

PART 4

APPENDICES

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A

FIVE YEAR KEY
STATISTICS

	CATEGORY	2015	2016	2017	2018	2019	% CHANGE 2015-2019	% CHANGE 2018-2019
Number of students¹	Total	38,109	37,186	37,043	37,670	37,946	-0.4%	0.7%
	Commencing	15,939	16,098	16,392	17,454	16,812	5.5%	-3.7%
Student load²	Total	25,186	24,509	24,595	25,617	25,974	3.1%	1.4%
	Undergraduate	18,644	18,202	18,425	19,402	19,863	6.5%	2.4%
	Postgraduate Coursework	2,910	2,638	2,460	2,521	2,590	-11.0%	2.8%
	Higher Degree Research	1,192	1,234	1,334	1,426	1,343	12.7%	-5.8%
	Other (Enabling, ELICOS, Non Award)	2,440	2,435	2,376	2,268	2,178	-11.0%	-4.0%
Funding type³	Commonwealth-supported	19,083	18,730	18,881	19,467	19,736	3.4%	1.4%
	Fee-paying overseas	1,749	1,484	1,312	1,245	1,259	-28.0%	1.1%
	Fee-paying domestic	4,355	4,294	4,402	4,905	4,979	14.3%	1.5%
Award completions⁴	Total	7,384	7,108	7,271	6,550	6,725	-9.0%	3.0%
	Undergraduate	4,572	4,519	4,688	4,401	4,571	0.0%	4.0%
	Postgraduate Coursework	2,566	2,348	2,333	1,881	1,902	-26.0%	1.0%
	Higher Degree Research	246	241	250	268	252	2.0%	-6.0%
Full-time staff (FTE)⁵	Total	2,644	2,672	2,754	2,680	2,766	4.6%	3.2%
	Academic	1,035	1,068	1,096	1,107	1,137	9.8%	2.7%
	Professional	1,610	1,604	1,658	1,573	1,629	1.2%	3.6%
Work function (FTE)	Teaching only	26	29	24	32.24	44.36	70.6%	37.6%
	Research only	394	436	454	458	485	23.0%	5.9%
	Teaching and research	751	746	761	748	755	0.6%	1.0%
	Other	1,473	1,462	1,516	1,442	1,482	0.6%	2.8%
Casual staff⁶	Total	442	469	462	483	478	8.1%	-0.9%
	Academic	250	264	280	291	291	16.4%	0.0%
	Professional	192	205	182	192	187	-2.6%	-2.4%

Notes: Rounding errors may occur. Data subject to revision. Student data source: The University of Newcastle Data Warehouse 5 February 2020. 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 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–31 March. Data source: The University of Newcastle Data Warehouse 31 March 2020. 5. Staff Full-time Equivalent (FTE) positions occupied by full-time and part-time staff members as at 31 March (excluding Independent Operations). 6. Casual staff full year FTE positions occupied during year (excluding Independent Operations). 2019 casual FTE is preliminary and subject to validation and submission to Department of Education, Skills and Employment at 30 June 2020.

B

ACADEMIC SENATE PROGRAM DEVELOPMENT AND ASSURANCE

During 2019 the committees of Academic Senate reviewed the academic content of 29 new or replacement programs and recommended that Academic Senate establish 14 new awards.

Academic Senate approved the discontinuation of 17 existing programs. Professional accreditation was received for 15 programs and 20 programs were externally reviewed.

ACADEMIC SENATE PROGRAM DEVELOPMENT

Faculty of Business and Law

- Bachelor of Science/Bachelor of Laws (Honours)
- Executive Master of Business Administration
- Graduate Certificate in Financial Planning
- Graduate Certificate in Health Economics, Management and Policy
- Master of Professional Accounting/Master of Business Administration

Faculty of Education and Arts

- Bachelor of Arts (Honours)
- Bachelor of Music
- Bachelor of Music/Bachelor of Arts
- Bachelor of Visual Communication Design
- Graduate Diploma in Education Studies
- Master of Teaching (Primary)
- Master of Teaching (Secondary)

Faculty of Engineering and Built Environment

- Bachelor of Aerospace Systems Engineering (Honours)
- Bachelor of Chemical Engineering (Honours)/Bachelor of Science
- Bachelor of Computer Systems Engineering (Honours)/Bachelor of Science
- Bachelor of Electrical and Electronic Engineering (Honours)/Bachelor of Science
- Bachelor of Mechanical Engineering (Honours)/Bachelor of Science
- Bachelor of Mechatronics Engineering (Honours)/Bachelor of Science
- Master of Cyber Security
- Master of Materials Science and Engineering

Faculty of Science

- Bachelor of Coastal and Marine Science
- Bachelor of Mathematics (Advanced)
- Bachelor of Psychology (Advanced)
- Bachelor of Science (Advanced)
- Graduate Diploma in Data Science and Analytics
- Master of Business Administration (Global)/Master of Science (Data Analytics)
- Master of Data Science
- Master of Science (Data Analytics)

English Language and Foundation Studies Centre

- Open Foundation

ACCREDITATION

Faculty of Education and Arts

The following programs have been reviewed by the New South Wales Education Standards Authority (NESA) and were granted accreditation:

- Bachelor of Education (Secondary)
- Bachelor of Education (Secondary) (Honours)
- Bachelor of Education (Primary)
- Bachelor of Education (Primary) (Honours)
- Bachelor of Education (Early Childhood and Primary)
- Bachelor of Education (Early Childhood and Primary) (Honours)

The Bachelor of Speech Pathology (Honours) was reviewed by Speech Pathology Australia and was granted accreditation.

The Bachelor of Social Work (Honours) was reviewed by the Australian Association of Social Workers and was granted accreditation.

Faculty of Engineering and Built Environment

The Bachelor of Construction Management (Building) (Honours) was reviewed by the Royal Institute of Chartered Surveyors (RICS) and the Australian Institute of Quantity Surveyors (AIQS) and was granted continuing full accreditation.

The Bachelor of Electrical and Electronic Engineering (Honours) and the Bachelor of Mechanical Engineering (Honours) were reviewed by Engineers Australia and granted conditional accreditation at UON Singapore.

The Bachelor of Civil Engineering (Honours) was reviewed by Engineers Australia and was granted provisional accreditation at UON Singapore.

The Bachelor of Surveying (Honours) was reviewed by the Council of Reciprocating Surveyors Boards of Australia and New Zealand (CRSBANZ) and was granted full accreditation.

Faculty of Science

The Bachelor of Psychological Science (Advanced) was reviewed by the Australian Psychology Accreditation Council and was granted accreditation.

The Bachelor of Exercise and Sport Science was reviewed by Exercise and Sport Science Australia and was granted provisional accreditation.

ACADEMIC PROGRAM REVIEW**Faculty of Business and Law**

- Master of Applied Finance
- Graduate Certificate in Applied Finance
- Master of Business Administration
- Graduate Certificate in Business Administration
- Master of Human Resource Management
- Graduate Certificate in Human Resource Management
- Master of International Business
- Master of Marketing
- Graduate Certificate in Marketing
- Bachelor of Laws (Honours) combined
- Bachelor of Laws (Honours)/Diploma of Legal Practice
- Juris Doctor/Graduate Diploma in Legal Practice

Faculty of Health and Medicine

- Bachelor of Midwifery
- Bachelor of Midwifery (Honours)
- Bachelor of Nursing
- Bachelor of Nursing (Honours)
- Master of Family Studies
- Graduate Certificate in Family Studies

Faculty of Science

- Bachelor of Biotechnology
- Bachelor of Biotechnology (Honours)

C

STUDENT STATISTICS

TABLE 1: STUDENT LOAD (EFTSL) BY STUDENT TYPE

	2015	2016	2017	2018	2019
Domestic	20,835	20,218	20,171	20,691	20,978
International Onshore	3,043	3,254	3,480	3,904	3,882
International Offshore	1,307	1,037	943	1,022	1,114
Total	25,186	24,509	24,595	25,617	25,974

TABLE 2: STUDENT LOAD (EFTSL) BY ACADEMIC LEVEL

	2015	2016	2017	2018	2019
Undergraduate	18,644	18,202	18,425	19,402	19,863
Postgraduate Coursework	2,910	2,638	2,460	2,521	2,590
Higher Degree by Research	1,192	1,234	1,334	1,426	1,343
Non-award	343	301	312	320	250
Enabling	1,616	1,682	1,675	1,546	1,575
ELICOS	482	452	390	402	353
Total	25,186	24,509	24,595	25,617	25,974

TABLE 3: ENROLMENTS BY FACULTY/DIVISION

	2015	2016	2017	2018	2019
Business and Law	6,127	5,968	5,891	6,133	6,144
Education and Arts	9,137	8,507	8,965	8,699	8,584
Engineering and Built Environment	4,643	4,752	5,550	6,064	6,032
Health and Medicine	7,635	7,558	7,792	7,886	8,166
Science	5,350	5,068	3,410	3,443	3,668
Other University ¹	5,217	5,333	5,435	5,445	5,352
Total	38,109	37,186	37,043	37,670	37,946

TABLE 4: STUDENT LOAD (EFTSL) BY LOCATION

	2015	2016	2017	2018	2019
Newcastle	17,397	17,406	17,753	18,474	18,373
Central Coast	2,965	2,793	2,704	2,685	2,661
Port Macquarie	266	252	253	254	232
Sydney	539	545	492	503	362
UON Singapore	1,241	1,001	910	982	1,082
Online	2,503	2,301	2,411	2,718	3,112
Other University ¹	275	211	72	2	151
Total	25,186	24,509	24,595	25,617	25,974

1. Other University includes Broken Bay Institute, Hong Kong Management Association (HKMA) and Research off campus. Source for tables 1-4: University of Newcastle Data Warehouse 5 February 2020

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

D

EQUITY AND DIVERSITY

GENDER

In 2018, the University of Newcastle was one of only 15 universities/research institutions to receive a SAGE Athena SWAN Bronze Award following a two-year pilot which included development of a four-year (evidence-based) action plan to improve the representation and retention of women in STEM.*

In 2019, we commenced the implementation of this plan, with priority given to first establishing governance and leadership roles to ensure the University delivers on approximately 80 action items. Establishment of new leadership roles of five Assistant Deans Equity, Diversity and Inclusion (complementing the inaugural Women in STEM Chair appointment in late 2018) ensures responsibility in achieving goals is shared across the University and equity and diversity is part of localised decision making.

Several additional achievements were made such as key policy review and updates; increased flexibility for staff on, and returning from, parental leave; equity grants for return to work and PhD completion; and development of Gender Recruitment Guidelines. The University was also recognised as a Women in STEM Decadal Plan Champion in recognition of its achievements to date and strategies to address gender inequities in STEM.

During 2019, we exceeded our target of 30 per cent representation for senior academic women through succession planning, strategic recruitment and a successful promotion round. Women had a success rate of 89 per cent (across all levels) and represented 64 per cent of the total promotions for men and women. During the year, women were further encouraged to apply and were supported through a number of initiatives including tailored information sessions, mentors and mock interviews. In addition, a further 10 Women in Research (WIR) Fellowships were awarded, bringing the total to 30 since the commencement of the program in 2017. Recipients receive flexible funding to assist with re-invigorating or furthering their research career which will assist with career progression and future promotion.

In 2019, the University again ran its Academic Women in Leadership (AWiL) program, Ignite, and we had 17 participants graduate. Ignite is an Athena SWAN and Senior Academic Women initiative, helping senior women navigate their academic careers within a complex university system. Through building their leadership knowledge and skills, and increasing their confidence through coaching and networking opportunities, women are empowered to take up leadership positions across the University and progress through academic promotion.

ABORIGINAL AND TORRES STRAIT ISLANDER REPRESENTATION

The University of Newcastle's new Aboriginal and Torres Strait Islander employment strategy was formally launched in November 2019. The *Maligagu Aboriginal and Torres Strait Islander Employment Strategy and Action Plan 2020-2025* reflects our longstanding commitment to the advancement of Aboriginal and Torres Strait Islander peoples and will provide a roadmap for achieving our target of 3.9 per cent Indigenous staff representation by the end of 2020. Four key priority areas have been identified in the Strategy: Attraction and Recruitment; Environment and Retention; Development and Advancement; and Governance and Leadership.

Central to the strategy is the establishment of career pathways for Aboriginal and Torres Strait Islander staff members, with each division/faculty establishing entry-level positions within their staff profiles. Once these staff members develop the skills and knowledge they need to progress to other roles in the University, the position will be re-filled with another Indigenous staff member. In addition, the University is strategically recruiting for more established Indigenous staff in both professional and academic cohorts and will develop these staff to be leaders in their field and the community.

New leadership appointments, including the newly-appointed Pro Vice-Chancellor Indigenous Strategy and Leadership, Nathan Towney, and roles such as the Assistant Deans Equity, Diversity and Inclusion, will ensure that accountability for implementing the employment strategy and achieving the 3.9 per cent target is shared across the University. It will also ensure that the employment of Aboriginal and Torres Strait Islander peoples is part of a broader strategy encompassing staff, students and members of the community.

Harnessing Indigenous student talent as a means of building a pipeline for future Indigenous staff is an important feature of our strategy. In 2019, we continued to nurture our current Indigenous cadets, with more to be appointed in 2020. The University also entered into a MOU with the Aurora Foundation to further support the nexus of students and staff. We also signed an MOU with the Sydney Poche Centre for Indigenous Health as part of our commitment to improving the health of Indigenous communities.

Other achievements included:

- Attendance and presentation of the *University of Newcastle Aboriginal and Torres Strait Islander Employment Strategy and Action Plan 2020-2025* at the National Indigenous Employment Coordinators Network Forum
- Employment Information stall at 2019 NSW Annual Aboriginal Rugby League Knockout
- Attendance at Annual National NACCHO Aboriginal Men's Health Forum
- Attendance at NAIDOC march and celebrations
- Community consultation with key Aboriginal and Torres Strait Islander organisations on the Central Coast
- Roll out of the SBS Cultural Awareness Training (Indigenous) suite to all staff.

STAFF EQUITY STATISTICS**TABLE 1: TRENDS IN THE REPRESENTATION OF EEO TARGET GROUPS¹**

	% OF TOTAL STAFF ²										
	BENCHMARK OR TARGET	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019
Women	50	60.2	60.5	60.8	60.7	61.0	61.5	60.9	61.6	61.9	62.9
Aboriginal and Torres Strait Islander peoples	3.9	2.5	2.7	2.8	2.5	2.7	2.5	2.5	2.6	2.2	2.3
People whose first language was not English	19	7.7	7.8	8.0	7.7	9.8	9.2	9.2	8.7	9.7	9.7
People with a disability	n.a.	2.9	2.7	2.5	2.2	2.5	2.4	2.3	2.3	2.2	2.2
People with a disability requiring work-related adjustment	1.5	0.6	0.6	0.6	0.5	0.6	0.4	0.5	0.5	0.5	0.5

TABLE 2: REPRESENTATION OF EEO TARGET GROUPS: ACADEMIC AND GENERAL STAFF²

EEO GROUP	% OF TOTAL STAFF ²	% OF TOTAL STAFF ²	AWARD	
	BENCHMARK OR TARGET	TOTAL		
Women	50.0	62.9	Academic	51.9%
			Professional	70.7%
			Teacher	73.0%
Aboriginal and Torres Strait Islander peoples	3.9	2.3	Academic	2.1%
			Professional	2.4%
			Teacher	-
People whose first language was not English	19.0	9.7	Academic	16.5%
			Professional	4.7%
			Teacher	8.1%
People with a disability	n.a.	2.2	Academic	2.1%
			Professional	2.2%
			Teacher	-
People with a disability requiring work-related adjustment	1.5	0.5	Academic	0.4%
			Professional	0.5%
			Teacher	-

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

TABLE 3: TRENDS IN THE DISTRIBUTION OF EEO TARGET GROUPS

	DISTRIBUTION INDEX ³										
	BENCHMARK OR TARGET	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019
Women	100	81.2	81.6	82.3	82.7	82.1	83.1	82.7	82.4	83.4	82.6
Aboriginal and Torres Strait Islander peoples	100	83.4	85.1	85.0	87.9	89.5	91.1	92.7	91.0	87.0	87.1
People whose first language was not English	100	111.2	111.4	110.8	111.5	110.2	111.5	111.5	115.0	112.5	114.0
People with a disability	100	101.9	100.1	101.2	100.9	105.8	101.8	103.5	102.5	104.0	103.8
People with a disability requiring work-related adjustment	100	107.5	102.7	105.7	105.2	112.6	107.4	112.9	109.2	112.1	109.1

Source: Ascender HR Database

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

	DISTRIBUTION INDEX ³		AWARD	
	TARGET	TOTAL		
Women	100	82.6	Academic	89.4
			Non-academic	89.8
Aboriginal and Torres Strait Islander peoples	100	87.1	Academic	80.4
			Non-academic	90.8
People whose first language was not English	100	114.0	Academic	93.6
			Non-academic	101.4
People with a disability	100	103.8	Academic	108.1
			Non-academic	94.1
People with a disability requiring work-related adjustment	100	109.1	Academic	108.1
			Non-academic	108.7

Source for tables 3 and 4: Ascender HR Database Notes: 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.

STUDENT FOCUSED INITIATIVES

Student Central is often the first point of contact for students requiring help and advice about most of the University of Newcastle's facilities, services and procedures. The Student Central team is also involved in a range of student equity and support initiatives addressing students' needs.

2019 events and projects

These included the following:

Students with a Refugee Background or Experience

These students were invited to participate in the Centre for Excellence in Equity and Higher Education (CEEHE) gatherings, student events, education supports, scholarships and conferences. When students enrol at the University, they are invited to identify whether they have a refugee background or experience. The University is working with Settlement Services International, Jesmond Neighbourhood Centre, NSW Service for the Treatment and Rehabilitation of Torture and Trauma Survivors (STARTTS) and Northern Settlement Services to create more pathways for entry and opportunities to engage with these students. The University has a dedicated Equity Diversity and Inclusion Coordinator to support these students.

Refugee Week

The University actively participated in Unity in Diversity's Refugee Week event. Over 1,000 people attended, enjoying more than 20 cultural performances, international food and free activities for community and families.

International Women's Day

International Women's Day was a collaboration between the University's Student Central and various student organisations including the Newcastle University Students' Association (NUSA); the Newcastle University Postgraduate Students' Association (NUPSA); the Women's Collective; Queer Collective; Indigenous Collective; homelessness service, NOVA for Women and Children and external providers. The theme was 'Balance for Better' and 10 cultural groups were represented. The day focused on balance; celebrating its presence, and noting its absence and the role we all share in ensuring there is more of it.

Harmony Day

The theme of Harmony Day was 'Everyone Belongs' and approximately 200 people attended. Key stakeholders included students' associations and clubs, comprising over 28 discrete groups.

SBS Cultural Competency Modules

In 2019, the University of Newcastle introduced the SBS Cultural Competency Program for the benefit of staff and students. The program, developed by the SBS, International Education Services and Multicultural NSW, explores topics such as cross-cultural communication, addressing stereotypes, diversity and the benefits of multiculturalism. Using video interviews, animated education graphics and interactive activities, the program provides participants with practical skills and culturally specific knowledge which can be applied to study and everyday life. Of the students who attempted the modules, 62 per cent were successful in passing all eight modules.

The ALLY Network

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. An 'Ally' is a staff member or student leader on campus who, through attending professional development, is aware of the issues faced by members of the LGBTIQ+* community. In 2019, Student Central delivered five ALLY training sessions and more than 130 staff and student leaders participated.

* This includes: lesbian, gay, bisexual, transgender, intersex, queer, asexual, agender, aromantic; + other diverse sexual orientations and gender identities

CEEHE

The Centre of Excellence for Equity in Higher Education (CEEHE) is a world first model, bringing together research and innovative practice to generate the highest level, transformative impact for equity and excellence in higher education. CEEHE generates innovative research-informed equity practice and outstanding practice-informed research with international reach, significance and relevance. A rigorous research oriented approach to practice ensures that the University of Newcastle is on the cutting edge of policy and practice, is future facing and student centred.

2019 HIGHLIGHTS

The following highlights occurred in 2019:

SUPERBE

The Strategy Undergirding Participation and Empowerment for Refugee Backgrounds in Education (SUPERBE) is a suite of programs and engagements run across the community and within the University of Newcastle. Elements of the program include ongoing advice; informal student gatherings where students can connect, share experiences, and learn about relevant services; and partnership with external networks such as the Newcastle Multicultural Youth Group which supports approximately 45 school students from refugee backgrounds.

In 2019, 60 students from Callaghan College participated in a leadership day held at the University of Newcastle. Student representatives led the workshop and Indigenous Health Project Officer, Simon Munro, from the University's Department of Rural Health, delivered the keynote speech.

Reclaiming My Place

This is an eight-week, arts informed program for women who have experienced the trauma of gendered violence. It is delivered in partnership with community-based services and learning partners, to creatively explore opportunities for engagement in lifelong learning. In 2019, the program formed part of a larger significant grant from the NSW Minister for Women's 'Investing in Women' project.

The Equity and Social Justice Strategic Framework

The Equity and Social Justice Strategic Framework was established as the University's *Higher Education Participation Partnerships Program (HEPPP) 2019 Access Plan*. The framework outlines how the University's commitment to equity and excellence will be further embedded in institutional strategies, practice, research and pedagogy. Drawing on Nancy Fraser's (1997) multi-dimensional social justice framework for parity of participation, it establishes three key principles: Resource Accountability (Redistribution); Co-Development (Representation); and Valuing Diversity and Difference (Recognition).

The National Writing Program for Equity & Widening Participation Practitioners

This is a year-long program covering critical research, analysis and writing. Participants attend workshops and are mentored by leading academics in the field from around Australia and the world. The program aims to bring practitioner voices into academia, build methodological capacity for research and develop capacity around critical reading and writing. An important outcome of the program is the collective work of the cohort to examine and innovate within their widening participation practice. In 2019, alongside the program, CEEHE held a forum to bring together past and present participants, published a Special Issue in the journal, *International Studies of Widening Participation* and presented on the program at a national conference.

The Excellence in Teaching for Equity and Higher Education (ETEHE) and the Educator Network (Research Stream) Program (within the University of Newcastle)

This program is guided by a praxis-based framework where research teams work with a senior academic mentor and are supported in a community of praxis through sustained mentorship and co-exchange. The aim is to generate research for high-level and meaningful forms of impact. In 2019, several projects continued with support from mentors and the first in a series of ETEHE Research Reports, *Yearning to Yarn: Using Aboriginal ways of knowing and learning to support clinical placement experiences of Aboriginal health professional students* was produced. A suite of briefing sheets on projects developed in the scheme were made available online.

Research Excellence in Equity in Higher Education

In 2019, CEEHE researchers were awarded three grants under the HEPPP National Priority Pool and National Centre for Student Equity in Higher Education (NCSEHE) grant schemes and supported many applications through peer review and submission processes. The projects are designed to generate the highest quality research that will make a direct contribution to Australian equity in higher education policy and practice.

E

HUMAN
RESOURCES

2019 HIGHLIGHTS

 2018 Enterprise Agreement implementation

 Progress on Athena SWAN Action Plan

 Employer of Choice citation awarded

 Indigenous Employment Strategy launched

 UON Academy

 Your Voice Survey

 Superannuation Remediation Project

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 2019, HRS delivered many successful operational and strategic initiatives aligned with the *NeW Futures Strategic Plan 2016-2025*.

2018 ENTERPRISE AGREEMENTS IMPLEMENTATION

The University's two new Enterprise Agreements were approved by the Fair Work Commission (FWC) in March 2019. Following approval, an extensive implementation plan was undertaken which included Faculty and Division roadshows, development of leaders' understanding of the changes and HR system and policy adjustments.

ATHENA SWAN BRONZE AWARD (ACCREDITATION)

As part of the Athena SWAN Action Plan, new governance and leadership roles were established including the inaugural Women in STEMM Chair; five new Assistant Deans Equity, Diversity and Inclusion; Faculty Equity, Diversity and Inclusion Committees; and the Athena Swan Working Party.

EMPLOYER OF CHOICE CITATION AWARDED

The University was again recognised by the Workplace Gender Equality Agency (WGEA) as an Employer of Choice for Gender Equality for the sixth successive year. The citation recognises our commitment and progress towards gender equity through policies and best practice strategies that provide an inclusive and equitable workplace culture where staff can excel.

INDIGENOUS EMPLOYMENT STRATEGY LAUNCHED

In November, the *Maligagu Aboriginal and Torres Strait Islander Employment Strategy and Action Plan 2020-2025* was developed and launched. Under this strategy, we aim to achieve our 2020 target of a workforce that is 3.9 per cent Indigenous — a reflection of the community we represent.

REFINEMENT AND EMBEDDING OF PRD

Following staff feedback, our Performance Review and Development (PRD) system was improved to be more user friendly and streamlined. Following these system changes, a large-scale staff engagement plan was implemented which included improved process flow, refined staff resources and practical PRD drop-in sessions.

UON ACADEMY

The UON Academy continued to develop, support and engage our sessional academic staff through semester e-newsletters, communication of development opportunities, professional development awards and networking events. Over 80 sessional staff attended the inaugural Connect 2019 expo in August, which was a joint initiative of the UON Academy, the Educator Network (tEN) and Centre for Teaching and Learning (CTL). The expo provided short presentations as well as several booths to develop skills and assist sessional staff with tools to enhance their teaching impact.

YOUR VOICE SURVEY

In February, we launched the Your Voice survey, a confidential survey run by the Voice Project. We ran two surveys concurrently for ongoing, fixed-term and professional casual staff, as well as sessional academic staff and made survey results available to all staff. Leaders undertook analysis and presented staff briefings which contributed to priorities for actions across all work areas. University-wide activities have progressed to improve in these areas.

SUPERANNUATION REMEDIATION PROJECT

The Superannuation Remediation Project Team undertook work to finalise the superannuation remediation payments for remaining affected staff. In addition, several system and process changes were implemented to resolve underlying issues on an ongoing basis and also to mitigate the risk of the issue reoccurring. These changes have strengthened University governance and controls and significantly reduced the University's compliance risk.

1. See Appendix D, page127 for further information

FIGURE 1
FIXED-TERM AND CONTINUING STAFF FTE

(As at 31 March 2019)

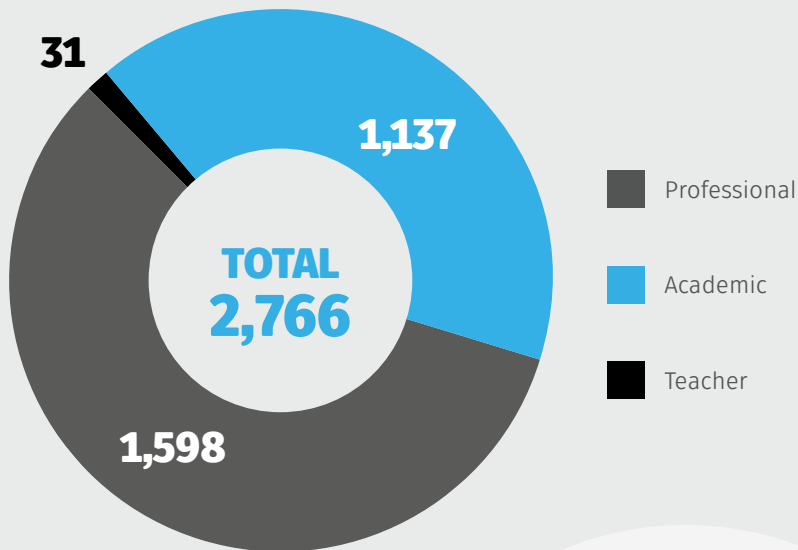


FIGURE 2
CASUAL AND SESSIONAL STAFF FTE

(1 January to 31 December 2019)

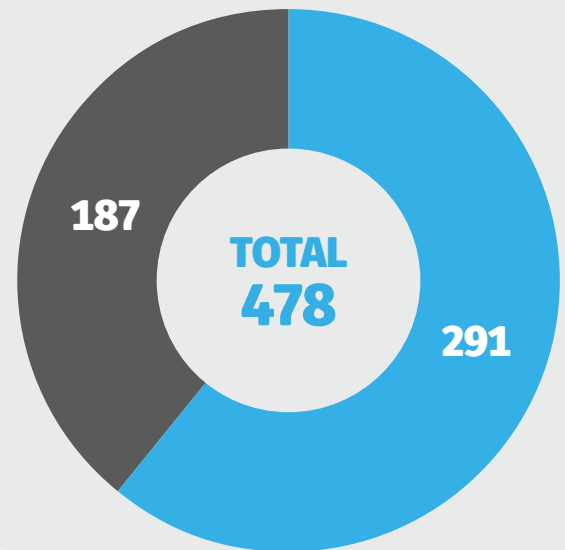


FIGURE 3
JOB APPLICANTS

(1 January to 31 December 2019)



6,923

total number of applicants

TABLE 1: CONJOINT STAFF

(as at 31 March 2019)

FACULTY/DIVISION	TOTAL
Academic Division	12
Faculty of Business and Law	49
Faculty of Education and Arts	145
Faculty of Engineering and Built Environment	128

FACULTY/DIVISION	TOTAL
Faculty of Health and Medicine	1,262
Faculty of Science	206
Research and Innovation Division	2
Total	1,804

Source: Figure 1 Department of Education, Skills and Employment, Higher Education Staff Statistics Figure 2 Ascender HR Database Preliminary figures subject to validation and submission to Department of Education, Skills and Employment at 30 June 2019 Figure 3 Ascender HR Database

**TABLE 2: NUMBER OF ACADEMIC STAFF BY APPOINTMENT TERM, LEVEL AND GENDER 2016-2019
(AS AT 31 MARCH 2019)**

	LEVEL	2016			2017			2018			2019		
		FEMALE	MALE	TOTAL	FEMALE	MALE	TOTAL	FEMALE	MALE	TOTAL	FEMALE	MALE	TOTAL
Continuing	A	11	6	17	15	8	23	15	9	24	16	8	24
	B	109	89	198	91	65	156	82	56	138	84	47	131
	C	84	117	201	93	114	207	98	105	203	97	100	197
	D	50	83	133	51	80	131	52	86	138	61	87	148
	E	23	102	125	33	108	141	39	110	149	41	107	148
Continuing total		277	397	674	283	375	658	286	366	652	299	349	648
Fixed-term	A	82	87	169	99	84	183	113	106	219	132	105	237
	B	148	86	234	156	95	251	149	99	248	172	104	276
	C	28	32	60	36	42	78	43	39	82	47	39	86
	D	5	17	22	10	21	31	10	15	25	11	16	27
	E	17	33	50	17	37	54	22	32	54	23	37	60
Fixed-term total		280	255	535	318	279	597	337	291	628	385	301	686
Total		557	652	1209	601	654	1,255	623	657	1,280	684	650	1334

**TABLE 3: NUMBER OF PROFESSIONAL STAFF BY APPOINTMENT TERM, HEW LEVEL AND GENDER 2016-2019
(AS AT 31 MARCH 2019)**

	HEW	2016			2017			2018			2019		
		FEMALE	MALE	TOTAL	FEMALE	MALE	TOTAL	FEMALE	MALE	TOTAL	FEMALE	MALE	TOTAL
Continuing	2	2		2	1		1	1		1	1		1
	3	42	27	69	30	15	45	32	13	45	28	8	36
	4	126	20	146	115	17	132	112	16	128	98	12	110
	5	159	44	203	169	47	216	156	44	200	160	34	194
	6	142	53	195	150	63	213	140	57	197	141	63	204
	7	155	85	240	160	85	245	161	79	240	161	77	238
	8	93	60	153	96	67	163	96	71	167	93	75	168
	9	44	28	72	49	28	77	47	26	73	55	29	84
	10	27	20	47	21	21	42	23	21	44	20	21	41
Continuing total		790	337	1,127	791	343	1,134	768	327	1,095	757	319	1076
Fixed-term	<1	1	0	1	1		1				2	1	3
	1	11	4	15	11	1	12	2	2	4			
	2	58	37	95	48	33	81	40	27	67	40	29	69

Source for tables 2-4: Department of Education, Skills and Employment 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.

TABLE 3: NUMBER OF PROFESSIONAL STAFF BY APPOINTMENT TERM, HEW LEVEL AND GENDER 2016-2019 (AS AT 31 MARCH 2019) (CONTINUED)

	HEW	2016			2017			2018			2019		
		FEMALE	MALE	TOTAL	FEMALE	MALE	TOTAL	FEMALE	MALE	TOTAL	FEMALE	MALE	TOTAL
	3	20	11	31	30	20	50	36	15	51	47	17	64
	4	67	20	87	78	23	101	65	23	88	91	30	121
	5	162	30	192	189	36	225	165	52	217	167	62	229
	6	120	41	161	125	41	166	121	34	155	127	43	170
	7	78	39	117	83	39	122	69	32	101	84	34	118
	8	33	32	65	32	30	62	32	22	54	40	24	64
	9	11	18	29	8	18	26	8	9	17	11	9	20
	10	12	9	21	14	13	27	13	16	29	11	23	34
Fixed-term total		573	241	814	619	254	873	551	232	783	620	272	892
Total		1,363	578	1,941	1,410	597	2,007	1,319	559	1,878	1,377	591	1,968

TABLE 4: NUMBER OF ACADEMIC AND PROFESSIONAL STAFF BY APPOINTMENT TERM AND GENDER 2016-2019 (AS AT 31 MARCH 2019)

	2016			2017			2018			2019		
	FEMALE	MALE	TOTAL	FEMALE	MALE	TOTAL	FEMALE	MALE	TOTAL	FEMALE	MALE	TOTAL
Continuing	1,067	734	1,801	1,074	718	1,792	1,054	693	1,747	1,056	668	1,724
Fixed-term	853	496	1,349	937	533	1,470	888	523	1,411	1,005	573	1,578
Total	1,920	1,230	3,150	2,011	1,251	3,262	1,942	1,216	3,158	2,061	1,241	3,302

Source for tables 2-4: Department of Higher Education, Skills and Employment 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.

EMPLOYEE POLICIES AND PRACTICES

In 2019, Enterprise Bargaining moved into the implementation phase. Employee Relations has conducted familiarisation briefings and sessions to support the operationalisation of the two agreements, especially the new provisions such as Educational Focused Academics and Industry and Clinical Educators. Feedback to the new agreements has generally been positive and the transition from three to two does not seem to have caused any transitional problems.

Work has also been done to operationalise some of the more sensitive provisions regarding paid Domestic Violence Leave and the encashment of excess annual leave.

The effective implementation of Organisational Change continued to be an area of focus, debate and improvement in 2019. A number of organisational changes including Academic Division, Port Macquarie, Faculty of Engineering (PVC Unit), Newcastle Business School and IT Services were supported.

In 2019, a number of complex cases were addressed and resolved.

HEALTH, SAFETY AND WELLBEING

The University of Newcastle is committed to developing a culture that strives for continuous improvement in health, safety and wellbeing that embodies strong leadership commitment, high levels of staff participation and engagement and is integrated into business decisions and processes.

In 2019, the University identified four health, safety and wellbeing principles that provide the framework for our new *Health, Safety and Wellbeing Strategy 2019-2021*. These are:

- **Leadership and Commitment:** Our leaders are committed to effective leadership and management through their behaviours and engagement to drive a positive safety culture.
- **Ownership and Engagement:** We encourage a culture of genuine care and commitment to enhance physical and mental wellbeing.
- **Risk Management and Assurance:** We take a risk-based approach and engage directly with the people involved in the work. We monitor performance and seek opportunities to drive continuous improvement.
- **Wellbeing of our People:** University staff and students have strong awareness of WHS matters and are confident to participate and be a part of identifying solutions.

2019 KEY INITIATIVES

In 2019, we undertook the following key initiatives to support our new health, safety and wellbeing strategy:

Safety Culture

Safety 'walk and talks' led by Executive Committee members were introduced. This enhanced both leader and staff engagement and resulted in collaborative improvements in work, health and safety outcomes.

The Executive Committee and the University Council fulfilled their H&S management role with ongoing discussion of performance trends, mitigating actions and the effectiveness of improvement activities.

Council reviewed and discussed their due diligence responsibilities and other relevant H&S information provided by the University.

People and Wellbeing

The highly successful 'R U OK Day' focussed on mental health and support for staff across all University of Newcastle campuses.

A variety of programs were offered to encourage physical and mental health including mental health awareness for managers, mental health first aid, aggression minimisation training, resilience through organisational change, pilates and yoga, special programs offered via the Employee Assistance Program (EAP) provider and ergonomics assessments and training.

A strong representation in the University 10,000 Step Challenge (third place) and a number of informal sporting activities undertaken during 2019 provided a foundation for increased wellness activity.

We supported 69 people through the 'Well to Work' program. This program supports employees who are injured outside of work but require assistance to make a swift and productive return to work.

The Early Intervention Physiotherapy Program (EIP) continued to deliver strong outcomes with 221 visits (an average of three visits per case) scheduled. In this program, staff reporting low level physical pain (that if not treated may exacerbate and result in a workers' compensation claim), are referred to physiotherapy for early treatment to reduce pain and the risk of a claim.

Risk Management

The safety review process for assessing the risks of research and other projects is well established across the University with a total of 496 applications being reviewed during the year. These included projects involving hazardous substances, radiation, genetically modified organisms, teaching and research field trips and travel to destinations overseas that are deemed high-risk according to their security and medical classifications.

The University Institutional Biosafety Committee (IBC) and the Chemical and Radiation Technical Committee (CRTC) coordinated the certification and annual IBC inspections of certified facilities with 36 inspections conducted in 2019.

The introduction of the Historian Online Radiation Management System has been used to manage personal radiation monitoring data for all University radiation workers (past and present). The University of Newcastle is the first University to purchase Historian and we are continuing to work with the vendor to enhance and develop Historian's capability to manage other compliance areas and help develop sector-leading management practices in this area.

During 2019, we undertook inspections of chemical holdings in a cross-section of research and teaching facilities at NIER and the University of Newcastle campus at Callaghan in order to verify the accuracy of the ChemWatch Chemical Manifest. The first round of inspections identified that not all areas had their data up to date and this was reported back to local leadership, along with improvement advice. A further round of inspections conducted in late 2019 confirmed most areas have made a concerted effort to become compliant.

The ChemWatch Chemical Management System hosted by the library allows all staff and students to search for Safety Data Sheets and create and print labels. Designated staff are also responsible for maintaining the Chemical Inventory or Manifest for their group or facility. To date, access has been granted to over 300 workers to manage their chemical stores. Training is provided through e-learning modules imbedded in ChemWatch and the University belongs to a sector ChemWatch User Group.

In addition to online Lab Safety training, we conducted training sessions with staff and research students on Radiation Safety (sources), Radiation Safety (X-ray equipment), Liquid Nitrogen Safety, Gas Safety, Biological Safety and Respirator Safety, all of which were well attended.

Ownership and Engagement

Every faculty, division and campus now has an active WHS Committee which report into the University's Peak Health and Safety Committee, where trends are reviewed and improvement actions identified.

Assurance and Continuous Improvement

Ten comprehensive audits were conducted within a school or unit selected from each faculty and division. Results were analysed and provided to the local leadership team for discussion and remedial action. There is ongoing work with SafeWork NSW and other universities to establish a Dangerous Goods Manifest for the University and a common approach to Dangerous Goods management across the sector.

HEALTH AND SAFETY PERFORMANCE

The University of Newcastle Executive Committee receives a monthly H&S performance report with an analysis of incidents that include discussion of any trends and corrective actions being undertaken. In addition to injuries, the percentage of hazards and near misses are reported on a monthly basis to maintain focus and allow for corrective actions to be monitored and their effectiveness evaluated over time. There were consistently more hazards and near misses reported (558 or 59 per cent of reports) compared with injuries (394 or 41 per cent of reports) during the year and this will remain a key focus in 2020.

As at December 31 2019, the Lost Time Injury Frequency Rate (LTIFR) was 2.45 compared with 3.32 in 2018. The Total Recordable Frequency Rate (TRIFR) was 5.65 compared to 7.81 in 2018. Total recordable injuries are defined as any work-related injury that required assessment and treatment from a medical practitioner and includes all lost time injuries and other injuries which are medically treated but allow for return to work on pre-injury or suitable duties.

WORKERS' COMPENSATION

The University continued with the loss prevention and recovery approach administered by iCare (previously WorkCover NSW). While it takes four years for full figures to be known, due to the way in which premiums are calculated under the scheme, we tracked to save \$1,233,238 on our annual premium for 2019 compared to what would have fallen due under the conventional scheme. We continued encouraging early reporting of injuries and early symptoms of pain so that assessments could be made to determine cause, identify corrective actions and make prompt referrals for physiotherapy if required. Where staff required time off work to recover from an injury, they were supported during recovery and through management of a graded return to pre-injury duties. During the year, 38 accepted workers compensation claims were managed (down from 48 in 2018).

In 2019, the University continued as an award sponsor at the annual Hunter Safety Awards and a University research group was nominated for an award.

F

EXECUTIVE REMUNERATION

TABLE 1: NUMBER OF SENIOR EXECUTIVES EMPLOYED AT 31 DECEMBER

Senior executive band	2018		2019	
	Female	Male	Female	Male
Vice-Chancellor	0	1	0	1
Deputy Vice-Chancellor and Chief Operating Officer	0	3	0	2
Pro Vice-Chancellor and Chief Financial Officer	2	4	3	6
Totals	2	8	3	9
	10		12	

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

Senior Executive Band	Average Total Remuneration Package	
	2018 \$	2019 \$
Vice-Chancellor	850,038	850,422
Deputy Vice-Chancellor and Chief Operating Officer	516,821	519,155
Pro Vice-Chancellor and Chief Financial Officer	426,569	388,273

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

	2017	2018	2019
Percentage of total employee-related expenditure in the financial year that relates to senior executives	1.4%	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 has managed cyber security risks in a manner consistent with the Mandatory Requirements set out in the NSW Government Cyber Security Policy.

Risks to the information and systems of the University of Newcastle have been assessed and are managed. Governance is in place to manage the cyber security maturity and initiatives of the University of Newcastle.

There exists a current *Cyber Incident Response Plan* for the University of Newcastle which has been tested during the reporting period.

An independent review of the effectiveness of the University's cyber security controls was undertaken by Pure Hacking during the 2019 calendar year and these were found to be adequate or in the process of being addressed.

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 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; the Student Academic Integrity Policy; the Responsible Conduct of Research Policy; and the 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.

ACEC

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.

HREC

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 2018/2019 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 considered and approved two ethics applications that required the application of the NHMRC Guidelines under Section 95 of the *Privacy Act 1988*. These decisions will be reported to the NHMRC in the HREC's Annual Report for the period 1 January 2019 to 31 December 2019.

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 private 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)*, outlined in our *Privacy and Information Access Policy and Privacy Management Plan*.

During 2019, a key initiative of the University's Privacy Team was the training of staff to raise awareness of how privacy obligations apply to their job responsibilities and duties. The University has engaged an external training partner to assist in raising staff privacy awareness. This will continue through 2020.

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 2019 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 provide our GIPA contracts register.
- Participated in the Information and Privacy Commissioner's 'Right to Know Week' activities as a 'Right to Know Champion'.
- Responded to two requests from third parties consulting about the release of University Information.
- Consulted with a third party regarding the release of its information in response to one application during 2019. We received 13 applications with 12 decisions made. One application was in process at 31 December 2019. Statistics on the applications decided in 2019 are provided below:

TABLE 1: NUMBER OF APPLICATIONS BY TYPE OF APPLICANT AND OUTCOME¹

	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	0	2	0	1	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	1	0	0	0	0	0	0
Members of the public (application by legal representative)	0	1	0	0	0	0	0	0
Members of the public (other)	1	2	1	2	0	0	0	2

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 2. 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	1	1	0	1	0	0	0	0
Access applications (other than personal information applications)	0	4	1	2	0	0	0	2
Access applications that are partly personal information applications and partly other	0	1	0	0	0	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)	2
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	0
Law enforcement and security	0
Individual rights, judicial processes and natural justice	4
Business interests of agencies and other persons	3
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)	12
Decided after 35 days (by agreement with applicant)	0
Not decided within timeframe (deemed refusal) ¹	0
Total	12

**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	0	0
Review by Commissioner	0	0	0
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	0	0	0

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	1
Applications by persons to whom the subject of access application relates (see Section 54 of the GIPA Act)	0
Total	0

**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.

The University has an internal reporting policy and procedures in place for receiving, assessing and dealing with public interest disclosures, as required under Section 6D of the *PID Act*. Our Public Interest Disclosures Policy and protections under the Act support reporters, as required under Section 6E(1)(b) of the *PID Act*.

STATISTICAL INFORMATION ON PIDS

	MADE BY PUBLIC OFFICIALS PERFORMING THEIR DAY-TO- DAY FUNCTIONS	UNDER A STATUTORY OR OTHER LEGAL OBLIGATION	ALL OTHER PIDS
Number of public officials who made PIDs directly	3	0	0
Number of PIDs received	3	0	0
Number of PIDs finalised	1	0	0

Note: The number of PIDs finalised only refers to PIDs that have been received since 1 January 2017.

The PIDs received allege cases of maladministration and corrupt conduct. The PID that was finalised found no evidence of the allegations made. The remaining PIDs are currently being investigated by the Assurance Services

business unit, as the relevant authority responsible for handling the investigation in accordance with the University's obligations under the PID Act and its policy.

K

CONSUMER
RESPONSE

2019 HIGHLIGHTS

We continue to work to the highest standard of professional, consistent and respectful engagement with students and staff. A number of operational units assist the Complaints and Human Resources teams in engaging with and supporting our communities in solving problems, resolving issues and addressing their concerns. We ensure matters are dealt with in a timely, confidential and professional manner.

Our Complaints and Grievance Policy with supporting templates, provides a consistent process to assist staff, students and our communities to raise issues in a constructive manner. These processes enable us to receive and respond to complaints and grievances quickly and fairly, through early intervention, appropriate support and advocacy, and local level resolution where practicable. The University aims to resolve issues through early intervention or local resolution using a collaborative approach across the University.

Assurance Services oversees the formal Complaint and Grievance handling processes and supports students and staff to resolve issues locally and informally. The Complaints Office regularly reviews the complaints handling framework to ensure the operations support procedural fairness and natural justice; are transparent; timely and consistently communicated; and outcomes are based on fair and factual considerations. This year, 121 formal complaints were raised with the Complaints Office and resolved either via investigation or directly within accountable areas. Of these:

- Approximately 70 per cent were raised by students. The number of student complaints (84) received by the Complaints Office, was significantly lower than those lodged in 2018 due to continued processes to support students and the Student Advocate team to resolve issues without formal interventions.
- There were 78 complaints from staff in 2019 as the Human Resources Services (HRS) business partnership model has successfully worked with staff to resolve issues. The HRS is the first point of contact for staff issues.
- Just over 25 per cent of the issues raised were received from the community. This is consistent with those received in 2018 and 2017.

In 2019 the approach to managing complaints and grievances were improved with updated policies, procedures, templates, web pages, training and guidance implemented. The Complaints handling processes operate in line with industry practice, the AS/NZS 10002:2014 *Guidelines for complaint management organisations*, together with the *Complaint Handling at Universities: Australasian Best Practices Guidelines* (January 2015).

Human Resources Services, through its business partnership model, remains the first point of contact for staff issues.

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 Director Assurance Services, 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 action 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

No management reviews were undertaken by Internal Audit in the year to 31 December 2019.

M

LEGAL MATTERS

TERTIARY EDUCATION AND QUALITY STANDARDS AGENCY ACT 2011 (COMMONWEALTH)

The *Tertiary Education and Quality Standards Agency (TEQSA) Act* was amended in 2019 to reflect recommendations following a review of the Act. The amendments are largely technical in nature and are intended to improve the Act's administration, strengthen TEQSA's regulatory role and better reflect the evolution of the role of the Higher Education Standards Panel.

EDUCATION SERVICES FOR OVERSEAS STUDENTS REGULATIONS 2019 (CTH)

In 2019, the Education Services for Overseas Students Regulations were repealed and replaced with new Regulations. The new regulations are substantially the same except that education providers are now required to enter additional information on the Provider Registration and International Student Management System.

HIGHER EDUCATION SUPPORT ACT 2003 (CTH)

The *Higher Education Support Act* was amended in 2019 to impose an annual charge on all higher education providers whose students are entitled to HECS-HELP assistance or FEE-HELP assistance. The annual charge will be imposed as a tax and be prescribed by regulation.

MODERN SLAVERY ACT 2019 (CTH)

A new *Modern Slavery Act* commenced on 1 January 2019 and aims to address 'modern slavery' in the business community. In particular the new legislation requires certain entities, including the University of Newcastle, to report on the risks of modern slavery in its operations and supply chains. Such reports must also outline actions undertaken by the entity to address such modern slavery risks.

The University of Newcastle must submit reports annually beginning 30 June 2021.

AUSTRALIAN CHARITIES AND NOT-FOR-PROFITS COMMISSION (ACNC) EXTERNAL CONDUCT STANDARDS

The ACNC External Conduct Standards were established in 2019 by an amendment to the ACNC Regulations 2013 (Cth). Not-for-profit entities are required to comply with the standards in relation to various overseas activities. The intention of the standards is to provide greater confidence that funds sent, and services provided overseas, are being used for legitimate purposes. The University of Newcastle will be required to comply with the standards with respect to some of its activities.

The standards that must be met include: minimising the risk of corruption and fraud, taking steps to protect vulnerable individuals and keeping records of activities and expenditure.

COMPETITION AND CONSUMER ACT 2010 (CTH)

The *Competition and Consumer Act* was amended in 2019 to change the way intellectual property rights holders control their intellectual property. Such changes affect the University as an entity engaging in the development and commercialisation of intellectual property.

The amendments are such that conditional licensing and assignment of certain intellectual property rights are no longer exempt from competition provisions in the Act.

The intention of making all intellectual property rights dealings subject to competition law is to improve competition and innovation in the intellectual property sector in Australia and bring Australia into alignment with comparable jurisdictions.

EMERGENCY RESPONSE FUND ACT 2019 (CTH)

The *Emergency Response Fund Act* commenced in 2019 and uses uncommitted funds from the Education Investment Fund to establish the Emergency Response Fund for the purpose of providing an additional funding source for emergency response and natural disaster recovery efforts. With the de-funding of the Education Investment Fund there is now no dedicated source of funding for investment in capital works for higher education providers.

N

MAJOR
WORKS

STEMM BIORESOURCES FACILITY	
Describe nature and range of activities undertaken during 2019	2019 saw the commencement of construction on the Bioresources Facility. The contractors have poured concrete for the ground floor, level 1 and level 2 slabs, completed bulk earthworks, piling and retaining walls, installed a rainwater tank and commenced installing structural steel. The team have also started to purchase equipment so that it is ready to install once construction is complete.
If practicable provide qualitative and quantitative performance measures showing efficiency and effectiveness	N/A
Major problems and issues which arose during 2019	No major problems were encountered with the project in 2019.
Major works progress during 2019	The design was finalised and construction commenced.
Approved budget	\$37.5 million (m)
Costs to date	\$10.3 m
Total expenditure to 31 December 2019	\$10.3 m
Dates of completion	Q4 2020
Significant cost overruns or delays / amendments / deferrals / cancellations	Nil
Key activity for 2020	Construction will be completed in 2020 with the building expected to be operational in early 2021.

STEMM PROJECT, CALLAGHAN	
Describe nature and range of activities undertaken during 2019	<p>2019 was a busy year for the STEMM Project Team. The design progressed through concept and schematic design. The concept design was presented at an all-staff forum in July 2019. The Design Team held significant consultation with stakeholders from each of the three STEMM faculties, as well as staff from the Academic Division, Research and Innovation, Infrastructure and Facilities Services (IFS) and IT Services.</p> <p>The enabling works commenced, which includes upgrades to essential services — not only to power the STEMM building — but also to provide services across the western side of the campus. The design was finalised for the network room, with construction commencing in Q4 2019.</p>
If practicable provide qualitative and quantitative performance measures showing efficiency and effectiveness	N/A
Major problems and issues which arose during 2019	No major problems were encountered with the project in 2019.
Major works progress during 2019	There was completion of the schematic design phase for the main building, commencement of the enabling works construction and network room construction.
Approved budget	\$207.625 m
Costs to date	\$8.3 m
Total expenditure to 31 December 2019	\$8.3 m
Dates of completion	Q2 2023
Significant cost overruns or delays / amendments / deferrals / cancellations	Nil
Key activity for 2020	<p>The key activities will be:</p> <ul style="list-style-type: none"> • Completion of enabling works and network room • Commence demolition of the McMullin building • Main works design finalisation • Award main works construction • Lodgement and approval of State Significant Development Application (SSDA)

STEMM – CENTRAL COAST CLINICAL SCHOOL RESEARCH INSTITUTE PROJECT

Describe nature and range of activities undertaken during 2019	During 2019, the major activities have focused on finalising the funding agreements, engagement of project managers, designers and consultant team. The construction contractor for the base building has been engaged with construction of the first four floors of the building shell completed. Extensive design consultation associated with the fit-out portion of the project has resulted in the design progressing through the schematic design stage.
Major problems and issues which arose during 2019	NIL
Major works progress during 2019	Construction of four floors of the building shell
Approved budget	\$72.5 m plus \$2.5 m. Interest earned: \$75 m
Costs to date	\$30.7 m
Total expenditure to 31 December 2019	\$30.7 m
Dates of completion	2021
Significant cost overruns or delays / amendments / deferrals / cancellations	NIL
	NIL
Key activity for 2020	2020 will see completion of the base building construction which is being delivered by Health Infrastructure NSW. The fit-out design will be finalised. The construction contract will be awarded and construction works of the fit-out substantially completed.

NEWCASTLE CITY CAMPUS DEVELOPMENT

Describe nature and range of activities undertaken during 2019	<p>The Honeysuckle City Campus Development Concept Plan SSDA required amendments following the initial public exhibition period. A final set of amendments were completed late 2019 and issued to the Department of Planning and Environment for assessment.</p> <p>2019 saw the commencement of the enabling works and mine rectification works onsite. For the Stage 1A building, the developed design was completed, which included significant consultation with staff from the School of Creative Industries and the Integrated Innovation Network (I2N) as well as IFS and IT Services subject matter experts to review the technical aspects of the design. The tender process for the head contractor commenced towards the end of 2019 and the contract will be awarded in Q1 2020. The SSDA for the Stage 1A building is expected to be approved in March 2020.</p> <p>The project team was established for Stage 2 of works, which includes Building B purpose-built student accommodation and commercial spaces. Planning for the facility continues.</p>
Major problems and issues which arose during 2019	<p>The SSDA for the concept plan experienced higher than expected challenges during the assessment period. These challenges included responding to agency comments on proposed transport strategies and overshadowing caused by the proposed building in the master plan. Responding to the challenges has extended the expected approval dates.</p> <p>The Stage 1A SSDA approval is also linked to the concept plan SSDA approval causing a delay to approvals.</p>
Major works progress during 2019	<p>Stage 1A: Completed design development and tender for head contractor. Commenced mine rectification and enabling works.</p> <p>Stage 2: Established the project team and tested the project brief.</p>
Approved budget	<p>Stage 1A: \$25 m</p> <p>Site 1 and 2 enabling works: \$10 m (Site 1 — \$8 m and Site 2 — \$2 m)</p> <p>Building B: \$48.85 m</p>
Costs to date	<p>Stage 1A: \$2.23 m</p> <p>Enabling works: \$1.5 m</p> <p>Building B: \$0.38 m</p>
Total expenditure to 31 December 2019	<p>\$4.1 m</p>
Dates of completion	<p>Stage 1A: Q3 2021</p> <p>Enabling works: Q1 2020</p> <p>PBSA: Q1 2023</p>
Significant cost overruns or delays / amendments / deferrals / cancellations	<p>NIL</p>
Key activity for 2020	<p>2020 will see completion of the enabling and mine rectification works, construction will commence on the Stage 1A building and design will commence on Building B.</p>