PART 4
APPENDICES

COMPLIANCE REPORT

NUspace building, Newcastle CBD

A

FIVE YEAR KEY STATISTICS

	CATEGORY	2017	2018	2019	2020	2021	% CHANGE 2017 - 2021	% CHANGE 2020 - 2021
Number of students[1]	Total	37,018	37,644	37,920	39,113	39,096	5.6	-0.0
	Commencing	16,492	17,493	16,873	17,662	17,132	3.9	-3.0
Student load[2]	Total	24,595	25,617	25,974	26,513	26,460	7.6	-0.2
	Undergraduate	18,425	19,402	19,863	20,080	20,349	10.4	1.3
	Postgraduate Coursework	2,460	2,520	2,590	3,039	3,218	30.8	5.9
	Higher Degree Research	1,334	1,427	1,343	1,289	1,150	-13.8	-10.7
	Other (Enabling, ELICOS, Non Award)	2,376	2,268	2,178	2,105	1,743	-26.7	-17.2
Funding type[3]	Commonwealth Supported	18,881	19,468	19,740	20,728	21,271	12.7	2.6
	Fee-Paying International	4,402	4,905	4,978	4,397	3,829	-13.0	-12.9
	Fee-Paying Domestic	1,311	1,244	1,255	1,387	1,360	3.7	-1.9
Award completions[4]	Total	7,271	6,550	6,729	7,600	7,670	5.5	0.9
	Undergraduate	4,688	4,401	4,575	5,022	4,878	4.1	-2.9
	Postgraduate Coursework	2,333	1,881	1,902	2,280	2,456	5.3	7.7
	Higher Degree Research	250	268	252	298	336	34.4	12.8
Full-time staff (FTE)[5]	Total	2,754	2,680	2,766	2,859	2,745	-0.3	-4.0
	Academic	1,096	1,107	1,137	1,173	1,137	3.7	-3.1
	Professional	1,658	1,573	1,629	1,686	1,608	-3.0	-4.6
Work function (FTE)	Teaching only	24	32	44	54	54	124.4	0.7
	Research only	454	458	485	520	528	16.2	1.5
	Teaching and research	761	748	755	755	721	-5.3	-4.6
	Other	1,516	1,442	1,482	1,530	1,443	-4.8	-5.7
Casual staff[6]	Total	462	483	511	436	387	-16.3	-11.3
	Academic	280	295	308	279	270	-3.7	-3.3
	Professional	182	188	203	157	117	-35.7	-25.5

Notes: Rounding errors may occur. Data subject to revision. Student data source: University Data Warehouse 7 February 2022. Staff data source: Department of Education, Skills and Employment Higher Education Staff Statistics. 1 Number of students represents the number of student enrolments in programs, full year. 2 Student load represents the sum of the load for each term expressed in Equivalent Full-time Student Load (EFTSL), full year. 3 Funding type expressed in Equivalent Full-time Student Load (EFTSL).4 Award completions represents the number of completed program enrolments for undergraduate and postgraduate award programs. Completion year is based on the official government completion year of 1 April 2021 - 31 March 2022. Data source: University Data Warehouse 30 March 2022. 5 Staff full-time equivalent positions occupied by full-time and part-time staff members as at 31 March (excludes Independent Operations). 6 Casual staff full-time full year equivalent positions occupied during year (excludes Independent Operations). 2021 casual FTE is preliminary and subject to validation and submission to Department of Education, Skills and Employment at 30 June 2022.

B

ACADEMIC SENATE PROGRAM DEVELOPMENT AND ASSURANCE

During 2021 the committees of Academic Senate reviewed the academic content of 52 new or replacement programs and recommended that Academic Senate establish 25 new awards.

The discontinuation of 59 existing programs was recommended to Academic Senate. Professional accreditation was received for 29 programs and 14 programs were reviewed.

ACADEMIC SENATE PROGRAM DEVELOPMENT

College of Human and Social Futures
· Bachelor of Biomedicine/Bachelor of Laws (Honours)
· Bachelor of Music and Performing Arts (Honours)
· Bachelor of Music and Performing Arts
· Bachelor of Music and Performing Arts/Bachelor of Arts
· Bachelor of Psychological Science/Bachelor of Laws (Honours)
· Doctor of Philosophy (Business Systems and Analytics)
· Master of Philosophy (Business Systems and Analytics)

College of Engineering, Science and Environment
· Bachelor of Aerospace Systems Engineering (Hons)/ Bachelor of Mechatronics Engineering (Hons)
· Bachelor of Aerospace Systems Engineering (Hons)/ Bachelor of Mechanical Engineering (Hons)
· Bachelor of Data Science
· Bachelor of Data Science/Bachelor of Computer Science
· Bachelor of Data Science/Bachelor of Mathematics
· Bachelor of Psychological Science/Bachelor of Business
· Bachelor of Psychological Science/Bachelor of Communication
· Bachelor of Psychological Science/Bachelor of Social Science

College of Health, Medicine and Wellbeing
· Bachelor of Biomedicine
· Bachelor of Midwifery
· Bachelor of Nursing
· Graduate Certificate in Custodial Health
· Graduate Certificate in Medicine for the Health Professions
· Graduate Certificate in Midwifery
· Master of Custodial Health
· Master of Midwifery

University of Newcastle College of International Education
· Foundation studies
· Foundation studies for Medicine
· Degree transfer Business
· Degree transfer Extended Business
· Degree transfer Commerce
· Degree transfer Extended Commerce
· Degree transfer Engineering
· Degree transfer Extended Engineering
· Degree transfer Information Technology
· Degree transfer Information Extended Technology
· Pre-Master's Program Business
· Pre-Master's Program Information Technology

Pathways and Academic Learning Support
· Diploma in Arts and Social Science
· Diploma in Built Environment
· Diploma in Education Studies
· Diploma in Environmental Science
· Diploma in Information Technology
· Diploma in Science
· Open Foundation
· Undergraduate Certificate in Construction Management[1]
· Undergraduate Certificate in Criminology and Human Services[1]
· Undergraduate Certificate in Engineering[1]
· Undergraduate Certificate in Environmental Studies[1]
· Undergraduate Certificate in Foreign Languages and International Studies[1]
· Undergraduate Certificate in Health and Welfare[1]
· Undergraduate Certificate in Information Technology[1]
· Undergraduate Certificate in Preparation for Nursing Studies[1]
· Undergraduate Certificate in Special and Inclusive Support in Education[1]
· Undergraduate Certificate in Teacher Preparation[1]

Notes: 1. 2021 Government funded short course.   2. This subject is being taught out

ACCREDITATION

College of Human and Social Futures

The Graduate Certificate in Health Economics, Management and Policy and the Master of Health Economics, Management and Policy programs were granted accreditation by the Australasian College of Health Service Management (ACHSM).

The Master of Teaching (Primary) and the Master of Teaching (Secondary) programs were accredited by the NSW Education Standards Authority (NESA).

The Bachelor of Business Marketing major and Master of Marketing programs were reaccredited by the Australian Marketing Institute (AMI).

Newcastle Business School were accredited by the European Foundation for Management Development (EFMD) Quality Improvement System (EQUIS).

College of Engineering, Science and Environment

The Australian Computer Society professionally accredited the Bachelor of Information Technology and Master of Information Technology until 2023.

The following programs were re-accredited with conditions by the Australian Psychology Accreditation Council until 31 December 2025:

- Bachelor of Psychological Science
- Bachelor of Criminology/Bachelor of Psychological Science
- Bachelor of Psychological Science (Advanced)
- Bachelor of Psychological Science (Honours)
- Master of Professional Psychology
- Master of Clinical Psychology
- Bachelor of Psychology (Honours)[2]

The following programs were granted accreditation with conditions by the Australian Psychology Accreditation Council until 31 December 2025:

- Graduate Diploma in Psychological Science
- Master of Professional Psychology (Clinical Foundations)
- Doctor of Philosophy (Clinical Psychology)
- Bachelor of Psychological Science/Bachelor of Business
- Bachelor of Psychological Science/Bachelor of Communication
- Bachelor of Psychological Science/Bachelor of Laws (Honours)
- Bachelor of Psychological Science/Bachelor of Social Science

The Bachelor of Exercise and Sports Science was granted ongoing accreditation by Exercise and Sports Science Australia.

The Masters of Exercise Physiology was granted provisional accreditation by Exercise and Sports Science Australia.

The Bachelor of Construction Management (Building) (Honours) was accorded continuing full accreditation by the following bodies until 2023:

- Royal Institute of Chartered Surveyors (RICS)
- Australian Institute of Quantity Surveyors (AIQS)
- Australian Institute of Building Surveyors (AIBS)
- Australian Institute of Building (AIB)
- Chartered Institute of Building (CIOB)

College of Health, Medicine and Wellbeing

The Bachelor of Midwifery program was granted accreditation by the Australian Nursing and Midwifery Accreditation Council for a period of five years with targeted monitoring.

The Master of Midwifery (Graduate Entry) and the Graduate Certificate in Midwifery (re-entry to Practice) programs were granted accreditation with conditions by the Australian Nursing and Midwifery Accreditation Council for a period of five years with a recommendation of targeted monitoring.

The Bachelor of Nursing program was granted accreditation by the Australian Nursing and Midwifery Accreditation Council for a period of five years with targeted monitoring.

ACADEMIC PROGRAM REVIEW

College of Human and Social Futures

- B Communication
- B Communication (Honours)

College of Engineering, Science and Environment

- B Development Studies
- B Development Studies (Honours)

College of Health, Medicine and Wellbeing

- Bachelor of Biomedical Science
- Bachelor of Biomedical Science (Honours)
- Bachelor of Oral Health Therapy
- Bachelor of Pharmacy (Honours)
- Bachelor of Podiatry
- Graduate Certificate in Clinical Epidemiology
- Graduate Certificate in Workplace Health and Safety
- Graduate Diploma in Workplace Health and Safety
- Master of Clinical Epidemiology
- Master of Clinical Medicine (Leadership and Management)

Notes: 1. 2021 Government funded short course.   2. This subject is being taught out

C
STUDENT STATISTICS

TABLE 1: STUDENT LOAD (EFTSL) BY STUDENT TYPE

	2017	2018	2019	2020	2021
Domestic	20,172	20,691	20,978	22,115	22,632
International Onshore	3,479	3,904	3,883	3,292	2,560
International Offshore	943	1,022	1,112	1,105	1,269
Total	**24,595**	**25,617**	**25,974**	**26,513**	**26,460**

TABLE 2: STUDENT LOAD (EFTSL) BY ACADEMIC LEVEL

	2017	2018	2019	2020	2021
Undergraduate	18,425	19,402	19,863	20,080	20,349
Postgraduate Coursework	2,460	2,520	2,590	3,039	3,218
Higher Degree by Research	1,334	1,427	1,343	1,289	1,150
Non-award	312	320	250	101	60
Enabling	1,675	1,546	1,575	1,810	1,590
ELICOS	390	402	353	194	92
Total	**24,595**	**25,617**	**25,974**	**26,513**	**26,460**

TABLE 3: ENROLMENTS BY COLLEGE/DIVISION

	2017	2018	2019	2020	2021
Engineering, Science and Environment	8,936	9,481	9,694	10,334	10,566
Health, Medicine and Wellbeing	8,163	8,263	8,549	8,885	9,074
Human and Social Futures	14,514	14,480	14,355	14,563	14,425
Pathways and Academic Learning Support	4,573	4,544	4,646	4,942	4,702
Other University[1]	832	876	676	389	329
Total	**37,018**	**37,644**	**37,920**	**39,113**	**39,096**

Note: 1. 'Other University' = Indigenous Education and Research, Non-award, Study Abroad, Exchange, Cross Institution

TABLE 4: STUDENT LOAD (EFTSL) BY LOCATION

	2017	2018	2019	2020	2021
Newcastle	17,753	18,474	18,371	18,094	17,759
Central Coast	2,704	2,685	2,661	2,772	2,613
Port Macquarie	253	254	232	154	81
Sydney	492	503	362	215	122
Newcastle Australia IHE - Singapore	910	982	1,082	1,048	1,174
Online	2,411	2,718	3,111	4,045	4,466
Other University	72	2	154	185	245
Total	**24,595**	**25,617**	**25,974**	**26,513**	**26,460**

Note: 1. 'Other University' = UN College of International Education, Transnational Education and Research off campus. 2. Source for tables 1-4: University Data Warehouse 7 February 2022.

Rounding errors may occur; applies to Tables 1, 2 and 4.

D

EQUITY AND DIVERSITY

GENDER

Despite the challenges of COVID-19 and competing priorities, gender remained a focus for the University throughout 2021 in alignment with its participation in the Sector's Joint Statement on 'Preserving Gender Equity as a Higher Education Priority During and After COVID-19'. The University also remained an Employer of Choice for Gender Equity in 2021.

The University ran a number of key gender equity initiatives such as the Women in Leadership program and Women in Research Fellowship program again in 2021 to support women to progress in academic, research and leadership roles. In alignment with the strategies outlined above, the University also seized an opportunity, as part of its Enabling Change program, to target 14 new positions to women - many of which were in the STEM disciplines where women are vastly underrepresented. This affirmative action strategy was possible due to the University's current exemption provided by Anti-Discrimination NSW.

Women in STEMM – Athena SWAN

The University of Newcastle was one of the first universities to achieve Bronze Accreditation in the SAGE Athena SWAN program, aimed at improving the representation of women in STEMM. In 2021, the University re-established the Athena SWAN Working Party and identified the five Cygnet areas (themes) required as part of the pathway from Bronze to Silver accreditation. These five Cygnet areas are based on improving the attraction, promotion and retention of women in STEMM and requires an intersectional approach to be taken when analysing data and developing strategies.

SUPPORT

Refugees

The University worked with NSW Service for the Treatment and Rehabilitation of Torture and Trauma Survivors (STARTTS) and Northern Settlement Services (NSS), Settlement Services International (SSI), the City of Newcastle and NSW Police to host a film night with a light supper at the Newcastle Museum. The film, Rosemary's Way directed by Ros Horin, celebrates the remarkable Rosemary Kariuki and the group of vulnerable migrant women of suburban Sydney whose lives she helps transform from isolation to connection. From cultures as diverse as Iraq, the Congo and Peru, the women are taken by Rosemary on a powerful cross-cultural journey to integrate them into the homes and communities of everyday 'Aussies'.

Student Gatherings and Drop-in dialogue spaces

Students from refugee and refugee-like backgrounds were invited to attend gatherings to get to know each other, share their experiences, meet different service providers (across the University and the community) and discuss different learning environments.

With food, conversation and access to service knowledge and people, the student gatherings are a casual and regular way for students to engage with each other, the University and support services in the community. Eight gatherings are held each year.

Afghanistan Crisis

In April 2021, the Australian government announced that it would follow the United States and bring home the last soldiers still serving in Afghanistan by September 2021. In August, the situation in Afghanistan escalated quickly and the Taliban again took control of the country.

The University has students from (or with direct family links to) Afghanistan and this led to much stress and fear for themselves and their loved ones. The University reached out to impacted students and personally supported students with administrative support together with advocacy to politicians during this period, with some of this work continuing. The University has seen the reunion of families in Newcastle from this work and are hoping for similar stories for more of its students in 2022.

Refugee Early Entry Scheme - Bachelor of Laws (Honours) Combined

Recognising the need to increase the representation of people from refugee backgrounds in the Australian legal profession and allied fields, the School of Law invited applications from eligible students currently preparing for their Higher School Certificate or enrolled in an enabling program to apply for entry to the Bachelor of Laws (Honours) Combined.

This is a five-year, full-time program, in which students will complete a Bachelor of Laws (Honours) alongside another degree program of their choice. Not only will eligible applicants get early entry into this degree, but they also have access to:

- guaranteed places in University accommodation at the Callaghan campus
- pre-law orientation programs
- a mentoring scheme pairing new students with more senior students
- support services coordinated through the Centre of Excellence for Equity in Higher Education

STAFF EQUITY STATISTICS

TABLE 1: TRENDS IN THE REPRESENTATION OF EEO TARGET GROUPS[1]

	% OF TOTAL STAFF[2]										
	BENCHMARK OR TARGET	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021
Women	50	60.8	60.7	61	61.5	60.9	61.6	61.9	62.9	63.5	63.4
Aboriginal and Torres Strait Islander peoples	3.9	2.8	2.5	2.7	2.5	2.5	2.6	2.2	2.3	2.5	2.8
People whose first language was not English	19	8	7.7	9.8	9.2	9.2	8.7	9.7	9.7	9.1	9
People with a disability	n.a.	2.5	2.2	2.5	2.4	2.3	2.3	2.2	2.2	2	1.8
People with a disability requiring work-related adjustment	1.5	0.6	0.5	0.6	0.4	0.5	0.5	0.5	0.5	0.4	0.3

Source: Ascender HRS database

TABLE 2: REPRESENTATION OF EEO TARGET GROUPS: ACADEMIC AND GENERAL STAFF[2]

EEO GROUP	% OF TOTAL STAFF[2]	% OF TOTAL STAFF[2]	AWARD	
	BENCHMARK OR TARGET	TOTAL		
Women	50	63.4	Academic	52.1%
			Professional	71.5%
			Teacher	65.2%
Aboriginal and Torres Strait Islander peoples	3.9	2.8	Academic	2.1%
			Professional	3.4%
			Teacher	-
People whose first language was not English	19	9	Academic	15.2%
			Professional	4.5%
			Teacher	4.3%
People with a disability	n.a.	1.8	Academic	1.9%
			Professional	1.7%
			Teacher	4.3%
People with a disability requiring work-related adjustment	1.5	0.3	Academic	0.3%
			Professional	0.3%
			Teacher	4.3%

Source for tables 1 and 2: Ascender HR Database   Notes: 1. Staff numbers are as at 30 June 2019   2. Excludes casual staff

* At the University of Newcastle, we refer to STEMM as research and learning in the disciplines of science, technology, engineering, mathematics and medicine (as a unique major discipline within the sciences). Where external organisations refer to STEM, science includes medicine.

TABLE 3: TRENDS IN THE DISTRIBUTION OF EEO TARGET GROUPS

	DISTRIBUTION INDEX										
	BENCHMARK OR TARGET	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021
Women	100	82.3	82.7	82.1	83.1	82.7	82.4	83.4	82.6	83.5	84.9
Aboriginal and Torres Strait Islander peoples	100	85	87.9	89.5	91.1	92.7	91	87	87.1	88.7	89.6
People whose first language was not English	100	110.8	111.5	110.2	111.5	111.5	115	112.5	114	114.4	115
People with a disability	100	101.2	100.9	105.8	101.8	103.5	102.5	104	103.8	102.7	104.1
People with a disability requiring work-related adjustment	100	105.7	105.2	112.6	107.4	112.9	109.2	112.1	109.1	114.8	127.4

Source: Ascender HRS database

TABLE 4: DISTRIBUTION OF EEO TARGET GROUPS: ACADEMIC AND GENERAL STAFF

	DISTRIBUTION INDEX		AWARD	
	BENCHMARK OR TARGET	TOTAL		
Women	100	84.9	Academic	91.7
			Non-academic	91.5
Aboriginal and Torres Strait Islander peoples	100	89.6	Academic	89.9
			Non-academic	90.1
People whose first language was not English	100	115	Academic	95
			Non-academic	99.4
People with a disability	100	104.1	Academic	109.8
			Non-academic	92.9
People with a disability requiring work-related adjustment	100	127.4	Academic	145.5
			Non-academic	106

Notes: 1. Staff numbers are as at 30 June 2021. 2. Excludes casual staff. 3. A distribution index of 100 indicates that the distribution of the EEO group across salary levels is equivalent to that of other staff. Values less than 100 mean that the EEO group tends to be more concentrated at lower salary levels.

Scholarship for Asylum Seekers Program

The University established a Scholarship for Asylum Seekers Program (SASP) in recognition of the inequalities faced by people seeking asylum in Australia, including when accessing higher education. Facilitated by the University's innovative site of equity research and practice, the Centre of Excellence for Equity in Higher Education (CEEHE), in collaboration with the Office of the Deputy Vice-Chancellor (Academic), the SASP is designed to support people seeking asylum to access and participate in higher education. The new scholarship program provides a 100 per cent tuition fee and Student Services and Amenities Fee (SSAF) scholarship, a stipend payment in each year of their program, and access to sector-leading relationship-driven approaches to student support pioneered by CEEHE.

Supportive Spaces

In 2021, a new space for Aboriginal and Torres Strait Islander students was established in the University's Auchmuty Library. 'Parray Yayirri' brings together the Library's Indigenous Collection and student study areas. The collaborative Wollotuka student consultation space within 'Parray Yayirri' is staffed by dedicated Learning Support and Library staff supporting Aboriginal and Torres Strait Islander students. A Prayer and Reflection room for staff or students requiring a space to pray, meditate or reflect was also established in the Auchmuty Information Common. This room was fitted with foot washing stations for men and women, a divider curtain, lockers for belongings and prayer rugs.

EVENTS

International Women's Day

Each year 8 March provides an opportunity to reflect on the progress women have made towards equality, to celebrate those who have led the way and to unite behind a commitment to continue to pursue meaningful change. In 2021, the University celebrated the United Nations' theme Women in Leadership: Achieving an equal future in a COVID-19 world. This theme juxtaposes the pivotal role women have played in effective responses to the COVID-19 pandemic, yet women continue to be significantly under-represented in parliaments and C-suites. A number of events were held to celebrate this day such as the Women in Leadership morning tea event, Women in STEM Leadership Panel, Women to the Front Music Gig, Poetry Salon, International Women's Day Living Histories Exhibit and the Central Coast Festival of Women.

March for Justice

2021 saw highly publicised allegations of sexual assault and sexual harassment and many people in the community grappled with how to translate feelings of anger and distress into meaningful change. 'March4Justice' events were planned in various locations around Australia on 15 March, including Civic Park in Newcastle. The University supported staff and students at any of our sites to attend the March4Justice rallies if they wished to do so as part of our commitment to zero tolerance to gendered violence and supporting our communities.

United Nations International Day for the Elimination of Racial Discrimination (Harmony Day)

21 March sees the celebration of Australia's Harmony Day that began in 1999. Internationally, it is recognised as United Nations International Day for the Elimination of Racial Discrimination. The University uses this day to celebrate diversity of culture, and religion, but recognises the reality of continued racism within Australian society. In 2021, the University saw live music from Berias Masseque and the Afro Latin Band, student performances, cultural sharing, food, and a movie screening of Constance on the Edge to celebrate the 100+ countries represented in its student population. As COVID-19 limited the University to its usual food sharing from international and multicultural students, it was able to employ community members to cater.

Dresses of Sorrow

On 24 May 2021, over 150 white dresses were displayed outside Parliament House to remember the women killed by violence over the past 5 years in Australia. The Dresses of Sorrow: the silent stories of violence against women were brought to Canberra from Newcastle, NSW, by a contingent of front-line workers from the domestic and family violence sector, the University of Newcastle and women's groups and their allies. The Dresses of Sorrow were exhibited as part of the 2021 Women's Safety Summit.

Unity in Diversity Festival

This annual event held in June was led by NSW Service for the Treatment and Rehabilitation of Torture and Trauma Survivors (STARTTS). The University again supported and partnered with many other organisations to bring this important festival to life. While severe rain impacted the program, the event proceeded with over 200 people in attendance.

University of Newcastle Pride

The fifth annual University of Newcastle Pride kicked off on 23 August 2021 with celebrations running through to Wear it Purple Day on Friday 27 August. Pride has grown from a grass-roots, student-led fight for visibility to a broader University-wide period of celebration and activities, with important activism, advocacy and education included throughout the program. As COVID-19 restrictions made it difficult to be together on campus to show support for the University's LGBTIQA+ community, there were still a number of activities in which to participate such as an online Q&A Panel, Queer Health in Higher Ed Online Trivia Night; Netflix Watch Party and MS Paint Art Session.

16 Days of Activism

Led by the University of Newcastle Gender Research Network and reaching the global campaign's 30-year milestone of an annual call to eliminate gendered violence across the globe, the University's NUspace building and Civic Park lit up in orange to mark the start of the 16 Days of Activism to End Violence Against Women in November 2021. A number of other key events including a Vigil in Civic Park were part of the comprehensive program.

TRAINING AND DEVELOPMENT

ALLY Training

The University offered student leaders and staff access to an ongoing program called 'The ALLY Network' which provides professional development and training to those who are prepared to advocate on behalf of members of the University who are diverse in their sex characteristics, gender and/or sexuality (LGBTIQA+). In 2021 the Equity, Diversity and Inclusion (EDI) team, with its community partner ACON, delivered seven x ALLY training sessions and more than 150 staff and student leaders participated plus 25 opportunities were provided to students to be involved via student panel speaking opportunities. The ALLY Network aims to create a more inclusive culture at the University by promoting greater visibility and awareness of those who are diverse in their sex, gender and/or sexuality. To further support the LGBTIQA+ community, the University updated IT systems such as Zoom and documentation such registration forms to include options for different pronouns.

SBS Inclusion Modules

The comprehensive suite of SBS training modules continued to be offered to staff and students in 2021 and a new module 'Core Inclusion' was added to the suite. These training modules support students and staff to become more aware of unconscious bias and other barriers to diversity and inclusion and motivates positive behaviours and attitudes essential for creating and maintaining a respectful, inclusive culture. Many degree courses and subjects incorporated the SBS training as part of course work.

Consent and Respectful Relationships

Delivery of Full Stop Foundations Sex, Safety and Respect Training to students continued in 2021. This face-to-face training complements Consent Matters training and 2021 saw 333 students take up the training.

E

HUMAN RESOURCES

Human Resource Services (HRS) attracts, supports, develops and retains the world-class staff of the University of Newcastle. HRS provides strategic, procedural, legislative and administrative support and advice covering workforce strategy and transformation, employee relations, HR business partnering, workplace health and safety, remuneration and benefits, HR support services, recruitment and HR information systems.

In 2021, HRS delivered many successful operational and strategic initiatives aligned with the *Looking Ahead Strategic Plan 2020-2025.*

2021 HIGHLIGHTS

Emerging Leaders And Managers Program

Continuing our commitment to developing leadership and management capability, 28 staff completed the Emerging Leaders and Managers Program (eLAMP); a flagship leadership capability program for Professional Staff at HEW 6, 7, 8 and Academic Staff in Levels B and C as well as those at higher levels who are new to management roles.

Student Cadetship – Inspiring our students

Launched in July, the Student Cadet Program pairs students with a staff mentor to guide career discussion, provide insights into working in the tertiary education sector, and provide valuable paid work experience in their field of study. 15 students participated in the Program, working across diverse areas including the Vice-Chancellor's Division, the Resources Division, the Library, Research Services, NIER, and within the Schools and Colleges.

Women In Research Fellows

Thirteen new Fellows were selected to commence the 12-month high-impact Women in Research program in 2021. Established in 2017 this program is designed to support the development of Early and Mid-Career Researchers through dedicated mentoring and support.

Planning for the future

To ensure the University was structured for future strategic and operational success, an organisational change program was undertaken, which also delivered $35m in annual recurrent savings.

The changes enabled a renewal of the workforce; bringing in new talent, ideas, and strengths that will support the achievement of strategic goals. More collaborative and efficient ways of working were established, with the University's five Faculties consolidated into three Colleges, and new School and discipline structures enacted to support future-focused teaching and research needs.

Adaptability Framework

To support the high volume of change required, change management training and coaching was rolled out for staff under the new Adaptability Framework. The framework is a four-year initiative of Looking Ahead designed to improve the change management capacity and capability of our people. In its first year, the focus was upskilling University executives and senior leaders to lead their teams through change, while introducing basic change fundamentals to all staff. Around 25 staff were also certified as Change Practitioners through global best-practice change management company Prosci®.

FIGURE 1
FIXED-TERM AND CONTINUING STAFF FTE
(As at 31 March 2021)

20

1,137

TOTAL 2,745

1,588

- Professional
- Academic
- Teacher
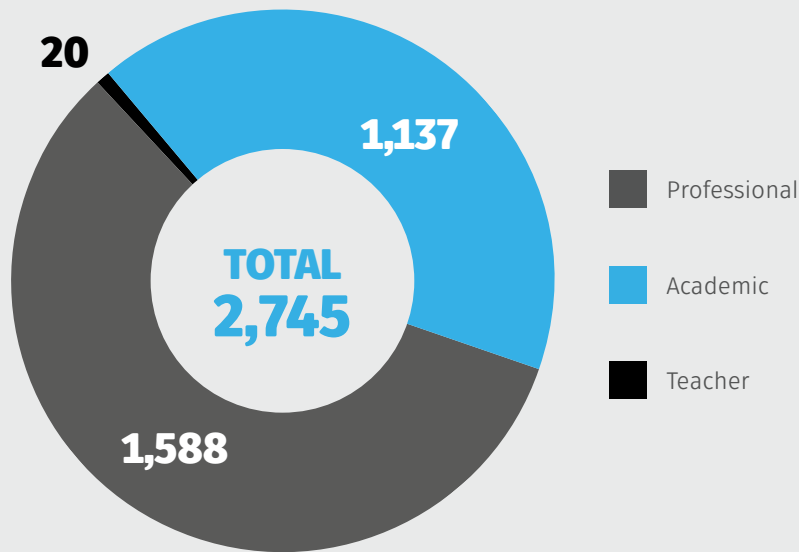
FIGURE 2
CASUAL AND SESSIONAL STAFF FTE
(1 January to 31 December 2021)

117

TOTAL 387

270
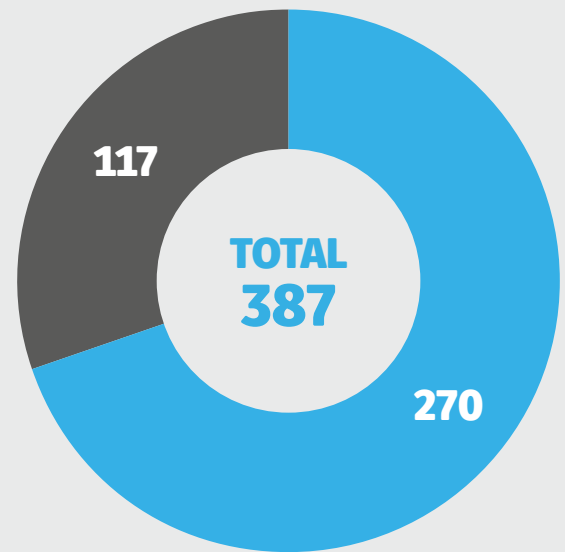
FIGURE 3
JOB APPLICANTS
(1 January to 31 December 2021)

7,271
total number of applicants

TABLE 1: CONJOINT STAFF

(as at 31 March 2021)

COLLEGE/DIVISION	TOTAL	COLLEGE/DIVISION	TOTAL
Academic Division	9	College of Human and Social Futures	206
College of Engineering, Science and Environment	389	Research and Innovation Division	2
College of Health, Medicine and Wellbeing	1,583	Total	2,189

Source: Figure 1 Department of Education Skills and Employment Staff Statistics Figure 2 Ascender HR Database Preliminary figures subject to validation and submission to Department of Education Skills and Employment at 30 Jun 2021 Figure 3 Ascender HR Database

**TABLE 2: NUMBER OF ACADEMIC STAFF BY APPOINTMENT TERM, LEVEL AND GENDER 2018-2021
(AS AT 31 MARCH 2021)**

	LEVEL	2018 FEMALE	2018 MALE	2018 TOTAL	2019 FEMALE	2019 MALE	2019 TOTAL	2020 FEMALE	2020 MALE	2020 TOTAL	2021 FEMALE	2021 MALE	2021 TOTAL
Continuing	A	15	9	24	16	8	24	16	8	24	11	6	17
	B	82	56	138	84	47	131	83	52	135	84	49	133
	C	98	105	203	97	100	197	93	90	183	90	79	169
	D	52	86	138	61	87	148	70	85	155	71	79	150
	E	39	110	149	41	107	148	45	111	156	47	102	149
Continuing total		286	366	652	299	349	648	307	346	653	303	315	618
Fixed-term	A	113	106	219	132	105	237	138	111	249	136	129	265
	B	149	99	248	172	104	276	187	107	294	161	101	262
	C	43	39	82	47	39	86	49	41	90	56	30	86
	D	10	15	25	11	16	27	7	16	23	10	15	25
	E	22	32	54	23	37	60	19	34	53	16	30	46
Fixed-term total		337	291	628	385	301	686	400	309	709	379	305	684
Total		623	657	1,280	684	650	1,334	707	655	1,362	682	620	1,302

**TABLE 3: NUMBER OF PROFESSIONAL STAFF BY APPOINTMENT TERM, HEW LEVEL AND GENDER 2018-2021
(AS AT 31 MARCH 2021)**

	HEW	2018 F	2018 M	2018 TOTAL	2019 F	2019 M	2019 TOTAL	2020 F	2020 M	2020 X*	2020 TOTAL	2021 F	2021 M	2021 X*	2021 TOTAL
Continuing	2	1		1	1		1	1			1				
	3	32	13	45	28	8	36	27	8		35	3	5		8
	4	112	16	128	98	12	110	99	14		113	104	20		124
	5	156	44	200	160	34	194	184	42		226	178	41		219
	6	140	57	197	141	63	204	162	60		222	150	61		211
	7	161	79	240	161	77	238	171	76	1	247	169	79	1	249
	8	96	71	167	93	75	168	105	79		184	106	71		177
	9	47	26	73	55	29	84	51	27		78	50	28		78
	10	23	21	44	20	21	41	20	18		38	16	16		32
Continuing total		768	327	1,095	757	319	1,076	820	324	1	1,144	776	321	1	1,098
Fixed-term	<1				2	1	3								
	1	2	2	4											
	2	40	27	67	40	29	69	42	25		67	30	11		41
	3	36	15	51	47	17	64	33	19		52	32	20		52
	4	65	23	88	91	30	121	80	28		108	82	15		97

TABLE 3: NUMBER OF PROFESSIONAL STAFF BY APPOINTMENT TERM, HEW LEVEL AND GENDER 2018-2021 (AS AT 31 MARCH 2021) (CONTINUED)

		2018			2019			2020				2021			
	HEW	F	M	TOTAL	F	M	TOTAL	F	M	X*	TOTAL	F	M	X*	TOTAL
	5	165	52	217	167	62	229	172	61		233	152	54		206
	6	121	34	155	127	43	170	139	46		185	130	41		171
	7	69	32	101	84	34	118	85	29		114	68	29		97
	8	32	22	54	40	24	64	33	23		56	37	14		51
	9	8	9	17	11	9	20	11	9		20	15	6		21
	10	13	16	29	11	23	34	13	22		35	24	27		51
Fixed-term total		551	232	783	620	272	892	608	262		870	570	217		787
Total		1,319	559	1,878	1,377	591	1,968	1,428	586	1	2,014	1,346	538	1	1,885

Source for Tables 2 - 4 Department of Education Higher Education Staff Statistics as at 31 March. Excludes casual staff. Number of staff includes full-time and fractional full-time staff who occupy more than one position. *Indeterminate/Intersex/Unspecified

TABLE 4: NUMBER OF ACADEMIC AND PROFESSIONAL STAFF BY APPOINTMENT TERM AND GENDER 2018-2021 (AS AT 31 MARCH 2021)

	2018			2019			2020				2021			
	F	M	TOTAL	F	M	TOTAL	F	M	X	TOTAL	F	M	X	TOTAL
Continuing	1,054	693	1,747	1,056	668	1,724	1,127	670	1	1,798	1,079	636	1	1,716
Fixed-term	888	523	1,411	1,005	573	1,578	1,008	571		1,579	949	522		1,471
Total	1,942	1,216	3,158	2,061	1,241	3,302	2,135	1,241	1	3,377	2,028	1,158	1	3,187

WELLBEING, HEALTH AND SAFETY

A Values-Based Culture

The University redesigned its staff safety induction, seeking to embed a values-based culture where staff and students make a personal commitment to be accountable, take action in a timely way, innovate, and create an environment that is psychologically safe. The University has also revised its reporting suite to include lead and lag indicators to understand our safety performance and drive safety and cultural improvements.

Strong safety leadership

Supporting leaders with current information, training and resources continues, with a number of initiatives rolled out:

- To ensure that senior leaders demonstrate active leadership in safety, a due diligence framework is being implemented, including Executive 'Safety walks and talks'. This initiative will allow executives to better understand the business and associated risks through staff and student engagement.
- Mental Health First Aid Champions have been identified and trained. These people form a network to provide immediate support, promote psychological safety and facilitate good WHS practices.
- The Live.Learn.Lead Leadership program was developed to deliver a capability uplift in psychological health and safety, psychological safety and wellbeing, to support leadership of high performing teams.

Robust systems and risk management

The Health and Safety management system provides the underpinning infrastructure to manage WHS programs. Active involvement of staff and students in the identification of risks saw 650 events reported. 82 per cent of those events had actions implemented within 14 days.

A review of the research life-cycle involving high risk work areas has seen the development of the tick@lab program to support high risk protocol approvals. 256 applications were reviewed through the Institutional Biosafety Committee and the Chemical and Radiation Technical Committee. A further 151 local safety reviews were assessed.

The Health and Safety management system will be reviewed in 2022, ensuring policies and processes continue to respond to the risks associated with a tertiary education environment.

Safe and Supportive Environments

Slip, trips and falls continued to be highlighted as the main risk for the University, with the maintenance of pathways identified as an ongoing challenge. To address this, Infrastructure and Facilities Service (IFS) embarked on a Footpath Corrective Actions Program.

A number of decommissioning exercises across the Callaghan campus required specialist safety considerations, and new construction across campuses required health and safety advice to ensure safe utilisation of these new spaces.

F
EXECUTIVE REMUNERATION

TABLE 1: NUMBER OF SENIOR EXECUTIVES EMPLOYED AT 31 DECEMBER

Senior executive band	2020		2021	
	Female	Male	Female	Male
Vice-Chancellor	0	1	0	1
Deputy Vice-Chancellor and Chief Operating Officer	1	3	1	3
Pro Vice-Chancellor and Chief Financial Officer	3	4	3	3
Other	2	1	2	2
Totals	6	9	6	9
	15		15	

TABLE 2: AVERAGE TOTAL REMUNERATION PACKAGE OF SENIOR EXECUTIVES EMPLOYED AT 31 DECEMBER

SENIOR EXECUTIVE BAND	AVERAGE TOTAL REMUNERATION PACKAGE	
	2020	2021
	$	$
Vice-Chancellor	868,533	866,956
Deputy Vice-Chancellor and Chief Operating Officer	517,705	500,611
Pro Vice-Chancellor and Chief Financial Officer	385,475	410,085
Other	261,514	260,888

TABLE 3: PERCENTAGE OF TOTAL EMPLOYEE-RELATED EXPENDITURE IN THE FINANCIAL YEAR THAT RELATES TO SENIOR EXECUTIVES

	2019	2020	2021
Percentage of total employee-related expenditure in the financial year that relates to senior executives	1.6%	1.6%	-

G
RISK MANAGEMENT FRAMEWORK

Risk management is a core part of the University of Newcastle's governance practice. We have adopted AS/NZS ISO 31000-2018 Risk Management Guidelines in developing our approach to risk management.

The Executive Committee is actively engaged in the risk management process. The Risk Committee and the University Council oversee the Enterprise Risk Management Framework and discuss strategic risks at each Committee meeting.

The Risk Management Framework is considered across the University at a strategic, operational and project management level. Ongoing practices identify, manage, mitigate, monitor and report from strategic and operational perspectives. This process is supported by the Risk Management Policy and the Risk Management Framework.

INTERNAL CONTROL

Council is responsible for ensuring an effective system of internal controls over financial and operational activities.

The Vice-Chancellor, as the principal Executive Officer, is responsible for ensuring that the internal environment supports the efficient and effective operation of appropriate internal controls to support the University's strategy and objectives.

The Vice-Chancellor provides annual assurance to Council on the systems of internal controls, accountability and delegations (including in relation to controlled entities) as part of the management of the University's annual financial reporting.

INSURANCE

Our suite of insurance policies is reviewed and renewed annually with the insurance period commencing 1 November each year. Our broker supports the management of this process to ensure that optimal and cost effective coverage is obtained.

Details of insurance policies relevant to staff and students are published on our website at:

ⓘ **newcastle.edu.au/current-staff/our-organisation/governance/assurance-services/insurance**

H

CYBER SECURITY ANNUAL ATTESTATION STATEMENT

I, Anthony Molinia (CIO), am of the opinion that the University of Newcastle have managed cyber security risks in a manner consistent with the Mandatory Requirements set out in the NSW Government Cyber Security Policy.

Governance is in place to manage the cyber-security maturity and initiatives of the University of Newcastle.

Risks to the information and systems of the University of Newcastle have been assessed and managed.

The University of Newcastle currently has an Information Security Incident Response plan, which has been tested during the reporting period. The University of Newcastle also has an Information Security Management System (ISMS) in place.

The University of Newcastle is continuously improving the management of cyber security governance and resilience through ongoing investment and initiatives.

I

ETHICAL AND RESPONSIBLE DECISION MAKING

The culture of the University of Newcastle is underpinned by strong values and ethical behaviour centred around integrity, respect and professionalism. The Code of Conduct governs our community in its day-to-day activity, decision making and interaction with clients, colleagues and stakeholders.

In conjunction with the Ethics Centre, Council established the Ethical Decision Making Framework to set the 'tone' for behaviour and decision making and support the University in realising its vision to be a global leader in each of our spheres of achievement. The University of Newcastle Ethical Decision Making Framework is provided to guide and support decision making at all levels and helps to ensure that when making decisions on behalf of the University, the 'standard for judgement' lies in the Ethical Framework rather than the personal beliefs of any individual, thus ensuring clarity and consistency in application.

Our policies and codes are in place to provide ethical guidance and support ethical behaviour. These include the:

· Conflicts of Interest Policy
· Student Academic Integrity Policy
· Responsible Conduct of Research Policy
· Code of Ethical Academic Conduct Policy

Our activities support compliance with relevant legislative requirements, professional standards and internal controls to ensure the provision of timely and transparent information to our stakeholders and the general public.

ANIMAL CARE AND ETHICS COMMITTEE

The Animal Care and Ethics Committee (ACEC) is responsible for overseeing the care and use of animals in research and teaching. The University of Newcastle is committed to the highest standard of ethical practice in this regard and the ACEC ensures that these activities meet the requirements of the regulatory framework.

The ACEC plays an important role in reviewing applications for research and teaching where animals are involved. It is also responsible for monitoring approved activities in accordance with legislative requirements.

The Animal Care and Ethics Committee reports to Council, the governing body of the University of Newcastle, and is responsible for the consideration of ethical and welfare aspects as well as the scientific or educational value of the use of animals for research and teaching purposes.

Its membership includes the following categories:

- **Category A:** Veterinarians - persons with qualifications in veterinary science who are recognised for registration as a veterinary surgeon in Australia, and with experience relevant to the University's activities or the ability to acquire relevant knowledge.
- **Category B:** Researchers - persons with substantial and recent experience in the use of animals for scientific purposes relevant to the institution and the business of the ACEC. This must include possession of a higher degree in research or equivalent experience.
- **Category C:** Animal welfare members - persons with demonstrable commitment to, and established experience in furthering the welfare of animals, who are not employed by or otherwise associated with the institution, and who are not currently involved in the care and use of animals for scientific purposes. Veterinarians with specific animal welfare interest and experience may meet the requirements of this category. While not representing an animal welfare organisation, the person should, where possible, be selected on the basis of active membership of, and endorsement by, such an organisation.
- **Category D:** Independent members - persons not employed by or otherwise associated with the institution and who have never been involved in the use of animals in scientific or teaching activities, either in their employment or beyond their undergraduate education. Category D members should be viewed by the wider community as bringing a completely independent view to the ACEC, and must not fit the requirements of any other category.

These categories are as defined in the Australian Code for the *Care and Use of Animals for Scientific Purposes* 8th edition 2013.

HUMAN RESEARCH ETHICS COMMITTEE

The Human Research Ethics Committee (HREC) is responsible for the review of applications for ethics approval for human research to be conducted at, or under the auspices of, the University and for the provision of advice to the University on related matters.

The HREC performs its responsibilities within the terms of reference as set out in the National Statement, issued jointly by the National Health and Medical Research Council (NHMRC), the Australian Research Council (ARC) and Universities Australia, and relevant State and Commonwealth legislation, policies and codes.

Our HREC reports directly to the NSW Privacy Commissioner where the HREC is the lead ethics committee and the Statutory Guidelines on Research, issued under Section 64 of the *Health Records and Information Privacy Act 2002* (NSW) (HRIP Act), have been applied.

Reports to the NSW Privacy Commissioner are prepared and submitted on a financial year basis. In the 2020/2021 financial year, the HREC did not consider any ethics applications which required application of the HRIP Statutory Guidelines on Research.

We are also required to report decisions to the NHMRC, which collects information on behalf of the Australian Information Commissioner, where the NHMRC Guidelines under Section 95 and 95a of the *Privacy Act 1988* have been applied.

During the year, the HREC did not consider any ethics applications which required application of the NHMRC Guidelines under Section 95 or 95a of the *Privacy Act 1988*. These decisions will be reported to the NHMRC in the HREC's Annual Report for the period 1 January 2021 to 31 December 2021.

J

ACCESS TO INFORMATION

The University of Newcastle encourages and supports appropriate, open and transparent engagement with our communities.

PROTECTING PRIVACY

The University supports an individual's privacy when it collects, stores, uses and discloses personal information. When dealing with personal and health information, the University complies with the *Privacy and Personal Information Protection Act 1998* (NSW) (PPIPA) and the *Health Records and Information Privacy Act 2002* (NSW) (HRIPA), as outlined in our Privacy and Information Access Policy and Privacy Management Plan.

During 2021, the University continued to promote best practice by undertaking a review of the University's Privacy function including resources and processes, and commenced the implementation of recommendations. This included the recruitment and appointment of a dedicated Privacy and Rights to Information Officer in October 2021 to manage the University's privacy obligations and provide specialist advice and support on all privacy matters across the University. The University will continue to enhance its privacy functions, resources and processes throughout 2022.

RIGHT TO INFORMATION

The University supports openness and transparency as encompassed in the *Government Information (Public Access) Act 2009* (the GIPA Act).

Information not readily available on our website can be obtained by submitting an informal request or, where further consideration is required, a formal request for the release of government information under the *GIPA Act*. Access to information is only restricted when there is an overriding public interest against disclosure.

During 2021 the University:

- Continued to proactively disclose information to the public and our key stakeholders. Information is generally published on our website at: newcastle.edu.au and policies are published in the University's policy library. Details regarding non-confidential decisions made by the Council are published in online newsletters.
- Continued to maintain our GIPA contracts register.
- Received 17 new applications: 10 formal requests and seven informal requests. In addition, the University also received two applications for internal review. One formal access application received in 2020 was also finalised in 2021. Statistics on the applications decided in 2021 are provided below:

TABLE 1: NUMBER OF APPLICATIONS BY TYPE OF APPLICANT AND OUTCOME[1]

	ACCESS GRANTED IN FULL	ACCESS GRANTED IN PART	ACCESS REFUSED IN FULL	INFORMATION NOT HELD	INFORMATION ALREADY AVAILABLE	REFUSE TO DEAL WITH APPLICANT	REFUSE TO CONFIRM OR DENY WHETHER INFORMATION IS HELD	APPLICATION WITHDRAWN
Media	2	0	0	0	0	0	0	0
Members of Parliament	0	0	0	0	0	0	0	0
Private sector business	0	0	0	0	0	0	0	0
Not-for-profit organisations or community groups[2]	0	0	1	2	0	0	0	0
Members of the public (application by legal representative)	3	0	0	0	0	0	0	0
Members of the public (other)	2	2	0	1	1	0	0	0

Notes: 1. More than one decision can be made in respect of a particular access application. If so, a recording must be made in relation to each such decision. This also applies to Table B.   2. Includes other NSW government agencies

TABLE 2: NUMBER OF APPLICATIONS BY TYPE OF APPLICATION AND OUTCOME

	ACCESS GRANTED IN FULL	ACCESS GRANTED IN PART	ACCESS REFUSED IN FULL	INFORMATION NOT HELD	INFORMATION ALREADY AVAILABLE	REFUSE TO DEAL WITH APPLICANT	REFUSE TO CONFIRM OR DENY WHETHER INFORMATION IS HELD	APPLICATION WITHDRAWN
Personal information applications[1]	4	0	0	2	0	0	0	0
Access applications (other than personal information applications)	2	2	1	0	0	0	0	0
Access applications that are partly personal information applications and partly other	1	0	0	1	1	0	0	0

Notes 1.   A personal information application is an access application for personal information (as defined in clause 4 of Schedule 4 to the GIPA Act) about the applicant (the applicant being an individual).

TABLE 3: INVALID APPLICATIONS

Application does not comply with formal requirements (Section 41 of the GIPA Act)	0
Application is for excluded information of the agency (Section 43 of the GIPA Act)	0
Application contravenes restraint order (Section 110 of the GIPA Act)	0
Total number of invalid applications received	0
Invalid applications that subsequently became valid applications	0

TABLE 4: CONCLUSIVE PRESUMPTION OF OVERRIDING PUBLIC INTEREST AGAINST DISCLOSURE (MATTERS LISTED IN SCHEDULE 1 OF THE GIPA ACT)

Overriding secrecy laws	0	Documents affecting law enforcement and public safety	0
Cabinet information	0	Transport safety	0
Executive Council information	0	Adoption	0
Contempt	0	Care and protection of children	0
Legal Professional Privilege	0	Ministerial code of conduct	0
Excluded information	0	Aboriginal and environmental heritage	0

More than one public interest consideration may apply in relation to a particular access application and, if so, each consideration is to be recorded (but only once per application). This also applies in relation to Table 5.

TABLE 5: OTHER PUBLIC INTEREST CONSIDERATIONS AGAINST DISCLOSURE (MATTERS LISTED IN TABLE TO SECTION 14 OF THE ACT)

Responsible and effective government	2
Law enforcement and security	0
Individual rights, judicial processes and natural justice	2
Business interests of agencies and other persons	0
Environment, culture, economy and general matters	0
Secrecy provisions	0
Exempt documents under equivalent interstate legislation	0

TABLE 6: TIMELINESS

Decided within the statutory timeframe (20 days plus any extensions)	9
Decided after 35 days (by agreement with applicant)	1
Not decided within timeframe (deemed refusal)	0
Total	10

**TABLE 7: NUMBER OF APPLICATIONS REVIEWED UNDER PART 5 OF THE GIPA ACT
(BY TYPE OF REVIEW AND OUTCOME)**

	DECISION VARIED	DECISION UPHELD	TOTAL
Internal review	0	2	2
Review by Commissioner	1	0	1
Internal review following recommendation under Section 93 of the GIPA Act	0	0	0
Review by NSW Civil and Administrative Tribunal	0	0	0
Total	1	2	3

The Information Commissioner does not have the authority to vary decisions, but can make recommendations to the original decision maker. The data in this case indicates that a recommendation to vary or uphold the original decision has been made by the Information Commissioner.

TABLE 8: APPLICATIONS FOR REVIEW UNDER PART 5 OF THE GIPA ACT (BY TYPE OF APPLICANT)

Applications by access applicants	9
Applications by persons to whom the subject of access application relates (see Section 54 of the GIPA Act)	1
Total	10

**TABLE 9: APPLICATIONS TRANSFERRED TO OTHER AGENCIES UNDER DIVISION 2
OF PART 4 OF THE ACT (BY TYPE TRANSFER)**

Agency - initiated transfer	0
Applicant - initiated transfer	0
Total	0

PUBLIC INTEREST DISCLOSURE

The *Public Interest Disclosures Act 1994 (the PID Act)* sets in place a system to encourage public officials to report serious wrongdoing in the categories of maladministration, serious and substantial waste of public money, breach of the *Government Information (Public Access) Act* and corrupt conduct.

STATISTICAL INFORMATION ON PIDS

	MADE BY PUBLIC OFFICIALS PERFORMING THEIR DAY-TO-DAY FUNCTIONS	UNDER A STATUTORY OR OTHER LEGAL OBLIGATION	ALL OTHER PIDS REFUSED IN FULL
Number of public officials who made PIDs directly	0	0	0
Number of PIDs received	0	0	0
Number of PIDs finalised	1	0	0

There were no PIDs received in 2021 and one PID from the 2020 reporting period was finalised.

PIDs are managed by the Legal and Compliance team as the relevant authority responsible in accordance with the University's obligations under the PID Act and the University's policy and delegations. The PID Policy was reviewed and updated in 2021 to ensure best practice and consistency with the PID model policy published by the NSW Ombudsman.

K

CONSUMER RESPONSE

The University of Newcastle acknowledges and respects an individual's choice to raise an issue or concern relating to the conduct of the University's operations, services, staff, facilities, and policies.

The Legal and Compliance team manage and advise on complaint matters to ensure a consistent, timely and confidential process that is based around the principles of procedural fairness and natural justice. The Complaints and Grievance Policy and associated Complaints and Grievance Resolution Procedure provide a structured process to assist staff, students, and our communities to raise issues or concerns. These processes enable the University to receive and respond to complaints and grievances quickly and fairly and encourage local level resolution where practicable. The policy and procedure aim to resolve issues through early intervention, support, and collaboration across the University.

The Legal and Compliance team and other staff involved in complaint management processes are guided by industry best practice and relevant resources including the NSW Ombudsman 'Complaint handling at universities: Australian best practice guidelines' (January 2015) and AS/NZ 10002:2014 'Guidelines for complaint management organisations'.

In 2021, 80 complaint and grievance matters were managed by the Legal and Compliance team. Of these:

- 63 complaints were raised by students. This is a decrease from the number of complaints lodged in 2020 and 2019. The Student Advocates have continued to play an essential role in the de-escalation, early intervention and successful resolution of these matters.
- There were five complaints from staff in 2021 assessed by the Legal and Compliance team. An additional 23 complaints were formally assessed by Human Resource Services. These figures are consistent with the 2020 reporting period.
- 12 matters were received from the community. This is consistent with the 2020 reporting period.

L

REVIEWS

INTERNAL AUDIT

The Internal Audit team supports Council and the Executive by providing an independent and objective review and advisory service that seeks to evaluate and improve the effectiveness and efficiency of the University's governance, risk management, legislative compliance, and internal control processes. To achieve this aim, the team undertakes a range of risk-based audits to support Council's three-year *Internal Audit Plan.*

The University Secretary, who heads the Internal Audit team, and the Senior Internal Auditor, have independent reporting lines to the Chair of the Risk Committee and attend Risk Committee meetings to present audit findings and provide status reports on management actions taken to address previous findings.

EXTERNAL AUDIT

The Audit Office of New South Wales audits the financial statements of the University and its controlled entities.

INTERNAL REVIEWS

The General Counsel undertook a review of the Complaints, Compliance, Privacy, PID and GIPA processes of the University which was provided to the Risk Committee in March 2021.

The Assurance Services team undertook a review and current state analysis of the University's Business Continuity Framework and system which was provided to the Executive Committee in October 2021.

EXTERNAL REVIEWS

There were no external reviews of compliance functions undertaken during the year.

There were a number of external reviews of University operations undertaken during the year which were provided to the Executive Committee including:

- Enabling Programs External Review
- Strategic Procurement Process Review
- Knowledge Exchange and Enterprise Review
- Research and Innovation Division Review

M
LEGAL MATTERS

FAIR WORK AMENDMENT (SUPPORTING AUSTRALIA'S JOBS AND ECONOMIC RECOVERY) ACT 2021

This Act makes substantive amendments to the *Fair Work Act 2009* (Cth) with the intention of providing employers and employees with certainty about the rights and obligations of both parties in an employment arrangement, and addressing any potential for 'double dipping' where an ongoing employee has been misclassified as casual. The amendments include:

a. introducing a new definition of 'casual employee';

b. mandating a conversion process for casual employees to ongoing employees if certain requirements are met; and

c. requiring a court to offset casual loading amounts against claims for leave and other entitlements in certain circumstances where an ongoing employee is misclassified as casual.

HIGHER EDUCATION STANDARDS FRAMEWORK (THRESHOLD STANDARDS) 2021

The Higher Education Standards Framework (Threshold Standards) 2021 **(New Standards)** repeals and replaces *The Higher Education Standards Framework (Threshold Standards) 2015* **(Old Standards)**. These standards are issued pursuant to the T*ertiary Education Quality and Standards Agency Act 2011* (Cth).

The Standards set the minimum requirements relating to eligibility and conduct for higher education providers, universities, university colleges and overseas universities, as administered by TEQSA.

A key new requirement in the New Standards, which has drawn attention across the sector, is for universities to:

a. by 1 July 2026, deliver a world standard of research in at least 3 or 30% (whichever is greater); and

b. by 1 July 2031, deliver a world standard of research in at least 3 or 50% (whichever is greater), of the broad (2-digit) fields of education in which they deliver courses of study.

TREASURY LAWS AMENDMENTS (YOUR FUTURE, YOUR SUPER) ACT 2021 (CTH)

The *Treasury Laws Amendments (Your Future, Your Super) Act 2021* (Cth) is wide ranging legislation targeted at the superannuation industry. It focuses on creating processes for correcting and monitoring super fund underperformance, increasing accountability for super funds for adverse member outcomes, and the creation of a scheme requiring employers to identify 'stapled' super accounts for new employees rather than establishing new super accounts as a default during the onboarding process.

SECURITY LEGISLATION AMENDMENT (CRITICAL INFRASTRUCTURE) ACT 2021 (CTH)

This Act amends the existing *Security of Critical Infrastructure Act 2018* (Cth) to include coverage of the higher education and research sector as a 'critical education asset.'

While the University will not immediately have obligations pursuant to this Act, the Minister may 'switch on' certain security obligations in relation to specific sectors and/or specific assets (being a university itself, or infrastructure that a university is responsible for) via the making of Rules pursuant to the Act.

HIGHER EDUCATION SUPPORT AMENDMENT (FREEDOM OF SPEECH) ACT 2021 (CTH)

This Act amends the *Higher Education Support Act 2003* (Cth) (the "HESA") to implement recommendations arising from the *2019 Report of the Independent Review of Freedom of Speech in Higher Education Providers* undertaken by the Honourable Robert French AC (former Chief Justice of the High Court of Australia). The amendments are intended to strengthen protections for freedom of expression, discourse, opinion, association and education in Australian universities.

RIDD V JAMES COOK UNIVERSITY [2021] HCA 32 AND NTEU V UNIVERSITY OF SYDNEY [2021] FCAFC159

The recent high profile decisions of the High Court in *Ridd v James Cook University* [2021] HCA 32 and the Full Court of the Federal Court in *NTEU v University of Sydney* [2021] FCAFC159 relate to the application of intellectual / academic freedom clauses under university enterprise agreements. These cases provide relevant guidance when considering similar provisions under the University's own academic enterprise agreement.

Key takeaways from these decisions include:

a. a clause which states the parties are committed to the principles of academic freedom is capable of creating legally binding obligations, rather than being merely an aspirational statement;

b. the exercise of academic freedom will be subject to the terms (including any limitations) set out in the relevant provisions of the enterprise agreement, however it will not generally be constrained by the requirements under a separate code of conduct; and

c. provisions under an enterprise agreement requiring confidentiality in connection with a disciplinary process may be enforced without unlawfully restricting any right to academic freedom.

N

MAJOR WORKS

HUNTER BUILDING CLOSURE AND RELOCATION	
Describe nature and range of activities undertaken during 2021	Following a detailed feasibility study considering the future of the Hunter building, the University determined that it was unviable to undertake a major refurbishment of the building and instead the University should vacate the building.
	Stage One involved moving teaching, staff and other activities from Levels A/B (top floors) by the end 2020.
	Stage Two, which was carried out in 2021, involved moving the remaining teaching, staff and other activities from Levels C,D,E and G.
	The Hunter Building Closure Program generated 30 projects under its umbrella. This ranged from smaller projects such as creating additional workspaces in the IDC Building to more sizeable projects such as the reinvention of the ICT Building to accommodate the School of Health Sciences and the refurbishment of the western wing of the V Building to accommodate the School of Education.
If practicable provide qualitative and quantitative performance measures showing efficiency and effectiveness	V Building Refurbishment Project was fast tracked through design and delivery, using a hybrid Early Contractor Involvement (ECI) Model. This allowed the project team to accelerate the program deliverables from an initial 18 month program, down to delivery in 12 months. This model also allowed an open-book approach to project costs and scope, allowing value to be added to the scope and seeing the complete scope being delivered under budget.
	The ICT repurposing project was critical to relocate the remaining University staff and activities from the Hunter building. It was a complex project delivering staff workspaces and a range of teaching spaces including high technology equipment. To allow for the program to be fast tracked, the University utilised a construction management procurement model which allows the design activities to continue whilst the construction works are delivered onsite. This methodology resulted in the project being delivered under 12 months (including all user consultation and design development activities) and under budget.
	The Hunter program delivered the following outcomes:
	• 93 per cent of the materials that were collected in the first stage were recyclable
	• 500 staff members relocated
	• 2,500 students relocated
	• 30 individual refurbishment and relocation projects
Major problems and issues which arose during 2021	COVID-19 impacts were apparent in resourcing and management of construction sites in line with Health guidelines. The contractors were very proactive in establishing COVID-19 Management Plans and working closely with the University in aligning policies and requirements of COVID-19 management.
	Through initial investigations, it was determined that the ICT building external cladding facade required replacing, which notably increased the scope of the project. The Construction Management model adopted for the project allowed for the cladding replacement works to be introduced as a trade package and it was delivered without impacting other works or activities in the building.
Key activity for 2021	• Final defect rectifications and minor user requested enhancements of the facility.
	• The Facility will commence operation in early 2021.
	• Post completion construction contract services including building tuning, statutory maintenance and ongoing defect rectifications as identified.

HUNTER BUILDING CLOSURE AND RELOCATION (CONTINUED)

Major works progress during 2021	**V Building Refurbishment** · 5 star equivalent Green Star rating in sustainability · Solar panels and rainwater harvesting provided · New teaching & learning spaces, including Simulation Teaching Laboratory, as well as professional and academic office space areas. · Major functional and aesthetic upgrades across the building · Project completed ahead of schedule to facilitate an early relocation into the space by the School of Education, which commenced in December 2021 **ICT Building Refurbishment** · Replacement of external cladding façade and fire rating upgrades · New teaching spaces including new teaching and AV equipment · ·Upgrade of outdoor areas to create informal learning and social spaces · Project forecasted to be completed on time and ready for Semester 1, 2022 · Project forecasted for completion under budget All other Hunter program related projects delivered within the program budget enveloped are completed, with the exception of minor post-completion activities which are not impacting relocations from the Hunter building and are scheduled for completion in early 2022. Major achievements on the program include: · Relocation of the Huxley Library collection to the Auchmuty Library · All the relocations were delivered within existing repurposed facilities, no new building or increased footprint · The program of works has been delivered within approved budget envelope
Approved budget	$36.63M (Strategic Program Incl. V Building)
Costs to date	$31.715M
Total expenditure to 31 December 2021	V Building $13M ICT Building: $10.5M (excludes equipment purchase) Hunter Program total expenditure to end of 2021: $31.715M
Dates of completion	· Hunter Program Stage 1 Completion in Feb 2021 · Hunter Program Stage 2 Completion end of 2021 (with the exception of School of Health Sciences teaching spaces - due for completion in early February 2022) · V Building Occupation Certificate achieved in December 2021
Significant cost overruns or delays / amendments / deferments / cancellations	Nil
Key activity for 2022	· V Building – complete relocation activity as staff return to campus following Christmas, and complete the external landscaping works · ICT Repurposing project completion and relocation of teaching activities from the Hunter building · Hunter building transition to a restricted building once vacant · Hunter building decommissioning enabling works

BIORESEARCH FACILITY

Describe nature and range of activities undertaken during 2021	Following the successful completion of the BioResearch facility, accreditation by the Department of Primary Industries (DPI) and achieving Office of the Gene Technology Regulator (OGTR) Certification, the building became officially operational in April 2021. The project team has continued to work with the Research and Innovation Division through operational transition and maximising the operations performance of the building. Defect identification and rectification have continued into 2022.
If practicable provide qualitative and quantitative performance measures showing efficiency and effectiveness	N/A
Major problems and issues which arose during 2021	N/A
Major works progress during 2021	• Building accreditation completed • Building transition to operation completed • Defects management
Approved budget	$37.5M
Costs to date	$36.4M
Total expenditure to 31 December 2021	$36.4M
Dates of completion	Q2 2021
Significant cost overruns or delays / amendments / deferments / cancellations	Nil
Key activity for 2022	• Defect rectifications and minor user requested enhancements of the facility. • Post completion construction contract services including building tuning, statutory maintenance and ongoing defect rectifications as identified

THE UNIVERSITY OF NEWCASTLE CENTRAL COAST CLINICAL SCHOOL

Describe nature and range of activities undertaken during 2021	Completion of fitout and building commissioning occurred during 2021, delivering 8,900 sqm of state-of-the-art clinical teaching facilities, tutorial rooms, individual and group study spaces, a dedicated Indigenous support centre and library.
	The food retail operator was identified, fitout completed and outlets became operational. Staff moved into the new building from mid-2021, with students welcomed from Semester 2 2021.
	The building is now occupied by The University of Newcastle Central Coast Clinical School and Central Coast Research Institute and work units from the Central Coast Local Health District.
	In addition to the high standard of teaching and learning facilities, another notable feature of the space is that the artworks adorning the wall were created by local and national Indigenous artists.
If practicable provide qualitative and quantitative performance measures showing efficiency and effectiveness	N/A
Major problems and issues which arose during 2021	COVID-19 was the major problem during 2021 with restrictions around some construction activities, supply chain issues and delays, location of the project on a hospital site and cases and isolation requirements impacting resourcing.
Major works progress during 2021	
Approved budget	$72.5M plus $3M in Interest earned: $75.5M
	Three streams of funding: Commonwealth ($32.5M), Health NSW ($20M) and University of Newcastle ($20M)
Costs to date	$72.5M
Total expenditure to 31 December 2021	$75.5M
Dates of completion	Q4 2021
Significant cost overruns or delays / amendments / deferments / cancellations	Nil
Key activity for 2022	The building is now fully occupied and operating within the defects and warranty period of the project through until June 2022.

NEWCASTLE CITY CAMPUS DEVELOPMENT

Describe nature and range of activities undertaken during 2021	Q building construction works continued in 2021, with the mass timber structure being completed, electrochromic glass façade installed, fit out works, commissioning and handover.
	The new flagship Innovation Hub at Q enables the University, through I2N, to promote enterprise skill development in students, researchers and industry to solve real-world problems by translating knowledge and research into new technologies and products. The expanded facilities for Creative Industries at Honeysuckle offer purpose-built production, music, animation, design, sound and arts studios and support students to become leaders in their fields.
	Q Building is a building of firsts for the University and following accreditation confirmation, it will be regional NSW's first fully accredited 6-star Green Star Building.
	It is also the first building that extends the University's vision to physically translate our respect for our First Nation's people. Like NUspace and our Callaghan campus, the ground on which the Q Building stands is Awabakal Land. The ground floor of Q was created to pay respect to the traditional owners and the design proposes a midden of Indigenous culture represented by a polished concrete floor incorporating shells and deposits from local archaeological excavations representing tens of thousands of years of Awabakal and Worimi people's occupation of these lands.
	The colour of the polished concrete was also chosen to reflect the colour of coal. The Awabakal people of Lake Macquarie and Newcastle used coal for fire to prepare food and references to coal were made in Awabakal myths and legends.
If practicable provide qualitative and quantitative performance measures showing efficiency and effectiveness	N/A
Major problems and issues which arose during 2021	• Resolution of the consent condition from the planning authority relating to the plant room aesthetics • Water damage and rectification works to the interior timber frame and floor insulation, due to a weather event whilst under construction
Major works progress during 2021	• Structure completed • Façade installation • Services rough in • Fit out completed • Commissioning completed • Transition and hand over
Approved budget	$25M
Costs to date	$24.85M
Total expenditure to 31 December 2021	$661K (incl Maths Stage 2)
Dates of completion	June 2021
Significant cost overruns or delays / amendments / deferments / cancellations	Nil
Key activity for 2022	• Announcement of successful 6-star Green Star accreditation • Defect rectifications and minor user requested enhancements of the facility • Post completion construction contract services including building tuning, statutory maintenance and ongoing defect rectifications as identified

MCMULLIN DEMOLITION

Describe nature and range of activities undertaken during 2021	The demolition of the McMullin and ancillary buildings proved to be a benchmark project for the University. The project team established complementary business protocols for planning, achieving and exceeding best practice sustainability through environmental, recycling, HAZMAT removal and safety across all phases of the demolition project.
	The demolition process became an exercise in closing the ecological loop. Crushed materials will be used in road bases on our campuses, aluminium is being smelted down to go back into the industry supply chain and all timber was stripped and is being made into new items such as kitchen joinery and benchtops. Where materials cannot be recycled, they have been donated for repurposing by community organisations.
	Following completion of the demolition, the project team embarked on a landscaping solution which will allow the site to be re-activated and opened to the University community whilst the STEMM building remains on hold. Some key features within the landscaping project are the placement of student artwork pieces from a design competition held in 2020, outdoor lawn and event spaces, and improving connectivity across the precinct via accessible pathways, lighting, and CCTV to buildings around the vicinity including the Great Hall and activated external spaces.
If practicable provide qualitative and quantitative performance measures showing efficiency and effectiveness	• Winner of the World Demolition Awards 2021 Recycling and Environmental category. • Short Listed for the Waste Innovation and Recycling Awards, winner to be announced in 2022 • 99.83 per cent of materials diverted from landfill – above Green Star standard for the project, diverting over 18,000t of product for reuse • 97 per cent "World Leading" Safety score by independent Auditor
Major problems and issues which arose during 2021	Significant hazardous materials were encountered requiring detailed removal under close air monitoring conditions. The demolition project had to be staged to facilitate complete hazardous material removal, testing, clearance certification, and heavy demolition.
Major works progress during 2021	Completion of the demolition project, achievement of an international award for recycling and sustainability in demolition, and commencement of the landscaping for the site.
Approved budget	$6M
Costs to date	$5.5M
Total expenditure to 31 December 2021	$5.5M
Dates of completion	September 2021
Significant cost overruns or delays / amendments / deferments / cancellations	Nil
Key activity for 2022	Completion of the landscaping of the McMullin Landscaping project and opening of the area to the University community for events, and enhanced enjoyment of the University's public domain areas.

THE FORUM	
Describe nature and range of activities undertaken during 2021	The works to upgrade the Forum Aquatic Centre included an overhaul of the pool infrastructure, complete re-tiling of the pool deck and pool shell, grandstand area, a new staff area, lifeguard tower, skylight panels and first aid bay. The amenities area was refurbished to include new bathroom and shower facilities, change areas, lockers and accessible bathroom facilities. The refurbishment also included the addition of a submersible swim wall, allowing the pool to be changed from a 50m length to 2 x 25m lengths to suit specific events and the installation of a compliant accessible ramp into the pool for disability access.
If practicable provide qualitative and quantitative performance measures showing efficiency and effectiveness	Amenities section of the project was fast-tracked and completed prior to the main pool works by a separate contractor, this allowed major progress to be captured early in the overall program and de-risking of remaining elements as a result of early completion of the amenities stage. The pool upgrade has provide a modern, cutting-edge facility with compliance upgrades and additional features including a swim wall to divide the pool to 25m lengths, and a wheelchair access ramp. The facility services not only the University, but a wide range of professional sporting groups, the local community, and learn to swim organisations, strengthening the industry partnerships with the University.
Major problems and issues which arose during 2021	The availability of specialist pool contractors was a challenge. Given COVID-19 the State's forced closure of indoor public pools, many other organisations took advantage of the down time to undertake refurbishments and pool upgrades. This demand on the market resulted in procurement challenges and associated timeframes in securing the services of specialist pool contractors. NUsport worked closely with the University of Newcastle on the Project Board to ensure scope was maximised and impacts of down-times and disruptions were minimised wherever possible.
Major works progress during 2021	Completion of the amenities and the pool works and successful re-opening of the facility.
Approved budget	$7.8M
Costs to date	$7.8M
Total expenditure to 31 December 2021	$7.8M
Dates of completion	June 2021
Significant cost overruns or delays / amendments / deferments / cancellations	Nil
Key activity for 2022	Monitoring for defects and continuing to support NUsport in the operation of a world-class facility.