

MODERN SLAVERY POLICY 2020

The Vice-Chancellor and Principal, as delegate of the Senate of the University of Sydney, adopts the following policy.

Dated: 16 December 2020

Last amended:

Signature:

Name: PROFESSOR STEPHEN GARTON

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1 Name of policy

This is the Modern Slavery Policy 2020.

2 Commencement

This policy commences on 16 December 2020.

3 Policy is binding

Except to the extent that a contrary intention is expressed, this policy binds the University, staff, students and affiliates, controlled entities, and any entity which is bound to follow it by the terms of an agreement with the University.

4 Statement of intent

- (1) This policy:
- (a) sets out the University's:
 - (i) commitment to respecting human rights and addressing modern slavery;
 - (ii) principles for taking meaningful action to identify and address modern slavery;
 - (iii) compliance framework for meeting reporting obligations set out in the [Modern Slavery Act 2018 \(Cth\)](#), including preparing and publishing an annual statement on steps taken to identify and address the risks of modern slavery in its operations, supply chains and investments; and
 - (iv) standards of behaviour expected of all staff, affiliates, suppliers and partners;
 - (b) identifies roles and responsibilities for implementing this policy; and
 - (c) supports the University's values of respect and integrity, openness and engagement, and diversity and inclusion.

5 Application

This policy applies to all:

- (a) staff;
- (b) students;
- (c) affiliates;
- (d) controlled entities; and
- (e) suppliers and partners.

6 Definitions

In this policy:

affiliates has the meaning given in the [Code of Conduct – Staff and Affiliates](#).
At the date of this policy, this is:

clinical title holders; adjunct, conjoint and honorary appointees; consultants and contractors to the University; holders of offices in University entities, members of Boards of University Foundations, members of University Committees; and any other persons appointed or engaged by the University to perform duties or functions on its behalf



authorised disclosure officer

has the meaning given in the [Reporting Wrongdoing Policy 2012](#). At the date of this policy, this is:

any one of the following, each of whom is authorised to receive public interest disclosures on the University's behalf:

- Vice-Chancellor
- General Counsel
- Director, Internal Audit
- Senior Solicitor
- Director, Workplace Relations
- Manager, Archives & Records Management Services
- Associate Director, Workplace Relations.

controlled entity

has the meaning given in the [Controlled Entity Policy 2020](#). At the date of this policy, this is:

means a person, group of persons or body over which the University has control.

Note: See also the definition of 'controlled entity' in section 16A of the [University of Sydney Act 1989 \(as amended\)](#) and sections 39 (1A) and 45A of the [Public Finance and Audit Act 1983](#).

high risk modern slavery geographies

has the meaning given in the [Commonwealth Modern Slavery Act Guidance for Reporting Entities](#). At the date of this policy, this means countries which:

- have not ratified international conventions relevant to modern slavery, such as: [The International Convention to Suppress the Slave Trade and Slavery \(1926\)](#); [ILO Convention \(No. 29\) concerning Forced or Compulsory Labour \(1930\)](#); [the Supplementary Convention on the Abolition of Slavery; the Slave Trade and Practices similar to Slavery \(1956\)](#); [the Protocol to Suppress, Prevent and Punish Trafficking in Persons, Especially Women and Children \(2000\)](#); [ILO Convention \(No. 182\) concerning the Prohibition and Immediate Action for the Elimination of the Worst Forms of Child Labour \(1999\)](#);
- are reported by international or non-government organisations to have a high prevalence of modern slavery or labour rights violations, other human rights violations or child labour;
- have inadequate protections for workers, including no or weak capacity to effectively monitor workplace standards and enforce compliance with national standards;
- have law enforcement agencies reported to be hostile to workers in at-risk industries;
- force parts of the population to work for development purposes, for example to assist in construction or agriculture;
- are reported by international or non-government organisations to have weak rule of law, including due to corruption, conflict or political instability;
- have a high prevalence of people who are vulnerable to exploitation because they are impoverished, displaced or subject to severe discrimination.



high risk sectors	<p>means sectors and industries with high modern slavery risks because of their characteristics, products and processes. These include:</p> <ul style="list-style-type: none">• use of unskilled, temporary or seasonal labour;• use of short-term contracts and outsourcing;• use of foreign workers or temporary or unskilled labour to carry out functions which are not immediately visible because the work is undertaken at night-time or in remote locations, such as security or cleaning;• use of child labour in hazardous conditions, such as underground, with dangerous machinery or tools, in unhealthy environments (including where they are exposed to physical or sexual abuse), or for long hours;• recruitment strategies by suppliers, their agents or labour hire agencies target specific individuals and groups from marginalised or disadvantaged communities; or• direct engagement with children, including through orphanage tourism and other forms of ‘voluntourism’ (including through companies’ social investment and corporate social responsibility programs).
modern slavery	has the meaning given in clause 7
Modern Slavery Act	means the Modern Slavery Act 2018 (Cth) , as amended from time to time.
Modern Slavery Framework and Plan	means the statement, approved by Senate, of the University’s holistic approach to, and strategy for, addressing modern slavery.
staff or staff member	means an employee, including a casual employee, of the University
supplier	means an organisation or person who supplies the University with goods or services, and includes their officers, directors, subcontractors, agents, related entities and consultants
partner	means any organisation or person who is: <ul style="list-style-type: none">• collaborating with the University; or• participating in a joint venture or research initiative with, or on behalf of, the University
Principal Officer	<p>has the meaning given in the University of Sydney (Delegations of Authority) Rule 2020. At the date of this policy this is:</p> <p>means any of:</p> <ul style="list-style-type: none">• Vice-Chancellor and Principal• Senior Deputy Vice-Chancellor• Deputy Vice-Chancellor• Vice-Principal• General Counsel

7 Meaning of modern slavery

- (1) The term 'modern slavery' describes situations where coercion, threats or deception are used to exploit people and undermine or deprive them of their freedom.
- (2) Consistently with the [Modern Slavery Act](#) and divisions 270 and 271 of the [Criminal Code 1995 \(Cth\)](#) this includes:
 - (a) **trafficking in persons**, which is the recruitment, harbouring and movement of a person by means of coercion, threat, deception, fraud, and abduction for the purposes of exploitation through modern slavery. Exploitation includes:
 - (i) the prostitution of others or other forms of sexual exploitation;
 - (ii) forced labour or services;
 - (iii) slavery or practices similar to slavery;
 - (iv) servitude; or
 - (v) the removal of organs;
 - (b) **slavery**, which is where the offender exercises powers of ownership over the victim including:
 - (i) the power to make the person an object of purchase; and
 - (ii) the power to use their labour in an unrestricted way;
 - (c) **servitude**, which is where the victim's personal freedom is significantly restricted, and they are not free to stop working or leave their place of work;
 - (d) **forced labour**, which is where the victim is either not free to stop working or not free to leave their place of work;
 - (e) **forced marriage**, which is where:
 - (i) coercion, threats or deception are used to make a victim marry; or
 - (ii) the victim does not understand or is incapable of understanding the nature and effect of the marriage ceremony;
 - (f) **debt bondage**, which is where the victim's services are pledged as security for a debt (owed by the victim or by another person) and:
 - (i) the debt is manifestly excessive;
 - (ii) the victim's services are not applied to liquidate the debt; or
 - (iii) the length and nature of the services are not limited and defined;
 - (g) **deceptive recruiting for labour or services**, which is where the victim is deceived about whether they will be exploited through a type of modern slavery.

Note: Offences specified in clause (a) to (g) are criminal offences under division 270 and division 271 of the [Criminal Code 1995 \(Cth\)](#).
- (3) Modern slavery can also extend to **the worst forms of child labour**, including situations where children are:
 - (a) exploited through slavery or similar practices, including for sexual exploitation;
 - (b) engaged in hazardous work which may harm their health or safety; or
 - (c) used to produce or traffic drugs.

Note: For more detail see Article 3 of the [ILO Convention \(No. 182\) concerning the Prohibition and Immediate Action for the Elimination of the Worst Forms of Child Labour](#), done at Geneva on 17 June 1999 ([2007] ATS 38)

- (4) The term “modern slavery’ is only used to describe serious exploitation.
 - (a) It does not include practices like substandard working conditions or underpayment of workers. However, these practices are also illegal and harmful and may be present in some situations of modern slavery.
 - (b) These practices may escalate into modern slavery if not addressed.

8 Principles

- (1) Modern slavery breaches the most fundamental freedoms and human rights of individuals. The University rejects all forms of modern slavery and recognises that modern slavery is never acceptable in any of its forms.
- (2) As a higher education institution, the University recognises the important role the University, and the tertiary education sector, can play in making a significant contribution to the global effort to eradicate modern slavery.
- (3) The University is committed to respecting human rights and taking meaningful action to identify and address risks within its direct control which have the potential to cause, contribute to, or directly link the University to modern slavery.
- (4) Where modern slavery risks arise outside the University’s direct control, the University will use its influence and leverage to engage with suppliers, partners and stakeholders to effect change in their relevant practices.
- (5) The University is committed to taking meaningful action to prevent, mitigate and, where appropriate, remedy modern slavery risks in its operations, supply chains and investments.
- (6) Where the University identifies potential risks of causing, contributing to, or being directly linked to a form of modern slavery, its response will be informed by the University’s [Risk Management Policy 2017](#) and the following principles.
 - (a) **Risk based due-diligence** meaning that the process of identifying and responding to modern slavery risks will reflect the applicable risk profile and operating environment, including:
 - (i) activities undertaken in high risk geographies;
Note: See the [Global Slavery Index](#) for updated lists of high risk countries.
 - (ii) purchasing goods or services considered at high risk of being linked to modern slavery;
 - (iii) operations in high risk sectors; and
 - (iv) engagement with vulnerable populations at a heightened risk of
 - (b) **Fitness for purpose**, meaning that actions taken, and due diligence requirements imposed, will adequately address modern slavery risks whilst meeting organisational needs.
 - (c) **Balance**, meaning that actions taken and due diligence requirements:
 - (i) will be commensurate with the University’s capacity and that of its partners and suppliers to implement and monitor those actions; and
 - (ii) will not act as a disincentive for partners and suppliers to engage with the University.

- (d) **Embedded in 'business as usual'**, meaning that actions to be taken and due diligence requirements will be included in the University's existing operating model with clear roles and responsibilities, reporting requirements and management controls.

9 Framework for addressing modern slavery

- (1) Senate will determine a holistic Modern Slavery Framework and Plan, which will set out the University's strategy and approach to addressing modern slavery.
- (2) All University units engaging with external suppliers and partners will:
 - (a) undertake risk-based assessments and due diligence of their supply chains, operations and investments to identify and address modern slavery risks identified in clause 7;
 - (b) where appropriate and as informed by their risk assessment, engage with their suppliers and partners to gain a proper understanding of the measures they have in place to identify and address modern slavery risks;
 - (c) include specific modern slavery provisions in contractual documentation with suppliers and partners, as appropriate for the engagement and based on the principles in clause 8. These include:
 - (i) prohibitions on slavery or servitude, the use of forced, compulsory or trafficked labour, and the use of child labour;
 - (ii) requirements that suppliers and partners hold their own suppliers to appropriate standards and undertake risk-based modern slavery due diligence; and
 - (iii) requirements to remediate identified modern slavery risks, including engaging directly with suppliers, partners and relevant stakeholders to establish a remediation plan;
 - (d) promote awareness of modern slavery, including as appropriate to the engagement, through:
 - (i) training for staff, students, affiliates and controlled entities in high risk sectors; and
 - (ii) supporting staff, affiliates, controlled entities, suppliers and partners in identifying, addressing and remediating modern slavery.
- (3) Where modern slavery risks arise outside the University's direct control, University units, staff, students, affiliates and others bound by this policy will engage collaboratively with suppliers and partners to identify and implement measures which contribute to the prevention, mitigation and remediation of those risks.
- (4) Policy determining authorities and policy administrators, with the support of the Policy Management Unit in the Office of General Counsel, will include the University's commitment to respect human rights and adequately address modern slavery risks as appropriate in the University's policy and procedures documents.
- (5) The Human Resources unit will provide, and require staff and affiliates to complete, mandatory [online training](#) about modern slavery.
- (6) The Deputy Vice-Chancellor (Education) portfolio will provide information and [online training](#) for students about modern slavery.
- (7) The Vice Principal Operations will manage and address reports of modern slavery concerns and escalate them as appropriate.

Note: See clause 13

10 Standards of behaviour for staff and affiliates

- (1) Addressing modern slavery risks is the shared responsibility of all who are bound to comply with this policy.
- (2) In performing their University duties and functions, the behaviour and conduct of staff and affiliates must be informed by the University's commitment to address modern slavery. This includes:
 - (a) avoiding any activity that might lead to, or suggest, a breach of this policy or any other relevant policy;
 - (b) exercising their best professional and ethical judgement;
 - (c) carrying out their duties and functions with integrity and objectivity;
 - (d) treating concerns or issues raised about modern slavery with respect, impartiality, courtesy and sensitivity;
 - (e) when required, investigating and responding to allegations of modern slavery fairly and reasonably, with due regard to procedural fairness;
 - (f) applying the principles for addressing modern slavery set out in clause 8; and
 - (g) reporting and appropriately escalating any issues of concern in accordance with clause 13.

11 Standards of behaviour for suppliers and partners

The University expects that its suppliers and partners will:

- (a) demonstrate their commitment to identifying, assessing and addressing modern slavery in their operations and supply chains in the jurisdictions in which they operate. This includes taking measures to:
 - (i) identify and mitigate modern slavery risks including slavery or servitude, the use of forced, compulsory or trafficked labour, and the use of child labour;
 - (ii) hold their own suppliers to appropriate standards and undertake risk-based modern slavery due diligence of their own operations and supply chains; and
 - (iii) evaluate the effectiveness of these actions;
- (b) work collaboratively with the University to prevent, mitigate and, where appropriate, remedy modern slavery in their operations and supply chains including by addressing the issues identified in clause 9;
 - (i) This includes providing the University with information required to gain a proper understanding of the measures they have in place to identify and address modern slavery risks;and
- (c) notify the University of any suspected or actual incident of modern slavery as soon as practicable after becoming aware of it.

12 Reports and recordkeeping

- (1) Principal Officers will provide written reports the University Executive every six months detailing:
 - (a) modern slavery risks or issues identified in their area of responsibility;
 - (b) steps taken to address them;
 - (c) performance against set targets and key performance indicators;
 - (d) actions taken to evaluate the effectiveness of steps taken; and
 - (e) plans for continuous improvement.
- (2) The University Executive, in consultation with the Vice-Principal (Operations), will prepare the annual Modern Slavery Statement for consideration by Senate, consistently with the requirements of the [Modern Slavery Act](#).
- (3) Staff and affiliates must create and maintain appropriate records of decisions made and actions taken under this policy.
- (4) Records must be stored securely in the University's corporate recordkeeping system, in accordance with the [Recordkeeping Policy 2017](#).

13 Reporting incidents or concerns of modern slavery

- (1) Subject to subclause 13(3), staff and affiliates are encouraged to report and appropriately escalate concerns about possible modern slavery to their manager, at the earliest possible opportunity.
- (2) The University also encourages students and parties external to the University to raise concerns about modern slavery, which should be reported to anti-slavery@sydney.edu.au
- (3) If a report relating to modern slavery also involves any of:
 - (a) corrupt conduct;
 - (b) maladministration;
 - (c) serious or substantial waste of public money;
 - (d) government information contravention; or
 - (e) other kinds of wrongdoing;it should, in the first instance, be reported to an authorised disclosure officer, in accordance with the [Reporting Wrongdoing Policy 2012](#).
- (4) Some reports may be protected under either or both of the [Public Interest Disclosures Act 1994 \(NSW\)](#) or the [Corporations Act 2001 \(Cth\)](#).

Note: Further information about what disclosures are protected, and the nature of the applicable protection, is provided in the [Reporting Wrongdoing Policy 2012](#).

14 Breach of policy

Breach of this policy may have the following consequences.

- (a) For staff or affiliates: disciplinary action may be taken, up to and including termination of employment, engagement or affiliation;
- (b) For students: breach of this policy may constitute misconduct for the purposes of the [University of Sydney \(Student Discipline\) Rule 2016](#);

- (c) For suppliers or partners: breach of this policy may prejudice the relationship with the University, and may constitute a breach of contract.

15 Roles and responsibilities

- (1) The **University Senate** is responsible for approving the:
 - (a) Modern Slavery Framework and Plan; and
 - (b) annual Modern Slavery Statements.
- (2) The **Vice Chancellor** is responsible for approving this policy.
- (3) The **University Executive** is responsible for:
 - (a) monitoring the University's compliance with the Modern Slavery Act and this policy, including steps taken to identify and address risks of modern slavery in the University's operations, supply chains and investments;
 - (b) receiving regular reports on the University's activities to identify and address modern slavery risks;
 - (c) where appropriate, escalating matters for consideration to either or both of the Vice-Chancellor and the Senate Audit and Risk Committee; and
 - (d) in consultation with the Vice-Principal (Operations), preparing and recommending to Senate the annual Modern Slavery Statement;
 - (e) advising the Vice Chancellor on the implementation of the Modern Slavery Framework and Plan.
- (4) The **Deputy Vice-Chancellor (Education)** is responsible for implementing this policy as it relates to their portfolio, including:
 - (a) providing students with access to an appropriate online training module and monitoring rates of completion;
 - (b) undertaking communications to raise student awareness of modern slavery risks, the benefits of completing the training module and relevant student support activities such as those offered during Welcome Week; and
 - (c) providing six monthly reports to the University Executive as required by clause 12.
- (5) The **Vice-Principal (Operations)** is responsible for:
 - (a) administering this policy;
 - (b) implementing this policy as it relates to their portfolio;
 - (c) managing the implementation of the University's Modern Slavery Framework and Plan and evaluating the effectiveness of these measures to identify and address modern slavery risks;
 - (d) providing six monthly reports to the University Executive as required by clause 12;
 - (e) in consultation with the University Executive, preparing an annual Modern Slavery Statement as required by the [Modern Slavery Act](#); and
 - (f) submitting the approved and signed Modern Slavery Statement to the relevant authority.

- (6) **Other Principal Officers** are responsible for:
- (a) implementing this policy as it relates to their portfolios; and
 - (b) providing six monthly reports to the University Executive as required by clause 12.
- (7) The **Chief Procurement Officer** is responsible for:
- (a) undertaking risk-based assessments and due diligence of the University's supply chain;
 - (b) implementing University procurement activities that comply with this policy and the principles set out in it;
 - (c) engaging with suppliers as required to gain a proper understanding of the measures they have in place to identify and address modern slavery risks;
 - (d) implementing measures to remediate identified modern slavery risks, as required; and
 - (e) developing and implementing sourcing and procurement policies, procedures and processes which comply with this policy.
- (8) The **Chief Human Resources Officer** responsible for:
- (a) implementing this policy as it relates to the [Code of Conduct – Staff and Affiliates](#), staff recruitment and human resources matters; and
 - (b) administering mandatory staff training on anti-slavery awareness.
- (9) The **Chief Investment Officer** is responsible for managing the University's investments and capital consistently with the requirements of this policy.
- (10) The **Office of General Counsel** is responsible for:
- (a) drafting and advising on University policies and procedures which reflect the requirements of this policy; and
 - (b) when required, drafting and advising on contractual documentation with suppliers and partners to incorporate appropriate modern slavery provisions, consistent with this policy.

NOTES

Modern Slavery Policy 2020

Date adopted:	16 December 2020
Date commenced:	16 December 2020
Administrator:	Vice- Principal (Operations)
Review date:	16 December 2025
Rescinded documents:	
Related documents:	Modern Slavery Act 2018 (Cth) Corporations Act 2001 (Cth) Criminal Code Act 1995 (Cth)

Crimes Act 1914 (Cth)

Public Finance and Audit Act 1983 (NSW)

Public Interest Disclosures Act 1994 (NSW)

University of Sydney Act 1989 (NSW)

The International Convention to Suppress the Slave Trade and Slavery (1926)

ILO Convention (No. 29) concerning Forced or Compulsory Labour (1930)

The Supplementary Convention on the Abolition of Slavery; the Slave Trade and Practices similar to Slavery (1956)

The Protocol to Suppress, Prevent and Punish Trafficking in Persons, Especially Women and Children (2000)

ILO Convention (No. 182) concerning the Prohibition and Immediate Action for the Elimination of the Worst Forms of Child Labour (1999)

University of Sydney (Delegations of Authority) Rule 2020

University of Sydney (Student Discipline) Rule 2016

Code of Conduct – Staff and Affiliates

Recordkeeping Policy 2017

Reporting Wrongdoing Policy 2012

Risk Management Policy 2017

Travel Policy 2018

Work Health and Safety Policy 2016

AMENDMENT HISTORY

Provision Amendment

Commencing