it's from an email address that is verified to belong to a particular person	
	Completing a step in an electronic workflow	
	An ink-based signature that is scanned into an electronic format and cut and pasted into a document	
	A telephone conversation	These methods are not sufficiently robust for application to contractual requirements and must not be used.
Least robust	A text message	

Adapted from: Factsheet - Using electronic signatures, Victorian Government

Restrictions and Exceptions to electronic signature usage

All contracts and agreements can be signed electronically, except for the following:

1. Legal proceedings
2. Documents requiring Personal service
3. Wills or Powers of Attorney
4. Documents requiring witnessing (unless witness signing is built in to electronic signature software workflow)

Contracts over the value of \$100,000 must be signed in person unless the Legal Office otherwise advises, to ensure adequate review process had been covered and risk is appropriately managed.

If you have any questions or concerns about which documents can, and cannot, be signed using an electronic signature, please contact the Legal Office via ServiceNow.

5. Project management

A University wide approach is taken to Project Management, applied across all University Portfolios for all University staff and Associates to comply with, regardless of monetary value and size.

All projects that are considered to be of 'Medium' or above risk level, at an institutional level via Audit and Risk Committee, as defined by University Risk Management documents, are to comply with this policy.

The Project Management Framework is based on the universal principles of the PMBOK® guide and PRINCE-II® methodology, in conjunction with the University's policy, procedures and guidelines. This framework for Project Management is based on the generic process flows of Initiating, Planning, Executing, Controlling & Monitoring and Closing IPECC.

The objectives of the University's project management process are to ensure that:

- Projects are effectively managed within the limitations of Scope, Quality, Resources (Time and Budget) and Risk.
- Appropriate governance and control are established.
- Communication, quality and risk management plans are developed and executed throughout a project's life.
- Appropriate authorisation and acceptance are established throughout the life of a project.
- Stakeholder communication is inclusive; and,
- Post implementation reviews are conducted and actively used to improve the conduct of project delivery.

In order to achieve these objectives, the elements of this Project Management Policy must be included in the initiation, planning, and execution of all major projects.

Supporting documents

- [Project Management Framework Procedure](#) PF1614

Legislative context

- [Australian Qualifications Framework AQF](#)
- [Australian Skills Quality Authority ASQA – Standards for RTO's 2015](#)
- [Commonwealth Register of Institutions and Courses for Overseas Students \(CRICOS\)](#)
- [Higher Education & Skills Group HESG](#)
- [Higher Education Standards Framework \(Threshold Standards\) 2021](#)
- [Standards for Registered Training Organisations \(RTOs\) 2015](#)
- [Victorian Registration & Qualifications Authority VRQA](#)
- Other Federal and State Legislation and Regulations as appropriate
- [Federation University Australia Act 2010](#) and Amendments
- [Education and Training Reform Act 2006](#) (ETRA-TAFE Victoria)
- [Financial Management Act 1994](#) (Standing Directions of the Minister for Finance)
- [Fringe Benefits Tax Assessment Act 1986 \(Commonwealth\)](#)
- [Public Administration Act 2004](#)
- [Freedom of Information Act 1982](#)
- [Building Act 1993](#) and [Building Code of Australia](#)
- [Land Acquisition and Compensation Act 1986 \(Vic\)](#)
- [Victorian Government Land Transactions Policy and Guidelines](#)
- [Education Services for Overseas Students Act 2000](#)
- [Higher Education Support Act 2003](#)
- [Tertiary Education Quality & Standards Agency Act 2011](#)
- [Occupational Health & Safety Act 2004 & Regulations](#)
- [Audit Act 1994](#)
- [Environmental Protection Act 2017 and subordinate legislation](#)
- [Trustee Act 1958](#)

- [Road Safety Act 1986](#)
- [VET Student Loans Act 2016](#)

Modification history

Original issue	Current version	Review date	Details
06 December, 2022	06 December, 2022	06 December, 2027	Consolidation of existing Policy Documents to a revised overarching Policy for Information Management that includes a living suite of support documents to better reflect currency and best practice of University Operations.

Policy governance responsibilities and communications

All documentation within the Governance Framework will be communicated throughout the University including, but not limited to, internal communications such as FedNews, VC Comms, staff emails, staff inductions and documentation distribution.

Policy Document owners are responsible for identifying and managing information-related risks and issues for their assigned information entities and for escalating these to Approval Authorities accordingly. Owners of Policy documents are accountable for their respective procedures, manuals and work instructions in alignment with their position descriptions and Performance Review Development Plan (PRDP) cycles.

Implementation of Section 4 is the responsibility of the Chief Financial Officer.

Implementation of Sections 1, 2, 3 and 5 are the responsibility of the Chief Operations Officer.

Glossary