Deakin University 2020 Modern Slavery Statement

This is Deakin University's first Modern Slavery Statement in accordance with the *Modern Slavery Act 2018* (Cth), and reflects the University's approach to managing our modern slavery requirements during the reporting period from 1 January to 31 December 2020.

The reporting entity for the purpose of this statement is Deakin University ABN 56 721 584 203, a public university and a body politic and corporate established pursuant to the *Deakin University Act 2009* (Vic) of 1 Gheringhap Street, Geelong, Victoria, 3220 ('Deakin' or 'the University').

Deakin University additionally owns four subsidiaries at the date of this Statement, which are 'controlled entities' for the purposes of the *Modern Slavery Act 2018* (Cth) and further described on pages 6-7 (Consultation with controlled entities).

Structure, operations and supply chain

Deakin's values

In the 45 years since it was founded in 1974, Deakin University has formed an essential bond with communities in Victoria and through our education, research and innovation, has made significant contributions to the nation's social, cultural and economic capital. Our values reflect what we believe and guide our actions.

- **Excellent** – we strive for excellence in all aspects of our work.
- **Inclusive –** we value diversity, embrace difference, seek to engage and welcome all.
- **Brave –** we make bold decisions, demonstrate courage and ambition, and we support personal responsibility and accountability.
- **Dynamic –** we are innovative and entrepreneurial, solving problems with creativity and flexibility.
- **Sustainable –** we care about our shared future, integrating economic, environmental and social dimensions of sustainability in all we do.
- **Ethical –** we conduct our business with the highest standards of professional behavior and integrity.

Deakin University is committed to managing our operations and procurement practices in accordance with these values, and to work with suppliers who operate in accordance with all applicable modern slavery laws.

Our structure and operations

With 66,263 enrolled students in 2020, Deakin University is amongst the largest of Australia's universities. The University offers higher education courses at five campuses; one in Melbourne's eastern suburbs, two in the city of Geelong, one in Warrnambool on the south-west coast of Victoria and the University's online campus. In addition, the University has several learning centres and connects with students and partners around the world through offices in China, Europe, India, Indonesia, Latin America and Sri Lanka.

Deakin's research focusses on innovation and robust partnerships with industry. Deakin is building a strong international reputation in areas of emerging social, economic and political priority. Placed at 231, Deakin is ranked in the top 1 per cent of universities globally by the Academic Ranking of World Universities 2020. This rating indicates world-class facilities, research and teaching, as well as employability, innovation and inclusiveness.

As a major employer in the regions in which the University operates, in 2020 Deakin University had a total headcount of 5,632 staff, equating to 4,259 full-time equivalent (FTE) staff in both academic and professional roles. Of these, 3,257 FTE were in ongoing positions (both full-time and part-time), and the remaining staff were in fixed-term or casual roles.

The Deakin University Enterprise Agreement 2017 (EA) commenced on Thursday 6 July 2017 and provides terms and conditions of employment for applicable staff at the University. The EA covers University staff members employed by the University's teaching and research functions, except for the Vice-Chancellor and the Executive. The National Tertiary Education Union is the primary union body for the Australia tertiary education sector. Staff employed by the University's entities are covered by awards specific to the operations of each Entity.

Governance

The University Council is responsible for the overall governance of the University. The Council is committed to the highest standards of governance, integrity and ethical conduct and to making the best possible decisions for the sustained success of the University. The primary responsibilities of the Council include:

- appointing and monitoring the performance of the Vice-Chancellor as Chief Executive Officer of the University
- approving the mission and strategic direction of the University and its annual budget and business plan
- overseeing and reviewing the University's performance
- establishing policy and procedural principles for the operation of the University consistent with legal requirements and community expectations
- approving and monitoring systems of control and accountability of the University
- overseeing and monitoring the assessment and management of risk across the University, including University commercial activities
- overseeing and monitoring the academic activities of the University
- approving any significant University commercial activities.

Procurement approach

Deakin operates a decentralised procurement model, governed by the University's Procurement Policy, Procurement Procedure and a suite of Category Management Plans. These plans apply a rigorous, strategic lens to buying and managing goods and services on behalf of the University and include policy requirements, risk considerations, performance measures, sourcing processes and other information to inform procurement decisions within defined spend categories.

Supply chains

The University's supply chain includes the purchase of goods and services required for the operation of our campuses, teaching, learning and research. Overall, the University's supply chain comprises the following key categories:

Area	Key supply chains	
Operations (including Student Accommodation)	• Corporate services including insurance • Facilities management including waste management, cleaning and security services • IT including hardware, software and services • Major capital including building, road and landscape construction	• Marketing supplies and services • Office supplies • Professional services • Real estate management • Travel and accommodation • Utilities • HR services including contracted labour
Teaching, Learning and Research	• Student Services including printing, exam venues and equipment, graduation services, digital technology and health services	• Library books and printed materials • Labs and research services and supplies • Travel and accommodation

In 2020, 4,378 individual suppliers were engaged by Deakin University to provide a total of over $337 million in goods and services. Of this spend, 93 percent was made with 3,863 Australian based suppliers, making a significant contribution to both domestic and local economies.

In 2020, Deakin's top 10 countries for spend were:

1. Australia
2. United States of America
3. India
4. Ireland
5. United Kingdom
6. Netherlands
7. Singapore
8. China
9. Germany
10. Hong Kong

Risk of modern slavery practices

Risk identification

Deakin is a member of the Australian Universities Procurement Network (AUPN), and in 2019 - 2020 participated in the AUPN's Modern Slavery Program and attended a number of collaborative workshops and training sessions relating to modern slavery.

Deakin's procurement data was assessed through the AUPN's Modern Slavery Risk Dashboard (Dashboard), and key modern slavery risks were identified based on the supplier category and country of origin (head office location).

These risks have been determined through publicly available modern slavery risk (Global Slavery Index) and prevalence information and reasonable assumptions that leveraged the sector wide data set of 308,000 unique suppliers and $25.3 billion of spend data to apply common supplier categorisations and associated risk rankings to Deakin's overall result.

As an outcome of assessing Deakin's 2020 procurement data (including entities) via this approach, 1,225 suppliers from the following categories were identified within the Dashboard as having the highest risk of modern slavery within Deakin's supply chain:

- Corporate services
- Facilities management
- HR services
- IT
- Labs and research

- Library
- Marketing
- Office supplies
- Real estate
- Student services

A global view of Deakin's 2020 modern slavery risk is shown in the below map. Countries that are colored indicate that there was spend with suppliers in those countries. The color represents the prevalence of modern slavery in that country, with blue reflecting low risk and red reflecting high risk.
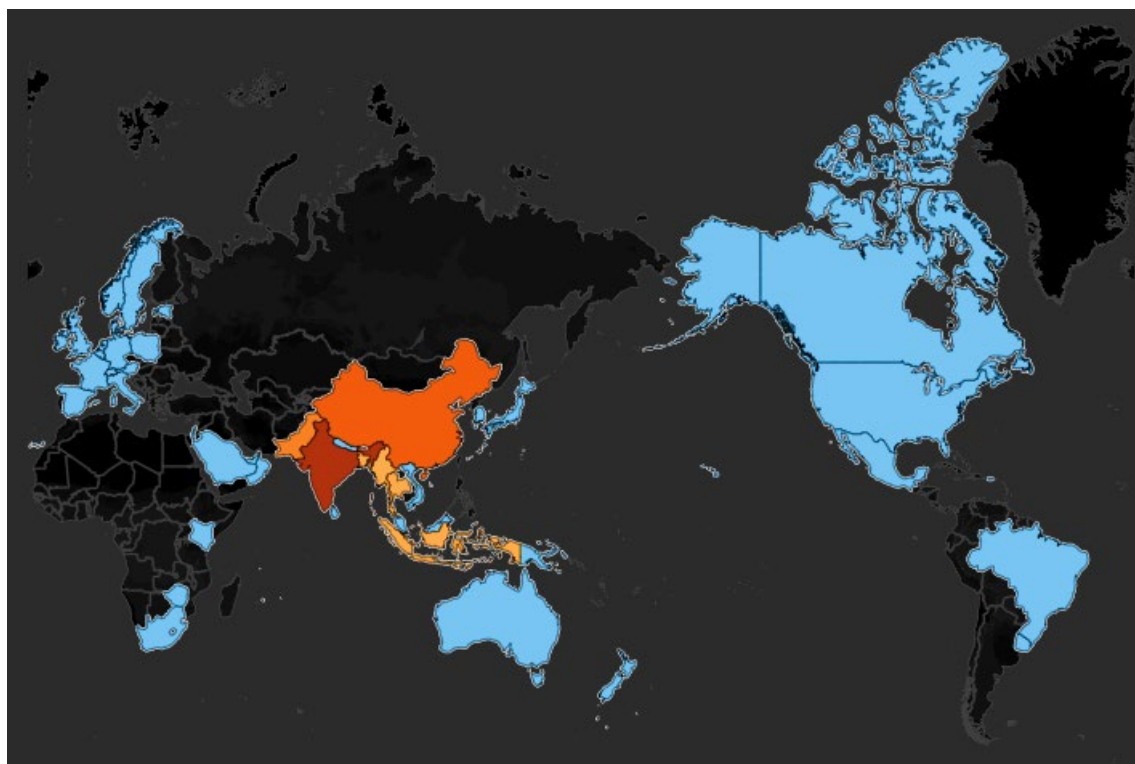
Embedment within risk and compliance management

Deakin has implemented a robust and transparent risk and compliance management program that is aligned to the latest international standards: ISO 31000 Risk Management – Principles and Guidelines and ISO 19600 - Compliance Management Systems. Continuous improvement is built into risk and compliance management practices through several mechanisms outlined below.

The University Council, its Audit and Risk Committee and the Vice-Chancellor's Executive oversee Deakin's risk management framework and the implementation and evaluation of Deakin's risk appetite statement. The Executive and senior management teams within Deakin's faculties and administrative portfolios are focused on managing their business risks and leveraging the risk management program to support effective decision-making and the achievement of objectives identified in the Deakin strategy, *Deakin 2030: Ideas to Impact*. The Executive also plays a key role in supporting the development of a positive and proactive risk culture.

The Risk and Compliance Team within Deakin's Internal Audit, Risk and Compliance Unit has developed a University-wide risk profiling regime where faculty and portfolio risks, in combination with a set of key risk indicators, are monitored by local areas and reviewed in real time to identify any trends. The University's Headline Risk Report contains the top risks for the organisation, including Modern Slavery, and is regularly reported to the Executive, Audit and Risk Committee and the University Council.

Risk profiling activity also informs the development and review of the annual Internal Audit Plan. For instance, a comprehensive internal audit of the procurement function is planned for 2022 and will provide further assurance that modern slavery risk controls are established and operating as intended. An internal audit into supply chain resilience at Deakin was also conducted in the first half of 2021.

Actions taken to assess and address risks

Consultation and collaboration as a sector

The AUPN, of which Deakin is a member, is leading a sector collaboration to support all member universities to meet the challenge of human rights transparency and risk management in their supply chains and contribute to the fulfillment of members' reporting requirement to the *Modern Slavery Act 2018* (Cth).

In the beginning of 2019, the AUPN established a Modern Slavery Working Group (MSWG) with nine of the 38 member universities actively contributing time and effort on a voluntary basis. The MSWG underwent a Discovery Phase and developed the following sector wide Modern Slavery Program, delivered in three phases outlined below.

	Discovery	Implementation	Continuous improvement
Phases and key elements of the AUPN's Modern Slavery Working Group	Analysis of procurement data, at both a sector and university level against category and country of origin risk ratings.	Development of technology platform/s to support modern slavery statement requirements.	Yearly refresh of data analysis to inform modern slavery statement requirements along with audit and compliance support.

In 2020 the MSWG also sought feedback from several high-risk suppliers that were used by multiple member universities, including Deakin. Supplier categories included works contractors, desktop hardware, cleaning, office supplies, printing and research equipment and laboratory consumables. Two sessions were held in 2020 with these suppliers and resulted in key insights and specific feedback about the AUPN's Modern Slavery Program.

An Academic Advisory Board was also established by the MSWG with the aim of enriching the sectors approach, consisting of 12 board members from nine universities with experience and expertise in modern slavery risk and supply chains. This group met regularly throughout 2020, to review and refine the initiatives developed through the MSWG.

The MSWG completed the discovery phase of the Modern Slavery Program in December 2019 and progressed the implementation phase throughout 2020. Along with the above-mentioned activities, this also included the development of a range of templates and guidance material for member universities. Deakin has regularly attended and contributed to the MSWG, and utilised a range of tools, templates and guidance material developed by the MSWG in our approach to managing modern slavery.

Implemented actions

During 2020, Deakin University has addressed modern slavery risk by incorporating additional controls within existing procurement processes and by embedding modern slavery considerations into Deakin's procurement policy framework. These actions, outlined below, have been informed by the University's involvement in the AUPN's MSWG and the assessment of Deakin's procurement data.

Area of focus	Implemented actions
Governance and strategy	• Established an implementation framework to assess, mitigate, monitor and report the University's modern slavery obligations • Implementation framework for modern slavery monitored and progressed within the University's Procurement Advisory Board • Modern slavery considerations embedded within the University's Risk and Compliance Management approach
Procurement policy framework and process controls	• Modern slavery questions and evaluation of responses implemented within Deakin's market approach documents and contracts • Modern slavery risks highlighted within Category Management Planning • Developed training content for key staff, to increase the awareness and knowledge about managing modern slavery requirements for high-risk supplier categories (to be implemented in 2021)

Impacts and outcomes

During 2020, the actions taken by Deakin University to address modern slavery risk have:

- contributed to the collaborative sector based Modern Slavery Program, led by the AUPN
- embedded the management of modern slavery risk within the University's risk and compliance management program
- increased internal capacity, awareness and understanding of modern slavery risks in our operations and supply chains
- established tools to identify potential modern slavery risks within Deakin's supply chains
- identified potential modern slavery risks within Deakin's supply chains, with these risks embedded within the management approach for relevant supplier categories
- established a framework for the ongoing management of modern slavery requirements. This framework will guide the implementation of further actions in 2021 to both manage potential modern slavery risks and to measure the effectiveness of our actions.

Supporting elements

In addition to the actions relating to the University's procurement approach, the management of modern slavery risk is also supported via the following elements:

Element	Description
Deakin's code of conduct	Deakin's commitment to ethical practices is embedded within our Code of Conduct, which applies to all staff and associates of the University. Specifically, this code outlines policy to ensure equity and fairness in the workplace, personal and professional behavior and processes for reporting improper conduct.
Deakin's responsible investment approach	Deakin has a core belief of investing responsibly and incorporates environmental, social and governance (ESG) considerations into our decision-making and investment management. The University's Investment Governance Framework outlines our responsible investment approach, we assess each fund manager's ESG capabilities before deciding to invest with them and actively engage with existing fund managers on our ESG objectives and expectations of how they, and the companies they invest in, incorporate ESG considerations. The University's responsible investment approach is comprehensively reviewed by Council's Investment Committee twice a year.

Element	Description
Responsible conduct of research	As a University, Deakin undertakes significant research across a range of areas. Deakin adheres to the principles guiding research integrity across Australia set out in the Australian Code for the Responsible Conduct of Research. All human research conducted at Deakin is assessed by an ethical review body for its ethical acceptability and for its compliance with the Australian Code for the Responsible Conduct of Research 2018, the National Statement on Ethical Conduct in Human Research, 2007 (updated 2018) and any other relevant guidelines or legislation.
Deakin's code of conduct	Deakin's commitment to ethical practices is embedded within our Code of Conduct, which applies to all staff and associates of the University. Specifically, this code outlines policy to ensure equity and fairness in the workplace, personal and professional behavior and processes for reporting improper conduct.

Assessing the effectiveness of these actions

Deakin University will monitor the effectiveness of the actions taken to assess and address modern slavery risk via the following key mechanisms:

Mechanism	
Risk and compliance management program	Monitor modern slavery risks within risk profiles and undertake a planned internal audit of the Procurement function (including elements of modern slavery) in 2022.
Procurement Advisory Board	Periodic review of the University's modern slavery implementation framework to assess, mitigate, monitor and report the University's modern slavery obligations.
Procurement Services Team	Ongoing monitoring of actions implemented within the University's modern slavery implementation framework, i.e. internal checks, staff/supplier surveys, engagement with entities, ongoing collaboration with the AUPN including independent review of Deakin's data to identify modern slavery risk.
Category Management Teams	Ongoing monitoring of category specific risk controls to assess whether the actions are effective.

Consultation with controlled entities

Along with the University's teaching, learning, research and operational areas, at the date of this Statement, Deakin controls four other entities within the meaning of the *Modern Slavery Act 2018* (Cth). Supplier data from all four entities was included in the University's modern slavery risk identification process, using the AUPN's Modern Slavery Risk Dashboard. These entities and their key supply chains are listed below:

Entity	Key supply chains
Unilink Pty Ltd **ABN 72 005 382 954**	• HR services including contracted labour • Professional services
Deakin Residential Services Pty Ltd **ABN 22 145 979 344**	• Facilities management including waste management, cleaning and security services • IT including hardware, software and services
Universal Motion Simulator Pty Ltd **ABN 58 622 763 240**	• IT including hardware, software and services • Professional services • Labs and research services and supplies
FIKA Entertainment Pty Ltd **ABN 66 636 254 263**	• IT including hardware, software and services • Professional services

Unilink and Deakin Residential Services support certain internal business functions of the University. Universal Motion Simulator designs and manufactures reconfigurable, high-fidelity motion simulators for driver training and is based at the University's ManuFutures advanced manufacturing hub at Waurn Ponds (**unimotionsim.com**). FIKA Entertainment provides animation production services and is based in Brisbane (**fikaent.com**).

The University consulted with the CEO or nominated representative of each entity during the development of this Statement to collect supplier information, include the entities' data in the University's risk identification process, discuss the University's 2020 modern slavery statement and risk management approach.

Unilink and Deakin Residential Services are within the scope of Deakin's Procurement Policy and Procedure, and accordingly are captured within the University's modern slavery risk management approach outlined within this statement. Universal Motion Simulator and FIKA Entertainment are functionally independent businesses that leverage University intellectual property, including the modern slavery risk assessment and associated management practices implemented by the University.

Other information

Looking forward

The AUPN's Modern Slavery Risk Dashboard provides an indicative view of where risks may exist based on publicly available modern slavery risk (Global Slavery Index) and prevalence information, together with some reasonable assumptions. As this process matures, Deakin will evolve its risk ratings and associated control mechanisms over time.

The AUPN is also developing a sector-based approach for addressing, mitigating and/or remediating identified risks, supported by a technology solution. This will enable Deakin University to further identify modern slavery risk within the procurement process and inform actions around modern slavery risk management for future reporting years.

In addition to the University's ongoing involvement in this sector-based collaboration with the AUPN, actions planned by Deakin for 2021 include:

- embedment of modern slavery risk mitigation within Deakin's broader social procurement approach. This approach includes a focus on the environmental, economic and social dimension of sustainability within Deakin's procurement practices and seeks to achieve measurable positive impacts to the United Nations Sustainable Development Goals
- implement a modern slavery training program for key staff, to increase the awareness and knowledge about managing modern slavery requirements for high-risk supplier categories
- monitoring and continuous improvement of modern slavery elements within Deakin's market approach documents and contracts
- continue to consult with Deakin's entities to further progress shared modern slavery risk management practices
- consider modern slavery within the University's responsible investment approach
- capture modern slavery risk within local business area risk profiles where greater exposure to modern slavery risk has been identified.

Approval

In accordance with section 13 of the *Modern Slavery Act 2018* (Cth), this Modern Slavery Statement was approved by the Deakin University Council on 20 May 2021.

Signed for and on behalf of Deakin University.

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Signature   Signature

Mr John Stanhope AM Chancellor Deakin University   **Professor Iain Martin** Vice-Chancellor Deakin University

Date: 9 June 2021