AGENDA SUMMARY

Part 1 - Procedural Items

* 1. Announcements and Apologies .............................................................. 4
* 2. Leave of Absence .................................................................................. 4
* 3. Disclosure of Material Personal Interest ............................................... 4
* 4. Arrangement of Agenda ...................................................................... 4
* 5. Minutes .................................................................................................. 4

Part 2 – Key Business Items

C* 6. Confidential to Council Members
* 7. ANU by 2020 – Vice-Chancellor’s update ............................................. 15
C* 8. Confidential to Council Members
C* 9. Confidential to Council Members

Part 3 – Strategic Issues

* 10. Research Renewal at ANU ................................................................. 18

Part 4 – Other Matters for Decision

C 11. Confidential to Council Members
13. Student Services Amenities Fees – Revised Approval Process .......... 60
15. ANU Students’ Association Incorporated Constitution ....................... 74
16. ANU Parking Infringement Fees 2015 .................................................. 78

Part 5 – Other Matters for Noting

C* 17. Confidential to Council Members
C* 18. Confidential to Council Members
20. Rearrangement of Finance Function within the University ................ 85
21. Academic Board Report ..................................................................... 90
23. Power of Attorney .............................................................................. 131
24. University Seal Report ...................................................................... 133
25. Report of Significant Visits and Events, Grants and Consultancies .... 134
26. Legislation ......................................................................................... 153
27. 2015 Council Meeting Dates ............................................................... 165

Part 6 – Other Business
* 28. Question Time ...................................................................................... 167
* 29. Other Business ...................................................................................... 168
  30. Next Meeting ......................................................................................... 169
IMPORTANT INFORMATION FOR MEMBERS

CONFIDENTIALITY
Members of Council and others receiving the agenda are reminded of the need for careful discretion in the use and communication of Council business, referring to the Director, Corporate Governance and Risk Office, or other appropriate officer of the Council when in doubt.

Council business marked or declared to be confidential is not at any stage to be communicated to others without prior reference to the Chairperson or the Director, Corporate Governance and Risk Office. Only papers considered especially confidential are so marked.

All matters relating to individual persons, including appointments, enrolment, candidacy for degrees, personal details, performance and conduct are declared to be confidential.

CONDUCT OF COUNCIL MEMBERS
Members of Council are considered officials for the purposes of the Public Governance, Performance & Accountability Act 2013. The definition of officials includes all members of the ANU Council, as well as all officers, employees and members of the University.

Division 3, sections 25 to 29 of the Public Governance, Performance & Accountability Act 2013, sets out the general duties of officials. As an official, a member of the Council may be removed from their position if they breach those general duties.

Duty of Care & Diligence
A member of the Council must exercise their powers, perform their functions and discharge their duties with the degree of care and diligence that a reasonable person would exercise if they:
- were a member of the Council in the University's circumstances; and
- occupied the position held by, and had the same responsibilities within the University as, the member of the Council.

Duty to Act in Good Faith and for Proper Purpose
A member of the Council must exercise their powers, perform their functions, and discharge their duties in good faith and for a proper purpose.

Duty in Relation to Use of Position
A member of the Council must not improperly use their position to gain an advantage for themselves or for any other person; or to cause detriment to the University, the Commonwealth or to any other person.

Duty in Relation to Use of Information
A member of the Council who obtains information because of that position, must not improperly use that information to gain an advantage for themselves or for any other person; or to cause detriment to the University, the Commonwealth, or any other person.

Duty to Disclose Interests
A member of the Council who has a material personal interest that relates to the affairs of the University must disclose the details of the interest.

SUBMISSION OF ITEMS BY MEMBERS OF COUNCIL
Members of Council should communicate to the Vice-Chancellor matters which they wish to have included on the agenda for a meeting of Council. Full details and documentation relating to any items to be included in the agenda should be submitted at least 16 days before the meeting.

AGENDA ON THE INTERNET
The agenda and minutes for meetings of Council are available on the Internet at the URL:

http://about.anu.edu.au/governance-structure/council/meetings
PART 1 – PROCEDURAL ITEMS

* 1 ANNOUNCEMENTS AND APOLOGIES

No apologies have been received for this meeting.

The Chair may speak.

* 2 LEAVE OF ABSENCE

Subsection 15(1)(d) of the Australian National University Act 1991 provides that if a member of the Council (other than an ex officio member) is absent without leave of the Council from three consecutive meetings of the Council, the member’s office becomes vacant.

The Chair invites members to seek leave from meetings of Council which they expect to be unable to attend.

* 3 DISCLOSURE OF MATERIAL PERSONAL INTEREST

In accordance with Division 3, sections 25 to 29 of the Public Governance, Performance and Accountability Act 2013, members of Council are required to declare any direct or indirect material personal interest in matters on the agenda.

* 4 ARRANGEMENT OF AGENDA

1. The Chair will ask whether any further items should be considered confidential.
2. The Chair will ask whether any further items should be starred for discussion.
3. The Vice-Chancellor will move that the unstarred items be dealt with as proposed in the agenda.
4. The Chair will invite members to foreshadow matters to be raised under Agenda Item 29, Other Business.
5. The Chair will ask if there are any agenda items that need to be re-sequenced.

* 5 MINUTES

RECOMMENDATION

It is recommended that the Council confirm the minutes of the meeting held on 25 July 2014 (124/2014).
The 421st meeting of the Council was held at 9.15am on Friday, 25 July 2014 in the R C Mills Room, Chancelry Building, ANU campus, Canberra.

ANU Council:

Present:
The Chancellor, Professor Gareth Evans AC QC (in the Chair)
The Vice-Chancellor, Professor Ian Young AO
Pro-Chancellor Ms Robin Hughes AO
Professor Stephen Bottomley
Professor Suzanne Cory AC
Professor Patrick Dodson
Dr Doug McTaggart
Mr David Miles AM
Mr Matthew King
Ms Naomi Flutter
Mr Ben Niles
Mr Graeme Samuel AC
Professor John Close
Professor Tim Senden
Mr Cameron Wilson

Apologies:
No apologies were received.

In attendance:

ANU Executive and Senior Management:
Deputy Vice-Chancellor (Research) – Professor Margaret Harding
Deputy Vice-Chancellor (Academic) – Professor Marnie Hughes-Warrington
Pro-Vice Chancellor (Research and Research Training) – Professor Jenny Corbett
Pro-Vice Chancellor (International and Outreach) – Dr Erik Lithander
Pro-Vice Chancellor (Innovation and Advancement) – Professor Mick Cardew-Hall
Pro-Vice Chancellor (Student Experience) – Professor Richard Baker
Executive Director, Administration and Planning – Mr Chris Grange
Professor Nick Glasgow, Chair, Academic Board

Chancelry staff:
Director, Corporate Governance and Risk Office - Kate Molloy
Governance Officer, Corporate Governance and Risk Office – Leslie McDonald

PART 1: PROCEDURAL ITEMS

1. ANNOUNCEMENTS

The Chancellor welcomed to the 421st meeting of Council new members, Professor Suzanne Cory, Professor Patrick Dodson and Ms Naomi Flutter appointed by the Minister for Education for a term of four years, respectively, from 1 July 2014 to 30 June 2018; and Mr Ben Niles, PARSA President, for a term of two years, from 30 May 2014 to 30 May 2015, following his recent election.

The Chancellor advised Council that this meeting would be the last attended by Professor John Close, elected member from academic staff of The Faculties. Professor Close has chosen not to stand for re-nomination in the upcoming academic elections. The Chancellor extended his
sincere thanks and appreciation to Professor Close for the contribution he has made to Council’s strategic discussions over the term of his appointment.

Council was advised that the following observers have been granted permission to attend the meeting for non-confidential items; and to address Council in respect of its Socially Responsible Investment Policy:

Mr Josh Creaser, Students for a Fossil Free ANU, together with Mr Ray Yoshida, Ms Odette Shenfield and Mr Daniel Perez-McVie.

Council further noted that Woroni reporters, Ms Abigail Widijanto and Mr Alex Catalan-Flores, were also attending the meeting as observers for non-confidential items.

Council convened at 10:45am for a group photograph.

2. LEAVE OF ABSENCE

No leave of absence was granted for the meeting.

Mr David Miles advised that, due to other commitments, he will join the next meeting of Council, scheduled for 3 October 2014, via teleconference.

3. DISCLOSURE OF MATERIAL PERSONAL INTEREST

The Vice-Chancellor and Professor Tim Senden declared interests in relation to decisions about the university’s investments and further decisions in relation to the university’s Socially Responsible Investment Policy. Both members advised Council that they would not participate in discussion on these matters.

4. ARRANGEMENT OF AGENDA

The Chancellor advised Council that he would provide a briefing in relation to a review of the Council’s governance arrangements, foreshadowed by the office of the Minister for Education in the lead up to the new Ministerial appointments. This will be a confidential briefing immediately following the Vice-Chancellor’s report under Agenda item 6.

Council further noted re-arrangement of the agenda at the conclusion of the confidential briefing, as follows:

Agenda item 9 – Socially Responsible Investment Policy Implementation review and Mr Josh Creaser being given the opportunity to address Council for this item
Agenda item 7 – Chancellor’s Briefing to Council – Crawford Australian Leadership Forum
Agenda item 11 – Asset Naming Policy
Agenda item 12 – Alumni Relations and Philanthropy – Strategic presentation

Unstarred items were approved on the motion of the Vice-Chancellor.

5. COUNCIL MINUTES

Council resolved to confirm the minutes of the meeting held on 30 May 2014 (64/2014).

PART 2: KEY BUSINESS ITEMS

6. VICE-CHANCELLOR’S REPORT

The Vice-Chancellor introduced his report. Amongst the highlights were the following points:
Fee deregulation

Two working parties have been convened – one chaired by Professor Peter Shergold, Chancellor, University of Sydney and the second chaired by Professor John Dewar, Vice-Chancellor, LaTrobe University.

The Shergold working party is considering the arrangements used by TEQSA for admitting and accrediting non-university higher education providers (NUHEPs) entering the market. The Dewar working party, on which the Vice-Chancellor is a member, is focused on providing government with advice on the government funding rate for NUHEPS. However, the committee can also comment on other elements of the full reform package. Such issues may include the 20% cut to CGS and the proposal to apply the full interest rate on HECS debt. In respect of the latter point, Council was advised that Professor Bruce Chapman has undertaken modelling and provided detailed recommendations on alternative options for consideration by government.

In response to a question by the Chancellor, the Vice-Chancellor outlined the two models that have been developed for consideration:

1. The present government proposal is for HECS debts to attract an interest rate equal to the 10-year bond rate capped at 6%. Under option 1, a hybrid is proposed. If the student’s salary is below the $50,000 salary threshold, the interest rate would be the CPI. If the student’s salary increases above the $50,000 threshold, repayment will be at the bond rate capped at 6%. This model will reduce the interest burden on low income graduates and people who have extended periods out of the workforce.

2. The second model proposes a repayment at the CPI rate plus the application of a surcharge – a lump sum tax in effect. Under this model, students who are quick to repay their HECS debt would be most disadvantaged. The model offers a greater degree of certainty for graduates as they know the total amount to be repaid and that this amount will not attract an unknown real rate of interest. However, governments would need to set the surcharge which requires an estimate of interest rates over the period of typical loans.

**** The Vice-Chancellor noted government’s intention to introduce legislation into the Parliament in August, now likely to be September. However, passage through the Senate remains unclear. ****

International Rankings

The Vice-Chancellor – speaking to the circulated paper, Impact of Highly Cited (HiCis) Researchers on ARWU – noted the changes in methodology from recording the number of Highly Cited researchers on staff over a 30 year window to a 10 year window for the most recent rankings. The result for ANU shows the number of HiCi’s dropping from 20 to 3. ANU now has the second lowest number of HiCi researchers in the Go8. It is difficult to accurately estimate what impact this will have on the overall ARWU ranking. However, estimates are that the ANU ranking could drop from 66 to 83. The imperative for ANU, therefore, is to continue to actively engage in the strategy to concentrate its disciplines where it has research excellence, to pursue quality, to focus on academic staff renewal, to develop and instil a strong performance culture, to grow revenue and achieve a turnaround of this result over future years.

Council reaffirmed the need for strategic investment, combined with a sophisticated marketing campaign, to enable the university to identify, attract and recruit researchers from across the globe; to identify new areas of research strength and develop emerging in-house talent, as part of the institution’s longer term renewal strategy.

Council agreed that this be a subject for strategic discussion at the October meeting of Council where Professor Margaret Harding, DVC (Research) will make a presentation on the university’s research reform initiative.

Research Future Fellowships

The Vice-Chancellor reported that the university had performed well in the recent ARC Future Fellowships round securing an additional 16 Fellows, compared with Melbourne University’s 22. Of the 16, 5 were external (international), with the balance comprising internal staff.
National Press Club address
The Vice-Chancellor advised Council of his forthcoming address to the National Press Club on Wednesday, 30 July 2014 on the topic of Education, Research and Deregulation.

Council noted the report of the Vice-Chancellor.

****

7. CHANCELLOR’S BRIEFING – CRAWFORD AUSTRALIAN LEADERSHIP FORUM
The Chancellor recapplied the outcomes from the inaugural Crawford Australian Leadership Forum:

1. The Forum was designed to increase the university’s profile as a leader of national public policy debate – a key element in our 2020 Strategy – and had succeeded in this objective;
2. 150 attendees, drawn equally from leaders of the business community, public sector and research and advocacy community, had engaged in an intensive two-day program of panel discussions with 55 eminent speakers, both international and Australian, around the theme Global Realities, Domestic Choice;
3. The post-conference feedback survey had a 50% response rate, with 100% of respondents stating that they would attend again next year. Participants responded positively to the program model, structure and venue, making a number of specific constructive suggestions for future Forums.
4. Media coverage, in particular by but not confined to the Australian Financial Review, was substantial.
5. The Forum will be held in 2015 with the prospective date being 28-30 June 2015. To this end, a Steering Committee has been established, comprising:
   - Chancellor (Chair)
   - Vice-Chancellor
   - Professor Veronica Taylor, College of Arts and the Social Sciences
   - Graeme Samuel
   - Greg Hywood, CEO, Fairfax
   - Jennifer Westacott, CEO, Business Council of Australia and
   - Glenys Beauchamp, Secretary, Department of Industry (subject to confirmation).
6. Management of the Forum’s program development and organisational arrangements requires dedicated and professional expertise and, to this end, Mr Allan Gyngell (former Director-General, Office of National Assessments, founding Executive Director of the Lowy Institute, former senior advisor to former Prime Minister Paul Keating and a distinguished Australian diplomat) has been appointed Forum Director.


8. 2016 POSTGRADUATE INTERNATIONAL FEE PRICING REVIEW AND RECOMMENDATIONS
The Deputy Vice-Chancellor (Academic) summarised the key features of the changes:

1. 2016 fees to be indexed by 5% of the 2015 tuition fees, and configured into a 5 band structure;
2. Fees for domestic graduate students to be set at 25%-35% less than international rates;
3. Pricing analysis has been based on cost of delivery and value of programs;
4. The recommended fee structure is generally comparable with other Go8 institutions, although it is noted that a far higher fee applies for the MBA course at Melbourne, due, in large part, to the strong brand reputation and corporate presence in Melbourne and the ‘value’ resulting in a willingness to pay, even in a highly competitive market;
5. The need for the university to critically review its program offerings to identify areas for improvement. To this end, the College of Business and Economics will undertake an external review of its MBA program;
6. Fees applied for international PhD students are aligned with the Go8, although there is a need to better balance the high number of fee waiving scholarships with full fee paying students.

****

Resolved:
That Council approve the recommended fee changes for 2016 International postgraduate student commencements.

9. SOCIALLY RESPONSIBLE INVESTMENT (SRI) POLICY REVIEW

The Executive Director (Administration and Planning), Mr Chris Grange, was invited to speak to the report. The following key points were offered as background to the work currently underway by the Investment Office:

1. The Investment Office directly engages in the selection of some 40 domestic stocks as part of its overall investment portfolio;
2. The Office has examined options for commissioning a SRI assessment of these stocks, their ranking and issues relating to divestment;
3. Ethical Investment Research Services, part of EIRIS Global Platform, have been engaged to undertake a ranking of each stock, using a robust scorecard methodology, covering a broad range of indicators, including environmental/climate change, human rights, governance and stakeholder management;
4. The results of the assessment will be considered by the Investment Advisory Committee at its August meeting prior to submission to the next meeting of Finance Committee on 19 September 2014;
5. A report to Council will be provided for its October meeting ****

****

Mr Josh Creaser, Students for a Fossil Free ANU, was invited to address Council and outlined the following areas of concern:

1. Financial risks – the potential risk of stranded assets on the balance sheet as a result of retaining downgraded assets, such as coal and coal seam gas, within the university’s investment portfolio over a prolonged period, rather than full divestment on an expedient basis, has the potential to produce a significant write down of assets and the value of the portfolio overall;
2. Ethical implications – the correlation between old technology, pollution-producing industries on the condition of water basins and the health and wellbeing of communities places ethical issues at the forefront when making investment choices; and
3. Engagement – the desire for a more fulsome engagement with the student body including the prospect of a university committee with student representation.

The Chancellor thanked Mr Creaser for his contribution and said that the issues raised would be taken into consideration as part of the review of the University’s Socially Responsible Investment Policy, its implementation and reporting.

Resolved:
That Council note:
1. The progress report;
2. SRI assessment and benchmarking underway by EIRIS;
3. Review work being conducted by the Investment Office, under guidance from the Investment Advisory Committee; and
4. The issues raised by Students for a Fossil Free ANU.
Council further resolved that the Investment Office provide a final report, with an implementation plan, in response to the Frontier Advisory report and SRI assessment, to the next meeting of Council scheduled for 3 October 2014.

10. "INTELLEDOX" – DONATION TO ANU

The Director, Alumni Relations and Philanthropy, Dr Colin Taylor, advised Council of the proposed major donation of software worth approximately $1 million by two former ANU alumni, Phillip Williamson and Michelle Melbourne, through their company Intelledox, which has developed software to streamline office processes, achieve data integration and support delivery of administrative efficiencies via the use of 'smart' electronic forms.

The Executive Director (Administration and Planning), Mr Chris Grange, advised that the university has identified a major administrative problem – travel approvals – which are labour-intensive, problematic in their administration, slow to execute through current decision flow processes, result in inconsistencies in application across the university and compliance concerns. In discussion with Intelledox partners, the university has established a trial to test the software application by developing a proto-type online travel form. The product has been tested by a range of staff, with good performance outcomes, and when fully deployed is expected to realise savings in the order of $300,000 to $400,000 a year. The university will establish a Centre for Digital Transformation initially funded at a cost of $800,000 each year, over 2 years, to identify other administrative functions that would benefit from the software application and to establish the program of work to be implemented.

Resolved:
That Council note with appreciation the proposed “Intelledox” donation and the University’s planned approach in assessing its suitability for delivering more widespread administrative efficiencies.

11. ASSET NAMING POLICY

The Director, Alumni Relations and Philanthropy spoke to the paper and highlighted the need for the university to have in place a well-articulated set of principles and procedures about how to name assets, both physical and non-physical.

Council endorsed the proposed course of action to achieve a clear and consistent approach, to resolve ad-hoc practices and to pursue a planned and strategic program for the naming of appropriate assets as, inter alia, a means of attracting future benefaction.

In relation to the decision-making flow, Council reaffirmed that asset names must be presented to Council for approval and that the Asset Naming Committee be chaired by the Vice-Chancellor.

Resolved:
That Council approve the University’s Asset Naming Policy. Council further resolved to approve the Asset Naming Procedures, subject to the following amendments (in italics) in relation to the Asset Naming Committee:

1. The Asset Naming Committee endorses and the Council approves asset names.
2. Asset Naming Committee Membership
   a. Chair: Vice-Chancellor
   b. Executive Director, Administration and Planning
   c. Deputy Vice-Chancellor (Academic) and/or Deputy Vice-Chancellor (Research)
   d. Director, Alumni Relations and Philanthropy
   e. Director, Facilities and Services
   f. Director, Corporate Governance and Risk
   g. One Dean appointed by the Vice-Chancellor
PART 3: STRATEGIC ISSUES

12. ALUMNI RELATIONS AND PHILANTHROPY

The Director, Alumni Relations and Philanthropy (AR&P), Dr Colin Taylor outlined progress towards the development of a strategy for strengthening the University’s alumni relations and growing its philanthropic base. Amongst the key points presented were:

1. Recent developments in corporate philanthropy in Australia have had a dramatic impact on the national landscape – education is a major beneficiary.
2. New records in giving in the Go8 heighten the competition for securing the next major gift and the likely source of benefaction;
3. Growth in this area of university operations requires considerable resourcing, expertise and management;
4. In 2014, ANU initiated a pilot program of annual giving with a particular focus on ANU alumni – an initiative that has not been pursued since 2003 – for the primary purpose of testing methodology;
5. A further priority for Alumni Relations and Philanthropy is to contact a large number of the university’s alumni, including graduating students, with a view to establishing a continual ‘touchpoint’;
6. In relation to bequests, the approach is to foster relationships, on a passive basis, over a long term, with individuals and/or families, recognising that this is a specialised area requiring care and sensitivity in the way relationships are managed;
7. To attract support from high net worth individuals (HNW), AR&P has undertaken cultivation and engagement activity in a field trip to the United Kingdom with the Vice-Chancellor, with a similar initiative planned for HNW Melbourne alumni;
8. The university needs to craft its ‘big story’ and strategy which will inform both College and School priorities. There is a critical role for Council to articulate the story beyond ANU – its focus on education, research, public policy and outreach must help to build the case for support. This work needs to be done by 2014 year end in order to achieve traction over the following year.

Points made during the following discussion included the need to directly target high net worth individuals as a purposeful strategy; the potential to approach tax accountancy firms to offer gifting as a tax package for high net worth individuals and/or as part of estate planning; the need to engage students at graduation ceremonies, signing up future alumni as they are collecting their gowns; the need to ensure a sound return on investment in terms of cost of operation for AR&P and achieving donation/gift targets year on year; and the importance of knowing when to say ‘no’ to a potential philanthropic gift if it does not align with areas of strategic priority across the university.

Council thanked Dr Taylor for the efforts of his team over the current reporting period.

Resolved:
That Council receive an update report on progress being made and achievements delivered in another year’s time.

PART 4: OTHER MATTERS FOR DECISION

13. ETHICS COMMITTEES ANNUAL REPORTS 2013

Council approved the following Ethics Committees Annual Reports 2013:

- Animal Experimentation Ethics Committee (96/2014)
- Human Research Ethics Committee (97/2014)
- Recombinant DNA Monitoring Committee (98/2014).

14. SCHOOL OF MUSIC FOUNDATION CHARTER AMENDMENTS 2014

Council approved the amendments to the Charter for the School of Music Foundation.
15. APPOINTMENT TO FINANCE COMMITTEE

Resolved:
That Council approve the following appointment to its Finance Committee:

- Ms. Susan Bitter for two years effective from 28 July 2014 to 27 July 2016.

PART 5: OTHER MATTERS FOR NOTING

16. AUDIT AND RISK MANAGEMENT COMMITTEE – SUMMARY OF MAJOR ITEMS CONSIDERED

Council noted the summary of the major items considered by the Audit and Risk Management Committee at its meeting held on 2 July 2014.

17. FINANCE COMMITTEE – SUMMARY OF MAJOR ITEMS CONSIDERED

Council noted the summary of the major items considered by the Finance Committee at its meeting held on 11 July 2014.

18. REVIEW OF CAMPUS PLANNING AND DEVELOPMENT COMMITTEE

Council noted the proposed review of the University’s Campus Planning and Development Committee and that a recommendation paper, with draft terms of reference, will be submitted for Council approval at its meeting scheduled for 5 December 2014.

Council further noted that the university’s master plan, and major capital commitments flowing from it, will come to Council for approval.

19. ACADEMIC BOARD

Council noted the report from the meeting of the Academic Board held on 20 June 2014 (1032/2014).

20. POWER OF ATTORNEY

Council noted the list of transactions over which the Investment Manager exercised the Power of Attorney between 14 May 2014 and 27 June 2014.

21. UNIVERSITY SEAL REPORT

Council noted the document to which the University Seal has been affixed since the meeting of Council held on 30 May 2014.

22. SIGNIFICANT VISITS AND EVENTS, GRANTS AND CONSULTANCIES

Council noted the report of significant visits and events, grants and consultancies (102/2014).

23. LEGISLATION

Council noted the following legislation made by the Vice-Chancellor:

1.1 Academic and Ceremonial Dress Order 2014 (103/2014)
1.2 Academic Progress Rules 2014 (104/2014)
1.3 Assessment Rules 2014 (105/2014)
1.4 Graduate Coursework Awards Rules 2014 (106/2014) and
a progress report be noted in relation to the 2014 review of Statutes, Rules and Orders.

24. PGPA ACT 2013 S19 NOTIFICATION TO MINISTER – ACQUISITION OF SOCIAL RESEARCH CENTRE PTY LTD (SRC) BY ANU ENTERPRISES PTY LIMITED 2014

Council noted the Vice-Chancellor’s letter notifying the Minister about the acquisition of the Social Research Centre Pty Ltd by ANU Enterprises Pty Limited

PART 6: OTHER BUSINESS

25. QUESTION TIME

There were no matters raised in Question Time.

26. OTHER BUSINESS

Council concluded at 12:30 pm.

27. NEXT MEETING

It was noted that the next meeting of Council will be held on 3 October 2014.

Date:______________________

Professor the Hon Gareth Evans AC QC
Chancellor
The Australian National University

(**** indicates a removed item which is confidential to Council Members)
PART 2 – KEY BUSINESS ITEMS

C* 6  Confidential to Council Members
*7  ‘ANU by 2020’ – VICE-CHANCELLOR’S UPDATE

PURPOSE  
To note the Vice-Chancellor’s update in relation to ‘ANU by 2020’

PREPARED BY  
Vice-Chancellor

REVIEWED BY  
Vice-Chancellor

APPROVED BY  
Chancellor

SPONSOR  
Chancellor

RECOMMENDATION  
That Council note the Vice-Chancellor’s verbal update in relation to ‘ANU by 2020’.

ACTION REQUIRED  
For discussion ☑  For decision ☐  For information ☑

BACKGROUND

At its strategic retreat held on 21 February 2014, Council resolved that a review of ‘ANU by 2020’ be undertaken by a small Working Group of Council. Membership of the Working Group would be determined by the Chancellor in consultation with the Vice-Chancellor, working with members of the university’s executive, to analyse key issues, and bring together, for Council’s further consideration at its October 2014 meeting, the results of discussions, and to propose recommendations.

At the time, Council considered that this work would provide a mid-term review of ‘ANU by 2020’, and would propose amendments, including an extended time-frame, for the strategy document.

Given the current uncertainty in respect of passage of reform legislation through the Senate, which will enable fee deregulation within the Higher Education sector, the University's strategic response and positioning of its long term priorities will require refinement and adaptation as a consequence of changes across the policy landscape.

The University's review of ‘ANU by 2020’ will carefully consider the likely implications for teaching and research, research infrastructure, academic renewal, as well as the extent to which ANU has the capacity to continue to effectively meet the needs of students and to broaden their residential and learning experience.

The University will continue to monitor progress of legislation introduced and will shape its long term strategy accordingly.

The Vice-Chancellor will provide an update to Council.
C* 8 Confidential to Council Members
C* 9  Confidential to Council Members
PART 3 – STRATEGIC ISSUES

*10 RESEARCH PERFORMANCE AT ANU

PURPOSE
To consider the issues outlined in the presentation by the Deputy Vice-Chancellor (Research) tracking the University’s performance against the 2014 Research Plan; and the broader implications for research performance at ANU.

PREPARED BY
Deputy Vice-Chancellor (Research)

REVIEWED BY
Vice-Chancellor

APPROVED BY
Vice-Chancellor

RECOMMENDATION
That Council consider the issues outlined in the presentation by the Deputy Vice-Chancellor (Research) tracking the University’s performance against the 2014 Research Plan; and the broader implications for research performance at ANU.

SUPPORTING MATERIAL
The Deputy Vice-Chancellor (Research) will present an update to Council on the University’s performance against the 2014 Research Plan with an emphasis on the following three areas and the external context:

- research funding
- world class staff
- HDR students

Specific areas that will be a focus within these themes are:

- The University’s overall research publication and income performance versus the Go8 and strategies to improve areas where ANU is underperforming relative to the Go8
- Health and Medical Research – implementation of the University’s review recommendations
- Attracting, retaining and developing early career researchers and high profile staff, noting the impacts of highly cited staff, citations, and discipline specific measures of research quality on national and international rankings
- Higher Degree by Research Students – strategies to increase high quality sponsored and full-fee paying international students, and discussion of the impacts of 10% RTS reduction and charging fees to domestic students if the current package passes the Senate.

ATTACHMENT
10.1 ANU Research Presentation (135/2014)
External Environment

1. Deregulation
   - Impact on domestic HDR students
   - International partnerships
   - Future ANU student mix (currently 14% HDR)

2. Research Funding
   - Medical Research Fund
   - Reduced ARC funding and support humanities/social sciences
   - Increased emphasis on industry, innovation and translational research

3. International Reputation
   - Highly cited researchers and ageing workforce
   - Retaining research stars & attracting next generation of early career researchers
   - 2015 Excellence in Research Australia (ERA) ranking
Research Performance

Higher Education Research Data Collection (HERDC) submitted 30 June 2014

- ANU: +16% (2013) following +5% (2012)
- All Go8 increased income except UMelbourne (-1%)
- ANU: +3%; Go8 average +6%
- ANU: highest bumber books in sector
Public Sector Income (Category 2)

Industry, International and Other Income (Category 3)

- Includes $83M NIF (2013); $65M (2012)

Category 2 & 3 income: 19 cents per $
Transfers to and from ANU

ANU remains a net exporter of ongoing Fellowships and Grants

1 June 2013 – 30 June 2014

- 28 Projects/Fellowships transferred from ANU
  Canberra, Macquarie, Newcastle, UWS, UWA, UNSW...
- 10 Projects/Fellowships transferred to ANU
- Overall export of $2.4 million category 1 research funding

<table>
<thead>
<tr>
<th>Fellowships Transferred</th>
<th>2010-11</th>
<th>2011-12</th>
<th>2012-13</th>
<th>2013-14</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>To ANU</td>
<td>5</td>
<td>2</td>
<td>1</td>
<td>6</td>
<td>14</td>
</tr>
<tr>
<td>From ANU</td>
<td>7</td>
<td>7</td>
<td>7</td>
<td>15</td>
<td>36</td>
</tr>
<tr>
<td>Total</td>
<td>12</td>
<td>9</td>
<td>8</td>
<td>21</td>
<td>50</td>
</tr>
</tbody>
</table>

Higher Degree Research Students

FUNDING
Domestic: Research Training Scheme (RTS)
International: Tuition Fees
International Profile and Reputation

Quacquarelli Symonds (QS)
- Academic survey
- Employer survey
- Citations

Academic Ranking World Universities
- Nature & Science papers
- Nobel Laureates
- Highly cited staff

Times Higher Education
- Reputation
- Citations
- Research Volume

THE 2014 results released 1 October 2014

Citations

Citations per Academic FTE

Sources: Citations data: InCites™, Thomson Reuters. Report Created 11 Sept 2014, Data Processed March 31 2014
Staff FTE data: Commonwealth of Australia, Depart. Education, Higher Education Staff Data Return accessed 15 Sept 2014
Priorities

Health and Medical Research
- Increased NHMRC funding & Fellowships
- Philanthropy

Major Research Initiatives
- Canberra Global Research Precinct (ANU-CSIRO)
- Research Infrastructure
- Centres of Research Excellence

High Quality Researchers
- Attract/retain talent & research funding
- International Full Fee Paying & Sponsored HDR Students
- Career pathways for early career researchers

Leverage all External Research Funding
- Infrastructure, philanthropy
HEALTH AND MEDICAL SCIENCES REVIEW - REPORT ON IMPLEMENTATION OF RECOMMENDATIONS, SEPTEMBER 2014

Proposed Vision

ANU will have an international reputation for research, education and the development of evidence-based policy relevant to the health and well-being of the population of Australia, as well as that of the developing world. It will achieve this through discovery research and applied research in health service settings, research-led teaching in health and medical sciences, and the translation of research findings into practice and policy.

Summary of Recommendations

The report recommends the following actions in 6 areas:

1. Governance and leadership
2. Strategic areas for research focus
3. Building capacity and enhancing research performance
4. Improved funding and support for researchers
5. Investment in research infrastructure
6. Education Programs

What will success look like?

In 5-10 years, if recommended strategies are effectively implemented, ANU health and medical sciences will be characterised by the following indicators of success:

- High visibility and recognition of research and education activities in ANU health and medical sciences.
- Ongoing identifiable major contributions to individual and population health and well-being.
- A national assessment of health and medical research (by ERA) well above world standard in all areas submitted for assessment
- An increased number of staff holding competitive Research Fellowships in the health and medical sciences.
- An increased share of national competitive research funding as well as increased performance in winning contract research, international and philanthropic sources of funding.
- A strong and integrated undergraduate and postgraduate curriculum in the health and medical sciences that attracts high-calibre students from both within and outside the ACT and which draws on contributions from scientists from all Schools comprising the College of Medicine, Biology and Environment.
HEALTH AND MEDICAL SCIENCES REVIEW – RECOMMENDATIONS AND UPDATES (SEPTEMBER 2014)

<table>
<thead>
<tr>
<th>Recommendation</th>
<th>Update/Response</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1. Governance and leadership</strong></td>
<td></td>
</tr>
<tr>
<td>1.1 The University should retain a single College of Medicine, Biology and Environment (The College) and the current School structure that recognises the distinct, but integrated missions of the ANU Medical School (ANUMS), the John Curtin School of Medical Research (JCSMR), and the Research School of Population Health (RSPH) alongside the Research School of Psychology (RSP), the Research School of Biology (RSB) and the Fenner School of Environment and Society (FSES).</td>
<td>No action required.</td>
</tr>
<tr>
<td>1.2 College reporting and delegation structures for undergraduate, postgraduate coursework and research degrees as outlined in Appendix 5 should be communicated widely.</td>
<td>The joint Colleges of Science initiated a review of education governance in August 2014 led by the Director of Science Education. College reporting and delegation structures for undergraduate, postgraduate coursework and research degrees will be evaluated as part of this process. When finalised, the education governance arrangements will be communicated widely.</td>
</tr>
<tr>
<td><strong>2. Strategic areas for research focus</strong></td>
<td></td>
</tr>
</tbody>
</table>
| 2.1 The foundation of the University’s strategic position in health and medical research should be focused on the following 4 domains:  
   i. Fundamental biosciences  
   ii. Medical and clinical sciences  
   iii. Population health  
   iv. Primary care and health services  
   For each of the 4 domains, the College should determine the critical mass for each activity, key partnerships, funding opportunities and teaching programs, and examples of cutting edge research and outcomes, including outreach and impacts on policy and clinical practice change, including commercialisation outreach impacts. | Action pending arrival of recently appointed Research School Directors:  
   Psychology (Prof Michael Kyrios - August 2014)  
   John Curtin School of Medical Research (Prof Simon Foote; October 2014)  
   Biology (Prof Allan Rodrigo; July 2015) |
2.2 The College should review research performance and capability in each of the areas listed in Table 2\(^1\) taking into account:

- Critical mass in staffing levels relative to priority areas and the ability to augment this through competitive fellowships and other funding means.
- Current performance in attracting sustained grant support.
- The ERA 2010 and 2012 results and prognoses for 2015.
- Requirements for supporting core professional educational programs, particularly in the ANUMS and in Clinical Psychology.
- Capacity to support national and global research priorities.

Action pending arrival of recently appointed Research School Directors:
- Psychology (Prof Michael Kyrios - August 2014)
- John Curtin School of Medical Research (Prof Simon Foote; October 2014)
- Biology (Prof Allan Rodrigo; July 2015)

2.3 With respect to the John Curtin School of Medical Research:

- The number of departments in the School should be reduced to three: Immunology, Neuroscience, and Genomics and Cancer Biology.

- In making future Academic appointments the School should consider the optimal mix of continuing and non-continuing (fellowship) staff.

- The Directorship of the John Curtin School of Medical Research should be advertised immediately, with the aim of attracting an eminent research leader in one of the core research strengths.

- The reduction of the number of departments in the School has staffing implications and is therefore the subject of a Change Management Process. The associated documentation has been prepared by the School Manager and the Head of College of Science HR.

  A final decision on the research areas and titles of the reduced number of departments, and hence the implementation of the Change Management Process, awaits the commencement of the new Director of JCSMR, and may also be influenced by the appointment of the Centenary Cancer Chair which is presently underway.

- Discussions with the incoming Director have focused on the appointment of high-performing early- to mid-career staff on 7 year Fellowships, with the Office of the Vice-Chancellor committing strategic funds for this purpose. The first such Fellowships will be advertised in 2015.

- Following on from an extensive search process the appointment of Professor Simon Foote as Director of JCSMR was announced on August 5. Professor Foote will commence in the role on October 6.

---

\(^1\) See page 16 of Report: [http://about.anu.edu.au/__documents/reviews/healthandmedicalsciences_reviewreport_181213.pdf](http://about.anu.edu.au/__documents/reviews/healthandmedicalsciences_reviewreport_181213.pdf)
### 2.4 Once the current selection round for Directors is completed, a gap analysis should be undertaken to identify:

- The key staff appointments needed to fulfil the vision for health and medical sciences, and
- The infrastructure and professional staff support needed to deliver outstanding outcomes in all areas, and make ANU a venue of choice for job applicants, research fellows and HDR students.

**Action pending arrival of recently appointed Research School Directors:**
- Psychology (Prof Michael Kyrios - August 2014)
- John Curtin School of Medical Research (Prof Simon Foote; October 2014)
- Biology (Prof Allan Rodrigo; July 2015)

### 2.5 The University should increase the visibility and profile of ANU health and medical research as an integrated activity on the ANU website, in promotional material and in media profiling of ANU research and researchers.

**The College has initiated discussions on a redesign of the College website, with the dual aims of facilitating communication within the College and increasing the profile of ANU health and medical research. To support these objectives, a recruitment process for a new Digital Communications Coordinator position is underway. A key component of this strategic appointment will be to increase the visibility of health and medical research through the web and other communication channels.**

### 3. Building capacity and enhancing research performance

#### 3.1 To facilitate greater mobility in the workforce, enhance a performance-based culture, and establish a staffing profile that ensures excellence in the research areas defined in Recommendation 1.1, the College should move to a more flexible staffing profile that includes:

- A mix of tenured research leaders plus early-career, mid-career and senior research Fellowship holders;
- Positions that allow early career researchers to establish independent track records that will allow them to compete successfully for external research Fellowships.

**Discussions with the incoming Director, Prof Foote, have focused on the appointment of high-performing early- to mid-career staff on 7 year Fellowships. The first such Fellowships will be advertised in 2015.**

#### 3.2 The medical areas of the College should introduce one or more ANU Flagship Research Fellowship programs aimed at attracting highly talented early career researchers, with a view to fostering and facilitating their transition to being independent, externally funded, independent Research Fellows.

**A Vice-Chancellor’s Flagship Fellowship Scheme as well as Safety Net Fellowships and support to attract and retain Research Fellows was developed by a Working party chaired by the Deputy Vice-Chancellor (Research). Recommendations were considered by the University Senior Management Group. The financial model to support the Flagship Fellowship Scheme needs to be agreed, and this initiative is one of a number of strategies that can be considered for academic renewal.**
<p>| 3.3 | The University should introduce a Fellowship Safety-Net program, which takes account of the different types of research Fellowship pathways and opportunities available via the Australian Research Council (ARC) and National Health and Medical Research Council (NHMRC) schemes and which provides appropriate mechanisms to support Fellowship holders who have a sustained record of Fellowship/grant success. Consideration should be given to targeting some such Fellowships specifically at those who have had career disruptions (e.g. through having been on maternity leave)(e.g. the Judith Whitworth Fellowship in JCSMR). | A Working Party Chaired by the Deputy Vice-Chancellor (Research) developed a paper and recommendations on these Fellowships for consideration by the Senior Management Group. Safety-Net Fellowships to attract and retain outstanding NHMRC Fellows will be implemented in 2015, funded by Strategic Research Funds and Colleges as required. |
| 3.4 | The College should implement a rigorous, performance development framework that assists career development and takes into account performance relative to opportunity. Within this framework the College and Directors of the Research Schools should develop explicit performance expectations for relevant disciplines, that take into account the nature (teaching/research/clinical) and level of appointment (Level A–E). Performance expectation should cover and balance research income, research outputs, Higher Degree by Research students, teaching, service and policy engagement, relative to disciplinary norms. In the case of JCMSR, the performance should reflect the strong clinical base and primary mission to achieve excellence in fundamental medical research. | The University, as a whole, is currently addressing this issue and has established a Performance Management Working Party, chaired by the Vice-Chancellor and of which the Dean of the College is a member. A new Performance, Management and Review process is being introduced across the University. |
| 3.5 | To enhance integration of the ANU Medical School into the research activities of the College, selection committees for all Recurrent-funded Medical School academic appointments should include the Director of the School likely to host the applicant, following consultation with the Directors of the John Curtin School of Medical Research (JCSMR), the Research School of Population Health (RSPH), the Research School of Psychology (RSP) and the Research School of Biology (RSB). For the same reason, the Dean of the ANU Medical School, or nominee, should have the opportunity to be included on the selection committees for R funded academic appointments in RSPH, RSB. This recommendation has been followed throughout 2014. ANU Medical School has had representation on the Selection Committees for the appointment of the Directors of both JCSMR and Research School of Biology, as well as a Level B/C/D appointment in Biology. Conversely, Biology has been represented on the selection committee for a new ANU Medical School appointment in Microbiology. |</p>
<table>
<thead>
<tr>
<th>JCSMR and RSP.</th>
<th></th>
</tr>
</thead>
</table>
| **3.6** With respect to holders of Clinical Academic titles (e.g. ACT Health employees or other non-ANU employed clinicians), it is recommended that: | • The College has established Clinical Academic Title Track which has been used over the last 3 years for Levels A – D. A working party to consider the matter for Level E is being convened by the Deputy Vice-Chancellor (Academic).  
• There is in-principle support on the part of ACT Health and the ANU Medical School for the idea that performance development be undertaken jointly for these staff using the annual review cycle ACT Health has implemented this year. In order to minimise form-filling on the part of these busy clinical staff, this will mean ACT Health’s form will be used with some additional documentation from the ANUMS addressing the research and education activities specifically.  
• For discussion with the incoming Director of JCSMR  
• The working party, chaired by the Deputy Vice-Chancellor (Academic), will address these issues. |
| • The University should introduce a Clinical Academic Title (level A-E) track, with appropriate indicators, to support and recognise the research activities of clinical appointments. |  |
| • Performance development and review of Clinical appointees be conducted in consultation with ACT Health. |  |
| • The University commit to making available, where appropriate, laboratory space and resources for clinical researchers in the JCSMR precinct, thereby facilitating translational clinical research and providing explicit recognition of the importance of the partnership of ANU with ACT Health. |  |
| • The University clarify and make explicit the performance expectations of Clinical Academic appointments, relative to standard research or teaching and research academic staff. |  |

<table>
<thead>
<tr>
<th><strong>3.7</strong> Improved support for Early Career Researchers (ECR) and higher degree by research (HDR) students should be provided by:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>• Implementing a College-wide mentoring scheme for early career researchers.</td>
<td>The College has established an Early Career Academic Development (ECAD) Committee, chaired by Prof Jan Provis (ANUMS &amp; JCSMR). The inaugural meeting was held on Monday 4 Aug. The Committee will meet regularly, with minutes to be posted on the College website. It has representation from each of the five Research Schools comprising the College, with each School represented by an early career Academic Staff member and a more senior staff member with a specific interest in this area. It also includes a representative from NECTAR, an independent ANU network of Early Career Academics. The ECAD Committee will lead a number of initiatives to support early career researchers and is currently considering the introduction of a mentoring scheme.</td>
</tr>
<tr>
<td>• Improved assessment methods for non-traditional entry pathways for HDR students (especially in population health) in student selection and allocation of scholarships.</td>
<td></td>
</tr>
<tr>
<td>• Improved scholarship support for international HDR students.</td>
<td></td>
</tr>
</tbody>
</table>
### 4. Improved funding and support for researchers

| 4.1 | The University should implement a more targeted approach to National Health and Medical Research Council grants to improve the number of applications and success rates, including:  
|     | • Establishment of cross-School panels to review and mentor applications.  
|     | • Enhancement of specialist administrative support for applications to NHMRC schemes.  
|     | • Ensuring that current NHMRC funding priorities and policy directions are considered in funding applications.  
|     | While NHMRC funding is the immediate priority, it is recommended that the University implement similar mechanisms to support ARC schemes and facilitate growth in category 2 and 3 income. |
|     | The College Research Committee has discussed the establishment of Cross-College discipline panels for the purpose of reviewing and mentoring grant applications, and the general proposal has been endorsed by the College Executive Committee. The College Research Committee will have carriage of this initiative and is currently working on a more detailed proposal. All NHMRC applicants from across the University have been invited to participate. |
|     | The Early Career Academic Development Committee has proposed the establishment of (separate) workshops for early career researchers applying for ARC and NHMRC Fellowships and the Chair, Prof Provis, is following up on this. |
| 4.2 | The University and College should provide mechanisms to assist in targeting of external applicants for Fellowships. |
|     | Such mechanisms are included in the new Health and Medical Research Fellowship Schemes to be introduced in 2015. |
| 4.3 | The College should consider establishment of a strategic competitive pool of funds for agreed health and medical research priorities in order to leverage external funds. |
|     | The College has established and adopted formal guidelines for allocation of College strategic funds and these will be available on the web.  
|     | The first example to which these guidelines have been applied has been contribution of funds from the College to support the National Centre for Indigenous Genomics.  
|     | Whether the College (as opposed to Schools) should run a competitive small grants scheme specifically for the Health and Medical Sciences will be the subject of future discussion. |
4.4 The College should work with the University Alumni Relations and Philanthropy office, JCMSR Foundation and other School initiatives to develop an integrated list of fund-raising priorities, as well as a comprehensive ‘case for support’ for the vision for ANU health and medical research. This will include consideration of named Professorial Chairs, PhD scholarships, and research programs.

The College has initiated the recruitment of an Advancement Manager (Medicine & Health) with the position co-funded by the University Alumni Relations and Philanthropy Office. This strategic appointment will be responsible for the development, establishment and implementation of philanthropic fundraising in the medical and health areas of the College, including fundraising from individuals, corporations and foundations. The appointee will work closely with the College Dean, Research School Directors, the Dean of ANU Medical School, the JCMSR Foundation and other College stakeholders to develop an integrated fundraising strategy for ANU health and medical research including the identification of strategic fundraising objectives and the ‘case for support’, in partnership with the University Alumni Relations and Philanthropy Office.

4.5 With respect to the budget and the transparent allocation of resources:

- The University should give further attention to incorporating strategic priorities and performance into all aspects of the University budget allocation, noting in particular the lack of a significant increase in investment in the health and medical sciences over a period in which the funding available to those working in this area (from the NHMRC and other agencies) has increased dramatically.
- The College should review the suitability of key elements of the internal Research School of Biology budget model for all areas of the College.

The University Senior Management Group is actively considering the University budget model and mechanisms to be considered including how best to focus and concentrate resources in areas of strategic importance and use of the National Institutes Grant.

The financial model for the College in 2015 is being considered by the new Dean, Professor Kiaran Kirk in consultation with the College Executive.

5. Investment in research infrastructure

5.1 The College Research Committee:

- Work with the University Research Committee in the development of a coordinated approach to data sets and collections, with specific reference to a data hub for population and health data. Alliances with other relevant organisations to improve access to data sets should also be considered.
- Investigate options for shared infrastructure with other local organisations, including the University of Canberra, CSIRO, ACT and NSW Health services and the Canberra Hospital.
- Develop detailed plans for medical imaging and biobank capabilities, identified in the College Research Infrastructure plan.

An application for recognition as an NHMRC Advanced Health Research and Translation Centre will be submitted on 30 September 2014. The Centre application will be lodged by ACT Health and includes the University of Canberra, Australian Catholic University and Canberra Hospital, and potentially, regional partners.
| 5.2 | The College NHMRC equipment committee should report outcomes to the University Major Equipment Committee to ensure maximum leverage and coordinated investment in research infrastructure. | Complete. Reporting of NHMRC Major Equipment has been included into the timelines for University Major Equipment. |
| 5.3 | The University should review the longer term funding and arrangements for the Australian Cancer Research Foundation (ACRF), Biomolecular Resource Facility (BRF) and Genome Discovery Unit (GDU) and consider in particular the possibility that they be managed at College or University level, rather than at the level of individual schools. | Discussion of alternate models to manage the GDU and BRF have been held and discussed within the executives of Research School of Biology and John Curtin School of Medical Research. Further discussion and agreement of alternate arrangements is pending the arrival of Professor Simon Foote, Director of JCSMR. |
| 5.4 | The co-location of ANU Medical School (ANUMS), Research School of Population Health (RSPH) and John Curtin School of Medical Research (JCSMR) in the same precinct should proceed with alacrity to progress integration of research, clinical and teaching activities. Expected opportunities that co-location will bring include: • Improved integration of medical students into broader health and medical sciences activities. • More coordinated access to the new clinical facilities. • Enhanced involvement of research-intensive staff in the medical school curriculum. • Sharing of data resources. | From January 2015 teaching and research activities for medicine and health sciences will be fully co-located in a 200 metre radius in the Garran precinct, on the University’s south-western side of campus. The Australian Centre for Economic Research on Health (ACERH), National Institute for Mental Health Research (NIMHR), and the National Centre for Epidemiology and Population Health (NCEPH), all in the Research School of Population Health, and John Curtin School of Medical Research (JCSMR) are currently located and will remain in the Garran precinct. During 2013, the Australian Primary Health Care Research Institute (APHCRI) was relocated from rented premises on the city fringe to the Garran precinct. The completion of the extensive refurbishment of building 54 (formerly the JCSMR building) in December 2014 will provide housing for ANU Medical School (ANUMS) and the Centre for Research on Ageing, Health and Wellbeing (CRAHW). This refurbished building will allow for ANUMS to be relocated from its current position in the Banks precinct. On completion of this final relocation, full co-location of the three Schools will be achieved, enabling increased integration and coordination of activities. |
### 6. Education Programs

<table>
<thead>
<tr>
<th>6.1</th>
<th>The College should adopt the principle that all academic staff at level C and above should make a contribution to teaching and curriculum development in undergraduate, postgraduate and/or ANU Medical School courses, with the contributions documented in the Statement of Expectations.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>The College Executive Committee has endorsed this principle and a detailed proposal to implement such a policy, will be developed over the coming months. Discussions are underway about new courses to which those in Schools that have not traditionally had a strong presence in the undergraduate curriculum might contribute (specifically, a course in Immunology convened by John Curtin School of Medical Research and a course in Population Health convened by the Research School of Population Health).</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>6.2</th>
<th>The Biology/Biomedical Science curriculum should continue to be overseen by a single Teaching and Learning Committee (on which all areas with course-convening responsibilities have representation) and supported by a single Biology/Biomedical Teaching and Learning Centre.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>The Biology/Biomedical Teaching and Learning Centre (TLC) is funded by the combination of the Research School of Biology and the College. A model has now been developed whereby other areas convening courses that make us of TLC staff and resources contribute a tax on course earnings.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>6.3</th>
<th>A model should be developed whereby the financial earnings associated with courses flow to the areas involved in convening and teaching them, factoring in costs associated with running the Biology/Biomedical Teaching and Learning Centre.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>The financial model for the College in 2015 is being considered by the new Dean, Professor Kiaran Kirk in consultation with the College Executive.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>6.4</th>
<th>The Medical Program should be developed as recommended in the ANUMS Australian Medical Council (AMC) Accreditation report.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>The annual report to the Australian Medical Council is due for submission in September 2014 and the Medical School is confident there are no issues that will raise any concerns for the AMC in this report.</td>
</tr>
</tbody>
</table>
| 6.5 | The College should build on current achievements in health and medical sciences education, taking account of:  
| | • Pathways to the PhD in health and medical sciences via the PhB, B.Sc.(Advanced), B.Med.Sci. and other undergraduate programs.  
| | • Potential expansion of full-fee-paying Master programs in appropriate areas (excluding the Medical Program).  
| | • Opportunities for online and blended delivery of courses.  
| | • Opportunities for vertical degrees in allied health with other institutions  
| | • The specific requirements of professional accreditation in Psychology and Medicine.  

| | A University Pathways to the PhD working party is due to make recommendations to the Academic Board in December 2014.  
| | The Director of Science Education is overseeing the development of the strategy for online and full-fee paying courses in the Joint Colleges of Science.  
| | Professional accreditation in Psychology will proceed in Q4, 2014 with the arrival of the new Director for the Research School of Psychology, Professor Mike Kyrios. |
PART 4 – OTHER MATTERS FOR DECISION

C 11  Confidential to Council Members
12 REVISED ANU ENTITY-WIDE RISK MANAGEMENT FRAMEWORK

PURPOSE
To consider and approve the revised ANU Entity-wide Risk Management Framework.

PREPARED BY
Manager, External Audit & Risk

REVIEWED BY
Director, Corporate Governance & Risk

APPROVED BY
Director, Corporate Governance & Risk

SPONSOR
Audit & Risk Management Committee

RECOMMENDATION
That the Council approve the revised ANU Entity-wide Risk Management Framework.

ACTION REQUIRED
For discussion ☐ For decision ☑ For information ☐

SUPPORTING MATERIAL
As part of Corporate Governance & Risk Office’s (CGRO) annual risk management review cycle, a review of the ANU Entity-wide Risk Management Framework (‘Framework’), and the accompanying ANU Entity-wide Risk Profile (‘Profile’), was undertaken during June-August year and feedback sought from stakeholders across the University. The review identified the following gaps:

<table>
<thead>
<tr>
<th>Gaps</th>
<th>Framework</th>
<th>Profile</th>
</tr>
</thead>
<tbody>
<tr>
<td>• A more practical approach is needed to assist staff in the development and implementation of risk management practices in their areas of operation;</td>
<td>• The original Profile contained 101 risk statements displayed by category and risk owner, which made interpreting the Profile difficult and cumbersome; and</td>
<td>• The terminology used is complex and confusing (at times contradictory) resulting in the Profile not being easily understood.</td>
</tr>
<tr>
<td>• Additional guidance is sought for staff to ensure consistency in the approach to risk management at the ANU;</td>
<td>• Improved alignment with the University’s strategic internal audit program is recommended;</td>
<td></td>
</tr>
<tr>
<td>• Improved alignment with the University’s strategic internal audit program is recommended;</td>
<td>• There is a critical need to simplify the Framework’s design and language; and</td>
<td></td>
</tr>
<tr>
<td>• There is a critical need to simplify the Framework’s design and language; and</td>
<td>• There is a need to articulate the risk escalation processes</td>
<td></td>
</tr>
<tr>
<td>• There is a need to articulate the risk escalation processes</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

As a result, a number of refinements and improvements have now been made to the Framework and Profile:

<table>
<thead>
<tr>
<th>Improvements</th>
<th>Framework</th>
<th>Profile</th>
</tr>
</thead>
<tbody>
<tr>
<td>• The Framework has been updated and simplified to better reflect current practices at the ANU including the delineation of roles and responsibilities for risk management across the ANU;</td>
<td>• The risk categories have been re-assessed and workshopped to identify duplication or unnecessary detail, leading to the consolidation of many risk statements;</td>
<td>• The Profile has been broadened to two tiers of risk, Tier 1 capturing strategic risks</td>
</tr>
<tr>
<td>• The Framework has been designed as an overarching, practical guide for staff to</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Both the revised Framework and Entity-wide Risk Profile have been considered and approved by the University’s Executive, discussed and endorsed by the Audit and Risk Management Committee, with some minor refinements.

In addition, CGRO has engaged in discussions with ANU College Deans and General Managers who are supportive of the approach to simplify and streamline the Framework and Profile.

Subject to Council approval, next steps will involve a series of internal ‘roadshows’ and various training programs to assist staff in the development and implementation of risk management practices within their areas of operation. It is anticipated that the internal roadshow will be undertaken in the 1st and 2nd quarters of 2015 while the delivery of training programs will be an ongoing exercise.

**ATTACHMENTS**
12.1 Entity-wide Risk Management Framework (137/2014)
12.2 ANU Entity-wide Risk Profile including Appendix A (151/2014)
The Australian National University
Entity-wide Risk Management Framework

Corporate Governance & Risk Office
Confidential
Executive Summary

At its core, risk management is about creating and protecting value by ensuring that resources are deployed appropriately in pursuit of the strategic business objectives of an organisation.

The ANU has a set of strategic objectives articulated in its strategic plan; ANU by 2020. These objectives and the implementation of actions to realise them, require risk to be managed effectively and consistently across the entire entity. The Entity Wide Risk Management Framework (ERMF, the Framework) outlines the practical measures in place that enable staff at the ANU to identify, assess and manage risk.

By outlining the three distinct levels of risk management activities across the ANU (strategic, operational, day-to-day), the Framework brings together the elements of risk management relevant to the University’s strategic context. The Framework recognises that there are a set of formal risk management activities and processes that are integrated and performed on a known cyclical basis, as well as emerging issues that require consideration and review, in response to an ever changing risk profile. In addition to practical advice on the management of risk, the Framework includes links to all the relevant tools, templates and entities within the ANU that may assist staff to understand their responsibilities, access the resources necessary to manage risk and continually improve the management and communication of risk across the University.

The Framework is intended to be a useable document that provides a summary of the risk management activities that occur within ANU. As such, it is not designed as a risk management ‘omnibus’, rather its intent is to build the understanding among staff of the importance of risk management and provide practical direction on how to comply with the intent of the University’s risk management policy. ANU staff should feel enabled, not constrained, by the Framework; it is not intended to comprehensively capture all the risk management activities across the entity but to provide guidance and support to enhance, embed and further integrate sound risk management practices and culture across the university.
Governance

The Australian National University was founded in 1946 by an Act of the Commonwealth Parliament. It is a body corporate authorised by the Australian National University Act 1991. ANU is governed by a 15 member Council, whose duties include appointing the University’s senior leaders and overseeing its management. In terms of risk management, Council oversees and monitors the assessment and management of risk across the University, including commercial undertakings. The Audit and Risk Management Committee (a committee of Council) assists Council in this area. Further details on the structure and governance of the ANU can be found at: http://about.anu.edu.au/governance-structure.
The responsibilities for key element risk management are allocated across the ANU. However, all staff remain responsible for managing risk on an ongoing basis, consistent with the ANU’s risk management policy and the ERMF.

<table>
<thead>
<tr>
<th>Functions</th>
<th>Responsible Officers</th>
<th>Associated Materials</th>
</tr>
</thead>
<tbody>
<tr>
<td>Strategic Direction Setting and Strategic Risk Management oversight</td>
<td>Council, Vice-Chancellor and ANU Executives</td>
<td>ANU by 2020 Strategic Plan</td>
</tr>
<tr>
<td></td>
<td></td>
<td>ANU ERMF</td>
</tr>
<tr>
<td></td>
<td></td>
<td>ANU ERP</td>
</tr>
<tr>
<td></td>
<td></td>
<td>ANU ERMP</td>
</tr>
<tr>
<td>Operational Risk Management</td>
<td>Deans, Directors and General Managers of Colleges/Divisions</td>
<td>ANU ERMF</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Control Self Assessments</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Internal Audit</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Risk Management Plans</td>
</tr>
<tr>
<td>Day-to-Day (Ongoing) Risk Management</td>
<td>All Staff</td>
<td>ANU ERMF</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Risk Management Procedures and Policies</td>
</tr>
</tbody>
</table>

*ERMF – Entity-wide Risk Management Framework; ERP – Entity-wide Risk Profile; ERMP – Entity-wide Risk Management Plan

**Compliance**

The ANU must comply with a broad range of Commonwealth and Territory legislation, the most significant of which is the *Public Governance, Performance and Accountability Act 2013* (PGPA Act). Council, as the University’s governing body, is responsible for ensuring that the University complies with its obligations under the PGPA Act. The ANU takes its responsibility to comply with the requirements of legislation, regulation and internal policies extremely seriously and has an expectation that all staff will actively seek to comply with all the requirements articulated in these documents.
Risk Management Overview

The Australian National University recognises that risk management is an important element of good governance and in assisting the University achieve its objectives. The University endorses Australia and New Zealand risk management standard AS/NZ ISO 31000:2009. As outlined in the University’s Risk Management Policy, managing risk is a shared responsibility. Every employee of the Australian National University is responsible for managing risk in the course of their work for the University. Risk management at the ANU is conducted in accordance with the following principles:

1) **Strategic**: The behaviours that underpin the approach to risk management at the ANU are proactive and seek to engage with risk so as to prevent and act ahead of events.

2) **Evidence Based**: Risk management within the ANU acts upon and seeks the best information and evidence available. Where information is unavailable or of low quality, explicit and defensible decisions are made about whether to seek further information or cease the activity.

3) **Integrated and Aligned**: Risk management activities do not occur in isolation from one another. There is a natural and ongoing link between the key risks faced by the university, its controls and treatments and the University’s rolling three year internal audit program designed to test and improve the overall risk management of the ANU.

4) **Transparent and Accountable**: The management of the Australian National University is open about the risk profile and control environment. Risk and risk management strategies are assigned owners and clear lines of accountability are established.

5) **Ongoing Monitoring and Review**: The Australian National University encourages a culture of ongoing monitoring (through key risk indicators) and review of key controls and business processes to ensure continuous quality improvement and business resilience.

It is important to note that risk management does not mean reducing risk to its lowest possible level in all cases. Good risk management requires that risks are identified and maintained at a level tolerable to the ANU. This will, at times, require the balancing of competing objectives and priorities with the availability of finite resources which may result in a level of risk exposure that is acceptable to the ANU.
Alignment with Best Practice

The risk management practices within the University are aligned with AS/NZS ISO 31000:2009. The University has purposefully aligned the risk management functions and processes with the elements of the Framework to ensure rigorous and continually improving risk management procedures and practices are in place and go towards building a sound governance regime at whole-of-entity level.
Strategic Risk Management

Strategic risk management refers to the management of risks that impact upon the University's ability to achieve either part or all of its strategic objectives. Strategic risk management at the ANU comprises high level planning underpinned by an integrated cycle of operational risk management processes and the integration of risk management principles into day-to-day activities.

ANU by 2020 Strategic Plan

The ANU by 2020 strategic plan outlines the strategic objectives of the University. The ERMF seeks to provide guidance and tools to align the University's risk management activities with its strategic objectives.

ANU Entity-wide Risk Profile (ERP)

The ANU ERP aims to capture the high level risks faced by the University as it implements ANU by 2020. The profile identifies, at a high level, which areas are responsible for ensuring that objectives are realised while managing risk. The profile is reflective of the results of a point-in-time assessment that is updated annually, when objectives change or new risk factors emerge.

ANU Entity-wide Risk Management Plan (ERMP)

The ANU ERMP is designed to address risks identified in the ANU ERP that affect the operation of the entire entity or a significant part of it. By linking the plan with the key risks outlined in the ANU ERP the University has put in place measures to address the major risks to the achievement of its objectives. The plan contains an outline of the controls in place to manage risk as well as the endorsed treatment actions that require implementation across the course of the year. The plan is reviewed throughout the year and refreshed annually.
Operational Risk Management

Operational risk management requires a degree of routinely repeated activities and processes. These are the formal and cyclical activities designed to manage the operational and largely foreseeable risks faced by the University. A majority of formal risk management activities of the University are targeted at operational risks because if left untreated, operational risks can quickly intensify to the point where it threatens the University's strategic objectives. The following section outlines the key operational risk management activities that occur throughout each year in a phased and structured way.

Risk Management Plans

The ANU has a range of formal risk management plans in place, including plans to manage particular risks that have been identified as particularly severe (e.g. fraud) or critical to the operational resilience of the ANU (e.g. business continuity). These plans are developed on a cyclical basis to ensure currency and accuracy.

Fraud Control Plans

The ANU recognises that, like all businesses, it is susceptible to fraud. The ANU is committed to minimising the incidence of fraud and corruption through the identification of risk and the development, implementation and regular review of a range of fraud prevention and detection strategies. In addition to actively encouraging the reporting of fraud and corruption, the ANU has a Fraud Control Plan (FCP) and has developed Fraud Risk Profiles to keep staff informed of the key risks and the measures to address them. The profile and plans are revised every two years.

Business Continuity Plans

Business continuity plans are a key part of maintaining the organisational resilience of the ANU. While it is impossible to completely remove threats to the University’s key functions, it is important to have in place contingency plans and to ensure, to the greatest extent possible, that the ANU can continue to deliver its key functions even when elements of its business may be compromised. The ANU has an endorsed template for business continuity planning. All business units are required to complete a BCP for risks that could realistically threaten the business functions of that unit. These plans are reviewed, as part of the rolling internal audit program of work. Management is accountable for ensuring plans are current and actions are implemented to manage risk exposure due to business disruption.
Internal Controls

Internal controls are the mechanisms put in place to help achieve the operational objectives of the university. Controls can take a variety of forms including processes (e.g. automated financial reporting), procedures (e.g. formally observed and agreed work steps), infrastructure (e.g. security cameras, locks), spot audits and formal monitoring (e.g. management review of timesheets). The ANU relies upon management to develop, implement and monitor internal controls as part of their responsibilities. Good controls encourage efficiency, compliance with laws, regulations and university policies, and seek to eliminate fraud.

Control Self-Assessment

Control self-assessment (CSA) is one of the methods used by the ANU to gauge awareness of, and compliance with, the key policies that ANU relies upon to control risks associated with governance, brand, reputation, global standing, people, asset and financial management. The CSA operates as a ‘health check’ and provides a basis upon which to continue consulting with and informing staff as to their responsibilities under legislation.

Internal Audit

Organisations rely upon their internal controls operating effectively to manage risk to an acceptable level. The role of internal audit is critical in ensuring that controls are functioning effectively, efficiently and are producing the control outcomes required. The University has a mix of controls; examples include policies, procedures, systems and processes and IT infrastructure. In order to ensure the ongoing viability and appropriateness of these controls the ANU conducts internal audits to ensure that the controls are operating effectively.
### Annual Cycle – Strategic and Operational Risk Management at ANU

The cycle does not ‘end’ in December, the evidence generated over the course of a year informs the following years’ activities with the 3-year strategic internal audit plan updated annually. The University is committed to a continuing evidence-based performance improvement.
Day-to-Day Risk Management

In addition to the formal and cyclical risk management practices undertaken across the ANU, every staff member has a responsibility for integrating the management of risk into their day to day responsibilities. This will take many forms; some examples include project planning, budgeting, formal advice to management, seeking third party expert advice and many others. This section contains guidance on the agreed risk assessment criteria and protocols for escalation so that risk is managed by staff with an appropriate level of authority and accountability. This section also contains links to the risk management tools and templates to assist staff to manage risks effectively.

Escalation

Managing risk is everyone’s responsibility and all staff are encouraged to proactively identify and treat risks as they emerge over time. At times, the level of risk exposure the University faces will exceed the authority and remit of staff within the ANU. At these times, staff should escalate the matter to an appropriate level using the ANU risk matrix and guidance below. Escalation ensures that staff that are held accountable for risk management are fully informed as they make decisions. As importantly, escalation ensures that the appropriate risk control response is actioned and implemented.

Escalation Protocols

Risk escalation occurs when the level of risk exceeds the thresholds set by the University. Escalation might be required for a range of reasons including;

- The risk threatens one of the strategic objectives of the University
- The treatments proposed for implementation require significant resources to be deployed to control the risk at an appropriate level
- The risk, or its management, is identified as requiring the input, endorsement or oversight of management

Risk escalation ensures that decisions are made at an appropriate level, carry a degree of authority commensurate with their importance and are subject to scrutiny. Escalation takes many forms, from management discussions through to formal briefings. The governance structure (including the committee structure) of the ANU has been designed to take account of the requirement for escalation and staff should use the guidance provided in the framework and refer to the governance section (pages four and five) to determine the appropriate level of escalation for decision and action.
ANU Risk Assessment Matrix

Risk is typically assessed as a function of the likelihood and consequence of the risk materialising, as a result, not all risks are the same and should not be managed as such. The ANU uses a risk management matrix to assess the level of risk and facilitate an appropriate response. The matrix and its accompanying definitions and escalation protocols are designed to provide staff with guidance about what to do (monitor or treat the risk) and where to escalate the risk (i.e. to line manager or higher). The risk matrix is the endorsed framework for assessing risks at all levels within the university (strategic, operational and day-to-day) and should be used to determine an appropriate course of action.

ANU Risk Rating Matrix

<table>
<thead>
<tr>
<th>LIKELIHOOD (ROUTINE)</th>
<th>IMPACT/CONSEQUENCE</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>CATASTROPHIC (4)</td>
</tr>
<tr>
<td>ALMOST CERTAIN (4)</td>
<td>EXTREME 16</td>
</tr>
<tr>
<td>LIKELY (3)</td>
<td>EXTREME 12</td>
</tr>
<tr>
<td>POSSIBLE (2)</td>
<td>HIGH 8</td>
</tr>
<tr>
<td>UNLIKELY (1)</td>
<td>MODERATE 4</td>
</tr>
</tbody>
</table>

LOW = 1 - 2; MODERATE = 3 – 6; HIGH = 7 – 9; EXTREME = 10 & ABOVE

Key
Parameters to define each level of likelihood and impact over a number of dimensions are below:

<table>
<thead>
<tr>
<th>LIKELIHOOD</th>
<th>Rankings</th>
<th>Description</th>
<th>Probability of Single Events</th>
<th>Frequency of Multiple Events - Strategic</th>
<th>Frequency of Multiple Events - Operational</th>
</tr>
</thead>
<tbody>
<tr>
<td>ALMOST CERTAIN (4)</td>
<td>Expected to occur in most circumstances.</td>
<td>&gt; 50%</td>
<td>&gt; once per year</td>
<td>At least once per week</td>
<td></td>
</tr>
<tr>
<td>LIKELY (3)</td>
<td>Will probably occur in most circumstances</td>
<td>25% – 50%</td>
<td>At least once per year</td>
<td>At least once per month</td>
<td></td>
</tr>
<tr>
<td>POSSIBLE (2)</td>
<td>Might occur at some time</td>
<td>5% – 25%</td>
<td>At least once every 5 years</td>
<td>At least once per year</td>
<td></td>
</tr>
<tr>
<td>UNLIKELY (1)</td>
<td>May only occur in exceptional circumstances</td>
<td>&lt; 5%</td>
<td>At least once every 20 years</td>
<td>At least once every 3 years</td>
<td></td>
</tr>
</tbody>
</table>
### IMPACT/CONSEQUENCE

<table>
<thead>
<tr>
<th>Rankings</th>
<th>Reputation &amp; Image</th>
<th>Financial</th>
<th>Safety &amp; Injury</th>
<th>Operational Loss</th>
<th>Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td>CATASTROPHIC (4)</td>
<td>Substantiated widespread news item, significant reputation damage, third party actions, impact on ability to achieve research and education strategic objectives.</td>
<td>&gt;A$100m or &gt;50% of operating budget</td>
<td>Multiple Fatality</td>
<td>Significant loss of assets. Loss of operations &gt; 1 month.</td>
<td>Prosecution, financial penalty, cessation of activity.</td>
</tr>
<tr>
<td>MAJOR (3)</td>
<td>Substantiated news item, high impact news profile with embarrassment, possible 2nd or 3rd party involvement.</td>
<td>A$100m-A$10m or 30-50% of operating budget</td>
<td>Extensive injuries / possible multiple injuries. Single Fatality</td>
<td>Major damage to assets. Loss of operations between 1 week and 1 month.</td>
<td>Suspension of activity and prosecution/financial penalty.</td>
</tr>
<tr>
<td>MODERATE (2)</td>
<td>Substantiated news item profile with embarrassment.</td>
<td>A$10m-A$500k or 10-30% of operating budget</td>
<td>First aid and ongoing medical treatment. Probable lost time</td>
<td>Significant damage to assets. Loss of operation between 1 day to 1 week.</td>
<td>Formal warning from regulator.</td>
</tr>
<tr>
<td>MINOR (1)</td>
<td>News Item with low impact or is unsubstantiated.</td>
<td>A$500k-A$50k or &lt;10% of operating budget</td>
<td>Minor injuries / first aid required</td>
<td>Minor damage. Loss of operation no more than 1 day.</td>
<td>Minor breach of statue or regulation.</td>
</tr>
</tbody>
</table>

### Risk Rating Descriptors

<table>
<thead>
<tr>
<th>Rating</th>
<th>Required Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Extreme &gt;9</td>
<td>Not acceptable: Likely to threaten the survival or continued effective function of the program or the organisation, either financially or politically. Immediate action required; must be managed by senior management with a detailed treatment plan reported to PVC/Executive Director, Vice-Chancellor and Council.</td>
</tr>
<tr>
<td>High 7-9</td>
<td>Generally not acceptable: Likely to cause some damage, disruption or breach of controls. Senior management attention needed and management responsibility specified; treatment plans to be developed and reported to PVC/Executive Director or Vice-Chancellor</td>
</tr>
<tr>
<td>Moderate 3-6</td>
<td>Acceptable: Unlikely to cause much damage and/or threaten the efficiency and effectiveness of the program/activity; treatment plans to be developed and implemented by operational managers. Manage by specific monitoring or response procedures.</td>
</tr>
<tr>
<td>Low &lt;3</td>
<td>Acceptable: Unlikely to require specific application of resources; manage by routine procedures. Monitor and review.</td>
</tr>
</tbody>
</table>
Risk Management Resources

The following links and contact details provide staff with the tools and guidance required to approach risk management consistently and in line with ANU policies. To further assist staff, the email address for the Governance and Risk Management Office is included for all general inquiries.

Risk Management Policy & Procedure:


ANU by 2020:


Fraud Control:


ANU Risk Tools and Templates:


Business Continuity Planning:


Corporate Governance & Risk Office:

http://risk.anu.edu.au/ and for email queries or additional support: head.governance@anu.edu.au
Australian National University – Entity-wide Risk Profile

Purpose:

The ANU Entity-wide Risk Profile (ERP) is designed to outline the categories of risk the ANU is exposed to in the course of its operations. The risk profile is both a strategic and operational part of the University’s overall risk management. It is strategic in that it is reflective of risks faced by the University in achieving its strategic objectives and operational as it reflect the risks posed to the operational elements of the University’s work that enables it to pursue its strategic objectives.

Structure:

The profile is split across two levels of detail. Tier 1 captures the broad areas of strategic risk the ANU is exposed to. Tier 2 captures the operational risk categories. Through an annual review of the ERP risks are re-evaluated to ensure the profile are still relevant and appropriate.

In Appendix A, there are examples of risks provided to assist users to understand. The examples are neither an exhaustive or prescriptive list and should act as a prompt, rather than a comprehensive list of all risks faced by the ANU.

By structuring the ERP in this way, it provides an entity-wide view of exposure that allows the user to access a level of practical detail to inform decision making across a range of projects and initiatives.

Guiding Principles:

1) The ERP is designed to enable staff to conduct risk assessments (in conjunction with the ANU Risk Matrix) for projects (or initiatives) and develop a risk profile specific to the project whilst ensuring that consideration has been given to the University’s strategic risks.

2) The risk profile will be reviewed and updated annually to ensure that it captures new and emerging risks, staff should refer to the ERP regularly to ensure any risk profile developed is reflective of the University’s risk exposure.
ANU ENTITY-WIDE RISK PROFILE

LEADERSHIP  INTERNAL CONTROLS  COMPLIANCE  RESEARCH  TEACHING AND LEARNING  BRAND  EXTERNAL AFFAIRS  INCOME/ FUNDING  EXPENDITURE

GOVERNANCE

RESEARCH, TEACHING & LEARNING

REPUTATION

FINANCIAL MANAGEMENT

INFORMATION TECHNOLOGY

BUSINESS ADMINISTRATION

PEOPLE

DATA  SECURITY  MAINTENANCE & MANAGEMENT  SITE SECURITY  INFRASTRUCTURE & ASSETS  BUSINESS MANAGEMENT  STUDENTS  STAFF  CONTRACTORS/ VISITORS

AUSTRALIAN NATIONAL UNIVERSITY – RISK PROFILE
Governance covers all aspects of the structures and processes through which the ANU makes and scrutinises decisions incorporating risk management and compliance with all relevant legislation and standards.

Research, Teaching and Learning encompasses the quality, diversity, and performance of research and undergraduate students and staff at the ANU.

Financial includes risks related to income, expenditure and ongoing financial management.

Reputation incorporates the different elements which contribute to the external perceptions of the University’s brand and marketplace offering and engagement with external parties.

Information Technology covers risks to the ANU posed by infrastructure, system security, data input and output and a range of risks associated with system integration.
<table>
<thead>
<tr>
<th>Category</th>
<th>Sub-category</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>INFORMATION TECHNOLOGY</td>
<td>Data Quality</td>
<td>Risks that the multiple data sources relied upon within ANU are of insufficient quality to be relied upon to inform decision making</td>
</tr>
<tr>
<td></td>
<td>System Reporting</td>
<td>Risks that the systems at ANU do not easily facilitate appropriate decision making</td>
</tr>
<tr>
<td></td>
<td>Data Quantity</td>
<td>There is a risk that the data sources relied upon within ANU are of insufficient quality to be relied upon to inform decision making</td>
</tr>
<tr>
<td></td>
<td>Monitoring</td>
<td>Risks that the ANU remains unaware of IT security breaches or security flaws</td>
</tr>
<tr>
<td></td>
<td>Access Management</td>
<td>Risks that IT systems can be accessed by unauthorised persons</td>
</tr>
<tr>
<td></td>
<td>Integration and Interoperability</td>
<td>Risks that the systems and processes allow for mismanagement of personal information and identity data</td>
</tr>
<tr>
<td></td>
<td>Identity Management</td>
<td>Risks that IT systems are not able to be integrated or work in parallel</td>
</tr>
<tr>
<td></td>
<td>Hardware/Software Management</td>
<td>Risks to relationships with suppliers and their understanding of and ability to meet key business requirements</td>
</tr>
<tr>
<td></td>
<td>System Implementation</td>
<td>Risks that IT systems are not implemented to an acceptable standard</td>
</tr>
<tr>
<td></td>
<td>IT Support</td>
<td>Risks to the capacity and capability of the personnel and systems at ANU support continued IT support.</td>
</tr>
<tr>
<td>GOVERNANCE</td>
<td>Change Management</td>
<td>Risks that the ANU is insufficiently flexible to adapt to changing needs and opportunities</td>
</tr>
<tr>
<td></td>
<td>Culture</td>
<td>Risks that the culture at ANU does not drive productive and sustainable outcomes</td>
</tr>
<tr>
<td></td>
<td>Organisational Structure</td>
<td>Risks that the organisational structure is not configured to reflect business needs</td>
</tr>
<tr>
<td></td>
<td>Insurance</td>
<td>Risks that the ANU is unable to manage its insurance arrangements effectively to meet its needs</td>
</tr>
<tr>
<td></td>
<td>Risk Framework and Policies</td>
<td>Risks that the framework and policies in place to manage risk are not fit for purpose</td>
</tr>
<tr>
<td></td>
<td>Business Unit Performance</td>
<td>Risk that the performance of business units is not adequately tracked or reported against</td>
</tr>
<tr>
<td></td>
<td>Management Reporting</td>
<td>Risk that the ANU's internal reporting provides insufficient clarity to inform management decision</td>
</tr>
<tr>
<td></td>
<td>Business Continuity</td>
<td>Risk that the ANU is unable to preserve essential business functions in the event of disruption</td>
</tr>
<tr>
<td></td>
<td>Legislative Compliance</td>
<td>Risk that the ANU fails to comply with the obligations imposed under legislation</td>
</tr>
<tr>
<td></td>
<td>Conflict of Interest</td>
<td>Risk that the University's personnel fail to declare and manage conflicts of interest</td>
</tr>
<tr>
<td></td>
<td>Regulatory Compliance</td>
<td>Risk that the ANU fails to comply with the obligations imposed under regulation</td>
</tr>
<tr>
<td></td>
<td>External Reporting</td>
<td>Risks that the ANU is unable to accurately compile or submit reports within deadline.</td>
</tr>
<tr>
<td>PEOPLE</td>
<td>Student Safety and Wellbeing</td>
<td>Risks to the ongoing health, safety and wellbeing of students at the ANU</td>
</tr>
<tr>
<td></td>
<td>Staff Safety and Wellbeing</td>
<td>Risks to the positive, seamless and integrated student experience</td>
</tr>
<tr>
<td></td>
<td>Succession Planning</td>
<td>Risks to the University's capacity to fill key positions with suitably qualified and able staff</td>
</tr>
<tr>
<td></td>
<td>Talent/Performance Management</td>
<td>Risks to the University's capacity to fill key positions with suitably qualified and able staff</td>
</tr>
<tr>
<td></td>
<td>Industrial Relations Management</td>
<td>Risks related to the management of negotiations with relevant stakeholder groups</td>
</tr>
<tr>
<td></td>
<td>Contractors/Visitors Safety and Wellbeing</td>
<td>Risks to the ongoing health, safety and wellbeing of contractors at the ANU</td>
</tr>
<tr>
<td>BUSINESS ADMINISTRATION</td>
<td>Crisis/Emergency Management</td>
<td>Risks that the ANU will be underprepared for and unable to respond to emergencies on site</td>
</tr>
<tr>
<td></td>
<td>Physical Security</td>
<td>Risks that the ANU is unable to control entry, protect assets or minimise harm to physical assets</td>
</tr>
<tr>
<td></td>
<td>Facilities and Maintenance Support</td>
<td>Risks that the ANU is unable to control entry, protect assets or minimise harm to physical assets</td>
</tr>
<tr>
<td></td>
<td>Space Utilisation</td>
<td>Risks that the space allocation is inefficient and does not support business functions</td>
</tr>
<tr>
<td></td>
<td>Intellectual Property Management</td>
<td>Risks that the IP of the ANU is not managed for the benefit of the ANU</td>
</tr>
<tr>
<td></td>
<td>Project Management</td>
<td>Risks that the ANU will fail to manage projects effectively, efficiently and deliver upon the objectives</td>
</tr>
<tr>
<td></td>
<td>Procurement</td>
<td>Risks that the procurement processes and outcomes fail to deliver upon requirements</td>
</tr>
<tr>
<td></td>
<td>External Reviews and QA</td>
<td>Risks of an adverse outcome or finding from external scrutiny of the ANU</td>
</tr>
<tr>
<td></td>
<td>Quality of Research</td>
<td>Risks to the quality of the research and publications of the ANU</td>
</tr>
<tr>
<td></td>
<td>Ethics</td>
<td>Risks that the ethical standards required of staff and students are violated</td>
</tr>
<tr>
<td></td>
<td>Misconduct (Research)</td>
<td>Risk that researchers and associates engage in misconduct</td>
</tr>
<tr>
<td></td>
<td>Online Programs</td>
<td>Risk that online programs are of reduced quality or inaccessible</td>
</tr>
<tr>
<td></td>
<td>Course Delivery</td>
<td>Risk that course delivery mechanisms detract from, rather than enhance the quality of the course</td>
</tr>
<tr>
<td></td>
<td>Course Quality</td>
<td>Risk that the quality of course offerings diminishes and impacts upon other objectives (reputation/ student experience)</td>
</tr>
<tr>
<td></td>
<td>Misconduct (Academic)</td>
<td>Risk that academics and students engage in misconduct</td>
</tr>
</tbody>
</table>
## ANU ENTITY-WIDE RISK PROFILE

### Reputational Risks
- Risk that demand and supply of courses are significantly mismatched
- Risks that the international standing of the ANU declines
- Risks that the relations with key stakeholders are ineffective in building a positive reputation and standing for the ANU
- Risks that the public facing portal to ANU fails to provide an appropriate repository for information and access
- Risks that the marketing fails to drive increased prominence, recruitment and retention of key personnel and students
- Risks that public relations and media management fails to ensure that the ANU remains in control of the message
- Risks that the ANU’s pre-eminent postgraduate research university status is undermined

### Financial Management Risks
- Risk that the distribution of funds is not well understood or actively managed
- Risk that student fees are set at a level that is incompatible with business requirements
- Risk that research income fails to deliver appropriate revenue to the ANU
- Risk that the block grant is not sufficient
- Risk that opportunities are missed to diversify income
- Risk that payments under scholarship exceed agreed thresholds
- Risk that the block grant is not sufficient
- Risk that opportunities are missed to diversify income
- Risk that the block grant is not sufficient
- Risk that opportunities are missed to diversify income

### Additional Risks
- There is a risk that the strategy damages the brand of the ANU as Australia’s pre-eminent postgraduate research university
- Risk that student fees are set at a level that is incompatible with business requirements
- Risk that the block grant is not sufficient
- Risk that opportunities are missed to diversify income
- Risk that payments under scholarship exceed agreed thresholds
- Risk that projects have poor financial estimates or are poorly run leading to significant cost overruns
- Risk that the University’s business processes prevent the ANU from obtaining value for money from procurement and services
- Risk that student fees are set at a level that is incompatible with business requirements
13 STUDENT SERVICES AMENITIES FEES – REVISED APPROVAL PROCESS

PURPOSE To seek Council’s approval of a process for consulting students on the expenditure of Student Services and Amenities Fee (SSAF) funds.

PREPARED BY Pro Vice-Chancellor (Student Experience)

REVIEWED BY Deputy Vice-Chancellor (Academic)

APPROVED BY Vice-Chancellor

RECOMMENDATION That Council approve a process for consulting students on the expenditure of Student Services and Amenities Fee (SSAF) funds.

ACTION REQUIRED
For discussion ☑ For decision ☑ For information □

BACKGROUND
The Higher Education Legislation Amendment (Student Services and Amenities) Act 2011 (the Act) allows universities to charge students a fee to support the provision to students of amenities and services not of an academic nature. This fee, known as the Student Services Amenities Fee or SSAF, may be spent on items such as sporting and recreational activities, employment and career advice, child care, financial and legal advice and food services.

The Student Services, Amenities, Representation and Advocacy Guidelines (the Guidelines) govern the administration of SSAF revenue. These Guidelines were revised in March 2014 and Item 3.2.5 of the revised Guidelines requires that:

In relation to decisions regarding the specific uses of the proceeds from any compulsory SSAF, HEPs [Higher Education Providers] must establish and maintain a clearly defined and effective process by which students enrolled at the HEP are consulted that is reviewed and approved annually by the governing body of the HEP.

Council’s approval of the process outlined at attachment 1 and approved by the Deputy Vice-Chancellor (Academic) is now sought.

Item 3.2.2 of the previous version of the Guidelines required HEPs to ‘… publish the details of the mechanisms approved by the governing body of the HEP by which enrolled students are consulted and able to participate in the decision making processes of the HEP.’ At its meeting of 2 December 2011, Council was advised by the Vice-Chancellor that consultations were being undertaken with student organisations as required by the legislation.

The Guidelines were reviewed in 2013 and the requirement for a consultation process with students approved annually by the HEP’s governing body, was included following the review. Advice from the Department of Education indicates that the Guidelines were amended with the overall intention of ensuring that they operate in ‘a manner that is clear in intent and purpose, transparent in process; visible; and consultative.’

Since the passage of the Act in 2011 the University has undertaken extensive annual negotiations with the four student associations (the ANU Students’ Association, the Postgraduate and Research Students’ Association, the ANU Sport and Recreation Association and ANU Student Media) on their budgets and expenditure on services and works which benefit all students. Draft expenditure is posted annually on the University’s website and all students invited by e-mail to comment on the draft before funding is finalised. We believe this has been a sound process of consultation which gives all students an opportunity to express their views on how SSAF revenue should be expended.

PART 4 – OTHER MATTERS FOR DECISION
Council should note that in cooperation with the student associations, the University has initiated a review of the financial governance of the ANU Students’ Association, the Postgraduate and Research Students’ Association and ANU Student Media. The review is being undertaken by Ernst and Young and should be completed in October. This review could have some minor impact on the timing of the consultation process for which approval is now sought.

ATTACHMENT
13.1 Student Services Amenities Fees - Revised Approval Process (138/2014)
MEMO

SUBJECT: Allocations of Student Services Amenities Fee funds to Student Associations in 2015

TO: Professor Marnie Hughes-Warrington, Deputy Vice- Chancellor (Academic)

FROM: Dr Andrew Smith, Executive Officer (Education)

cc: Professor Richard Baker, Pro Vice-Chancellor (Student Experience)

DATE: 6 August 2014

Deputy Vice-Chancellor

Item 3.2.5 of the Student Services, Amenities, Representation and Advocacy Guidelines requires that

In relation to decisions regarding the specific uses of the proceeds from any compulsory SSAF, HEPs must establish and maintain a clearly defined and effective process by which students enrolled at the HEP are consulted that is reviewed and approved annually by the governing body of the HEP.

Professor Baker met with Student Associations on 28 April and the following was agreed.

- Mid September 2014: estimate of available funds available in 2015 provided to associations
- Early October 2014: associations circulate draft budgets
- Mid October 2014: associations meet with PVCSE
- October/November possible reworking of budgets
- Mid November: associations meet with PVCSE
- Early December: draft allocations published for student comment
- Late January 2015: associations respond to comments
- Early February 2015 allocations finalised.

In addition to this associations have agreed to discuss the funding of capital works, including the amount to be set aside for capital works and a process for prioritising projects.

At a meeting of associations on 23 July 2014, it was further agreed to renegotiate new funding agreements with associations before the end of 2014. Current funding agreements are due to expire in early 2015.

Recommendation:

That you approve these arrangements for determining SSAF allocations in 2015.

Consistent with the requirements of the Student Services, Amenities, Representation and Advocacy Guidelines, I will ask Ms Molloy to include your approval in the Council papers for noting.

[Signature]

Andrew W. Smith
14 AUDIT AND RISK MANAGEMENT COMMITTEE (ARMC) CHARTER REVIEW

PURPOSE
To present the revised ARMC Charter for Council approval.

PREPARED BY
Auditor, Corporate Governance and Risk Office

REVIEWED BY
Director, Corporate Governance & Risk

APPROVED BY
Director, Corporate Governance & Risk

SPONSOR
Audit & Risk Management Committee

RECOMMENDATION
That the Council approve the proposed changes to the ARMC Charter.

ACTION REQUIRED
For discussion ☑ For decision ☑ For information ☐

SUMMARY
With the passage of the Public Governance, Performance and Accountability Act 2013 (the PGPA Act) and the tabling of the supporting Public Governance, Performance and Accountability Rule 2014 (the PGPA Rule), ANAO has prepared guidance material to assist in updating the University’s Audit and Risk Management Committee (ARMC) Charter in light of changes to audit committee requirements contained in the PGPA Rule, section 17 Audit Committee for Commonwealth Entities.

An assessment between ANAO’s guidance material and the University’s current ARMC Charter was completed during July-August. The attached table (Attachment 14.1) outlines proposed amendments to the ARMC Charter to better align with the ANAO guidance release; and further assesses whether additional action is required by the University.

In addition, other minor changes are recommended in relation to wording within the current ARMC Charter as follows:

1.1 Insert reference to PGPA Rule section 17 Audit Committee for Commonwealth Entities.

8.1.3 Insert 'location' as part of forward meeting plan.

8.3.1 Replace 'one week' with '10 days'.

8.4.1 Replace 'stating they do not have any conflicts of interest' with 'declaring any material personal interests'.

8.6.1 Replace 'at least once every two years' with 'annually'.

Amendments are highlighted in the attached ARMC Charter as tracked changes.

At its meeting of 3 September 2014, the Audit and Risk Management Committee considered the results of the assessment and proposed amendments to the Committee’s Charter.

The Committee endorsed the amendments and recommends them to Council for its approval.

ATTACHMENT
14.1 Assessment of ARMC Charter
14.2 ARMC Charter with proposed changes (136/2014)
## ASSESSMENT OF ARMC CHARTER PURSUANT TO ANAO GUIDANCE RELEASE

<table>
<thead>
<tr>
<th>Ref</th>
<th>Changes to ARMC Charter</th>
<th>Further action required?</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.2</td>
<td>Insert ‘The ARMC is not responsible for the executive management of these functions. The ARMC will engage with management in a constructive and professional manner in discharging its responsibilities and formulating its advice to the Council.’</td>
<td>No. ARMC is currently not responsible for the executive management of these functions.</td>
</tr>
<tr>
<td>4.2</td>
<td>Insert ‘The Chair of the Council and other Council members may attend Committee meetings, and when they elect to do so, will require copies of Committee papers.’</td>
<td>No. Committee papers are currently provided upon request by the Chair of the Council and other Council members.</td>
</tr>
</tbody>
</table>
| 5.5.1 | Amend the previous clause to:  

‘review and endorse the Entity-wide Risk Management Framework for the University’.  

Insert the following additional statements:  

‘review and endorse the University’s assurance map; and  

monitor reports on fraud from the University’s management that outline any significant or systematic allegations of fraud, the status of any ongoing investigations and any changes to identified fraud risk in ANU’. | No. The ANU Entity-wide Risk Management Framework and Profile are reviewed annually.  

No. Management currently reports to the ARMC any allegations of fraud, the status of any ongoing investigations and recommendations made as a result of fraud investigations. |
| 5.5.3 | Insert the following additional statements:  

‘assess the University’s compliance with accounting standards, including an assessment of the appropriateness of accounting policies and disclosures;  

assess areas of significant judgement and financial statement balances that require estimation;  

assess any significant changes to accounting policies and practices, (by November each year);  

review any other significant or unusual transactions, not pertaining to balances requiring estimation or significant changes to accounting policies and practices;  

monitor the standard of financial information provided to the Council;  

discuss with the Australian National Audit Office (ANAO) the auditor’s judgements about the adequacy of the University’s accounting policies and the quality of the University’s processes for the preparation of the University’s financial statements;’ | No. This is reviewed annually at the March ARMC meetings. |
| 5.5.5 | Amend the previous clause to:  

‘endorse the Internal Audit Charter; and  

in consultation with management, review and endorse the appointment, replacement or dismissal of the officer accountable for internal audit and the internal audit service provider’. | Yes. The Internal Audit Charter is reviewed and endorsed annually by the ARMC and approved by the VC. Rather, the Internal Audit Charter needs to be approved by the ARMC. |
| 5.5.6 | Insert ‘meet privately with the ANAO at least once per year’. | No. The ARMC meets privately with the ANAO at the March ARMC meetings. |
| 5.5.8 | Insert the following:  

‘consider any issues relating to the University’s performance that the ARMC deems requiring review, or are referred to the ARMC by the Council;  

monitor the standard of non-financial performance information provided to the Council; and  

review the proposed reporting of the University’s performance to ensure that the information is consistent with ANU’s reported financial information.’  

Note: The requirement for entities to prepare performance statements in accordance with section 39 of the PGPA Act applies from 2015-16 and, as such, the ARMC’s responsibilities in relation to performance reporting should be reviewed at this time. | No. The Department of Finance have advised the University that a performance statement will not be required to be prepared until the 2016 Annual Report. |
## ASSESSMENT OF ARMC CHARTER PURSUANT TO ANAO GUIDANCE RELEASE

<table>
<thead>
<tr>
<th>Ref</th>
<th>Changes to ARMC Charter</th>
<th>Further action required?</th>
</tr>
</thead>
<tbody>
<tr>
<td>8.1.2</td>
<td>Insert ‘and decide if a meeting is required if requested by another ARMC member, internal audit or the ANAO.’</td>
<td>No. The Chair of the ARMC currently decides if a meeting is required upon request by another ARMC member, internal audit or the ANAO.</td>
</tr>
<tr>
<td>8.4.2</td>
<td>Replace ‘Conflict of Interest’ with ‘material personal interest’ and insert ‘material personal interest declared by ARMC members, and actions taken, will be appropriately recorded in the minutes’.</td>
<td>No.</td>
</tr>
<tr>
<td>8.5.1</td>
<td>Amend previous clause to ‘The University, through CGRO, has implemented and will maintain a program of induction, training and awareness-raising for ARMC members, with the objective of enabling the committee to keep abreast of contemporary developments and leading practices to assist them to meet their ARMC responsibilities.’</td>
<td>No. Formal inductions are in place and arrangements are being made for Ernst &amp; Young to present on key topics at ARMC meetings.</td>
</tr>
</tbody>
</table>
Audit & Risk Management Committee Charter

1. **Introduction**

   1.1 The Australian National University (ANU) Council has established the Audit and Risk Management Committee (ARMC) in compliance with section 45 of the Public Governance, Performance and Accountability Act 2013 (PGPA Act) and section 17 of the Public Governance and Accountability Rule 2014 (PGPA Rule).

   1.2 This Charter sets out the ARMC’s objective, authority, composition and tenure, roles and responsibilities (as well as the responsibilities of the individual members), and reporting and administrative arrangements.

2. **Objective**

   2.1 The objective of the ARMC is to provide independent assurance, advice and assistance to the Council on the University’s risk, control, compliance, internal audit and governance framework, and its external accountability responsibilities including its financial statement responsibilities.

   2.2 The ARMC is not responsible for the executive management of these functions. The ARMC will engage with management in a constructive and professional manner in discharging its responsibilities and formulating its advice to the Council.

3. **Authority**

   3.1 The Council authorises the ARMC, within the scope of its role and responsibilities, to:

   - obtain any information it needs from any employee and/or external party (subject to their legal obligation to protect information);
   - discuss any matters with the University’s external auditors, or other external parties (subject to confidentiality considerations);
   - request the attendance of any ANU employee or Council member at ARMC meetings; and
   - obtain external legal or other professional advice, as considered necessary to meet its responsibilities, at the University’s expense.

4. **Composition and Tenure**

   4.1 The Council is responsible for the appointment of ARMC members.

   4.2 The Chair of the Council and other Council members may attend Committee meetings, and when they elect to do so, will require copies of Committee papers.

---

4.3 The ARMC will consist of:

- a Chair, who may be a non-executive member of the Council, but not the Chancellor;
- a member of Council (who may not be a student nor an ANU employee other than a College Head);
- up to four independent members, who may not be a member of Council or an ANU employee or student;
- *ex officio*, the Chair of the Finance Committee.

4.4 The ARMC may appoint a Deputy Chair from amongst its members who will act as chair in the absence of the Chair.

4.5 The members, taken collectively, will have a broad range of skills and experience relevant to the operations of the ANU. At least one member of the ARMC should have accounting or related financial management experience with an understanding of accounting and auditing standards in a public sector environment.

4.6 Members will be appointed for an initial period of up to two years after which they will be eligible for extension or re-appointment, after a formal review of their performance. Terms of appointment to the ARMC are to provide for both continuity of membership and fresh perspective.

5. **Roles and Responsibilities**

5.1 The ARMC has no executive powers, unless delegated to it by the Council.

5.2 The ARMC is directly responsible and accountable to the Council for the exercise of its responsibilities. In carrying out its responsibilities, the ARMC must at all times recognise that primary responsibility for management of the ANU rests with the Vice-Chancellor.

5.3 The responsibilities of the ARMC may from time to time be revised or expanded in consultation with, or as requested by, the Council.

5.4 The ARMC shall also provide the Chancellor and, where appropriate, Council, with responses to inquiries on matters pertaining to audit, internal control, financial reporting and risk.

5.5 The committee's responsibilities are to:

5.5.1 **Risk Management**

- review and endorse the Entity-wide Risk Management Framework for the University, whether management has in place a current and comprehensive risk management framework and associated procedures for effective identification and management of the University's financial and business risks, including fraud;
- review whether a sound and effective approach has been followed in developing strategic risk management plans for major projects or undertakings;
- [review and endorse the University's assurance map](#);
- assess the impact of the University's risk management framework on its control environment and insurance arrangements;
- determine whether a sound and effective approach has been followed in establishing the University's business continuity planning arrangements, including whether business continuity and disaster recovery plans have been updated and tested periodically;
- review the University's fraud control plan and satisfy itself the ANU has appropriate processes and systems in place to capture and effectively investigate fraud related information;

<Comment [DH4]: Requirement to endorse the risk management framework in the ANAO guidance under 'Functions: Systems of risk oversight and management'.

<Comment [DH5]: Requirement to endorse the entity-wide assurance map in the ANAO guidance under 'Functions: Systems of risk oversight and management'.

Attachment 14.2: ARMC CHARTER WITH PROPOSED CHANGES
• Monitor reports on fraud from the University's management that outline any significant or systematic allegations of fraud, the status of any ongoing investigations and any changes to identified fraud risk in ANU; and
• Receive periodically (normally each Committee meeting) a report from the Director, Corporate Governance & Risk Office on the operation and performance of risk management in the University, including Work Health & Safety and fraud.

5.5.2 Control Framework
• Review whether management’s approach to maintaining an effective internal control framework, including over external parties such as contractors and advisors, is sound and effective;
• Review whether management has in place relevant policies and procedures, including Vice-Chancellor Instructions or their equivalent, and that these are periodically reviewed and updated;
• Determine whether the appropriate processes are in place to assess, at least once a year, whether key policies and procedures are complied with;
• Review whether appropriate policies and procedures are in place for the management and exercise of delegations;
• Consider how management identifies any required changes to the design or implementation of key internal controls; and
• Review whether management has taken steps to embed a culture which is committed to ethical and lawful behaviour.

5.5.3 External Accountability
• Assess the University’s compliance with accounting standards, including an assessment of the appropriateness of accounting policies and disclosures;
• Assess areas of significant judgement and financial statement balances that require estimation;
• Assess any significant changes to accounting policies and practices, (by November each year);
• Review any other significant or unusual transactions, not pertaining to balances requiring estimation or significant changes to accounting policies and practices;
• Monitor the standard of financial information provided to the Council;
• Discuss with the Australian National Audit Office (ANAO) the auditor’s judgments about the adequacy of the University’s accounting policies and the quality of the University’s processes for the preparation of the University’s financial statements;
• Review the annual financial statements and provide advice to the Council (including whether appropriate action has been taken in response to audit recommendations and adjustments), and recommend their signing by the Chair of the Council (Chancellor);
• Satisfy itself that the annual financial statements are supported by appropriate management signoff on the statements and on the adequacy of the systems of internal controls; and
• Review the processes in place designed to ensure that financial information included in the University’s annual report is consistent with the signed annual financial statements.

5.5.4 Legislative Compliance

Comment [DH6]: Additional context over monitoring and investigation of fraud as outlined in the ANAO guidance under ‘Functions: Systems of risk oversight and management’.

Comment [DH7]: Additional responsibilities included for financial reporting as outlined in the ANAO guidance under ‘Functions: Financial Reporting’.
• determine whether management has appropriately considered legal and compliance risks as part of the University’s risk assessment and management arrangements; and
• review the effectiveness of the system for monitoring the University’s compliance with relevant laws, regulations and associated government policies.

5.5.5 Internal Audit
• act as a forum for communication between the Council, senior management, internal audit, and external audit;
• review internal audit coverage as outlined in the strategic and annual internal audit plans, ensure the plan is developed based on a prioritization of the audit universe using a risk-based methodology informed by the University’s risk assessment outcomes, and recommend approval of the plan by the Council;
• advise the Council on the adequacy of the resources available to the Internal Audit activity to carry out its responsibilities, including completion of the approved internal audit plan;
• oversee the coordination of audit reviews conducted by internal audit, external audit and other review functions;
• review all of the Internal Audit activity’s reports and provide advice to the Council on significant issues identified in those reports and action taken on issues raised, including identification and dissemination of good practice;
• monitor management’s implementation of Internal Audit activity’s recommendations;
• review and endorse the Internal Audit Charter annually to ensure appropriate organisational structures, authority, access, and reporting arrangements are in place;
  • periodically review the performance of the Internal Audit activity; and
• in consultation with management, review and endorse the appointment, replacement or dismissal of the officer accountable for internal audit and the internal audit service provider, where requested by the Vice Chancellor, assist with the appointment of the Head of Internal Audit and the internal auditor.

5.5.6 External Audit
• act as a forum for communication between the Council, senior management and external audit;
• provide input and feedback on the annual financial statement and performance audit coverage proposed by external audit, and provide feedback on the audit services provided;
• evaluate external audit plans and reports in respect of planned or completed audits and monitor management’s response and implementation of audit recommendations; and
• provide advice to the Council on action to be taken on significant issues raised in relevant external audit reports or better practice guides; and
• meet privately with the ANAO at least once per year.

5.5.7 Governance Arrangements

Comment [DH8]: Approve internal audit charter as outlined in the ANAO guidance under ‘Function: Systems of Internal Control’. Note – Internal Audit Charter will be amended to reflect this once the ARMC Charter has been approved by Council.

Comment [DH9]: Consult with management regarding appointment of officer responsible for internal audit within the University and the internal audit service provider outlined in the ANAO guidance under ‘Other functions’.

Comment [DH10]: Additional text included around engagement with the ANAO as outlined in the ANAO guidance under ‘Other Functions: Engagement with the ANAO’.
• When requested by Council, review the ANU governance arrangements or elements of the arrangements and suggest improvements, where appropriate, to the Council.

5.5.8 Other responsibilities

Performance Reporting Framework

- satisfy itself that the ANU has a performance management framework that is linked to organisational objectives and outcomes;
- consider any issues relating to the University's performance that the ARMC deems requiring review, or are referred to the ARMC by the Council;
- monitor the standard of non-financial performance information provided to the Council; and
- review the proposed reporting of the University's performance to ensure that the information is consistent with the University's reported financial information.

6. Responsibilities of Members

6.1 Members of the ARMC are expected to understand and observe the legal requirements of the CAC Act. Members are also expected to:
- act in the interests of the ANU;
- contribute the time needed to study and understand the papers provided;
- apply good analytical skills, objectivity and good judgment; and
- express opinions constructively and openly, ask questions that relate to the committee's responsibilities and pursue independent lines of enquiry.

7. Reporting

7.1 The committee will regularly, but at least once a year, report to the Council on its operation and activities during the year. The report should include:
- a summary of the work the ARMC performed to fully discharge its responsibilities during the preceding year;
- a summary of the University's progress in addressing the findings and recommendations made in internal and external reports;
- an overall assessment of the University's risk, control and compliance framework, including details of any significant emerging risks or legislative changes impacting the ANU; and
- details of meetings, including the number of meetings held during the relevant period, and the number of meetings each member attended.

7.2 The ARMC may, at any time, report to the Council any other matter it deems of sufficient importance to do so. In addition, at any time an individual committee member may request a meeting with the Chair of the Council (Chancellor).

8. Administrative Arrangements

8.1 Meetings and Planning

8.1.1 The ARMC will meet at least four times per year. A special meeting may be held to review the University's annual financial statements.

Comment [DH11]: Note: The requirement for entities to prepare performance statements in accordance with section 39 of the PGPA Act applies from 2015-16 and, as such, the ARMC's responsibilities in relation to performance reporting should be reviewed at this time as outlined under 'Functions: Performance Reporting'.
8.1.2 The Chair is required to call a meeting if asked to do so by the Council or another ARMC member, and decide if a meeting is required if requested by another ARMC member, internal audit or the ANAO.

8.1.3 A forward meeting plan, including meeting dates, location and agenda items, will be agreed by the ARMC each year. The forward meeting plan will cover all of the ARMC's responsibilities, as detailed in this charter.

8.1.4 The Chair is invited to attend at least one Council meeting per year.

8.1.5 The Chair will be regularly updated with the ANU audit and risk management activities and emerging issues by the Director, Corporate Governance & Risk Office.

8.2 Attendance at Meetings and Quorums

8.2.1 A quorum will consist of 50% of committee members.

8.2.2 Meetings can be held in person, by telephone or by videoconference.

8.2.3 The Vice-Chancellor, The Executive Director (Administration & Planning), Chief Finance Officer/Director of Finance & Business Services, Director, Corporate Governance & Risk Office and representatives of the Australian National Audit Office may attend each meeting as an observer unless requested by the Chair of the ARMC not to attend a particular ARMC meeting or participate in certain agenda items.

8.2.4 The Chair of the ARMC may request any other ANU employee and/or external party to attend ARMC meetings or participate in certain agenda items.

8.2.5 External Audit and Internal Audit are to be afforded the opportunity of meeting privately with ARMC members only as required.

8.2.6 The Chair of the Council (Chancellor) may be invited to attend ARMC meetings to participate in specific discussions or provide strategic briefings to the ARMC.

8.3 Secretariat

8.3.1 The Corporate Governance & Risk Office will provide secretariat support to the ARMC. The Corporate Governance & Risk Office will ensure the agenda for each meeting and supporting papers are circulated, after approval from the Chair, at least one week before the meeting, and ensure the minutes of the meetings are prepared and maintained. Minutes must be approved by the Chair and circulated to each member and ARMC observers, as appropriate.

8.4 Conflicts of Interest

8.4.1 Once a year ARMC members will provide written declarations to the Council declaring any material personal interests stating they do not have any conflicts of interest that would preclude them from being members of the ARMC. External members will be asked to consider past employment, consultancy arrangements and related party issues in making these declarations. Council will need to be satisfied that there are sufficient processes in place to manage any real or perceived conflict.

8.4.2 ARMC members must declare any material personal interests/conflicts of interest at the start of each meeting or before discussion of the relevant agenda item or topic. Details of material personal interests declared by ARMC members, and actions taken, will be appropriately recorded in the minutes any conflicts of interest should be appropriately minuted.

8.4.3 Where members or observers at ARMC meetings are deemed to have a real, or perceived, conflict of interest it may be appropriate that they are excused from ARMC deliberations on the issue where a conflict of interest exists.

8.5 Induction

8.5.1 The University, through CGRO, has implemented and will maintain a program of induction, training and awareness-raising for ARMC members, with the objective of...
enabling the committee to keep abreast of contemporary developments and leading practices to assist them to meet their ARMC responsibilities. New members will receive relevant information and briefings on their appointment to assist them to meet their ARMC responsibilities.

8.6 Assessment Arrangements

8.6.1 The Chair of the ARMC, in consultation with the Chair of the Council, will initiate a review of the performance of the ARMC at least once every two years annually. The review will be conducted on a self-assessment basis (unless otherwise determined by the Council) with appropriate input sought from the Council, the Vice-Chancellor, the internal and external auditors, management and any other relevant stakeholders, as determined by the Council.

8.7 Review of Charter

8.7.1 At least once a year the ARMC will review this charter. This review will include consultation with the Council.

8.7.2 Any substantive changes to the charter will be recommended by the ARMC and formally approved by the Council.
**Internal Audit and Management Initiated Review reporting protocols**

*Reviews conducted as part of the Annual Audit Plan*

<table>
<thead>
<tr>
<th>Management report</th>
<th>Audit &amp; Risk Management Committee report</th>
</tr>
</thead>
</table>
| 1 Internal Audit distributes a draft Management Report to areas involved in the review to check the **factual accuracy** of the information on which the internal audit conclusions will have been drawn.  
  *(Note: The Vice-Chancellor will be briefed immediately in the event a potential Extreme finding has been confirmed with the auditee representative)* | *(Note: Audit & Risk Management Committee chair advised of **potential Extreme findings** once this has been confirmed with the Vice-Chancellor)* |
| 2 **Exit meeting** between nominated auditee representative and Internal Audit to discuss and agree findings and recommendations. | |
| 3 Where the Draft Management Report includes Extreme, High or Moderate rated findings a detailed **management action plan** is required. This will be prepared by the responsible area for inclusion in the report and will include agreed due dates for management action. (In some cases, ‘management action plans’ will be management actions rather than only plans for action.) | |
| 4 Management **Report sign-off** by Director Corporate Governance & Risk Office, and ANU auditee representative(s). | |
| 5 **Audit & Risk Management Committee report** prepared comprising a synopsis of overall findings plus detailed findings, recommendations and management action plans in respect of confirmed Extreme, High or Moderate rated findings. | |

**Reviews initiated by management**

The Audit & Risk Management Committee will be informed of any internal audit activities which have been initiated by management. The Committee will not however receive a summary report unless:

- It requests a copy; and / or
- The review has identified Extreme, High or Moderate matters.

---

3 The ANU auditee representative will usually be a member of the ANU Executive, except where the review targets a specific Local Area operation or central administrative activity.
15 AUSTRALIAN NATIONAL UNIVERSITY STUDENTS’ ASSOCIATION INCORPORATED CONSTITUTION

PURPOSE To consider amendments to the ANU Students’ Association Incorporated Constitution.

PREPARED BY ANUSA President

REVIEWED BY Deputy Vice-Chancellor (Academic)

APPROVED BY Vice-Chancellor

SPONSOR Vice-Chancellor

RECOMMENDATION That Council approve the amendments to the Constitution of the ANU Students’ Association Incorporated, as passed at an Annual General Meeting of the Students’ Association on 21 May 2014 (140/2014).

ACTION REQUIRED For discussion ☐ For decision ☑ For information ☐

BACKGROUND

Changes to the ANUSA Inc Constitution were passed at an Annual General Meeting of the ANU Students’ Association on 21 May 2014.

In accordance with Section 22(4) of the ANUSA Constitution, the President of the Association must present all constitutional amendments passed to the next possible meeting of University Council.

The following amendments, which are procedural in nature and govern the conduct of meetings of ANUSA, are recommended to Council for its approval:

1. ANUSA Constitution Inc. Amendment to Schedule 1 (Standing Orders) Section 1: General
   The amendment articulates the role of the Chair and use of Standing Orders as part of meeting procedures.

2. ANUSA Constitution Inc. Amendment to Schedule 1, Section 2: Motions and Amendments
   The amendment articulates the process for voting on motions and amendments.

3. ANUSA Constitution Inc. Amendment to Schedule 1, Section 2A: Question Time
   The amendment articulates the process for inviting questions and the context in which a question may be put at a meeting of ANUSA.

4. ANUSA Constitution Inc. Amendment to Schedule 1, Section 4: Procedure
   The amendment articulates the purpose of points of order and their use in meetings.

5. ANUSA Constitution Inc. Amendment to Schedule 1, Section 5: Time Limits
   The amendment articulates the procedure to be followed in relation to time limits applicable to all speakers attending a meeting of ANUSA.

ATTACHMENTS
15.1 Proposed changes to the ANUSA Inc Constitution (140/2014).
Constitutional Amendments

Passed at ANUSA AGM 21 May 2014
To be ratified by Council

1.1 Amendments to Schedule 1 of the ANUSA Constitution

Insert: Schedule 1 (Standing Orders) of the ANUSA Constitution, Section 1: General

1.2A The Chair

1.2A.1 Council Meetings and General Meetings of the Association shall be chaired by the Secretary, or another representative of the Association appointed by the Secretary and President.

1.2A.2 The Chair shall:
   a) Interpret these Standing Orders, whose ruling shall be final, subject to the right of a member to move a motion of dissent in the manner prescribed in s4.2 of these Standing Orders.
   b) Maintain order as prescribed in s4.3 of these Standing Orders.

Insert: Schedule 1 of the ANUSA Constitution, Section 2: Motions and Amendments

2.5 Voting on Motion and Amendments

2.5.1 A motion or amendment arising at a meeting shall be decided on by a show of hands, unless the Chair deems it necessary to utilise a secret ballot.

2.5.2 The Chair shall declare the motion or amendment carried or lost, and in the absence of a demand for a recount, the Chair's declaration shall be final and conclusive and shall be recorded in the minutes.

2.5.3 Any member may move a motion requiring a recount after the Chair has declared the outcome of the motion. The Chair shall again call for a show of hands for and against the motion or amendment. The Chair shall then declare the result of the further vote and such declaration shall be final and conclusive and
shall be recorded in the minutes of the meeting, along with the number of ayes and noes.

**Insert: Schedule 1 of the ANUSA Constitution, Section 2A: Question Time**

### 2A.1 Question Time

2A.1.1 The Chair must give the opportunity for members to ask questions:
- a) Of the speaker at the end of each report
- b) Of the mover, after the tabling of all motions, with the exception of procedural motions

2A.1.2 Questions asked of representatives of the Association must relate to a policy, motion, or other business of the Association, for which the speaker is responsible.

2A.1.3 Questions asked of an ordinary member, as the mover of a motion must relate to the motion moved.

### 2A.2 Rules for questions

The following general rules apply to all questions:
- a) Questions must not be debated.
- b) A question fully answered must not be asked again.
- c) Questions must not contain:
  - a. Statements of facts or names of persons, unless they can be authenticated and are strictly necessary to make the question intelligible;
  - b. Arguments;
  - c. Inferences;
  - d. Insults;
  - e. Ironical expressions; or
  - f. Hypothetical matter.
- d) Questions must not anticipate discussion on any order of business.

### 2A.3 The Chair’s discretion about questions

The Chair may:
- a) Direct a member to change the language of a question asked during question time if the language is inappropriate or does not otherwise conform with the standing orders;
- b) Rule on the relevance of the question asked as per s2A.1.2 and s2A.1.3 of these standing orders;
- c) Allow supplementary questions to be asked to clarify an answer to a question during question time.
2A.4 Questions of the Chair

At the conclusion of each period of question time, members may ask questions orally of the Chair about any matter of administration for which he or she is responsible.

2A.5 Replies to questions

2A.5.1 Answers must be relevant to the question.

2A.5.2 Speakers may choose to nominate another member to answer a question on their behalf.

Amend: Schedule 1 of ANUSA Constitution, Section 4: Section Procedure,

4.1 Points of Order

4.1.2 A member may at the end of a speech make a point of clarification over factual inaccuracies made by the previous speaker.

To read:

4.1.2 A member may at any time, not interrupting another speaker, make a point of clarification over factual inaccuracies made by the previous speaker.

Amend: Schedule 1 of the ANUSA Constitution, Section 5: Time Limits

5.1.1 The following time limits apply to all speakers, unless otherwise determined by the meeting:
   a. Speaker delivering a report – 5 minutes
   b. Mover of a motion – 3 minutes
   c. Right of reply, all other speakers – 2 minutes
   d. Movers of and speakers to procedural motions – 1 minute

To read:

5.1.1 The following time limits apply to all speakers, unless otherwise determined by the meeting:
   a. Speaker delivering a report – 5 minutes
   b. Mover of a motion – 3 minutes
   c. Right of reply, answers to questions, all other speakers – 2 minutes
   d. Movers of and speakers to procedural motions, questions – 1 minute

Insert: Schedule 1 of the ANUSA Constitution, Section 5: Time Limits

5.1.3 Not more than forty minutes shall be allowed for the discussion of any subject, unless extended by the consent of the meeting, and when such time has expired, the motion shall be put.
16 ANU PARKING INFRINGEMENT FEES 2015

PURPOSE To consider and approve the proposal to increase the University’s parking infringement fees effective from 1 January 2015

PREPARED BY Director, Facilities and Services

REVIEWED BY Executive Director (Administration and Planning)

APPROVED BY Vice-Chancellor

RECOMMENDATION That Council approve the proposal to increase the University’s parking infringement fees effective from 1 January 2015.

ACTION REQUIRED
For discussion ☑ For decision ☑ For information ☐

BACKGROUND
Annually the ACT Government review and release a revised parking infringement penalty structure which is implemented on 1 August.

The ANU follows the ACT Government parking infringement penalty structure in all categories but has an additional category which is “Tamper/Interfere with Falsify or misuse a parking permit”. The ANU parking infringement penalties become effective on 1 January of the year following that imposed by the ACT Government.

The accompanying Schedule (Attachment 16.1) provides the Infringement category, the current ANU penalty, the now current ACT Government penalty effective from 1 August 2014, and the proposed ANU penalty to be effective from 1 January 2015.

It is requested that the Council approve the implementation of the proposed ANU Parking Infringement penalties effective from 1 January 2015.

ATTACHMENT
16.1 2015 Parking Infringement Fees Schedule as of 01/01/2015 (141/2014)
## PROPOSED ANU INFRACTION PENALTIES AS OF 01/01/2015

<table>
<thead>
<tr>
<th>Infringement</th>
<th>ANU Penalty as of 1/8/13</th>
<th>ACT Penalty as of 1/8/14</th>
<th>ANU Penalty as of 1/1/15</th>
</tr>
</thead>
<tbody>
<tr>
<td>Alongside a yellow edge line</td>
<td>$204.00</td>
<td>$216.00</td>
<td>$216.00</td>
</tr>
<tr>
<td>Exceeding time limit</td>
<td>$91.00</td>
<td>$97.00</td>
<td>$97.00</td>
</tr>
<tr>
<td>Not in marked bay</td>
<td>$91.00</td>
<td>$97.00</td>
<td>$97.00</td>
</tr>
<tr>
<td>Across bay marking</td>
<td>$91.00</td>
<td>$97.00</td>
<td>$97.00</td>
</tr>
<tr>
<td>Contrary to authorised vehicle sign</td>
<td>$91.00</td>
<td>$97.00</td>
<td>$97.00</td>
</tr>
<tr>
<td>No voucher displayed</td>
<td>$91.00</td>
<td>$97.00</td>
<td>$97.00</td>
</tr>
<tr>
<td>So as to obstruct, cause danger/inconvenience</td>
<td>$91.00</td>
<td>$97.00</td>
<td>$97.00</td>
</tr>
<tr>
<td>In loading zone (over time)</td>
<td>$123.00</td>
<td>$130.00</td>
<td>$130.00</td>
</tr>
<tr>
<td>In loading zone (not loading or unloading)</td>
<td>$123.00</td>
<td>$130.00</td>
<td>$130.00</td>
</tr>
<tr>
<td>In permit parking area (no/expired permit)</td>
<td>$91.00</td>
<td>$97.00</td>
<td>$97.00</td>
</tr>
<tr>
<td>Expired voucher displayed</td>
<td>$91.00</td>
<td>$97.00</td>
<td>$97.00</td>
</tr>
<tr>
<td>No voucher displayed</td>
<td>$91.00</td>
<td>$97.00</td>
<td>$97.00</td>
</tr>
<tr>
<td>Elsewhere than on/carrigeway/parking area</td>
<td>$91.00</td>
<td>$97.00</td>
<td>$97.00</td>
</tr>
<tr>
<td>Not close and parallel to left hand side of carrageway</td>
<td>$91.00</td>
<td>$97.00</td>
<td>$97.00</td>
</tr>
<tr>
<td>Parked/stopped on a bus stop or zone</td>
<td>$171.00</td>
<td>$130.00</td>
<td>$130.00</td>
</tr>
<tr>
<td>Parked contrary to No Stopping signs</td>
<td>$204.00</td>
<td>$216.00</td>
<td>$216.00</td>
</tr>
<tr>
<td>Parked in an accessible parking bay (no label)</td>
<td>$204.00</td>
<td>$216.00</td>
<td>$216.00</td>
</tr>
<tr>
<td>Contrary to No Parking sign</td>
<td>$91.00</td>
<td>$97.00</td>
<td>$97.00</td>
</tr>
<tr>
<td>Stop in intersection</td>
<td>$125.00</td>
<td>$97.00</td>
<td>$97.00</td>
</tr>
<tr>
<td>Stop on/near pedestrian crossing</td>
<td>$305.00</td>
<td>$323.00</td>
<td>$323.00</td>
</tr>
<tr>
<td>Stop in/near safety zone</td>
<td>$171.00</td>
<td>$181.00</td>
<td>$181.00</td>
</tr>
<tr>
<td>Disobey motorbike parking sign</td>
<td>$91.00</td>
<td>$97.00</td>
<td>$97.00</td>
</tr>
<tr>
<td>Bicycle cross on marked pedestrian crossing</td>
<td>$98.00</td>
<td>$104.00</td>
<td>$104.00</td>
</tr>
<tr>
<td>Disobey no bicycle sign</td>
<td>$98.00</td>
<td>$104.00</td>
<td>$104.00</td>
</tr>
<tr>
<td>Rider moving into path of driver/pedestrian</td>
<td>$98.00</td>
<td>$104.00</td>
<td>$104.00</td>
</tr>
<tr>
<td>Rider no wear bicycle helmet/fitted/fastened</td>
<td>$98.00</td>
<td>$104.00</td>
<td>$104.00</td>
</tr>
<tr>
<td>Remove/interfere with deface infringement notice on vehicle</td>
<td>$486.00</td>
<td>$515.00</td>
<td>$515.00</td>
</tr>
<tr>
<td>Tamper/Interfere with Falsify or misuse a parking permit*</td>
<td>$200.00</td>
<td>N/A</td>
<td>$200.00</td>
</tr>
<tr>
<td>Park on area marked with Keep Clear</td>
<td>$203.00</td>
<td>$215.00</td>
<td>$215.00</td>
</tr>
<tr>
<td>No park at specified angle</td>
<td>$91.00</td>
<td>$97.00</td>
<td>$97.00</td>
</tr>
</tbody>
</table>
PART 5 – OTHER MATTERS FOR NOTING

C*17  Confidential to Council Members
C* 18  Confidential to Council Members
19  CAPITAL BUILDING FINANCIAL SUMMARY REPORT

PURPOSE  To consider the Capital Building Financial Summary Report.

PREPARED BY  Associate Director, Facilities and Services

REVIEWED BY  Chief Financial Officer

APPROVED BY  Director, Facilities and Services

SPONSOR  Executive Director (Administration and Planning)


ACTION REQUIRED
For discussion  ☐  For decision  ☐  For information  ☑

SUMMARY
The recurring Capital Building Financial Summary Report is contained in Attachment 19.1. Key points to note are as follows:

1. **High Performance Computer** – work underway.
2. **JCSMR (CT Lab)** – occupancy certificate issued. Project has moved into defects liability period which will run for 12 months. Invoices received post 8th August have increased cost completion to 95%.
4. **Acton Underhill Carpark** – archives currently being relocated and demolition of existing storage facilities on level two is imminent. Lift component of the project is with the National Capital Authority (NCA) for approval.
5. **Student Services (Copland)** – construction complete and space handed over for occupancy August 2014. Financial handover to occur October 2014.
6. **Coombs ARC “Centre of Excellence” Fitout** – construction underway, completion scheduled end September 2014.
7. **Hugh Ennor Façade Replacement** – currently in design phase. Fabrication of components to commence shortly.
8. **JCSMR (Building 54 Project)** – construction underway with completion expected March 2015. The high cost mechanical components have not yet been delivered. Subsequent invoices received have increased cost completion to 35%.
9. **Mt Stromlo (RSLA Directors Residence Restoration)** – construction underway with certain elements of the project with NCA for approval. Large cost items have been delivered but not yet invoiced.
10. **SSO Water Treatment Upgrade** – three year program (2013-2015) with funding of $300k per annum. Main 2014 works complete with next stage to include relining of water tanks and replacement of water treatment system.
11. **Hancock West (ITS Refurbishment)** – contractor appointed and demolition scheduled to begin October 2014. Large cost claims to commence post demolition.
13. **CECS (Craig Building Refurbishment)** – construction underway. Mechanical services costs have come in significantly above budget. Overall costs are currently under review.

**ATTACHMENT**

19.1 Summary of Approved Capital Works over $500k as at 8 August 2014 (153/2014)
<table>
<thead>
<tr>
<th>Project Name</th>
<th>Funding Source</th>
<th>Current Budget</th>
<th>Funds expended @ 03/08/2014</th>
<th>Remaining Funds</th>
<th>% Spent</th>
<th>% Completed</th>
<th>Current Completion Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>High Performance Computer - additional generator</td>
<td>NCI</td>
<td>$1,300,000</td>
<td>$1,300,000</td>
<td>$1,158,265</td>
<td>10.90%</td>
<td>30%</td>
<td>30-Oct-14</td>
</tr>
<tr>
<td>JCSMR - CT Lab</td>
<td>Education Investment Fund (EIF)</td>
<td>$1,300,000</td>
<td>$1,450,000</td>
<td>$873,324</td>
<td>39.77%</td>
<td>100%</td>
<td>31-Jul-14</td>
</tr>
<tr>
<td></td>
<td>ANFF</td>
<td>$150,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Total Project Funding</td>
<td>$1,450,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>National Centre For Indigenous Studies (NCIS)</td>
<td>Building Infrastructure Fund</td>
<td>$1,680,000</td>
<td>$1,680,000</td>
<td>$1,546,270</td>
<td>7.96%</td>
<td>95%</td>
<td>29-Aug-14</td>
</tr>
<tr>
<td>Acton Underhill Carpark (includes Noel Butlin Archives)</td>
<td>Commonwealth NSC-ANZOG Surplus</td>
<td>$1,300,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>CMP I Loan</td>
<td>$400,000</td>
<td>$1,700,000</td>
<td>$1,319,576</td>
<td>22.38%</td>
<td>25%</td>
<td>30-Mar-15</td>
</tr>
<tr>
<td></td>
<td>Total Project Funding</td>
<td>$1,700,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Student Services - Copland - Access and Inclusion</td>
<td>Student Amenities Fee</td>
<td>$1,250,000</td>
<td>$1,250,000</td>
<td>$1,119,715</td>
<td>10.42%</td>
<td>95%</td>
<td>29-Aug-14</td>
</tr>
<tr>
<td>CAP - Coombs ARC &quot;Centre of Excellence&quot; fitout</td>
<td>CAP ISF &amp; Capital Renewal Funds</td>
<td>$935,000</td>
<td>$935,000</td>
<td>$776,154</td>
<td>16.99%</td>
<td>30%</td>
<td>30-Sep-14</td>
</tr>
<tr>
<td>Hugh Ennor Façade Replacement</td>
<td>Capital Renewal Fund balances on buildings occupied by JCSMR</td>
<td>$1,000,000</td>
<td>$1,000,000</td>
<td>$925,774</td>
<td>7.42%</td>
<td>25%</td>
<td>15-Dec-14</td>
</tr>
<tr>
<td></td>
<td>Colleges of Science Project Savings</td>
<td>$6,643,642</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>APHcri</td>
<td>$150,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>College of Medicine Biology &amp; Medicine Strategic Fund</td>
<td>$44,879</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>College of Medicine Biology &amp; Medicine ISF Capital Funds</td>
<td>$2,489,472</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Colleges of Science Joint Programs ISF Capital Funds</td>
<td>$3,272,007</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Building Infrastructure Fund</td>
<td>$5,000,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>CMP II Loan</td>
<td>$2,900,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>CMP I Loan</td>
<td>$5,000,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Total Project Funding</td>
<td>$25,500,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Mt Stromlo-RSAA Directors Residence Restoration</td>
<td>Dept of Environment</td>
<td>$497,000</td>
<td>$944,000</td>
<td>$984,000</td>
<td>20.24%</td>
<td>70%</td>
<td>31-Dec-14</td>
</tr>
<tr>
<td></td>
<td>Building Infrastructure Fund</td>
<td>$497,000</td>
<td>$201,182</td>
<td>$984,000</td>
<td>20.24%</td>
<td>70%</td>
<td>31-Dec-14</td>
</tr>
<tr>
<td></td>
<td>Total Project Funding</td>
<td>$994,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>SSO Water treatment Upgrade</td>
<td>Building Infrastructure Fund</td>
<td>$600,000</td>
<td>$600,000</td>
<td>$51,142</td>
<td>91.48%</td>
<td>95%</td>
<td>31-Dec-15</td>
</tr>
<tr>
<td>Hancock West - ITS refurbishment and move</td>
<td>CMP I Loan</td>
<td>$11,700,000</td>
<td>$11,700,000</td>
<td>$11,525,308</td>
<td>1.49%</td>
<td>30%</td>
<td>30-Jun-15</td>
</tr>
<tr>
<td>SSO Fire Recovery works program including discrete sub-projects (sub-total)</td>
<td>Insurance Claim</td>
<td>$11,840,000</td>
<td>$11,840,000</td>
<td>$10,610,970</td>
<td>10.38%</td>
<td>5%</td>
<td>1-Jan-16</td>
</tr>
<tr>
<td>College of Engineering &amp; Computer Science</td>
<td>College of Engineering &amp; Computer Science Funding</td>
<td>$4,000,000</td>
<td>$8,000,000</td>
<td>$7,859,010</td>
<td>1.76%</td>
<td>5%</td>
<td>1-Jun-15</td>
</tr>
<tr>
<td>Craig Building Refurbishment</td>
<td>CMP I Loan</td>
<td>$4,000,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Total Project Funding</td>
<td>$8,000,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Research School of Social Sciences Building</td>
<td>Major Capital Works Fund</td>
<td>$50,000,000</td>
<td>$50,000,000</td>
<td>$50,000,000</td>
<td>0.00%</td>
<td>0%</td>
<td>2015/2016</td>
</tr>
<tr>
<td>College of Engineering &amp; Computer Science &amp; Mathematical Science Institute Co-location to New Building</td>
<td>Major Capital Works Fund</td>
<td>$24,000,000</td>
<td>$24,000,000</td>
<td>$24,000,000</td>
<td>0.00%</td>
<td>0%</td>
<td>2017</td>
</tr>
<tr>
<td>Physics Building Stage 1 Project</td>
<td>Major Capital Works Fund</td>
<td>$50,000,000</td>
<td>$50,000,000</td>
<td>$50,000,000</td>
<td>0.00%</td>
<td>0%</td>
<td>2018/2019</td>
</tr>
<tr>
<td>Research School of Biology Robertson Building Refurbishment</td>
<td>Major Capital Works Fund</td>
<td>$24,000,000</td>
<td>$24,000,000</td>
<td>$24,000,000</td>
<td>0.00%</td>
<td>0%</td>
<td>2020</td>
</tr>
<tr>
<td><strong>GRAND TOTAL</strong></td>
<td></td>
<td>$215,949,000</td>
<td>$10,704,673</td>
<td>$205,445,510</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
20 REARRANGEMENT OF FINANCE FUNCTION WITHIN THE UNIVERSITY

PURPOSE
To note the planned implementation of a Financial Shared Services Centre to process transactional-based finance functions within ANU.

PREPARED BY
Program Manager, Service Improvement Group

REVIEWED BY
Chief Financial Officer

APPROVED BY
Chief Financial Officer

SPONSOR
Executive Director (Administration and Planning)

RECOMMENDATION
That Council note the planned implementation of a Financial Shared Services Centre to process transactional-based finance functions within ANU.

ACTION REQUIRED
For discussion ☑ For decision ☐ For information ☑

SUMMARY
The ‘ANU by 2020’ Strategic Plan outlines improved administration to produce a more ‘effective organisation’ to support the University’s core business of research and teaching as one of its key objectives. This combined with the proposed tertiary education sector reforms and cuts to Government funding increase pressure on the University to delivery better services at a lower cost.

This strategic objective and funding challenges along with the future state of the University’s administrative functions were a key theme at the 2014 Senior Management Group retreat held in July. The HR, Research and Finance functions were the subject of more detailed analysis and discussion utilising Uniforum benchmarking data, internal administrative survey results and work done by the Service Improvement Group in defining transactional and strategic functions in each area. The outcome of these discussions was an agreement to implement a Financial Shared Services Centre (FSSC), consolidating transactional based finance activities.

Key stakeholders from Colleges and Service Divisions attended a Future Finance Function Workshop in August with the aim of establishing some high level terms of reference to facilitate the formation of a project team dedicated to the implementation of the initiative. This included deriving a common list of activities that will form the scope of the centre’s operations, establishing high level timing around the transition and cataloguing future systems improvements necessary to assist implementation and increase efficiency of the centre.

RATIONALE FOR CHANGE
The structure of the Finance Function currently mirrors the legacy federated structure of the University of autonomous Academic Colleges supported by relatively small central administrative divisions.

This devolved federated model leads to a number of challenges and inefficiencies, including:

- Duplication of effort and resources.
- Divergence of processes and systems.
- Lack of automation.
- Too much effort in relation to transactional detail and inadequate focus on business partnering and value add initiatives for Colleges and Schools.
• An inability to leverage better arrangements with suppliers.
• Inconsistent internal controls.
• Increased difficulty in cash flow forecasting.

The decision to implement a shared services centre for financial operations and transactional processing, addresses the need to deliver more effective and efficient services in an increasingly competitive economic environment. The initiative is designed to realise a number of benefits for the University including:

• Improved efficiencies and reduced cost.
• Consistent processes, systems and internal controls.
• Increased visibility and ability to drive improved compliance.
• Higher and more consistent levels of service.
• Enhanced focus on business partnering and strategic finance activities.
• Economies of scale, allowing greater influence with suppliers.
• Establishing a platform for future cost and efficiency enhancements.
• Establishing a hub for potential further consolidation of shared administrative activity.

Simplification and standardisation of process will achieve economies of scale, reduce headcount and improve service delivery. Further investment in automated solutions such as e-procurement, accounts receivable workflows and online smart forms will also play a part in fully realising these benefits.

SCOPE

Factors critical to the successful implementation of Shared Services include:

• Support and sponsorship from the senior executive.
• A clear process owner to ensure success of the simplification and standardisation agenda.
• Early engagement of stakeholders.
• Strong change management and transition skills.
• A rigorous and robust approach to project management.
• Standardised and streamlined end to end business processes.

With this in mind the support and sponsorship of the Senior Executive was achieved with their endorsement of the initiative at the 2014 Senior Management Group Meeting on 7 July.

The initial workshop with key stakeholders from Colleges and Service Divisions identified the scope for the project. This included establishment of broad terms of reference around the definition of activities that will be part of the centre’s operations; establishing high level timing around the transition and a catalogue of future systems improvements necessary to assist implementation and increase the efficiency of the centre.

Recruitment processes are currently underway to identify a project manager to oversee the initiative and also to fill a vacant Associate Director position in the central Finance and Business Services team (F&BS). The Associate Director will be the business owner for the FSSC including initial implementation and ongoing management.

Detailed scoping, timeframes and governance structures will be finalised once the project team is in place. Indicative timing is for implementation to commence mid-2015. The detailed scoping of the project will be informed by data and analysis on the current state of the Finance Function and output from the Future Finance Function planning workshop, details of which are outlined below.
FINANCE FUNCTION CURRENT STATE

Uniforum benchmarking data highlights the need to reform financial transactional service delivery at the ANU.

Figure 1 highlights that approximately 65% of total ANU finance spend is on transactional related activity. Of this transactional activity 48% of headcount is located within the Colleges and Schools (Figure 2).

Colleges have more wFTE invested in transactional activity rather than strategic, business analysis and value add activity.

Figure 4 indicates that most Colleges also have transactional activity occurring at both the College and School level, creating further duplication of effort, increased cost and the potential for inconsistent processes.

PART 5 – OTHER MATTERS FOR NOTING
OUTCOMES OF FINANCE FUNCTION WORKSHOP

The outcomes of the workshop provided guidance in determining the more detailed scope of the project. As a first step the workshop participants agreed that the following list of finance activities should be considered for incorporation into the shared services arrangement. The verification, prioritisation and phasing of these activities will be determined as part of the detailed project implementation.

<table>
<thead>
<tr>
<th>#</th>
<th>Common Financial Transactional Activity</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Procure to Pay Process</td>
</tr>
<tr>
<td></td>
<td>• AP Workflow.</td>
</tr>
<tr>
<td></td>
<td>• Vendor management/relationship.</td>
</tr>
<tr>
<td></td>
<td>• Requisitions/Purchase Orders.</td>
</tr>
<tr>
<td></td>
<td>• Advances - processing and reconciliation.</td>
</tr>
<tr>
<td></td>
<td>• Reimbursements.</td>
</tr>
<tr>
<td></td>
<td>• Petty Cash Reimbursements.</td>
</tr>
<tr>
<td>2</td>
<td>Credit card management</td>
</tr>
<tr>
<td></td>
<td>• Processing transactions.</td>
</tr>
<tr>
<td></td>
<td>• Follow up of uncleared transactions.</td>
</tr>
<tr>
<td>3</td>
<td>FBT (pack/declaration).</td>
</tr>
<tr>
<td>4</td>
<td>Travel Processing.</td>
</tr>
<tr>
<td>5</td>
<td>Accounts Receivable</td>
</tr>
<tr>
<td></td>
<td>• Invoice processing.</td>
</tr>
<tr>
<td></td>
<td>• Debtor management.</td>
</tr>
<tr>
<td></td>
<td>• Customer management / relationship.</td>
</tr>
<tr>
<td></td>
<td>• Credit notes.</td>
</tr>
<tr>
<td>6</td>
<td>Receipting</td>
</tr>
<tr>
<td></td>
<td>• Cash points.</td>
</tr>
<tr>
<td></td>
<td>• Conference administration.</td>
</tr>
<tr>
<td>7</td>
<td>Asset Management (creation, transfer, disposal, stocktaking, inventory).</td>
</tr>
<tr>
<td>8</td>
<td>Batch journals (post centrally, review locally).</td>
</tr>
<tr>
<td>9</td>
<td>Financial Management Reporting (eg; CI Reporting and other regular reporting).</td>
</tr>
<tr>
<td>10</td>
<td>Budget uploads and review.</td>
</tr>
<tr>
<td>11</td>
<td>ARIES updating (eg; post award budget updates local, financial milestones central).</td>
</tr>
<tr>
<td>12</td>
<td>Service charges.</td>
</tr>
</tbody>
</table>

Figure 4: Proportion of College transactional activity occurring in Schools

Most Colleges have transactional activity occurring at both the College and the School level.
In addition to compiling an indicative scope for the FSSC, participants also identified a number of further system enhancements and process automation steps that are associated with achieving the full benefit of the centralisation. Progress has been made in this regard over the last 12 months with the implementation of accounts payable workflow to automate the approval and processing of supplier payments. Future process enhancements identified to streamline, standardise and automate include:

- Accounts receivable.
- Purchase cards and reimbursement.
- Travel.
- Procurement requisitions.

It is inevitable that a project of this scale and complexity will have associated with it a number of challenges and risks. The Finance Function workshop identified the following issues to be addressed as the project is scoped in more detail.

<table>
<thead>
<tr>
<th>Type</th>
<th>Challenge / Risk</th>
</tr>
</thead>
<tbody>
<tr>
<td>Strategic</td>
<td>▪ Complex environment due to the nature of academic endeavour.</td>
</tr>
<tr>
<td></td>
<td>▪ Executive support / mandate.</td>
</tr>
<tr>
<td></td>
<td>▪ Scope definition.</td>
</tr>
<tr>
<td></td>
<td>▪ Achieving buy in / reputation.</td>
</tr>
<tr>
<td></td>
<td>▪ Timing.</td>
</tr>
<tr>
<td></td>
<td>▪ Project prioritisation.</td>
</tr>
<tr>
<td></td>
<td>▪ Benefits realisation and measurement.</td>
</tr>
<tr>
<td>People</td>
<td>▪ Resources (funding/skillset).</td>
</tr>
<tr>
<td></td>
<td>▪ Staff development / training.</td>
</tr>
<tr>
<td></td>
<td>▪ Culture.</td>
</tr>
<tr>
<td></td>
<td>▪ Communication.</td>
</tr>
<tr>
<td></td>
<td>▪ Change Management.</td>
</tr>
<tr>
<td>Systems</td>
<td>▪ System – Underlying technology and system integration.</td>
</tr>
<tr>
<td></td>
<td>▪ Shadow systems.</td>
</tr>
<tr>
<td>Process</td>
<td>▪ Process ownership.</td>
</tr>
<tr>
<td></td>
<td>▪ Review of policies, procedures and guidelines.</td>
</tr>
<tr>
<td></td>
<td>▪ Divergent current state processes in Colleges and Schools.</td>
</tr>
</tbody>
</table>

As outlined above, detailed scoping, timeframes and governance structures will be finalised once the project team is in place. In the interim the CFO will focus on the following next steps:

- Recruit to vacant Associate Director role in F&BS who will become business owner for the FSSC.
- Identify project lead to manage detailed scoping and implementation.
- Identify potential options for location of FSSC.
21 ACADEMIC BOARD REPORT

<table>
<thead>
<tr>
<th>PURPOSE</th>
<th>To consider the report from the Academic Board.</th>
</tr>
</thead>
<tbody>
<tr>
<td>PREPARED BY</td>
<td>Corporate Governance and Risk Office</td>
</tr>
<tr>
<td>REVIEWED BY</td>
<td>Chair, Academic Board</td>
</tr>
<tr>
<td>APPROVED BY</td>
<td>Vice-Chancellor</td>
</tr>
<tr>
<td>SPONSOR</td>
<td>Vice-Chancellor</td>
</tr>
</tbody>
</table>

**RECOMMENDATION**

| That Council note the report from the meeting of the Academic Board held on 1 August 2014. |

**ACTION REQUIRED**

- For discussion
- For decision
- For information

**ATTACHMENT**

- 21.1 Academic Board Report 1 August 2014 (1045/2014).
ACADEMIC BOARD

Meeting No. 4/2014 of the Academic Board was held on Friday 1 August 2014 at 9.30 am in the RC Mills Room, Chancelry.

Present: Professor Glasgow (in the Chair), Professor Young, Professor Hughes-Warrington, Professor Cardew-Hall, Dr Milnes, Mr Erickson, Prof Makkai, Professor Taylor, Professor Cuevas, Professor Rothwell (Alt), Professor van Leeuwen (Alt), Professor Coulhon, Professor Dovers, Professor Raymer, Associate Professor Ferris, Associate Professor Ganguly, Professor Powers, Professor Farquer, Professor Pitchford, Associate Professor van der Eng, Associate Professor Strazdins, Associate Professor Tamsitt, Dr Fahrer, Professor Lindesay, Dr Orthia, Professor Da Costa (Alt), Ms Veness, Ms Apps, Mr Niles, Mr Wilson and Professor Dodson.

Observers: Ms Gouldthorp, Mr Heath, Mr Holland, Mr Johnson, Ms Angel, Dr Gustavson.

Apologies: Professor Harding, Associate Professor Gani, Professor Elliott, Dr Lithander, Professor Cribb, Professor Baker, Professor Bottomley, Professor Pickering Professor Kirk, Professor Renz and Professor Kewley.

In Attendance: Ms Easton

Unconfirmed Minutes

Part 1 – Procedural Items

Item 1 Apologies and Announcements

1.1 Apologies

The apologies recorded above were received.

1.2 Announcements

The Chair welcomed Professor Veronica Taylor, Dean ANU College of Business and Economics and Dr Stephen Milnes Acting Director, Student Life to the Board.

Resolution

The Academic Board approved Professor Makkai as the acting Deputy Chair for this meeting.

Item 2 Conduct of Academic Board Members

Resolution

The Academic Board resolved to note the information on conduct of members under the Public Governance, Performance & Accountability Act 2013

Item 3 Starred Items

The starred items were: 1-14; 15-17; 19; 22; 41-45. The unstarred items were dealt with as proposed in the agenda.

Resolution

The Academic Board resolved to approve unstarred items.
Item 4 Minutes
Resolution
The Academic Board resolved to confirm the Minutes (820/2014) of meeting 3/2014 of the Academic Board held on 20 June 2014 as a true and accurate record.

Item 5 Matters Arising from the Minutes & Action Items
5.1 Steering Committee members
The Chair reported that the Steering Committee now includes; Ms Judy Apps, Professor Stephen Bottomley (as Deputy Chair in Prof Robert Cribb’s absence), Professor Lorraine Elliott, Associate Professor Denise Ferris, Associate Professor Peter Strazdins, Ms Deborah Veness and Dr Markus Winterberg. The Chair noted that the Group had a productive first meeting and expressed thanks to the members. The Chair on behalf of the Board expressed thanks to Prof Neil Fargher who has now stepped down from the Steering Committee.

5.2 Gender Balance on the Board
The Chair reported that under the Academic Board Operating Procedures the Chair of the Board, with the agreement of the Board, may appoint up to 5 additional members to provide a diversity of views if the Chair believes the current membership of the Board does not reflect the academic and cultural diversity of the University. The gender balance on the Board is currently approximately Female 35% and Male 65%. Board members were asked to nominate women who could contribute to the Board and twenty one nominees were suggested. The Chair noted that adding five females to the Board changes the ratios to approximately Female 42% and Male 58%
With the endorsement of the Steering Committee a short-list was compiled and the Chair requested that the Board endorse the appointment of the following new members:
1. Dr Parastoo Sadeghi, Research School of Engineering
2. Dr Anne Martin, Director Tjabal Centre
3. Dr Merryn McKinnon CPAS
4. Ms Di Stewart General Manager, Law
5. Ms Tania Willis, Deputy Director, Access, Inclusion and Wellbeing
Resolution
The Academic Board endorsed the five new appointments to the Board.

5.3 Report on Enrolments
The Chair noted that an updated report has been provided. On behalf of the Board the Chair expressed thanks to Richelle Hilton and the Planning and Performance Measurement team.

5.4 Digital Recording of lectures
The Chair noted that this issue will be discussed at University Education Committee in September. A paper on Digital Lecture Delivery (DLD) system status and Echo360 project was provided for noting.
Resolution
The Academic Board noted the current action items list (803a/2014) and updates on action items as reported above.

Item 6 Changes to the Academic Board & Committees Statute & Rules
The Chair gave a brief overview of the nature of the proposed changes to the ANU Academic Board Statute 2013 and ANU Academic Board & Committees Rules 2013. The Board discussed the proposed changes and it was noted that;
• There is no limit put on the ability of fixed term staff to be elected to a position, however in order to maintain a position on the Board a person would need to maintain their status as a member of ANU staff.
• There could in the future, potentially, be an issue with the requirement of senior indigenous representative, for example in the UEC Alternates which included “The Director of the Tjabal Indigenous Higher Education Centre provided that the alternate is a member of academic staff and is an indigenous person”. It was agreed that this requirement would remain at this time.
Resolution
The Academic Board endorsed the proposed changes to the ANU Academic Board Statute 2013 and ANU Academic Board & Committees Rules 2013, and recommend that the ANU Council approve new legislative instruments that reflect the changes.

Item 7 University Research Committee & University Education Committee
Membership
Professor Makkai assumed the Chair for this item. Professor Glasgow left the room for this item due to a potential conflict of interest.
The Board discussed the proposal to include the Dean of Medicine and Health Sciences being a category of membership of the University Education Committee and the University Research Committee. It was noted that this was not intended to set a precedent but that cases to expand the membership would be viewed on individual merits.
Resolution
The Academic Board endorsed the proposal to include the Dean of Medicine and Health Sciences being a category of membership of the University Education Committee and the University Research Committee, and recommend that the ANU Council approve amendments to the relevant legislative instruments to reflect the changes.
Professor Glasgow re-assumed the Chair at the conclusion of this item.

Item 8 Confidential Items
8.1 Admissions Incident Report
Observers were asked to leave the room while this confidential item was discussed.
The Deputy Vice-Chancellor (Academic) provided an overview of the incident. The Board noted that this may or may not have been the case where student was under impression that had made an offer to pathway program and that would allow them access to the higher degree research clinical program. This student gave up their job and relocated. Both the Dean of Students and Psychology dealt quickly with the issues as they were revealed. It was clear in the end that the student had formed that impression in their mind, however the University provided support and refund of monies. Subsequently, psychology have amended the program information and made it quite clear that there is not a pathway.
The DVC(A) has requested the Coursework Admissions and Awards Committee review the business process for dealing with admission incidents.
Resolution
The Academic Board approved the following recommendations:
1. To note the action of COS to clarify the Psychology entry on Programs and Courses
2. That the Admissions Office review the fees table in the coursework letter of offer for clarity by 30 June 2014
3. That the Admissions Office present a paper at CAAC 4/2014, outlining a proposed business process for notifying DVC(A) of Admissions incidents.

Part 2 - Information Flow

Item 9 Report from the Vice-Chancellor
The Vice-Chancellor provided an update on the federal budget deregulation debate and current research issues.
In relation to deregulation the Vice-Chancellor reported that;
- The Government Committees chaired by John Dewar and Peter Shergold have provided to government their advice in relation to the deregulation proposals. The government now has reports of both committees and is busy drafting legislation. At this stage we don't know when that will be presented to parliament.
- The Minister noted to the Vice-Chancellor that he had an expectation that the legislation would be introduced in August to the House of Representatives. The Vice-Chancellor commented to the Board that he would be not surprised if it didn’t make it to September.
It will be difficult for institutions if legislation isn’t resolved by the end of year to provide advice to students.

The Vice-Chancellor outlined the need to reform higher education funding, in a nationally-televised speech at the National Press Club in Canberra [http://vcdesk.anu.edu.au/2014/07/30/imaging-an-australia-built-on-the-brilliance-of-our-people/].

The Vice-Chancellor noted that the Group of Eight supports the concept of deregulation but not some elements of the proposal. Universities Australia now has a consensus view that they do not oppose deregulation.

The Vice-Chancellor then took questions from the Board. The Board queried what ‘do not oppose’ might mean. The Vice-Chancellor noted that the Go8 supports deregulation and Universities Australia “does not oppose deregulation”. However, both have reservations about details including the real rate of interest on HELP debts, the magnitude of the cut to Commonwealth Grant Scheme (CGS) funding and the cut to Research Training Scheme funding. Universities Australia oppose any cut to the commonwealth grant scheme.

Group of Eight’s view is that a 20% cut is significant, but they hold a realistic view that there will be some cut to the Commonwealth grant scheme. The Minister can at their discretion cut other elements like block grant schemes, and national institute grants. If no cuts are made to the commonwealth grant scheme then there could be cuts made in other areas.

The Board noted that in his recent speech the Vice-Chancellor mentioned a nimble fast moving university and queried whether this meant smaller. The Vice-Chancellor noted in many cases non Group of Eight universities are more nimble. In a deregulated environment there may be greater opportunities for an institution with nimble goes to governance structures, etc.

The Vice-Chancellor noted that it is possible that should there be deregulation many Group of Eight universities would decide that they would rather be smaller than they are. ANU would need to make a decision about what size is desirable and that is a future debate we would need to have as an institution.

The Board queries if the legislation goes ahead how soon it would apply. The government has proposed from February intake in 2016. This would mean that Year 12 students next year would be asking the University what fees would be.

In relation to research matters the Vice-Chancellor reported that:

- Australian Research Council future fellows were recently announced and it was good news for ANU. The number of successful ARC Future Fellowships Proposals for Funding from ANU was sixteen. [http://www.arc.gov.au/ncgp/futurefel/ft_outcomes.htm]
- The Vice-Chancellor noted that ANU performance in various world ranking tables continues to fluctuate. Thomas Reuters which supplied data to some rankings is changing the way they compile and report on citation data. There is a moved from total number of citations to highly cited. Very significant change has been noted between the two datasets – with only 35% in common in the data sets. This will impact on ANU.
- The Academic Ranking of World Universities (ARWU), published by Shanghai Jiao Tong University, will change but it is not yet clear how it will impact on ANU.
- Changes in ranking are bad for publicity. The Vice-Chancellor noted ANU should not be spooked by the ranking. As an institution we need to continue to strive for excellence and be strategic in research spend. The Vice-Chancellor will be discussing these issues further with Research School Directors.

The Board discussed university rankings and noted that they are problematic in many areas. Shanghai Jiao Tong in the humanities relies on 40% of the ranking based on perception of the institution. Success in grants scheme like future fellows often relies on national benefit of the work – but ranking scheme look at international perception. Thus there is also importance in having visitors to ANU and ANU academics being seen on the international stage.
Resolution
The Academic Board resolved to note the report and comments made in discussion.

Item 10 Report from the Deputy Vice-Chancellor (Academic)
The Deputy Vice-Chancellor (Academic) presented a verbal report, commenting on matters including:
- There have now been 75 members of the ANU community admitted to the ANU Educational Fellowship Scheme.
- 24 Tuckwell scholarships have been allocated this year. The Admission process has been refined and now includes a five minute phone call from ANU. The admissions process is look beyond just ATAR.
- Professor Sanjay Sarma Director of Digital Learning, MIT participated in the second ‘blow up the lecture’.
- The DVC(A) is expecting a report on learning commons that will be distributed to Deans. 15 spaces have been identified that are not fit to be used for teaching. Interesting to note that fewer than one fifth of class rooms are listed in the central room roster – the focus over the next year should be on classroom regeneration.

Resolution
The Academic Board resolved to note the report and comments made in discussion.

Item 11 Report from the Chair
Resolution
The Academic Board resolved to note the report.

Item 12 Approval by Executive Action
Resolution
The Academic Board noted the report on approvals by Executive Action by the Chair and endorsed the decisions taken.

Item 13 General Question Time
The Board did not discuss any issues under this agenda item.

Part 3 – Planning and Strategy

Item 14 Hot Topic: ‘On what basis would ANU give credit for MOOCs?’
The Deputy Vice-Chancellor (Academic) provided the Board with some background on EdX and MOOCs and the opportunity they provide for the institution to develop and play with different techniques. They allow the ability to provide pathways into university courses. For example within the Australian education system 40% of students do not have a qualified maths teacher, the students then need to up skill when they get to university. MooCS allow institutions to be active and get access earlier to things that we do well. EdX wants more introductory/preparatory courses.

The Board discussed: If ANU were to give credit for MOOCs, what would the parameters be? It was noted that MOOCs present an opportunity to introduce a program to a wide audience. For example if students are choosing actuarial studies based on the high ATAR a MOOC could provide an introduction to Actuarial Studies and what it is about.

In relation to credit the Board noted that MOOCs do not function like university courses, they could be viewed as more entertainment than education. There are difficulties in the assessment of students if you want to use them as pathways to bridge the gap between college and university. How could you provide assessment or feedback for MOOCs given the numbers of enrolments?

The Board noted that the readings provided in the agenda were interesting and asked if there was any data within the university community in terms of whether credit is being given at other institutions. The DVC(A) noted that Felicity Gouldthorp is writing a paper on this topic for the
Group of Eight. There are some institutions that will review cases for credit but there isn’t any with a clear schedule of credit published.

The Board noted that perhaps credit towards admission would be easier to address than course credit. If students can demonstrate capability we could look at assessing that and admitting them. Perhaps computer marked examinations in the style of large scale SAT’s? Or could students be given an opportunity to demonstrate after a MOOC that they could pass a first year examination?

The Board discussed the merit in MOOCs, if you can do everything online then why are we here? It was noted that MIT have MOOCs but they are complimentary to what they are doing in the institution.

If MOOCs were to count towards programs then shouldn’t they meet normal quality standards and go thru normal assessment process? In terms of research led education MOOCs bring liveliness into the class room.

The Board noted that MOOCs allow a wide audience engagement with the University. Consideration of admissions credit for MOOCs has the potential to increase access and equity pools.

The DVC(A) thanked Board members for their comments and noted further discussions on this topic will be reported back via the Board and UEC.

Note: In relation to Hot Topics the Chair advised the Board that Indigenous Engagement had to be delayed from this meeting. The Chair proposed to the Board that for the next meeting there be two Hot Topics- Indigenous Engagement and Mobility. A time limit will be set on discussions to allow both topics to be explored.

Resolution
The Academic Board endorsed discussion of two Hot Topics at the September meeting.

Part 4 – Academic Standards and Quality

Item 15 Academic Calendar 2017
Professor Makkai assumed the Chair for this item. Prof Glasgow requested that the Calendar include a note that the ANU Medical School operates on a different timetable. The Registrar noted that the Calendar will updated to include a scope statement so it is clear where there are exemptions to the timetable.

Resolution
The Academic Board:
1. Endorsed the IT dates for the 2015 teaching year.
2. Endorsed the proposed Academic Calendar for 2017.
3. Noted that a statement of scope will be added to the published dates.

Item 16 Double master degrees
The DVC(A) reported that after the development of flexible doubles, questions were raised about flexible masters. The paper is proposing to put in place infrastructure that is easier to negotiate both with international partners and within the institution.

Resolution
The Academic Board approved the following recommendations:
1. That ANU further develop the concept of double degree masters, particularly for international partners, but within a framework that would allow for internal ANU double degrees if desired.
2. That the DDPMG be reconstituted and prepare a proposed model for UEC 6/2014, particularly focusing on international partnerships.
3. That the marketing feedback be incorporated into future marketing campaigns for double degrees.
Item 17 University Education IT projects
The Board noted the list of Education IT Projects and noted that all of them seemed worthwhile and likely to reduce manual effort. The DVC(A) noted that the full list of projects would be forwarded to University Information and Communications Technology Governance Committee and the ANU Service Improvement Group but IT resourcing would mean that they could not all be undertaken within the next 12 months.

Resolution
The Academic Board:
1. endorsed for transmission to the University Information and Communications and Technology Committee (UICT) the top five agreed priorities on key education IT projects.
2. noted the ranked institutional list of agreed priorities on key education IT projects.

Item 18 Publication of 2015 guaranteed ATAR cut-offs for domestic undergraduates
Resolution
The Academic Board approved the guaranteed ATAR cut-offs for semester 1, 2015

Item 19 Audit of low enrolment courses 2013
The Board noted that the ANU College of Arts and Social Sciences had requested the following amendments at University Education Committee;

- HIST6022 is to be moved from “disestablish” to “retain for national strategic importance”
- Courses identified for disestablishment: CASS has already disestablished 93 of the 156 [excluding HIST6022]; many of the others cannot be disestablished immediately, for example courses needed to teach out disestablished programs; or thesis courses to be replaced with the new College-level Masters (Advanced) course as that change doesn’t take effect until 01 Jan 2015. CASS will, instead of immediate disestablishment, provide UEC with a timetable for disestablishment of these courses.

Resolution
The Academic Board approved the following recommendations:
1. That the courses indicated in Appendix 19A be disestablished with immediate effect via a streamlined process agreed with the Division of Student Administration* (DSA);
2. That course review outcomes be reported by Colleges to UEC by no later than the deadlines for meeting 6/2014.
3. That the Chair advise the Vice Chancellor and the Senior Management Group on the rationale and process for requesting micro-load levy exemptions for 2014 courses, as listed in Appendix 19B.
*DSA to liaise with ANU College of Arts and Social Sciences and obtain updated documentation and timeline details prior to any action

Item 20 Direct Entry Pilot Scheme for Tuckwell applicants: The National Scholars Program launch
Resolution
The Academic Board approved a pilot direct entry scheme for the Tuckwell applicants shortlisted from stage 1; and
1. The pilot group would comprise applicants who were shortlisted from Stage 1 Tuckwell applications.
2. Their Tuckwell application will form the basis of their study application. Offers will be issued outside of UAC
3. Applicants will be individually interviewed on the phone by staff, alumni and student ambassadors who are provided with appropriate training and script
4. Offers would be made as submitted through the Tuckwell application plus additional qualitative assessment.

Item 21 Bonus Point Scheme

Item 21.1 National Access Scheme (Bonus Points) analysis for entry in 2014
Resolution
The Academic Board approved the following recommendations:
1. The continuation of the National Access Scheme for entry in 2015 – 2016, with review of academic progress for all students who have received bonus points to be undertaken by mid 2015.
2. That the ANU College of Law will be provided with the list of students who received bonus points and are encouraged to monitor academic progress for this cohort against the cohort who did not receive bonus points.
3. That modelling on a Law ATAR of 97 (including modelling on preference behaviour) will be undertaken by the Planning and Performance Measurement division by Friday 20 June 2014 to inform the final decision on the guaranteed cut-offs for 2015.

**Item 21.2 CECS Bonus Point scheme**

**Resolution**
The Academic Board approved the following recommendations:
1. That the following forced offer scheme be implemented for 2015.
   a. That two (2) bonus points be available to applicants for the single and double degrees of Bachelor of Engineering (Research and Development)(Hons) and Bachelor of Advanced Computing (Research and Development)(Hons). The bonus points would be awarded for outstanding performance in relevant subjects as follows:
      - 180 or above scaled score in a double major in ACT Specialist Maths (or equivalent);
      - 180 or above for a major in ACT Physics (or equivalent);
      - 180 or above for a major (or double major) in a computing subject (or equivalent).
   b. That three (3) bonus points be available for completion of a major in a computing subject with a scaled score of 142 or above (or equivalent).
2. That CECS would put forward a case showing why computing subjects should be included in the National Access Scheme, including modelling from 2014 UAC data (including modelling on preference behaviour) showing the effects of such an inclusion.

**Item 22 Response to graduation survey**
The DVC(A) noted that the paper is asking for advice on the order of graduation proceeding. Board members are asked to consider the matter and provide feedback to the DVC(A) and the Registrar by 22 August so that feedback can be collated and discussed at the September Academic Board.

**Resolution**
The Academic Board:
1. noted the actions taken for July 2014 implementation; and
2. discussed the order of ceremony, primarily whether HDR graduands cross the stage at the start or end of a ceremony.

**Action**
Comments on the order of ceremony, primarily whether HDR graduands cross the stage at the start or end of a ceremony should be forwarded to Megan.Easton@anu.edu.au by 22 August 2014.

**Item 23 Direct Entry Pilot Scheme for the International Baccalaureate (IB)**

**Resolution**
The Academic Board approved a pilot early entry scheme for the international baccalaureate under the following provisions:
1. The pilot group would comprise domestic and international applicants from select on-shore IB programs.
2. Applications would be made through UAC as per standard application process.
3. Offers would be made based on predicted results provided directly to the University by IBIS.

**Item 24 Conditional Electronic Confirmation of Enrolments**

**Resolution**
The Academic Board approved the following recommendations:
1. Approval of the use of conditional eCOEs, with a review date set for CAAC of not later than meeting 3/2015.
2. That an annual review is conducted on conditional eCoEs and reported to CAAC.
3. That countries of strategic importance will be added, if required, as a part of the annual review process.
Item 25  Hobsons Customer Relationship Management System (CRMS) – Prospective Students Enquiry Management
Resolution
The Academic Board noted the report on Hobsons as the University’s Prospective Enquiry Management provider.

Item 26  Indigenous Access Pathways
Resolution
The Academic Board approved the following recommendations which reflect the objectives for Indigenous Higher Education and note the updated ANU Indigenous Pathways program:
1. That ANUPrep is developed and offered as a Diploma from 2015;
2. That identified places are set aside for Indigenous participants in both the ANUPrep/Diploma;
3. Upon completion of 1 FTE of study in the diploma and where the student maintains a GPA of 5 or higher in ANU courses, students will be able to apply to articulate into the bachelor degree appropriate for the AD specialisation;
4. Upon completion of 1 FTE of study in the diploma and where the student maintains a GPA of 3.5-4.9 in ANU courses, students will be able to apply to articulate into the associate degree and given priority placement;
5. Upon successful completion of the associate degree, students will be offered direct entry to the bachelor's degree program appropriate for the AD specialisation;
6. College based support mechanisms that support the Tjabal Centre’s Indigenous engagement and recruitment strategy will be developed.

Item 27  Report on the UAC Common Assessment Procedures Subcommittee Meeting
Resolution
The Academic Board approved the following recommendations:
1. Adopting the revised schedules S5070-72 for the American College Test (ACT) and Advanced Placement subjects.
3. Adopting the revised schedule S9423 for the Indian School Certificate.
6. Adopting the new schedule for the Greek Access Certificate.
7. Adopting the new schedule for the Nepalese Higher Secondary Education Certificate.
This assessment may be subject to change depending on adoption by other Go8s, and that in the case of any changes, these will be brought back to CAAC for endorsement or noting (if time does not permit endorsement).

Item 28  UAC Strategy for 2015
Resolution
The Academic Board approved the 2015 offer round strategy and note that the final document should be distributed to Deans, General Managers and Associate Deans (Education) once approved.

Item 29  Responding to student feedback: Student Barometer feedback on Welcome and Orientation 2013; and 2014 Orientation Week feedback
Resolution
The Academic Board approved the following recommendations:
1. Note the 2013 Student Barometer topic paper: welcome and orientation
2. Note the ANU Orientation week semester 1, 2014 survey
3. Note the plan for action in response to the ISB feedback and ANU Orientation week survey.
4. Note that action will be taken to increase the response rate for the semester 1, 2015 ANU Orientation week survey.

Item 30  College Feedback and Recommendations on Changes to Research-Led Education Fellowship Scheme
Resolution
The Academic Board approved the following recommendations:
1. That the Research-Led Education Fellowship Scheme be modified to the 2014 grant round (for fellows commencing in 2015) to a scheme whereby an applicant from each College be awarded an ANU College Research-Led Education Fellowship valued at $15,000 and that:
a. Selection be centrally administered and awarded through the DVC(A) portfolio with the existing selection committee structure.
b. In the event that there is no nomination from a College/s, the Fellowships corresponding to those Colleges shall be awarded on a competitive basis with no College restrictions from amongst the pool of nominees not already awarded a College-based Fellowship, to a maximum of seven Fellowships in total.
c. The current provision for additional funding for a “Lead Fellow” will no longer operate.
d. Reporting requirements will be as for the existing scheme, however a copy of the Final Report will also be provided to the relevant College Dean.

Item 31  CECS Master (Advanced) Admission Requirements
Resolution
The Academic Board approved the paper describing the case for entry into the CECS Master of Computing (Advanced) degree by transfer only. Approval of this arrangement is for one year only.

Item 32  Articulation pathway for Republic Singapore students into ANU Bachelor of Music
Resolution
The Academic Board approved the following recommendation:
1. To note and endorse the articulation arrangement as proposed in Appendix 32A of the Agenda papers.

Item 33  Student Cohort Diversification Plan
Resolution
The Academic Board approved the following recommendations:
1. CBE and CECS continue to enhance their marketing plans to ensure diversification strategies are given a high priority and that in due course and when market conditions allow, approaches to managing enrolments in the Chinese market be considered.
2. To revise the admission requirements for applicants from the Top 10 Finance and Economics Universities in China, to align the requirements for programs in the Research School of Management, the Research School of Finance, Actuarial Studies and Applied Statistics and the Research School of Accounting and Business Information Systems with the Master of Financial Management and Master of Finance entrance requirements approved in 2013.
3. That this requirement is only approved for offers made before 31 December 2014 and a review of this requirement will be presented at CAAC 5/2014.
4. That a progress report would be delivered to CAAC at each meeting in 2014.

Item 34  Review of Forced Offers
Resolution
The Academic Board approved:
1. the report on the review of forced offers and recommend the continuation of the current process.
2. that the Admissions Office and the Planning and Performance Management Division should work together to improve reporting capabilities.

Item 35  Pathway Review: ANU Principals Recommendation Scheme
Resolution
The Academic Board approved the following recommendations:
1. Applications will be submitted via the new UAC application portal;
2. The Principals Recommendations Scheme is open to Indigenous Students, Students from Pacific Island backgrounds and students who are successful for bonus points under the Educational Access Scheme.
3. The Access and Inclusion Office and Student Experience and Career Development team will develop a support system program for these students and report back to CAAC5/2014 on progress.
Item 36 Pathway Review – Admissions Special Consideration Scheme
Resolution
The Academic Board noted the review of admissions Special Consideration and approved the following recommendations:
1. That applicants with less than 1 FTE of tertiary study be eligible for EAS bonus points.
2. That the current admissions Special Consideration form be updated so applicants with less than 1 FTE of tertiary study can apply directly to ANU for consideration under the EAS guidelines.

Item 37 CASS Master (Advanced) Admission Requirements
Resolution
The Academic Board approved the paper describing the case for entry into CASS Master (Advanced) degrees to be by transfer only. Approval of this arrangement is for one year only.

Part 5 – Policy Development
Item 38 Credit Policy
Resolution
The Academic Board endorsed for transmission to the Vice-Chancellor for approval an amendment to clause 4.1 of the Credit Policy.

Part 6 – Reports from Committees
Item 39 Report from University Education Committee
Resolution
The Academic Board noted the report from University Education Committee meeting no. 4/2014.

Item 40 Report from University Research Committee
Resolution
The Academic Board noted the report from University Research Committee meeting no. 3/2014.

Part 7 – Accreditation
Item 41 Minor changes to AQF Masters Degree Specification
Resolution
The Academic Board noted the minor changes made to the AQF Masters Degree Specification and that they do not impact upon the current ANU graduate coursework award framework.

Item 42 Undergraduate Coursework Awards

Item 42.1 Amendments to Undergraduate Coursework Awards
Resolution
The Board approved the amendments to Undergraduate Coursework Awards be approved and accredited as detailed below;
ANUCASS - Bachelor of Languages; BLANG (948/2014);
ANUCBE - Bachelor of Statistics; BSTAT (949/2014);
ANUCECS- Bachelor of Advanced Computing (Honours); AACOM (950/2014); Bachelor of Advanced Computing (Research and Development) (Honours); AACRD (951/2014);
ANUCMBE- Bachelor of Genetics; BGENE (746/2014); Bachelor of Medical Science; BMEDS (744a/2014).
Item 42.2 Amendments to Undergraduate Coursework Awards
Resolution
The Academic Board approved the disestablishment of the Diploma of Asia-Pacific Studies 2501 (952/2014).

Item 42.3 New Undergraduate Majors
Resolution
The Academic Board approved and accredited the following major as detailed below:
Biochemistry BCHM-MAJ (745a/2014).

Item 42.4 New Undergraduate Minors
Resolution
The Academic Board approved and accredited the following minor as detailed below:
Biology BIOL-MIN (743a/2014).

Item 42.5 Disestablishment of Undergraduate Specialisations
Resolution
The Academic Board approved that the following specialisation be disestablished as detailed below:
Advanced Performance APER-SPEC (953/2014).

Item 42.6 Diploma of Advanced Studies
Resolution
The Academic Board approved and accredited the Diploma of Advanced Studies (1038/2014).

Item 43 Graduate Coursework Awards

Item 43.1 Graduate Coursework Program Reviews
Resolution
The Academic Board approved the following graduate coursework programs be reaccredited as detailed below;
ANUCAP - Graduate Certificate in Teaching of Asia; 6506 (947/2014);
ANUCoL - Juris Doctor; 7330 (703a/2014).

Item 43.2 New Graduate Coursework Awards and Augmentations
Resolution
The Academic Board approved and accredited the following new Awards and Augmentations as detailed below;
ANUCoL - Master of Laws in Migration Law; NLLML (908a/2014).

Item 43.3 Amendments to Graduate Coursework Awards
ANU College of Law Graduate Diploma of Practice; DGDLP (720a/2014) decision on this item was deferred. This will be considered by University Education Committee out of session along with Master of Legal Practice (920a/2014).
Resolution
The Academic Board approved and accredited the amendments to Graduate Coursework Awards as detailed below;
ANUCBE - Master of Applied Finance; 7421XMAPFN (946/2014); Master of Actuarial Practice; 7420XMACTP (945/2014);
ANUCoL - Juris Doctor; MJD (702a/2014).

Item 43.4 Disestablishment of Graduate Coursework Awards
Resolution
The Academic Board approved the disestablishment of the Graduate Coursework Awards as detailed below;
ANUCAP - Graduate Diploma in Environmental Management and Development; 6805 (894/2014); Graduate Diploma in Public Administration; 6808 (894/2014); Graduate Certificate in Environmental Management and Development; 6904 (894/2014); Graduate Certificate in Public Administration; 6908 (894/2014); Graduate Certificate of National Security Policy; 6250 (894/2014); Graduate Diploma of International and Development Economics; 6830 (894/2014); Graduate Diploma of Environmental and Resource Economics; 6831 (894/2014); Graduate Certificate of International and Development Economics; 6832 (894/2014) Graduate Diploma of
International Affairs; 6815 (894/2014); Executive Master of Public Administration; 7809 (894/2014).
ANUCMBe: Master of Translational Medicine; 7633 (944/2014).

Item 43.5 New Graduate Specialisations
Resolution
The Academic Board approved and accredited the following Specialisations detailed below;
ANUCMBe: Leadership; LEAD-GSPC (905/2014); Entrepreneurship and Innovation; ENIN-
GSPC (937/2014).

Item 44 Higher Degree Research Programs

Item 44.1 HDR Program reviews
Resolution
The Academic Board approved and accredited the HDR program reviews as listed below;
1. Review of HDR CBE MPhil 8040 – 5 year accreditation (824/2014)
2. Review of HDR CBE PhD 9040 – 5 year accreditation (825/2014)
3. Review of HDR CECS MPhil 8070 – 5 year accreditation (826/2014)
4. Review of HDR CECS PhD 9070 – 5 year accreditation (827/2014)
5. Review of HDR JCoS MPhil Science 8060 – 4 year accreditation (828/2014)
6. Review of HDR JCoS MPhil 8065 Fenner School of Environment & Society – 5 year
   accreditation (829/2014)
7. Review of HDR JCoS MPhil 8066 Research School of Biology – 5 year accreditation
   (830/2014)
8. Review of HDR JCoS MPhil 8620 Research School of Chemistry – 4 year accreditation
   (831/2014)
9. Review of HDR JCoS MPhil 8640 Research School of Earth Sciences – 4 year accreditation
   (832/2014)
10. Review of HDR JCoS MPhil 8650 Mathematical Sciences Institute – 5 year accreditation
    (833/2014)
11. Review of HDR JCoS MPhil 8670 Research School of Astronomy & Astrophysics – 5 year
    accreditation (834/2014)
12. Review of HDR JCoS MPhil 8680 Research School of Physics and Engineering – 5 year
    accreditation (835/2014)
13. Review of HDR JCoS MPhil 8710 John Curtin School of Medical Research – 5 year
    accreditation (836/2014)
15. Review of HDR JCoS MPhil 8722 NCEPH, Institute of Population Health – 5 year
    accreditation (838/2014)
17. Review of HDR JCoS MPhil 8725 APHCR Institute of Population Health – 4 year
    accreditation (840/2014)
18. Review of HDR JCoS MPhil 8726 ACERH Institute of Population Health – 5 year accreditation
    (1001/2014)
    (1002/2014)
20. Review of HDR JCoS MPhil 8740 CRAHW Institute of Population Health – 5 year accreditation
    (1003/2014)
21. Review of HDR JCoS MPhil 8910 Medical School – 5 year accreditation (1004/2014)
22. Review of HDR JCoS PhD 9060 Science – 4 year accreditation (1005/2014)
23. Review of HDR JCoS PhD 9062 ANU Colleges of Science – 3 year accreditation
    (1006/2014)
24. Review of HDR JCoS Doctor of Psychology (Clinical) 9063 – 5 year accreditation
    (1007/2014)
    accreditation (1009/2014)
27. Review of HDR JCoS PhD 9066 Research School of Biology – 5 year accreditation
    (1010/2014)
29. Review of HDR JCOS PhD 9620 Research School of Chemistry – 4 year accreditation
    (1012/2014)
30. Review of HDR JCoS PhD 9640 Research School of Earth Sciences – 4 year accreditation (1013/2014)
32. Review of HDR PhD 9670 Research School of Astronomy & Astrophysics – 5 year accreditation (1015/2014)
33. Review of HDR JCoS PhD 9680 PhD Research School of Physics & Engineering – 5 year accreditation (1016/2014)
34. Review of HDR JCoS PhD 9710 John Curtin School of Medical Research – 5 year accreditation (1017/2014)
35. Review of HDR JCoS PhD 9722 NCEPH Institute of Population Health – 5 year (1018/2014)
36. Review of HDR JCoS PhD 9723 Psychology – 4 year accreditation (1019/2014)
41. Review of HDR JCoS PhD 9910 Medical School – 4 year accreditation (1024/2014)

Part 8 – Other Business

Item 45 Any Other Business
The Board discussed how communication channels can be enhanced between Board Members and the broad groups of staff that they represent. The Board discussed ways of disseminating information and agreed that prior to Board meetings an all staff email should go out from the Chair advising of upcoming Board discussions, highlighting the Hot Topic and directing staff on how to contact their representatives. It was suggested that the Steering Committee would be a good vehicle for identifying issues that should be highlighted.

The Board discussed the publication of agenda papers on the ANU web site but noted that this was problematic due to the lack of an intranet. The Chair and secretariat will investigate means of wider dissemination of information.

Action
The Chair and secretariat of the Board will develop a process for communication of information about the Board to all staff of the University

MTE, 06/08/14
22  2014 WORKPLACE GENDER EQUALITY AGENCY ANNUAL REPORT

PURPOSE
To note the 2014 Workplace Gender Equality Agency (WGEA) annual compliance report and the Notice of Compliance issued to the University by WGEA.

PREPARED BY
Workforce Planning and Organisational Change, Human Resources Division

REVIEWED BY
Acting Director, Human Resources

APPROVED BY
Vice-Chancellor

RECOMMENDATION
That the Council note the University’s annual compliance report submitted to the Workplace Gender Equality Agency (WGEA) and the Notice of Compliance with the *Workplace Gender Equality Act 2012*.

ACTION REQUIRED
For discussion ☐  For decision ☐  For information ☑

BACKGROUND
In accordance with the reporting requirements of the *Workplace Gender Equality Act 2012* (‘the Act’), the Australian National University lodged its annual compliance report with the Workplace Gender Equality Agency (WGEA) on 29 July 2014.

The public version of the report is to be made available to all employees, employee organisations with members in the workplace and an organisation’s governing body under the notification and access requirements of the Act.

A copy of the University’s 2014 WGEA public report is in Attachment 22.1.

Due to a significant increase in the reporting requirements for the 2013-2014 reporting year, a report companion to guide stakeholders through the report was prepared and is attached as Attachment 22.2.

The Workplace Gender Equality Agency issues reporting organisations with a Notice of Compliance with the Act twenty eight (28) days after the report submission. Reporting organisations will require this Notice of Compliance if they wish to buy goods and services from, or enter into a contract with, the Australian Government. The University’s Notice of Compliance issued on 26 August 2014 is attached in Attachment 22.3.

Further information is available on the Workplace Gender Equality Agency’s website at: [https://www.wgea.gov.au](https://www.wgea.gov.au).

ATTACHMENTS
22.2. WGEA Report Companion
22.3. WGEA Notice of Compliance with the Workplace Gender Equality Act 2012
2013-14 public report form submitted by Australian National University to the Workplace Gender Equality Agency

Organisation and contact details

<table>
<thead>
<tr>
<th>Organisation registration</th>
<th>Legal name</th>
<th>Australian National University</th>
</tr>
</thead>
<tbody>
<tr>
<td>ABN</td>
<td>52234063906</td>
<td></td>
</tr>
<tr>
<td>ANZSIC</td>
<td>8102 Higher Education</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Organisation details</th>
<th>Trading name/s</th>
<th>The Australian National University</th>
</tr>
</thead>
<tbody>
<tr>
<td>Postal address</td>
<td>ANU ACT 0200</td>
<td>AUSTRALIA</td>
</tr>
<tr>
<td>Organisation phone number</td>
<td>0261252385</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Reporting structure</th>
<th>Number of employees covered in this report submission</th>
<th>5310</th>
</tr>
</thead>
<tbody>
<tr>
<td>Other organisations reported on in this report</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Reporting contact</th>
<th><a href="mailto:director.hr@anu.edu.au">director.hr@anu.edu.au</a></th>
</tr>
</thead>
</table>
### Workplace Profile

#### Manager

<table>
<thead>
<tr>
<th>Manager occupational categories</th>
<th>Reporting level to CEO</th>
<th>Employment status</th>
<th>No. of employees</th>
<th>F</th>
<th>M</th>
<th>Total employees</th>
</tr>
</thead>
<tbody>
<tr>
<td>CEO/Head of Business in Australia</td>
<td>0</td>
<td>Full-time permanent</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Full-time contract</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Part-time permanent</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Part-time contract</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Casual</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>-1</td>
<td>Full-time permanent</td>
<td>5</td>
<td>5</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Full-time contract</td>
<td>7</td>
<td>4</td>
<td>3</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Part-time permanent</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Part-time contract</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Casual</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>-2</td>
<td>Full-time permanent</td>
<td>3</td>
<td>2</td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Full-time contract</td>
<td>12</td>
<td>6</td>
<td>6</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Part-time permanent</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Part-time contract</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Casual</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Other executives/General managers</td>
<td>-2</td>
<td>Full-time permanent</td>
<td>39</td>
<td>15</td>
<td>24</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Full-time contract</td>
<td>15</td>
<td>3</td>
<td>12</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Part-time permanent</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Part-time contract</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Casual</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>-3</td>
<td>Full-time permanent</td>
<td>5</td>
<td>3</td>
<td>2</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Full-time contract</td>
<td>2</td>
<td>2</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Part-time permanent</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Part-time contract</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Casual</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Senior Managers</td>
<td>-1</td>
<td>Full-time permanent</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Full-time contract</td>
<td>1</td>
<td>0</td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Part-time permanent</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Part-time contract</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Casual</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>-2</td>
<td>Full-time permanent</td>
<td>7</td>
<td>4</td>
<td>3</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Full-time contract</td>
<td>2</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Part-time permanent</td>
<td>2</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Part-time contract</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Casual</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Manager occupational categories</td>
<td>Reporting level to CEO</td>
<td>Employment status</td>
<td>F</td>
<td>M</td>
<td>Total employees</td>
<td></td>
</tr>
<tr>
<td>---------------------------------</td>
<td>------------------------</td>
<td>------------------</td>
<td>---</td>
<td>---</td>
<td>-----------------</td>
<td></td>
</tr>
<tr>
<td>-3</td>
<td>Full-time permanent</td>
<td>45</td>
<td>139</td>
<td></td>
<td>184</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Full-time contract</td>
<td>1</td>
<td>19</td>
<td></td>
<td>20</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Part-time permanent</td>
<td>7</td>
<td>8</td>
<td></td>
<td>15</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Part-time contract</td>
<td>1</td>
<td>8</td>
<td></td>
<td>9</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Casual</td>
<td>0</td>
<td>0</td>
<td></td>
<td>0</td>
<td></td>
</tr>
<tr>
<td>-4</td>
<td>Full-time permanent</td>
<td>32</td>
<td>66</td>
<td></td>
<td>98</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Full-time contract</td>
<td>4</td>
<td>9</td>
<td></td>
<td>13</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Part-time permanent</td>
<td>1</td>
<td>2</td>
<td></td>
<td>3</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Part-time contract</td>
<td>3</td>
<td>4</td>
<td></td>
<td>7</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Casual</td>
<td>0</td>
<td>0</td>
<td></td>
<td>0</td>
<td></td>
</tr>
<tr>
<td>-5</td>
<td>Full-time permanent</td>
<td>3</td>
<td>5</td>
<td></td>
<td>8</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Full-time contract</td>
<td>0</td>
<td>0</td>
<td></td>
<td>0</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Part-time permanent</td>
<td>0</td>
<td>0</td>
<td></td>
<td>0</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Part-time contract</td>
<td>0</td>
<td>0</td>
<td></td>
<td>0</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Casual</td>
<td>0</td>
<td>0</td>
<td></td>
<td>0</td>
<td></td>
</tr>
<tr>
<td>-6</td>
<td>Full-time permanent</td>
<td>1</td>
<td>2</td>
<td></td>
<td>3</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Full-time contract</td>
<td>0</td>
<td>0</td>
<td></td>
<td>0</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Part-time permanent</td>
<td>0</td>
<td>0</td>
<td></td>
<td>0</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Part-time contract</td>
<td>0</td>
<td>0</td>
<td></td>
<td>0</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Casual</td>
<td>0</td>
<td>0</td>
<td></td>
<td>0</td>
<td></td>
</tr>
<tr>
<td>-7</td>
<td>Full-time permanent</td>
<td>0</td>
<td>1</td>
<td></td>
<td>1</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Full-time contract</td>
<td>0</td>
<td>0</td>
<td></td>
<td>0</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Part-time permanent</td>
<td>0</td>
<td>0</td>
<td></td>
<td>0</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Part-time contract</td>
<td>0</td>
<td>0</td>
<td></td>
<td>0</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Casual</td>
<td>0</td>
<td>0</td>
<td></td>
<td>0</td>
<td></td>
</tr>
<tr>
<td>Other managers</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>-2</td>
<td>Full-time permanent</td>
<td>2</td>
<td>3</td>
<td></td>
<td>5</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Full-time contract</td>
<td>1</td>
<td>0</td>
<td></td>
<td>1</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Part-time permanent</td>
<td>0</td>
<td>0</td>
<td></td>
<td>0</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Part-time contract</td>
<td>0</td>
<td>1</td>
<td></td>
<td>1</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Casual</td>
<td>0</td>
<td>0</td>
<td></td>
<td>0</td>
<td></td>
</tr>
<tr>
<td>-3</td>
<td>Full-time permanent</td>
<td>67</td>
<td>78</td>
<td></td>
<td>145</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Full-time contract</td>
<td>4</td>
<td>8</td>
<td></td>
<td>12</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Part-time permanent</td>
<td>7</td>
<td>5</td>
<td></td>
<td>12</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Part-time contract</td>
<td>2</td>
<td>1</td>
<td></td>
<td>3</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Casual</td>
<td>1</td>
<td>2</td>
<td></td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>-4</td>
<td>Full-time permanent</td>
<td>49</td>
<td>118</td>
<td></td>
<td>167</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Full-time contract</td>
<td>4</td>
<td>16</td>
<td></td>
<td>20</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Part-time permanent</td>
<td>3</td>
<td>5</td>
<td></td>
<td>8</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Part-time contract</td>
<td>1</td>
<td>1</td>
<td></td>
<td>2</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Casual</td>
<td>1</td>
<td>2</td>
<td></td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>Manager occupational categories</td>
<td>Reporting level to CEO</td>
<td>Employment status</td>
<td>No. of employees</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>---------------------------------</td>
<td>------------------------</td>
<td>------------------------</td>
<td>-----------------</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>F</td>
<td>M</td>
<td>Total employees</td>
<td></td>
<td></td>
</tr>
<tr>
<td>-5</td>
<td></td>
<td>4</td>
<td>29</td>
<td>33</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Full-time permanent</td>
<td>1</td>
<td>3</td>
<td>4</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Full-time contract</td>
<td>4</td>
<td>2</td>
<td>6</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Part-time permanent</td>
<td>0</td>
<td>1</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Casual</td>
<td>0</td>
<td>1</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>-6</td>
<td></td>
<td>2</td>
<td>7</td>
<td>9</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Full-time permanent</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Full-time contract</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Part-time permanent</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Part-time contract</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Casual</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td></td>
<td></td>
</tr>
<tr>
<td>-7</td>
<td></td>
<td>0</td>
<td>1</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Full-time permanent</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Full-time contract</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Part-time permanent</td>
<td>0</td>
<td>1</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Part-time contract</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Casual</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Grand total: all managers 291 608 899
## Non-manager

<table>
<thead>
<tr>
<th>Non-manager occupational categories</th>
<th>Employment status</th>
<th>No. of employees (excluding graduates and apprentices)</th>
<th>No. of graduates (if applicable)</th>
<th>No. of apprentices (if applicable)</th>
<th>Total employees</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>F</td>
<td>M</td>
<td>F</td>
<td>M</td>
</tr>
<tr>
<td>Professionals</td>
<td>Full-time permanent</td>
<td>661</td>
<td>750</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>Full-time contract</td>
<td>218</td>
<td>297</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>Part-time permanent</td>
<td>183</td>
<td>73</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>Part-time contract</td>
<td>97</td>
<td>48</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>Casual</td>
<td>445</td>
<td>436</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Technicians and trade</td>
<td>Full-time permanent</td>
<td>38</td>
<td>91</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>Full-time contract</td>
<td>14</td>
<td>11</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>Part-time permanent</td>
<td>14</td>
<td>8</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>Part-time contract</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>Casual</td>
<td>29</td>
<td>20</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Community and personal service</td>
<td>Full-time permanent</td>
<td>14</td>
<td>33</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>Full-time contract</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>Part-time permanent</td>
<td>16</td>
<td>3</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>Part-time contract</td>
<td>1</td>
<td>7</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>Casual</td>
<td>64</td>
<td>64</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Clerical and administrative</td>
<td>Full-time permanent</td>
<td>246</td>
<td>88</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>Full-time contract</td>
<td>24</td>
<td>8</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>Part-time permanent</td>
<td>117</td>
<td>16</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>Part-time contract</td>
<td>23</td>
<td>1</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>Casual</td>
<td>138</td>
<td>83</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Sales</td>
<td>Full-time permanent</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>Full-time contract</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>Part-time permanent</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Non-manager occupational categories</td>
<td>Employment status</td>
<td>No. of employees (excluding graduates and apprentices)</td>
<td>No. of graduates (if applicable)</td>
<td>No. of apprentices (if applicable)</td>
<td>Total employees</td>
</tr>
<tr>
<td>-----------------------------------</td>
<td>------------------</td>
<td>-------------------------------------------------------</td>
<td>---------------------------------</td>
<td>-------------------------------------</td>
<td>----------------</td>
</tr>
<tr>
<td></td>
<td></td>
<td>F M F M F M F M</td>
<td>F M F M F M F M F M F M F M F M</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Part-time contract</td>
<td>0 0 0 0 0 0 0 0 0 0 0 0</td>
<td>0 0 0 0 0 0 0 0 0 0 0 0</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Casual</td>
<td>0 0 0 0 0 0 0 0 0 0 0 0</td>
<td>0 0 0 0 0 0 0 0 0 0 0 0</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Machinery operators and drivers</td>
<td>Full-time permanent</td>
<td>0 4 0 0 0 0 0 0 0 0 0 0</td>
<td>0 0 0 0 0 0 0 0 0 0 0 0</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Full-time contract</td>
<td>0 0 0 0 0 0 0 0 0 0 0 0</td>
<td>0 0 0 0 0 0 0 0 0 0 0 0</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Part-time permanent</td>
<td>0 0 0 0 0 0 0 0 0 0 0 0</td>
<td>0 0 0 0 0 0 0 0 0 0 0 0</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Part-time contract</td>
<td>0 0 0 0 0 0 0 0 0 0 0 0</td>
<td>0 0 0 0 0 0 0 0 0 0 0 0</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Casual</td>
<td>0 0 0 0 0 0 0 0 0 0 0 0</td>
<td>0 0 0 0 0 0 0 0 0 0 0 0</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Full-time permanent</td>
<td>0 14 0 0 0 0 0 0 0 0 0 0</td>
<td>0 0 0 0 0 0 0 0 0 0 0 0</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Full-time contract</td>
<td>0 0 0 0 0 0 0 0 0 0 0 0</td>
<td>0 0 0 0 0 0 0 0 0 0 0 0</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Part-time permanent</td>
<td>3 0 0 0 0 0 0 0 0 0 0 0</td>
<td>0 0 0 0 0 0 0 0 0 0 0 0</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Part-time contract</td>
<td>0 0 0 0 0 0 0 0 0 0 0 0</td>
<td>0 0 0 0 0 0 0 0 0 0 0 0</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Casual</td>
<td>4 5 0 0 0 0 0 0 0 0 0 0</td>
<td>0 0 0 0 0 0 0 0 0 0 0 0</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Full-time permanent</td>
<td>0 0 0 0 0 0 0 0 0 0 0 0</td>
<td>0 0 0 0 0 0 0 0 0 0 0 0</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Full-time contract</td>
<td>0 0 0 0 0 0 0 0 0 0 0 0</td>
<td>0 0 0 0 0 0 0 0 0 0 0 0</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Part-time permanent</td>
<td>0 0 0 0 0 0 0 0 0 0 0 0</td>
<td>0 0 0 0 0 0 0 0 0 0 0 0</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Part-time contract</td>
<td>0 0 0 0 0 0 0 0 0 0 0 0</td>
<td>0 0 0 0 0 0 0 0 0 0 0 0</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Casual</td>
<td>0 0 0 0 0 0 0 0 0 0 0 0</td>
<td>0 0 0 0 0 0 0 0 0 0 0 0</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Grand total: all non-managers</td>
<td></td>
<td>2,350 2,060 0 0 0 0 1 4,411</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Reporting questionnaire

Gender equality indicator 1: Gender composition of workforce

1. Do you have formal policies or formal strategies in place that SPECIFICALLY SUPPORT GENDER EQUALITY in relation to:

1.1 Recruitment?

☒ Yes
☐ Standalone policy
☐ Policy is contained within another policy
☐ Standalone strategy
☐ Strategy is contained within another strategy
☐ No
☐ No, currently under development
☐ No, insufficient human resources staff
☐ No, don't have expertise
☐ No, not a priority

1.2 Retention?

☒ Yes
☐ Standalone policy
☐ Policy is contained within another policy
☒ Standalone strategy
☐ Strategy is contained within another strategy
☐ No
☐ No, currently under development
☐ No, insufficient human resources staff
☐ No, don't have expertise
☐ No, not a priority

1.3 Performance management processes?

☐ Yes
☐ Standalone policy
☐ Policy is contained within another policy
☐ Standalone strategy
☐ Strategy is contained within another strategy
☒ No
☐ No, currently under development
☐ No, insufficient human resources staff
☐ No, don't have expertise
☐ No, not a priority

1.4 Promotions?

☒ Yes
☐ Standalone policy
☒ Policy is contained within another policy
☐ Standalone strategy
☐ Strategy is contained within another strategy
☐ No
☐ No, currently under development
☐ No, insufficient human resources staff
☐ No, don't have expertise
☐ No, not a priority

1.5 Talent identification/identification of high potentials?
<table>
<thead>
<tr>
<th>Yes/No</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>Succession planning?</td>
</tr>
<tr>
<td></td>
<td>Policy contained within another policy</td>
</tr>
<tr>
<td></td>
<td>Strategy contained within another strategy</td>
</tr>
<tr>
<td>No</td>
<td>Currently under development</td>
</tr>
<tr>
<td></td>
<td>Insufficient human resources staff</td>
</tr>
<tr>
<td></td>
<td>Don't have expertise</td>
</tr>
<tr>
<td></td>
<td>Not a priority</td>
</tr>
<tr>
<td>Yes</td>
<td>Training and development?</td>
</tr>
<tr>
<td></td>
<td>Policy contained within another policy</td>
</tr>
<tr>
<td></td>
<td>Strategy contained within another strategy</td>
</tr>
<tr>
<td>No</td>
<td>Currently under development</td>
</tr>
<tr>
<td></td>
<td>Insufficient human resources staff</td>
</tr>
<tr>
<td></td>
<td>Don't have expertise</td>
</tr>
<tr>
<td></td>
<td>Not a priority</td>
</tr>
<tr>
<td>Yes</td>
<td>Resignations?</td>
</tr>
<tr>
<td></td>
<td>Policy contained within another policy</td>
</tr>
<tr>
<td></td>
<td>Strategy contained within another strategy</td>
</tr>
<tr>
<td>No</td>
<td>Currently under development</td>
</tr>
<tr>
<td></td>
<td>Insufficient human resources staff</td>
</tr>
<tr>
<td></td>
<td>Don't have expertise</td>
</tr>
<tr>
<td></td>
<td>Not a priority</td>
</tr>
<tr>
<td>Yes</td>
<td>Key performance indicators for managers relating to gender equality?</td>
</tr>
<tr>
<td></td>
<td>Policy contained within another policy</td>
</tr>
<tr>
<td></td>
<td>Strategy contained within another strategy</td>
</tr>
<tr>
<td>No</td>
<td>Currently under development</td>
</tr>
<tr>
<td></td>
<td>Insufficient human resources staff</td>
</tr>
<tr>
<td></td>
<td>Don't have expertise</td>
</tr>
<tr>
<td></td>
<td>Not a priority</td>
</tr>
<tr>
<td>No</td>
<td>Gender equality overall?</td>
</tr>
<tr>
<td></td>
<td>Policy contained within another policy</td>
</tr>
<tr>
<td></td>
<td>Strategy contained within another strategy</td>
</tr>
<tr>
<td>No</td>
<td>Currently under development</td>
</tr>
<tr>
<td></td>
<td>Insufficient human resources staff</td>
</tr>
<tr>
<td></td>
<td>Don't have expertise</td>
</tr>
<tr>
<td></td>
<td>Not a priority</td>
</tr>
<tr>
<td></td>
<td>Gender equality overall?</td>
</tr>
</tbody>
</table>
Yes

☑ Standalone policy
☑ Policy is contained within another policy
☑ Standalone strategy
☑ Strategy is contained within another strategy

No

☐ No, currently under development
☐ No, insufficient human resources staff
☐ No, don’t have expertise
☐ No, not a priority

1.11 You may provide details of other formal policies or formal strategies that specifically support gender equality that may be in place:

a) ANU by 2020 Strategic Plan
b) Procedure for the Prevention of Discrimination, Harassment and Bullying
c) University Access and Equity Committee
d) LGBTI Steering Committee
e) Gender Representation on Committees (Selection, Promotions)
f) Career Re-entry (6 weeks additional leave for primary carers returning from parental leave)
g) Carers Career Development Fund
h) Gender Inclusive Language Guidelines
i) College Performance Measures

Gender equality indicator 2: Gender composition of governing bodies

2. Does your organisation, or any organisation you are reporting on, have a governing body/board? (If you answered no, you will only be required to answer question 2.4, if applicable)

☑ Yes
☐ No

2.1 Please complete the table below. List the names of organisations on whose governing bodies/boards you are reporting. For each organisation, also indicate the gender composition of that governing body/board; and where in place, include what gender composition target has been set and the year the target is to be reached. IMPORTANT NOTE: where an organisation name has been entered in the table, you must enter the gender composition numbers of that governing body/board. If no target has been set for that particular governing body/board, please enter the number 0 in the '% Target' column and leave the 'Year to be reached' column blank. Otherwise, please enter a number from 0-100 in the '% Target' column and a future date in the format of YYYY in the 'Year to be reached' column.

<table>
<thead>
<tr>
<th>Organisation name</th>
<th>Chairperson</th>
<th>Board members</th>
<th>% Target</th>
<th>Year to be reached</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>F</td>
<td>M</td>
<td>F</td>
<td>M</td>
</tr>
<tr>
<td>1 ANU</td>
<td>1</td>
<td></td>
<td>3</td>
<td>11</td>
</tr>
<tr>
<td>2</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
2.2 For any governing bodies/boards where gender composition targets have not been set, you may specify why below:

- Governing body has gender balance (e.g. 40% women/40% men/20% either)
- Currently under development
- Insufficient human resources staff
- Don't have expertise
- Don't have control over board appointments (provide details why):
  - The ANU Council can influence heavily the composition of its membership appointed by the Minister. The succession plan for appointed members of Council recognises the importance of achieving gender equity in Council's composition. However, approximately half the members of the Council are elected, and as such the University cannot control in any way the gender balance for these members.

- Not a priority
- Other (provide details):

2.3 Do you have a formal selection policy or formal selection strategy for governing body/board members for ALL organisations covered in this report?

- Yes
  - Standalone policy
  - Policy is contained within another policy
  - Standalone strategy
  - Strategy is contained within another strategy

- No
- No, in place for some governing bodies
2.4 If your organisation, or any organisation you are reporting on, is a partnership please enter the total number of male and female EQUITY PARTNERS in the following table (if your managing partner is also an equity partner enter those details separately in the relevant row below). If you have a separate governing body/board of directors, please enter its composition in 2.1.

<table>
<thead>
<tr>
<th>Gender</th>
<th>F</th>
<th>M</th>
</tr>
</thead>
<tbody>
<tr>
<td>Managing partner</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other equity partners</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Gender equality indicator 3: Equal remuneration between women and men

3. Do you have a formal policy or strategy on remuneration generally?
   - Yes
     - Standalone policy
     - Policy is contained within another policy
     - Standalone strategy
     - Strategy is contained within another strategy
   - No
     - No, currently under development
     - No, insufficient human resources staff
     - No, included in workplace agreement
     - No, don't have expertise
     - No, salaries set by awards or industrial agreements
     - No non-award employees paid market rate
     - No, not a priority
     - No, other (provide details):

3.2 If you answered yes to question 3.1, please provide details on what gender pay equity objectives are included in your formal policy or formal strategy, and include timeframes for achieving these objectives:

4. Has a gender remuneration gap analysis been undertaken?
   - Yes - please indicate when this analysis was most recently undertaken
     - Within last 12 months
     - Within last 1-2 years
     - More than 2 years ago but less than 4 years ago
     - Other (provide details):
   - No
     - No, currently under development
     - No, insufficient human resources staff
     - No, don't have expertise
     - No, salaries set by awards or industrial agreements
     - No, non-award employees paid market rate
     - No, not a priority
No, other (provide details):

4.1 Were any actions taken as a result of your gender remuneration gap analysis?
Yes - please indicate what actions were taken:
- Identified cause/s of the gaps
- Created an action plan to address causes
- Reviewed remuneration decision-making processes
- Reviewed individual remuneration outcomes
- Conducted a gender-based job evaluation process
- Implemented other changes (provide details):

No

No gaps identified
No, currently under development
No, insufficient human resources staff
No, don't have expertise
No, salaries set by awards or industrial agreements
No, non-award employees paid market rate
No, unable to address cause/s of gaps (provide details why):

No, not a priority
No, other (provide details):

Gender equality indicator 4: Availability and utility of employment terms, conditions and practices relating to flexible working arrangements for employees and to working arrangements supporting employees with family or caring responsibilities

5 Do you provide employer funded paid parental leave for PRIMARY CARERS, in addition to any government funded parental leave scheme for primary carers?
Yes
No
No, currently being considered
No, insufficient human resources staff
No, government scheme is sufficient
No, don't know how to implement
No, not a priority
No, other (provide details):

5.1 Please indicate the number of weeks of employer funded paid parental leave that are provided for primary carers.
26

5.2 How is employer funded paid parental leave provided to the primary carer?
- By paying the gap between the employee's salary and the government's paid parental leave scheme
- By paying the employee's full salary (in addition to the government's paid scheme) (regardless of the period of time over which it is paid for example, full pay for 12 weeks or half pay for 24 weeks)
- As a lump sum payment (paid pre- or post- parental leave, or a combination)

6 Do you provide employer funded parental leave for SECONDARY CARERS, in addition to any government funded parental leave scheme for secondary carers?
Yes, one week or greater
Yes, less than one week
No
6.1 Please indicate the number of weeks of employer funded parental leave that are provided for secondary carers.

2

7 How many female and male managers, and female and male non-managers, have utilised parental leave (paid and/or unpaid) during the last reporting period?

<table>
<thead>
<tr>
<th>Primary carer's leave</th>
<th>Secondary carer's leave</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Female</td>
</tr>
<tr>
<td>Managers</td>
<td></td>
</tr>
<tr>
<td></td>
<td>11</td>
</tr>
<tr>
<td>Non-managers</td>
<td>99</td>
</tr>
</tbody>
</table>

8 What proportion of your total workforce has access to employer funded paid parental leave?

<table>
<thead>
<tr>
<th>Primary carer's leave</th>
<th>Secondary carer's leave</th>
</tr>
</thead>
<tbody>
<tr>
<td>%</td>
<td>76</td>
</tr>
</tbody>
</table>

9 Do you have a formal policy or formal strategy on flexible working arrangements?

Yes

☐ Standalone policy
☐ Policy is contained within another policy
☐ Standalone strategy
☐ Strategy is contained within another strategy

No

☐ No, currently under development
☐ No, insufficient human resources staff
☐ No, included in workplace agreement
☐ No, don't have expertise
☐ No, don't offer flexible arrangements
☐ No, not a priority
☐ No, other (provide details):

10 Do you have a formal policy or formal strategy to support employees with family and caring responsibilities?

Yes

☐ Standalone policy
☐ Policy is contained within another policy
☐ Standalone strategy
☐ Strategy is contained within another strategy

No

☐ No, currently under development
☐ No, insufficient human resources staff
☐ No, included in workplace agreement
☐ No, don't have expertise
☐ No, not a priority
☐ No, other (provide details):
11. Do you have any non-leave based measures to support employees with family and caring responsibilities?
- Yes
- No
- No, currently under development
- No, insufficient human resources staff
- No, don't have expertise
- No, not a priority
- No, other (provide details):

11.1 To understand where these measures are available, do you have other worksites in addition to your head office?
- Yes
- No

11.2 Please indicate what measures are in place and in which worksites they are available (if you do not have multiple worksites, you would select 'Head office only'):

- Employer subsidised childcare
  - Head office only
  - Other worksites only
  - Head office and some other worksites
  - All worksites including head office

- On-site childcare
  - Head office only
  - Other worksites only
  - Head office and some other worksites
  - All worksites including head office

- Breastfeeding facilities
  - Head office only
  - Other worksites only
  - Head office and some other worksites
  - All worksites including head office

- Childcare referral services
  - Head office only
  - Other worksites only
  - Head office and some other worksites
  - All worksites including head office

- Internal support network for parents
  - Head office only
  - Other worksites only
  - Head office and some other worksites
  - All worksites including head office

- Return to work bonus
  - Head office only
  - Other worksites only
  - Head office and some other worksites
  - All worksites including head office

- Information packs to support new parents and/or those with elder care responsibilities
  - Head office only
  - Other worksites only
  - Head office and some other worksites
  - All worksites including head office

- Referral services to support employees with family and/or caring responsibilities
  - Head office only
  - Other worksites only
  - Head office and some other worksites
  - All worksites including head office

- Targeted communication mechanisms, for example intranet/forums
  - Head office only
12 Do you have a formal policy or formal strategy to support employees who are experiencing family or domestic violence?

☐ Yes
☐ Standalone policy
☐ Policy is contained within another policy
☐ Standalone strategy
☐ Strategy is contained within another strategy

☐ No
☐ No, currently under development
☐ No, insufficient human resources staff
☐ No, included in workplace agreement
☐ No, not aware of the need
☐ No, don't have expertise
☐ No, not a priority
☐ No, other (provide details):

13 Other than a policy or strategy, do you have any measures to support employees who are experiencing family or domestic violence?

☐ Yes - please indicate the type of measures in place:
☐ Employee assistance program
☐ Access to leave
☐ Training of human resources (or other) staff
☐ Other (provide details):
  Violence Information Webpage, EAP Crisis Management

☐ No
☐ No, currently under development
☐ No, insufficient human resources staff
☐ No, not aware of the need
☐ No, don't have expertise
☐ No, not a priority
☐ No, other (provide details):

14 Please tick the checkboxes in the table below to indicate which employment terms, conditions or practices are available to your employees (please note that not ticking a box indicates that a particular employment term, condition or practice is not in place):

<table>
<thead>
<tr>
<th></th>
<th>Managers</th>
<th></th>
<th>Non-managers</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Female</td>
<td>Male</td>
<td>Female</td>
</tr>
<tr>
<td></td>
<td>Formal</td>
<td>Informal</td>
<td>Formal</td>
</tr>
<tr>
<td>Flexible hours of work</td>
<td>☒</td>
<td>☐</td>
<td>☒</td>
</tr>
<tr>
<td>Compressed working weeks</td>
<td>☒</td>
<td>☐</td>
<td>☒</td>
</tr>
<tr>
<td>Time-in-lieu</td>
<td>☒</td>
<td>☐</td>
<td>☒</td>
</tr>
<tr>
<td>Telecommuting</td>
<td>☒</td>
<td>☐</td>
<td>☒</td>
</tr>
<tr>
<td>Part-time work</td>
<td>☒</td>
<td>☐</td>
<td>☒</td>
</tr>
<tr>
<td>Job sharing</td>
<td>☒</td>
<td>☐</td>
<td>☒</td>
</tr>
<tr>
<td>Carer's leave</td>
<td>☒</td>
<td>☐</td>
<td>☒</td>
</tr>
<tr>
<td>Purchased leave</td>
<td>☒</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Unpaid leave</td>
<td>☐</td>
<td>☒</td>
<td>☐</td>
</tr>
</tbody>
</table>

14.1 If there are any other employment terms, conditions or practices that are available to your employees, you may provide details of those below:

Career re-entry leave (6 weeks) for primary carers returning from parental leave

14.2 Where employment terms, conditions or practices are not available to your employees for any of the categories listed above, you may specify why below?

- [ ] Currently under development
- [ ] Insufficient human resources staff
- [ ] Don't have expertise
- [ ] Not a priority
- [ ] Other (provide details):

Gender equality indicator 5: Consultation with employees on issues concerning gender equality in the workplace

15 Have you consulted with employees on issues concerning gender equality in your workplace?

- [ ☒ ] Yes
- [ ] No
- [ ] No, not needed (provide details why):

  - [ ] No, insufficient human resources staff
  - [ ] No, don't have expertise
  - [ ] No, not a priority
  - [ ] No, other (provide details):

15.1 How did you consult with employees on issues concerning gender equality in your workplace?

- [ ☒ ] Survey
- [ ☒ ] Consultative committee or group
- [ ] Focus groups
- [ ] Exit interviews
- [ ] Performance discussions
- [ ] Other (provide details):

15.2 What categories of employees did you consult?

- [ ☒ ] All staff
- [ ] Women only
- [ ] Men only
- [ ] Human resources managers
- [ ] Management
- [ ] Employee representative group(s)
- [ ] Diversity committee or equivalent
- [ ] Other (provide details):

Gender equality indicator 6: Sex-based harassment and discrimination
16 Do you have a formal policy or formal strategy on sex-based harassment and discrimination prevention?
☑ Yes
☐ Standalone policy
☐ Policy is contained within another policy
☐ Standalone strategy
☐ Strategy is contained within another strategy
☐ No
☐ No, currently under development
☐ No, insufficient human resources staff
☐ No, included in workplace agreement
☐ No, don't have expertise
☐ No, not a priority
☐ No, other (provide details):

16.1 Do you include a grievance process in any sex-based harassment and discrimination prevention policy or strategy?
☑ Yes
☐ No
☐ No, currently under development
☐ No, insufficient human resources staff
☐ No, don't have expertise
☐ No, not a priority
☐ No, other (provide details):

17 Does your workplace provide training for all managers on sex-based harassment and discrimination prevention?
☑ Yes - please indicate how often this training is provided:
☒ At induction
☐ At least annually
☐ Every one-to-two years
☐ Every three years
☐ Varies across business units
☒ Other (provide details):
☐ Selection committee training
☐ No
☐ No, currently under development
☐ No, insufficient human resources staff
☐ No, don't have expertise
☐ No, not a priority
☐ No, other (provide details):

Other

18 Should you wish to provide details of any initiatives that you feel are particularly outstanding, or that have resulted in improved gender equality outcomes in your workplace, please enter this information below. (Please note that any information you provide here will appear in your public report)
1. Provision of a cost effective on-site vacation care program for the children of ANU staff and students.
2. Provision of a Carers Career Development Fund to assist primary carers to participate in interstate and international travel by subsidising additional costs related to their caring responsibilities
3. Promotions support and mentoring for women
4. The establishment of a Gender Equity Oversight Group, chaired by the Vice-Chancellor to monitor progress towards gender equity

19 You may provide additional details on any information provided in the report below.

In reference to item 8 where the % of staff that have access to employer funded parental leave is provided, the answer is noted as the total workforce excluding casual employees.
**Notification and access**

<table>
<thead>
<tr>
<th>List of employee organisations</th>
<th>National Tertiary Education Union (NTEU)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Australian Manufacturing Workers Union (AMWU)</td>
</tr>
<tr>
<td></td>
<td>United Voice</td>
</tr>
<tr>
<td></td>
<td>Media Entertainment and Arts Alliance (MEAA)</td>
</tr>
</tbody>
</table>

**CEO sign off confirmation**

<table>
<thead>
<tr>
<th>Name of CEO or equivalent</th>
<th>Professor Ian Young AO</th>
</tr>
</thead>
<tbody>
<tr>
<td>Confirmation CEO has signed the report</td>
<td>Yes</td>
</tr>
</tbody>
</table>

[Signature]
Report Companion

SUBJECT  Workplace Gender Equality Agency (WGEA) Report 2014

TO  ANU All Staff
FROM  Diversity and Workforce Planning Branch, Human Resources Division

Background

Through the Workplace Gender Equality Act 2012 (Act), new reporting requirements to the Workplace Gender Equality Agency (WGEA) were introduced for non-public sector employers with 100 or more employees. The reporting period is the 12 month period from 1 April to 31 March, with a report submission deadline of 31 May. In 2014, the Australian National University (ANU) together with other Australian universities obtained an extension to the submission deadline to 31 July 2014.

As of 2014 there has been a significant increase in the reporting requirements to WGEA, with two major areas employers need to report on:

- **Workforce Profile**: a snapshot of current workforce (including casual employees) reported into standard manager and non-manager occupational categories.
- **Gender Equality Indicators (GEI)**: a questionnaire on policies, procedures and other initiatives employers have in place which are meant to facilitate and support gender equality.

Guide to Workforce Profile data

The following is a list of WGEA requirements and the approach the University has taken for the 2014 report:

1. **Reporting Date**: employers need to report on all individual active employees on a relevant snapshot date between 1 April of the previous year and the 31 March of the reporting year. To ensure consistency with other workforce reporting the University is submitting to various external bodies, the chosen snapshot date was 31 March 2014.

2. **Reported employees**: organisations are asked to report on all active full-time, part-time and relevant casual employees. The University deemed casual employees to be relevant for the snapshot date if they had received salary payment for the fortnight including the snapshot date of 31 March 2014.

3. **Standardised occupational categories**: WGEA requests that employees be categorised by closely matching their role to a manager or non-manager standard occupational category. The University’s approach to reporting is outlined in Appendix 1.

4. **Reporting levels from the Chief Executive Officer (or equivalent)** for Managers, where the CEO = 0 and direct reports are recorded as -1 etc. The University’s data is based on the staff members’ supervisor on the HR Management System.

Further information can be accessed at [https://www.wgea.gov.au/](https://www.wgea.gov.au/).
### Appendix 1: ANU Reporting on WGEA Standardised Occupational Categories

#### Managers

<table>
<thead>
<tr>
<th>WGEA sub-category</th>
<th>WGEA definition (brief)</th>
<th>ANU staff category</th>
</tr>
</thead>
<tbody>
<tr>
<td>CEO</td>
<td>The Chief Executive Officer (CEO) (or equivalent, however named) is the highest ranking corporate officer (executive) or an administrator in charge of management of an organisation. The CEO (or equivalent) is reported on separately to other key management personnel. Examples of the CEO could (depending upon the nature of the organisation) also be the managing director, general manager, managing partner, principal or vice chancellor.</td>
<td>Vice-Chancellor (VC)</td>
</tr>
<tr>
<td>Key Management Personnel (KMP)</td>
<td>Have authority and responsibility for planning, directing and controlling the activities of the entity, directly or indirectly, including any director (whether executive or otherwise) of that entity, in accordance with Australian Accounting Standards Board AASB124. A defining feature of KMPs is that their influence is at the entity level. They are likely to be functional heads such as head of operations or head of finance etcetera and direct how that component contributes to the entity’s outcome, with a strategic focus. The KMP is a manager who represents at least one of the major functions of the organisation and participates in organisation-wide decisions with the CEO.</td>
<td>Deputy Vice-Chancellors (DVC) Pro Vice-Chancellors (PVC) University Registrars College Deans Executive Director- Administration and Planning (EDAP) Service Divisions Directors</td>
</tr>
<tr>
<td>Other Executives/ General Managers</td>
<td>An ‘other executive/general manager’ holds primary responsibility for the equivalent of a department or a business unit. In a large organisation, this manager might not participate in organisation-wide decisions with the CEO. Alternatively, this manager could have influence in organisation-wide decision making forums to provide expertise or project development but because they do not actually hold authority at an entity level they would not be defined as a KMP.</td>
<td>Other DVC direct reports (not reported as KMP) School/ Centre Directors reporting to College Deans General Managers (SM3)</td>
</tr>
<tr>
<td>Senior Managers</td>
<td>‘Senior managers’ are charged with one or more defined functions, departments or outcomes. They are more likely to be involved in a balance of strategic and operational aspects of management. Some decision making at this level would require approval from either of the two management levels above it ‘Senior managers’ are responsible for resourcing, a budget and assets (capital expenditure).</td>
<td>Centre/ Department Heads reporting to the School Director Service Divisions Associate Directors Level E academic staff SM2 School Managers, Executive Officers and Functional Managers</td>
</tr>
<tr>
<td>Other Managers</td>
<td>‘Other managers’ plan, organise, direct, control and coordinate an operational function. They usually oversee day to day operations, working within and enforcing defined company parameters. They might implement, determine, monitor and review strategies, policies and plans to meet business needs as it relates to their own function/work area. An ‘other manager’ is accountable for a defined business outcome which usually involves the management of resources that also includes time management, coordination of different functions or people, financial resources, and other assets (for example facilities or IT infrastructure).</td>
<td>SM1 staff Level D academic staff</td>
</tr>
</tbody>
</table>
### Appendix 1: ANU Reporting on WGEA Standardised Occupational Categories

#### Non-managers

<table>
<thead>
<tr>
<th>ANU Stream</th>
<th>ANU level</th>
<th>WGEA sub-category</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Academic staff</strong></td>
<td>Level A- C and sessional staff</td>
<td>Professionals</td>
</tr>
<tr>
<td><strong>Administration</strong></td>
<td>Below ANUO6</td>
<td>Clerical and Administrative</td>
</tr>
<tr>
<td></td>
<td>ANUO6/7 and 8</td>
<td>Professionals</td>
</tr>
<tr>
<td><strong>Archives</strong></td>
<td>ANUO5/6 and above</td>
<td>Professionals</td>
</tr>
<tr>
<td><strong>Cleaning</strong></td>
<td>All levels</td>
<td>Labourers</td>
</tr>
<tr>
<td><strong>Engineering</strong></td>
<td>ANUO5/6, 7, 8</td>
<td>Professionals</td>
</tr>
<tr>
<td><strong>General Services</strong></td>
<td>all levels</td>
<td>Labourers</td>
</tr>
<tr>
<td><strong>Grounds</strong></td>
<td>all levels</td>
<td>Labourers</td>
</tr>
<tr>
<td><strong>Hospitality</strong></td>
<td>all levels below SM1</td>
<td>Community and Personal Service Workers</td>
</tr>
<tr>
<td><strong>IT</strong></td>
<td>all levels below SM1</td>
<td>Professionals</td>
</tr>
<tr>
<td><strong>Library</strong></td>
<td>Below ANUO6</td>
<td>Clerical and Administrative</td>
</tr>
<tr>
<td></td>
<td>ANUO6- 8</td>
<td>Professionals</td>
</tr>
<tr>
<td><strong>Maintenance</strong></td>
<td>all levels below SM1</td>
<td>Technicians and Trade Workers</td>
</tr>
<tr>
<td><strong>Printing</strong></td>
<td>all levels</td>
<td>Technicians and Trade Workers</td>
</tr>
<tr>
<td><strong>Research</strong></td>
<td>all levels below SM1</td>
<td>Professionals</td>
</tr>
<tr>
<td><strong>Security</strong></td>
<td>all levels</td>
<td>Community and Personal Service Workers</td>
</tr>
<tr>
<td><strong>Technical; Technical and Draught</strong></td>
<td>Below ANUO6</td>
<td>Technicians and Trade Workers</td>
</tr>
<tr>
<td></td>
<td>ANUO6, 7, 8</td>
<td>Professionals</td>
</tr>
<tr>
<td><strong>Theatre staff</strong></td>
<td>All levels</td>
<td>Community and Personal Service Workers</td>
</tr>
<tr>
<td><strong>Specialist</strong></td>
<td>ANUO6/7 and above</td>
<td>Professionals</td>
</tr>
<tr>
<td><strong>Stores</strong></td>
<td>all levels</td>
<td>Machinery Operators and Drivers</td>
</tr>
<tr>
<td><strong>University House staff</strong></td>
<td>all levels below SM1</td>
<td>to be classified based on the stream (as above)</td>
</tr>
</tbody>
</table>
Appendix 1: ANU Reporting on WGEA Standardised Occupational Categories

Non-managers: subcategory definition

<table>
<thead>
<tr>
<th>WGEA sub-category</th>
<th>WGEA definition (brief)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Clerical and Administrative</td>
<td>Provide support to managers, professionals and organisations by organising, storing, manipulating and retrieving information.</td>
</tr>
<tr>
<td>Community and Personal Service Workers</td>
<td>Provide information and support on a range of social welfare matters, and provide other services in the areas of aged care and childcare, education support, hospitality, defence, policing and emergency services, security, travel and tourism, fitness, sports and personal services.</td>
</tr>
<tr>
<td>Labourers</td>
<td>Perform a variety of routine and repetitive physical tasks using hand and power tools, and machines either as an individual or as part of a team assisting more skilled workers such as Trades Workers, and Machinery Operators and Drivers.</td>
</tr>
<tr>
<td>Machinery Operators and Drivers</td>
<td>Operate machines, plant, vehicles and other equipment to perform a range of agricultural, manufacturing and construction functions, move materials.</td>
</tr>
<tr>
<td>Professionals</td>
<td>Perform analytical, conceptual and creative tasks through the application of theoretical knowledge and experience in the fields of the arts, media, business, design, engineering, the physical and life sciences, transport, education, health, information and communication technology, the law, social sciences and social welfare.</td>
</tr>
<tr>
<td>Technicians and Trade Workers</td>
<td>Perform a variety of skilled tasks, applying broad or in-depth technical, trade or industry specific knowledge, often in support of scientific, engineering, building and manufacturing activities.</td>
</tr>
</tbody>
</table>
26 August 2014
Reference: 52234063906

Prof. Ian Young
Vice Chancellor
Australian National University
The Australian National University
ANU ACT 0200

Dear Prof. Young

**Workplace Gender Equality Agency (Agency) notice of compliance**

Thank you for submitting your annual compliance report for the period 1 April 2013 to 31 March 2014. Following an assessment of your report I am pleased to advise that your organisation (together with any subsidiaries listed on your 2013-14 confidential report form cover sheet) is compliant with the *Workplace Gender Equality Act 2012* (Act). This letter forms your notice of compliance with the Act.

The 2013-14 reporting period signalled the start of a new reporting and compliance framework and online reporting system. One of the significant benefits of this new framework is the ability for the Agency to produce industry-specific educational benchmarks based on the analysis of standardised data submitted each year. With the first of these benchmarks scheduled for release at the end of the year, this information will not only provide you with valuable information on your organisation’s performance compared to others in your industry, it will inform the development of future strategies by the Agency to assist employers in achieving gender equality in their workplaces.

WGEA is committed to supporting organisations to maximise the full potential of female and male talent. We have a range of innovative tools and resources that are freely available on our website, [www.wgea.gov.au](http://www.wgea.gov.au). Alternatively, you can phone us and ask to speak with one of our senior advisors by calling (02) 9432 7000 or 1800 730 233.

Yours sincerely

Helen Conway
Director
23  POWER OF ATTORNEY

PURPOSE  To consider a list of documents signed under Power of Attorney by the Investment Manager between 9 July 2014 and 3 September 2014.

PREPARED BY  Investment Office

REVIEWED BY  Chief Finance Officer

APPROVED BY  Executive Director, (Administration and Planning)

RECOMMENDATION  That Council note that the Investment Manager exercised the Power of Attorney over the attached transactions between 9 July 2014 and 3 September 2014.

ACTION REQUIRED
For discussion  ☐  For decision  ☐  For information  ☑

BACKGROUND
This Power of Attorney was granted to the Investment Manager and executed under the Common Seal of the University on 4 September 2003.

ATTACHMENT
23.1 List of transactions over which the Investment Manager exercised Power of Attorney between 9 July 2014 and 3 September 2014 (143/2014).
### POWER OF ATTORNEY 9 JULY 2014 TO 3 SEPTEMBER 2014

<table>
<thead>
<tr>
<th>No.</th>
<th>Date</th>
<th>Reference</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1131</td>
<td>09/07/2014</td>
<td>201211762</td>
<td>Change of Address Notification re the University’s holding of Scentre Group on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1132</td>
<td>09/07/2014</td>
<td>201211762</td>
<td>Request to Consolidate Holdings re the University’s three holdings of Scentre Group on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1133</td>
<td>25/07/2014</td>
<td>20120079C</td>
<td>State Revenue Office Victoria Unclaimed Money Claim Application Form re $2,277-90 relating to Australian National University, Level 2, 52 Collins St Melbourne on behalf of the General Fund</td>
</tr>
<tr>
<td>1134</td>
<td>25/07/2014</td>
<td>201211749</td>
<td>State Revenue Office Victoria Unclaimed Money Claim Application Form re $25-97 relating to Australian National University on behalf of the General Fund</td>
</tr>
<tr>
<td>1135</td>
<td>25/07/2014</td>
<td>201211749</td>
<td>State Revenue Office Victoria Unclaimed Money Claim Application Form re $679-51 relating to Australian National University on behalf of the General Fund</td>
</tr>
<tr>
<td>1136</td>
<td>25/07/2014</td>
<td>201211749</td>
<td>State Revenue Office Victoria Unclaimed Money Claim Application Form re $35-21 relating to Australian National University on behalf of the General Fund</td>
</tr>
<tr>
<td>1137</td>
<td>25/07/2014</td>
<td>201211749</td>
<td>State Revenue Office Victoria Unclaimed Money Claim Application Form re $53-41 relating to Australian National University on behalf of the General Fund</td>
</tr>
<tr>
<td>1138</td>
<td>25/07/2014</td>
<td>201211749</td>
<td>State Revenue Office Victoria Unclaimed Money Claim Application Form re $390-46 relating to Australian National University on behalf of the General Fund</td>
</tr>
<tr>
<td>1139</td>
<td>25/07/2014</td>
<td>201211749</td>
<td>State Revenue Office Victoria Unclaimed Money Claim Application Form re $35-21 relating to Australian National University on behalf of the General Fund</td>
</tr>
<tr>
<td>1140</td>
<td>25/07/2014</td>
<td>201211749</td>
<td>NSW Office of State Revenue Unclaimed Money Claim Acknowledgement and Declaration re the amounts of $200-00 and $138-68 relating to Australian National University on behalf of the General Fund</td>
</tr>
<tr>
<td>1141</td>
<td>25/07/2014</td>
<td>201211749</td>
<td>Westpac Refund of Unclaimed Moneys re the amount of $379-23 relating to Australian National University Historical society on behalf of the General Fund</td>
</tr>
<tr>
<td>1142</td>
<td>29/07/2014</td>
<td>201211748</td>
<td>Request for Direct Credit of Payments re the University’s holding of Ardent Leisure Group on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1143</td>
<td>31/07/2014</td>
<td>201211762</td>
<td>Off-Market Buy Back Acceptance Form re the University’s holding of 700,000 ordinary shares in Future Generation Investment Fund Limited (previously Australian Infrastructure Fund) on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1144</td>
<td>05/08/2014</td>
<td>201211748</td>
<td>Request for Direct Credit re the University’s holding of Healthscope on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1145</td>
<td>13/08/2014</td>
<td>201211748</td>
<td>Request for Direct Credit re the University’s holding in Sonic Healthcare Limited on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1146</td>
<td>21/08/2014</td>
<td>201112698</td>
<td>Services Agreement between The Australian National University (Principal) and Controlworks (Contractor) re 52 Collins St Melbourne on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1147</td>
<td>21/08/2014</td>
<td>201211748</td>
<td>Equity Swap Transaction – Deal Reference 505367 between Macquarie Bank Limited and The Australian National University re Telstra Corp Ltd on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1148</td>
<td>28/08/2014</td>
<td>200603135</td>
<td>Withdrawal Offers Request Form – Valad Core Plus Fund re withdrawal of 5,000,000 stapled units on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1149</td>
<td>03/09/2014</td>
<td>201112698</td>
<td>Services Agreement (Security) between The Australian National University (Principal) and Wilson Security Pty Ltd (Contractor) re 52 Collins St Melbourne on behalf of the Long Term Investment Pool</td>
</tr>
</tbody>
</table>
24 UNIVERSITY SEAL REPORT

PURPOSE
To consider uses of the University Seal.

PREPARED BY
Office of Vice-Chancellor

REVIEWED BY
Vice-Chancellor

APPROVED BY
Vice-Chancellor

RECOMMENDATION
That Council note that the documents to which the University Seal has been affixed since the meeting of Council held on 25 July 2014.

ACTION REQUIRED
For discussion ☐ For decision ☐ For information ☑

SUPPORTING MATERIAL

The University Seal Statute 2002 came into effect on 11 June 2002. The Statute provides that the seal of the University must not be used except upon the order of the Council or as provided by the Statute. Section 5 of the Statute provides that:

1. Affixing of seal to other documents
   a. If a document is required to be under the seal of the University but the affixing of the seal is not authorised by section 4, the Chancellor or the Vice-Chancellor may direct the custodian to affix the seal of the University to the document, and, at the first opportunity, the Chancellor or the Vice-Chancellor, as the case requires, must report to the Council the action so taken.

A list of documents to which the University Seal has been affixed since the meeting of Council held on 25 July 2014 is as follows:

- 11 August 2014 Deed of Indemnity and Access – Council Member – Robin Hughes
- 11 August 2014 Deed of Indemnity and Access – Council Member – Suzanne Cory
- 11 August 2014 Deed of Indemnity and Access – Council Member – Naomi Flutter
- 11 August 2014 Deed of Indemnity and Access – Council Member – Patrick Dodson
25 SIGNIFICANT VISITS AND EVENTS, GRANTS AND CONSULTANCIES

PURPOSE To consider a report of significant visits and events, grants and consultancies.

PREPARED BY Office of Strategic Communications and Public Affairs

REVIEWED BY Director, Strategic Communications and Public Affairs

APPROVED BY Vice-Chancellor

RECOMMENDATION That Council note the report of significant visits and events, grants and consultancies.

ACTION REQUIRED For discussion ☐ For decision ☐ For information ☑

ATTACHMENT
25.1 Report of significant visits and events, grants and consultancies (144/2014).
Significant Events from 1 July – 31 August 2014

What constitutes a Significant Event?

- A public lecture, event or seminar which attracts over 200 guests,
- A named lecture of historical significance,
- A lecture by a significant overseas guest,
- A visit by an international delegation,
- A visit or talk by a local or federal member,
- Building opening, or
- Awarding of major prize

JULY

VIP Event
ANU College of Medicine, Biology and Environment
Monday 30 June – Friday 11 July 2014
European Molecular Biology Laboratory Australia PhD Winter School
Guest speakers including Senator Kate Lundy, Chief Scientist Professor Ian Chubb AC and Professor Aidan Byrne, CEO Australian Research Council presented to the 60 students attending the winter school.

VIP Event
ANU Crawford School of Public Policy
Wednesday 2 July 2014
Public lecture and book launch: ANU Vice-Chancellor launched the book *Income contingent loans* by Nobel Laureate Professor Joseph Stiglitz, Professor Bruce Chapman and Dr Timothy Higgins. The launch was followed by a keynote address by Professor Stiglitz. Co-hosted with The Australia Institute.

Major Event
ANU Heritage Office
Wednesday 2 July 2014
100th birthday celebrations for Old Canberra House held in partnership with Cockington Green who unveiled a 1:12 scale model of Old Canberra House. Co-hosted with Alumni Relations and Philanthropy

Major Event
ANU College of Physical and Mathematical Sciences
Friday 5 July 2014
Mt Stromlo Public Astronomy Nights
Over 500 members of the public in attendance
Hosted by the ANU Research School of Astronomy and Astrophysics

VIP Event
ANU College of Asia and the Pacific
Tuesday 8 July 2014
Visit to ANU by Prime Minister of Japan, His Excellency Shinzo Abe
His Excellency met with the ANU Vice-Chancellor, academics and graduate students and observed a signing of a Memorandum of Understanding with Ritsumeikan Asia Pacific Research Institute and the ANU College of Asia and the Pacific. Co-Hosted with the ANU Australia-Japan Research Centre

VIP Visit
ANU College of Asia and the Pacific
Wednesday 9 July 2014
A delegation from Ritsumeikan University, Japan, led by Professor Kawaguchi Kiyofumi,, Chancellor of the Ritsumeikan Trust and President of Ritsumeikan University, met with Professor Ian Young, Dr Erik Lithander, Professor Andrew Walker, Professor Luca Tacconi, Professor Veronica Taylor, Dr Davina Potts and Ms Leanne Harrison. The purpose of the visit was to establish a cooperative education program between Ritsumeikan University and the ANU College of Asia and the Pacific.

VIP Event
ANU College of Physical and Mathematic Sciences
Thursday 10 July 2014
Launch of H1 Facility Upgrade and Fusion Science Strategic Plan.
ACT Senator Zed Seselja and the ANU Vice-Chancellor officially launched the facility upgrade. This upgrade will facilitate the collaboration between the Australian Plasma Fusion Research Facility and the Australian Nuclear Science and Technology Institute.
Hosted by the ANU Research School of Physics and Engineering

VIP Event
ANU Crawford School of Public Policy
China Update 2014
Thursday 10 July 2014
The China Update dinner was attend by Professor Margaret Harding Deputy Vice-Chancellor (Research), Emeritus Professor Peter Drysdale, Emeritus Professor Ross Garnaut AO, Mr Andrew Harding CEO Iron Ore Rio Tinto, Dr Ivan Roberts Reserve Bank of Australia and Mr Xue Bing, Embassy of China.
Hosted by ANU Rio Tinto China Economy Program

VIP Event
ANU Crawford School of Public Policy
China Update 2014
Friday 11 July 2014
The keynote address for the China Update was delivered by The Hon Malcolm Turnbull MP Minister for Communications. Professor Jenny Corbett, Pro Vice-Chancellor (Research and Research Training) represented the ANU Vice-Chancellor.
Hosted by the ANU Rio Tinto China Economy Program

VIP Event
ANU College of Physical and Mathematical Sciences and ANU College of Medicine, Biology and Environment
Monday 14 July 2014
Official opening of the ANU Sciences Precinct
The ANU Vice-Chancellor welcomed The Hon Bruce Billson MP Minister for Small Business, on behalf of the Hon Christopher Pyne Minister for Education, to officially open the sciences precinct. Chief Scientist Professor Ian Chubb AC and Professor Aidan Byrne AO CEO Australian Research Council were also in attendance.

VIP Event
ANU College of Asia and the Pacific
Monday 14 July 2014
Launch of The Millennium Development Goals Report 2014
Senator Brett Mason, Parliamentary Secretary to the Minister for Foreign Affairs launched the report.
Hosted by the ANU Asia Pacific College of Diplomacy

VIP Event
ANU College of Physical and Mathematical Sciences
Tuesday 15 July 2014
Launch of the Advanced Instrumentation and Technology Centre (AITC), Mount Stromlo
The Hon Ian Macfarlane MP, Minister for Industry, launched stage two of the AITC, a
national capability that supports ANU research excellence and facilitates research
collaboration with other universities and industry both in Australia and overseas.
Hosted by the ANU Research School of Astronomy and Astrophysics

VIP Event
ANU College of Asia and the Pacific
Thursday 17 July 2014
Lecture – New momentum: Can the success in Bali transform the WTO?
Presented by His Excellency Ambassador Roberto Azevedo, Director-General World Trade
Organization. In attendance was Mr Hamish McCormick, Australian Ambassador and
Permanent Representative to the World Trade Organization and Mr Gary Banks AO, Dean
and CEO of ANZSOG.
Hosted by the ANU East Asian Bureau of Economic Research, Crawford School of Public
Policy

VIP Event
ANU College of Asia and the Pacific
Friday 18 July 2014
Fourth Annual IARU Global Cross-Disciplinary Tournament (GXT)
Professor Ian Chubb AC, Chief Scientist, delivered the keynote address at the symposium.
Hosted by the ANU School of International, Political and Strategic Studies

VIP Visit
The University of Tokyo
Friday 18 July 2014
The University of Tokyo is developing an ICT system supporting interactive lectures between
several universities and planning to hold these lectures at the IARU Global Summer
Program in 2015. Dr Takeo Fujiwara, Project Professor at the Center for Research
Development of Higher Education, visited ANU to discuss the possibility of establishing
interactive lectures between ANU and UTokyo. Attendees from ANU included Dr Davina
Potts, Professor Tessa Morris-Suzuki, Mr Richard Robinson and Ms Margaret Carlin.

VIP Event
ANU College of Medicine and Physical Sciences
Wednesday 23 July 2014
Launch of the Judith Whitworth Fellowship for Gender Equity in Science
The ANU Vice-Chancellor and Ms Katy Gallagher MLA, ACT Chief Minister to launched the
Fellowship which was attended by Emeritus Professor Judith Whitworth.
Hosted by the The John Curtin School of Medical Research

VIP Event
ANU Students’ Association Queer* Department
Monday 28 July 2014
ANU Queer 20th Anniversary Reception and launch of ANU LGBTI Strategy
Mr Andrew Barr MLA, Deputy Chief Minister, spoke at the 20 year anniversary celebration of
ANU Students’ Association Queer* Department. The event also launched the University’s
strategy towards improved LGBTI inclusiveness as a new member of Pride in Diversity and
the future plans of the Ally Network.

VIP Event
ANU College of Business and Economics
Tuesday 29 July 2014
Book launch - *The economics of just about everything*, by The Hon Andrew Leigh MP
Over 300 guests in attendance
Hosted by the ANU Research School of Economics

**VIP Event**
**ANU Sport and Recreation Council**
*Tuesday 29 July 2014*
Annual ANU Blues Awards
Sporting accolades awarded to student-athletes at ANU. The awards were presented to athletes in recognition of their outstanding sporting achievements and for enhancing the reputation of university sport. Awards were presented by the ANU Vice-Chancellor.

**VIP Event**
*Wednesday 30 July 2014*
The National Press Club address
The ANU Vice-Chancellor delivered an address at the National Press Club on *The Future of Higher Education*. Distinguished guests in attendance were Chief Scientist Professor Ian Chub AC and Bridget McKenzie, Senator for Victoria.
Hosted by the National Press Club

**VIP Lecture**
**ANU College of Law**
*Thursday 31 July 2014*
Lecture - *Protection of women in conflict: Chief of Army discusses the London Global Summit*
Presented by Lieutenant General David Morrison AO, Chief of Army.
Co-Hosted by the ANU Gender Institute

**AUGUST**

**VIP Forum**
**ANU Research Training**
*Friday 1 August 2014*
Forum - *What will you do when your doctorate is done?*
Speakers included Nobel Laureate Professor Brian Schmidt, Dr Subho Banerjee Deputy Secretary (Science, Research and Skills) Department of Industry, Dr Adam Bandt MP Deputy Leader of The Greens and The Hon Dr Andrew Leigh MP.
Hosted by ANU Research Services

**VIP Event**
**ANU Gender Institute**
*Friday 1 August 2014*
Panel discussion - *Framed? Julia Gillard and the gender wars*
Panellists included Professor Linda Trimble University of Alberta, Canada, Professor Carmen Lawrence former WA Premier and political journalist Christine Wallace.

**VIP Event**
**ANU International Students’ Department**
*Saturday 2 August 2014*
ANU Eid Al-Fitr Festival
Deputy Vice-Chancellor (Academic) Professor Hughes-Warrington spoke at the celebration at the conclusion of Ramadan, the month of fasting for the Islamic Community. 12 ANU student associations and society's joined together for this celebration.

**VIP Event**
ANU Rhetoric Learning Community  
*Sunday 3 August 2014*  
ANU Forum - *A day in the life of an Ambassador*  
His Excellency Dr Mueller German Ambassador to Australia spoke at the reception.

**VIP Event**  
**ANU Facilities and Services**  
*Monday 4 August 2014*  
Anthony Low Building renaming  
ANU Vice-Chancellor spoke at the naming of the Anthony Low Building, formerly the Innovations Building. Emeritus Professor Anthony Low AO and his family were in attendance.

**VIP Event**  
**ANU College of Law**  
*Monday 4 August 2014*  
Memorial Service for Emeritus Professor Leslie Zine  

**VIP Event**  
**ANU College of Engineering and Computer Science**  
*Tuesday 5 August 2014*  
Launch of The Enable Technology Learning Program  
Professor Marnie Hughes-Warrington, Deputy Vice-Chancellor (Academic) launched the Enable Technology Learning Program.  
Co-Hosted by Enable Development

**VIP Event**  
**ANU College of Asia and Pacific**  
*Tuesday 5 August 2014*  
Queen’s Birthday Honours Function  
The Queen’s Birthday Honours awarded to Professor Desmond Ball AO and Professor Hugh White AO were acknowledged and celebrated by the University.  
Hosted by the ANU School of International Political and Strategic Studies

**VIP Event**  
**ANU/Canberra Times meet the author event**  
*Thursday 7 August 2014*  
Book talk - *The fights of my life*, presented by Greg Combet, former Minister for Climate Change and Energy Efficiency. The Hon Dr Andrew Leigh MP gave the vote of thanks.

**VIP Event**  
**ANU College of Engineering and Computer Science**  
*Friday 8 August 2014*  
2014 Engineering Games  
The ANU Vice-Chancellor welcomed students, their parents and guests to ANU. He commended students for participating in the challenge which would further develop their knowledge, skills and networks.  
Co-hosted by Engineers Australia

**VIP Event**  
**ANU College of Arts and Social Sciences**
Friday 8 August 2014
Launch of European Union (EU) Centres in Australia and New Zealand
The ANU Vice-Chancellor welcomed members of the EU Centres and The Hon Bronwyn Bishop MP to ANU. Diplomatic communities in attendance were: British High Commission, Embassy’s of: Australia, Belgium, Bosnia and Herzegovina, Ecuador, Finland, France, Greece, Hungary, Italy, Lebanon, Mexico, Romania, Spain, Sweden, Switzerland, Czech Republic, Democratic Republic of Timor-Leste, Federal Democratic Republic of Ethiopia, Federal Republic of Germany, Kingdom of Morocco, Kingdom of the Netherlands, People’s Democratic Republic of Algeria, Philippines, Republic Azerbaijan, Republic of Bulgaria, Republic of Chile, Republic of Colombia, Republic of El Salvador, Republic of Iraq, Republic of Kosovo, Republic of Poland, Republic of Serbia, Republic Slovenia, Slovak Republic, Socialist Republic of Vietnam, Uruguay, General Palestinian Delegation, High Commissions of Malta, Pakistan, Republic of South Africa, Cyprus, Mauritius, Republic of Botswana, Republic of Kenya, International Organisation for Migration, Royal Danish Embassy, Royal Norwegian Embassy and United Nations High Commissioner for Refugees.
Hosted by the ANU Centre for European Studies

VIP Event
ANU College of Business and Economics
Wednesday 13 August 2014
Trevor Swan Distinguished Lecture in Economics - Neoclassical Growth Theory: From Swan to now, presented by Nobel Laureate Professor Edward Prescott.
Approximately 480 people in attendance
Hosted by the ANU Research School of Economics

VIP Conference
ANU College of Arts and Social Sciences
Thursday 14 August 2014
ANU Humanities Conference
The colloquium The value of the humanities was opened by ANU Vice-Chancellor.
Co-Hosted by the ANU Emeritus Faculty and the National Scholarly Communications Forum

Major event
Eat, drink & be literary series
Friday 15 August 2014
Literary dinner with Chris Uhlman, ABC AM and Steve Lewis, former News Ltd journalist.
90 paying guests

VIP Event
ANU College of Business and Economics
Monday 18 August 2014
Book Launch – The good fight: six years, two prime ministers and staring down the Great Recession by Wayne Swan
The Vice-Chancellor welcomed The Hon Wayne Swan MP, The Hon Tanya Plibersek MP Deputy Leader of the Opposition, The Hon Dr Andrew Leigh MP and guests to ANU for the launch.
Co-Hosted by Allen & Unwin

VIP Event
ANU College of Law
Tuesday 19 August 2014
Public lecture - The Hon Michael Kirby on Human Rights in North Korea

VIP Visit
ANU College of Asia and the Pacific and ANU College of Law
Tuesday 19 August 2014
A delegation from Chuo University, Japan, including Vice President Professor Shigenori Wakabayashi and Mr Takafumi Okamoto from met with Dr Erik Lithander, Dr Davina Potts and Mr Jerome Ho. Prior to this meeting the delegation also visited the ANU College of Asia and the Pacific and met with Professor Veronica Taylor. The delegation also visited ANU College of Law and met with Professor Stephen Bottomley to discuss academic exchange program and the Australian Network for Japanese Law.

VIP Lecture
John XXIII College
Wednesday 20 August 2014
The Roncalli lecture was presented by Senator the Hon Penny Wong, Senator for South Australia.

VIP Visit
ANU Office of Pro Vice-Chancellor (Innovation)
Thursday 21 August 2014
Ms Katy Gallagher MLA, Chief Minister of ACT attended a roundtable discussion with members of the ANU Executive and management team followed by a tour of the Advanced Instrumentation Technology Centre.

VIP Event
ANU College of Medicine, Biology and Environment
Thursday 21 August 2014
The John Curtin School of Medical Research Foundation held its second anniversary dinner with Nobel Laureate Professor J Robin Warren. The Ambassador for Malaysia was in attendance.
Hosted by The John Curtin School of Medical Research Foundation

VIP Event
ANU College of Medicine, Biology and Environment
Monday 25 August 2014
Presentation of the 2013 Curtin Medal for Excellence in Medical Research and public lecture Why do we not have a vaccine against HIV or TB? Presented by Nobel Laureate Emeritus Professor Rolf Zinkernagel.
Hosted by The John Curtin School of Medical Research

VIP Lecture
ANU College of Asia and the Pacific
Tuesday 26 August 2014
Lecture – Facing the fall out
Mr Naoto Kan, member of the Democratic Party of Japan and former Prime Minister of Japan, spoke on the effects of Fukushima reactor crisis, how he was forced to consider a full scale evacuation of Tokyo in response to the unfolding nuclear emergency and subsequent decision to shut down all of Japan’s nuclear reactors.
Hosted by ANU Japan Institute

VIP Visit
ANU Centre for Arab and Islamic Studies
Tuesday 26 August 2014
Qatar University visit.
Her Excellency Professor Sheikha Abdulla Ali Al-Misnad, President of Qatar University, met with senior academics to discuss possible areas of collaboration and to develop a better understanding of the Australian tertiary education system.

VIP Event
Wednesday 27 August 2014
Federal Members and Senators GO8 Breakfast
Acting ANU Vice-Chancellor Professor Marnie Hughes-Warrington attended the GO8 breakfast at Parliament House. Other guests included Senator Zed Seselja, Senator Sam Dastyari, Senator Chris Ketter, Senator Lee Rhiannon, Mr David Coleman MP, The Hon Wayne Swan MP and Dr Peter Hendy MP.

VIP Event
ANU Crawford School of Public Policy
Wednesday 27 August 2014
Book launch – Gareth Evans *Inside the Hawke Keating government – A cabinet diary*
The Hon Paul Keating, former Prime Minister of Australia, launched Professor Evans’ book published by Melbourne University Press. In attendance were The Hon Chris Bowen MP, The Hon Tanya Plibersek, The Hon Susan Ryan AO and the Hon Warren Snowdon MP.
Co-Hosted by Melbourne University Press

VIP Event
ANU Research School of Astronomy and Astrophysics
Thursday 28 August 2014
Workshop – Women in Astronomy 2014
Senator the Hon Michaella Cash, Minister Assisting the Prime Minister for Women, delivered the opening address of the workshop.
Co-Hosted by Women in Astronomy Chapter

VIP Lecture
ANU Gender Institute
Thursday 28 August 2014
Ms Virginia Haussegger in conversation with Ms Mlambo-Ngcuka
Ms Mlambo-Ngcuka, United Nations Under-Secretary-General and Executive Director of United Nations Women, and Ms Virginia Haussegger, ABC TV news presenter, discussed issues one year on from the 20th anniversary of Beijing platform for action and post-2015 Development Framework.
Co-Hosted by the Department of Foreign Affairs and Trade

VIP Visit
ANU College of Engineering and Computer Science
Friday 29 August 2014
Visit by Chinese delegation Jimo (Qingdao) City People’s Government
The delegation met with academics from the College to discuss possible future collaboration.
**Australian National University - Research Services Division**

**Grants and Consultancies**

**Awarded between 1 July 2014 and 31 August 2014**

<table>
<thead>
<tr>
<th>College of Arts and Social Sciences</th>
<th>2</th>
</tr>
</thead>
<tbody>
<tr>
<td>College of Asia and the Pacific</td>
<td>3</td>
</tr>
<tr>
<td>College of Business and Economics</td>
<td>4</td>
</tr>
<tr>
<td>College of Engineering and Computer Science</td>
<td>5</td>
</tr>
<tr>
<td>College of Law</td>
<td>6</td>
</tr>
<tr>
<td>College of Medicine, Biology and Environment</td>
<td>7</td>
</tr>
<tr>
<td>College of Physical and Mathematical Sciences</td>
<td>9</td>
</tr>
</tbody>
</table>

**Caveats:**

1. The amount shown reflects the funds that were awarded for the entire grant/consultancy, grouped against the primary funds provider.
2. Although many grants/consultancies are collaborative efforts involving more than one area of the ANU, they are reported under the college of the primary department.
3. All amounts reported are in Australian dollars.
4. In a few cases the amount reported is nil. This can be for a variety of reasons, such as the contract is still under negotiation, or that the project is a non-monetary agreement.
## College of Arts and Social Sciences

<table>
<thead>
<tr>
<th>Primary Funds Provider</th>
<th>Primary Investigator</th>
<th>Title</th>
<th>Total Amount Awarded</th>
</tr>
</thead>
<tbody>
<tr>
<td>Aurora Project and Programs Pty Ltd</td>
<td>Dr Janet Hunt</td>
<td>Community Development Projects</td>
<td>$4,500</td>
</tr>
<tr>
<td>Australia Council</td>
<td>Ms Ashley Eriksmoen</td>
<td>Create a new body of work in timber utilising grown curves to imply movement and gesture in objects</td>
<td>$20,000</td>
</tr>
<tr>
<td>Australian Research Council (ARC)</td>
<td>Prof Matthew Spriggs</td>
<td>The collective biography of archaeology in the Pacific: a hidden history</td>
<td>$2,429,568</td>
</tr>
</tbody>
</table>
### Significant Visits, Events, Grants & Consultancies

<table>
<thead>
<tr>
<th>Primary Funds Provider</th>
<th>Primary Investigator</th>
<th>Title</th>
<th>Total Amount Awarded</th>
</tr>
</thead>
<tbody>
<tr>
<td>Australian Institute of Nuclear Science and Engineering (AINSE)</td>
<td>Dr Matthew Prebble</td>
<td>Calibrating late Holocene precipitation changes in the SPCZ using Pb210 dating of lake sediments</td>
<td>$7,500</td>
</tr>
<tr>
<td>Australian Research Council (ARC)</td>
<td>Dr Susan Harris-Rimmer</td>
<td>'Trading' Women's Rights in Transitions: Designing Diplomatic Interventions in Afghanistan and Myanmar</td>
<td>$653,993</td>
</tr>
<tr>
<td>Coffey International Development Pty Ltd</td>
<td>Prof Stephen Howes</td>
<td>ANU research partnership with NRI</td>
<td>$662,500</td>
</tr>
<tr>
<td>Commonwealth Department of Foreign Affairs and Trade, Australia-China Council</td>
<td>Prof Peter Drysdale</td>
<td>National Parliamentary Fellowships Program - China</td>
<td>$40,000</td>
</tr>
<tr>
<td>Commonwealth Department of Foreign Affairs and Trade, Australia-Japan Foundation</td>
<td>A/Prof Ippei Fujiwara</td>
<td>2014 Japan Update</td>
<td>$20,000</td>
</tr>
<tr>
<td>Max Planck Institute for History and the Sciences</td>
<td>Dr Paul Sidwell</td>
<td>Funding for Research Assistants</td>
<td>$10,000</td>
</tr>
<tr>
<td>University of Western Australia (UWA)</td>
<td>Dr Colin Filer</td>
<td>Postgraduate Student Research Support</td>
<td>$55,000</td>
</tr>
<tr>
<td>Primary Funds Provider</td>
<td>Primary Investigator</td>
<td>Title</td>
<td>Total Amount Awarded</td>
</tr>
<tr>
<td>-------------------------------------------------------------</td>
<td>---------------------------------------</td>
<td>----------------------------------------------------------------------</td>
<td>----------------------</td>
</tr>
<tr>
<td>Accounting and Finance Association of Australia and New Zealand</td>
<td>Dr Lijuan Zhang</td>
<td>Auditor Attributes and stock price synchronicity</td>
<td>$4,800</td>
</tr>
<tr>
<td>Accounting and Finance Association of Australia and New Zealand</td>
<td>Dr Yi (Louise) Lu</td>
<td>Auditor industry specialization and the value of cash holdings</td>
<td>$4,800</td>
</tr>
<tr>
<td>Accounting and Finance Association of Australia and New Zealand</td>
<td>Mr Sorin-Ovidiu Daniliuc</td>
<td>The Characteristics of targets' financial and legal advisors and their impact on M&amp;A value appropriation by targets' shareholders</td>
<td>$4,570</td>
</tr>
<tr>
<td>Australian Communications Consumer Action Network Ltd</td>
<td>Dr Alex Richardson</td>
<td>Competition and comparability in the consumer mobile telecommunications sector</td>
<td>$30,806</td>
</tr>
<tr>
<td>Primary Funds Provider</td>
<td>Primary Investigator</td>
<td>Title</td>
<td>Total Amount Awarded</td>
</tr>
<tr>
<td>-------------------------------------</td>
<td>--------------------------</td>
<td>----------------------------------------------------------------------</td>
<td>----------------------</td>
</tr>
<tr>
<td>Australian National University (ANU)</td>
<td>Mr Jeremy Smith</td>
<td>Enabling Technology: Engaging Engineering Students in Accessible Design</td>
<td>$14,500</td>
</tr>
<tr>
<td>Australian Research Council (ARC)</td>
<td>A/Prof Wojciech Lipinski</td>
<td>Thermal transport by design for fast and efficient solar thermochemical fuel production</td>
<td>$813,622</td>
</tr>
<tr>
<td>TOTAL S.A. (France)</td>
<td>Dr Daniel MacDonald</td>
<td>Identifying and characterising defects in n-type monocrystalline silicon</td>
<td>$62,653</td>
</tr>
<tr>
<td>Primary Funds Provider</td>
<td>Primary Investigator</td>
<td>Title</td>
<td>Total Amount Awarded</td>
</tr>
<tr>
<td>--------------------------------</td>
<td>-----------------------------</td>
<td>-----------------------------------------------</td>
<td>----------------------</td>
</tr>
<tr>
<td>Advocacy &amp; Rights Centre Ltd</td>
<td>Dr Elizabeth Curran</td>
<td>Bendigo Advocacy-Health Alliance Project</td>
<td>$28,454</td>
</tr>
<tr>
<td>Primary Funds Provider</td>
<td>Primary Investigator</td>
<td>Title</td>
<td>Total Amount Awarded</td>
</tr>
<tr>
<td>------------------------</td>
<td>----------------------</td>
<td>----------------------------------------------------------------------</td>
<td>----------------------</td>
</tr>
<tr>
<td>Australian Diabetes in Pregnancy Society</td>
<td>Dr Viviane Augusto</td>
<td>The Role of Maternal Iron in Offspring Pancreatic Islet Injury and Inflammation</td>
<td>$6,000</td>
</tr>
<tr>
<td>Australian Foundation for Mental Health Research</td>
<td>Mr Philip Batterham</td>
<td>Engaging the community to develop online mental health services</td>
<td></td>
</tr>
<tr>
<td>Australian Institute of Nuclear Science and Engineering (AINSE)</td>
<td>Dr Richard Greene</td>
<td>Baseline calibration of MIR to IBA; the first step towards wide spread chemical analysis of aeolian dust to improve provenancing</td>
<td>$7,780</td>
</tr>
<tr>
<td>Australian Research Council (ARC)</td>
<td>Dr Ajay Narendra</td>
<td>Information processing at its limits: from the dimmest habitats to the smallest sizes</td>
<td>$770,507</td>
</tr>
<tr>
<td>Australian Research Council (ARC)</td>
<td>Dr Guillame Tcherkez</td>
<td>REdefining metabolic Schemes and Pathways In plant leaf REspiration</td>
<td>$865,692</td>
</tr>
<tr>
<td>Australian Research Council (ARC)</td>
<td>Dr Julie Smith</td>
<td>Research to enhance measurement, understanding, and policy regulatory approaches to emerging markets and trade in mothers’ milk</td>
<td>$702,375</td>
</tr>
<tr>
<td>Commonwealth Scientific and Industrial Research Organisation (CSIRO)</td>
<td>Prof Anthony Jakeman</td>
<td>Bioregional Assessment Program (Technical Program)</td>
<td>$6,000</td>
</tr>
<tr>
<td>Luc Hoffman Institute</td>
<td>Dr James Pittock</td>
<td>Navigating the nexus of biodiversity, food, hydropower and water for conservation and sustainable development in the Mekong Basin.</td>
<td>$239,479</td>
</tr>
<tr>
<td>NSW Department of Environment and Heritage, National Parks and Wildlife Service</td>
<td>A/Prof Don Driscoll</td>
<td>Restoration for functional connectivity in box-gum woodlands</td>
<td></td>
</tr>
<tr>
<td>Organization</td>
<td>Name</td>
<td>Project Description</td>
<td>Amount</td>
</tr>
<tr>
<td>--------------------------------------------------------</td>
<td>-----------------------</td>
<td>------------------------------------------------------------------------</td>
<td>----------</td>
</tr>
<tr>
<td>NSW Office of Environment and Heritage</td>
<td>Ms Megan McNellie</td>
<td>Vegetation condition modelling, mapping and monitoring at regional scales</td>
<td>$15,000</td>
</tr>
<tr>
<td>Royal Zoological Society of NSW</td>
<td>Ms Georgeanna Story</td>
<td>Adapting to roads: can wombats survive the vehicle invasion?</td>
<td>$1,500</td>
</tr>
<tr>
<td>Royal Zoological Society of NSW</td>
<td>Ms Katherine Moon</td>
<td>Penguin ectoparasites of the Southern Hemisphere</td>
<td>$1,500</td>
</tr>
<tr>
<td>University of Minnesota</td>
<td>Dr Martin Sellbom</td>
<td>Assessment of callousness using MMPI-2-RF</td>
<td>$38,302</td>
</tr>
<tr>
<td>University of New South Wales (UNSW)</td>
<td>Prof Anthony Jakeman</td>
<td>Groundwater Infrastructure Research Operational Support</td>
<td>$85,573</td>
</tr>
<tr>
<td>Primary Funds Provider</td>
<td>Primary Investigator</td>
<td>Title</td>
<td>Total Amount Awarded</td>
</tr>
<tr>
<td>------------------------</td>
<td>----------------------</td>
<td>----------------------------------------------------------------------</td>
<td>----------------------</td>
</tr>
<tr>
<td>Australian Institute of Nuclear Science and Engineering (AINSE)</td>
<td>Dr Matthew Hole</td>
<td>Plasma equilibrium and stability in presence of flow and anisotropy in a linear pinched Helicon discharge</td>
<td>$35,000</td>
</tr>
<tr>
<td>Australian Institute of Nuclear Science and Engineering (AINSE)</td>
<td>Prof John Howard</td>
<td>Radio frequency wave dynamics in the H-1 Heliac and MagPIE</td>
<td>$35,000</td>
</tr>
<tr>
<td>Australian Research Council (ARC)</td>
<td>Dr Colin Jackson</td>
<td>Anticipating, Combating and Exploiting the Evolution of Pesticide Resistance in Australian Agricultural Pests and Disease Vectors</td>
<td>$772,104</td>
</tr>
<tr>
<td>Australian Research Council (ARC)</td>
<td>Dr David Yong</td>
<td>Revealing the history of the Milky Way Galaxy through precision stellar spectroscopy</td>
<td>$674,404</td>
</tr>
<tr>
<td>Australian Research Council (ARC)</td>
<td>Dr Helen McGregor</td>
<td>El Niño in a changing climate: novel long-term perspectives from Pacific corals and model simulations</td>
<td>$771,360</td>
</tr>
<tr>
<td>Australian Research Council (ARC)</td>
<td>Dr Hua Xia</td>
<td>Transport barriers in complex turbulent flows: formation, detection and characterization</td>
<td>$712,104</td>
</tr>
<tr>
<td>Australian Research Council (ARC)</td>
<td>Dr Jimin Yu</td>
<td>Deep-sea carbonate cycles and their role in glacial-interglacial atmospheric CO2 changes</td>
<td>$758,724</td>
</tr>
<tr>
<td>Australian Research Council (ARC)</td>
<td>Dr Konstantin Bliokh</td>
<td>Complex light and matter waves: merging nano-optics, quantum physics, and field theory</td>
<td>$800,098</td>
</tr>
<tr>
<td>Australian Research Council (ARC)</td>
<td>Dr Nicholas Cox</td>
<td>Designing reactivity of homogeneous and heterogeneous water-splitting catalysts using multi-dimensional site-selective spectroscopies</td>
<td>$772,104</td>
</tr>
<tr>
<td>Organization</td>
<td>Name</td>
<td>Project Description</td>
<td>Funding</td>
</tr>
<tr>
<td>----------------------------------------------------------</td>
<td>---------------------------</td>
<td>-------------------------------------------------------------------------------------</td>
<td>---------</td>
</tr>
<tr>
<td>Australian Research Council (ARC)</td>
<td>Dr Oliver Nebel</td>
<td>Identifying the secular evolution of chemical heterogeneity in the mantle as probed by deep mantle plumes</td>
<td>$767,544</td>
</tr>
<tr>
<td>Australian Research Council (ARC)</td>
<td>Dr Vanessa Robins</td>
<td>Topological data analysis for enhanced modelling of the physical properties of complex micro-structured materials</td>
<td>$672,384</td>
</tr>
<tr>
<td>Australian Research Council (ARC)</td>
<td>Mr Brent Allan Groves</td>
<td>Seeing the Feeding of Galaxies</td>
<td>$620,104</td>
</tr>
<tr>
<td>Australian Research Council (ARC)</td>
<td>Mr Rhodri Davies</td>
<td>From plume source to hotspot: quantifying mixing in mantle plumes and its implications for the nature of deep-mantle heterogeneity</td>
<td>$683,700</td>
</tr>
<tr>
<td>Australian Synchrotron Company Ltd</td>
<td>Prof John Mavrogenes</td>
<td>Yb solubility and speciation in hydrothermal fluids: Implications for the transport of HREE and the formation of rare metals ore deposits.</td>
<td>$6,800</td>
</tr>
<tr>
<td>Revalesio Corporation</td>
<td>Prof Vincent Craig</td>
<td>Tolman Bubbles</td>
<td>$82,484</td>
</tr>
<tr>
<td>United Nations Commission for the Comprehensive Nuclear-</td>
<td>Dr Erdinc Saygin</td>
<td>Imaging Crustal Structure of Southeast Asia from Seismic Noise</td>
<td>$16,782</td>
</tr>
<tr>
<td>Test-Ban Treaty Organization</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
26 LEGISLATION

PURPOSE
To approve legislation and to note a progress report in relation to the 2014 review of University legislation.

PREPARED BY
Corporate Governance and Risk Office

REVIEWED BY
Director, Corporate Governance and Risk Office

APPROVED BY
Vice-Chancellor

RECOMMENDATION
That Council:

1. Approve the following legislation:
   1.1 Academic Board and Committees Statute 2014
   1.2 Honorary Degrees Rules 2014
   1.3 Staff Superannuation (Repeal) Statute 2014
   1.4 Superannuation Funds (Investment and Management) (Repeal) Statute 2014 and


ACTION REQUIRED
For discussion ☐ For decision ☑ For information ☑

BACKGROUND

1. Legislation for approval
The recommendations to Council detailed below have arisen following review of the instruments under the 2014 review of University legislation.

Academic Board and Committees Statute 2014
The Academic Board has recommended to Council that it approve the proposed Academic Board and Committees Statute 2014.

A review has been undertaken of the existing ANU Academic Board Statute 2013, with proposed changes having been subject to consultation with a wide variety of stakeholders across the University. The key changes to the Statute are:

- Changes to the membership:
  - Broadening the category for heads of schools or academic centres to include all members of College Executive Committees
  - Including the Dean of Students as a member
  - Including the University Librarian as a member

- Expanding the definition of "academic staff" to address some anomalies that currently exclude certain categories of academic staff

- Transferring some of the provisions relating to the operation of the Academic Board to the Rules

- Explicitly stating that the Vice-Chancellor may make Rules in relation to the Statute

Council should note that the Vice-Chancellor will be asked to approve a complementary set of Academic Board and Committees Rules later in 2014. In this regard, the Academic Board has endorsed a package of changes to the Rules. However changes to the University Access & Equity Committee are still being discussed within the University, and so the Rule changes have not been finalised. The expected principal changes to the Rules will include:

PART 5 – OTHER MATTERS FOR NOTING
• Inclusion of formal procedures to govern elections for the Academic Board
• A liberalisation of the rules in relation to the appointment of alternates for the Academic Board and Committees
• Adding the Dean of Medicine & Health Sciences to the membership of University Education and Research Committees
• Possible removal of the University Access & Equity Committee from the Rules as a committee of the Academic Board (noting that it will still operate as a separate University committee)

Honorary Degrees Rules 2014
The Rules are to be amended:
- to allow a member absent from a meeting to take part in the making of the decision by telephone or by advising their vote to the Chair or Secretary of the Committee by email or in writing before the final decision is made (subrule 6.6); and
- to change the title of certain offices in rules 4, 7, 8 and 9.

Staff Superannuation (Repeal) Statute 2014 and Superannuation Funds (Investment and Management) (Repeal) Statute 2014
The arrangements for the pensions covered by the two Statutes were transferred to, and are now administered by, UniSuper Ltd. As a consequence the Statutes have no effect and are to be repealed.

2. 2014 Review of Statutes, Rules and Orders – Progress report
At its meeting on 25 July Council noted a progress report in relation to the 2014 review of University legislation. The broad aims of the review are to ensure currency and to better align the Statutes as principle-focused instruments, supported by Rules and Orders which articulate the operational processes for implementation.

The suite of legislation being reviewed comprises 52 instruments and the results of the review to date are:
- 14 instruments do not require amendment;
- 34 instruments are under review of which 28 have been identified as requiring amendment;
- 4 instruments are before Council for approval.

A further report on progress will be provided at the December meeting of Council.

ATTACHMENT
26.1 Academic Board and Committees Statute 2014 (154/2014)
26. 2 Honorary Degrees Rules 2014 (155/2014)
26. 3 Staff Superannuation (Repeal) Statute 2014 (156/2014)
26. 4 Superannuation Funds (Investment and Management) (Repeal) Statute 2014 (157/2014)
THE AUSTRALIAN NATIONAL UNIVERSITY

Australian National University Act 1991

ACADEMIC BOARD AND COMMITTEES STATUTE 2014

The Council of The Australian National University makes this Statute under section 50 of the Australian National University Act 1991.

Dated: 3 October 2014.

Professor the Hon Gareth Evans AC QC FASSA
CHANCELLOR

Statute

1.1 This is the Academic Board and Committees Statute 2014.

2 Commencement

2.1 This Statute commences on 1 January 2015.

3 Definitions

3.1 In this Statute, unless the contrary intention appears:

academic staff means employees of the University each of whom holds a full-time or part-time standard or fixed term academic staff position, or a person who holds an academic appointment in a particular College who is nominated as an academic staff member for the purposes of this Statute by the Dean of that College;

Board means Academic Board established under section 4;

College Executive Committee has the same meaning as it has in the ANU College Governance Rules;

Rules means Rules made under this Statute.

4 Establishment of Board

4.1 There is to be an Academic Board established for the University with the powers and functions mentioned in this Statute and the Rules.

5 Chair and Deputy Chair of Board

5.1 The Council, on the recommendation of the Vice-Chancellor, is to appoint a person to Chair the Academic Board.

5.2 The Board is to appoint one of its members to be the Deputy Chair of the Board.

5.3 The term of appointment of the Chair of the Board is to be 2 years, but may be renewed for 1 further term of 2 years.

5.4 The Chair may, where necessary, undertake executive action on behalf of the Board between meetings and must report any such action back to the Board as soon as practicable.
6 Constitution of Board

6.1 The Academic Board consists of the following members:
   (a) the Chair appointed under section 5;
   (b) the Deputy Vice-Chancellors;
   (c) the Pro Vice-Chancellors;
   (d) the Registrars;
   (e) the Dean of each ANU College;
   (f) the Dean of Medicine and Health Sciences;
   (g) the Dean of Students;
   (h) the University Librarian;
   (i) 4 members of the academic staff elected from among the membership of the College Executive Committees of the ANU Colleges, not being the Dean of a College, as mentioned in an Order made by the Vice-Chancellor for the purpose;
   (j) 3 academic staff elected from among their number in the ANU College of Arts and Social Sciences;
   (k) 3 academic staff elected from among their number in the ANU College of Asia and the Pacific;
   (l) 3 academic staff elected from among their number in the ANU College of Business and Economics;
   (m) 2 academic staff elected from among their number in the ANU College of Engineering and Computer Science;
   (n) 2 academic staff elected from among their number in the ANU College of Law;
   (o) 3 academic staff elected from among their number in the ANU College of Medicine, Biology and Environment;
   (p) 3 academic staff elected from among their number in the ANU College of Physical and Mathematical Sciences;
   (q) 2 members of the general staff elected from among their number;
   (r) 1 postgraduate student appointed by the Vice-Chancellor in consultation with the President of the Postgraduate and Research Students' Association Inc.;
   (s) 1 undergraduate student appointed by the Vice-Chancellor in consultation with the President of the Australian National University Students' Association Inc.;
   (t) if there is no indigenous person holding a position on the Board, the Vice Chancellor, after consulting with the Tjabal Indigenous Higher Education Centre is to nominate 1 member of the academic staff who is an indigenous person to be a member of the Board.

6.2 The Chair of the Board with the agreement of the Board may appoint up to 5 additional members to provide a diversity of views if the Chair believes the current membership of the Board does not reflect the academic and cultural diversity of the University.

6.3 Subject to subsection 6.4, the term of appointment of each elected or appointed member of the Board is to be 2 years, but may be renewed.

6.4 The term of appointment of each appointed member of the Board mentioned in paragraph 6.1(r) and (s) is to be 1 year, but may be renewed.

7 Functions and powers of Board

7.1 For section 4, the functions of the Academic Board include:
   (a) operating with the assistance of specialist committees;
   (b) accrediting and reaccrediting programs and changes to existing programs;
(c) ensuring the maintenance of the highest standards in teaching, scholarship and research within the University;
(d) approving Degrees and other awards;
(e) discussing and developing policy recommendations in relation to the University's academic matters;
(f) maintaining an effective overview of the academic activities of the University and advising and assisting in their coordination;
(g) advising on the academic aspects and content of the University's strategic plan;
(h) providing a forum to facilitate information flow and debate within the University and between the senior executive officers of the University and the wider academic community;
(i) reporting to the University Council at intervals, and in the manner specified by the University Council, on the performance of its functions.

7.2 The Board may perform such other functions, undertake such other responsibilities or exercise such other powers as the Vice-Chancellor from time to time directs or as are set out in the Rules.

7.3 The Board may appoint committees in accordance with the Rules to assist it in carrying out its functions.

7.4 In giving advice to the Council or the Vice-Chancellor, the Board may consult with University policy committees, committees of the Board or other University bodies or members.

7.5 The Chair of the Board is to provide the Council with such reports relating to the operations of the Board as the Council requests.

**Returning Officer**

8.1 An election to which paragraphs 6.1(i) and 6.1(q) apply must be conducted by the Vice-Chancellor, or his or her nominee, who is to be the Returning Officer for the election.

8.2 The Vice-Chancellor may appoint a Deputy Returning Officer for the election to assist the Returning Officer in the carrying out of his or her functions.

8.3 An election for an academic staff position elected by an individual College to which paragraphs 6.1(j) to 6.1(p) apply must be conducted by the College Dean, or his or her nominee, who is to be the Returning Officer for the election.

8.4 The College Dean may appoint a Deputy Returning Officer for the election to assist the Returning Officer in the carrying out of his or her functions.

**9 Transitional**

9.1 A person holding office under paragraph 6.1(i) immediately before the commencement of this rule is to be regarded on and from the commencement of this rule as being a member elected from the College Executive Committees for the balance of their original term.

**10 Repeal**

10.1 The Australian National University Academic Board Statute 2013 as amended and in force immediately before the commencement of this Statute, is repealed.
11 Rules and Orders
11.1 The Council or the Vice-Chancellor may make Rules not inconsistent with this Statute, prescribing all matters required or permitted by this Statute to be prescribed, or necessary or convenient to be prescribed, for carrying out or giving effect to this Statute and, in particular, may make Rules about the following matters:

(a) setting out powers and functions of the Board;
(b) providing for the organisation and operations of the Board;
(c) establishing and regulating the operations of University committees and subcommittees established under the Rules or by the Board;
(d) providing for the election of members of the Board.
THE AUSTRALIAN NATIONAL UNIVERSITY

Programs and Awards Statute 2013

HONORARY DEGREES RULES 2014

The Council of The Australian National University makes these Rules under section 8 of the Programs and Awards Statute 2013.

Dated: 3 October 2014.

Professor the Hon Gareth Evans AC QC FASSA
CHANCELLOR

1 Name of Rules and commencement
1(1) These Rules are the Honorary Degrees Rules 2014.

(2) These Rules commence on the day after they are registered.

2 Definitions
2(1) In these Rules, unless the contrary intention appears:
Committee means the Honorary Degrees Committee established under these Rules;
Deputy Vice-Chancellor, in relation to a matter, means the person who holds office as a Deputy Vice-Chancellor and who has portfolio responsibility for the matter;
honorary degree means a degree that may be awarded under rule 3.

3 Honorary degrees
3(1) An honorary degree may be awarded to a person to recognise a significant contribution to the work, reputation or standing of the University made by the person through:
   (a) outstanding achievement as a scholar in any field of scholarship, letters or the arts; or
   (b) outstanding contributions in the service of society; or
   (c) outstanding service to the University.

3(2) However, in an exceptional case, an honorary degree may be awarded to a person to recognise:
   (a) outstanding achievement by the person as a scholar in any field of scholarship, letters or the arts; or
   (b) outstanding contributions by the person in the service of society;
whether the recipient has been associated with the University, or has made a direct contribution to the work, reputation or standing of the University, or not.
3(3) Any degree of the University, except the degree of Doctor of Philosophy, may be awarded as an honorary degree.

3(4) The honorary degree of Doctor of the University may be awarded for outstanding service to the University.

3(5) In spite of anything contained in subrules 3(1) to 3(4), an honorary degree may not be awarded to a person who is, when nominated, a member of the staff of the University.

4 Proposals

4(1) A proposal for admission to an honorary degree:
   (a) is to be in writing signed by one or more of the following persons as proposers, namely, the Vice-Chancellor, a member of the Council, an ANU College Dean or a Director of an academic area of an ANU College; and
   (b) must give the reasons which make it particularly appropriate that the person proposed should receive an honorary degree of the University; and
   (c) must contain supporting information, and may include supporting opinions and suggestions as to persons appropriate to be consulted in relation to the proposal.

4(2) A proposal must be addressed to the Chair of the Committee and delivered to the Director, Corporate Governance and Risk Office who must send it to the Committee for consideration and, if supported by the Committee, for recommendation to the Council.

5 Honorary Degrees Committee

5(1) There is established as a Committee of the Council, an Honorary Degrees Committee consisting of:
   (a) the Chancellor; and
   (b) the Pro-Chancellor; and
   (c) the Vice-Chancellor; and
   (d) the Deputy Vice-Chancellor; and
   (e) 3 members of the Council appointed by the Council, none of whom is:
      (i) referred to in paragraph (a) or (b); or
      (ii) a member of the staff of the University; or
      (iii) a student at the University; and
   (f) 1 member of the academic staff of the Institute of Advanced Studies appointed by the Council on the recommendation of the Vice-Chancellor, after appropriate consultation; and
   (g) 1 member of the academic staff of The Faculties appointed by the Council on the recommendation of the Vice-Chancellor, after appropriate consultation; and
   (h) either the President of the Australian National University Postgraduate and Research Students' Association Inc. or the President of the Australian National University Students' Association Inc., appointed by the Vice-Chancellor after consultation with both Presidents.

5(2) The Vice-Chancellor may appoint a member of the Council, being a person who is not:
   (a) already a member of the Committee; or
   (b) a member of the staff of the University; or
(c) a student at the University;
as an alternate member of the Committee for the purposes of a meeting which a member
appointed under paragraph (1) (a), (b), (c) or (e) is unable to attend.

5(3) The Vice-Chancellor may appoint an appropriate member of the academic staff of the
University as an alternate member of the Committee for the purposes of a meeting which a
member appointed under paragraph (1) (d), (f) or (g) is unable to attend.

5(4) A person who is a member of the Committee by virtue of holding an office of the kind
referred to in paragraph (1) (a) to (e) or (h) ceases to be a member of the Committee if that
person ceases to hold that office.

6 Procedure of the Committee

6(1) The Chancellor is to be the Chair at meetings of the Committee.

6(2) In the absence of the Chancellor at a meeting, the Pro-Chancellor or, in the absence
of the Pro-Chancellor, a member of the Committee elected by the Committee, must act as
Chair for the meeting.

6(3) Subject to these Rules, the Committee may determine its own procedure.

6(4) The quorum of the Committee for a meeting to consider a proposal for admission to
an honorary degree under subrule 3(1), (2) or (4) is 8.

6(5) Subject to subrule 6(6), a proposal for admission to an honorary degree may be
adopted by the Committee only if it is supported by at least 80% of the members present at
the meeting.

6(6) However, if a member is absent from a meeting, the member may take part in the
making of the decision by telephone or by advising their vote to the Chair or secretary of the
Committee by email or in writing before the final decision is made.

7 Confidentiality

7(1) A proposal for the award of an honorary degree must be considered highly
confidential until the Council resolves to admit the person concerned to the degree.

7(2) If the Committee decides not to accept a proposal, the Director, Corporate
Governance and Risk Office must inform the proposers accordingly.

8 Council

8(1) When the Committee accepts a proposal for the award of an honorary degree, the
Director, Corporate Governance and Risk Office must ascertain the proposed recipient's
willingness to be admitted to the degree.

8(2) If the proposed recipient is willing to be admitted to the degree, the Chair of the
Committee must send the Committee's acceptance of the proposal to the Council for
consideration.

9 Conferring

9(1) The conferring of an honorary degree is to be at such time and place as are
convenient to both the University and the recipient.
9(2) An honorary degree may not be conferred in absentia.

9(3) However, in spite of subrules 9(2) and 8(1), an honorary degree may be conferred posthumously if the Director, Corporate Governance and Risk Office had received the relevant proposal under subrule 4(2) before the death of the nominee.

10 Repeal

10(1) The Honorary Degrees Rules 2012, as amended and in force immediately before the commencement of these Rules, are repealed.

--------------------------------------------------------------------------------------------------------------------------------
THE AUSTRALIAN NATIONAL UNIVERSITY

Australian National University Act 1991

STAFF SUPERANNUATION (REPEAL) STATUTE 2014

The Council of The Australian National University makes this Statute under section 50 of the Australian National University Act 1991.

Dated: 3 October 2014.

Professor the Hon Gareth Evans AC QC FASSA
CHANCELLOR

1 Name of Statute

1.1 This is the Staff Superannuation (Repeal) Statute 2014.

1.2 This Statute commences on the day after it is registered.

2 Repeal

2.1 The Staff Superannuation Statute 2007, as amended and in force immediately before the commencement of this Statute, is repealed.

[NOTE: To avoid doubt, Rules made under the repealed Statute lapse upon the Statute's repeal.]
THE AUSTRALIAN NATIONAL UNIVERSITY

Australian National University Act 1991

SUPERANNUATION FUNDS (INVESTMENT AND MANAGEMENT) (REPEAL) STATUTE 2014

The Council of The Australian National University makes this Statute under section 50 of the Australian National University Act 1991.

Dated: 3 October 2014.

Professor the Hon Gareth Evans AC QC FASSA
CHANCELLOR

1 Name of Statute
1.1 This is the Superannuation Funds (Investment and Management) (Repeal) Statute 2014.
1.2 This Statute commences on the day after it is registered.

2 Repeal
2.1 The Superannuation Funds (Investment and Management) Statute, as amended and in force immediately before the commencement of this Statute, is repealed.

[NOTE: To avoid doubt, Rules made under the repealed Statute lapse upon the Statute’s repeal.]
27 2015 COUNCIL MEETING DATES

PURPOSE To note the 2015 Council meeting dates, as approved at the February 2014 strategic retreat.

PREPARED BY Director, Corporate Governance and Risk Office

REVIEWED BY Director, Corporate Governance and Risk Office

APPROVED BY Chancellor

RECOMMENDATION That Council note the 2015 Council meeting dates, as approved at the February 2014 strategic retreat.

ACTION REQUIRED
For discussion ☐ For decision ☐ For information ☑

BACKGROUND
At its strategic retreat on 21 February 2014, Council approved the following meeting schedule for 2015:

- 20 February 2015
- 27 March 2015
- 29 May 2015
- 24 July 2015
- 2 October 2015
- 4 December 2015

Attachment 27.1 provides a broad schedule of proposed business agenda items for Council’s consideration and noting.

ATTACHMENT
27.1 2015 Proposed Schedule of Key Business Agenda Items (147/2014)
## 2015 PROPOSED SCHEDULE OF KEY BUSINESS AGENDA ITEMS

<table>
<thead>
<tr>
<th>Council Meeting Date</th>
<th>Key business agenda items</th>
</tr>
</thead>
<tbody>
<tr>
<td>20 February 2015</td>
<td>Strategic retreat: Review of ANU Strategy to 2030; and Staff Renewal at ANU; Fee Deregulation; Outcomes from Council Governance Review; 2016 Council Meeting Dates; Annual Disclosures of Interest; VC Terms and Conditions of Appointment and Annual Performance Review; Resolution of Nominations Committee on Council Membership, as applicable; Statement of Compliance with Voluntary Code of Best Practice in University Governance; Philanthropy Policy</td>
</tr>
<tr>
<td>27 March 2015</td>
<td>Annual Financial Statements, including Subsidiaries and ANAO Audit Clearance Statement; Annual Report; Pooled Capital Planning and Expenditure Proposals; Student Enrolments Update Report; Committee Membership; Reconciliation Action Plan Progress Report; Emeritus Faculty Annual Report; Emeritus Professors and Emeritus Fellows</td>
</tr>
<tr>
<td>29 May 2015</td>
<td>VC Report on Federal Budget; Projected Financial Results and KPIs; Honorary Doctorate Nominations; Student Accommodation Demand Analysis Review: Capital Investment Strategy; Academic Board Annual Report; Subsidiaries Quarterly Performance Reports; Work, Health and Safety Performance Report; Melbourne Engagement Strategy; Endowment for Excellence Annual Report to Donors</td>
</tr>
<tr>
<td>24 July 2015</td>
<td>2017 Fees Review; Report on Alumni Relations and Philanthropy; Ethics Committees Annual Reports; various Commercial items; Investment Management and Socially Responsible Investment Policy Assessment annual update</td>
</tr>
<tr>
<td>2 October 2015</td>
<td>2015 University Financial Projections; 2016 University Budget; 2016 Recurrent (Allocation) Budget; Capital Building Financial Summary Report; Research Renewal at ANU; Entity-wide Risk Management Framework; Honorary Doctorate Nominations; Briefing on Legislation</td>
</tr>
<tr>
<td>4 December 2015</td>
<td>Innovation and Commercialisation at ANU; Review of Council Performance; Review of Committee Performance Reports; Strategic Internal Audit Program and Annual Audit Plan; 2016 ICT Priorities; Report of Gender Equity Oversight Committee</td>
</tr>
</tbody>
</table>
PART 6 – OTHER BUSINESS

* 28 QUESTION TIME

PURPOSE For Members of Council to ask questions.

SPONSOR Chancellor

RECOMMENDATION That Council note any matters raised in question time.

ACTION REQUIRED
For discussion ☑ For decision ☐ For information ☐
* 29 OTHER BUSINESS

PURPOSE
For Council Members to raise any other business for the consideration of the meeting.

SPONSOR
Chancellor

RECOMMENDATION
That the Council consider any other business raised.

ACTION REQUIRED
For discussion ☒  For decision ☐  For information ☐
30   NEXT MEETING

PURPOSE For Council Members to note the date of the next meeting of Council.

SPONSOR Chancellor

RECOMMENDATION That it be noted that the next meeting of Council will be held on 5 December 2014.

ACTION REQUIRED
For discussion ☐ For decision ☐ For information ☑