

### 3.2.1. \* Academic Calendar Update #21221

Council is asked to NOTE the update on  
the Academic Calendar, report #21221.

For Noting

Presented by Brigid Heywood

<b>Authority</b>	OPEN	<b>Date</b>	30 July 2021
<b>Report Ref</b>	#21221	<b>Item No</b>	3.2.1
<b>Proposer</b>	Prof Mike Wilmore, Deputy Vice-Chancellor		
<b>Developed with</b>	Prof Steve Warburton, Executive Principal, Education Futures		
<b>Authorised by</b>	Prof Brigid Heywood, Vice-Chancellor & CEO		

## #21221 – Academic Calendar Project Update

### Report Purpose & Origin

Purpose	<p>The purpose of this report is to brief Council on the current Academic Calendar Project, particularly work completed to date and the schedule for completion.</p> <p>Development and consultation work is underway and a recommendation around a potential calendar change for 2023 will be provided to Council for consideration by the end of 2021.</p>
Origin	Request from the Vice-Chancellor for Council briefing
Governance focus	<a href="#">TEQSA Act 2011</a> Ref: 7. Representation, Information and Information Management: 7.2.1 and 7.2.2a (Information for Prospective and Current Students).
Accountability	Deputy Vice Chancellor

### Resolution

Council is asked to NOTE the Academic Calendar Project Update #21221.

### Executive Summary

The academic calendar determines and orders the way UNE organises the business of learning, teaching and assessment, and the cycle of managerial and governance activity.

As a result of extensive and ongoing adverse feedback from staff and students, the Vice-Chancellor commissioned (January 2021) a project to review the current calendar and explore potential designs for a new calendar. This report and attached presentation provides an update on this project.

It is anticipated that a new calendar design will address issues relating to the management of leave, the retention and progress of students across trimesters and across academic years, improve student satisfaction, support the new academic workload model and allow UNE to secure value from the new Course Design Framework and planned ‘growth’ initiatives. The conceptual development work is now complete; this being informed by a wide collaborative consultation process. A summary of this is presented here (Appendix 1).

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Wider consultation around the proposed options and stakeholder engagement will now progress, alongside a critical business analysis of the models and their benefits. This work will be reported back to Council both directly (Q4 2021) and through Academic Board.

## Key Information

The attached presentation (Appendix 1) outlines:

- the current academic calendar;
- key problems and impacts with the current calendar;
- potential opportunities involved in a calendar change;
- the work completed to date;
- comparison of (and key features of) the draft calendar models developed; and
- a timeline for upcoming project stages around further consultation on a preferred model and consideration of risks, impacts, implementation issues and opportunities.

## Future Fit Alignment

## Contribution of this initiative

Goal 1: Crafting, adapting and supporting learning journeys that are distinctive in their accessibility and flexibility.

A new calendar will support students in designing a course of study that best meets their personal circumstances and goals.

Goal 2: Creating and sharing knowledge to make a difference locally, regionally and globally.

A new calendar will:

- support staff to provide quality teaching, student engagement and professional experience that gives students the knowledge and skills required for the world of work.
- support delivery of digital-first, globally recognised higher education, and excellence in the application of technology, scholarship, teaching and research practices.

Goal 3: Committing to environmental, social and financial resilience for the University, our staff, our students and our communities.

A new calendar will support financially sustainable operations, and organisational agility and resilience.

## Financials (provide financial workings if more detailed estimates are available)

Item	Estimate
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Cost to develop and implement project	A budget of \$118,000 has been approved for the development stage. Implementation costings are being developed.
Annual cost to maintain	No additional annual maintenance cost.
Estimated annual cost savings	There is expected to be savings from a potential reduction in teaching hours and leave liability. These savings are being quantified.
Estimated additional annual revenue	It is expected that a new calendar with support growth in student load and an improvement in student progression and retention, increasing annual revenue. This revenue impact is being quantified.
In Budget/requires Budget allocation	Implementation costs will require additional budget allocation. The costs are being quantified.

**Key Risks (refer [UNE Risk Matrix \(Reading Room\)](#) and Action Guidance below)**

<b>Risks</b>	<b>Consequences and possible mitigation</b>	<b>Risk Action Guidance</b>
Delivery Risk: New calendar is not finalised or approved	Existing issues remain.  Project ongoing to guide development and approval.	Medium
Benefits Risk: New calendar does not address identified issues, does not support growth and/or is not widely supported due to inadequate development or consultation	New calendar continues or exacerbates existing issues.  Proposed calendar to be assessed against principles, identified issues and implementation requirements	Medium
Organisational Complexity: Implementation of new calendar results in significant additional work for staff who are already heavily involved in other reform initiatives	Implementation is inadequate resulting in limited benefits realisation  Early and regular consultation and consideration of workload impacts	Medium

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Cost: TBD		
Strategic Importance: New calendar does not support implementation of Future Fit strategy	New calendar hinders achievement of strategic objectives  Proposed calendar models to be assessed against agreed principles that reflect Future Fit.	Medium

### Management Action Guidance

	Rare	Unlikely	Possible	Likely	Probable
Severe	MEDIUM Report to SET (within 6 months)	HIGH Report to SET and Council (within 3 months)	HIGH Report to SET and Council (within 3 months)	EXTREME Report to SET and Council (within 1 month)	EXTREME Report to SET and Council (within 1 month)
Major	MEDIUM Report to SET (within 6 months)	MEDIUM Report to SET (within 6 months)	HIGH Report to SET and Council (within 3 months)	HIGH Report to SET and Council (within 3 months)	EXTREME Report to SET and Council (within 1 month)
Moderate	LOW No action required	MEDIUM Report to SET (within 6 months)	MEDIUM Report to SET (within 6 months)	HIGH Report to SET and Council (within 3 months)	HIGH Report to SET and Council (within 3 months)
Minor	LOW No action required	LOW No action required	LOW No action required	MEDIUM Report to SET (within 6 months)	MEDIUM Report to SET (within 6 months)
Insignificant	VERY LOW No action required	VERY LOW No action required	VERY LOW No action required	LOW No action required	LOW No action required

## Appendices / Supporting Documentation

### Appendix 1 – Academic Calendar – update to Council – July 2021



# Academic Calendar 2021

Update to Council – July 2021

30/7/2021



**Future fit**  
**your life**

TRIM: D21/133057



# Acknowledgement of Country

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The University of New England respects and acknowledges that its people, courses and facilities are built on land, and surrounded by a sense of belonging, both ancient and contemporary, of the world's oldest living culture. In doing so, UNE values and respects Indigenous knowledge systems as a vital part of the knowledge capital of Australia.

We recognise the strength, resilience and capacity of the Aboriginal community and pay our respects to the Elders past, present and future.



Pictured: **Warwick Keen** "Always was, always will be" 2008  
Gifted by the artist to UNE in 2008

# Academic Calendar

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- The academic calendar determines and orders the way UNE organises the business of learning, teaching and assessment, and the cycle of managerial and governance activity.
- The academic calendar is reflected each year through the setting of principal dates specifying the key events such as trimester timings, breaks and census and results release dates.
- The majority of universities in Australia currently run a trimester system (of varying lengths) with a number of institutions now actively reassessing the form and function of their calendar.



In early 2021, the Vice-Chancellor commissioned a project to review the current calendar and explore potential designs for a new calendar to support a distinctive Future Fit approach to UNE's rhythm of business.

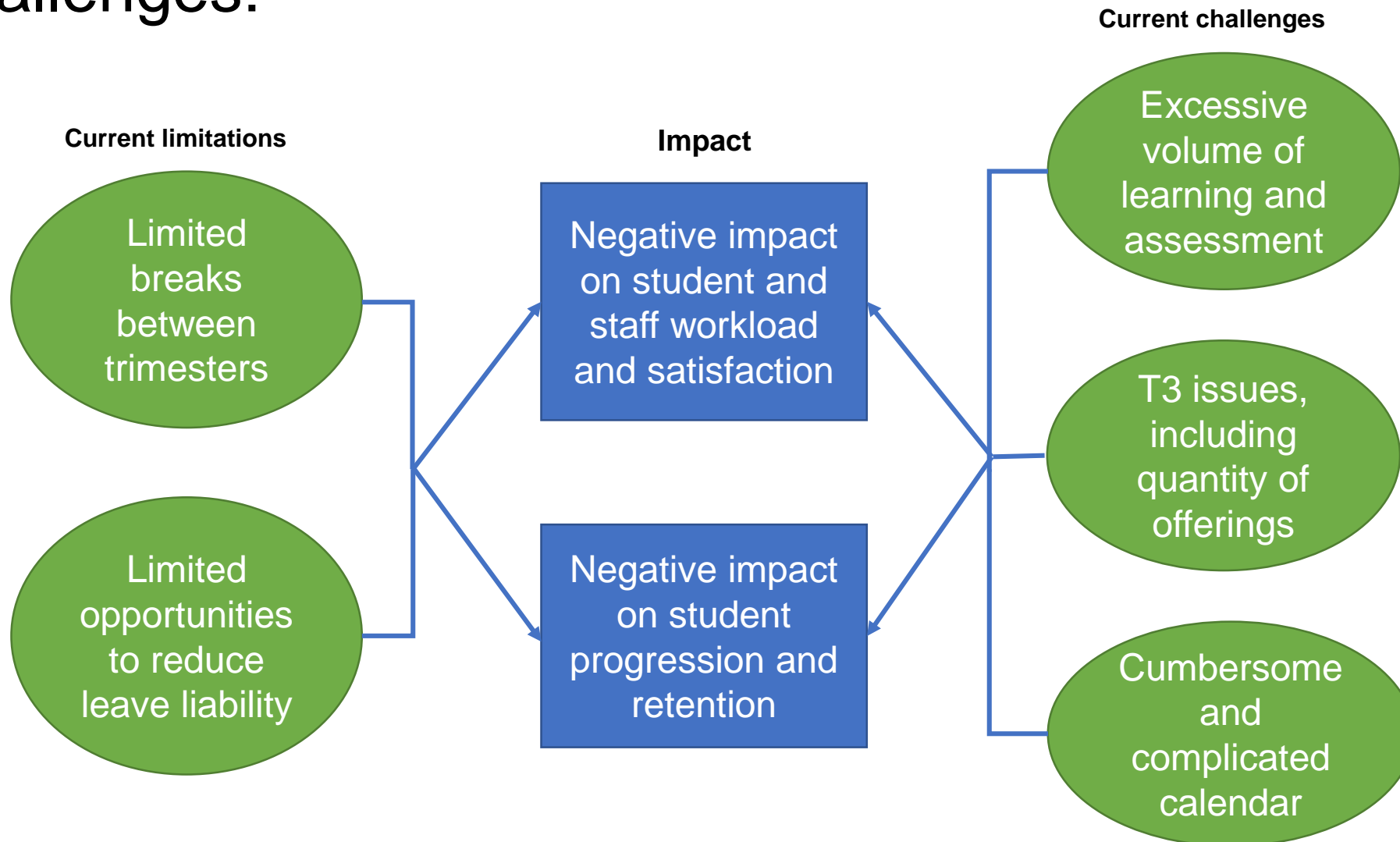


# UNE: Current Academic Calendar

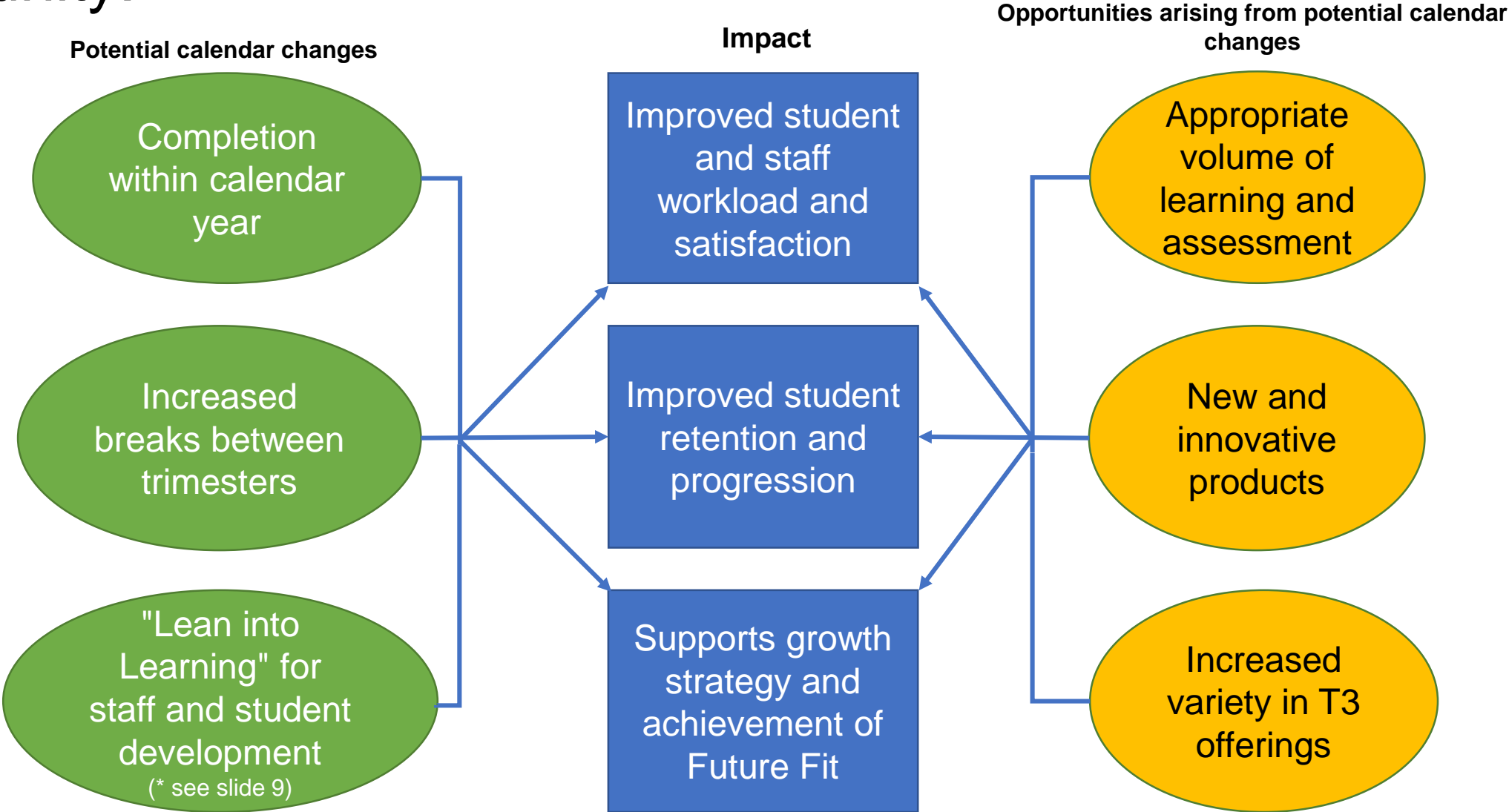
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- UNE's current academic calendar consists of **23** different teaching periods with three main trimesters:
  - Trimester 1: 15 weeks inclusive of 11 weeks teaching, 2 weeks intensive schools and a 2 week assessment period
  - Trimester 2: 15 weeks inclusive of 11 weeks teaching, 2 weeks intensive schools and a 2 week assessment period
  - Trimester 3: 14 weeks inclusion of 11 weeks teaching, the University Christmas Break and a 2 week assessment period
- Over the past few years, the academic calendar has been a consistent area of complaint and often confusion for staff and students

# Key Challenges:



# Opportunity:



# Work completed to date

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- Identification of issues with the current calendar.
- Benchmarking of UNE's calendar to other academic calendars in the sector.
- Creation of assessment criteria to guide development and analysis of new calendar models.
- Development of draft calendar models for consideration (see next slide).
- Initial consideration of implementation options and costs.
- Initial, targeted consultation on the draft models with around 30 key individuals/business areas/student groups.

# Key assumptions/features of draft calendar models

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- Maintain trimester system: to continue to offer flexibility in timeframes to study and options to manage workload to UNE's main student cohort (full or part time workers)
- Complete academic calendar in calendar year: to address identified issues around progression and staff and student workload
- Larger breaks between trimesters: to address identified issues around progression and staff and student workload
- Elimination of examination periods: increased flexibility in exam scheduling from online exams means a dedicated exam period is no longer required
- "Lean into Learning": a dedicated time at the beginning of each year for student and staff skills development, planning, research, leave taking etc.

# Comparison of potential calendar options

Current
T3 (contd. from year before) (5 weeks)
<b>Exams</b> (2 weeks)
<b>Trimester 1</b> (11 weeks with 2 weeks mid trimester break)
<b>Exams</b> (3 weeks)
1 week break
<b>Trimester 2</b> (11 weeks with 2 weeks mid trimester break)
<b>Exams</b> (3 weeks)
1 week break
<b>Trimester 3</b> (6 weeks and continues into next year)
4 weeks end of year break

10.10.10
<b>Lean into Learning</b> (6 weeks)
<b>Trimester 1</b> (10 weeks with 2 weeks mid trimester break)
3 weeks break
<b>Trimester 2</b> (10 weeks with 2 weeks mid trimester break)
3 weeks break
<b>Trimester 3</b> (10 weeks with 2 weeks mid trimester break)
4 weeks end of year break

11.11.11
<b>Lean into Learning</b> (6 weeks)
<b>Trimester 1</b> (11 weeks with 1 week mid trimester break)
3 weeks break
<b>Trimester 2</b> (11 weeks with 1 week mid trimester break)
3 weeks break
<b>Trimester 3</b> (11 weeks with 1 week mid trimester break)
4 weeks end of year break

12.12.12
<b>Lean into Learning</b> (6 weeks)
<b>Trimester 1</b> (12 weeks with 1 week mid trimester break)
2 weeks break
<b>Trimester 2</b> (12 weeks with 1 week mid trimester break)
2 weeks break
<b>Trimester 3</b> (12 weeks with 1 week mid trimester break)
3 weeks end of year break

12.12.6
<b>Lean into Learning</b> (6 weeks)
<b>Trimester 1</b> (12 weeks with 2 weeks mid trimester break)
3 weeks break
<b>Trimester 2</b> (12 weeks with 2 weeks mid trimester break)
3 weeks break
<b>Trimester 3</b> (6 weeks with no mid trimester break)
6 weeks end of year break

# Choosing a model for further consideration

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- All potential options address issues with the current calendar and support achievement of **some** of the Future Fit objectives.
- However, the options **differ in the extent of benefits realisation** in the key areas of student and staff workload and student progression and growth.
- Initial development and primary consultation work has indicated that the **preferred model** for further consideration is the **12.12.6** calendar.



# 12:12:6 model benefits

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Benefits Area	Description
Staff and student workload and satisfaction	<p>Two twelve-week trimesters provides:</p> <ul style="list-style-type: none"><li>• sufficient time for learning and assessment, including accredited courses and intensive schools; and</li><li>• increased breaks to encourage rest and leave taking, while expanding time for completion of administrative tasks and unit development/preparation.</li></ul>
Retention, progression and growth (improving financial resilience)	<p>A six-week trimester provides opportunities for:</p> <ul style="list-style-type: none"><li>• intensive progression;</li><li>• catch up units from T1 or T2;</li><li>• new and innovative products (and variety in T3 offerings) to support growth; and</li><li>• parallel block periods that offer products that complement the main course of study.</li></ul>

# Other models comparison

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Model	Key Issues
10.10.10	<ul style="list-style-type: none"><li>• Provides insufficient time for learning and assessment for majority of courses (particularly in accredited courses).</li><li>• May have potentially negative impacts on current issues of student and staff workload and student retention and progression.</li></ul>
11.11.11	<ul style="list-style-type: none"><li>• Provides sufficient time for learning and assessment for some courses but is unlikely to be sufficient in some accredited courses and units with intensive schools.</li><li>• May have negligible impact on current issues of student and staff workload and student retention and progression.</li></ul>
12.12.12	<ul style="list-style-type: none"><li>• While 12 week periods for learning and assessment are considered sufficient for all courses, an expansion to 36 weeks of teaching in a year means there are inadequate breaks between trimesters and insufficient time for intensive schools.</li><li>• May have potentially negative impacts on current issues of student and staff workload and student retention and progression.</li></ul>

# Next stage – further development and consultation

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- Inform key stakeholders and UNE community around the 12.12.6 model and gather information on the impacts, risks, implementation issues and opportunities.



# Timeline

- The **critical date** for a decision regarding the academic calendar for 2023 is the **end of 2021**.
  - The key implementation activity of a calendar change will be redesigning courses and units to meet any changed length in teaching period and several months is required for this work.
- An outline of key project activities and timeframes is below. An update will be provided to Council at its September meeting.

2021				2022				2023			
Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Initial research and development of project documentation	Development of draft calendar models and initial, targeted consultation	Conducting of market research, formal consultation and consideration of impacts/risks.	Finalisation of recommendation on calendar change and consideration by approval bodies (Academic Board, Vice-Chancellor's Committee and Council)	Implementation – unit and course redesign				Commencement of new calendar			

  
Current stage

## 4. RELATED BUSINESS REPORTS

## 4.1. Council Policies #21074

Council is asked to NOTE the report on  
Council Policies, report #21074.

For Noting

Presented by Gabrielle Price

<b>Authority</b>	COUNCIL OPEN	<b>Date</b>	30 July 2021
<b>Report Ref</b>	#21074	<b>Item No</b>	4.1
<b>Proposer</b>	Mrs Gabrielle Price, Director Governance and University Secretary		
<b>Developed with</b>	Acting Head Records, Policy & Governance		
<b>Authorised by</b>	Prof Brigid Heywood, Vice-Chancellor & CEO		

## #21074 – Council Policies

### Report Purpose & Origin

Purpose	To provide Council with an opportunity to review and approve governance policies.
Origin	Standing item
Governance focus	<a href="#">Council Policy</a> : Establish policies and procedural principles for the University consistent with legal requirements and community expectations. <a href="#">TEQSA Act 2011</a> Ref: 6. Governance and Accountability: 6.1 (Corporate Governance).
Accountability	UNE Council

### Resolution

Council is asked to

- 1) NOTE the report on Council Policies, #21074.
- 2) APPROVE the following policies:
  - a. Proposed Governance Integrity and Standards Principles;
  - b. Proposed UNE Governance Framework Guidelines; and
  - c. Proposed University Seal and Signing Documents Guidelines
- 3) NOTE the following draft policies for information which are provided in the Convene 'Council Policy Review Room'
  - a. Governance
    - i. Draft UNE Delegations Framework Guidelines; and
    - ii. Draft Conflicts of Interest or Duty Guidelines
  - b. Academic Freedom and Freedom of Speech
    - i. Draft Code of Conduct;
    - ii. Draft Freedom of Speech Principles and Academic Freedom Statement; and
    - iii. Draft Freedom of Speech and Academic Freedom Guidelines

### Executive Summary

This paper provides an update for the schedule for review and approval of governance policies, and includes a number of proposed policies for Council approval. These policies have been considered by management and subject to consultation with key internal stakeholders.

A number of other government policies are being provided to Council Committees and will be brought to Council for approval via those Committees. This includes for example

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**Via Audit and Risk Committee:**

- the Risk Management Guidelines,
- Public Interest Disclosure and Whistleblower Guidelines
- Audit and Risk Committee Terms of Reference/Charter.

**Via Remuneration Committee of Council**

- the complaints process for staff on Common Law contracts
- Vice-Chancellor Functions.

The approvals route to Council is noted in #21074 Attachment 1.

The documents presented for NOTING are currently in consultation processes and will return to Council for APPROVAL at the September meeting.

**Future Fit Alignment**

**Contribution of this initiative**

Goal 3: Committing to environmental, social and financial resilience for the University, our staff, our students and our communities.

Policy changes aim to support delegations and clearer understanding of governance functions and activities at UNE. Simplifying policy advice and use of a single landing page to direct persons to relevant policies is a key goal to support organisational efficiency.

**Key Risks (refer to Action Guidance below)**

<b>Risks</b>	<b>Consequences and possible mitigation</b>	<b>Risk Action Guidance</b>
Delivery Risk: Risk of changes to multiple policies not being understood and accepted by staff	Change to new policies will be supported by communications self-help induction materials and direct in person communications/team meeting guides etc.	Medium



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Report title	Council Policies	Report Ref	#21074

### Management Action Guidance

	Rare	Unlikely	Possible	Likely	Probable
Severe	MEDIUM Report to SET (within 6 months)	HIGH Report to SET and Council (within 3 months)	HIGH Report to SET and Council (within 3 months)	EXTREME Report to SET and Council (within 1 month)	EXTREME Report to SET and Council (within 1 month)
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Minor	LOW No action required	LOW No action required	LOW No action required	MEDIUM Report to SET (within 6 months)	MEDIUM Report to SET (within 6 months)
Insignificant	VERY LOW No action required	VERY LOW No action required	VERY LOW No action required	LOW No action required	LOW No action required

### Appendices / Supporting Documentation

- #21074 Attachment 1 – Update re Governance Policy Review and Timing
- #21074 Attachment 2 – Governance Integrity and Standards – Principles PROPOSED for approval
- #21074 Attachment 3 – UNE Governance Framework Guidelines PROPOSED for approval
- #21074 Attachment 4 – Use of the University Seal and Signing Documents Guidelines PROPOSED for approval

Please refer to the Council Policy Review Room on Convene for the following policies for feedback

- #21074 Draft UNE Delegations Framework Guidelines (for information)
- #21074 Draft Academic Quality Assurance Guidelines (for information)
- #21074 Draft Conflicts of Interest or Duty Guidelines (for information)
- #21074 Draft Code of Conduct
- #21074 Draft Freedom of Speech Principles and Academic Freedom Statement
- #21074 Draft Freedom of Speech and Academic Freedom Guidelines

#21074 Attachment 1 – Update re Governance Policy Review and Timing

Table 1 – Published Governance Policies

Policy Element/Purpose	Replaces	Key Benefits/Changes	Associated Information (to new policy)	Approval	Update to #21073 report
<p><b>1. UNE Council Charter</b></p> <p>Outlines the role of Council and management, the processes to support the discharge of council member duties and monitor performance of the peak governance body</p>	<ul style="list-style-type: none"> <li>• Appointment of the Chancellor and Deputy Chancellor Rule</li> <li>• Authority Retained by Council Rule</li> <li>• Code of Ethics for University of New England Council</li> <li>• Constitution of Council Rule</li> <li>• Power and Authority of the Chancellor and/or the Deputy Chancellor Policy</li> <li>• Role and Function of Council Policy</li> <li>• University Secretary Rule</li> <li>• Appointment of Acting Vice-Chancellor Rule</li> </ul>	<ul style="list-style-type: none"> <li>• Outlines the Council’s Code of Ethics and links this code to the University’s values</li> <li>• Simplifies 8 policies into 1 Charter plus 3 annexures</li> </ul>	<ul style="list-style-type: none"> <li>• Annexures – 1 to 3</li> <li>• Terms of Reference of Council Committees</li> </ul>	<b>Published</b>	
<p><b>2. Privacy Management Plan</b></p> <p>Outlines the plans UNE has in place to support the</p>	<ul style="list-style-type: none"> <li>• Privacy Management Rule</li> </ul>	<ul style="list-style-type: none"> <li>• Provides contemporary privacy guidance</li> </ul>	Privacy Management Toolkit (templates etc)	<b>Published</b>	

**#21074 Attachment 1 – Update re Governance Policy Review and Timing**

Policy Element/Purpose	Replaces	Key Benefits/Changes	Associated Information (to new policy)	Approval	Update to #21073 report
rights of persons to privacy of information.		<ul style="list-style-type: none"> <li>Covers in more detail the principles and approach at UNE</li> <li>Supports users to better implement or 'live' privacy principles at UNE.</li> </ul>			
<p><b>3. Controlled Entity Rule and Guidelines</b></p> <p>Outlines UNE's control relationship with its Controlled Entities</p>	<ul style="list-style-type: none"> <li>Controlled Entity Rules</li> <li>Controlled Entity Guidelines</li> </ul>	<ul style="list-style-type: none"> <li>Combines 2 existing policies into 1</li> <li>Includes specific section on Related Party Transactions for both Controlled Entities and UNE</li> </ul>	Related Party Transactions templates/practices	<b>Published</b>	
<p><b>4. Freedom of Speech Principles and Academic Freedom Statement</b></p> <p>Identifies Academic Freedom and Freedom of Speech as fundamental UNE values</p>	<ul style="list-style-type: none"> <li>Intellectual Freedom Rule</li> </ul>	<ul style="list-style-type: none"> <li>Aligns UNE with Model Code</li> </ul>	<ul style="list-style-type: none"> <li>Freedom of Speech and Academic Freedom Guidelines</li> </ul>	<b>Published</b>	<b>Under review in response to the Walker Review of Response to Model Code, and will return to Council for approval in September.</b>

**#21074 Attachment 1 – Update re Governance Policy Review and Timing**

**Table 2 – Governance Policies For Review at June Council Committees and approval July Council meeting**

<b>Policy Element/Purpose</b>	<b>Replaces</b>	<b>Key Benefits/Changes</b>	<b>Associated Information (to new policy)</b>	<b>Approval</b>	<b>Update to #21073</b>
<b>1. Risk Management Guidelines</b>	<ul style="list-style-type: none"> <li>Corporate Risk Management Rule</li> <li>Corporate Risk Framework</li> </ul>	<ul style="list-style-type: none"> <li>Aims to better describe the value add of risk and the principles of how UNE supports the implementation of risk across the institution</li> </ul>	Corporate Risk Framework + Templates and Guides to undertaking and reporting risk assessments	June Audit and Risk Endorsement – then Council in July	To July Council through Audit and Risk
<b>2. Public Interest Disclosure and Whistleblower Guidelines</b>	<ul style="list-style-type: none"> <li>Public Interest Disclosure Procedures</li> <li>Public Interest Disclosure Rule</li> </ul>	<ul style="list-style-type: none"> <li>Combines 2 existing policies into 1</li> <li>Enables the new whistleblower activities</li> </ul>	Internal forms supporting the process	June Audit and Risk Endorsement – then Council in July	To July Council through Audit and Risk
<b>3. UNE Delegations Framework Guidelines</b>  Outlines how functions and delegations are assigned (and key roles and governance terminology relevant to the exercise of delegations at UNE)	<ul style="list-style-type: none"> <li>Financial Delegations Rule</li> <li>University Seal and Signing Documents Rule</li> <li>Council Documents Rule</li> <li>Authority Retained by Council Rule</li> </ul>	<ul style="list-style-type: none"> <li>New policy (fills a current gap)</li> <li>Outlines principles for use of delegations (concepts of due diligence and accountability)</li> <li>Confirms terms associated with decision making</li> <li>Proposes (for discussion and agreement!) the role of governance bodies vs management committees and SE authority</li> <li>Provides guidance on how the delegations schedules will be kept up-to-date when policies and positions are changed.</li> </ul>	Delegations Schedules	<del>June Audit and Risk Endorsement – then Council in July</del>	Currently in University wide consultation. Will come to Council in September through Audit and Risk Committee. Draft provided for noting to July Council
<b>4. Conflict of Interest and</b>	<ul style="list-style-type: none"> <li>Conflicts of Interest Policy</li> </ul>	<ul style="list-style-type: none"> <li>Combines two policies into 1</li> </ul>	None	<del>June Audit and Risk Endorsement – then Council in July</del>	Currently in University wide consultation. Will come to Council in

**#21074 Attachment 1 – Update re Governance Policy Review and Timing**

<b>Policy Element/Purpose</b>	<b>Replaces</b>	<b>Key Benefits/Changes</b>	<b>Associated Information (to new policy)</b>	<b>Approval</b>	<b>Update to #21073</b>
<p><b>Duty Guidelines</b></p> <p>Outlines how UNE supports integrity in governance and decision making via disclosure and management of Conflicts of Interest</p>	<ul style="list-style-type: none"> <li>Conflicts of Interest Procedures</li> </ul>	<ul style="list-style-type: none"> <li>Provides a decision framework to help persons consider potential conflicts</li> </ul>			September through Audit and Risk Committee. Draft provided for noting to July Council
<p><b>5. Grievance Process for Common Law Contract Staff</b></p>	New	<ul style="list-style-type: none"> <li>Provides clear grievance process for staff on common law contracts and where the grievance falls outside current policy processes</li> </ul>		Remuneration Committee of Council	Draft provided for noting to July Council. Currently in consultation and feedback from UNE Legal. Will return to Council for approval in September through Remuneration Committee
<p><b>6. Code of Conduct (TBC)</b></p> <p>Updated to reflect academic freedom as core value and expectation</p>	<ul style="list-style-type: none"> <li>Code of Conduct</li> </ul>	<ul style="list-style-type: none"> <li>Updated to reflect Academic Freedom Working Group feedback and further discussions</li> </ul>	<ul style="list-style-type: none"> <li>Freedom of Speech Principles and Academic Freedom Statement</li> <li>Freedom of Speech and Academic Freedom Guidelines</li> </ul>	TBC* –Academic Board June and July Council	Draft provided for noting to July Council. Consultation- wide consultation open, then to August Joint Consultative Committee and endorsement by Academic Board

*\*Timing may be delayed as is dependent on timing of Academic Board endorsement and JCC feedback.*

**Table 3 – Governance Policies For Review and Approval at July Council Meeting**

#21074 Attachment 1 – Update re Governance Policy Review and Timing

Policy Element/Purpose	Replaces	Key Benefits/Changes	Associated Information (to new policy)	Approval	Update to #21073
<p><b>1. Governance Integrity and Standards Principles</b></p> <p>Sets out the principles for governance at UNE</p>	<p>New</p>	<ul style="list-style-type: none"> <li>Provides principles of governance for all University Representatives.</li> <li>Focus on principles and expectation of behaviour is intended to support and drive a positive governance culture where roles and responsibilities are understood.</li> </ul>	<p>None</p>	<p>July Council</p>	<p>For approval July Council</p>
<p><b>2. UNE Governance Framework Guidelines</b></p> <p>Describes the UNE Governance Framework</p>	<ul style="list-style-type: none"> <li>UNE Governance Chart Guideline</li> <li>UNE Governance Framework</li> </ul>	<p>Changes include:</p> <ul style="list-style-type: none"> <li>Governance framework is expanded to include academic quality assurance and other areas of governance oversight (safety/information governance etc) that aligns to the delegations and functions of governance bodies (Council Committees and Academic Board). In effect it aims to be more comprehensive</li> <li>Governance Chart is now visible within the Framework.</li> <li>Introduced a Governance model (R.I Tricker) to help illustrate that good governance requires focus on future/external factors as well as inward or and past compliance outcomes.</li> <li>Simplifies and amalgamates two policies into 1</li> </ul>	<p>None</p>	<p>July Council</p>	<p>For Approval July Council</p>

**#21074 Attachment 1 – Update re Governance Policy Review and Timing**

Policy Element/Purpose	Replaces	Key Benefits/Changes	Associated Information (to new policy)	Approval	Update to #21073
<p><b>3. Vice-Chancellor &amp; CEO and Management Guidelines</b></p> <p>Outlines the key functions of the Vice-Chancellor and the supporting management structures that support the operations of the University</p>	<ul style="list-style-type: none"> <li>Functions of the Vice-Chancellor Rule</li> </ul>	<ul style="list-style-type: none"> <li>No significant changes</li> <li>Provides clarity on the functions which are assigned to the Vice-Chancellor and CEO</li> </ul>	<ul style="list-style-type: none"> <li>ToRs for management committees</li> </ul>	<p>July Council</p>	<p>Via Remuneration Committee of Council</p>
<p><b>4. Use of the University Seal Rule</b></p>	<ul style="list-style-type: none"> <li>Existing Rule</li> </ul>	<ul style="list-style-type: none"> <li>Updates for clarity and efficiency in signing of documents including Deeds</li> </ul>		<p>July Council</p>	<p>For approval July Council University Seal and Document Signing Guidelines</p>

**#21074 Attachment 1 – Update re Governance Policy Review and Timing**

**Table 4 – Governance Policies For Review and Approval at August Committee members and/or September Council Meeting**

<b>Policy Element/Purpose</b>	<b>Replaces</b>	<b>Key Benefits/Changes</b>	<b>Associated Information (to new policy)</b>	<b>Approval</b>	<b>Update to #21073</b>
<p><b>1. Governance One Page</b></p> <p>Landing page outlining UNE Governance principles and indicating relevant policies within the group.</p>	New	<ul style="list-style-type: none"> <li>Provides a ready reference to the governance policies at UNE.</li> <li>Helps with navigation and helps the reader to understand how different policies relate to each other.</li> </ul>	Links to all other policies within this group.	September Council	
<p><b>2. Academic Quality Assurance Guidelines</b></p> <p>Outlines each of the varied academic quality assurance processes for University</p>	<ul style="list-style-type: none"> <li>Academic Quality Assurance Rule</li> <li>Quality Assurance Procedures for Courses and Units (Coursework)</li> <li>School Monitoring and Review Procedures</li> </ul>	<ul style="list-style-type: none"> <li>Combines 3 or more policies into 1</li> <li>Covers all levels of academic quality assurance – from institutional level (e.g. reregistration; to research integrity, coursework and unit monitoring and monitoring student outcomes).</li> </ul>	Review Templates/Toolkits	Academic Board and September Council	Draft for noting to July Council
<p><b>3. Policy and Compliance Guidelines</b></p> <p>Outlines how UNE’s compliance and policy frameworks supports a compliance culture and achievement of</p>	<ul style="list-style-type: none"> <li>Compliance Rule</li> <li>Compliance Procedures</li> <li>UNE Governance - Policy Framework Procedures</li> </ul>	<ul style="list-style-type: none"> <li>Combines three policies into 1;</li> <li>Explains the link between legislative compliance and obligations and policy development</li> </ul>	None	September Council	



#21074 Attachment 1 – Update re Governance Policy Review and Timing

Policy Element/Purpose	Replaces	Key Benefits/Changes	Associated Information (to new policy)	Approval	Update to #21073
consistent practice across UNE					
<b>4. Information Governance and Records Management Guidelines</b>	<ul style="list-style-type: none"> <li>Records Management Rule</li> <li>Records Management Procedures</li> </ul>	<ul style="list-style-type: none"> <li>Combines two policies into 1</li> <li>Updates current policy to reflect current standards</li> <li>Introduces Information Governance – and recognition of records and other key information as ‘University Assets’</li> </ul>	Links to key Record keeping Standards for Retention and Disposal	September Council	
<b>5. Contracts and Commercial Activities Guidelines</b>	<ul style="list-style-type: none"> <li>Commercial Activities Rule</li> <li>Memorandums of Understanding (MOUs)</li> </ul>	<ul style="list-style-type: none"> <li>Fills a current gap in policies which guides contract management generally.</li> <li>Simplifies the current commercial activities guidance – with emphasis on performance and reporting</li> <li>Combines two policies in 1</li> </ul>	Legal Templates	Audit and Risk Committee August and September Council	
<b>6. Fraud and Corruption Prevention Guidelines</b>	<ul style="list-style-type: none"> <li>Fraud and Corruption Control Plan</li> <li>Fraud and Corruption Prevention Rule</li> </ul>	<ul style="list-style-type: none"> <li>Streamlines 2 current policies into 1</li> <li>Focuses on principles</li> </ul>	Extended glossary of types of fraud and corruption	Audit and Risk Committee August and September Council	
<b>7. Right to Information Guidelines</b>  Outlines UNE’s commitment to disclosure and how right for information requests are supported at UNE.	<b>New</b>	<ul style="list-style-type: none"> <li>Provides policy guidance on right of access to information</li> <li>Outlines how UNE is supporting appropriate disclosure of information</li> </ul>		<i>VC Approved Policy Council</i>	

# Governance Integrity and Standards - Principles

## Section 1 - Overview and Scope

- (1) Governance, integrity and standards ensures high standards of professional conduct in corporate and academic governance activities, establish the professional practice, and ethical standards for UNE Representatives. The central objective of these principles is to achieve good governance outcomes that fostering and enhancing the reputation of University of New England ('UNE').
- (2) UNE's Governance Integrity and Standards **Principles** and associated **Guidelines**:
  - a. set the core principles, values and behaviours that guide good governance practice;
  - b. define key governance structures, roles and responsibilities;
  - c. define effective decision-making practices;
  - d. define delegations of authorities at UNE for corporate and academic governance and for management;
  - e. define the expectations of people undertaking governance activities at UNE and the support provided by UNE;
  - f. define the standard of practice expected in the conduct of specific governance functions at UNE; and
  - g. define objectives of good governance practices, the monitoring and measurement of effectiveness and enforcement.
- (3) These Principles and associated Guidelines apply to all **corporate** and **academic governance** activities undertaken by **University Representatives**. This includes strategic planning, financial management, decision-making, communication, performance monitoring and oversight, academic quality assurance, compliance, and fiduciary duties at UNE.

## Section 2 - Principles

**Principle 1: We act with integrity and professional conduct to foster a positive, purpose driven, ethical and responsible governance culture.**

- (4) To support this principle the University will:
  - a. provide induction for members of governance bodies and committees, to promote understanding of their role, specific responsibilities and duties and relevant policies, legislation, regulations, codes and other standards relating to performance of specific functions;
  - b. maintain governance protocols (for meetings and other governance activities) that uphold UNE's core values and ethical practice; and
  - c. ensure the membership of governing bodies and committee's collectively have the skills and expertise commensurate with the required functions.
  - d. drive a compliance culture by monitoring University practices to confirm governance functions are undertaken in a way which is consistent with UNE's values and community standards.
- (5) To observe this principle University Representatives will:
  - a. act in the best interest of the University as a whole, consider UNE's purpose and objectives (UNE Act) (refer **Governance Framework Guidelines; Code of Conduct**);
  - b. act with integrity by declaring, avoiding or appropriately managing potential conflicts of interest or duty (refer **Conflict of Interest Guidelines**);
  - c. only use their position or governance information for a proper purpose (refer **Conflict of Interest Guidelines**);
  - d. act ethically and respectfully, consistent with relevant Codes of Conduct and UNE values (refer **Code of Conduct, Code of Conduct for Research** and **student policies**); and

- e. be informed and active participants in governance activities;
- f. be diligent and accountable in decision making, including keeping appropriate records and complying with policies and UNE's legal and professional obligations (refer **Governance Framework Guidelines**);

**Principle 2: We value participation, equity, inclusion and diversity to ensure the membership of governing bodies and committees collectively represent the diversity of UNE representative and students.**

- (6) To support this principle the University will:
  - a. encourage inclusive participation in governance and provide access to opportunities;
  - b. respect **diversity** and **intersectionality**, encouraging contribution of all perspectives and talents to improve UNE;
  - c. encourage and provide channels for raising questions and issues on governance matters, their resolution, and provide protection and support persons who raise questions or issues.
- (7) To observe this principle University Representatives will:
  - a. observe protocols for governance activities and meetings;
  - b. be respectful of others and value diversity (refer **Code of Conduct**);
  - c. respect freedom of speech and academic freedom, constructive peer engagement and review (refer **Freedom of Speech Principles and Academic Freedom Statement, Freedom of Speech and Academic Freedom Guidelines, Code of Conduct**; and
  - d. maintaining confidentiality when required.

**Principle 3: Our governance roles and responsibilities have clear accountability and oversight to make effective and efficient decisions.**

- (8) To support this principle, the University will:
  - a. maintain governance processes and advisory bodies that support the regular review, monitoring of performance and progression of strategic priorities, to ensure UNE continues to deliver on its objectives and fiduciary responsibilities, and provides value to its staff, students and community;
  - b. ensure the governance structure maintains a clear separation of powers and responsibilities, defined in the **Council Charter**, terms of reference of Council Committees and of the Academic Board and its Committees, and of the functions of the Vice-Chancellor and CEO and management;
  - c. establish and promote the understanding of UNE's governance systems via the **UNE Governance Framework Guidelines**;
  - d. maintain **Delegations Framework Guidelines & Schedules** to define key roles and responsibilities and approval pathways for specific corporate and academic activities. The **Delegations Framework** will defines the authorities retained by the Council and those delegated to management to support the effective operation of the University; and
  - e. provide support for the implementation and application of delegations or approval pathways through the Director Governance and University Secretary.
- (9) To observe this principle University Representatives will:
  - a. understand the responsibilities required in their role defined in the **UNE Governance Framework**;
  - b. comply the **UNE Governance Framework** for planning, approval, review and enforcement;
  - c. comply with the University's **Delegations Framework** for authorisation and approval;
  - d. respect the directions of Council, Academic Board, Vice-Chancellor & CEO and management;

- e. communicate using official UNE channels; and
- f. complete training, seek advice or assistance when required.

**Principle 4: We are transparent and responsive, committed to ensuring quality and lawful standards of practice in of our Governance functions whilst furthering UNE's objectives.**

(10) To support this principle, the University and its Representatives will:

- a. use decision making frameworks and processes for managing strategic and operational risk (refer **Risk Management Guidelines**);
- b. use decision making frameworks and processes for managing strategic and operational planning (refer **Organisation Capacity and Planning Principles and Guidelines**);
- c. engage, consulting and communicating with stakeholders during future planning and decision making;
- d. support effective leadership through open, transparent and evidence-based reporting by management and governing bodies to Council and its Committees and the Academic Board and its Committees (refer **University Council Charter**, **Vice-Chancellor and CEO Functions Guidelines** and associated Terms of References)
- e. drive a compliance culture by monitoring University practices to confirm governance functions comply with relevant laws and regulations (refer **Fraud and Corruption Prevention Control Guidelines**)
- f. maintain a University policy framework to support quality and consistency in operational practice and the achievement of desired academic outcomes (refer **Policy and Compliance Guidelines**);
- g. ensure a culture of quality, integrity and innovation, by effective monitoring of the quality of academic programs, student outcomes and integrity of University practices, operational performance and the commercial and ancillary functions of the University and its controlled entities (refer **Academic Quality Assurance Guidelines**, **Contracts and Commercial Activities Guidelines**, **Controlled Entity Guidelines**)
- h. evaluate the performance of governance frameworks and systems, and the effective discharge of authorities using standardise measures and methods (including self-reviews, independent reviews and internal audits); and
- i. address areas of governance non-performance and promote opportunities for continuous improvement.

### Section 3 – Authority and Compliance

(11) The Council, pursuant to Section 29 of the **University of New England Act**, makes these principles which have the effect of a **Rule**.

(12) The **Policy Owner** and **Policy Administrator** for these Principles is the Director Governance and University Secretary, who is authorised to make minor administrative updates to these guidelines, and to publish as associated documents any tool that will assist with compliance.

(13) UNE Representatives must observe these Guidelines in relation to university matters.

(14) These principles are consistent with the **University of New England Act 1993** ('UNE Act') and the **UNE By-Law 2005**. They also consider the **Voluntary Code of Best Practice for the Governance of Australian Public Universities**, the guidance notes for Academic and Corporate Governance provided by the **Tertiary Education and Quality Standards Agency (TEQSA)** and **the ASX Corporate Governance Principles**.

(15) These Principles operate as and from the **Effective Date**. Previous rules and policies (see Table 1 below) related to these governance matters are to be replaced and have no further operation.

(16) Previous policies and rules are replaced by these Principles and associated guidelines.

### Section 4 – Quality Assurance

(17) The Council will report annually on governance matters in the University's Annual Report.

**FOR APPROVAL**

(18) Each University governing body (including Council and its Committees, and Academic Board and its Committees) will conduct annual self-reviews and periodic (generally every three years) external reviews of their culture, performance and compliance, as part of a commitment to continuous improvement, quality and integrity.

(19) UNE Council, Vice-Chancellor and Academic Board will receive appropriate assurance, at least annually and more frequently if required, that:

- a. the values and goals of the University are being promoted, supported and upheld;
- b. the strategic priorities of the University are being implemented and are used for operational decision making, including;
  - i. alignment with strategic initiatives
  - ii. strategic outcomes of proposals for new initiatives
  - iii. suggested re-prioritisation
- c. the integrity and quality of the University's academic programs and delivery of student outcomes, identifying any areas of concern and actions in progress to address those concerns;
- d. the University is complying with its obligations, legislation and regulations, identifying and explain areas of partial or non-compliance, and actions in progress to address those concerns;
- e. the University is meeting the institutional expectations outlined in the **Governance Standards and Integrity Principles** and associated guidelines to achieve an effective governance system at UNE; and
- f. the external engagement activities of the University including UNE Commercial Activities and its UNE Controlled Entities continue to contribute to the performance of the University without exposing the University to an inappropriate level of risk.

(20) The University will keep evidence of its governance activities including reporting, meeting minutes and resolutions, planning deliberations and decision-making in UNE's Recordkeeping Systems as defined in the **Records Management Guidelines**.

(21) University Representatives will be supported in their governance activities through:

- a. access to advice and support on governance matters via the Director Governance and University Secretary and UNE Legal Office, and other University areas as identified in relevant guidelines;
- b. access to detailed governance guidance via the associated guidelines to these principles.

## **Section 5 - Definitions [principles specific]**

(22) Governance is the system [of structures, rules, relationships and processes] by which the University of New England (UNE) is directed, and by which management is held accountable. UNE's governance system enables and enhances the capacity of the University to meet its object and deliver its principle functions and achieve its strategic priorities.

(23) Corporate Governance is the framework of structures, rules, relationships, systems and processes of an entity through which corporate directions and targets are set authority is delegated organisational performance is monitored risks are identified, managed and controlled organisational accountability is maintained and corporate culture is developed and influenced.

(24) Academic Governance is the framework of policies, structures, relationships, systems, and processes that collectively provide leadership to and oversight of a higher education provider's academic activities (teaching, learning and scholarship, and research and research training if applicable) at an institutional level.

# UNE Governance Framework Guidelines

## Section 1 – Overview and Scope

- (1) Governance is the way an organisation monitors its activity and performance to ensure that it is true to its objectives whilst meeting relevant laws, regulations and stakeholder expectations. At the University of New England ('UNE') the Governance Framework provides the structure for ensuring these expectations are met.
- (2) These UNE Governance Framework Guidelines describe how the **Governance Integrity and Standards Principles** are applied to the governance functions and activities of UNE to achieve good governance outcomes.
- (3) These Guidelines apply to all **corporate** and **academic governance** activities undertaken by **University Representatives** and students. This includes strategic planning, risk management, financial management, decision-making, communication, performance monitoring and oversight, academic quality assurance, compliance, and fiduciary duties at UNE.
- (4) Within these guidelines:
  - a. Part A summaries UNE’s Governance Framework components;
  - b. Part B defines the Framework Governance Authority;
  - c. Part C defines the UNE Governance Structures – the hierarchy of governance bodies and positions;
  - d. Part D defines the key Governance Relationships – the interaction between governance bodies;
  - e. Part E defines the objectives of the University’s Governance Model and Functions; and
  - f. Part F defines the purpose and scope of each Governance Functions and the associated Guideline.

## Part A – UNE Governance Framework Overview

- (5) The UNE Governance Framework defines the rules, relationships, systems and processes to ensure the University to meet its object and functions consistent with the UNE Act 1993. The Framework has four key components – Authority, Structures, Relationships and Functions (described in Table 1)

Table 1 – UNE Governance Framework components

Component	Overview
1. Governance Authority	The authority for UNE’s governance framework is defined in: <ul style="list-style-type: none"> <li>• UNE Act 1993 and UNE By-Law</li> <li>• UNE policies and agreements (policies, resolutions, agreements, and other directives made by the Council or an approved delegated management authority)</li> </ul>

<p>2. Governance Structures</p>	<p>UNE governance structures have delegated authority for oversight and decision-making. Key structures include:</p> <ul style="list-style-type: none"> <li>• Council (and Council Committees)</li> <li>• Academic Board (and Academic Board Committees)</li> <li>• Vice-Chancellor and CEO (and VC approved Management Committees)</li> </ul> <p>The University's <b>Organisational Chart</b> describes the University hierarchy and key functional areas.</p>
<p>3. Governance Relationships</p>	<p>Governance roles, responsibilities and reporting relationships are defined in:</p> <ul style="list-style-type: none"> <li>• Charter or Terms of Reference of a governance body or committee;</li> <li>• UNE Policies and in UNE's Delegations of Authority Guidelines;</li> <li>• position descriptions for specific roles at the University.</li> </ul>
<p>4. Governance Functions</p>	<p>Governance functions are responsible for the control and support of UNE governance activities:</p> <ul style="list-style-type: none"> <li>• leadership, strategy and communication</li> <li>• decision making and strategic risk management</li> <li>• policy and compliance</li> <li>• people and culture development</li> <li>• safety and environs</li> <li>• academic quality assurance</li> <li>• financial oversight</li> <li>• information governance and reporting</li> <li>• performance monitoring and review</li> <li>• commercial activities controlled entities</li> </ul>

## Part B – Governance Authority

- (6) The [University of New England Act 1993](#), the [University of New England By-law 2005](#), and the [Universities Governing Bodies \(University of New England\) Order 2016](#) are the instruments that provide the foundation for governance at UNE.
- a. The University of New England (the 'University' or 'UNE') is a not-for-profit body corporate established by an Act of legislation in the State of NSW (the University of New England Act (NSW) 1993 or 'UNE Act 1993').
  - b. The **UNE Act 1993**:
    - i. establishes the University Council as the peak governance body with authority over the affairs of the University and to determine the delegations of the University;

- ii. establishes the Academic Board as the peak University academic governance body; and
  - iii. identifies that the key stakeholders to be considered in governance at UNE are the **members** of the University. University members include University Council members, **Convocation** members, and academic staff, professional staff, graduates and students.
- (7) The University, through authority of the University Council delegations, make rules or policy, directions or establish agreements to define the roles and responsibilities for the activities of UNE;
- a. Rules – are UNE’s ordinance, guidance, directives or resolutions made under delegations of authority to support the organisation to operate to the desired standard and in compliance with regulations and obligations. Rules are described in policy **Principles and Guidelines**;
  - b. The **Delegations Framework Guidelines** – define how authorities are assigned across roles and governance bodies; and
  - c. Agreements – include enterprise agreements, research or collaborative agreements or agreements relating to commercial activities (corporate and academic arrangements involving third parties).

## Part C - UNE Governance Structures

- (8) The University Council is the governing authority of the University with control and management of its affairs and concerns. To discharge those authorities the Council has established a governance structure where:
- a. The **University Council** is the peak governing body with overarching responsibility for corporate and academic governance;
  - b. The **Academic Board** has the delegated responsibility for academic governance and advise the Council and the Vice-Chancellor on matters affecting the quality and integrity of the University's academic programs;
  - c. The **Vice-Chancellor and Chief Executive Officer** has executive responsibility to oversee and allocate roles and responsibilities to University management and management committees; and
  - d. The **University Council** or the **Vice-Chancellor and CEO** has responsibility for the ~~oversight and performance monitoring~~ governance of controlled entities, commercial activities or other contractual agreements established to support the ancillary functions of the University.
- (9) **University representatives, students** and members of the University community, can participate in University governance and decision making through representation on governance bodies and committees, through informal and formal consultation, other feedback or suggestion channels.
- (10) The **UNE Governance Chart** details the hierarchy of the governance structure and bodies (Table 2 and Table 3). The UNE **Organisational Chart** details the relationship between the governance bodies and UNE organisational hierarchy and reporting lines.



Table 2 – UNE Governance Structure

UNE Stakeholders / Members / NSW & Federal Government Authorities				
UNE Council				
Council Committees	Academic Board	Controlled Entities	Vice-Chancellor & CEO	
	University Committees (Legislative/ Code based)		Senior Executive	Key Committees of the Vice-Chancellor
			Faculties	Departments

Table 3 – UNE Governance Structure, Bodies and Membership

Governance Structure	Governance Bodies / Membership
Council Committees	Audit and Risk Finance & Infrastructure Honorary Degrees, Titles & Tributes Innovation & Development Nominations Remuneration Standing Committee of Council Temporary or Occasional Committees
Academic Board	Academic Board Standing Committee Curriculum Research Teaching and Learning
Controlled Entities	ABRI UNE Foundation UNE Health UNE Life UNE Partnerships
University Committees (Legislative/ Code based)	Animal Ethics Human Research Ethics Joint Consultative Committee
Senior Executive	Vice-Chancellor & University's CEO Deputy Vice-Chancellor Deputy Vice-Chancellor (Research) Chief Financial Officer Chief Operating Officer Director Governance & University Secretary Executive Principal - Brand Partnerships and Business Development Executive Principal - Education Futures Executive Principal – Student Experience
Key Committees of the Vice-	Vice-Chancellors Committee (VCC)

Chancellor	Academic Portfolio Executive (APEC) Project Steering Committee UNE Safety/WHS Committees University Collections Committee <a href="#">Other Committees (Link)</a>
Faculties	Deans Associate & Deputy Deans Heads of Schools Academic Leaders Committees Faculty/Portfolio Education Faculty Research
Departments	Directors or Heads of Areas Managers/Supervisors

## Part D - Key Governance Relationships

- (11) UNE’s organisational culture is shaped by governance relationships and the effectiveness of the areas of the University working, communicates and interacting with UNE’s governing bodies.
- (12) These relations include roles, responsibilities, delegations of authority and expectations (of conduct, ethical behaviour, and purpose) of staff, students, other members of University community, contractors, visitors and the public.
- (13) Key University governance relationships, specific roles and responsibilities are defined in:
- a. The [UNE Act 1993](#);
  - b. Charters or Terms of Reference of each governance body or committee;
  - c. UNE policies, including UNE’s [Delegations Framework and Schedules](#) and [Conflict of Interest Guidelines](#);
  - d. Position descriptions for specific governance and leadership roles at the University;
  - e. Governance responsibilities within Commercial Activities or agreements involving the University; and
  - f. Constitutions or equivalent governance documents of Controlled Entities.
- (14) [University representatives](#), [students](#) and researchers contribute to the effectiveness of governance relationships by:
- a. Applying the [Governance Integrity and Standards Principles](#) and [UNE Identity Values and Goals Principles](#);
  - b. Adhering to the [Council Charter](#) Code of Ethics;
  - c. Adhering to the [Codes of Conduct](#);
  - d. Following meeting protocols;
  - e. Following policy for the governance committees membership; and
  - f. Applying the learnings from inductions, networking and professional development opportunities.

## Part E - Governance Model and Functions

(15) The UNE Governance Model (Table 4) defines the approach used by governance functions to ensure performance and compliance of the University against object and measures.

Table 4 – UNE Governance Model

	Compliance	Performance
<b>Outward looking</b>	Accountability: <ul style="list-style-type: none"> <li>• Stewardship of organisational object, functions and strategy</li> <li>• Responsibility for reporting on financial performance and organisational viability</li> <li>• Responsibility for compliance with regulatory obligations/standards</li> <li>• Reporting to external stakeholders regarding performance and risk</li> <li>• Ethical conduct and discharge of governance duties</li> </ul>	Strategy formulation: <ul style="list-style-type: none"> <li>• Understanding and responding to external and internal opportunities and risks (including stakeholder expectations)</li> <li>• Developing strategic plans and making strategic decisions to achieve organisational goals</li> <li>• Providing leadership and strategic vision for the organisation</li> <li>• Planning for long term financial viability</li> </ul>
<b>Inward looking</b>	Monitoring: <ul style="list-style-type: none"> <li>• Oversight of operational performance (benefits realised, control of organisational finances and risk)</li> <li>• Evidence that expected standards of practice are being followed (i.e., policy, codes of conduct, agreements, and compliance obligations, quality assurance)</li> <li>• Monitoring adherence to roles and responsibilities and delegated authorities</li> </ul>	Policy making (culture building): <ul style="list-style-type: none"> <li>• Setting expectations for consistent and effective standards of practice across organisational activities including financial, corporate, commercial and academic</li> <li>• Supporting processes for continuous improvement – training, professional development, succession planning, encouraging feedback and suggestions for change.</li> </ul>
	<b>Past and present focused</b>	<b>Future focused</b>

Model adapted from 'Corporate Governance Model' by Robert I. Tricker<sup>1</sup>

(16) Governance functions are responsible for the leadership of:

- a. Strategic decision making, planning and communication;
- b. Managing and anticipating change and risk;
- c. Developing and implementing policy, systems and processes;
- d. Monitoring performance and compliance;
- e. Providing accountability to stakeholders; and
- f. Building organisational culture.

(17) Governance functions establish and maintain frameworks to support the University, including:

- a. people and culture development;
- b. safety and physical environs;
- c. academic governance and quality assurance;
- d. financial governance; and
- e. information governance.

## Part F – Purpose and Scope of Governance Functions

### Planning and communication

(18) Planning and Communication functions support the university by providing the foundation for management and oversight, setting strategic direction and managing key stakeholder relationships.

**Table 5 – Planning and Communications Functions purpose and responsibilities**

Purpose	Responsibilities
<p>The planning governance function leads and determines the future focus of the University.</p>	<p>The approval of the University’s strategic priorities, business plan and budget UNE’s Council (refer <b>Council Charter</b>).</p> <p>The Council is supported in its determination of UNE’s strategic direction by the Vice-Chancellor and CEO and their consideration of the University Community and stakeholders.</p> <p>The University adopts a tiered approach to its planning to support University Representatives in actioning the University’s strategy:</p> <ul style="list-style-type: none"> <li>i. UNE Strategic Plan (approved by Council)</li> <li>ii. UNE Business Plan and Budget (approved by Council)</li> <li>ii. UNE Business Plan and Budget (approved by Council)</li> <li>iii. Other plans at portfolio, faculty and operational unit level (approved by Vice-Chancellor or relevant Senior Executive)</li> <li>iv. Individual performance plans (agreed by individuals and their managers).</li> </ul>
<p>The communication governance function supports understanding, and alignment with strategy by University Representatives.</p>	<p>Communication of decisions of the Council is via the Chancellor, or in their absence the Deputy Chancellor; and</p> <p>Focused communications to staff and stakeholders regarding the implementation and actioning of key strategic priorities to achieve desired outcomes, is led by the <b>Vice-Chancellor and CEO</b> and their Leadership team.</p> <p>Providing timely and balanced disclosure and reporting.</p> <p>Managing relationships and communication with University stakeholders.</p>

### Decision Making and Risk Management

- (19) The Decision Making and Risk Management functions support the University to ensure present and future focused decision are made that are informed, ethical and responsible, whilst recognising and manage risk.

**Table 6 – Decision Making and Risk Management Functions purpose and responsibilities**

Purpose	Responsibilities
<p>The decision making governance function provides frameworks for the internal and external integrity of corporate and academic activities.</p>	<p>Promoting professional and ethical decision making and conduct.</p> <p>Declaring and avoiding conflicts of interest (see <b>Conflicts of Interest Guidelines</b>).</p> <p>Having clear terms of reference, functional responsibilities and/or delegated authorities (see <b>Delegations Framework</b>).</p> <p>Making decisions considering the ‘whole of institution’ perspective and Involve stakeholders in decisions that affect them.</p> <p>Leveraging collective decision-making to consider diverse views and experiences, including providing students with the opportunity to participate in governance activities.</p> <p>Establishing effective meeting protocols.</p> <p>Ensuring decision making is informed, through provision of quality and transparent reporting, including an assessment of risks (see <b>Risk Management Framework</b>).</p>
<p>The risk management governance function provides frameworks for the recognising and managing corporate and academic risk and meeting internal and external obligations.</p>	<p>Implementing and supporting systems for the identification elimination, minimising, managing and monitoring of risks (see <b>Risk Management Framework</b>).</p> <p>Maintaining risk registers and plans, covering external, strategic, operational (including academic risks) or tactical (project) risk.</p> <p>Establish sound risk audit practice and monitoring corporate risk controls.</p> <p>Fostering a risk aware culture.</p>

**Policy and Compliance**

- (20) The Policy and Compliance function supports the University to meet its internal and external compliance obligations applying consistent and effective standards of practice.

**Table 7 – Policy and Compliance Functions purpose and responsibilities**

Purpose	Responsibilities
<p>The policy governance function provides contextual guidance on UNE’s rules and standard of conduct for corporate and academic activities.</p>	<p>Providing and maintaining a thematic, university-wide approach to the management of policy approved by the Vice-Chancellor &amp; CEO. (see <b>Policy &amp; Compliance Guidelines</b>)</p> <p>Ensuring policy is developed, implemented and managed in transparent and effective way.</p> <p>Providing access and support for <b>University Representatives</b> and <b>students</b> to meet their obligations.</p>

	<p>Keeping records of policy effectiveness and compliance.</p> <p>Reporting to the Vice-Chancellor and CEO and to the Audit and Risk Committee of Council regarding policy status and or issues.</p>
<p>The compliance governance function provides contextual guidance on UNE’s legal (laws, regulations, standards) obligations and responsibilities for corporate and academic activities.</p>	<p>Defining and implementing the compliance methodology and obligations for UNE, and the design of business processes and systems (see Policy and Compliance Guidelines).</p> <p>Maintaining the University’s Compliance Register.</p> <p>Coordinating and monitoring compliance responsibilities across the University’s operations.</p> <p>Providing access and support for University Representatives and students to meet their compliance obligations.</p> <p>Reporting to the Vice-Chancellor and CEO and to the Audit and Risk Committee of Council regarding compliance status and or issues.</p>

**Performance Monitoring and Review**

- (21) The Performance Monitoring and Review function supports the University to meet its internal and external performance and quality assurance obligations.
- a. Inform future planning and design activities (including changes to governance frameworks or controls and new organisational strategies or operational practices); and
  - b. Foster a culture of quality focused performance evaluation, institutional learning, continuous improvement and growth.

**Table 8 – Performance Monitoring and Review Functions purpose and responsibilities**

Purpose	Responsibilities
<p>The performance monitoring and review functions provides assurance on the effectiveness of both corporate and academic activities.</p>	<p>Planning and undertaking scheduled monitoring and reporting of both corporate and academic quality.</p> <p>Planning and undertaking scheduled monitoring and reporting of both the student and staff experience.</p> <p>Monitoring and reporting of the:</p> <ul style="list-style-type: none"> <li>• Progress of UNE key plans and project activities;</li> <li>• Controlled Entity performance (to Council);</li> <li>• Commercial activity and contract performance (see Contract and Commercial Activity Guidelines).</li> </ul> <p>Conducting annual self-reviews and periodic external reviews of Governance Bodies and University Committees to ensure consistency with the body’s terms of reference.</p> <p>Completing Internal Audit Review and control monitoring (see Audit and Risk Charter and Terms of Reference; Gifts and Benefits Policy; Fraud and Control Guidelines; Public Interest &amp; Whistleblower Disclosure Guidelines).</p>

**People and Culture**

- (22) The People and Culture function supports the University to meet its internal and external responsibilities for student and staff, aligned with the University’s values and culture.
- a. Inform future workforce planning and design activities; and
  - b. Foster a healthy culture, consistent and in compliant with the law and community expectations.

**Table 9 – People and Culture Functions purpose and responsibilities**

Purpose	Responsibilities
<p>The people and culture functions provide guidance and assurance that our people practices are fair and responsible.</p>	<p>Monitoring of organisational workplace agreements relating to employment conditions and practices.</p> <p>Developing, implementing and monitoring workforce strategy and plans, including:</p> <ul style="list-style-type: none"> <li>• Inductions, training, professional development, and self-improvement opportunities.</li> <li>• Capability frameworks and succession planning.</li> </ul> <p>Establishing, monitoring and maintaining policies and practices supporting staff and students including:</p> <ul style="list-style-type: none"> <li>• <b>UNE Identity Values and Goals</b> policies for both staff and students.</li> <li>• <b>Organisational Development</b> policies for staff.</li> <li>• <b>Student Journey</b> policies for students and staff.</li> </ul>

**Safety and environs**

- (23) The Safety and Environs function supports the University to meet its internal and external responsibilities for a safe physical environment for student and staff.

**Table 10 – Safety and Environs Functions purpose and responsibilities**

Purpose	Responsibilities
<p>The safety and environs functions provide guidance and assurance that our physical environment can meet the needs of current operations and future strategy.</p>	<p>Developing, implementing and monitoring policies, practices and frameworks for workplace safety, the effective control of physical facilities and environments (see <b>UNE SAFE</b> and, <b>UNE Environment, Facilities and Spaces</b>).</p> <p>Identifying and managing risks to ensure safety and wellbeing across UNE campus facilities and activities conducted offsite including:</p> <ul style="list-style-type: none"> <li>• Implementing specific practices for dealing with hazardous materials in the workplace or within teaching or research activities.</li> <li>• Operating the network of WHS Safety Representatives, First Aid Officers, Wardens and Work Health Safety</li> </ul>

	<p>(WHS) committees.</p> <p>Creating a safety culture by communicating and supporting safe practices to prevent incidents (including via the UNE Safe App etc).</p> <p>Maintaining effective system for capturing and managing WHS incidents and responding to hazards.</p> <p>Reporting on WHS Incidents and hazards to meet internal and external obligations.</p> <p>Identifying and implementing the WHS and relevant building codes/standards for:</p> <ul style="list-style-type: none"> <li>• The design of digital and physical environments.</li> <li>• The operation of digital and physical environments.</li> </ul>
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**Academic Quality Assurance Functions**

(24) The Academic Quality Assurance function supports the University to meet its internal and external obligations for the quality of teaching and learning, research, scholarship and student support activities of the University.

**Table 11 – Academic Quality Assurance Functions purpose and responsibilities**

Purpose	Responsibilities
<p>The academic quality assurance functions provide guidance and assurance that our academic activities meet the needs of current operations and future strategy.</p>	<p>Supporting University Representatives to meet the academic quality expectations of their roles through the implementation of policies for the <b>Student Journey</b> and <b>Scholarship</b> (see <b>Academic Quality Assurance Guidelines</b>).</p> <p>Conducting internal review and monitoring consistent with UNE’s self-accreditation status, including:</p> <ul style="list-style-type: none"> <li>• Units, courses, research training and academic areas (e.g., Faculties and Schools and academic governance bodies).</li> <li>• Institutional Academic Quality Benchmarking measures including of academic measures compared to internal and external examples.</li> <li>• External providers, including third parties supporting UNE’s academic program delivery, providers of work integrated learning for UNE students, reviews of articulation arrangements etc.</li> <li>• Internal student feedback mechanisms and areas of issue/grievances, and the outcomes of student surveys (both internal only and as part of broader sector surveys).</li> </ul> <p>Planning and managing accreditation and registration, including:</p> <ul style="list-style-type: none"> <li>• The external accreditation of academic programs/courses, including professional accreditation and/or benchmarking or peer review processes.</li> </ul>



	<ul style="list-style-type: none"> <li>• Institutional Re-registration processes (via TEQSA, CRICOS, and others);</li> </ul> <p>Participation in Research Excellence and Impact Reviews by the Australian Research Council.</p> <p>Monitoring of research quality and integrity practices including human and animal ethics committee reviews, research examination processes, peer and publication review and/or assessment of research against grant requirements and millstones.</p> <p>Providing opportunities for student input in decision making both directly (representation and participation in governance bodies) and indirectly (via feedback, surveys and other advisory roles).</p>
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**Financial Governance Functions**

(25) The Financial Governance function supports the University to meet its internal and external obligations for integrity in financial management and reporting.

**Table 12 – Financial Governance Functions purpose and responsibilities**

Purpose	Responsibilities
<p>The financial governance functions provide oversight and stewardship of the financial resources to meet the needs of current operations and future strategy.</p>	<p>Supporting University Representatives to meet the financial governance expectations of their roles through the implementation of systems, policies and processes for the planning and budgeting process (See <b>Organisational Capability, Delegations Framework</b> and <b>Controlled Entity Guidelines</b>).</p> <p>Conducting annual planning of financial commitments of the University via the UNE Business Plan and Budget.</p> <p>Monitoring key performance indicators and reporting on UNE financial performance against business plans, budgets and target financial measures.</p> <p>Ensuring compliance with financial management and reporting standards.</p> <p>Preparing public financial statements for UNE and the Consolidated Group of Entities (i.e., Controlled Entities).</p> <p>Ensuring independent external assurance of the accuracy of financial management and reporting.</p>

**Information Governance Functions**

(26) The Information Governance function supports the University to meet its internal and external obligations for consistency in the management of information, including data, to support the University objective.

**Table 13 – Information Governance Functions purpose and responsibilities**

Purpose	Responsibilities
<p>The financial governance</p>	<p>Supporting University Representatives by implementing</p>

<p>functions provide oversight and stewardship of the information assets to meet the needs of current operations and future strategy.</p>	<p>processes, roles, controls and metrics that support the protection, reliability, security and use of the University's information assets. (See <b>Cyber and Information Security Rule, Privacy Management Plan, Records Management Guidelines, Policy &amp; Compliance Guidelines, UNE Copyright Management Guidelines, Research Data Management Guidelines</b>).</p> <p>Implementing and supporting systems for the identification elimination, minimising, managing and monitoring of information risks.</p> <p>Planning and reviewing of the University's information assets to meet strategic goals.</p> <p>Ensuring the University meets compliance and regulatory requirements, including monitoring and reporting.</p> <p>Monitoring and reporting on the quality, access and lifecycle of information assets.</p>
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### Section 3 – Authority and Compliance

- (27) The Council, pursuant to Section 29 of the **University of New England Act**, makes these principles which have the effect of a **Rule**.
- (28) The **Policy Owner** and **Policy Administrator** for these Principles is the Director Governance and University Secretary, who is authorised to make minor administrative updates to these guidelines, and to publish as associated documents any tool that will assist with compliance.
- (29) UNE Representatives must observe these Guidelines in relation to University matters.
- (30) These Guidelines operate as and from the Effective Date.
- (31) Previous rules and policies relating to **UNE Governance Framework** are replaced and have no further operation from the **Effective Date** of this new Guideline.

### Section 2 – Quality Assurance

- (32) Quality Assurance regarding the effective implementation of the UNE Governance Framework will be supported by:
  - a. Assurance by the **Director Governance and University Secretary** to the **Vice-Chancellor and CEO** and through them to the **Council**, at least annually that:
    - i. the authorities and delegations of the University are being adhered to;
    - ii. that the membership of the University's governing bodies and committees, meet the skill and diversity expectations and are members are supported in their roles;
    - iii. that governance relationships are being supported and managed consistent with the values and protocols expressed; and
    - iv. that each of the functions of governance are working effectively and that issues or areas for continuous improvement are being followed up/actioned.

# University Seal and Signing Documents Guidelines

## Section 1 - Overview

- (1) Deeds, agreements and other documents to which the University is a party may only be signed by persons authorised to do so on behalf of the University.
- (2) The University has a Seal as an identifier of its status as a body corporate.
  - a. The Seal may be used to authenticate documents in the University's name and is most commonly affixed to Testamurs and other award certificates, but may also be affixed to deeds, agreements and to other such documents as Council may determine.
  - b. Affixing the Seal to a document indicates that the document is formal, or in the case of a deed, creates legally binding relations.

## Section 2 - Scope

- (3) These Guidelines define the custody of the University Seal, signatories to the Seal, the documents to which the Seal is to be affixed, and how the use of the Seal is recorded.. These Guidelines are made pursuant to Section 29 of the [University of New England Act 1993](#) and Section 25 of the [UNE By-law](#).
- (4) For the purposes of Section 27 of the [University of New England Act 1993](#), where the Seal is affixed to a document in accordance with these Guidelines, it will be taken to have been affixed pursuant to a resolution of Council.
- (5) These Guidelines also determine the way in which persons may be authorised to sign deeds, agreements and other documents on behalf of the University.

## Section 3 - Policy

### University Seal

- (6) Pursuant to Section 27 of the [University of New England Act 1993](#) the Council directs that the Seal of the University be kept in a secure place at the direction of the Vice-Chancellor and CEO.
- (7) The Council appoints any two of the following officers:
  - a. Chancellor;
  - b. Deputy Chancellor;
  - c. Vice-Chancellor and CEO;
  - d. Deputy Vice-Chancellor;
  - e. Chief Operating Officer;
  - f. Chief Financial Officer;
  - g. Director Governance and University Secretary;
  - h. Chair Academic Board;
  - i. Deputy Vice-Chancellor Research; and
  - j. Director People and Culture (for employment separation deeds only)

to sign an attestation on a document to which the Seal of the University is affixed pursuant to a resolution of the Council.

- (8) By the authority of Section 27 of the [University of New England Act 1993](#), and subject to Clause 7, the

Council authorises the affixing of the Seal of the University to:

- a. Testamurs and other academic certificates issued to any person as evidence that an award has been conferred upon that person by the University;
  - b. Official messages of congratulations or greetings to educational institutions celebrating special occasions;
  - c. Documents which are required by law to have the Seal affixed;
  - d. Documents relating to the investment of University funds, including the acceptance of rights or bonus shares, applications for or redemption of shares or debenture stock; reassignment, surrender or maturity of life assurance policies under the Professorial Superannuation Scheme, and
  - e. Deeds, agreements and other documents to which the University is a party, which are required to be sealed by the direction of either the Vice-Chancellor and CEO or Director Legal Services; and
  - f. such other documents as Council determines.
- (9) The University Secretary will advise Council of the affixing of the Seal under Clause 8 at the next meeting of Council;
- (10) The University Secretary will keep a register of the use of the Seal of the University, recording for each occasion the Seal is used::
- a. the authority for affixing the Seal;
  - b. the nature of the document to which the Seal is affixed;
  - c. the date on which the Seal is affixed; and
  - d. the persons who signed the document.

## Signing of documents

(11) Deeds, agreements and other documents to which the University is a party may only be signed by persons who have delegated authority to do so on behalf of the University.

(12) A deed, agreement or other document may be executed by the University in accordance with Section 50 of the [Interpretation Act 1987 \(NSW\)](#). The Seal will only be affixed to a deed or agreement if required by the Vice Chancellor and CEO or Director Legal Services.

(13) In accordance with Section 50 of the [Interpretation Act 1987 \(NSW\)](#), and subject to clause (15), the Vice-Chancellor and CEO is the principal officer of the University and is authorised to sign deeds, agreements and other documents on behalf of the University. The Vice-Chancellor and CEO may delegate this authority to sign documents to other staff members and may place limits and conditions on such delegations, including pursuant to the [Financial Delegations Rule](#).

(14) Employment separation deeds are signed by two of the persons in clause (7) and one may be the Director People and Culture.

(15) In exercising the authority to sign deeds, agreements and other documents on behalf of the University, the Vice-Chancellor and CEO (and any staff members acting under his/her delegated authority) are directed by Council not to exceed the authority otherwise given by Council, including any limitations under:

- a. a specific approval or resolution of Council;
- b. the [Authority Retained by Council Rule](#); and
- c. the [Financial Delegations Rule](#).

(16) An authorised person in clause (7) will not sign a deed, agreement or other document where they have a Conflict of Interest.

## Section 4 - Definitions

Definitions- Words and phrases used in this document have the following meanings, unless the context requires otherwise:

(17) Conflict of Interest means a Conflict of Interest as defined in the [Conflicts of Interest Policy](#)

(18) Interpretation Act means the [Interpretation Act 1987](#) (NSW).

(19) UNE Act means the [University of New England Act 1993 \(NSW\)](#).

(20) UNE By-law means the [University of New England By-law 2005](#) (NSW).

(21) University means the University of New England.

PROPOSED

## Status and Details

<b>Status</b>	Current
<b>Effective Date</b>	Date published
<b>Review Date</b>	12 months
<b>Approval Authority</b>	Council
<b>Approval Date</b>	To be advised
<b>Expiry Date</b>	To Be Advised
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## Glossary Terms and Definitions

**"Testamur"** - The official certificate issued by the University to graduates when they have their award conferred. It is a legal document imprinted with the University Seal.

**"Council"** - Means the Council of the University of New England, being the governing body of the University.

**"Vice-Chancellor and CEO"** - Means the Vice-Chancellor and Chief Executive Officer of the University, with functions conferred or imposed upon him/her by or under Section 12 of the UNE Act.

# University Seal and Signing Documents ~~Rule~~

## Guidelines Section 1 - Overview

~~(1) Deeds, agreements and other documents to which the University is a party may only be signed by persons authorised to do so on behalf of the University.~~

(2) The University has a Seal as an identifier of its status as a body corporate.

a. -The Seal may be used to authenticate documents in the University's name and is most commonly affixed to Testamurs and other award certificates, but may also be affixed to deeds, agreements and to other such documents as Council may determine.

b. -Affixing the Seal to a document indicates that the document is formal, or in the case of a deed, creates legally binding relations.

~~(1) Deeds, agreements and other documents to which the University is a party may only be signed by persons authorised to do so on behalf of the University.~~

## Section 2 - Scope

~~(3) These is Guidelines ~~Rule~~ determines ~~defines~~ the custody of the University Seal, ~~the documents to which the Seal is to be affixed, the signatories to the Seal, the documents to which the Seal is to be affixed, and the how the use of the Seal is recorded.~~ recording of the use of the Seal. ~~This Rule~~ These Guidelines are ~~is~~ made pursuant to Section 29 of the [University of New England Act 1993](#) and Section 25 of the [UNE By-law](#).~~

~~(2)~~(4) -For the purposes of Section 27 of the [University of New England Act 1993](#), where the Seal is affixed to a document in accordance with ~~this Rule~~ these Guidelines, it will be taken to have been affixed pursuant to a resolution of Council.

~~(3)~~(5) ~~This Rule~~ These Guidelines also ~~determines~~ the way in which persons may be authorised to sign deeds, agreements and other documents on behalf of the University.

## Section 3 - Policy

### University Seal

~~(4)~~(6) ~~That~~ ~~p~~Pursuant to Section 27 of the [University of New England Act 1993](#) the Council directs that the ~~seal~~ Seal of the University be kept in a secure place at the direction of the ~~General Counsel~~ Vice-Chancellor and CEO.

(7) ~~That, pursuant to By-Law 5.2, I~~t the Council appoints any two of the following officers:

a. ~~the~~ Chancellor;

b. ~~,~~ Deputy Chancellor;

c. ~~-~~ Vice-Chancellor and ~~Chief Executive Officer~~ CEO; ~~the Chair of Academic Board or the Chief Legal and Governance Officer~~

d. Deputy Vice-Chancellor;

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- e. ~~-Chief Operating Officer;-~~
- f. ~~-Chief Financial Officer;-~~
- g. Director Governance and University Secretary;
- h. ~~-Chair Academic Board;-~~
- i. ~~-Deputy Vice-Chancellor Research; and~~
- j. ~~-Director People and Culture (for employment separation deeds only)~~

~~;~~to sign an attestation on a document to which the Seal of the University is affixed pursuant to a resolution of the Council.

~~(5)(8)~~ That byBy the authority of Section 27 of the [University of New England Act 1993](#), and subject to ~~paragraph Clause 76 above~~, the Council authorises the affixing of the Seal of the University to:

- a. Testamurs and other academic certificates issued to any person as evidence that an award has been conferred upon that person by the University;
- b. ~~official-Official~~ messages of congratulations or greetings to educational institutions celebrating special occasions;
- c. ~~documents-Documents~~ which are required by law to have the ~~seal-Seal~~ affixed;
- d. ~~documents-Documents~~ relating to the investment of University funds, including the acceptance of rights or bonus shares, applications for or redemption of shares or debenture stock; ~~reassignment, surrender or maturity of life assurance policies under the Professorial Superannuation Scheme, and~~
- e. Deeds, agreements and other documents to which the University is a party, ~~and to which the Vice-Chancellor and Chief Executive Officer or General Counsel has approved the affixing of the Seal~~ which are required to be sealed by the direction of either the Vice-Chancellor and CEO or ~~General Counsel~~ Director Legal Services; and-
- f. such other documents as Council determines.

~~(6)(9)~~ That theThe University Secretary will advise Council of the affixing of the Seal under Clause 8 ~~affixing of the Seal in accordance with paragraph 7 shall be advised to~~ at the next meeting of Council;

~~(7)(10)~~ That theThe University Secretary ~~shall~~ will keep a register of the use of the ~~seal-Seal~~ of the University, recording for each occasion the Seal is used; ~~and shall record in the register, in relation to each occasion on which the Seal of the University is affixed to a document:~~

- a. the authority for affixing the Seal;
- b. the nature of the document to which the Seal is affixed;
- c. the date on which the ~~seal-Seal~~ is affixed; and
- d. the persons who signed the document.

## Signing of documents

~~(8)(11)~~ Deeds, agreements and other documents to which the University is a party may only be signed by persons who have delegated authority ~~authorised~~ to do so on behalf of the University.

~~(12)~~ ~~(1+2)~~ A deed, agreement or other document may be executed by the University in accordance with Section 50 of the [Interpretation Act 1987 \(NSW\)](#). The Seal ~~will only be~~ may be affixed to a deed or agreement if required by the Vice Chancellor and CEO or Director Legal Services; ~~to such documents in accordance with this Rule, but the affixing of the Seal is not mandatory and the decision whether to affix the Seal will be made by the Vice-Chancellor and Chief Executive Officer or General Counsel.~~

~~(13)~~ In accordance with Section 50 of the [Interpretation Act 1987 \(NSW\)](#), ~~and subject to clause (1453),~~ the Vice-Chancellor and ~~Chief Executive Officer~~ CEO is the principal officer of the University and is authorised to sign deeds, agreements and other documents on behalf of the University. The Vice-



Chancellor and ~~Chief Executive Officer~~CEO may delegate this authority to sign documents to other staff members and may place limits and conditions on such delegations, including pursuant to the Financial Delegations Rule.

~~(13)~~(14) Employment separation deeds are signed by two of the persons in clause (67) and one may be the Director People and Culture.

~~(14)~~(15) In exercising the authority to sign deeds, agreements and other documents on behalf of the University, the Vice-Chancellor and ~~Chief Executive Officer~~CEO (and any staff members acting under his/her delegated authority) are directed by Council not to exceed the authority otherwise given by Council, including any limitations under:

- a. a specific approval or resolution of Council;
- b. the ~~Authorities Retained by Council Rule~~Authority Retained by Council Rule; and
- c. the ~~Schedule of~~Financial Delegations Rule.

~~(15)~~ An authorised person in clause (67) will not sign a deed, agreement or other document where they have a Conflict of Interest.

## Section 4 - Definitions

Definitions-Words and phrases used in this document have the following meanings, unless the context requires otherwise:

~~Chancellor means the Chancellor of the University, with functions conferred or imposed upon him/her by or under Section 10 of the Act.~~

(17) Conflict of Interest means a Conflict of Interest as defined in the Conflicts of Interest Policy

~~(18) Deputy Chancellor means the Deputy Chancellor of the University, with functions conferred or imposed upon him/her by or under Section 11 of the Act.~~

(18) Interpretation Act means the Interpretation Act 1987 (NSW).

~~(19) General Counsel means the solicitor on the record for the University.~~

~~(20)~~(19) UNE Act means the University of New England Act 1993 (NSW).

~~(21)~~(20) UNE By-law means the University of New England By-law 2005 (NSW).

~~(22)~~(21) University means the University of New England.

## Status and Details

<b>Status</b>	Current
<b>Effective Date</b>	27th July 2015
<b>Review Date</b>	23rd August 2016
<b>Approval Authority</b>	Council
<b>Approval Date</b>	23rd August 2013
<b>Expiry Date</b>	To Be Advised
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## Glossary Terms and Definitions

**"Testamur"** - The official certificate issued by the University to graduates when they have their award conferred. It is a legal document imprinted with the University Seal.

**"Council"** - Means the Council of the University of New England, being the governing body of the University.

**"Vice-Chancellor and ~~Chief Executive Officer~~CEO"** - Means the Vice-Chancellor and Chief Executive Officer of the University, with functions conferred or imposed upon him/her by or under Section 12 of the UNE Act.