



More than 1500 staff have taken advantage of UQ's Fitness Passport program to date.

since 2017; and this upward trajectory should continue in 2020. This success has been enabled by strong leadership and advocacy, targeted employment pathways, a strengthened Indigenous Staff network and delivery of UQ's Reconciliation Action Plan.

Excellent progress was made in the area of disability employment, with achievements including the establishment of a Disability Inclusion Group; new training addressing disability inclusion; improved accessibility of UQ systems; and improved guidance to support recruitment, selection and onboarding processes for people with disability. A new travel fund to support staff with disability was also launched in November 2019.

SAGE Pilot of Athena SWAN

UQ received the Athena SWAN Institutional Bronze Award in September as part of the Science in Australia Gender Equity, a national program promoting gender equity and gender diversity in science, technology, engineering, mathematics and medicine (STEMM). The award required the University to collect and analyse data to determine barriers and challenges impacting women's STEMM careers and develop an Action Plan to mitigate or remove the known barriers. Targeting multiple career stages, the Plan focuses on increasing diverse women's representation in leadership roles and addressing the gender pay gap. It also aims to improve the retention of mid-career researchers, enhance support for early-career academics, and increase the number of Aboriginal and Torres Strait Islander women STEMM academics.

Voice survey

UQ's fourth all-staff engagement survey was launched in April 2019 in conjunction with our external provider, the Voice Project. The survey achieved an excellent 72 per cent response rate, eclipsing 2015's rate of 65 per cent and topping the average response rates for both Go8 universities (63 per cent) and all Australian universities (69 per cent). Relative to 2015, the University's performance improved in 21 of the categories measured, remained steady in five and dropped in 13. Overall focus areas identified for action across the University included Cross unit cooperation and Change. Action planning at both the University and local level is ongoing.

HR staff training and support

Human Resources (HR) staff continued to be regularly updated and trained throughout 2019, with HR systems and procedures continuously enhanced to improve service delivery and client experience. A new page was created on the HR SharePoint site to support training requirements for HR staff and included a training calendar for upcoming HR systems training, training materials, HR communication emails, and quick-tip emails.

The HR systems, Aurion (HR information system) and UQ Jobs (recruitment system), were upgraded and refreshed during 2019, necessitating training for new HR staff, and refresher training for existing HR staff. Email quick tips on efficient use of Aurion and UQ jobs were periodically distributed and made available on HR SharePoint.

The HR Client Services team began releasing Aurion workforce reports for supervisors and managers through the employee self-service portal (MyAurion) to facilitate leave, payroll and HR insights about direct-reporting staff—based on real-time live data from Aurion.

The Systems Training Hub was upgraded to move the training web-portal from a superseded 'Drupal' module to the new information hierarchy module 'Compendium', making it consistent with the University's *Current Staff* website and enhancing its functionality to help staff achieve more.

Work/life balance

The UQ Wellness Program, part of the Health, Safety and Wellness Division, facilitates events, activities and services to support and promote staff health and wellbeing across the key areas of psychological wellbeing, physical health, lifestyle factors and UQ community engagement. This continued in 2019 with:

Modifiable risk factor clinics

More than 1560 staff participated in a range of health check clinics to receive education and early intervention for modifiable health risks, such as heart and skin health. Thirty-five were referred to their GP for further assessment.

Staff influenza vaccination program

Staff flu program participation increased by approximately 12 per cent in 2019,

with 5700 staff members receiving the vaccination (compared to 5037 in 2018). A comprehensive evaluation of the annual on-site program confirmed that staff value this service highly.

UQ Wellness and UQ Healthy Living pilot

A holistic health and wellbeing pilot program for those aged 55 and over was again offered in 2019, providing a comprehensive interprofessional health and wellness assessment with individualised action plans and reviews to the more than 60 staff members who participated.

Fitness Passport

To encourage staff to engage in regular exercise, the UQ Fitness Passport program provides an opportunity for staff and their immediate families to attend a range of health facilities for one cost-effective fee. Membership increased by 11 per cent from January to November 2019, with 1550 membership cards now in circulation.

Australasian University Health Challenge

Twelve universities across Australia and New Zealand participated in the inaugural six-week walking challenge, which attracted more than 2100 participants and was proposed and coordinated by UQ Wellness.

UQ 21-day Wellness Challenge

Based on the principles of positive psychology, a 21-day 'challenge' to promote physical, social and emotional wellbeing was conducted in 2019. A popular initiative, more than 800 staff and students participated. Evaluation showed that the challenge helps participants make ongoing and sustainable health behaviour changes to enhance wellbeing.

Health and wellbeing seminars

UQ Wellness provides a broad range of health and wellbeing seminars annually. Focus areas include resilience, financial wellbeing, parenting, burnout/stress, sleep, work/life balance, healthy communication, self-care and nutrition. Seminars and workshops in alternative areas of wellbeing with proven positive impacts on stress, relaxation and morale were also provided, and included Laughter yoga, African drumming and Unplugged (device-free relaxation).

Mind-body programs

Ongoing 'mind-body' classes, including yoga, pilates and tai chi, continued to be popular—with consistent participation of approximately 200 people across the classes.

Psychosocial risk management

A range of resources was produced, including training modules in the areas of:

- managing compassion fatigue (primarily aimed at staff working with animals)
- psychosocial hazards
- occupational violence and aggression
- meeting toolbox talks in the areas of wellbeing and psychological safety
- leadership.

Our governance

University governing body

The governing body of the University is the Senate, as constituted by the *University of Queensland Act 1998*. Senate has 22 members, comprising official members, appointed members, elected members and additional members.

Members serve a four-year term, except student members who serve for two years. The 34th Senate began its term on 1 January 2018 and will expire on 31 December 2021. Senate met seven times during 2019. Student member **Ziggy Turner** commenced on 25 February, filling the casual vacancy created by the resignation of **Zachary Taylor** in October 2018. **Kathy Hirschfeld, AM** and **Dr Zelle Hodge, AM** resigned from Senate with effect from 31 December 2019.

2019 UQ Senate



Front row, from left: Anne Cross, AM; Adjunct Associate Professor Dimity Dornan, AO; Rebecca Hurst; Tonia Dwyer (Deputy Chancellor); Peter N Varghese, AO (Chancellor); Professor Peter Høj, AC (Vice-Chancellor and President); Kathy Hirschfeld, AM; Julieanne Alroe; Dr Zelle Hodge, AM. Back row: Timothy Crommelin; Associate Professor Tony Roberts; Professor Greg Hainge; Ziggy Turner; Dr Sally Pitkin; Thomas Mackay; Associate Professor Douglas Cavaye; Professor Peter Adams; Philip Hennessy, AO. Absent: Jamie Merrick, Grant Murdoch, Michelle Tredenick, Cecile Wake.

The University complies with the *Voluntary Code of Best Practice for the Governance of Australian Public Universities*.

Senate achievements

In 2019, UQ Senate:

- under the Seal of the University, conferred 14,871 awards to 13,687 students*—including 764 PhD candidates
- unanimously agreed to appoint **Professor Deborah Terry, AO** as the University's Vice-Chancellor and President from 1 August 2020, in terms of Section 32 of the *University of Queensland Act 1998*
- established a UQ Freedom of Speech Implementation Group to consider how best to implement the Model Code for the Protection of Freedom of Speech and Academic Freedom in Australian Higher Education Providers
- approved a business case for the Student Residence program

- approved a business case for the Health and Recreation Centre program
- approved a business case for the Human Capital Management Solution program
- approved a proposal for a CBD campus
- invited one nominee to receive a Gattton Gold Medal.

Financial reporting

The financial statements are general purpose financial reports prepared in accordance with prescribed requirements. UQ is a statutory body and is audited by the Queensland Audit Office.

See also: uq.edu.au/about/year-ended-december-31-2019.

* This figure includes dual degrees as two awards because two testamurs are produced 'under the Seal of the University'. It also includes a subset of programs that are not considered federal government-reported awards—hence the variation from the Key Statistics table on page 13.

Senate remuneration	
Approved fees	
The Chancellor is eligible to receive \$80,000 per annum; the Deputy Chancellor \$40,000; all other members \$25,000. An additional fee of \$10,000 may also be paid to the Chairs of the Finance Committee, the Risk and Audit Committee, and the Campus Infrastructure Committee.	
Senate members can choose whether or not to accept full or part payment of fees and/or pay them to a scholarship or other University philanthropic fund; UQ staff Senate members can also salary sacrifice their fees or pay them to their UQ School.	
Actual fees received	
Official members:	\$80,000
Appointed members:	\$170,000
Elected members:	\$196,181
Additional members:	\$90,000
Out of pocket expenses paid	
	\$205.55

Senate meeting attendance		
Position	Name	Meeting attendance
Chair	Peter N Varghese, AO (Chancellor)	7 of 7
Deputy Chair	Tonianne Dwyer (Deputy Chancellor)	7 of 7
Member	Professor Peter Adams	7 of 7
Member	Julianne Alroe	6 of 7
Member	Associate Professor Douglas Cavaye	5 of 7
Member	Timothy Crommelin	4 of 7
Member	Anne Cross, AM	7 of 7
Member	Adj Associate Professor Dimity Dornan, AO	6 of 7
Member	Professor Greg Hainge	7 of 7
Member	Philip Hennessy, AO	6 of 7
Member	Kathy Hirschfeld, AM	5 of 7
Member	Dr Zelle Hodge, AM	7 of 7
Member	Professor Peter Høj, AC	6 of 7
Member	Rebecca Hurst	7 of 7
Member	Thomas Mackay	5 of 7
Member	Jamie Merrick	4 of 7
Member	Grant Murdoch	5 of 7
Member	Dr Sally Pitkin	6 of 7
Member	Associate Professor Tony Roberts	6 of 7
Member	Michelle Tredenick	3 of 7
Member	Ziggy Turner	6 of 7
Member	Cecile Wake	4 of 7

Senate membership

Official members

- Chancellor Peter N Varghese, AO, BA (Hons), H.DLitt *Qld* (leads the University's governing body, the Senate)
- Vice-Chancellor and President, Professor Peter Høj, AC, MSc, PhD *Copenhagen*, DUniv (Honoris Causa) *Copenhagen*, *Adelaide* and *S.Aust*, FTSE, FNAI (US)
- President of the Academic Board, Professor Peter Adams, BSc (Hons), BComm, PhD *Qld*

Members appointed by the Governor-In-Council

- Timothy B Crommelin, BCom *Qld*, AdvMgmtProg *Hawaii*, FSIA
- Julianne Alroe, BEc *Qld*, GAICD
- Philip Hennessy, AO, BBusAcc *QUT*, FAMA, FAICD (resigned 31 December 2019)
- Jamie Merrick, BA, MSc
- Grant Murdoch, BCom, MCom *Cant*, FCA, FAICD
- Dr Sally Pitkin, LLB, LLM *QUT*, PhD *Qld*
- Cecile Wake, BEcon, LLB (Hons) *Qld*, ExecDevptProg *Wharton*

Elected members

- One member of the Academic Board, Professor Greg Hainge, BA (Hons), MA, PhD *Nott*, GCELead *Qld*, FAHA, SFHEA
- One member of the full-time or part-time academic staff of the University, Associate Professor Tony Roberts, BSc (Hons I), MComm *Qld*, PhD *ANU*, FAustMS
- One member of the full-time or part-time general staff of the University, Rebecca Hurst, BA (Hons) *Griffith*
- One postgraduate student, Thomas Mackay, BSc, GCBusLead, MPH *Qld*
- One undergraduate student, Ziggy Turner (replaced Zachary Turner 25 February 2019)

Three (elected) graduates of the University

- Associate Professor Douglas Cavaye, MBBS *Qld*, FRACS
- Adjunct Associate Professor Dimity Dornan, AO, DipSpTh, BSpTh PhD *Qld*, HonDUniv *USQ*, FSPA, FTSE, CpSp, LSL Cert AVT
- Kathy Hirschfeld, AM, BE (Chem) *Qld*, FTSE, FICHEM, Hon FIEAust, FAICD (resigned 31 December 2019)

Appointed by Senate

- Anne Cross, AM, BSocWk, MSocWk *Qld*, FAICD
- Deputy Chancellor Tonianne Dwyer, BJuris (Hons), LLB (Hons) *UWA*, GAICD (acts as Chancellor in the absence of the Chancellor, or if the office of the Chancellor is vacant)
- Michelle Tredenick, BSc *Qld*, FAICD.



Under the Seal of the University, Senate conferred more than 14,000 awards to students in 2019.

Executive management

While the Chancellor and Deputy Chancellor lead the University Senate, the Vice-Chancellor and President is the University's Chief Executive Officer, responsible to Senate for overall strategic planning, finance and external affairs direction.

The Vice-Chancellor* is supported by the Senior Management Group to whom the University's organisational units report:

- Provost and Senior Vice-President*
- Deputy Vice-Chancellor (Academic)*
- Deputy Vice-Chancellor (External Engagement)*
- Deputy Vice-Chancellor (Research)*
- Chief Operating Officer*
- President of the Academic Board
- Pro-Vice-Chancellor
- Pro-Vice-Chancellor (Advancement)
- Pro-Vice-Chancellor (Future Students)
- Pro-Vice-Chancellor (Indigenous Engagement)
- Pro-Vice-Chancellor (Research)
- Pro-Vice-Chancellor (Research Infrastructure)
- Pro-Vice-Chancellor (Research Partnerships)
- Pro-Vice-Chancellor (Research Training) and Dean, Graduate School
- Pro-Vice-Chancellor (Teaching and Learning)
- Director, Australian Institute for Bioengineering and Nanotechnology
- Director, Institute for Molecular Bioscience
- Director, Queensland Alliance for Agriculture and Food Innovation**
- Director, Queensland Brain Institute
- Director, Sustainable Minerals Institute
- Executive Dean, Faculty of Business, Economics and Law
- Executive Dean, Faculty of Engineering, Architecture and Information Technology
- Executive Dean, Faculty of Health and Behavioural Sciences
- Executive Dean, Faculty of Humanities and Social Sciences
- Executive Dean, Faculty of Medicine
- Executive Dean, Faculty of Science
- Chief Financial Officer
- Chief Human Resources Officer
- Chief Marketing and Communication Officer.

* Members of the Vice-Chancellor's Committee.

** Member since 26 June 2019.

2019 Vice-Chancellor's Committee



Professor Aidan Byrne; Professor Bronwyn Harch; Professor Peter Høj, AC; Professor Joanne Wright; Greg Pringle and Rongyu Li.

Vice-Chancellor and President Professor Peter Høj, AC

MSc, PhD *Copenhagen*, DUniv (Honoris Causa) *Copenhagen*, *Adelaide* and *S.Aust*, FTSE, FNAI (US)
– Chief Executive Officer (CEO), responsible to Senate for UQ's strategic direction, performance and external affairs.

Provost and Senior Vice-President Professor Aidan Byrne

BSc, MSc *Auck*, PhD *ANU*
– Standing deputy to the Vice-Chancellor and President of the University, providing leadership for the University's overall strategic planning, academic quality, and budget. Provides executive leadership for the academic, research and financial performance of six faculties and four research institutes.

Deputy Vice-Chancellor (Academic) Professor Joanne Wright

BA Joint Honours *Kent*, MLitt *Aberdeen*, PhD *ANU*, GAICD
– Responsible for preserving the University's commitment to high-quality learning and teaching; promoting a culture of excellence across the student experience; leading initiatives aimed at student success and retention, and integration of services for students; blended learning, program architecture and quality standards.

Deputy Vice-Chancellor (External Engagement) Rongyu Li

MA *City UK*
– Responsible for the strategic leadership of the University's overall external engagement strategy—inclusive of its global strategy, its internationalisation and future students' objectives plus entrepreneurship, Indigenous and advancement aspirations—while spearheading the development and management of the University's strategic partnerships with government, industry, community and academic institutions.

Deputy Vice-Chancellor (Research) Professor Bronwyn Harch

BSc (Hons) *Griffith*, GradDipTeach(Sec) *QUT*, PhD *Qld*, FTSE, FQAAS, GAICD
– Responsible for enhancing the University's performance and reputation in research, research training, and research collaboration with external stakeholders, nationally and internationally.

Chief Operating Officer Greg Pringle

BA, LLB, GradDip (Industrial Relations) *Natal*, MBA *Qld*, Advanced Management Program *Harv*
– Coordinates management of the University's finance, human resources, information technology, legal, governance and risk, property and facilities, health, safety and wellness, investigations, sport and recreation and commercial operations' functions. Advises the Senate on governance, and is the University's Public Officer.

**President of the Academic Board
Professor Peter Adams**

BSc (Hons), BComm, PhD *Qld*

– Oversees the business of the Academic Board and its committees and provides independent advice to the Vice-Chancellor and President and Senate on matters relating to the academic functions of the University.

**Pro-Vice-Chancellor
(Office of the Provost)
Professor Tim Dunne**

BA (Hons) *East Anglia*, MPhil, DPhil *Oxford*, FASSA

– Provides leadership on academic performance and strategic planning. Responsible for aspects of employee relations and is the standing Deputy for the Provost.

**Pro-Vice-Chancellor (Advancement)
Jennifer Karlson**

BSc *Wisconsin-Madison*, MSc *Nebraska Methodist*, CFRE

– Responsible for the University's philanthropic agenda that incorporates extensive donor, community and alumni engagement.

**Pro-Vice-Chancellor (Indigenous Engagement)
Professor Bronwyn Fredericks**

DipT (Sec) *BCAE*; BEd, MEd *QUT*; MEdSt *Tas*; PhD *CQU*; JP (Qual); CertIV (TAE) *GTC*; CertIV (CS) *CCB*

– Responsible for leading the implementation of UQ's Indigenous strategy and strengthening leadership within the University in relation to Indigenous Engagement, as well as building links with the community.

**Pro-Vice-Chancellor (Research)
Professor Mark Blows**

BSc, PhD *La Trobe*, FAA

– Responsible for research ethics and integrity, and supporting the University's research performance.

**Pro-Vice-Chancellor (Research Infrastructure)
Professor Joe Shapter**

BSc (Hons) *Memorial Newfoundland*, PhD *Toronto*

– Provides strategic leadership to the University's research infrastructure (including eResearch)—operations, development and financial sustainability, as well as supporting large-scale new purchases.

**Pro-Vice-Chancellor (Research Partnerships)
Professor Mohan Krishnamoorthy**

BSc *Bangalore*, MSc *Delhi* and *Imperial*, PhD *Imperial*

– Ensures a strategic approach to the stewardship of the University's research partnerships, supporting the development of research relationships with industry, government and other institutions.

**Pro-Vice-Chancellor (Research Training) and Dean, Graduate School
Professor Alastair McEwan**

BSc (Hons) *Leeds*, PhD *Birmingham*

– Provides leadership for the direction, development and improvement of the University's

higher degree by research program, and oversight of researcher development and training for all research-engaged staff.

**Pro-Vice-Chancellor (Teaching and Learning)
Professor Doune Macdonald**

BHMS (Ed) (Hons) *Qld*, PhD *Deakin*, FNAK, FAIESEP, GAICD

– Responsible for achieving teaching and learning objectives, including innovation in teaching and learning, digital learning, development and recognition of excellent teaching, quality assurance and enhancement, curriculum reform and renewal, and research in teaching and learning centring on improving student learning.

**Director, Australian Institute for Bioengineering and Nanotechnology
Professor Alan Rowan**

BSc, PhD *Liverpool*, FRSC, ALF

– Oversees a team of 400 research and professional staff working in an integrated, multidisciplinary research institute at the interface of biology and nanomaterials that brings together world-class researchers and cutting-edge technology with a focus on translational research in Advanced Nano-Structured Materials, Precision Nanomedicine and Biomanufacturing.

**Director, Institute for Molecular Bioscience
Professor Brandon Wainwright, AM**

BSc (Hons), PhD *Adel*

– Responsible for advancing IMB's research initiatives; strengthening its global connections; and leading its 500 scientists, postgraduate students and support staff in order to achieve IMB's mission of advancing scientific knowledge and delivering new health and industry applications.

**Director, Queensland Alliance for Agriculture and Food Innovation
Professor Robert Henry**

BSc (Hons) *UQ*, MSc (Hons) *Macquarie*, PhD *La Trobe*, DSc *UQ*

– Leads the Institute, which delivers high-impact science for sustainable agriculture and food – across crops, horticulture, animals, and nutrition and food sciences.

**Director, Queensland Brain Institute
Professor Pankaj Sah**

BMSc, MBBS *UNSW*, PhD *ANU*

– Leads and administers the Institute, which works to understand the development, organisation and function of the brain.

**Director, Sustainable Minerals Institute
Professor Neville Plint**

BSc (Hons), MDP, MBA, PhD *Witwatersrand*

– Responsible for the Institute's delivery of research, training, and postgraduate education across mineral processing, geology, health and safety, social science and environmental science in order to advance mining's role in global sustainability.

**Executive Dean, Faculty of Business, Economics and Law
Professor Andrew Griffiths**

BA (Hons) *Griffith*, PhD *UNSW*

– Oversees academic and administrative matters in the Faculty's schools of business, economics and law.

**Executive Dean, Faculty of Engineering, Architecture and Information Technology
Professor Vicki Chen**

BSc *MIT*, PhD *Minnesota*

– Leads the Faculty, defines its academic direction and strategy, and ensures all aspects are well managed.

**Executive Dean, Faculty of Health and Behavioural Sciences
Professor Bruce Abernethy**

BHMS (Ed) (Hons) *Qld*, PhD *Otago*, FAAKPE, FASMF, FESSA

– Responsible for the academic and administrative leadership of the Faculty.

**Executive Dean, Faculty of Humanities and Social Sciences
Professor Heather Zwicker**

BA (Hons) *Alberta*, PhD *Stanford*

– Has overall responsibility for the academic and administrative leadership and management of the Faculty's seven schools, and its research centres and institutes, to achieve the goals of the Faculty and to further the mission and strategic aims of the University.

**Executive Dean, Faculty of Medicine
Professor Geoff McColl**

MBBS, PhD, MEd *Melb*, FRACP

– Leads the Faculty, which combines medical education with two research-intensive schools, three clinical medical schools and five hospital-based institutes and centres.

**Executive Dean, Faculty of Science
Professor Melissa Brown**

BSc (Hons), PhD *Melb*, GAICD

– Responsible for the Faculty's academic leadership and management; accountable for all aspects of academic programs (teaching and research), staff management and resource allocation for faculty schools and centres; as well as representation role to the wider community.

**Chief Financial Officer
(1 January–5 July 2019)
Andrew Betts**

BCom, MBA (Advanced) *Qld*, CA, GAICD

**(from 29 July 2019)
Andrew Flannery**

BBus *USQ*, FCA

– As Head of Finance, provides financial management services to the University, with direct reports including Corporate Finance, Financial Planning and Analysis, Financial Operations, and the Finance Professional Service teams for the faculties, institutes and central divisions.

**Chief Human Resources Officer
Dr Alister Jury**

BSc (Hons), PhD *Qld*

– Responsible for providing strategic leadership to consolidate Human Resources Services as a provider of professional advice and planning on a broad range of matters, together with the implementation of HR strategy and policy that supports the strategic direction of the University.

**Chief Marketing and Communication Officer
Kelly Robinson**

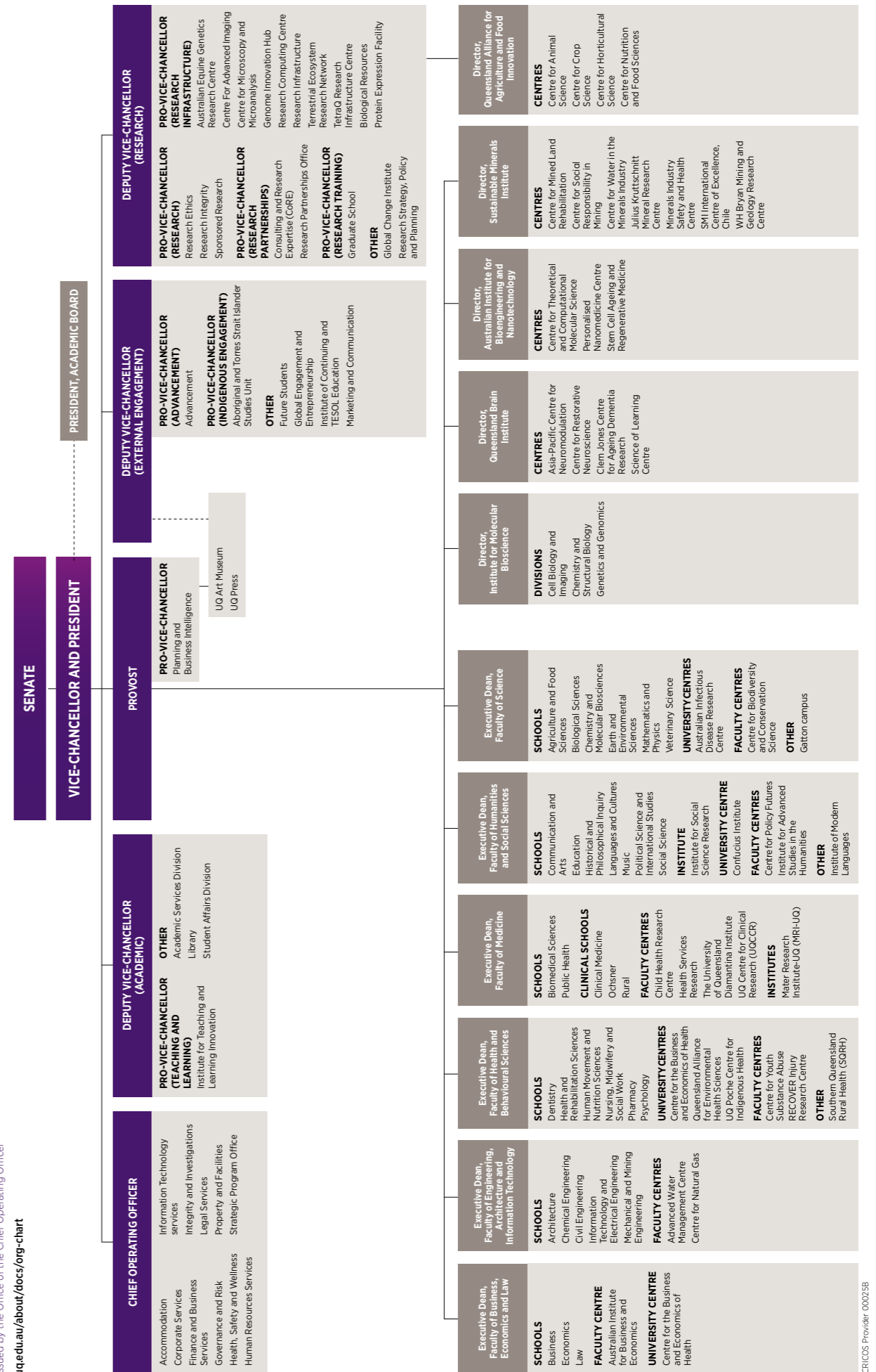
BBus (Comm), MBA *QUT*

– Leads UQ's marketing and communication function responsible for increasing domestic and global awareness and stakeholder support for the University.

Organisational structure / lines of responsibility

Issued by the Office of the Chief Operating Officer
uq.edu.au/about/docs/org-chart

As at November 2019



Public Sector Ethics Act 1994

In terms of its obligations under the *Public Sector Ethics Act 1994*, the University has a Code of Conduct that sets out the expectations for University staff in relation to professional conduct. All continuing and fixed-term staff are required to complete an assessable online course to learn how the Code of Conduct applies to them; casual staff are also strongly encouraged to complete the course.

The training is consistent with the University's obligations under the *Public Sector Ethics Act 1994*, which requires the University to provide appropriate education about public sector ethics. Given the high profile of the Code of Conduct, administrative procedures and management practices across the University reflect the objectives and requirements set out. It is also referenced in position descriptions and offers of appointment, forms part of employee induction programs, and is incorporated into relevant training and development programs.



UQ staff abide by a Code of Conduct and are recognised for a job well done. Pictured here are Shane Drahm and Nell Angus with Vice-Chancellor and President Professor Peter Høj, AC at the 2019 Staff Excellence Awards ceremony.

Risk management

The University has a Senate Risk and Audit Committee that assists Senate in discharging its risk management, and internal compliance and control oversight responsibilities.

The role of this committee is to oversee the University's governance, risk and compliance frameworks, including policies, procedures, information systems, and systems of internal control surrounding key financial and operational processes. The Committee also provides oversight of the leadership and direction in terms of organisational culture and ethical behaviour.

The Committee receives advice and assurance from senior management across the following functions and activities:

- Enterprise Risk
- Occupational Health and Safety
- Governance
- Compliance
- Internal Audit
- Integrity and Investigations
- Research Integrity.

All members of the Senate Risk and Audit Committee are appointed by Senate. The Committee met four times during the 2019 financial year and the members were:

- **Grant Murdoch**, BCom *Cant*, MCom *Cant*, FCA, FAICD (Chair)
- **Professor Peter Adams**, BSc (Hons), BComm, PhD *Qld*
- **Anne Cross**, AM, BSocWk, MSocWk *Qld*, FAICD, FIML
- **Philip Hennessy**, AO, BBusAcc *QUT* (as Chair of Finance Committee)
- **Kathy Hirschfeld**, AM, BE (Chem) *Qld*, FTSE, FICHEM, FIEAust, GAICD
- **Michelle Tredenick**, BSc *Qld*, FAICD
- **Peter N Varghese**, AO, BA (Hons) *Qld*, H.DLitt *Qld* (Chancellor, ex officio).

No members were remunerated for their attendance apart from Grant Murdoch, who received \$10,000 in his role as Chair.

UQ's key risk management governance instruments are the Senate approved Enterprise Risk Management Framework and the Senate's Risk Appetite Statement.

The Enterprise Risk Management Framework is built on and supported by five 'pillars':

- Senate's expectations and risk appetite
- Management/ leadership commitment and support for risk management function, organisational culture and relationships
- External compliance obligations relating to risk management
- Risk management objectives, strategies, delegated authority and accountabilities

- Risk management resources, plans, processes and activities.

The University has adopted a 'three lines of defence' assurance model as part of its governance, risk and compliance frameworks.

During 2019, the Committee provided direction and oversaw the following key initiatives:

- **Top risks:** Reporting continued on the University's top academic and non-academic risks, including its insurance status and progress reporting on the implementation of proposed new risk treatments.
- **Key risks to the Strategic Plan:** The key risks to achieving the objectives of the new *Strategic Plan 2018-2021* were assessed and reported.
- **Emerging risks:** UQ's key emerging risks were reported, including those risks that have not yet occurred but are at an early stage of becoming known and/or are expected to grow greatly in significance
- **Top inherent risks:** These were identified for the University's activities and operations.
- **Specific risk exposures:** Reports were provided on specific risk exposures requested by management and/or the Senate Risk and Audit Committee. Of particular importance is the continued reporting on cybersecurity risk management.
- **Key Risk Indicators (KRIs):** These were identified for monitoring each Risk Appetite Statement (RAS), including an assessment of the status of the current KRI level against the RAS as well as the KRI's development trend over time. Relevant strategic KPI metrics and targets were also cross-referenced to the RAS.
- **Reporting:** Risk management maturity self-assessment and Internal Audit reports were completed.
- **Organisational resilience:** A maturity assessment and program of work to further improve were conducted.
- **Health, safety and wellness:** There was a continued focus on health and safety risk management and culture, including the identification of the university's Top 10 Enterprise Safety risks.
- **Research Integrity:** In 2019, work focused on strengthening management of conflict of interest management and clinical trials compliance.
- **Cybersecurity:** There was a continued focus on cybersecurity risk management, in particular on strengthening the University's controls framework to mitigate this high-risk exposure.

The Senate Risk and Audit Committee has operated effectively as per its charter and had due regard to Treasury's Audit Committee Guidelines.

Integrity and Investigations Unit

The Integrity and Investigations Unit is responsible for the management and conduct of investigations into breaches of policies, activities directed against the University and/or its people, misuse of public money and public interest disclosures. The Unit also leads the delivery of misconduct prevention strategies, including training, information and advice.

The Associate Director, Investigations and Integrity, reports administratively to the Chief Operating Officer and has direct access to the Vice-Chancellor and President, Chair - Senate Risk and Audit Committee, and Chancellor, as required.

Internal Audit

The Internal Audit function adds value by assisting Senate and University management with the effective execution of their responsibilities by providing assurance on the effectiveness of governance, risk management and internal controls. Internal Audit also assesses and provides assurance on the quality of financial, managerial and operating information, and whether resources are acquired economically, used efficiently and managed effectively.

Internal Audit operates under an Internal Audit Charter, last reviewed and approved by the Senate Risk and Audit Committee in February 2019. As per this Charter, the Internal Audit function is independent of management and, as such, has no direct responsibilities for, or authority over, any of the activities it audits.

Internal Audit functionally reports to the Senate Risk and Audit Committee and has direct access to the Vice-Chancellor and President, Chair - Senate Risk and Audit Committee, Chair - Vice-Chancellor's Risk and Compliance Committee, and Chancellor.

Internal Audit activities take into account applicable legislative requirements, such as the *University of Queensland Act 1998*, the *Financial Accountability Act 2009*, *Financial and Performance Management Standard 2009* and *Tertiary Education Quality and Standards Agency Act 2011* (TEQSA Act). Internal Audit activities also consider the *Queensland Treasury Audit Committee Guidelines 2017*.

An annual risk-based planning process is undertaken in consultation with management and the Annual Audit Plan is approved by the Senate Risk and Audit Committee.

During 2019, Internal Audit completed 14 engagements across the University, including assurance services, grant certifications, advisory services and ongoing review of several large programs and projects.

External scrutiny

Court hearings are pending for two former employees and a former academic title holder following investigations by the Crime and Corruption Commission (Queensland) and the Queensland Police Service relating to fraud during their employment at the University. UQ maintains a zero tolerance attitude towards fraud.

Information systems and recordkeeping

The University continues to promote compliance with the *Public Records Act 2002*, *Information Standard 18 (2018)* and the *ISO27001* information security management system.

In 2019, UQ made the following improvements to recordkeeping and information systems:

- developed and communicated an Information Governance and Management Framework encapsulating the whole of University's strategic intent for information governance, including the broader delegations of responsibility across organisational units
- consolidated various instruments to support information accountability, including the placement of record keeping and records lifecycle management under the broader and inclusive information governance program
- commensurate with the above, renewed and communicated:
 - Information Management Policy
 - Information Management Procedure
 - Disposal of Records Procedure
 - Cyber Security Policy
 - Information Security Classification Procedure
- completed a major review and refresh of the Electronic Document and Records Management System (eDRMS) including a system upgrade
- positioned the eDRMS as the University's preferred system for the capture and full lifecycle management of vital, high risk and high value records
- achieved a comprehensive tuning of the eDRMS configuration, resulting in improvements to system performance, access control management and everyday useability
- consolidated the application of the new business classification scheme in the eDRMS which included the provision of education and awareness sessions to more than 100 organisational units

- introduced the Record Keeping Focus Group to improve organisational engagement with record keeping issues and to give organisational units a voice to contribute to continuous improvement
- doubled the number of people using the eDRMS on an everyday basis, attributed to all of the above initiatives
- migrated more than one million records into the eDRMS from a decommissioned information system
- expanded integration events channelled through the University's customer service help system with automated records capture into the eDRMS
- continued the application of the records disposal freeze on any records that are, or may be relevant to, allegations of child sexual abuse, following recommendations of the Royal Commission into Institutional Responses to Child Sexual Abuse.



The University uses an electronic document and records management system (eDRMS) to record queries in its customer service help system. Pictured here is a client service officer advising a student at the Student Centre.