



The University of Sydney

STATEMENT OF AFFAIRS

JUNE 2009

A statement issued pursuant to sections 14 and 15 of the NSW *Freedom of Information Act* 1989

ISSN 1035 - 1647

Statement of Affairs

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The University of Sydney: a statement of affairs issued in June 2009 in accordance with sections 14 and 15 of the NSW Freedom of Information Act 1989.

The University, its structure and functions

The University of Sydney was incorporated by an act of the Legislature of New South Wales on 1 October, 1850. The act of incorporation was amended by subsequent acts enlarging the scope of the University and the whole was consolidated in the *University and University Colleges Act 1900*, as amended.

By a Royal Charter issued 27 February, 1858, the degrees of Bachelor of Arts, Master of Arts, Bachelor of Laws, Doctor of Laws, Bachelor of Medicine and Doctor of Medicine granted by the University of Sydney are entitled to rank, precedence and consideration as if the degrees had been granted by any university of the United Kingdom.

Following the *Higher Education (Amalgamation) Act 1989*, three formerly independent colleges of advanced education were amalgamated with the University. They were

- the Cumberland College of Health Sciences;
- the Sydney College of the Arts;
- the Sydney Conservatorium of Music.

In 1991 Cumberland College became the Faculty of Health Sciences.

In addition two sections of Sydney College of Advanced Education were amalgamated with the University:

- the Institute of Nursing Studies;
- the Sydney Institute of Education.

Orange Agricultural College on 1 January, 1994 became an academic college of the University, changing to the Faculty of Rural Management in 2000. In 2005 the Orange Campus became a part of Charles Sturt University.

The structure and functions of the University are prescribed in the *University of Sydney Act 1989* (as amended) (the Act) as follows:

Establishment of University

4. A University, consisting of:

- (a) a Senate;
- (b) Convocation;
- (c) the professors and full-time members of the academic staff of the University and such other members or classes of members of the staff of the University as the by-laws may prescribe; and
- (d) the graduates and students of the University,

is established by this Act as a continuation of the University of Sydney established by Act 14 Vic. No. 31.

Incorporation of University

5. *The University is a body corporate under the name of The University of Sydney.*

Object and functions of University

6. (1) *The object of the University is the promotion, within the limits of the University's resources, of scholarship, research, free inquiry, the interaction of research and teaching, and academic excellence.*

(2) *The University has the following principal functions for the promotion of its object:*

- (a) *the provision of facilities for education and research of university standard,*
- (b) *the encouragement of the dissemination, advancement, development and application of knowledge informed by free inquiry,*
- (c) *the provision of courses of study or instruction across a range of fields, and the carrying out of research, to meet the needs of the community,*
- (d) *the participation in public discourse,*
- (e) *the conferring of degrees, including those of Bachelor, Master and Doctor, and the awarding of diplomas, certificates and other awards,*
- (f) *the provision of teaching and learning that engage with advanced knowledge and inquiry,*
- (g) *the development of governance, procedural rules, admission of policies, financial arrangements and quality assurance processes that are underpinned by the values and goals referred to in the functions set out in this subsection, and that are sufficient to ensure the integrity of the University's academic programs.*

(3) *The University has other functions as follows:*

- (a) *the University may exercise commercial functions comprising the commercial exploitation or development, for the University's benefit, of any facility, resource or property of the University or in which the University has a right or interest (including, for example, study, research, knowledge and intellectual property and the practical application of study, research, knowledge and intellectual property), whether alone or with others,*
- (b) *the University may develop and provide cultural, sporting, professional, technical and vocational services to the community,*
- (c) *the University has such general and ancillary functions as may be necessary or convenient for enabling or assisting the University to promote the object and interests of the University, or as may complement or be incidental to the promotion of the object and interests of the University,*
- (d) *the University has such other functions as are conferred or imposed on it by or under this or any other Act.*

(4) *The functions of the University may be exercised within or outside the State, including outside Australia.*

University Governance

The *University and University Colleges Act* of 1900 was replaced in 1989 by the *University of Sydney Act* which established the University as a body corporate.

The Senate

The governing authority of the University is the Senate, constituted of parliamentary, official, appointed and elected members. The two parliamentary members are:

- one elected by and from the Legislative Council; and
- one elected by and from the Legislative Assembly.

The three official members are:

- the Chancellor (if the Chancellor is not otherwise a Fellow (member) of the Senate);
- the Vice-Chancellor;
- and the presiding member of the Academic Board (if that person is not the Vice-Chancellor);
- or the deputy presiding member of the Academic Board (if the presiding member is the Vice-Chancellor).

The four appointed members are appointed by the Minister for Education and Training, of whom one is to be appointed on the nomination of the Senate.

The elected members comprise:

- four persons elected by and from the members of the academic staff of the University;
- one person elected by and from the non-academic staff of the University;
- one person elected by and from the undergraduate students of the University (who is not a member of the academic or non-academic staff of the University);
- one person elected by and from the postgraduate students of the University (who is not a member of the academic or non-academic staff of the University); and
- five persons elected by and from the graduates of the University (who are not members of the academic or non-academic staff or undergraduate or postgraduate students of the University).

The Senate may appoint one other person to be a member of the Senate.

The governance roles and relationships of the Senate and the executive were established by resolution of the Senate in November 2001.

The Senate is the governing body of the University. It is accountable for the delivery of teaching, learning and research outcomes which extend the knowledge base of the wider community taking into account the resources available to the University. The executive is accountable to it. The statutory powers and responsibilities of the Senate are defined under Section 16 of the Act (and elsewhere in the Act, By-laws and Rules). The Senate is charged by the resolution to undertake the following:

- 1.1 Accept the fiduciary responsibilities and accountability of Fellows as derive from the office while respecting academic freedom, ethical standing and legal requirements.
- 1.2 Ensure that academic standards are maintained, working through the Academic Board and the Vice-Chancellor.
- 1.3 Set and continually review the relevance of important policy and strategy, ensuring that it is properly informed about matters pertaining to its governance functions.
- 1.4 Appoint the Vice-Chancellor, agree on limitations to executive authority and regularly evaluate performance.
- 1.5 Set strategic direction within overall University policy on the advice of the Vice-Chancellor.
- 1.6 Reconcile capital plans and operating budgets against the strategic direction agreed with the Vice-Chancellor.
- 1.7 Monitor the progress of plans and audit compliance with overall policy.

- 1.8 Deepen and widen the links and communication between the University and the wider community.
- 1.9 Report formally to the wider community on strategic direction and outcomes.
- 1.10 Develop the collective knowledge of the Senate through a process of comprehensive induction of Fellows and ongoing learning.
- 1.11 Seek out expert advice from knowledgeable authorities on major issues to complement the skill base and experience of the Fellows and from within the University.
- 1.12 Formally review the collective performance of the Senate in discharging its responsibilities.
- 1.13 Elect the Chancellor in accordance with the Act.

Insofar as certain of these functions may from time to time be properly carried out in Committee, this is only to be done under that authority and without detracting from the Senate's ultimate accountability.

Governance is vested solely in the Senate through the collective action of the Fellows, presided over by the Chancellor, and supported and advised by the Vice-Chancellor, directing the development of policy, assessing strategy, monitoring performance and reporting to the community.

The Chancellor

The Chancellor is elected by the Senate to facilitate its work and collegiality by effective and ethical means, providing a focal point to ensure the high standing of the University in the wider community. The statutory powers and responsibilities of the Chancellor are defined under Section 10 of the Act (and elsewhere in the Act, By-laws and Rules). The Chancellor should, without fettering such powers and discretions as derive from the office, undertake the following:

- 2.1 Preside over Senate meetings, oversee the development of Senate agendas and exercise the functions conferred by the By-laws working collaboratively with the Senate, the Vice-Chancellor and the University community; promoting the aims, ethos, independence, morale and spirit of the University and encouraging high standards.
- 2.2 With the Vice-Chancellor, ensure the Senate, the senior executives and the relevant Committees work fairly, with integrity, respecting confidentiality within transparent process and in an atmosphere of mutual trust and respect in an informed fashion; in particular ensuring that the Senate functions as it should, as a cohesive, accessible, effective, enquiring and informed body with a paramount fiduciary duty of loyalty to act in the best interests of the University owed by its members both individually and collectively. (See 3.6)
- 2.3 Preside on important ceremonial occasions such as graduation ceremonies, public lectures or seminars, sharing that responsibility as the Chancellor judges appropriate and facilitating the visibility and accessibility of the Senate within the University community and in particular to staff, students and alumni.
- 2.4 Work co-operatively with the Vice-Chancellor, available to give counsel and encouraging free, trusting and frank communication on all issues concerning the well being of the University.
- 2.5 In consultation with the Vice-Chancellor, provide a high level bridge to members of the wider community, promoting the aims of the University and responding to interest and concerns of society. (See 3.8)

In particular:

- (1.) (outdated)
- (2.) Regarding reporting of the Chancellor's role:

- (a) the personal assistant to the Chancellor will keep a record of public appearances by the Chancellor and Senators in a representative role for tabling at Senate meetings.
- (3.) Regarding communications about University matters:
 - (a) the overriding principle is that the Senate should be properly informed on all important matters or matters pertaining to the exercise of the Senate's functions.
 - (b) the Vice-Chancellor is free to communicate directly to Senate Fellows keeping the Chancellor informed.
 - (c) sensitivity in particular cases may justify communication first to the Chancellor, then at an appropriate time for the Senate to be informed, by the Chancellor or as agreed by the Vice-Chancellor, although this and other communications may be with safeguards to maintain confidentiality, where this is warranted.

Pro-Chancellor

At its meeting held on 5 May 2003, Senate agreed in principle to establish the position of Pro-Chancellor to be occupied by a small number of Fellows of Senate chosen by Senate on the recommendation of the Chancellor as persons who may properly carry out the functions of delegate of the Chancellor to preside at graduation ceremonies when the Chancellor is not available, in addition to the Deputy Chancellor, and Chair of the Academic Board.

At its meeting held on 2 June 2003, consistent with the Resolutions of the Senate quoted above, Senate

- (1) resolved that the following be carried out to implement those Resolutions:
 - (i) that two Pro-Chancellors be appointed by Senate to carry out the function in (i) in the Resolutions of the Senate, i.e. carry out the functions of delegate of the Chancellor to preside at graduation ceremonies when the Chancellor is not available, in addition to the Deputy Chancellor, and Chair of the Academic Board;
 - (ii) that, while recognising that it is for Senate to determine the appointment, the Committee recommends Mr David Hoare and Emeritus Professor Ann Sefton be appointed to that position, to 31 December 2004 in the first instance;
 - (iii) that the position of Pro-Chancellor be reviewed around mid-2004;
 - (iv) that, at the conclusion of the terms of office of the first two appointees, future Pro-Chancellors be elected to office by means of an election conducted by the Registrar; and
 - (v) that when presiding at graduations, the following robes as recommended by the Registrar be worn by Pro-Chancellors: a black silk satin gown with yoke and facing trimmed with gold and a black velvet trencher with a gold tassel;
- (2) confirmed that there is advantage in individual Fellows of Senate working with the Chancellor to take a particular interest in particular bodies or areas within the University.

Vice-Chancellor

The Vice-Chancellor is appointed by the Senate and is the Chief Executive Officer of the University. The statutory responsibilities of the Vice-Chancellor are defined under Section 12 of the Act (and elsewhere in the Act, the By-laws and Rules). The Vice-Chancellor is charged by the resolution of the Senate of November 2001 and should, without fettering such powers and discretions as derive from that office, the following:

- 3.1 Promote the interests of and further the development of the University through prudent, effective and ethical means as chief executive and Fellow of the Senate and as the senior representative of its academic body, participating in ceremonial occasions.

- 3.2 Manage all the business of the University except where the Senate has explicitly determined limitations, such as:
- matters of self interest or reward;
 - the appointment and termination of particular officers serving the Senate (the Secretariat);
 - the composition of the Academic Board; and
 - the work of the internal auditor and audit committee.
- 3.3 Delegate to senior officers and academics the conduct of that business as appropriate and ensure that such delegations are effectively monitored.
- 3.4 Ensure that the Senate is thoroughly informed of administrative or academic implications and fiduciary risks or legal constraints which affect policy recommendations and strategic direction.
- 3.5 Establish supporting systems to monitor the performance of the University against agreed strategic direction and operating plans.
- 3.6 With the Chancellor, ensure the Senate, the senior executives and the relevant Committees work fairly, with integrity respecting confidentiality within transparent process and in an atmosphere of mutual trust and respect in an informed fashion; in particular ensuring that the Senate functions as it should, as a cohesive, accessible, effective, enquiring and informed body with a paramount fiduciary duty of loyalty to the University to act in the best interests of the University owed by its members both individually and collectively.(See 2.2)
- 3.7 Provide Senate with the particular background knowledge to support Fellows in the discharge of their governance responsibilities.
- 3.8 Act as the key representative of the University with the wider community; sharing that responsibility with nominated officers and Fellows as appropriate and, in particular, with the Chancellor. (See 2.5).

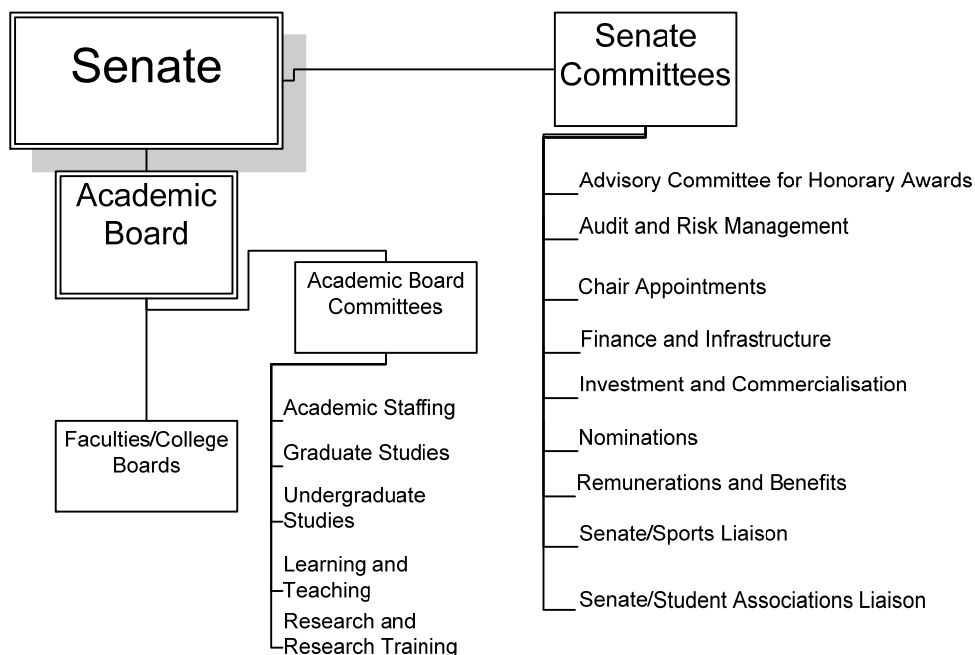
The Academic Board

The Academic Board, the senior academic body within the University, is responsible for furthering and coordinating the work of the faculties, academic colleges, departments and schools, and for encouraging teaching, scholarship and research. It is accountable to the Senate.

The functions of the Academic Board are to:

- (a) advise the Senate and the Vice-Chancellor on all matters relating to and affecting the University's teaching and research activities and its educational programs, including general advice on the academic priorities and policies of the University;
- (b) encourage the maintenance and development of high standards of teaching, scholarship and research;
- (c) co-ordinate and maintain an overview of the academic activities of faculties and similar organisational units;
- (d) participate in a formal and regular program of review of academic activities of faculties and similar organisational units;
- (e) advise on the academic aspects of the formulation and review of the University's strategic plan;
- (f) advise the Senate on faculty plans;
- (g) advise the Senate and the Vice-Chancellor with respect to policies concerning the academic aspects of the conditions of appointment and employment of academic staff;
- (h) consider and report on any matter referred to the Academic Board by the Senate or the Vice-Chancellor;

- (i) refer matters to faculties for consideration and report, and refer matters to departments and schools for consideration and report through the faculty under whose supervision they are placed;
- (j) consider and take action on reports from faculties;
- (k) advise the Senate on any academic submission made to the Senate by a faculty or similar organisational unit; and
- (l) exercise other functions delegated by the Senate to the Academic Board.



Governance Structure

The Faculties, Boards of Studies and Academic Colleges

The academic colleges, faculties and boards of studies are responsible for the supervision of teaching and the conduct of examinations.

The fourteen faculties in alphabetical order in the University are the Faculties of

- Agriculture, Food and Natural Resources;
- Architecture, Design and Planning;
- Arts;
- Dentistry;
- Economics and Business;
- Education and Social Work;
- Engineering and Information Technologies;
- Health Sciences;
- Law;
- Medicine;
- Nursing and Midwifery;
- Pharmacy;
- Science;

- Veterinary Science.

Boards of Studies supervise the award of certain degrees:

- the Board of Studies in Indigenous Studies;

The academic colleges are:

- Sydney College of the Arts; and
- Sydney Conservatorium of Music.

The GSG administers the Executive Master of Public Administration, a degree program taught and managed by the Australian and New Zealand School of Government (ANZSOG). The EMPA is for senior public servants and is run in several jurisdictions through Australia and New Zealand. In NSW, students undertake the degree through the University of Sydney and University of New South Wales as a jointly-badged program. GSG administer the program through USYD - this includes admissions, enrolment, result processing and graduation.

In August 2006 the current organisational structure for the University was adopted, with the Deans reporting to a Provost (see chart in Appendices).

There are 118 departments and schools in the University, spanning a wide range of interests. In all of them active research and other scholarly activities are carried out aimed at advancing the fund of human knowledge. In addition there are a large number of centres, services and support units which work with the departments and schools, including the University Library which has the largest university collection in Australia.

Finances

Teaching and research within the University were financed during 2008 by grants provided by the Australian Government:

\$564,514,000

This was supplemented by contributions:

\$141,183,000 from HECS HELP and FEE HELP;

\$9,529,000 from State Government.

Significant support for special research projects was received from several sources:

\$61,593,000 from the Australian Research Council;

\$117,680,000 from DEEWR Research;

\$53,400,000 from donations and bequests.

The University also received income of

\$50,200,000 from investments.

At 31 December 2008, the University's total equity was:

\$3,111,500,000.

Further detail regarding the University's financial position can be obtained from the *Annual Report*.

As at 31 March 2008 the University had a full time equivalent staff of 6,849. The academic staff of 3,081 included 256 professors. The number of students enrolled was 46,054.

Physical locations

The Camperdown and Darlington Campus, covering a total area of about 72 hectares, (50.6 hectares administered by the University, and 21 hectares granted to the six affiliated residential colleges) is located on blocks adjoining Parramatta Road and City Road.

Other sites of the University are:

- the Sydney Conservatorium of Music – Macquarie Street, City
- the Faculty of Law (Post-graduate) – 173 Phillip Street, City
- the Faculty of Dentistry – at the United Dental Hospital, 2 Chalmers Street, Surry Hills and at the Westmead Hospital, Darcy Road, Westmead
- the Faculty of Health Sciences – Cumberland Campus, at East Street, Lidcombe
- the Sydney College of the Arts – Rozelle Campus, off Balmain Road, Rozelle
- the Faculty of Nursing and Midwifery – Camperdown
- the Faculties of Veterinary Science and Agriculture Food and Natural Resources (the Rural Veterinary Centre and teaching and research facilities) – Camden
- the University Farms – at Marulan and Camden

The University also owns a number of residential, research and commercial properties, mainly within NSW.

General information about the University, about courses offered and about admission to the University, will be readily supplied on application to the Registrar. All correspondence should be addressed to:

The Registrar
The University of Sydney
NSW 2006
Australia

University of Sydney Strategic Directions 2007-2010

The following is an extract from the *University of Sydney Strategic Directions 2007-2010*.

RESEARCH

The University of Sydney is one of Australia's leading research-intensive universities and our cutting-edge research crosses the broadest range of disciplines of any Australian University. We seek to progress society through visionary research and artistic creation; science and technology that offers insights into the natural and physical world and provides innovative solutions that will underpin Australia's future economic prosperity; and health and medical research that encompasses research from agents of disease to increase patient care.

Our research aims to achieve fundamental advances in knowledge and commercial application of that knowledge. Our reputation is directly linked to the quality of our research achievement and research outcomes.

Strategies:

- Improve research intensity of individuals by providing greater flexibility and support for deans to:
 - (i) better identify, recruit, retain and reward of high-performing researchers
 - (ii) manage low-performing researchers
 - (iii) identify, support and mentor the top early career researchers.
- Formalise an individual excellence and area excellence approach to managing research.
- Emphasise individual/local responsibility in securing external funds for research and further strengthen central support for staff in this activity to achieve target outcomes.

- Support deans to identify opportunities for individuals to establish and sustain multi-disciplinary centres and groupings.
- Align infrastructure spend with future Research portfolio needs.
- Grow the number of PhD students through intensified marketing and income support.
- Engage with the community in understanding research needs and communicating the outcomes of research.

LEARNING AND TEACHING

We aspire to be recognised as a leader in high-quality, advanced education, to attract the best students and to offer scholarships that support this aspiration. Our degree structures will allow for student choice and flexibility, articulation of undergraduate and graduate entry professional programs, and well structured pathways into postgraduate research, advanced education and postgraduate professional entry programs.

Our aim is to ensure all students have the opportunity to develop distinctive skills and attributes that help equip them for their chosen careers. This ambition will be underpinned by high quality, research-led teaching and scholarship in teaching, a supportive Information Communications Technology (ICT) and learning infrastructure, and a clear, performance-orientated role for the Institute for Teaching and Learning.

Strategies:

- Develop and refine the Sydney “choices” model to achieve greater coherence, provide choice while maintaining flexibility, and ensure continuing relevance of our courses to students and employers through the development of generic skills relevant to the workplace and to provide a pathway to research higher degrees through research-led teaching.
- Achieve greater financial efficiency and sustainability in our course offerings.
- Improve teaching quality (through CEQ) and relevant student outcomes.
- Enhance the capability of higher education research in the scholarship of teaching.
- Optimise staffing profile to meet current and future needs.
- Optimise the use of ICT in Learning and Teaching while retaining a face-to-face teaching experience.
- Improve the quality of Learning and Teaching spaces.
- Attract and retain the highest quality students.
- Continue to provide and develop outstanding library resources including library spaces, accessibility and out of hours support.

INTERNATIONAL

The world’s leading research universities are expanding their international agendas in order to attract the best students and staff from around the world. As international mobility increases, so too does competition for top students and staff. We aim to provide the environment, facilities, networks and resources staff and students need to produce the highest quality research and education outcomes, while establishing international partnerships and collaborative agreements.

We have embraced a program designed to raise external engagement and to integrate an

international focus into all our activities. Recognising the mutual benefits of global exchanges, we encourage all staff and students to take part in international activities while welcoming international students, staff and visitors into our community.

Strategies:

- Develop and sustain relationships and partnerships with international governments, agencies, industry, leading academic organisations, alumni and individuals to extend the University's overall capacity.
- Be a champion and ambassador for Australian higher education and research. Engage and contribute to the cultural, social, economic and political fabric of the international community.
- Win new resources in grants, scholarships and people based on our strengths in research and learning.
- Continue to develop and lead a University-wide model of forums and activities to increase staff engagement, capability and participation in international activities.
- Develop staff and students who are global citizens by extending opportunities for study abroad, overseas exchanges and internships and by increasing the international curriculum in all courses in all courses.
- Diversify the international student base across all faculties, grow the international load from 19% in 2006 to 20% in 2010 with an emphasis on postgraduate coursework and research.
- Provide the support, language and bridging services international students need to have an outstanding experience at the University and achieve a top quality degree leading to a successful future.
- Attract, retain and reward outstanding staff from a diverse range of countries.

STUDENT EXPERIENCE

We aspire to provide each of our students with an outstanding intellectual, social and cultural experience, delivering the highest quality academic education and one of the most memorable times in their lives. We will help develop students as confident, well-rounded future citizens and leaders in their chosen field, as lifelong friends and as members of the University community.

Our aim is to enable each student to develop their individual interests and talents and to enjoy university life at all levels by delivering the highest quality formal education in an environment that values and encourages extracurricular experiences and opportunities.

Strategies:

- Take a “whole of life” view of the student/alumnus relationship with the University. Develop initiatives to maximise the University's value to students at each stage of this relationship, in particular by ensuring smooth transition from student to alumnus status through strong programs delivered immediately after graduation.
- Give students the best possible experience of University life through social, cultural and sporting activities, and by providing support to help them successfully navigate the challenges of academic and personal life.
- Align infrastructure spend with student experience needs.

- Develop ICT-enabled support systems and administration that is reliable and straightforward for students to use.
- Obtain a better understanding of scholarships and financial support activities and develop a shared scholarship strategy.
- Develop “campus life” offerings to encourage students to spend more time on campus. Create opportunities within the University and through industry relationships for students to support themselves financially by undertaking meaningful work during their student life.

EXTERNAL RELATIONS

Community and civic engagement is critical to the University’s continued vitality and relevance. We see universities of the 21st century as public institutions contributing to the cultural, social, economic and political life of the community as well as centres for research and learning.

Our goal is to distinguish ourselves as a vital source of intellectual development, creative endeavour and informed social commentary. We will achieve this by building constructive, sustainable relationships with prospective students, alumni, schools, business, professional organisations and governments, and directly with community organisations and individual citizens. Professional marketing, alumni relations, philanthropy and government relations are vital services that support the wider University to achieve these goals.

Strategies:

- Complete restructure of Community Portfolio to support and focus initiatives in this area.
- Identify the role of the Community Portfolio in facilitating and supporting University-wide community engagement and implement services as required.
- Improve the effectiveness of the community engagement activities that are the responsibility of the Community Portfolio.
- Further improve alumni communications to increase alumni engagement and ambassadorial support.
- Increase the scope, quality and analysis of the alumni and donors database to improve communications for engagement and fundraising purposes.
- Increase donations to \$100m by 2010 by increasing the efficiency, capacity and co-ordination of the University’s development capabilities.
- Implement a more co-ordinated government liaison process that supports academic staff and facilitates maximum impact.
- Develop and implement an integrated marketing, branding and communications program to enhance the University’s reputation, increase advocacy and help the University deliver the best value proposition in Australia.
- Develop and implement a more comprehensive internal communications process to improve staff understanding of their role and value in delivering the University’s strategies and initiatives.
- Develop strategic programs to engage alumni, friends, government and the business community to create and sustain additional financial resources necessary to support the objectives of the University.

PROFESSIONAL SERVICE UNITS

Capability and Staffing

Our reputation and achievements have been built through the intellect, commitment and contribution of outstanding staff. Attracting, rewarding and retaining staff of superior quality and international standing is of critical importance to our reputation.

With the increasingly tight market for talent creating an increasingly competitive environment, attracting the best staff and providing them with support to develop and perform becomes the most critical enabler of our objectives and the essence of our competitive advantage.

Our intent is to enable all academic staff to be high-performing with specific accountabilities aligned to the University's strategies. We will support staff with effective human resources (HR) processes and efficient shared services delivered by HR professionals.

We aim to recognise, foster and reward the contributions of all staff including our many honorary and clinical staff. Professional service staff will be driven towards greater professionalism and leaner, more effective support services.

Strategies:

- Upgrade the Sydney People (HR) function with technology platforms as key enablers.
- Improve the HR processes and support for recruitment.
- Improve the HR processes and support for performance management and development.
- Review and modify the remuneration and benefits strategy.
- Implement a best practice approach to workforce planning, talent management and career development.
- Develop our leadership.

Campus Infrastructure Services

We are one of the largest universities in Australia, with 16 campuses and many off-campus teaching and research facilities, and infrastructure is a key partner in supporting our endeavours. Our intent is to deliver best practice performance with rapid and high impact results through increasingly professional skilled staff, ICT platforms and processes.

New teaching delivery methods and the changing needs of research bring new challenges in ensuring a "best fit" between our strategic directions, our physical and cultural heritage and the future development of infrastructure.

Our aim is to create a dynamic, efficient, supportive and visually enriching physical environment, one that encourages outstanding teaching and research, within and across disciplines, and creates a strong sense of community. Our infrastructure will achieve best practice standards to stimulate and inspire a campus environment that enables the delivery of world-class student and staff experiences.

Strategies:

- Update the integrated campus development and management master plan to align to Research, Learning and Teaching, and support services strategic priorities with a commitment to sustainability and best practice.

- Develop and implement space and accommodation management policy.
- Continue the transformation of Campus Infrastructure Services to a professional, high-skilled client focused team.
- Implement a planned asset management and refurbishment program.
- Achieve best practice capital project management.
- Implement major development programs effectively.

Information and Communication Technologies (ICT)

ICT is both a service and an enabler that is essential to delivering effective outcomes and innovative solutions across the University.

Well delivered ICT, including a standard operating environment, will enable us to offer:

- a wealth of choices of Learning and Teaching methodology
- flexibility of access to information
- creative learning experiences
- the capacity to share information and experience
- the opportunity for innovation and leadership in education.

Strategies:

- Implement a shared service model to encompass all ICT support in a University-wide framework.
- Remedy ICT infrastructure by renewing networks and data centers to provide a strong base for continual innovation and service improvement.
- Improve organisational capability, agility and efficiency to reduce overheads and time to deliver.
- Focus ICT operations and projects towards University strategic priorities.

ECONOMIC MANAGEMENT AND PERFORMANCE

Australian universities operate in a tight fiscal environment, making effective economic management a crucial enabler to ensure the University has the resources and reinvestment capacity to achieve its objectives.

Our goal is to manage the University's finances effectively to generate a surplus for re-investment and to allow for better financial decision making via greater transparency and alignment of academic and financial drivers. Our intent is to continue to optimise revenue raising opportunities without compromising academic quality and to reduce our costs to allow for greater investment in Research, and Learning and Teaching.

Our aim is to become a world-class organisation with a focus on best practice service delivery, administrative efficiency and effectiveness and financial performance management.

Strategies:

- Formalise allocation of operational funding and resource allocation as part of the annual strategy and budgeting process.

- Implement an integrated management accounting system to provide data for faculty and University professional support services.
- Complete shared services program for ICT, finance, human resources, student services and marketing to improve service levels and lower cost.
- Reinvigorate commercialisation function (Sydnovate).
- Manage upcoming enterprise bargaining round.
- Monitor academic and financial performance.
- Improve planning capability.
- Improve management and implementation of strategies.
- Develop a University-wide quality assurance system for faculties and professional support units.
- Communicate the preferred role of the professional support units and their operational scale.
- Determine the viability of developing alternative pathways into the University, through The College.

The University and the public

The *Freedom of Information Act* requires the University to describe the ways in which its functions affect members of the public.

In each of the areas set out above, the University's functions, with emphasis on decision-making, affect the public as follows.

Teaching

The University makes decisions on –

- courses of study to be offered;
- resources to be allocated in support of each course;
- staff to be appointed to teach each course;
- numbers of students to be admitted to each course;
- admission of students to each course;
- progress of students within each course;
- certification of satisfactory completion of courses by students;
- grading of performance of students;
- evaluation of performance of teachers.

The decisions the University makes in each of these areas are of significance to the community, as well as to students and to those appointed to teach.

Research

Universities are funded publicly to extend knowledge. The decisions a University makes on research have a fundamental bearing on the external community and on the academic environment within which teaching occurs.

The University makes research-related decisions on –

- the responsibilities of academic staff to conduct research within their discipline;
- the securing of funds for research;
- the allocation of resources in support of research;
- the publication and application of the results of research;
- management of the University's overall commitment.

All research involving humans, which include

- the use of questionnaires/surveys or interviews;
- access to medical or other personal records;
- investigations of human behaviour;
- routine testing of human subjects;
- the administration of drugs, ionising radiation, chemical agents or vaccines;
- any other experimentation on human beings,

undertaken by staff, Honours, Masters, Doctorate and other Higher Degree and Diploma students must be submitted for the approval of the Human Ethics Committee. Undergraduate pre-honours projects may be approved by the Head of Department but, if there is any doubt, reference should be made to the Ethics Officer.

The HEC operates under the National Statement on Ethical Conduct in Research Involving Humans issued by the National Health and Medical Research Council (NHMRC) in accordance with the *NHMRC ACT, 1992 (Cth)*. Its members must be men and women, and include:

- a chairperson;
- two lay persons not affiliated to the university in any way nor involved in any research;
- a member who is experienced in one of the fields of research regularly referred to the Committee;
- a lawyer;
- a minister of religion or person performing a similar role in their community;
- a person professionally experienced in the care, counselling or treatment of people.

Research involving animals likewise must be referred to the Animal Ethics Committee for their approval of the project.

The University's commitments to teaching and research generally are embodied in the academic profiles negotiated annually with the Australian Government.

The University and the community

In every sense, the University is a cultural resource, largely funded publicly and accessible to the general community.

The cultural life of the University complements its function as a centre of learning. Members of the public participate in exhibitions, attend the theatres, visit the museums, galleries and the libraries. The various departments contribute to the museums, galleries, concerts and theatrical life. For some, this contribution is central to their work.

Centres of cultural activities within the University include the University Library, the Archives, the Macleay and Nicholson Museums and the small museums located in various departments, the University Collection, the Great Hall, the Carillon, the Seymour Theatre Centre, the Old Darlington School, the Sydney College of the Arts and the Sydney Conservatorium of Music.

In this context the University makes decisions on –

- allocation of resources in support of the cultural fabric of the institution;
- public access to these facilities.

In addition the University produces and makes available, free and for purchase, a range of publications of an educational nature and about the University and presents special events, also of an educational nature such as public lectures, in support of a broad cultural, including educational service to the general community.

The student body, as part of the University community, receives support from the University to assist students' academic endeavours, social development and welfare.

Convocation, comprising largely the graduates of the University, is legally a part of the University community, established by the *University of Sydney Act 1989*. The affairs of Convocation are managed in accordance with the Act by the Sydney Alumni Council, and the University may make decisions which affect the rights and privileges of members of Convocation.

To the extent that the general body of staff of the University constitutes part of the University community, the University may make decisions on –

- terms and conditions of work;
- support facilities and access to them;
- social and welfare facilities and access to them.

The Foundations

Within the University there exist more than 40 Foundations whose role is to promote, on the University's behalf, three basic academic objectives: diversity (in academic activities), interaction (with the wider community) and relevance (to the wider community).

In this framework, the University makes decisions on -

- the structure and purposes of such organisations;
- conditions of membership;
- privileges of members;
- expenditure of funds raised.

The Foundations and similar groups provide an opportunity for public participation in the affairs of the University (see below).

Public participation

The *Freedom of Information Act* requires the University to describe the arrangements that exist to enable the public to participate in the formulation of the University's policy and in the exercise of its functions. In this context, the public include members of the general community, students and staff of the University.

Opportunities exist for students, staff and members of the community to participate in all facets of the governance of the University. There is participation through the formal decision-making structures and through the many support units that contribute to the University's affairs.

Apart from the formal structures for participation in decision-making noted below, the University is always pleased to receive petitions, submissions, proposals or suggestions on any matters pertaining to the functions of the University from interested or concerned individuals, groups or organisations.

The Senate

Of the 22 Fellows of the Senate, all except the Vice-Chancellor and Chair of the Academic Board are either Fellows by virtue of election or by appointment by the Minister for Education and Training. This arrangement gives the public (the general community, the graduates, the staff and the students) substantial involvement in the proceedings of the governing authority of the University.

The Academic Board

Chancellor, Deputy Vice-Chancellors and the Chair of the Academic Board includes a total of 67 elected academic staff members, the 17 Deans and 12 student members. This arrangement gives the academic staff and the student body substantial involvement in the proceedings of the senior academic body within the University. The presiding member of the Board is elected by its members.

The Academic Colleges, Faculties and Boards of Studies

Generally, these academic bodies comprise the academic staff responsible for the educational programs under the supervision of each and elected student members. It is common for there to be provision, in addition, for external members being persons with expertise in the discipline concerned.

The Departments and Schools

The by-laws provide for there to be a board of each department and school and through these boards, staff and students have an opportunity to contribute to the affairs of each department and school.

Foundations

The affairs of the Foundations are managed by councils or boards which comprise predominantly external members. The functions are controlled by members of the public who are members of the Foundations.

Centres, Services, Units and Teaching Hospitals

The many centres, services and other units exist to enhance the academic and cultural activities of the University and to support the welfare of the University community, in particular the needs of students. While these units are often administered directly by the University, in many cases their affairs are managed or monitored by councils, boards, advisory committees, user committees and so on. These provide opportunities for staff, students and the general community to participate. The University also has an association with over 40 hospitals for clinical teaching.

Museums and Galleries

The public are invited to participate in the development and display of the collections which are held by the museums and galleries within the University. In general, the day-to-day management of these collections is the responsibility of one or more appointed staff of the University.

The University of Sydney Library

Participation in the management of the University Library is through the Library Committee of the Academic Board, and through individual faculty and departmental library committees. Most of these committees have provision for student membership

Committees

The University has an extensive committee system which provides widespread opportunities for staff, students and in the case of the Senate and some other instances, external members to participate in the formulation of policy and decision-making generally.

Residences

Apart from the residential colleges affiliated with the University, there are residences for staff and students within the University. In the case of International House, Selle House, Yannadah, Darlington House and Nepean Hall, the affairs of the residence are managed by councils which include residents (staff or students) and external members.

Graduates

The graduates, and certain other classes of persons specified in the By-laws, constitute Convocation which is one of the components of the body corporate under the name of the University of Sydney. The affairs of Convocation are managed, in effect, by a Standing Committee elected by and from the membership.

Other University Operations

The University community includes a number of other operations which extend public participation in the University's academic, cultural and social life. These are as follows:

Subsidiaries

Wentworth Annexe
Elastagen Pty Limited
Sport Knowledge Australia Pty Limited (SKAPL).
Ucom Sixteen Pty Limited
The Bosch Institute
The Sydney Institute of Health and Medical Research
The Institute For Magnetic Resonance Research
Centre for United States Studies Pty
Sydney Learning Pty Limited
Sydney Talent Pty Limited
The Warren Centre for Advanced Engineering Limited
WayAhead Pty Limited

The University's Documents

Definition of the University's documents

The *Freedom of Information Act* provides for the public to have right of access to *information*. This is achieved by a legally enforceable right to access to documents.

In order to comply with the spirit of the *Freedom of Information Act*, while protecting the security of any documents which are not the University's although held on University premises, an interpretation of this part of the Act is most important.

A document is the University's, for purposes of the *Freedom of Information Act*, if it is a document:

- to which the University has an immediate right of access;
- that is in the possession, or under the control of a person in that person's capacity as an officer of the University; or
- created by an officer of the University in the normal course of that person's duties for the purposes of the University, or for the purposes of the person as an officer of the University.

Staff of many organisations will often have documents at their workplace which are not the documents of their employer. The documents have been created for other organisations or are strictly personal. The incidence of such documentation at the workplace is, however, not the norm.

In the case of academic staff of universities, there is an expectation of an extramural involvement, as a normal part of their vocation. Academic staff serve, outside their university, on public sector committees, on professional bodies, as professional practitioners and consultants, as critics, editors and writers, as referees for other organisations, as company directors, as expert witnesses, as concerned citizens, activists and lobbyists, and in many other capacities.

In these extramural activities, the staff accumulate large quantities of documentation. In their research activities they accumulate equal quantities of paperwork. Most of this paperwork is not the business of their primary employer, the University. It is, therefore, generally not accessible under FOI legislation.

The interpretation of a document of the University set out above, legalistic as it may seem, is important in allowing staff to protect their properly personal documents, and other documents they may hold which are not the University's.

Under the *Freedom of Information Act*, a document includes –

- (a) any paper or other material on which there is writing or in or on which there are marks, symbols or perforations having a meaning, whether or not that meaning is ascertainable only by persons qualified to interpret them; and
- (b) any disc, tape or other article from which sounds, images or messages are capable of being reproduced.

Again, using the context of the University's published objectives, as set out above, the documents held by the University can be categorised as follows.

Teaching

Decisions on teaching-related matters are made by the Senate, the Academic Board, the academic colleges, faculties and boards of studies, and departments and schools, as well as individual teaching staff. The University's documents include the record of the proceedings of the decision-making bodies and the teaching materials produced or acquired by staff.

A range of documents is generated from these records and materials, apart from the records and materials themselves:

- academic profiles as negotiated annually with the Australian Government;
- published curricula and syllabuses;
- personal records relating to the employment of teaching staff;
- applications for admission to courses of study;
- records relating to students' admission, enrolment, progress, evaluation and other personal information matters;
- forms of evaluation of teachers;
- library collections and records.

Research

Decisions on research-related matters are made by the Senate, the Academic Board, the academic colleges, faculties and boards of studies, departments and schools, centres, services and units, Human Ethics Committee and Animal Ethics Committee, and Foundations as well as individual staff engaged in research. The University's documents include the record of the proceedings of the decision-making bodies and the research materials produced or acquired by staff.

A range of documents is generated from these records and materials, apart from the records and materials themselves:

- academic profiles as negotiated annually with the Australian Government;
- published conditions of appointment and promotion of academic staff;
- institutional bids for research funds;
- staff research funding applications;
- research papers and reports;
- patents, patent applications and other documents relating to commercialisation of research results;
- library collections and records.

The University and the community

In its cultural and extension activities, and its support for the student body, Convocation and the general body of staff, the University generates or acquires a large quantity of documents.

Decisions on these matters are made by the Senate, the Academic Board, the academic colleges, faculties and boards of studies, departments and schools, centres, services and other units, museums, galleries and libraries including their management committees, the boards and councils of the student organisations, and the Standing Committee of Convocation. The University's documents include the records of the proceedings of the decision-making bodies.

A range of documents is generated from these records and materials, apart from the records and materials themselves:

- guides, prospectuses, catalogues and other informational publications;
- user records;
- management guidelines, including constitutions;
- registers;
- client records;
- contributor records;
- applications for services, entitlements, benefits and support;
- commercial contracts, including leases;
- financial records, including records of purchases, sales and course registration;
- inventories.

The Foundations

Decisions on the affairs of the Foundations are made by the Senate, and by the Foundations (and equivalent units) themselves. The University's documents include the records of the proceedings of the decision-making bodies.

A range of documents is generated from these records, apart from the records themselves:

- constitutions and equivalent articles of association;
- membership and donor records;
- annual reports and other periodic publications;
- research and commercial contracts and agreements;
- financial statements, including funding agreements;

- submissions to other funding bodies.

Administration and management, and finance

Decisions on the administration and management of the University are made directly by the Senate, the Vice-Chancellor and committees of the Senate and of the Vice-Chancellor, by other principal officers of the University, subject to the direction of the Vice-Chancellor, and by the appointed and elected heads of academic units. The University's documents include the records of the decision-making bodies and directives made in writing by the various officers (see in Appendix A – Administrative Management Structure).

Decisions which have a bearing on the administration and management of the University are also made by the various academic units and are contained in the records of their proceedings.

A range of documents is generated from these records and executive decisions, apart from the records and decisions themselves. These are managed through systems maintained by Archives and Records Management Services within the University. In addition, the administration produces a range of periodic publications, under the FOI and other Acts and for the information of students, staff and the general community.

Documents available for inspection

All of the documents described above can be made available for inspection provided that some will be, in part or in full, exempt from open access in accordance with Schedule 1 of the NSW *Freedom of Information Act*, with particular but not exclusive reference to those documents which:

- affect personal affairs;
- affect business affairs;
- affect the conduct of research;
- are internal working documents;
- contain confidential information; and
- affect financial or property interests.

Documents available for purchase

Any of the documents described above which are typed or printed and bound can be made available for purchase. These include the *Calendar*, handbooks, prospectuses, guides and reports. Some are available free of charge (see below).

Documents available free of charge

A number of printed and bound publications are available free of charge, including the Undergraduate Prospectus and the Postgraduate Studies Handbooks, and other promotional publications, including publications produced by individual academic units, research groups, centres, services and other support organisations. In addition, many documents are available free of charge through the University's web site: www.usyd.edu.au

Personal Information Holdings

The University holds personal information on its current and former students and members of staff. In addition, the University holds deposited records which may contain personal information.

Staff

The major series of hardcopy records relating to University staff are the Personnel Files. There are files on all current members of staff. In addition, the University Archives holds files on some

senior former members of the University's staff. Faculties and some departments may also hold local copies of records relating to staff.

The major electronic recordkeeping applications relating to University staff are the human resources system and the recruitment system.

In addition, the University's *Calendars*, *Faculty Handbooks* and other publications also contain lists of the University's staff and the University's web based internal phone directory contains the names of staff.

Students

The major series of hardcopy records relating to students of the University are held in the Student Files. In addition, the University Archives holds records on former students of the University and the amalgamated colleges and their predecessors.

The major electronic recordkeeping system relating to current and former University students is FlexSIS.

Faculties and departments also hold records relating to students.

The Student Centre holds records regarding graduates of the University.

University Library

The University Library has records identifying those persons entitled to use its services.

Donors to the University

The University Development Office holds records relating to donors to the University, as do the various foundations within the University.

Research records

Records created by members of the academic staff of the University conducting or supervising research may contain personal information.

Deposited records

Deposited records which may contain personal information may be held in the University Archives, the Macleay Museum or the University Library. Access to these records is available by contacting each office. Details of any restrictions relating to the records may be found in the relevant finding aids, guides or catalogues.

Access to the University's Documents

Personal records

Members of staff who wish to obtain access to or seek amendment of the University's records concerning their personal affairs should contact the HR Service Centre.

Members of staff may in addition consult Mr Tim Robinson (see below) concerning University documents that concern their personal affairs.

Students who wish to obtain access to or seek amendment of the University's records concerning their personal affairs should contact the senior administrative officer of their respective academic college, faculty or board of studies, except in the case of the Faculty of Health Sciences when they should contact:

The Executive Director
Faculty of Health Sciences

East Street
Lidcombe NSW 2141
Telephone (02) 9351 9234 or,

Students may in addition consult Mr Tim Robinson (see below) concerning University documents that concern their personal affairs.

Members of the public who are not staff or students of the University who wish to obtain access to or seek amendment of the University's records concerning their personal affairs should contact –

Mr Tim Robinson
FOI Coordinator
A14
University of Sydney
NSW 2006
Telephone (02) 9351 4263

Any person who wishes to obtain access to documents other than documents concerned with personal affairs should contact Mr Tim Robinson as above.

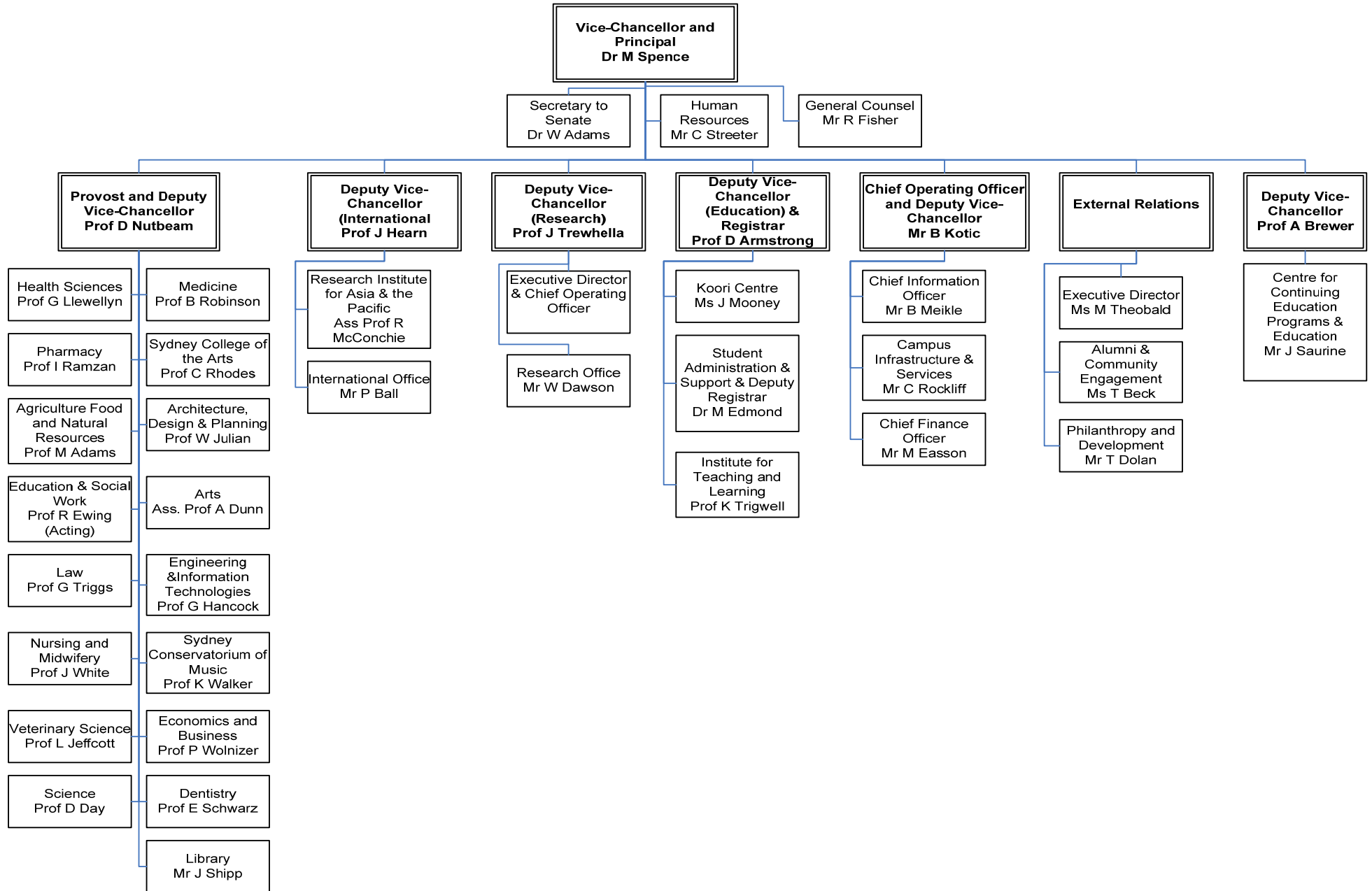
Applications made under the NSW *Freedom of Information Act* should be lodged with Mr Robinson at the address shown above.

Documents available for purchase or free of charge can be obtained from:

- The Student Centre and the Information Centre at the Camperdown Campus;
- The Sydney College of the Arts, Admissions and Courses Office;
- The Main Enquiries Counter at the Sydney Conservatorium of Music;
- The Cashier's Office at the Faculty of Health Sciences at the Cumberland Campus.

Appendix A – Organisation Charts¹

¹As of 30 June 2009. Organisational structure may vary after the publication date.



Vice-Chancellor's Office

