Artificial Intelligence Governance Policy

Section 1 - Purpose

(1) The Artificial Intelligence (AI) Governance Policy (the Policy) guides the governance, use, procurement, development and management of artificial intelligence (AI) at the University of Newcastle for the purposes of teaching, learning, research and operations.

(2) The University is committed to exploring and educating staff and students on the benefits of using AI technologies and ensuring risks and ethical considerations are understood before use. These include but are not limited to obligations under the [Higher Education Standards Framework](#) and adherence to University policies related to privacy and information security as well as the requirements set out in the University Code of Conduct.

(3) The use of AI systems or existing systems that incorporate AI, must align with the risk appetite of the University Council as expressed through the [Risk Management Framework](#), University Values and the Strategic Vision that focus on core values such as equity, excellence, sustainability, and engagement. This policy outlines the ethical principles of AI usage, the governance requirements, and provides references to policies, procedures, and standards.

Section 2 - Scope

(4) This Policy applies to all staff, students, and those engaged in University activities including controlled entities of the University. The Policy relates to all teaching and learning, research and business operations that involve the development, deployment, or use of AI systems.

(5) The AI Governance Committee will conduct periodic evaluations of generative AI projects and technologies to ensure ongoing compliance with ethical standards and policy requirements.

(6) Violations of this policy may result in disciplinary action.

Section 3 - Supporting Documents

(7) This Policy is supported by the following documents:

   a. [Policy on the Use of Generative AI in Teaching, Learning and Assessment](#);
   b. [Human Research Ethics Guidance for Researchers: Generative AI in Research](#);
   c. [Guidance for Course Coordinators – Responding to suspected inappropriate use of GenAI in written assessments](#);
   d. [Voluntary AI Safety Standard](#).

(8) Further information on Generative AI use at the University can be found on the University AI information web page.

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Section 4 - AI Governance and Oversight

(9) The University will establish an AI Governance Committee which is a subcommittee of the Executive Leadership Team and is charged to oversee projects where AI is being applied to change existing systems or processes. In addition, the Committee will oversee teaching and learning activities, research arrangements and business operations where AI is either planned, or is being used in a way that may raise ethical implications. The AI Governance Committee will ensure University arrangements meet the Policy's standards and ethical guidelines. The AI Governance Committee may refer questions relating to the use of AI to a sub-committee or an existing committee.

(10) AI projects must undergo a thorough review to evaluation their ethical implications, potential societal impact, and compliance with this Policy. In addition, it is expected that risk analysis and regular reporting on AI projects will be required.

(11) The AI Governance Committee:

   a. will be governed by the AI Governance Committee Terms of Reference;
   b. membership will consist of:
         i. the Vice-Chancellor (Chair);
        ii. the Deputy Vice-Chancellor (Academic) and Vice President;
       iii. the Deputy Vice-Chancellor (Research and Innovation);
        iv. the Deputy Vice-Chancellor Global;
         v. the Chair of the Data Governance Council;
        vi. Chief Digital & Information Officer;
       vii. one academic staff member from each College appointed by the Chair;
      viii. one student member nominated by any Deputy Vice-Chancellor;
   c. will meet at least 4 times a year;
   d. will report to the Executive Leadership Team and the University Council following each meeting;
   e. will develop and regularly review the AI Policy and relevant related policy documents;
   f. will monitor the use of AI systems and investigate any concerns or issues;
   g. will promote AI literacy and awareness among the University community;
   h. will ensure that relevant information from College Boards, Academic Senate Committees, divisions and the Digital Technology Solutions (DTS) is reported to the AI Governance Committee to enable appropriate oversight, monitoring and review of AI arrangements.

Section 5 - Core Principles

(12) In addition to the alignment with the University values as outlined in the University strategic plan, and the University supports the following core ethical principles as adopted by the Australian Government's Department of Industry, Science and Resources, in relation to AI use:

   a. Human, societal and environmental wellbeing: AI systems should benefit individuals, society and the environment.
   b. Human-centred values: AI systems should respect human rights, diversity, and the autonomy of individuals.
   c. Fairness: AI systems should be inclusive and accessible, and should not involve or result in unfair discrimination against individuals, communities or groups.
   d. Privacy protection and security: AI systems should respect and uphold privacy rights and data protection, and ensure the security of data.

e. Reliability and safety: AI systems should reliably operate in accordance with their intended purpose.

f. Transparency and explainability: There should be transparency and responsible disclosure so people can understand when they are being significantly impacted by AI, and can find out when an AI system is engaging with them.

g. Contestability: When an AI system significantly impacts a person, community, group or environment, there should be a timely process to allow people to challenge the use or outcomes of the AI system.

h. Accountability: People responsible for the different phases of the AI system lifecycle should be identifiable and accountable for the outcomes of the AI systems, and human oversight of AI systems should be enabled.

Section 6 - Risk Assessment of AI Use

(13) The AI Governance Committee will determine the parameters for the AI Risk Assessment Tool. The University will assess risks and opportunities relating to the development, deployment, procurement or use of AI systems in a manner which is:

a. informed by the principles of the [NIST Artificial Intelligence Risk Management Framework: Generative Artificial Intelligence Profile](#) and the [NSW Government Artificial Intelligence Assurance Framework](#);

b. is consistent with the University's overarching [Risk Management Policy](#) and [Risk Management Framework](#); and

c. complies with any relevant legislation, including but not limited to, legislation pertaining to copyright, intellectual property and cybersecurity.

(14) Risk assessments will be recorded by the AI Governance Committee and reported to the relevant Deputy Vice-Chancellor.

Section 7 - Responsible AI Use

(15) The University will ensure that the deployment, and use of AI systems adhere to the following guidelines:

a. be designed with clear and well-defined purposes, and their capabilities and limitations must be clearly communicated;

b. be developed and tested with attention to potential biases and discriminatory outcomes, and appropriate measures must be taken to mitigate these risks;

c. address the privacy and security of data used to train or operate digital solutions using AI;

d. complement and enhance human capabilities, rather than replace or displace human decision-making;

e. incorporate training and support for staff and students on the ethical use of AI, including guidelines for the responsiblity use of generative AI tools.

Section 8 - Alignment with External Frameworks

(16) The University's AI Governance Policy is aligned with the [CSIRO's Responsible AI Framework](#), which provides guidance on the ethical development and use of AI systems.

Section 9 - Review and Continuous Improvement

(17) The AI Governance Policy and related Guidelines will be reviewed and updated at least every 2 years to respond to new challenges, technological advancements, and changes in legal and ethical norms.

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Section 10 - Related University Policy

(18) This Policy should be read in conjunction with the guidelines, procedures, and other relevant University policies that provide guardrails for AI use.

Privacy and Data Security

(19) [Privacy Policy](#)

(20) [Privacy Management Plan](#)

(21) [Data Classification and Handling Policy and Standard](#)

(22) [Information Security Policy](#)

(23) [Data Breach Policy (Personal and Health Information)](#)

(24) [Cyber Security Incident Management Procedure](#)

(25) [Information Security Access Control Standard](#)

Transparency and Disclosure

(26) [Academic Integrity and Ethical Academic Conduct Policy](#)

(27) [Code for the Protection of Freedom of Speech and Academic Freedom](#)

(28) [Transparency and Disclosure Policy](#)

Respect for Intellectual Property

(29) [Intellectual Property Policy](#)

(30) [Intellectual Property Procedure](#)

(31) [Copyright Compliance Guidelines](#)

(32) [Copyright Compliance Policy](#)

(33) [Research Authorship Procedure](#)

Fairness and Bias Mitigation

(34) [Code of Practice for Higher Degree by Research Candidature](#)

(35) [Education Quality Assurance Policy](#)

(36) [Ethical Framework](#)

(37) [Open Access Policy](#)

(38) [Research Peer Review Procedure for Ethics Applications](#)

Procurement, Development and Implementation of AI Systems and Tools

(39) [Procurement Policy](#)

University Codes of Conduct

(40) [Staff Code of Conduct](#)

(41) [Student Code of Conduct](#)

University Compliance

(42) [Information Technology Conditions of Use Policy](#)

(43) [Records Governance Policy](#)

(44) [Research Data and Primary Materials Management Procedure](#)

(45) [Research Publication Responsibility Guideline](#)

(46) [Responsible Conduct of Research Policy](#)

(47) [Risk Management Policy](#)

(48) [Risk Management Framework](#)

Status and Details

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Effective Date	To Be Advised
Review Date	To Be Advised
Approval Authority	
Approval Date	To Be Advised
Expiry Date	Not Applicable
Responsible Executive	Alex Zelinsky Vice-Chancellor alex.zelinsky@newcastle.edu.au
Enquiries Contact	Office of the Vice-Chancellor

Glossary Terms and Definitions

"University" - The University of Newcastle, a body corporate established under sections 4 and 5 of the University of Newcastle Act 1989.

"Risk" - Effect of uncertainty on objectives. Note: An effect is a deviation from the expected, whether it is positive and/or negative.

"Risk appetite" - An organisation's approach to assess and eventually pursue, retain, take or turn away from risk.

"Risk assessment" - The overall process of risk identification, risk analysis, and risk evaluation.

"Academic staff" - A person employed as an academic staff member or appointed as an academic honorary appointee (including adjunct, clinical, visiting, honorary and conjoint appointments), but does not include persons who are employed solely as teachers or professional staff.

"Controlled entity" - Has the same meaning as in section 16A of the University of Newcastle Act 1989.

"Student" - A person formally enrolled in a course or active in a program offered by the University or affiliated entity.

"Disciplinary action" - When used in relation to staff of the University, this is as defined in the applicable and current Enterprise Bargaining Agreement, or the staff member's employment contract. When used in relation to students of the University, this is as defined in the Student Conduct Rule.

"Intellectual property" - Intellectual property (IP), as defined by the World Intellectual Property Organisation, refers to creations of the mind: inventions; literary and artistic works; and symbols, names and images used in commerce. Intellectual property is divided into two categories: Industrial property includes patents for inventions, trademarks, industrial designs and geographical indications; and Copyright covers literary works (such as novels, poems and plays), films, music, artistic works (e.g. drawings, paintings, photographs and sculptures) and architectural design. Rights related to copyright include those of performing artists in their performances, producers of phonograms in their recordings, and broadcasters in their radio and television programs.

"Research" - As defined in the Australian Code for the Responsible Conduct of Research, or any replacing Code or document.

"Staff" - Means a person who was at the relevant time employed by the University and includes professional and academic staff of the University, by contract or ongoing, as well as conjoint staff but does not include visitors to the University.

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"College" - An organisational unit established within the University by the Council.