**Our governance**

The governing body of the University is the Senate, as constituted by the **University of Queensland Act 1998**.

### University governing body

Senate has 22 members, comprising official members, appointed members, elected members and additional members.

Members serve a 4-year term, except student members who serve for 2 years. The 54th Senate began its term on 1 January 2018 and will expire on 31 December 2021. Senate met 8 times during 2020.

#### Members appointed by the Governor-in-Council

<table>
<thead>
<tr>
<th>Member</th>
<th>Academic title</th>
<th>Position</th>
<th>Date appointed</th>
</tr>
</thead>
<tbody>
<tr>
<td>Julieanna Alves</td>
<td>BSc, BEc, QICA</td>
<td>Associate Professor</td>
<td>1 July 2018</td>
</tr>
<tr>
<td>Timothy B Crommelin</td>
<td>BCom, BLL, AdvMgmtProg Hawaii, FSA</td>
<td>Professor</td>
<td>1 July 2018</td>
</tr>
<tr>
<td>Jamie Merrick</td>
<td>BCom, BA, MSc</td>
<td>Professor</td>
<td>1 July 2018</td>
</tr>
<tr>
<td>Grant Murdoch</td>
<td>BCom, MCom, Cant, FCA, FASA</td>
<td>Professor</td>
<td>1 July 2018</td>
</tr>
<tr>
<td>Professor Bronwyn Lea</td>
<td>PhD, BA (Hons), H.DLitt</td>
<td>Professor</td>
<td>1 July 2018</td>
</tr>
</tbody>
</table>

#### Elected members

- One member of the Academic Board
- Professor Greg Hainge, BA (Hons), MA, PhD, RCC, GCELead QII, FANZCA, FRSCA (appointed by Senate, effective 1 July 2018)
- One member of the full-time or part-time academic staff of the University, Professor Bronwyn Lea, BA, MA, PhD QII, FADA
- One member of the full-time or part-time general staff of the University, Rebecca Hunt, BA (Hons), DrFlHoD
- One undergraduate student, Richard Lee, BA, BEc (MuHSCG)'19, QII, QIAW
- One undergraduate student, Gabriella Starr, BSc, QII (studying Dentistry)

### Senate membership

#### Official members

- Chancellor Professor Douglas Gavan, MBBS QII, FRCRACS
- Adjunct Professor Dimity Doman AO, DipGpM, DipED, PhD, QII, HonDUniv, HonDUniv UQ, FSSPA, FTSE, CQI; QII, Senior Fellow QUT, HonQII
- Professor Deborah Terry AO, BA (Hons) ANU, PhD ANU, FASSA, FAPS
- President of the Academic Board, Professor Peter Adams, BSc (Hons), PhD, QII

#### Appointed by Senate

- Anna Cross AM, BSc(Chem), MSc(Comm), QII, FIAICD
- Deputy Chancellor Torianni Dwyer, BJuris (Hons), LLB (Hons) UWA, GAIIDC

### Senate achievements

In 2020, UQ Senate:

- under the Seal of the University, conferred 14,242 awards to 13,017 students – including 717 PhD candidates
- unanimously agreed to appoint Professor Deborah Terry AO as the University’s Vice-Chancellor and President from 5 August 2020, in terms of Section 32 of the **University of Queensland Act 1998**
- approved the principles for the protection of freedom of speech and academic freedom
- undertook an extensive, external review of the Senate. The Governance Committee will oversee the implementation of the report and report back to the Senate
- invited 6 nominees to accept honorary doctorates and one to receive a Gatton Gold Medal.
Senate Committee memberships

Senate Finance Committee
- Philip Hennessy AO (Chair)
- Peter N Varghese AO
- Professor Peter Haj AC / Professor Deborah Terry AO
- Professor Peter Adams
- Timothy Crommelin
- Torianna Dwyer
- Grant Murdoch
- Associate Professor Tony Roberts / Professor Bronwyn Lea
- Cecile Wake
- President UQU or nominee

Senate Risk and Audit Committee
- Grant Murdoch (Chair)
- Peter N Varghese AO
- Professor Peter Adams
- Anna Cross AM
- Philip Hennessy AO
- Elliott Johnson
- Michèle Treadenick

Senate Student Appeals Committee
- Professor Joanne Wright (Chair)
- Professor Peter Adams
- Professor Greg Haining
- Professor Bronwyn Lea
- Director, Student Support Services
- President (UQU) or nominee
- Student appointed by Senate after consultation with President UQU
- 3 members of the academic staff nominated by DVC (Academic)

Financial reporting

The financial statements are general purpose financial reports prepared in accordance with prescribed requirements. The University of Queensland is a statutory body and is audited by the Queensland Audit Office. See also about.uq.edu.au/annual-reports.

See also UQ basis of authority/functions pg 10
### Public Sector Ethics

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.

### 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 and Internal Audit across the following functions and activities:

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

All members of the Senate Risk and Audit Committee are appointed by Senate. The Committee met 4 times during 2020 and the members were:

- Grant Murdoch, BCom Cant, MCom Cant, FCA, FAICD (Chair)
- Professor Peter Adams, BSc (Hon), BCom (Qld), PhD (Qld)
- Anne Cross AM, BCom/Wk, MSc/Wk, Qld, FAICD, FHM
- Philip Hanney AO, BBusAcc GUT (as Chair of Finance Committee)
- Elliott Johnson, BCom/BEcon Qld
- Michelle Tredenick, BSc Qld, FAICD
- Peter N Varghese AO, BA (Hon), Qld, HLDlt Qld (Chancellor, ex officio).

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

The Enterprise Risk Management Framework is built on and supported by 5 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 ‘3 lines’ assurance model as part of its governance, risk and compliance frameworks. During 2020, the Committee provided direction and oversee the following:

- Risk Appetite Statement (RAS): Updates were proposed for this and the related Risk Matrix.
- COVID-19-related risk assessments, mitigations and reporting: These comprised:
  - impact assessments including the impact on UQ’s risk capacity
  - crisis response organisational and governance structure
  - crisis management strategy and protocols
  - crisis response focus areas and actions

- UQ’s recovery strategy.

### Top risks

Reporting continued on the University’s top academic and non-academic risks, considering the COVID-19 expected impact and related changes in the external environment, and progress reporting on the implementation of proposed new risk treatments.

### 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.

### Specific risk exposures

- Based on specific requests from management and/or the Senate Risk and Audit Committee, comprehensive risk assessments were undertaken and reports provided on specific risk exposures. Examples of such requests included risks associated with research collaborations with partners based in foreign countries, and the governance and management of major projects such as the Human Capital Management System.
Key Risk Indicators (KRIs): These were identified for monitoring our performance against each Risk Appetite Statement, including an assessment of the status of the current KRI level against the RAS, as well as the KRIs development trend over time. Relevant strategic KPI metrics and targets were also cross-referenced to the RAS.

Health, safety and wellness: To strengthen the governance structures and functions related to health, safety and wellness management, 5 additional safety dedicated senior management risk committee meetings were scheduled in 2020.

Research Integrity: In 2020, work focused on strengthening management of conflict of interest, including consultancy, secondary employment and internal work, and foreign influence.

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 Charter, last reviewed and approved by the Senate Risk and Audit Committee in November 2020. 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, the University of Queensland Act 2010, the Audit and Performance Management Standard 2019 and the Tertiary Education Quality and Standards Agency Act 2011 (TEQSA Act). Internal Audit activities also consider the Queensland Treasury Audit Committee Guidelines 2020.

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 2020, the completion of the annual audit plan was impacted by COVID-19. Nevertheless, Internal Audit was able to complete 12 engagements across the University, including assurance services, grant certifications, advisory services and the ongoing review of several large programs and projects.

Internal Audit
The Internal Audit function adds value by assisting Senate and University management to effectively execute 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 November 2020. 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.

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Human rights
The Human Rights Act 2019 commenced on 1 January 2020, with the main objectives being to:

- protect and promote human rights
- help build a culture in the Queensland public sector that respects and promotes human rights
- help promote a dialogue about the nature, meaning and scope of human rights

The University is committed to ensuring all decisions and actions taken are compatible with human rights. During 2020, the University conducted information sessions with the Senior Executive Team and Human Resources Leadership Team, and also implemented new processes to ensure any new or revised policies and procedures are compatible with human rights.

UQ received 2 complaints during 2020 that raised human rights concerns. These matters currently remain under consideration.

Information systems and recordkeeping
The University continues to promote compliance with the Public Records Act 2002, Information Standard IR (2018) and the ID.07001.01 information security management system.

In 2020, UQ made key system improvements to recordkeeping, information management, and security and information systems to support University objectives and priorities, including:

- Class Sign-on that enables students to select class preferences to better balance work/life commitments - 86 per cent received their first preference
- Curriculum management system (JAC) to provide an integrated digital tool-set that enables staff to collaborate in the creation, management and evolution of a comprehensive curriculum
- Blackboard learning management system enhancements to support the University’s pivot to dual-mode teaching and online assessment

UQ continued work delivering components of the Information Governance and Management Framework, encapsulating the whole of University’s strategic intent for information governance. The Framework underpins the Information Management Policy released late 2019. Activities included:

- thorough assessment of UQ’s data and information legislative obligations
- comprehensive threat analysis of UQ’s data and information
- development and communication of a Data Handling Procedure, outlining the minimum requirements via controls and mitigation strategies to safeguard UQ’s data and information throughout all phases of the information lifecycle
- development and communication of a Research Data Governance Operating Model, outlining the data governance and management expectations and decision rights for research data
- consolidation of various instruments to support information accountability, including the placement of recordkeeping and records lifecycle management under the broader and inclusive information governance program
- delivery of a data awareness campaign aimed at increasing the data literacy of all UQ stakeholders.

UQ also conducted a comprehensive cyber security improvement program that:

- delivered a cyber security awareness campaign, which decreased information security risk through changed behaviour
- further deployed multi-factor authentication (MFA) and increased applications requiring MFA, which resulted in over 25,000 accounts now being protected
- enabled contemporary high-quality firewalls and data protection solutions
- implemented secure online password recovery processes that include security questions for staff and student accounts
- piloted the Security Operations Centre Service delivered by AAI/R for the university sector
- improved the security of staff computers by implementing drive encryption, automatic screen-locks, and improved management of local administrative accounts.

Other improvements included:

- continuing work in recordkeeping best practice, which featured:
  - compiling a comprehensive list of the Universities Systems of Record
  - introducing a central electronic ‘Vault’ for all UQ executed contracts
  - introducing a review and approval process for all documents going through the offices of the Vice-Chancellor and the Provost
  - developing an extensive online training program in the use of TRIM for record-keeping from basic to advanced users
  - positioning recordkeeping as part of Project Planning
- continuing the application of the records disposal freezes on any records that are, or may be relevant to, allegations of child sexual abuse and all vulnerable persons, following recommendations of the Royal Commission.

External scrutiny
No significant findings or issues about The University of Queensland were identified by a State entity in 2020. As part of its audit plan, the Crime and Corruption Commission (CCC) audited the measures in place by a selection of Queensland universities to mitigate research fraud. Audit results were published in May 2020, and the University is working with the CCC to implement the recommendations from that report.