

STATEMENT OF AFFAIRS

The records of Macquarie University are subject to the terms of the *Freedom of Information Act 1989*. The *Freedom of Information Act* gives individuals a right of access to information held in the records of the University, a right to have personal information held by the University amended if it is found to be incorrect and a right to obtain reasons for decisions made by the University that have materially affected them. It will be necessary to exempt from release certain types of information in some circumstances. There is an appeal procedure in place for applicants who are unhappy with the determination made.

Guiding principles of Macquarie University

The visions, missions and goals set by the University in relation to teaching and learning, research and community outreach should be viewed in the context of Macquarie's distinctive academic role as a modern, research-based university of international excellence:

- founded in the concept of serving the community;
- delivering first-rate educational programs by a variety of modes, including face-to-face teaching in Sydney, and from strategically chosen locations in Asia, and by flexible, online and multi-mode learning in selected fields throughout Australia and the world;
- distinguished by the conscious application of tested scholarly disciplines to modern needs;
- driven intellectually by the enquiring spirit of fundamental research;
- committed to the pursuit of flexible skills and a unity of knowledge that will fit the University to meet the complex demands of education in the 21st century;
- demonstrating a particular commitment to postgraduate studies and research training; and
- making innovative use of modern technologies to enhance academic outcomes and administrative processes.

Legislative establishment

The University, consisting of Council, Convocation, and graduate and undergraduate members, was established by the *Macquarie University Act 1964*. This was repealed by the *Macquarie University Act 1989*.

The full title of the *Macquarie University Act 1989*, which commenced on 1 January 1990, describes it as "An Act with respect to the constitution and functions of the Macquarie University; to repeal the Macquarie University Act 1964; and for other purposes".

The Act consists of five parts and three schedules:

- Part 1 — Preliminary
 - Part 2 — Constitution and Functions of the University
 - Part 3 — The Council, Authorities and Officers of the University
 - Part 4 — Functions of Council
 - Part 5 — General
 - Schedule 1 — Provisions Relating to Members and Procedure of the Council (section 9)
 - Schedule 2 — Investment (section 16)
 - Schedule 3 — Savings and Transitional Provisions (section 32)
- The *Macquarie University Act 1989* (section 6) provides that the object and functions of the University should include:

"(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 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.”

The New South Wales government, in November 1963, set up an Interim Council to guide the establishment of the University, and with the proclamation of the 1964 Act this Interim Council became the University's first Council. The University accepted a small number of postgraduate students in 1966 and began the teaching of undergraduates in 1967. It was the third university to be established in the metropolitan area of Sydney. Macquarie University is a member of the Association of Commonwealth Universities.

The By-laws set out below were made by the University Council pursuant to section 23 of the Macquarie University Act 1964. This Act was repealed in 1989 and its provisions (with modifications) re-enacted in the Macquarie University Act 1989 which commenced on 1 January 1990. The new Act includes transitional arrangements for the existing By-laws to continue in force as if they had been made by the Council. The By-Laws are divided into 17 chapters and one schedule:

Chapter 1 — Preliminary

Chapter II — Interpretation

Chapter III — The Council

Chapter IV — Election of Members of the Council

Chapter V — The Common Seal

Chapter VI — The Chancellor and Deputy Chancellor

Chapter VII — The Vice-Chancellor and Other University Officers

Chapter VIII — Management and Administration

Chapter IX — Matriculation

Chapter X — Courses and Degrees

Chapter XI — Convocation

Chapter XII — Fees

Chapter XIII — Arms

Chapter XIV — Academic Costume

Chapter XV — Student Misconduct and Discipline

Chapter XVI — Affiliation of Residential Colleges

Chapter XVII — University Residential Accommodation

Schedule to the By-Laws

The University Council

The *Macquarie University Act 1989* provides for 19 members of the University Council. As constituted under section 9 of the Act, two members of Council are elected by the two Houses of Parliament, three members are elected by the academic staff and one by the general staff of the University; four are elected by Convocation and one by students proceeding to a degree or diploma at the University. The Minister for Education appoints four members, and Council itself may appoint one additional member. The Chancellor, the Vice-Chancellor and the Vice-President of Academic Senate are members of the Council ex officio.

Committees of the University Council

- Audit Committee
- Buildings and Grounds Committee
- Ceremonials Committee
- Committee of Advisers on Legislation
- Committee on Standing Orders
- Finance Committee
- Standing Committee On Appeals

Other Committees reporting to the University Council

- Discipline Committee
- Equal Opportunity Committee
- Honorary Awards Committee
- Housing Board
- Remuneration Committee
- Standing Committee of Convocation

Committees Advisory to the Vice Chancellor

- Animal Ethics Committee
- Animal Facilities Committee
- Biosafety Committee
- Budget Review Committee
- Child Care Committee
- Concert and Theatre Committee
- Disability Services Policy and Planning Committee
- Equipment Committee
- Ethics Review Committee (Human Research)
- Information Technology Policy Committee
- Intellectual Property and Innovation Committee
- Lighthouse Theatre Committee
- Occupational Health and Safety Committee
- Promotions Committee
- Quality Assurance Committee
- Research Committee

- Student Grievances Committee
- Student Services Coordination Committee
- Vice-Chancellor's Management Committee
- Vice-Chancellor's Advisory Committee on Museums and Collections

Convocation

Convocation consists of all members and past members of the Council, all graduates and diplomates of the University, all full-time members of the University's academic staff and certain other members of staff, and such other persons as may be admitted to membership. There is a Standing Committee of Convocation consisting of the Vice-Chancellor and the Chair of the Finance Committee of Council (both ex officio) and twelve members elected from and by the members of Convocation. The activities of Convocation are supported by the Director and staff of the Alumni Office.

Academic Senate

The body principally responsible for academic matters is the Academic Senate. It consists of the Vice-Chancellor, the Deputy Vice-Chancellors, the Pro-Vice-Chancellor, the Vice-President of the Academic Senate, the Heads of Divisions, one member elected by each Division, and three students. The Registrar and Vice-Principal is secretary of the Academic Senate.

Committees of the Academic Senate

- Academic Appeals Committee
- Academic Program Committee
- Grading Appeals Committee
- Higher Doctoral Degrees Committee
- Library Committee
- Postgraduate Appeals Committee
- Postgraduate Studies Committee
- Timetable Committee
- Undergraduate Studies Committee
- University Medals Committee

The Executive

Vice-Chancellor

Emeritus Professor D (Di) Yerbury, AO, LLB *Lond*, PhD *Melb*, DipTechSci *Manc*, HonDIntRels *Rits*, HonDLitt *WSyd*

Deputy Vice-Chancellor (Academic)

Emeritus Professor John H Loxton, MSc *Melb*, PhD *Camb*

Deputy Vice-Chancellor (Administration)

Professor Jack R Bassett, MSc *Melb*, PhD *Macq*, FAIBiol

Deputy Vice-Chancellor (Research)

Professor Peter L Bergquist, MSc *NZ*, PhD *Auck*, DSc *Auck*, FRSNZ

Pro-Vice-Chancellor (E-Learning and Information Services)

Deputy Vice-President of Academic Senate

Mr David Blair, BA *Syd*, MA *Syd*, FRSA

Registrar and Vice-Principal

Mr Brian J Spencer, BCom *NSW*, BA *Macq*

Academic organisation

The academic structure of the University is organised as three academic Colleges composed of nine Divisions. The Colleges are the College of Commerce, the College of Humanities and Social Sciences and the College of Science and Technology. The Divisions consist of Departments and other academic organisational units. The academic structure is as follows.

COLLEGE OF COMMERCE

Division of Economic and Financial Studies

(Applied Finance, Accounting and Finance, Actuarial Studies, Business, Economics, Statistics)

Head of Division: Professor Ed Davis

Graduate School of Management

(Management)

Head of Division: Professor John Hewson

COLLEGE OF HUMANITIES AND SOCIAL SCIENCES

Australian Centre for Educational Studies

(Early Childhood, Education, Special Education)

Head of Division: Professor Alan Hayes

Division of Humanities

(English, Ancient History, Modern History, Asian Languages, European Languages, Public Law, Contemporary Music Studies, Politics and International Relations)

Head of Division: Mr David Blair

Division of Law

(Business Law, Environmental Law, Law)

Head of Division: Professor Rosalind Atherton

Division of Society, Culture, Media and Philosophy

(Anthropology, Critical and Cultural Studies, Indigenous Studies, International Communication, Media and Communications, Philosophy, Sociology, Women's Studies)

Head of Division: Professor Mitchell Dean

COLLEGE OF SCIENCE AND TECHNOLOGY

Division of Environmental and Life Sciences

(Biological Sciences, Chemistry, Chiropractic, Earth and Planetary Sciences, Human Geography, Physical Geography, Graduate School of the Environment)

Head of Division: Professor Elizabeth Deane

Division of Linguistics and Psychology

(Linguistics, Psychology)

Head of Division: Dr Anne Burns

Division of Information and Communication Sciences

(Computing, Electronics, Mathematics, Physics)

Head of Division: Professor Ray Offen

Research

Macquarie University's mission and goals position research as one of its highest priorities. A Research Office, under the direction of the Deputy Vice-Chancellor (Research), was established early in 1989 to administer the University's research policies and to promote liaison with industry and the business community. Staff attached to the various research centres formally constituted within the Divisions undertakes research in specific areas. Additionally, Commonwealth funding supports some special research centres.

The Federal Minister for Science and Technology officially launched the Macquarie University Research Park in May 1996. It is a joint venture between a private sector company and the University.

National Research Centres

- ARC National Key Centre for Geochemical Evolution and Metallogeny of Continents (GEMOC)
- Australian Proteome Analysis Facility (APAF)
- Centre for Lasers and Applications (CLA)
- Commonwealth Key Centre for Biodiversity and Bioresources
- Cooperative Research Centre for Conservation and Management of Marsupials (Marsupial CRC Limited)
- National Centre for English Language Teaching and Research (NCELTR)

University Research Centres

- Ancient History Documentary Research Centre (AHDR)
- Australian Centre for Astrobiology (ACA)
- Australian Centre for Egyptology (ACE)
- Centre for Language in Social Life (CLSL)
- Centre of Australian Category Theory (CoACT)
- CSIRO-Macquarie University Joint Research Centre for Advanced Systems Engineering (JRCASE)
- Dictionary Research Centre (DRC)
- Labour-Management Studies Foundation (LMSF)
- Macquarie Centre for Cognitive Science (MACCS)
- Macquarie University Centre for Ecostratigraphy and Palaeobiology (MUCEP)
- Macquarie University Research Institute for Biotechnology (MURIB)
- Macquarie University Special Education Centre (MUSEC)

- Risk Frontiers: Natural Hazards Research Centre (RF-NHRC)
- Speech, Hearing and Language Research Centre (SHLRC)

Other University Centres

- Australian Centre for Ancient Numismatic Studies (ACANS)
- Graduate Accounting and Commerce Centre (GACC)
- Macquarie Japanese Studies Centre for Teaching Development (MJS)
- Macquarie University Applied Finance Centre
- Macquarie University Centre for International Communication (CIC)
- Centre for Advanced Computing – Algorithms and Cryptography
- Centre for Language Technology
- Centre for Number Theory Research
- Special Research Centre for Lasers and Applications

Institutes

- AsiaPacific Research Institute Macquarie (APRIM)
- Institute for Women's Studies

University Planning

Macquarie University's family of academic plans comprises:

- Academic Strategic Directions Statement detailing overall directions for the University;
- Research Plan (one of the three Academic Plans);
- Teaching and Learning Plan (one of the three Academic Plans);
- Community Outreach Plan (one of the three Academic Plans), and
- 23 support plans.

The table at the end of this section lists the relevant plan and the University bodies that monitors its implementation and any subsequent reviews.

The Macquarie campus

The name "Macquarie" commemorates Major-General Lachlan Macquarie (1762-1824), Governor of the Colony of New South Wales, 1810-1821, whose genius for administration and vision of the future of the colony led to the first considerable developments in organised finance and commerce, inland exploration and settlement, fine architecture, and patronage of the arts and literature. The University is located on a 126-hectare site at North Ryde, approximately 18 kilometres northwest of the central business district of the City of Sydney. The campus, once the site of orchards and market gardens, now bears many thousands of indigenous and exotic trees. In this wooded parkland setting a sculpture park features works by some of Australia's leading sculptors.

For teaching, research, and administrative purposes there are approximately 30 buildings on campus, together with the University Library, the Students at Macquarie (SAM) complex, the theatres and a printery. In the surrounding areas are University student housing,

affiliated residential colleges, parking, sporting facilities and a biological resources area.

An extensive collection of major Australian paintings, either on loan to or owned by the University, hangs throughout the University Library and is displayed in exhibitions in the University Gallery (in the Administration Building).

The Macquarie Theatre, with seating for about 500, is used for concerts by the Macquarie Trio and for other performances; the Lighthouse Theatre is the venue for student productions.

Services, facilities and resources

Detailed information on the services, facilities and resources provided by the University for students and staff is given on the University website. The University is geographically well suited to serve as a centre of cultural, recreational and intellectual interest for a large part of the metropolitan area of Sydney. Members of the general community visit the University to attend concerts, dramatic performances, public lectures, conferences, astronomical observations and sporting events, and to use the University's resources.

University Calendar

The *Macquarie University Calendar* is the official annual publication of the University. It is intended for use as the official reference to Macquarie University by prospective, new and continuing students, academic and administrative staff, other university and industrial colleagues, and the general public.

Since 2001, the Calendar has been issued as three separate volumes:

Calendar of Governance, Legislation and Rules — containing details of University legislation, rules and regulations;

Handbook of Undergraduate Studies — the official Handbook of information for undergraduate students;

Handbook of Postgraduate Studies — the official Handbook of information for postgraduate students.

Selecting Your Undergraduate Program is also available to be used in conjunction with the *Handbook of Undergraduate Studies*. An archive of handbooks from 1997 to 2001 can be found on the University website.

University record keeping

The Records and Archives Services (RAS) provides a central leading role in the management of record keeping at the University. It is responsible for the development and review of University-wide record keeping policy and procedures that are compliant with the *State Records Act 1998* and other relevant legislation.

The Records and Archives Services has direct managerial

responsibility for the University's corporate records, including central administrative files, policy files, vital records, student records and the holdings of the Macquarie University Archives.

Staff provide the following services to the University community:

- Records creation and retrieval
- Electronic records projects
- Legislative compliance reports
- Records disposal
- Disaster preparedness advice
- Records retention period revaluations
- Acquisition of archival records
- Preservation and conservation of current and archival records in all formats
- Advice to the University on all aspects of recordkeeping practices
- Records management consultancies for specific business units
- Training in recordkeeping practices and systems to all University staff
- Reference services for the University, professional researchers and the public

As well as housing the corporate administrative records of the University, the Macquarie University Archives hold significant archival items documenting the history and development of the University's administration and teaching. In addition, there are personal collections that document important areas of scholarship. Established in 1978 the Archives hold 410 record series; 670 publications and 20 personal collections.

Archival records of national significance

The archives hold a collection documenting the history and development of the Sydney Kindergarten Teachers College, the first of its kind in Australia. The collection contains material dating back to the 19th century.

Archival records of international significance

There are two collections in the Archives of international significance:

- the Chandra Jayawardena collection;
- the Peter Mason collection.

Student Files Section

This section holds current student files and provides records services to the University. In 2002 a records series covering new files of offshore students was successfully integrated into the University's record keeping system. Regular file audits are conducted to transfer non-current files to semi active back history storage. This section is also responsible for files of students studying for higher degrees by research.

Access to information

Enquiries about documents held by the University and access to them should be made in the first instance to the Freedom of Information Officer.

Enquiries may be by mail, or, in office hours, by telephone or in person. It is advisable for anyone who intends to enquire in person to make an appointment by telephone first.

Postal Address

Mr Lachlan Morgan
Freedom of Information Officer
Macquarie University
Building E11A
Macquarie University NSW 2109

Campus Location

Room 120
Building E11A

Telephone

(02) 9850 7362 (if unattended a voicemail facility is available)

Facsimile

(02) 9850 7363

Office Hours

9.00am to 5.00pm Monday to Friday

Requests for access

In general, the University will meet reasonable requests for access to information without the need for an application under the *Freedom of Information Act 1989*. There will be no charge for information given outside the provisions of the Act, except for documents that are available on sale to the public and for photocopying charges at 10 cents per page.

If for any reason a request for access is refused, then the person requesting it will be advised to contact the Freedom of Information Officer.

Freedom of Information Officer

The following officer has been appointed by the University to make determinations under the *Freedom of Information Act 1989*:

The Freedom of Information Officer
Macquarie University
Mr Lachlan Morgan

Making a freedom of information application

A freedom of information application must:

- be in writing;
- specify that it is made under the *Freedom of Information Act 1989*;

- be accompanied by an application fee payment of \$30;
- contain such information as is reasonably necessary to enable the documents to be identified;
- specify an address in Australia to which notices should be sent; and
- be lodged (by mail or in person) at the University.

If there is any deficiency in the initial freedom of information correspondence the University will seek clarification in writing from the applicant.

When composing a freedom of information application, advice or information on any aspect of the *Freedom of Information Act 1989* may be obtained from the Freedom of Information Officer.

It is essential that the Freedom of Information Officer be the first point of contact for any freedom of information applications.

The Freedom of Information Officer will acknowledge receipt of an application in writing. The application will also be logged and then captured in the University's record keeping system. In addition to the application fee, there is a processing charge payable of \$30 per hour (after the first 20 hours in the case of personal records), and an internal review fee of \$40. The Freedom of Information Officer will provide details of costs and possible reductions.

The University will decide within 21 days whether or not the application will be allowed. The applicant will be advised as soon as possible of the outcome, and given reasons if the access applied for is denied or deferred. An applicant may apply for an internal review of a decision, and then, if dissatisfied with the internal review, has the right to complain to the Ombudsman or appeal to the Administrative Decisions Tribunal.

Exempt documents under the *Freedom of Information Act 1989*

The legislation gives the University discretion to release or refuse access to documents, which it believes fall within one or more of a number of exemption categories. Such documents may be completely exempt, partially exempt or exempt under certain conditions or exempt depending upon the outcome of consultation. They include documents dealing with such matters as law enforcement and public safety; the personal affairs of any person; trade secrets or information of commercial value; research; opinion, advice, recommendations, deliberations, etc, involved in reaching decisions; information given and received in confidence; information which if released would prejudice the effectiveness of tests, etc.

Schedule 1 of the *Freedom of Information Act 1989* provides a full detailing of exemption categories.

Summary of Affairs

The Summary of Affairs of the Macquarie University is required to be published under section 14(3) of the *Freedom of Information Act 1989*.

The document contains a list of the agency's policy documents, contact details for freedom of information enquiries and contact points for areas of the University responsible for policy development. The latest Summary of Affairs was published in the *New South Wales Government Gazette* of 27 December 2002.

Personal records and privacy

The Privacy Management Plan highlights the University's obligations under the *Privacy and Personal Information Protection Act 1998* (NSW), which commenced on 1 July 2000.

The Act covers all personal information held by the University. The Act protects the personal information of individuals by giving individuals certain rights in relation to their personal information and by creating obligations that the University (as a public sector agency) must fulfil.

Part 6 of the *Privacy and Personal Information Protection Act 1998* (NSW) refers to "public registers" and contains provisions for disclosure of personal information through a public register. The public registers the University holds are:

- Roll of Prize Winners
- Roll of Students (By-law 5)
- Roll of Graduates
- Roll of Convocation.

The Macquarie University Privacy Officer (telephone 02 9850 8143) is the first point of contact for privacy matters, and for advice and information about privacy issues.

| Plan | Monitoring Mechanism |
|--|---|
| Research Plan | Council |
| Teaching and Learning Plan | Academic Senate and its committees, eg Academic Programs, Research, Quality Assurance Committee |
| Community Outreach Plan | Management Committee (Vice Chancellors Management Committee - VCMC) |
| Budgetary Strategic Plan | Finance Committee Budget Review Committee |
| Internationalisation Plan | International Committee, VCMC |
| Campus Development Plan | Buildings and Grounds Committee |
| Capital Management Plan | Buildings and Grounds Committee |
| Information Technology Strategic Plan | IT Policy Committee |
| Equipment Plan | Equipment Committee |
| Flexible Learning Plan | Quality Assurance Committee VCMC |
| Educational Profiles | Enrolment Planning Committee Quality Assurance Committee Equal Opportunity Committee |
| Access and Equity Plan | Student Services Coordination Committee Quality Assurance Committee Equal Opportunity Committee |
| Aboriginal and Torres Strait Islander Plan | Student Services Coordination Committee Quality Assurance Committee Equal Opportunity Committee Indigenous Recognition Committee |
| Student Services Plan | Student Services Coordination Committee |
| Disability Action Plan | Equal Opportunity Committee |
| Library Plan | Library Committee Quality Assurance Committee IT Policy Committee VCMC |
| Computing Services Plan | IT Policy Committee VCMC |
| Financial Services Plan | Executive |
| Internal Audit Strategic Plan | Audit Committee |
| Registrar's Office Plan | Quality Assurance Committee Student Services Coordination Committee |
| Staff Development Plan | Quality Assurance Committee VCMC |
| Equal Employment Opportunity Plan | Equal Opportunity Committee |
| Museums and Collections Plan | Museums and Collections Committee VCMC |
| Marketing Plan | Executive Promotions Committee |
| Quality Assurance Plan | Quality Assurance Committee VCMC |