COUNCIL

The 430th meeting of the Council will be held at 9.15am on Friday 4 December 2015 in the R C Mills Room, Chancelry. Any additional papers and briefing materials will be available in the Mills Room from 8.30am.

Apologies and enquiries to the Corporate Governance and Risk Office by telephone on (02) 6125 2113 or email at: Head.governance@anu.edu.au

Kate Molloy
Director
Corporate Governance and Risk Office

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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://www.anu.edu.au/about/governance/committees/council
PART 1 – PROCEDURAL ITEMS

* 1 ANNOUNCEMENTS AND APOLOGIES

There are no apologies 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 unstared items be dealt with as proposed in the agenda.
4. The Chair will invite members to foreshadow matters to be raised under Agenda Item 45, 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 2 October 2015 (815/2015).
THE AUSTRALIAN NATIONAL UNIVERSITY

COUNCIL MINUTES

Confidential until confirmed by Council
PART 2 – KEY BUSINESS ITEMS

*C 6 – 15 Confidential to Council Members
**16. ADMINISTRATIVE REFORM AT ANU**

**PURPOSE**
To provide Council with an update on the progress of various measures to improve University administration

**PREPARED BY**
Executive Director (Administration and Planning)

**REVIEWED BY**
Executive Director (Administration and Planning)
Director, Service Improvement Group
Director, Human Resources
Director, Planning and Performance Measurement

**APPROVED BY**
Executive Director (Administration and Planning)

**SPONSOR**
Executive Director, Administration and Planning

**RECOMMENDATION**
That Council note the progress report on administrative reform at ANU

**ACTION REQUIRED**
For discussion ☑ For decision ☐ For information ☑

**CONSULTATION**
Staff ☑ Students ☐ Alumni ☐ Government ☐ Other ☐ Not applicable ☐

All Service Divisions are contributing to the administrative reform agenda and have been consulted in respect of the update report to Council.

**BACKGROUND AND SUMMARY OF ISSUES**

**Introduction**

The last progress report on administrative reform was provided to the Council in December 2014. A further report was made to Finance Committee in May 2015.

At the last Council meeting, concerns were expressed as to the pace of administrative reform within the University. The concerns were prompted within the 2016 budget context, driven by the increase in professional staff expenses in 2015. Professional staff expenses grew by 7.9% in 2015 over 2014 levels.

The concerns were prompted within the 2016 budget context, driven by the increase in professional staff expenses in 2015. Professional staff expenses grew by 7.9% in 2015 over 2014 levels. The overall movement in professional staff numbers is shown on the chart below:
Professional staff numbers have plateaued during 2015 and are showing small declines over the latter part of the year.

Overall, Colleges have performed slightly better in controlling professional staff numbers than the University overall but a contributor to this trend has been centralisation of some functions.
UniForum

The main way in which we measure progress with administrative reform is through the UniForum benchmarking process. This independent benchmarking service assesses the cost of a comprehensive list of support staff processes. Twenty universities participate in the study, including all of the GO8 Universities. The ANU is University 16S. The data is based on a snapshot of information taken at 31 December each year.

Between the 31 December 2012 snapshot and the 31 December 2014 snapshot, the ANU achieved the second largest reduction in core services costs of any of the 20 universities.

These factors have driven an 11 percentage point reduction in ANU’s normalised Core Services costs between 2012 and 2014 to a position just below the Group average.

Notes:  
* CAGR measures the cumulative annual growth rate in actual costs for the 3 year 2012 – 2014 period
Source: UniForum Database 17 June 2015; Cubane analyses
Cubane Consulting Pty Ltd
The ANU now sits in a favourable position compared to the other Universities.

Universities that have completed change programs lead a trend towards more efficient Operations; ANU has achieved the strongest improvement to date and ‘Service Improvement’ projects aim to extend this trend.

Most of this saving was achieved in reductions in transactional processing costs:

Between 2012 and 2014, 15 of 17 universities contributed to the overall reduction in Transactional services normalised costs, with six universities recording reductions of 20 percentage points.

**NOTES:**

* See Appendix for details of Activity classifications
** Normalised costs are based on a three-year regression model calculated for Transactional services
Breaking these results down by the different internal service functions, the results are as follows:

While improvements in ANU’s normalised cost efficiencies between 2012 and 2014 span most functions, increasing and above average normalised costs for Community Engagement and Student Support & Services, and high IT costs warrant review.

NORMALISED OPERATIONS COST POSITIONS BY FUNCTION

Actual Cost as percent of Predicted, 2014, 3 year model (2012-2014)

- Priority areas based on relatively high normalised 2014 cost compared to other Functions at ANU include:
  - Student Support & Services
  - Community Engagement and
  - Information Technology

- Significant movements in Library, Teaching Support and General Administration may be explained, in part, by refinements to activity definitions within these Functions between 2012 and 2014

Based on more detailed analysis of the results so far, the major priorities for further improvement lie in the areas of information technology and student administration.

Administrative Services Survey

This UniForum cost based information needs to be supplemented with qualitative information on the internal perceptions of service quality. The ANU addresses this through an annual survey measuring satisfaction with administrative services. This survey has been in place since 2013. Over that period, the largest increases in average satisfaction are as shown in the table below:
The survey also measures overall perceptions of service quality from the various service divisions:

<table>
<thead>
<tr>
<th>Division</th>
<th>2013 n</th>
<th>2013 Mean</th>
<th>2014 n</th>
<th>2014 Mean</th>
<th>2015 n</th>
<th>2015 Mean</th>
</tr>
</thead>
<tbody>
<tr>
<td>Legal Office</td>
<td>207</td>
<td>3.81</td>
<td>203</td>
<td>3.81</td>
<td>172</td>
<td>3.83</td>
</tr>
<tr>
<td>Library and Scholarly Information Services</td>
<td>153</td>
<td>3.85</td>
<td>177</td>
<td>3.85</td>
<td>139</td>
<td>3.77</td>
</tr>
<tr>
<td>Corporate Governance and Risk Office</td>
<td>123</td>
<td>3.34</td>
<td>173</td>
<td>3.34</td>
<td>153</td>
<td>3.58</td>
</tr>
<tr>
<td>Division of Student Life</td>
<td>196</td>
<td>3.53</td>
<td>139</td>
<td>3.53</td>
<td>108</td>
<td>3.56</td>
</tr>
<tr>
<td>Facilities and Services</td>
<td>254</td>
<td>3.21</td>
<td>238</td>
<td>3.21</td>
<td>186</td>
<td>3.54</td>
</tr>
<tr>
<td>Division of Student Administration</td>
<td>146</td>
<td>3.41</td>
<td>156</td>
<td>3.41</td>
<td>130</td>
<td>3.52</td>
</tr>
<tr>
<td>Planning and Performance Measurement</td>
<td>143</td>
<td>3.18</td>
<td>187</td>
<td>3.18</td>
<td>164</td>
<td>3.48</td>
</tr>
<tr>
<td>Finance and Business Services</td>
<td>254</td>
<td>3.27</td>
<td>233</td>
<td>3.27</td>
<td>193</td>
<td>3.36</td>
</tr>
<tr>
<td>Information Technology Services</td>
<td>281</td>
<td>3.00</td>
<td>250</td>
<td>3.00</td>
<td>202</td>
<td>3.31</td>
</tr>
<tr>
<td>Global Programs and Engagement</td>
<td>275</td>
<td>3.29</td>
<td>252</td>
<td>3.22</td>
<td>199</td>
<td>3.28</td>
</tr>
<tr>
<td>Human Resources Division</td>
<td>152</td>
<td>3.38</td>
<td>170</td>
<td>3.38</td>
<td>131</td>
<td>3.26</td>
</tr>
<tr>
<td>Research Services Division</td>
<td>129</td>
<td>3.19</td>
<td>176</td>
<td>3.19</td>
<td>167</td>
<td>3.22</td>
</tr>
<tr>
<td>Service Improvement Group</td>
<td>275</td>
<td>3.22</td>
<td>252</td>
<td>3.22</td>
<td>199</td>
<td>3.28</td>
</tr>
<tr>
<td>Student Recruitment and Admissions</td>
<td>154</td>
<td>2.95</td>
<td>169</td>
<td>3.17</td>
<td>138</td>
<td>3.08</td>
</tr>
<tr>
<td>Strategic Communications and Public Affairs</td>
<td>254</td>
<td>3.34</td>
<td>233</td>
<td>3.23</td>
<td>148</td>
<td>3.15</td>
</tr>
<tr>
<td>Alumni Relations and Philanthropy</td>
<td>129</td>
<td>3.17</td>
<td>169</td>
<td>3.17</td>
<td>138</td>
<td>3.08</td>
</tr>
<tr>
<td>Marketing Office</td>
<td>188</td>
<td>2.84</td>
<td>196</td>
<td>2.84</td>
<td>160</td>
<td>2.94</td>
</tr>
<tr>
<td>Student Services</td>
<td>115</td>
<td>3.70</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Residential and Campus Communities</td>
<td>74</td>
<td>3.46</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Risk Management and Audit Office</td>
<td>129</td>
<td>3.52</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Governance Office</td>
<td>123</td>
<td>3.24</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
</tbody>
</table>

In terms of the processes which are most in need of improvement, the survey’s bottom 10 processes are as follows:

<table>
<thead>
<tr>
<th>2015 rank</th>
<th>Administrative activity</th>
<th>n</th>
<th>Mean</th>
<th>2014 rank</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Market research and analysis</td>
<td>109</td>
<td>2.67</td>
<td>1</td>
</tr>
<tr>
<td>2</td>
<td>Delegations Framework</td>
<td>179</td>
<td>2.69</td>
<td>12</td>
</tr>
<tr>
<td>3</td>
<td>Usability of university web management tools and publication controls</td>
<td>141</td>
<td>2.79</td>
<td>3</td>
</tr>
<tr>
<td>4</td>
<td>Fundraising activity and coordination</td>
<td>112</td>
<td>2.81</td>
<td>19</td>
</tr>
<tr>
<td>5</td>
<td>Advice on workforce planning</td>
<td>156</td>
<td>2.84</td>
<td>9</td>
</tr>
<tr>
<td>6</td>
<td>Recruitment of HDR students</td>
<td>103</td>
<td>2.84</td>
<td>17</td>
</tr>
<tr>
<td>7</td>
<td>Monitoring of data quality</td>
<td>125</td>
<td>2.85</td>
<td>8</td>
</tr>
<tr>
<td>8</td>
<td>Budgeting processes</td>
<td>163</td>
<td>2.88</td>
<td>4</td>
</tr>
<tr>
<td>9</td>
<td>Recruitment of international students</td>
<td>99</td>
<td>2.88</td>
<td>34</td>
</tr>
<tr>
<td>10</td>
<td>Management of the ANU public website</td>
<td>175</td>
<td>2.91</td>
<td>21</td>
</tr>
</tbody>
</table>

Administrative Reforms in 2015

In terms of the reforms in 2015, there have been a range of specific initiatives:

- **Financial Shared Services** - In October 2015, centralisation of financial transaction processing went live. This included the transfer of 19.8 wFTE from the Colleges to central finance to create a single team responsible for all financial transaction processing.

- **Electricity** - During 2015, a major project has been to progress reduction in energy consumption. This has been linked with the implementation of metering across over 250
buildings in order to read, identify major users, consumption patterns and manage usage. By the end of 2015 there will be 400 individual meters on the Acton Campus connected to the Building Management System (BMS). Integrating the metering to the finance system will allow prompt and accurate billing. The project will continue in 2016 to implement a number of building tune-ups and also an IT policy for computer shutdowns. Examples of savings are as follows:

School of Music modifications included turning off two of the humidifiers, adjusting the hours of operation of the HVAC and adjustments to the BMS controls achieved an electricity consumption reduction of 36% on 2014, cost saving for 2015 $110,000.

Central Plant savings were achieved by reducing operating modes, simplifying the parameters of the modes to gain greater efficiencies and fine tuning by observing the plant performance over time. Electricity consumption reduced by 16% on 2014, cost saving for 2015 $44,000.

School of Art offsets from the installation of a 39.24 kW PV Array achieved an electricity consumption reduction of 7% on 2014, cost saving for 2015 $9,500.

CBE savings from BMS tune up achieved an electricity consumption reduction of 14% on 2014, cost saving for 2015 $11,500.

- Travel. The new travel request and approval function went live on 17 November 2014. Since that time, 13,500 applications have been processed. The function also allows the University to gain extensive insight into travel patterns and volumes which, inter alia, has been used to change University policy on the payment of per diems for travel.

- Policy Governance Framework. The new Framework for the University came into operation in July 2015. It provides the structure within which University policies, procedures, guidelines and forms operate. The Framework is intended to improve the quality, understanding, accessibility, and compliance with policy documents by officers, staff and students of the University. The Framework is supported by an online ‘Policy Library’, which was updated and refreshed in 2015, and a comprehensive training program for staff which is regarded as best practice in the higher education sector, and which has enjoyed strong demand from staff wanting to enrol.

- Visitors and honorary appointees’ on-boarding. The new online process for visiting and honorary appointments went live on 31 July 2015. Since that time, 750 applications have been processed.

- Timesheets. Previously at the ANU casual timesheets for professional staff were submitted and approved on line but were manually calculated for payroll processing. These calculations have now been automated and this change went live in September 2015. Since that time, 3900 timesheets have been processed. Time saved has been calculated to be $400,000 per annum. The process for payment of casual academic staff is now being addressed with the same aims and is due to go into production at the end of 2015. Similar levels of processing savings are expected to be achieved as for professional staff timesheets.

- Investment management. The management of domestic equities was outsourced to a third party provider.

- Website services. In 2014, we commenced the process of consolidating the University website. In 2015 this continued with the consolidation and redesign of all the services websites. This went live on 29 July 2015 and involved the creation of 29 databases with more than 4,600 database entries, over 2,500 webpages and 3,900 redirects from old
websites to new webpages. The next phase of this ongoing work focusses on the University library site and on the student accommodation websites.

- **ERA and HERDC.** New processes for online input and validation of research data for both ERA and HERDC were implemented with significant improvements to data quality and to overall output measurement.

- **Statement of Academic Activity.** The statement of academic activity is an individual scorecard for every member of the academic staff. It provides integrated information on research grants, teaching, publications and HDR supervision in a single report with drill through to detailed transaction lists for all of these activities. It was first issued on 1 July 2015. It will inform the upgraded approach to professional development reviews mentioned below.

- **Professional Development Reviews.** These staff appraisal activities were previously paper based but on 20 September, 2015, a new online process was implemented. Since go live, some 320 performance appraisals have been commenced but the total annual volume, with full compliance should be in excess of 4,000 appraisals. The new facility allows us to track the level of participation in the performance appraisal process and this will be a major change.

- **TM1 and budgeting.** Further major changes to budgeting functionality were implemented during the course of 2015 including integration with student load modelling and projections and tools for budgeting S and Q accounts.

- **ERMS.** An electronic records management system for the entire University was implemented on 25 May 2015. Some 3,340,210 pages covering 58,502 files of historic information were digitised and loaded into the new system and all record keeping for staff, student, research and other University records is now undertaken on an electronic basis. Using the Intelledox tool, approved forms in travel, visitors etc are being automatically filed on completion further reducing the burden of record keeping.

### Reforms requiring more work

There were a number of reforms implemented in 2014 that have been re-evaluated and which require a second iteration of reform, having failed to meet full user expectations:

- **ANU recruit** was the new online staff recruitment system implemented in late 2014. There are a number of drawbacks with the system but in consultation with users we have identified 3 principle enhancements that are required to make the system more functional. The first of these, integration with the main payroll system, will be addressed by the end of the year with the other issues addressed during 2016.

- **Chief Investigator Financial Reporting.** These are automated on line reports on the financial status of each individual research grant. However, the reports lack sufficient detail on employee expense, data quality issues are significant, the absence of commitment information on future salaries expenses and other factors, have significantly reduced the value from that originally conceived and significant remediation is required.

- **Costing and Pricing.** This new tool for pricing research contracts and workflowing project approval has been the subject of feedback from Colleges and modifications are currently being workshopped.

---

**PART 2 – KEY BUSINESS ITEMS**
Such needs are not unexpected, the process of integrating all requirements was never expected to be perfect.

Nearly all of the other reforms have some degree of criticism attached to them and there will be other modifications which are required but the above 3 are those with the most criticisms at this time.

**Administrative Reform in 2016**

- **Delegations.** Both the actual nature of ANU delegations of authority and the systems that underpin it are the subject of very significant criticism within the University. The issues have been analysed in detail during 2015 and during 2016. There will be progressive reviews of existing delegations and the underlying delegations system, which powers most approval workflows, will be remediated.

- **Study Link.** Study link is our front end for student applications from international students, HDR students and postgraduate students. It receives 28,000 applications a year. The function has not been reviewed since implemented in 2005. It does not integrate with our student system, it is clunky and it does not properly time stamp actions, limiting its usefulness for reporting. It is being redeveloped with a new configuration which will address all these issues and is due for implementation in early 2016.

- **Data Integration.** One of the major issues in the ANU is data quality. One of the major contributing factors is poor integration between systems, leading to inconsistent data and errors caused by manual re-entry of data. An IT solution is presently being procured. First stage EOI’s have been evaluated and 5 vendors are under consideration. Selection of a product will occur early in 2016, with progressive implementation from then.

- **Car pooling.** The number of motor vehicles in the ANU fleet has been a concern for some time. In February 2016, we are introducing a new centralised fleet of pool vehicles replacing a number of locally based pool vehicles with low utilisation rates.

- **The Higher Degree Research Student Lifecycle.** During 2015, we undertook a complete process review of this area and a comprehensive improvement strategy has been developed. We are now specifying the IT system changes required to implement the strategy.

- **Student Administration.** Using the Intelledox tool, the current priority is to address a number of student processes selected based on criteria including high levels of pain points to end customers (students and staff), high volume and a high level of data entry and manual handling. These include student degree management interactions (consolidation and integration of 11 paper based forms across both Coursework and HDR), HDR milestones reporting and management, and Credit Transfer (both internal and external). These are due by the end of April 2016.

- **Self Insurance.** The workers compensation self insurance project has been on the list of priority projects since 2013 and has only recently gained some traction. It was always going to be a multi-year project given the scale of work required. It is a complete overhaul of our approach to WHS but the estimated financial savings are in excess of $3M per annum.

- **Financial reporting.** Our current financial reporting is inadequate and the cause of much duplication. This was to be addressed in 2015 but other priorities set it back. During 2016, new financial reporting processes and activities will be created.
Scholarships management. A comprehensive internal review of scholarships funding was conducted during the year, disclosing a wide range of issues that need to be addressed. The DVCA has been given responsibility for implementing new processes that tightly manage scholarship allocations and disbursements.

Cost Reduction and Cost Control in 2016

In November, we had a wide ranging discussion with the Senior Management Group discussing priorities for professional staff cost reduction. Based on these discussions, we identified a number of priority areas:

- We specifically accelerate reform and cost reductions in the areas of IT and student administration. This will mean specific consideration of centralisation of many parts of this activity and at an accelerated pace.

- We commission an external review of opportunities to increase technical efficiency through shared management of laboratory and technical facilities. The UniForum data shows that we have large numbers of resources in this area, see below:

- We ask for a report back on how well the additional funds allocated to the International and Outreach Portfolio and to Alumni Relations and Philanthropy are being used.
In addition to these areas, we have separate work going on relating to the provision of services to support student accommodation. This is linked to the PBSA investment transaction and we have identified that there are major savings opportunities in this area.

In terms of cost control, the issue remains one that is intrinsically related to the budget model. The current budget model allocates income by formula for each revenue category. As such the model does not flex for changes in work allocation, for efficiency improvements or to support cost control. It does not allow the flexibility to harvest cost savings from efficiency gains. Accordingly, this provides yet another reason for a reappraisal of the budget model in 2016.

**On Intelledox**

In 2014, the 2 ANU alumni who are founders of Intelledox donated their software to the University to support administrative reform and improvement. In the 12 months since that donation, the University has used the tool to streamline and move online the following processes:

- Travel requests and approvals
- Visitors and honorary appointees on-boarding
- Performance development reviews (academic and professional staff)
- Accelerated increments

These processes are now live, and the Service Improvement Group’s Intelledox team are now working on:

- Student degree management processing (both HDR and coursework)
- HDR milestones reporting and management
- Credit Transfer (internal and external)

These additional functions are due for delivery by April 2016. The majority of these processes are high volume processes and the current assessment is that the administrative savings from those functions already delivered exceed $1M per annum. The next priorities for Intelledox are still under consideration.

**Information Technology Reform**

Based on the UniForum data, our IT costs are our highest priority for efficiency gains. The source of the high costs is the devolved and duplicate nature of our IT activities, particularly in the area of server infrastructure, backup and recovery and service desk. While we have made significant progress, the rundown nature and underinvestment in our IT core infrastructure is the largest obstacle. The strategy so far on IT cost reduction and service improvement has been to commission projects in each of the core infrastructure spaces:

**Network** – Major upgrades to the University network are currently underway. These not only replace many ageing pieces of infrastructure but simplify network management and control through rationalising firewalls, internet gateway, IP addressing and various other network administration activities that have high overheads. The network will move to include more options for self-service.

**Servers** – Antiquated Windows2000 and Windows2003 servers are finally being de-commissioned (93). Colleges and Service Divisions are all being encouraged to transfer local servers to ITS for consolidated management. A number of Colleges have already proceeded with this transfer.

**Storage** – A major expansion of storage capacity has been implemented in 2015 to mitigate current risk. This will include the decommissioning of the 20 year old Pebble shared drive infrastructure during November. In 2016, there will be a full reconsideration of storage infrastructure and options, but in the interim, the extra storage currently being implemented in being marketed to Colleges as a vehicle for transferring local data storage to ITS.

**Desktop** – The Workspace program already covers 25-30% of all desktops in the University, with significant simplification of desktop administration. It is being progressively implemented University wide. This year the central IT procurement site was established to channel all IT

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PART 2 – KEY BUSINESS ITEMS
procurement. In 2016, the full remote patching and maintenance tools, using Microsoft SCCM, will be implemented University wide as well as the consolidated management of software licencing.

Service Desk. The central ITS service desk is now performing well according to the latest Systems Thinking Benchmarking (Service Perception), the self-service portal and service catalogues are in place and more and more Colleges are transferring their tier 1 support needs to ITS.

Domain and Identity. The identity management project and the associated consolidation of domains is proceeding more slowly than planned. CASS has been consolidated into the main domain and CAP is the next college for similar consolidation. The IDAM project is scheduled to be delivered in 2016 and will complement and support the work associated with delegations around position based management.

Product Lifecycle – There is a focus of ensuring our products remain relevant and up to date. Many of our enterprise systems were old versions, so we have been conducting upgrades include a Moodle Upgrade and Moodle Themes, HR/payroll upgrade, Finance upgrade, D Space upgrade. Older legacy systems are being replaced such as the new Chemical Management System, Echo 360 lecture capture system, decommissioning of DLD, Kick off of Cardax and BMS transfer of Infrastructure to ITS.

Staffing. Negotiations with Colleges on the transfer of resources from local to central IT are continuing. This year CASS, transferred all its IT staff to ITS.

Roadmap

The University's Service Improvement Group maintains an overall roadmap of activity that integrates the Uniforum and Administrative Services Survey and maps existing projects. This roadmap is Attachment 16.1.

The Pace of Administrative Reform

Community sentiment on administrative reform is mixed. Some are excited by the amount of reform and the possibility of moving to address more complex issues. Others are increasingly uncomfortable or critical. Most of the criticisms relate to two specific causes. Firstly, the principle underpinning administrative reform has been an 80/20 formula, solutions do not need to be perfect but should be a significant improvement over past practice. That working principle is opposed by some. Secondly, the creation of controlled single processes clash with historic local practices which are inconsistent between colleges and schools. There are many other criticisms but the former are the principal ones.

The more positive community sentiment towards administrative reform is, the greater the chance of acceptance and success, and the faster reform can be implemented. In order to make the sentiment towards reform as positive as possible a number of mechanisms have been established including:

- Development and implementation of a university wide project management policy, procedure and guidelines
- Program and project governance through SISC/UICT to ensure strategic alignment, as well as project steering committees to oversee and monitor
- Evaluation and future planning - surveys, consultation, workshops – to determine the pipeline of administrative reform, and
- An overarching communications strategy to bring together key service improvement initiatives and keep staff informed and engaged. Key elements include website news (over 24,000 visits Q1-Q3 2015, up from 14,000 visits for all of 2014), fortnightly email alert subscriptions (over 300 in 5 months since commencement), and an annual Service Improvement Forum (1,400 attendees Nov. 2014, heading for a similar number Nov. 2015).
These arrangements have enabled us to achieve and maintain our current pace of reform. The question then becomes one of the capacity of the University to undertake a faster pace of reform. The UniForum data indicates that we currently have the fastest rate of reform, based on recent cost reductions. Both community capacity and staff resourcing argue against our ability to undertake a faster rate of change.

ATTACHMENT

16.1 Heat Map – Projects and Programs, November 2015 (920/2015).

COMMUNICATION

For public release ☐ For internal release ☐ Not for release ☑
*C17. Confidential to Council Members
PART 3 – STRATEGIC ISSUES

18. RESEARCH PERFORMANCE AT ANU

PURPOSE To consider the progress report about research performance at ANU.

PREPARED BY Deputy Vice-Chancellor (Research)

REVIEWED BY Vice-Chancellor

APPROVED BY Vice-Chancellor

SPONSOR Vice-Chancellor

RECOMMENDATION That Council consider the progress report about research performance at ANU (922/2015).

ACTION REQUIRED
For discussion ☑ For decision ☐ For information ☑

CONSULTATION
Staff ☐ Students ☐ Alumni ☐ Government ☐ Other ☐ Not applicable ☑

BACKGROUND
The Deputy Vice Chancellor (Research) will present an update on research performance at ANU.

ATTACHMENT
18.1 Presentation: ANU Research (922/2015).
ANU Research

University Council
4 December 2015

Margaret Harding
Deputy Vice-Chancellor (Research)
External Context

Research Infrastructure

Research Policy and Funding Review
  • Financial incentives for working with industry
  • Research impact and applied measures

Innovation focus and stronger engagement with Industry & business
  • Industry growth centres, CRCs, CSIRO

Review research training
  • Industry trained PhDs
  • PhDs only in areas of defined quality/national need

North Australia White Paper

Medical Research Futures Fund

International Competition
Higher Education Research Data Collection (HERDC) submitted 30 June 2015

Total Research Income 2011 - 2014, Go8 Comparison
2014 ANU HERDC *research income by category*, submitted 30 June 2015

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<th>Category</th>
<th>2010</th>
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<th>2012</th>
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</table>

34 cents per $  17 cents per $
• 25.2% success rate Projects (sector 17%)

• $30M Centres of Excellence for award 2017
  • 1 ANU-led invited full application
  • Partner in 8 other bids

• 8.3% success rate Projects (sector 13.7%)
  • 18% success rate JCSMR
Research Fellowships

ARC Fellows 2009-

NHMRC Fellows 2010-

ARC includes: Laureates; Future Fellows and expired schemes: APF; ARF/QEII; APD; APDI

NHMRC includes: Early Career/Training; Career Development; Established/Senior; Practitioner; Australia Fellowships; Dementia Fellowships
Higher Degree Research Students

2014 Total Load: 2133 EFTSL
2014 Completions: 399

Top 5 Source Countries
Jan 2011 – June 2015

1. China (24%)
2. Indonesia (7%)
3. Malaysia (5%)
4. Vietnam (4%)
5. U.S.A. (4%)

Total of 92 countries

Postgraduate Research Experience Questionnaire

- Current Student overall satisfaction: ANU 76%, Russell Group 83%
- Quality of supervision, induction to ANU identified by students as priority areas for improvement
International Rankings

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
International Research

**China**

**Top 2 ranked Institutions & current ANU partners**

- Peking University (PKU)
- Chinese Academy of Sciences (CAS): Honorary Doctorate Prof Bai, Dec 2014
  - Joint PhD Agreements: China Scholarship Council
  - Prof Chennupati Jagadish: Distinguished CAS International Professorship

**Europe**

**Increase ANU access to European Funding, students and staff**

- International Doctoral Training Centre: Humboldt University (German funded DFG)
- Horizon 2020, European Research Commission
- Staff secondment Europe IARU partner to ANU Research Services in 2016

**USA**

**ANU defence research capability mapping**

- USA defence agencies (North America Embassy Office), Aust Dept Defence, DSTO, Army
- 2 Applications Defence Science & Tech Group Capability & Tech Demonstrator Programs
- ANU Booth Defence Innovation Technology Challenge showcase, Texas Dec
Research Quality

Excellence in Research Australia: ERA 2015
Results due early Dec 2015

• ANU ranked number 1 in ERA 2010, ERA 2012
  • proportion of assessed areas rated “above (score 4)” and “well above (score 5)” world average

• Important research quality benchmarks
  • Key input to Academic Activity Statements

• Snapshot of staff profile (scores 5, 4, 3) at School level
  • NIG allocation
National Profile

• North Australia Strategy

*ANU will continue to research and play a leading role in current public policy issues relevant to Northern Australia.* Sustained partnerships that have been built up over many years and the establishment of the North Australia Research Unit (NARU) campus in Darwin in the early 1970s are core to our pre-eminent reputation in research with Indigenous peoples in the north, including disciplines such as archaeology, anthropology, Indigenous economics and development, linguistics and language revitalisation, as well as research related to land and water and biodiversity.

*National leadership will be exhibited via communication of ANU research capability and expertise to key internal and external stakeholders across Australia,* and include public policy forums in Canberra and Darwin, linked to the biannual ANU-CDU H.C. Coombs lecture, held at CDU. The appointment of an External Advisory Board will ensure that ANU capability, research expertise, and public policy leadership is effectively communicated and harnessed for the benefit of the region.
Research Impact

Return on investment to the nation

1950s Telling Australia's story
1960s Bringing democracy to the Pacific
1960s Unpacking the mysteries of Science
1970s Saving lives – Eradication of smallpox
1970s Saving the world from nuclear disaster
1980s Designing modern Australia
1980s Bringing prosperity to the world
1980s Closing the Gap
2000s Illuminating Dark Energy
2000s Research transforming industry
Priorities & Challenges

Major Strategic Initiatives
- Responsive and agile budget mechanism; NIG
- Immediate opportunities: Data Analytics (Government, Business)
- ANU-CSIRO; NICTA-data61 & innovation campus

Industry & Business
- Single Research & Innovation portfolio in 2016
- Different workforce for business engagement and strategic partnerships
- Leverage key business partners (CISCO, Telstra, Banks etc) more effectively to benefit both education & research

Health and Medical Research
- Positioning for MRFF ($20 billion with disbursements $1 billion by 2022-23)
- Reinvigorate and focus ACT research agenda: ACT Health, UC, Canberra Hospital

Research Workforce
- Size and Student Mix (% HDR)
- Staff Appointment Mix: fixed-term/tenured, flexible—industry, Govt, international
- Early career high flyers to ensure next generation of highly cited researchers
PART 4 – OTHER MATTERS FOR DECISION

**19. COUNCIL AND COUNCIL COMMITTEE MEMBERS – SKILLS MATRIX**

**PURPOSE**
To inform Council about the range of available skills, experience and networks of members of Council and Council Committees, as provided in the accompanying skills matrix.

**PREPARED BY**
Manager, Corporate and Governance Policy
Director, Corporate Governance and Risk Office

**REVIEWED BY**
Chancellor, members of Council and Council Committees

**APPROVED BY**
Chancellor

**SPONSOR**
Chancellor

**RECOMMENDATION**
That Council:

1. Endorse the ANU Council and Council Committee Skills Matrix, developed in response to the recommendations of the Walker Review of the Australian National University Act 1991 and Governance Arrangements;
2. Note that the skills matrix will inform Council and Council Committee succession planning and will be updated annually, or as, and when, new appointments are made; and
3. Consider identified gaps and advise the Nominations Committee, as appropriate, when determining priorities for future Council membership.

**ACTION REQUIRED**

For discussion ☑️
For decision ☑️
For information ☐

**CONSULTATION**
Staff ☐
Students ☐
Alumni ☐
Government ☐
Other ☑️
Not applicable ☐

All members of Council and Council Committees were provided with a draft copy of the ANU Council and Council Committee Skills Matrix and were for feedback by 6 November 2015. The accompanying matrix reflects the feedback provided by members.

**BACKGROUND**

In December 2014, Emeritus Professor Sally Walker presented her report on the Review of the Australian National University Act 1991 and Governance Arrangements to the then Minister for Education and Training. At Council’s meeting on 19 February 2015, Professor Walker discussed her review findings with members. The following day, Council considered the review recommendations and discussed, in broad terms, its response to the recommendations.

The Walker Review made the following relevant recommendations:

Recommendation 14

*It is recommended that the Nominations Committee should develop a ‘skills register’ to ensure that the members of Council, collectively, meet the needs of a skills-based board. (Finding 4)*

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PART 4 – OTHER MATTERS FOR DECISION
At the request of Council, the Corporate Governance and Risk Office developed a framework for the skills register and undertook an initial assessment of the skill sets of all members of Council and Council Committees, supplemented with feedback from members of Council and Council Committees.

The ANU Council and Council Committee Skills Matrix (see Attachment 19.1), was initially modelled on the skills matrix in use by the Council of Monash University. For ANU purposes, the matrix has been expanded to incorporate a wider span of skill sets with other relevant attributes and covers:

- The ‘required skills’ for Council members as prescribed by the Australian National University Act 1991 (‘the ANU Act’);
- Other key capabilities and attributes that Council has previously determined as being important; and
- Other skills identified as being of likely importance to Council.

Further, the matrix has been extended to include all other members of Council Committees, to ensure we have a detailed coverage of the expertise available and in use by Council and its Committees. Should Council members seek updates to the matrix, please email them to head.governance@anu.edu.au.

SUMMARY OF ISSUES

The ANU Act requires that:

- there is a balance of skills, expertise and gender among members of the Council;
- at least two of the members appointed by the Minister must have a high level of relevant financial expertise; and
- at least one member appointed by the Minister must have a high level of relevant commercial expertise.

The Council has also identified the following key attributes:

- people who are regarded as fit and proper persons;
- people who have an appreciation of the values of the University, its core activities of teaching and research, its exercise of independence and academic freedom, and the capacity to appreciate what the University's external community needs from it;
- a balance of members who reside amongst the States and Territories of Australia; and
- the need for the Council membership to include indigenous Australians.

Some gaps have been identified in the skills matrix on which Council may wish to deliberate:

- The need to maintain high levels of relevant financial and commercial expertise;
- The limited number of Council or Committee members with relevant philanthropic networks;
- The absence of experience in campus/urban planning, estate management, or a related field;
- Increased female membership, noting that the Council cannot control the appointments of elected members;
- The inclusion of only one Council or Committee member who identifies as being an indigenous Australian;
- A limited presence of the perspective of ANU alumni;
- Whether the balance of members who reside amongst the States and Territories of Australia is adequate.

Council should note that Mr David Miles will conclude his term on 30 June 2016, after 10 years’ service. Mr Miles’ membership on Council has also ensured that Council meets its requirements under the ANU Act for Ministerial-appointed positions. At the conclusion of his term, the Nominations Committee will need to ensure that, amongst the two names being put forward to the Minister for filling this vacancy, a replacement Council member will readily satisfy the required expertise prescribed under the Act.

ATTACHMENTS

19.1 Graph Summaries of Skill Matrix Data (973/2015).
19.2 ANU Council and Council Committee Skills Matrix (923/2015).
COMMUNICATION

For public release ☐  For internal release ☑  Not for release ☐

Subject to the decision of Council, the ANU Council and Council Committee Skills Matrix will be referred, with any recommendations from Council, to the Nominations Committee for consideration in its deliberations. The matrix will not be distributed or published beyond that.
Council - Relevant Commercial Expertise

- Yes: 33%
- No: 67%

Council - Relevant Financial Expertise

- Yes: 27%
- No: 73%

Council & Council Committees - Relevant Philanthropic Networks

- Yes: 3%
- No: 97%

Council & Council Committees - Board-level/Governance experience

- Yes: 12%
- No: 88%

Council & Council Committees - Relevant Industry Networks

- Yes: 34%
- No: 66%

Council & Council Committees - International Networks and/or Business Experience

- Yes: 44%
- No: 56%
Council - Campus Planning Experience

- Yes: 0%
- No: 100%

Council - ANU Alumni Perspectives

- Yes: 7%
- No: 93%

Council - Audit & Risk Management Experience

- Yes: 20%
- No: 80%
# ANU Council and Council Committee Skills Matrix

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<tr>
<th>Membership category</th>
<th>Council member</th>
<th>Mandatory</th>
<th>Desirable (skills, experience or qualifications)</th>
<th>Other qualities</th>
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<td>Chancellor</td>
<td>Professor Gareth Evans AC</td>
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<td></td>
<td>Dr Doug McTaggart</td>
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ANU COUNCIL & COUNCIL COMMITTEE SKILLS MATRIX
| Membership category | Council member       | Mandatory | Financial (2) | Commercial (1) | Research and Public Policy | Higher education | Recent student experience | Alumni perspectives | Board-level experience / Governance specialist | Strategic Planning | Audit and Risk Management | Investment | Campus/urban planning | Legal | International networks and/or business experience | Relevant industry networks | Relevant government networks | Relevant community networks | Philanthropic networks | Media and external communications management | Gender | State of residence | Indigenous | Independence | Years of service (at end of current term) |
|---------------------|----------------------|-----------|---------------|----------------|--------------------------|-----------------|--------------------------|---------------------|-----------------------------------------------|-------------------|--------------------------|------------|--------------------------|--------|---------------------------|----------------|-----------------------------|------------------|------------------------|--------------------------|-----------------------------|---------------------------------|--------|----------------|-----------|-----------|------------------------|
|                     | Professor Margaret Harding | ✓ ✓ ✓ ✓ ✓ ✓ | ✓ ✓ ✓ ✓ ✓ ✓ | ✓ ✓ ✓ ✓ ✓ ✓ | ✓ ✓ ✓ ✓ ✓ ✓ | ✓ ✓ ✓ ✓ ✓ ✓ | ✓ ✓ ✓ ✓ ✓ ✓ | ✓ ✓ ✓ ✓ ✓ ✓ | ✓ ✓ ✓ ✓ ✓ ✓ |
|                     | Professor Brian Anderson | ✓ ✓ ✓ ✓ ✓ ✓ | ✓ ✓ ✓ ✓ ✓ ✓ | ✓ ✓ ✓ ✓ ✓ ✓ | ✓ ✓ ✓ ✓ ✓ ✓ | ✓ ✓ ✓ ✓ ✓ ✓ | ✓ ✓ ✓ ✓ ✓ ✓ | ✓ ✓ ✓ ✓ ✓ ✓ | ✓ ✓ ✓ ✓ ✓ ✓ |
|                     | Professor Don Rothwell | ✓ ✓ ✓ ✓ ✓ ✓ | ✓ ✓ ✓ ✓ ✓ ✓ | ✓ ✓ ✓ ✓ ✓ ✓ | ✓ ✓ ✓ ✓ ✓ ✓ | ✓ ✓ ✓ ✓ ✓ ✓ | ✓ ✓ ✓ ✓ ✓ ✓ | ✓ ✓ ✓ ✓ ✓ ✓ | ✓ ✓ ✓ ✓ ✓ ✓ |

* Calculated to 30 June 2016
**Dr Warren has advised that he is currently on leave without pay from the ANU, and is the current Research Director at the Centre for International Finance & Regulation.
PURPOSE
To approve changes to the Campus Planning Committee Charter, the proposed Major Projects Joint Sub-Committee Charter; and respective membership, in line with the findings of the Walker Review of the Australian National University Act 1991 and Governance Arrangements.

RECOMMENDATION
That Council:
1. Approve changes to the Campus Planning Committee Charter;
2. Approve the Major Projects Joint Sub-Committee Charter; and
3. Approve the addition to Committee and Sub-Committee membership, as follows:
   i. Council member Professor Tim Senden; and
   ii. Mr Stephen Byron, as an additional external member, bringing property management and project financing expertise to each committee.

ACTION REQUIRED
For discussion ☐ For decision ☑ For information ☐

CONSULTATION
Staff ☐ Students ☐ Alumni ☐ Government ☐ Other ☑ Not applicable ☐

In line with the findings and recommendations of the Walker Review, Council has deliberated upon the need for strengthened governance in respect of master planning of the University campus and major redevelopment currently under consideration, through the establishment of the Campus Planning Committee and a new Sub-Committee of Council reporting to Council, through the Finance Committee and Campus Planning Committee, as appropriate.

BACKGROUND
At its meeting on 2 October 2015, Council discussed the need for strengthened governance across the span of major projects currently under consideration by the University. The issue was also discussed at a special meeting of Finance Committee and Council’s Strategy Working Group on 19 October 2015.

At the inaugural meeting of the Major Projects joint Sub-Committee, held on 23 November 2015, the proposed Charter and membership of the Major Projects Joint Sub-Committee was considered. In discussion, it was agreed that elected member of Council, Professor Tim Senden, would provide an important contribution to the work of the Sub-Committee, and its parent committee – the Campus Planning Committee - and should be invited to join the membership of both.

In addition, it was resolved that these committees would be well served by the addition of external property management and project financing expertise. Following an approach by the Chancellor, and support by Council member Ms Naomi Flutter, Mr Stephen Byron, Managing Director, Canberra Airport, has accepted the invitation to join the membership of both Council’s Campus Planning Committee and the Major Projects Joint Sub-Committee.
The Sub-Committee has recommended that Council approve the Major Projects Joint Sub-Committee Charter and its membership, including the addition of Professor Senden and Mr Stephen Byron.

In addition, the Sub-Committee recommends that Council approve amendment of the Charter and membership of the Campus Planning Committee.

A revised Charter for the Campus Planning Committee, and the Charter for the Major Projects Joint Sub-Committee are attached (refer Attachments 20.1 and 20.2) together with Mr Byron’s curriculum vitae (refer Attachment 20.3).

ATTACHMENTS

20.1 Revised Campus Planning Committee Charter (974/2015).
20.2 Major Projects Joint Sub-Committee Charter (924/2015).
20.3 Curriculum vitae for Mr Stephen Byron (975/2015).

COMMUNICATION

☐ For public release ☑ For internal release ☐ Not for release

An internal communication will not be released. However the Charters will be posted to a webpage for the Committee and Sub-Committee, consistent with standard practice.
Campus Planning Committee Charter

Introduction

1. The Australian National University (ANU) Council has established the Campus Planning Committee (“the Committee”) in accordance with section 18 of the Australian National University Act 1991.

2. This Charter sets out the Committee’s objective, authority, composition and tenure, roles and responsibilities, reporting and administrative arrangements.

Objective

3. The objective of the Committee is to monitor and advise Council on matters relating to the planning and development of the University’s major property and physical infrastructure.

Authority

4. The Council authorises the Committee, 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 external parties (subject to confidentiality considerations);
   • request the attendance of any ANU employee, officer of a controlled entity, or Council member at Committee meetings; and
   • obtain external legal or other professional advice, as considered necessary to meet its responsibilities, at the University’s expense.

Composition and Tenure

5. The Committee shall consist of:
   • a Chair, appointed by the Council from among its members, who may not be a student or employee of the University;
   • three other Council members, appointed by the Council;
   • ex officio, the Vice-Chancellor;
   • ex officio, the Chair, Campus Development Committee
   • two external members, with relevant skills

6. The Committee may appoint a Deputy Chair from amongst its members

7. Members shall be appointed for up to two years and are eligible for re-appointment.

8. The Council shall have regard to the University’s objectives on gender equity, and the need for both continuity and regular renewal, in filling positions on the Committee.

9. Council members may attend Committee meetings, and when they elect to do so, will be provided with Committee papers.
Roles and Responsibilities

10. The Committee exercises such functions, responsibilities and authorities as may be assigned or delegated to it by Council from time to time, but only such executive powers as are explicitly delegated to it.

11. The Committee’s responsibilities, subject to revision by Council, are to monitor, review and where appropriate make recommendations to Council with respect to:
   a. the Campus Master Plans, Precinct Codes and scheduled reviews;
   b. any developments that are outside the guidelines of the Master Plans or Precinct Codes;
   c. the acquisition or disposal of land or buildings;
   d. the implementation of the University’s rolling major capital works (buildings) program including final designs;
   e. the naming, re-naming or de-naming of buildings or significant University infrastructure such as sporting ovals, streets, landscape, places, walks and courtyards;
   f. the heritage listing of significant buildings or sites;
   g. campus wayfinding strategies;
   h. the installation or removal of major pieces of campus public art; and
   i. policies related to campus planning, such as Asset Naming and Public Artworks policy.

12. Where the Committee identifies issues of possible concern relating to the financial management, budget sustainability or commercial activities of the University, it shall refer such matters to the Finance Committee for consideration. Similarly, where it identifies issues that may present a risk consideration for the University, it shall refer such matters to the Audit and Risk Management Committee.

Responsibilities of Members

13. Members of the Committee are expected to understand and observe the legal requirements of the Australian National University Act 1991 and the Public Governance, Performance and Accountability Act 2013.

14. Members are also expected to:
   • act in the interests of the University;
   • contribute the time needed to study and understand the papers provided; and
   • apply good analytical skills, objectivity and good judgment.

Reporting

15. The Committee shall regularly, but at least once a year, report to the Council on its operation and activities. The report should include:
   • a summary of the work the it performed to fully discharge its responsibilities during the preceding year;
   • details of meetings, including the number of meetings held during the relevant period, and the number of meetings each member attended.
16. The Committee may, at any time, report to the Council any other matter it deems of sufficient importance to do so.

Administrative Arrangements

Meetings and Planning

17. The Committee shall meet at least three times per year on dates determined by the Committee.

18. The Chair is required to call a meeting if asked to do so by the Council and decide if a meeting is required if requested by another Committee member.

19. A forward meeting plan, including meeting dates, location and agenda items, will be agreed by the Committee each year. The forward meeting plan shall cover all its responsibilities, as detailed in this Charter.

Attendance at Meetings and Quorums

20. A quorum will consist of 50 per cent of Committee members who hold office for the time being.

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

22. The Deputy Vice-Chancellors; the Executive Director, Administration and Planning; the Pro Vice-Chancellors; the Director, Facilities and Services; and the Director, Corporate Governance and Risk Office may, subject to the Committee requesting otherwise, attend each meeting and contribute to its deliberations.

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

Secretariat

24. The Corporate Governance and Risk Office shall provide secretariat support to the Committee.

25. The Facilities and Services Division shall be responsible for the development and preparation of reports and other papers on campus planning matters to be presented to the Committee. Such reports and papers will be submitted to the Corporate Governance and Risk Office for inclusion in the agenda papers.

26. The Corporate Governance & Risk Office will ensure the agenda and supporting papers for each meeting are circulated after approval from the Chair and at least 10 days before the meeting. Copies of the agenda and supporting papers should be provided to all members of the Council via the secure server.

27. The Corporate Governance and Risk Office will ensure the minutes of the meetings are prepared and maintained. Minutes shall be approved by the Chair and circulated to each member of the Committee.

Conflicts of Interest

28. Upon joining the Committee and then once a year thereafter, Committee members shall provide written declarations to the Council declaring any material personal interests that would preclude them from being members of the Committee. 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.

29. Committee members shall declare any material personal interests at the start of each meeting or before discussion of the relevant agenda item or topic. Details of material personal interests declared by Committee members, and actions taken, shall be appropriately recorded in the minutes.

**Induction**

30. The Corporate Governance and Risk Office, will maintain a program of induction, training and awareness-raising for Committee members, with the objective of enabling the Committee to keep abreast of contemporary developments and leading practice to assist them to meet their Committee responsibilities. The Facilities and Services Division will assist the Corporate Governance and Risk Office in this task whenever requested.

**Assessment and Review**

31. The Chair of the Committee, in consultation with the Chancellor, shall initiate biennially a review of the performance of the Committee, and this Charter, with appropriate input sought from the Council, the Vice-Chancellor, management and any other relevant stakeholders, as determined by the Council. The review of performance shall be conducted on a self-assessment basis unless otherwise determined by the Council.

Approved by resolution of the ANU Council meeting of <date>.
Major Projects Joint Sub-Committee Charter

Composition
The Sub-Committee will consist of:

- the Chancellor, as chair;
- the Vice-Chancellor;
- up to 4 members of either the Finance Committee or the Campus Planning Committee, appointed by the Council.

Meetings of the Committee may also be attended by:

- members of the University Executive
- Chief Financial Officer
- Director, Facilities and Services
- Corporate Governance and Risk Office staff
- other invited persons providing specialist assurance or technical advice to the Committee (e.g. Flagstaff Partners, Ashurst Australia, appointed Probity Advisor)

Role and responsibilities
The Sub-Committee's responsibilities are to monitor, review and, where appropriate, make recommendations to the Finance Committee and/or the Campus Planning Committee in respect of the implementation of the interlocking issues associated with the:

- Tuckwell Foundation Student Accommodation project
- Purpose Built Student Accommodation Sale (PBSA)
- Union Court re-development project

The Sub-Committee will also serve to provide assurance to the Council that all relevant probity and due diligence issues are being appropriately considered in relation to these projects and, specifically, will provide governance oversight of the internal and external reviews of the information that will be provided to potential investors.

Reporting
The Sub-Committee will report to the Council, through the Finance Committee and the Campus Planning Committee.

Administrative Arrangements
A quorum will consist of 3 members of the Sub-Committee who hold office for the time being.

The Sub-Committee will ordinarily meet on a monthly basis, unless otherwise advised.

The Corporate Governance and Risk Office will provide secretariat support to the Sub-Committee.
CURRICULUM VITAE

Name: Stephen Byron

Present Positions:
- Managing Director, Canberra Airport since 1998.
- Chairman, Canberra Grammar School Board – Mr Byron joined the Board of Canberra Grammar School in 2013 and was appointed Chairman in 2014.

Educational and Professional Qualifications:
- Bachelor of Laws (Hons), Australian National University
- Bachelor of Commerce, Australian National University

Other Experience:
- Director of the Australian Airports Association
- Chair of the Capital Cities Airport CEO Group
- Board Governor of ANU Endowment for Excellence
21. RESPONSIBILITIES OF MEMBERS OF COUNCIL AND COUNCIL COMMITTEES POLICY

PURPOSE
For Council to consider amendments to the policy governing the responsibilities of members of Council and Council Committees.

PREPARED BY
Manager, Corporate Governance and Policy

REVIEWED BY
Director, Corporate Governance and Risk Office

APPROVED BY
Vice-Chancellor

SPONSOR
Chancellor

RECOMMENDATION
That Council approve the amendments to the Responsibilities of Members of Council and Council Committees Policy.

ACTION REQUIRED
For discussion ☐  For decision ☑  For information ☐

CONSULTATION
Staff ☐  Students ☐  Alumni ☐  Government ☐  Other ☑  Not applicable ☐

As this policy only affects members of the Council and its Committees, wider consultation was not considered appropriate.

BACKGROUND
At its 24 July 2015 meeting, Council adopted the Responsibilities of Members of Council and Council Committees Policy, which replaced the Responsibilities of Members of Council and University Officers Policy. The Responsibilities of Members of Council and Council Committees Policy principally covers matters relating to the application of the Public Governance, Performance and Accountability Act 2013 (the Act) to Council and Council Committee members.

SUMMARY OF ISSUES
Following the 24 July Council meeting, some new legislative changes brought into question the legal application of the Act to members of Council Committees who are not Council members.

An amendment to the Public Governance, Performance and Accountability Rule 2014 has explicitly excluded members of the Audit and Risk Management Committee (who are not Council members) from the definition of an official. As the duties owed under the Act only apply to those people who fall within the definition of official, this has brought into question whether a member of any Council Committee, who is not a member of Council, can be considered an official.

The ANU Legal Office was asked to review its previous legal advice on the matter, and the considered view now is that a Committee member, who is not a member of Council, is not considered an official.

Membership of Council Committees is completely within the control of the Council. Notwithstanding that the Act does not legally apply in this instance, there is no reason why the Council would not adopt the same standard of conduct as a matter of policy.

It is therefore recommended that the Responsibilities of Members of Council and Council Committees Policy be amended to require all Council Committee members to conduct themselves in a manner consistent with the duties prescribed in the Act, and that if the Council forms an opinion that conduct does not meet this standard, the Committee member may be removed from office.

PART 4 – OTHER MATTERS FOR DECISION
ATTACHMENT

21.1 Responsibilities of Members of Council and Council Committees Policy (925/2015).

COMMUNICATION

For public release ☐  For internal release ☑  Not for release ☐

An internal communication will not be released. However the policy will be posted to the Council and Council Committee webpages and the University’s Policy Library (website), in accordance with standard practice.
Policy: Responsibilities of members of Council and Council Committees

Purpose

The purpose of this policy is to articulate:

- the application of the Public Governance, Performance and Accountability Act 2013 to Council and Council Committee members; and
- the general expectations of conduct by Council and Council Committee members.

Overview

The policy sets out the legal duties and expectations for the conduct for Council members and Council Committee members.

Scope

This Policy applies to all members of Council and Council Committees. The conduct of members of the Academic Board is to be governed by the Code of Conduct of the University.

Definitions

**Council Committee** covers the following committees of Council:

- Finance Committee
- Audit & Risk Management Committee
- Honorary Degrees Committee
- Committee on Conditions and Appointment of the Vice-Chancellor
- Emergency Appointment (Vice-Chancellor) Committee
- Nominations Committee
- Any other Committee of Council, as established from time to time
Policy statement

General

1. The Australian National University is a body corporate established by the Australian National University Act 1991 ("ANU Act").

2. The Public Governance, Performance and Accountability Act 2013 ("PGPA Act") provides a set of core planning, performance reporting and auditing requirements and sets out standards of conduct for directors, officers and employees of corporate Commonwealth entities. Many of these standards of conduct are modelled on comparable areas of corporations law.

3. By section 8 of the ANU Act, the Council of the University is the governing body of the University and, by section 9(1) the Council has the entire control and management of the University. The Council is the “accountable authority” under section 12 of the PGPA Act. Members of the Council are therefore “officials” of the University within the meaning of section 13 of the PGPA Act.

4. Those Council Committee members who are not members of Council are not regarded as “officials” within the meaning of section 13 of the PGPA Act. However, the Council expects all such persons to conduct themselves in a manner consistent with, and to comply with, the imposed duties of the PGPA Act, as if they were officials.

4.5. The PGPA Act applies to all duties a Council member or Council Committee member undertakes in their role as an official under the PGPA Act and is not confined solely to members’ participation in formal meetings.

Council’s duties as an Accountable Authority under the PGPA Act

5.6. The Council is the “accountable authority” for the purposes of the PGPA Act. The PGPA Act imposes duties on accountable authorities of Commonwealth entities. There are five duties, namely:

- Duty to govern
- Duty regarding risk and control
- Duty to encourage cooperation
- Duty in relation to requirements imposed on others
- Duty to keep the responsible Minister and the Finance Minister informed

6.7. Council Committee members are expected to act in a manner consistent with these duties.
Duty to govern

7.8. The Council is to govern the University in a way that:

- promotes the proper use and management of public resources for which the Council is responsible for;
- promotes the achievement of the purposes of the University; and
- promotes the financial stability of the University.

8.9. In this context, “proper use” means efficient, effective, economical and ethical use.

Duty regarding risk and control

9.10. The Council must establish and maintain:

- an appropriate system of risk oversight and management for the University; and
- an appropriate system of internal control for the University

including by implementing measures directed at ensuring officials comply with the finance law (eg the PGPA Act and associated rules).

Duty to encourage cooperation

10.11. The Council must encourage officials of the University to cooperate with others to achieve objectives they have in common with the University, where practicable.

11.12. In this context, “others” refers to other Commonwealth entities, other levels of government, and other public and private bodies and organisations, including in the not-for-profit sector.

Duty in relation to requirements imposed on others

12.13. When imposing requirements on others in relation to the use of public resources, the Council must take into account risks and the effects of imposing those requirements.

Duty to keep responsible Minister and Finance Minister informed

13.14. The Council must:

- keep the responsible Minister informed of the activities of the University and any subsidiaries of the University;
- give the responsible Minister or the Finance Minister any reports, documents and information in relation to those activities as that Minister requires;
• notify the responsible Minister as soon as practicable after the Council makes a significant decision in relation to the University or any of its subsidiaries;

• give the responsible Minister reasonable notice if the Council becomes aware of any significant issue that may affect the University or any of its subsidiaries;

• notify the responsible Minister as soon as practicable after the Council becomes aware of any significant issue that has affected the University or any of its subsidiaries.

44.15. The ANU Act provides that members of the Council are not required to do anything concerning this duty that will or might affect the academic independence or integrity of the University.

Duties of “Officials” under the PGPA Act

45.16. Council members are considered “officials” for the purposes of the PGPA Act. The Council expects all members of Council Committees to conduct themselves in a manner consistent with, and to comply, with the imposed duties of the PGPA Act, as if they were officials.

46.17. The PGPA Act imposes the following duties on officials:

• Duty of care and diligence

• Duty of good faith

• Duty in relation to use of position

• Duty in relation to use of information

• Duty to disclose interests

Duty of care and diligence

47.18. Council members and Council Committee members must exercise their powers and discharge their duties with the degree of care and diligence that a reasonable person would exercise if they:

a. were a Council member or Council Committee member in the University’s circumstances; and

b. occupied the position held by, and had the same responsibilities within the University as, the Council member or Council Committee member.

Duty of good faith

48.19. Council members and Council Committee members must exercise their powers, perform their functions, and discharge their duties in good faith and for a proper purpose. The duty to act in good faith is owed to the University itself. This
overrides any duty to another body, even one that has appointed or elected the Council Member.

**Duty in relation to use of position**

19.20. Council members and Council Committee members must not improperly use their position to gain an advantage for themselves or for any other person; or cause detriment to the University, the Commonwealth or to any other person.

**Duty in relation to use of information**

20.21. Council members and Council Committee members who obtain information because of their membership 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**

21.22. Council members and Council Committee members who have a material personal interest that relates to the affairs of the University must disclose the details of that interest.

**Conflict of interest**

22.23. A Council member or Council Committee member must disclose a material personal interest in a matter that relates to the affairs of the University to the other Council members or Council Committee members unless the interest:

a. arises in relation to a Council member's remuneration as a Council member; or

b. relates to a contract that insures, or would insure, the Council member against liabilities the Council member incurs as a member of Council (but only if the contract does not make the University or a subsidiary of the University the insurer); or

c. relates to a payment by the University or a subsidiary of the University in relation to an indemnity permitted under section 61 of the PGPA Act; or

d. relates to a contract relating to an indemnity permitted under section 61 of the PGPA Act; or

e. is in a contract, or a proposed contract with; or for the benefit of; or on behalf of a subsidiary of the University; and arises merely because the Council member or Council Committee member is, or is a member of, the governing body of the subsidiary.
Where a Council member has disclosed their material personal interest in a matter, they must not be present while the matter is being considered, nor vote on the matter unless:

a. the responsible Minister for the Australian National University Act 1991 has declared, in writing, that the Council member may be present or vote (or both);

b. or if the members of the Council who do not have a material personal interest in the matter have decided that the Council member is not disqualified from being present or voting (or both), and the decision is recorded in the minutes of a meeting of the Council;

then the official may be present or vote (or both) in accordance with the declaration or decision.

Where a Council Committee member has disclosed their material personal interest in a matter, they must not be present while the matter is being considered or vote on the matter unless if the members of the Council Committee who do not have a material personal interest in the matter have decided that the Council Committee member is not disqualified from being present or voting (or both), and the decision is recorded in the minutes of a meeting of the Council Committee; then the official may be present or vote (or both) in accordance with the declaration or decision.

Delegation by Council members

The ANU Act (s17) authorises Council members to delegate any of their powers not only to a Committee of Council, but to a single Council member, an employee of the University or any other person, subject to specific restrictions under the ANU Act which are:

The Council must not delegate its power to:

a. appoint the Chancellor, Pro-Chancellor or Vice-Chancellor; or

b. approve the University’s annual budget or its business plan; or

c. approve the annual report of the University; or

d. monitor its commercial activities, and its subsidiaries and any other entities that it controls, to the extent required to ensure they do not have any significant adverse impact on, or pose an unreasonable risk to, the University’s finances and operations; or

e. review and monitor the management of the University as a whole or the University’s performance as a university (as defined by the Higher Education Support Act 2003).
Removal from office

27.28. A Council member who is appointed to Council under section 10(1)(q) of the ANU Act may be removed from office by the responsible Minister, under section 30 of the PGPA Act, where the Council member has contravened his or her duties as an official. Such removal will be conducted in accordance with the procedures provided for in the PGPA Act.

28.29. A Council member may be removed from office by the Council itself, under section 15(1)(k) of the ANU Act, where the Council forms an opinion by resolution that a Council member has contravened his or her duties as an officer. Such a removal will be conducted in accordance with the procedures provided for in the ANU Act.

30. A Council Committee member, whether they are a member of the Council or not, may be removed from membership of a Committee by the Council, where the Council forms an opinion by ordinary resolution that the Council Committee member has contravened the duties of an official under the PGPA Act.

General conduct

29.31. In addition to the legislative obligations described, there is also an expectation that Council and Council Committee members will:

a. take an active interest in issues affecting the University and higher education;

b. attend meetings, come well prepared and play an active role in proceedings; and

c. relate constructively with each other and with the senior management of the University.

30.32. Council and Council Committee members are encouraged to bring to meetings, objective independent judgement in relation to the matters under consideration, to ask incisive, probing questions and require accurate, honest answers.

31.33. Council and Council Committee members should regard Committees of Council and the Vice-Chancellor as their principle sources of information and advice concerning the University.

32.34. Notwithstanding, Council and Council Committee members may interact and discuss matters relating to the University with other members of the University Executive, as well as staff and students. Council and Council Committee members must ensure that such interactions are otherwise consistent with the obligations described in this policy. In seeking and receiving information from staff and students on matters that could be regarded as sensitive, confidential or contentious, Council and Council Committee members should be mindful of the context of how that
information is provided and confer with the Vice-Chancellor or the Director, Corporate Governance and Risk Office, before acting further with that information.

33.35. The Council is a collective decision making body, and as such, individual members of the Council, other than the Vice-Chancellor, may not issue any form of directive to a member of staff or a student, unless they have been authorised to do so by a statute, rule or order; by a resolution of the Council or a Council Committee; or with the consent of the Vice-Chancellor.

34.36. The University has a Code of Conduct which applies to all staff members and to all those who enter into a particular relationship with the University for a specified time period. Council and Council Committee members are expected to adhere to the Code of Conduct.

35.37. Responsibilities under the Code of Conduct fall under the following categories:
   a. respect for the law and University governance;
   b. fair treatment of people;
   c. personal and professional behaviour; and
   d. exercising care and diligence in employment.

Privacy Act obligations

36.38. From time to time Council members, in the course of their duties, may encounter personal information related to staff and students of the University. The Privacy Act 1988 imposes obligations on the University (including Council and Council Committee members) in relation to the use of personal information contained in University records.

37.39. All members of Council and Council Committees are expected to adhere to the requirements of the University's Privacy Policy and any other relevant legal obligations.

Independent legal advice and access to information

38.40. Council and Council Committee members are entitled to any information they need, or require, from the University to exercise their functions and to fulfil their duties, and subject to the prior approval of the Chancellor (which is not to be unreasonably withheld), may seek independent legal advice at the University's expense on any issue submitted to Council or a Council Committee.

39.41. Council and Council Committee members should submit such requests for information to the Vice-Chancellor or the Director, Corporate Governance and Risk Office.
**22. WORK HEALTH AND SAFETY GOVERNANCE STRUCTURE**

**PURPOSE**
To consider a new Work Health and Safety (WHS) Governance Structure that supports the effort to move to self-insurance for workers’ compensation.

**PREPARED BY**
Director, Human Resources  
Project Manager, Service Improvement Group

**REVIEWED BY**
Executive Director (Administration and Planning)

**APPROVED BY**
Executive Director, Administration and Planning

**SPONSOR**
Vice-Chancellor

**RECOMMENDATION**
That Council endorse the recommendations made by Senior Management Group for a revised Work Health and Safety Governance Structure.

**ACTION REQUIRED**
For discussion ☑  For decision ☐  For information ☑

**CONSULTATION**

Staff ☐  Students ☐  Alumni ☐  Government ☐  Other ☑  Not applicable ☐

A briefing paper was presented to the Senior Management Group (SMG) meeting on 12 November 2015 to discuss the proposed Work Health and Safety (WHS) Governance Structure. SMG endorsed the paper (refer Attachment 22.1).

**BACKGROUND**
The Workers’ Compensation Self-Insurance Project has been established to improve WHS across the University and to meet self-insurance requirements. Part of that project encompasses a new WHS governance structure to demonstrate effective leadership across the University in the area of WHS.

**KEY HIGHLIGHTS**
The paper proposes a new WHS governance structure to replace the current ineffective structure. The new recommended structure will improve the safety culture of the University and encourage solid communication lines for WHS.

The proposed structure includes one (1) top level committee reporting to University Council via the Vice-Chancellor. It includes advisory groups at the College/Portfolio and Research School level that report through a two-way cascading structure. WHS forums are included at the School/Department level and specialist advisory groups cover specific WHS topics, i.e. electrical safety.

Charters for each level identify the purpose and detail the responsibilities of each group. They propose committee member composition and meeting structure. These charters outline key topics for discussions such as:
- reviewing corrective actions;
- analysing trending patterns of incidents and injuries; and
- initiating proactive safety strategies.

The paper provides further detail on the recommendations for a new WHS governance structure designed to meet legislative obligations, meet University needs, and strengthen the WHS framework.
ATTACHMENT
22.1 Senior Management Group Briefing Paper (926/2015)

COMMUNICATION
For public release ☐ For internal release ☐ Not for release ☑

PART 4 – OTHER MATTERS FOR DECISION
BRIEFING PAPER

SUBJECT Work Health and Safety Governance Structure
TO Senior Management Group
DATE 9 November 2015
AUTHOR Nadine White, Director, Human Resources
Melissa Deaner, Project Manager, Service Improvement Group (SIG)

ACTION REQUIRED
For discussion ☑
For decision ☐
For information ☑

PURPOSE
The purpose of this paper is to gain endorsement for a new Work Health and Safety (WHS) Governance Structure.

BENEFITS OF THE PROPOSED STRUCTURE
The proposed governance structure is a move to a more effective approach to advocacy and consultation for workers in regards to WHS issues. The above approach corresponds to the overall improvement strategy for the Self-Insurance project and provides a stronger WHS management framework.

Developing a more streamlined framework and structure will:
• build a strong foundation for developing an improved safety culture across the University;
• prioritise engagement with workers in WHS and allow for a focus on continuous improvement;
• create solid communication channels to distribute WHS information and receive feedback;
• provide committee members with tools and competencies needed to perform their roles;
• establish standards in WHS committee operations and reporting;
• enable and facilitate co-operation in initiating, developing and implementing measures to improve the health and safety of workers; and
• support and assist consultation and co-operation between workers and the University on WHS measures.

BACKGROUND
As part of the overall improvement strategy at the Australian National University (the University), the Workers’ Compensation Self-Insurance Project has been established to improve WHS across the University and to meet self-insurance requirements. The current task focuses on establishing an efficient WHS structure and governance framework in which to operate an effective Work Health and Safety Management System (WHSMS). An important part of that framework is a governance structure.

A WHS governance structure is a fundamental part of promoting and recognising safety across the University. This effort aims to strengthen representation, define clear reporting lines, remove uneven structure and streamline available resources to ensure a stronger, more efficient and effective framework for the University.

CURRENT STRUCTURE
The current structure (illustrated in Appendix 1) consists of:
• 12 school level committees that report to college/division level committees;
• nine (9) college/division level committees that report to the WHS Policy Committee;
• three (3) specialist committees that report to the WHS Policy Committee; and
• one (1) WHS policy committee that reports via the Audit and Risk Committee to University Council.
The current governance structure is ineffective due to:

- no formal reporting to University Council;
- no appropriate coverage across the University structure in current committee membership;
- a legacy based structure ill-equipped to handle current representation needs;
- inconsistent and/or complete lack of reporting;
- no communication or collaboration between committees resulting in an inconsistent approach to WHS;
- lack of attendance and frequency of meetings to support a consistent WHS approach;
- duplication of resources and effort across all levels; and
- inadequate development and documentation of follow-up actions.

The value in a committee comes from its outcomes and its ability to provide effective consultation. The current structure does not allow for successful consultation or effective implementation of a WHSMS.

The proposed structure puts into place a framework designed to overcome these limitations. Outlined below are the key elements of the proposed governance structure.

ELEMENTS OF THE PROPOSED STRUCTURE

The proposed governance structure is illustrated in Appendix 2.

**University WHS Committee:** Establish a University WHS committee that meets in accordance with health and safety committee legislative requirements and reports directly to University Council via the Vice-Chancellor.

There were several important changes to the Work Health and Safety Act 2011 (WHS Act 2011) that affected committees. Organisations are no longer required to establish committees unless requested to do so by a Health and Safety Representative or a group of five (5) or more workers. Additionally, organisations are welcome to create committees on their own initiative. ¹

Establishing a committee on the University’s own initiative demonstrates a desire to improve the safety culture within the University. By creating this committee under the legislation it shows that safety in the workplace is a priority for the University. A name change from WHS Policy Committee to University WHS Committee also reflects the power the committee will have in overseeing the (WHSMS). Proposed Terms of Reference for the committee can be found in Appendix 3.

The composition of the committee also plays a key role in setting up a strong governance structure. A balance between senior level management and worker representation is crucial to making this an effective committee. Understanding the hazards and risks associated from a worker perspective will assist in creating appropriate systems of work while senior management representation will ensure an appropriate amount of resourcing and management is given to mitigating WHS risk across the University.

Another legislative requirement that came into effect from the WHS Act 2011 refers to duties of an officer.² An officer must exercise due diligence to ensure that the organization complies with their WHS duties. To comply with those duties, they have been included in the proposed charter in Appendix 3.

**College/Portfolio and Research School Level Advisory Groups:** Establish college/portfolio and research school levels that meets as advisory groups in accordance with health and safety committee legislative requirements. The research school level would report to the college/portfolio level who then reports to the University WHS Committee.

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As stated above, establishing this level structure under the WHS Act 2011 enforces the co-ordinated university-wide approach to WHS. These levels create the first and second layer of communication to effectively provide WHS information and receive feedback from workers. They also provide consistency in messaging and delivery of WHS content.

In addition to strengthening two-way communication, this network also lays the foundation for consultation on WHS matters. Consultation is vital to an effective WHSMS. Successful consultation requires the right process and the right methods. Using the existing structure of the University will allow for consistency of processes across the different areas and allow for easier incorporation of advisory group reporting lines.

Similarly, updating the structure to reflect one (1) WHS Advisory Group for each College, Portfolio and Research School, provides for a natural split. Aligning the WHS Framework to match this existing structure will allow for more accurate interpretation of WHS data, better trend analysis and overall reporting. The proposed Terms of Reference are in Appendix 4 and include reporting requirements.

Proposed charters available in Appendix 5 and 6.

**School Level Forum**: Establish an optional school/department level structure that meets as an informal WHS forum and reports to the Research School Level Advisory Group.

Much like the Research School level, this level strengthens the communication network. It adds an optional layer in which to distribute information and receive feedback in a consistent manner.

Frequent and informal communication between workers and supervisors on WHS matters contributes to a positive preventative safety culture. Forums, like the one proposed for the school/department level deliver the opportunity to discuss WHS issues in an informal environment. Creating this forum not under the legislation allows for the informality of these meetings.

In addition to the informal nature of this level, it is proposed to maintain a certain structure to the forums in order to capture key discussion points and recommendations at each meeting. Summarising the forum notes and presenting them to the Research School Level committee ensures actions are taken to mitigate risks, reduce hazards and understand WHS matters.

Any school or department may create a forum representing their area. Forums are requested and approved through the Research School Level structure. Not requiring a school/department level WHS committee also reduces the resource burden on small areas of the University.

Proposed charter available in Appendix 6.

**Specialist Advisory Groups**: Re-establish the WHS specialist safety committees as specialist advisory groups in the following areas: Electrical Safety, Radiation Safety, Chemical and Hazardous Waste. These groups will act in an advisory role to all committee levels and report to the University WHS Committee.

Re-establishing these existing committees as advisory groups keeps in line with the overall approach. These groups are an important part of the WHS governance structure as they provide subject matter expertise in a specified risk area for the University. These groups are partially governed by their own legislation special to their area.

These groups assess and monitor risk management aspects of the University WHS activities that involve their specialisation. They also provide consultation for similar matters across different areas of the University, i.e. chemical safety. As subject matter experts, these committees advise and partake in the following WHS activities as they relate to a specialised topic:

- specific incident investigation;
- new legislation or regulation;
quarterly reporting;
review and implementation of polices/procedures;
regular inspections and audits.

Continuing with direct reporting line to the top WHS committee rather than the college/portfolio level is key to ensuring issues are addressed across all areas in a uniform manner.

Additionally, a name change is recommended for the ‘Hazardous Waste Management Safety Committee’. In this group, chemical safety is a recurring discussion topic not covered by any other group. It is proposed to modify the name of this group to ‘Chemical and Hazardous Safety Advisory Group’.

Proposed charter available in Appendix 7.

RECOMMENDATIONS
Endorsement is sought by Senior Management Group for the following recommendations:

1. University WHS Committee
   - Update the committee name from WHS Policy Committee to University WHS Committee
   - Establish the Committee under the WHS Act 2011 legislation
   - Establish a direct reporting line to University Council via the Vice-Chancellor
   - Update the charter to the proposed ones in Appendix 3

2. College/Portfolio Level Advisory Group
   - Create one (1) WHS Advisory Group at this level per College and per Portfolio for a total of seven (7) groups
   - Update the references from WHS Committee to WHS Advisory Group
   - Establish the Advisory Groups under the WHS Act 2011 legislation
   - Establish a reporting line to the University WHS Committee
   - Update the charter to the proposed ones in Appendix 4

3. Research School Level Advisory Group
   - Create WHS Advisory Groups at this level per Research School
   - Update the references from WHS Committee or Sub-Group to WHS Advisory Group
   - Establish the advisory groups under the WHS Act 2011 legislation
   - Establish a reporting line to the College/Portfolio Advisory Group
   - Update the charter to the proposed ones in Appendix 5

4. School/Department Level Forum
   - Allow areas to create forums at will under the proposed charter
   - Establish the School Forums as a structured informal meetings
   - Establish a reporting line to the Research School Advisory Group
   - Update the charter to the proposed ones in Appendix 6

5. Specialist Advisory Groups
   - Update the references from WHS Specialist Safety Committee to WHS Specialist Advisory Group
   - Update the ‘Hazardous Waste Management Safety Committee’ to ‘Chemical and Hazardous Safety Advisory Group’
   - Establish a reporting line to the University WHS Committee
   - Update the charter to the proposed ones in Appendix 7
Workers’ Compensation Self-Insurance Project
Proposed WHS Committee Structure
Last updated: 12 November 2015
Version: Draft 4.0

University WHS Committee

Vice-Chancellor

Audit and Risk Committee

- Electrical Safety Advisory Group
- Radiation Safety Advisory Group
- Chemical and Hazardous Waste Safety Advisory Group

CASS Advisory Group
- Research School Advisory Groups
- RSHA RS5

CAP Advisory Group
- Research School Advisory Groups
- Crawford Bell School RegNet CHL CIW

CBE Advisory Group
- Research School Advisory Groups
- RSE RSM RSA R5FAS

Joint CPMS/CMBE Advisory Group
- Research School Advisory Groups
- RSAA RSC RSES RSPE MSI CPAS

CoL Advisory Group

CECS Advisory Group

Portfolio Advisory Group (Academic/Research/Administrative)
- Advisory Group
- Facilities & Services

School/Department Forums
University WHS Committee Charter

Introduction

1. The University WHS Committee (‘the Committee’) is the key internal governance body for the Work Health and Safety Management System (WHSMS).

2. This Charter sets out the Committee’s objective, authority, composition and tenure, roles and responsibilities, reporting and administrative arrangements.

Purpose

3. The purpose of the Committee, in co-operation with worker representation and senior management, is to provide oversight of the University WHSMS ensuring continuing suitability and system effectiveness.

Authority

4. The Vice-Chancellor authorises the Committee, within the scope of its role and responsibilities, to obtain any information it needs relating to workplace hazards and risks at the University, as well as the workplace health and safety of the workers of the University.

5. The Committee will not have access to any personal or medical information concerning a worker without the worker’s consent. Any information provided will be in a form that does not identify the worker and could not reasonably be expected to lead to the identification of the worker.

6. The Committee may establish working parties to advise and assist with specific matters within the scope of its role and responsibilities.

Composition and Tenure

7. The Committee will include members of management and worker representatives, and shall consist of:

   • ex officio, the Executive Director, Administration and Planning;
   • ex officio, the Director, Human Resources;
   • ex officio, the Director, Facilities and Services;
• ex officio, the Associate Director, Work Environment Group;
• one member, elected by and from each College/Portfolio WHS Advisory Group; and
• two members, elected by and from the group of Health and Safety Representatives (HSR).

8. The Vice-Chancellor will appoint annually a Chair from amongst the members of the Committee, with the appointment made prior to the first meeting of the Committee each year.

9. The Committee will elect annually a Deputy Chair from amongst its members, who shall be elected at the first meeting of the Committee each year.

10. Members shall be appointed/elected for two years and are eligible for re-appointment/election.

11. The Chair must ensure that at all times a minimum of 50% of members of the Committee must be elected members, and that of this representation, it must include at least two senior academic staff.

12. The Chair will have regard to the University’s objectives on gender equity, in communicating with College/Portfolio WHS Advisory Groups electing a member to the Committee.

Roles and Responsibilities

13. The Committee exercises such functions, responsibilities and authorities as may be assigned or delegated to it by the Vice-Chancellor from time to time, but only such executive powers as are explicitly delegated to it.

14. The Committee’s responsibilities, subject to revision by the Vice-Chancellor, are to monitor, review and where appropriate make recommendations to the Vice-Chancellor with respect to:

   a. the development and implementation of the University’s WHS strategy, including advising on appropriate levels of resourcing and management for mitigating WHS risk across the University;

   b. University-wide WHS issues and performance;

   c. corrective actions and improving performance, based on outcomes of WHSMS reviews and audits;

   d. the review of trending patterns of incidents and injuries in order to initiate proactive safety strategies;

   e. the facilitation of cooperation between management and staff in the resolution of WHS issues; and
f. the promotion of excellence in WHS and the pursuit of opportunities for continuous WHSMS improvement across the University.

15. Where the Committee identifies issues of serious concern relating to workplace health and safety, it shall refer such matters to the Audit and Risk Management Committee of Council for consideration.

Responsibilities of Members

16. Members of the Committee are expected to understand and observe the requirements of the ANU Code of Conduct, as it may pertain to participation in the Committee.

17. Members are also expected to:
   • act in the interests of the University, its staff and students;
   • contribute the time needed to study and understand the papers provided; and
   • apply good analytical skills, objectivity and good judgment.

Responsibilities of the University

18. Members of the Committee shall be allowed to spend all reasonable time necessary to attend meetings of the Committee and carry out their functions as a member, and this shall be considered to form part of their ordinary duties as a worker for the duration of their appointment/election to the Committee.

19. Committee members shall have access to adequate and appropriate resources to enable and support their consultation duties.

Reporting

20. The Committee will report, through the Vice-Chancellor, to every meeting of Council, on relevant matters pertaining to:
   • WHS strategies;
   • annual business plans;
   • performance indicators;
   • performance outcomes; and
   • major WHS incidents and corrective actions

21. The Committee will once a year, report to the Vice-Chancellor on its operation and activities during the year. The report should include:
   • a summary of the work it performed to fully discharge its responsibilities during the preceding year;
• details of meetings, including the number of meetings held during the relevant period, and the number of meetings each member attended.

22. The Committee may, at any time, report to the Vice-Chancellor, the Audit and Risk Management Committee or the Council on any other matter it determines of sufficient importance to do so.

23. The Committee will receive quarterly reports from each College/Portfolio Level Advisory Group and Specialist Advisory Group.

24. The Committee will receive monthly reports from:
   • individuals tasked with implementing WHS system requirements;
   • individuals given corrective actions to perform;
   • Work Environment Group (WEG)

Administrative Arrangements

Meetings and Planning

25. The Committee shall meet monthly on dates determined by the Chair.

26. The Chair is required to call an additional meeting if asked to do so by at least half of the Committee members.

27. A forward meeting plan, including meeting dates, location and agenda items, will be agreed by the Committee each year. The forward meeting plan will cover all of its responsibilities, as detailed in this Charter.

Attendance at Meetings and Quorums

28. A quorum shall consist of six Committee members, of which at least three must be elected members.

29. The President of the ANU Students’ Association (or their nominee), the President of the Postgraduate and Research Students’ Association (or their nominee), and one representative of the National Tertiary Education Union (NTEU) may attend each Committee meeting and contribute to its deliberations.

30. The Manager, Injury Prevention and Rehabilitation and members of the WHS Safety Team may attend Committee meetings and, when invited, contribute to its deliberations.

31. Representatives from Specialist Advisory Groups may, when invited, attend Committee meetings and contribute to its deliberations.

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

33. The staff of the Self-Insurance Project shall provide secretariat support to the Committee for the first six months of its operation. After that time, the secretariat will be provided by the Work Environment Group.

34. The Secretariat will ensure the agenda and supporting papers for each meeting are circulated, after approval from the Chair and at least 5 days before the meeting.

35. The Chair may structure the agenda to suit the needs of the Committee, but the standing agenda will ordinarily include:

- Part 1 - Procedural Items
  - Attendance/apologies
  - Confirmation of minutes of the previous meeting
  - Action items from previous meetings
- Part 2 – Key Business Items
  - Review progress towards WHS objectives and targets
  - Report(s) regarding effectiveness of corrective actions from incident investigations
  - Review of significant incidents that have occurred since the last meeting
    - Review serious Incident Reports and Investigations
    - Nominate an appropriate person to monitor the effectiveness of the corrective actions
- Part 3 – Strategic Issues
- Part 4 – Other Matters for Decision
- Part 5 – Other Matters for Noting
  - Minutes and reports received from other Committees
  - Report(s) and correspondence received by the Committee
- Part 6 – Other Business

36. The Secretariat will ensure the minutes of the meetings are prepared and maintained. Minutes shall be approved by the Chair and circulated to each member of the Committee for confirmation at the next meeting.

37. The confirmed minutes of each meeting will be made accessible to all University staff through the Work Environment Group website.
Conflicts of Interest

38. Committee members shall declare any material personal interests at the start of each meeting or before discussion of the relevant agenda item or topic. Details of material personal interests declared by Committee members, and actions taken, will be appropriately recorded in the minutes.

Induction

39. Committee members will be required to complete relevant induction and training for their role as a Committee member, which shall be organised by the Secretariat.

Assessment and Review

40. The Chair of the Committee, in consultation with the Vice-Chancellor, shall initiate biennially a review of the performance of the Committee, and this Charter, with appropriate input sought from relevant stakeholders, as determined by the Committee. The review of performance will be conducted on a self-assessment basis unless otherwise determined by the Committee or the Vice-Chancellor.

Approved by the Vice-Chancellor on <date>.
College/Portfolio Advisory Group Charter

Introduction

1. The College/Portfolio Advisory Group (‘the Advisory Group’) is the key internal advisory body for the Work Health and Safety Management System (WHSMS) at the College/Portfolio level.

2. This Charter sets out the Advisory Group’s objective, authority, composition and tenure, roles and responsibilities, reporting and administrative arrangements.

Purpose

3. The purpose of the Advisory Group, in co-operation with worker representation and senior management, is to advise and assist the University WHS committee in ensuring the continuing suitability and effectiveness of the WHSMS.

Authority

4. The University WHS Committee authorises the Advisory Group, within the scope of its role and responsibilities, to obtain any information it needs relating to workplace hazards and risks at the University, as well as the workplace health and safety of the workers of the University.

5. The Advisory Group will not have access to any personal or medical information concerning a worker without the worker’s consent. Any information provided will be in a form that does not identify the worker and could not reasonably be expected to lead to the identification of the worker.

6. The Advisory Group may establish working parties to advise and assist with specific matters within the scope of its role and responsibilities.

Composition and Tenure

7. The Advisory Group will include members of management and worker representatives, and shall consist of:

   • ex officio, Deputy Vice-Chancellor for the portfolio groups;
   • ex officio, Dean, Deputy Dean, Associate Dean for the college groups;
• ex officio, College General Manager (or their nominee);
• ex officio, the Associate Director, Work Environment Group;
• four members, elected by and from each portfolio area for the portfolios;
• four members, elected by and from each College areas for the colleges; and
• one or two members, elected by and from the group of Health and Safety Representatives (HSR).

8. The Advisory Group will elect annually a Chair from amongst the members, who shall be elected at the first meeting of the Advisory Group each year.

9. The Advisory Group will elect annually a Deputy Chair from amongst its members, who shall be elected at the first meeting of the Advisory Group each year.

10. Members shall be appointed/elected for two years and are eligible for re-appointment/election.

11. The Chair must ensure that at all times a minimum of 50% of members of the Advisory Group must be elected members, and that of this representation, it must include at least two senior academic staff.

12. The Chair will have regard to the University’s objectives on gender equity, in communicating with and electing a member to the Advisory Group.

Roles and Responsibilities

13. The Advisory Group exercises such functions, responsibilities and authorities as may be assigned or delegated to it by the University WHS Committee from time to time, but only such executive powers as are explicitly delegated to it.

14. The Advisory Group’s responsibilities, subject to revision by the University WHS Committee, are to monitor, review and where appropriate make recommendations to the University WHS Committee. Their responsibility with respect to WHS is to:

   a. assist in the development and implementation of the University’s WHS strategy, including advising on appropriate levels of resourcing and management for mitigating WHS risk across the University;

   b. review incident reports of injuries, hazards and near misses, the results of inspection and audits as well as recommended corrective actions by auditors in order to maintain awareness of WHS risks and hazards in the College or Portfolio and identify strategies to reduce and eliminate WHS risk;

   c. improve performance, based on review of key performance indicators, WHS statistics in the College or Portfolio and outcomes of WHSMS reviews and audits;
d. review trending patterns of incidents and injuries in order to recommend proactive safety strategies;

e. encourage engagement and ownership of WHS within the area by the establishing two-way communication between workers and the committee in regards to WHS information and planning;

f. facilitate cooperation between management and staff in the resolution of WHS issues; and

g. promote excellence in WHS and the pursuit of opportunities for continuous WHS improvement across the University.

15. Where the Advisory Group identifies issues of serious concern relating to workplace health and safety, it shall refer such matters immediately to the University WHS Committee for consideration.

Responsibilities of Members

16. Members of the Advisory Group are expected to understand and observe the requirements of the ANU Code of Conduct, as it may pertain to participation in the Advisory Group.

17. Members are also expected to:

• act in the interests of the University, its staff and students;
• contribute the time needed to study and understand the papers provided; and
• apply good analytical skills, objectivity and good judgment.

Responsibilities of the University

18. Members of the Advisory Group shall be allowed to spend all reasonable time necessary to attend meetings of the Advisory Group and carry out their functions as a member, and this shall be considered to form part of their ordinary duties as a worker for the duration of their appointment/election to the Advisory Group.

19. Committee members shall have access to adequate and appropriate resources to enable and support their consultation duties.

Reporting

20. The Advisory Group will report quarterly the University WHS Committee, on relevant matters pertaining to:

• WHS strategies;
• annual business plans;
• performance indicators;
• performance outcomes;
• recommendations given for corrective actions; and
• major WHS incidents and corrective actions

21. The Advisory Group may, at any time, report to the University WHS Committee, on any other matter it determines of sufficient importance to do so.

22. The Advisory Group will receive quarterly reports from each Research School Level Advisory Group.

23. The Advisory Group will receive monthly reports from:
• individuals tasked with implementing WHS system requirements; and
• individuals given corrective actions to perform.

Administrative Arrangements

Meetings and Planning

24. The Advisory Group shall meet quarterly on dates determined by the Chair.

25. The Chair may call an additional meeting if required to do so by the University WHS Committee.

26. The Chair is required to call an additional meeting if asked to do so by at least half of the Advisory Group members.

27. A forward meeting plan, including meeting dates, location and potential agenda items, will be agreed by the Advisory Group each year. The forward meeting plan will cover all of its responsibilities, as detailed in this Charter.

Attendance at Meetings and Quorums

28. A quorum shall consist of six Committee members, of which at least three must be elected members.

29. The President of the ANU Students’ Association (or their nominee), the President of the Postgraduate and Research Students’ Association (or their nominee), and one representative of the National Tertiary Education Union (NTEU) may attend each Committee meeting and contribute to its deliberations.

30. Representatives from Work Environment Group may attend Committee meetings and, when invited, contribute to its deliberations.

31. Representatives from Specialist Advisory Groups may, when invited, attend Committee meetings and contribute to its deliberations.
Secretariat

32. The staff of the Self-Insurance Project shall provide secretariat support to the Advisory Group for the first six months of its operation. After that time, the secretariat will be provided by the Work Environment Group.

33. The Secretariat will ensure the agenda and supporting papers for each meeting are circulated, after approval from the Chair and at least 5 days before the meeting.

34. The Chair may structure the agenda to suit the needs of the Advisory Group, but the standing agenda will ordinarily include:

- Part 1 - Procedural Items
  - Attendance/apologies
  - Confirmation of minutes of the previous meeting
  - Action items from previous meetings

- Part 2 – Key Business Items
  - Review progress towards WHS objectives and targets
  - Report(s) regarding effectiveness of corrective actions from incident investigations
  - Review of significant incidents that have occurred since the last meeting
    - Review serious Incident Reports and Investigations
    - Nominate an appropriate person to monitor the effectiveness of the corrective actions

- Part 3 – Strategic Issues

- Part 4 – Other Matters for Recommendations

- Part 5 – Other Matters for Noting
  - Minutes and reports received from other Committees
  - Report(s) and correspondence received by the Advisory Group

- Part 6 – Other Business

35. The Secretariat will ensure the minutes of the meetings are prepared and maintained. Minutes shall be approved by the Chair and circulated to each member of the Advisory Group for confirmation at the next meeting.

36. The confirmed minutes of each meeting will be made accessible to all University staff through the Work Environment Group website.
Conflicts of Interest

37. Committee members shall declare any material personal interests at the start of each meeting or before discussion of the relevant agenda item or topic. Details of material personal interests declared by Committee members, and actions taken, will be appropriately recorded in the minutes.

Induction

38. Committee members will be required to complete relevant induction and training for their role as a Committee member, which shall be organised by the Secretariat.

Assessment and Review

39. The Chair of the Advisory Group, in consultation with the University WHS Committee, shall initiate biennially a review of the performance of the Advisory Group, and this Charter, with appropriate input sought from relevant stakeholders, as determined by the Advisory Group. The review of performance will be conducted on a self-assessment basis unless otherwise determined by the Advisory Group or the University WHS Committee.

Approved by <college/portfolio> Advisory Group on <date>.
Research School Advisory Group Charter

Introduction

1. The Research School Advisory Group (‘the Advisory Group’) is the key internal advisory body for the Work Health and Safety Management System (WHSMS) at the Research School level.

2. This Charter sets out the Advisory Group’s objective, authority, composition and tenure, roles and responsibilities, reporting and administrative arrangements.

Purpose

3. The purpose of the Advisory Group, in co-operation with worker representation and senior management, is to advise and assist the University WHS committee in ensuring the continuing suitability and effectiveness of the WHSMS.

Authority

4. The University WHS Committee authorises the Advisory Group, within the scope of its role and responsibilities, to obtain any information it needs relating to workplace hazards and risks at the University, as well as the workplace health and safety of the workers of the University.

5. The Advisory Group will not have access to any personal or medical information concerning a worker without the worker’s consent. Any information provided will be in a form that does not identify the worker and could not reasonably be expected to lead to the identification of the worker.

6. The Advisory Group may establish working parties to advise and assist with specific matters within the scope of its role and responsibilities.

Composition and Tenure

7. The Advisory Group will include members of management and worker representatives, and shall consist of:

   • ex officio, Director, Deputy Director;
   • ex officio, School Manager (or their nominee);
- ex officio, WHS Officer or their position equivalent;
- four members, elected by and from each school area;
- one or two members, elected by and from the group of Health and Safety Representatives (HSR).

8. The Advisory Group will elect annually a Chair from amongst the members, who shall be elected at the first meeting of the Advisory Group each year.

9. The Advisory Group will elect annually a Deputy Chair from amongst its members, who shall be elected at the first meeting of the Advisory Group each year.

10. Members shall be appointed/elected for two years and are eligible for re-appointment/election.

11. The Chair must ensure that at all times a minimum of 50% of members of the Advisory Group must be elected members, and that of this representation, it must include at least two senior academic staff.

12. The Chair will have regard to the University’s objectives on gender equity, in communicating with and electing a member to the Advisory Group.

Roles and Responsibilities

13. The Advisory Group exercises such functions, responsibilities and authorities as may be assigned or delegated to it by the University WHS Committee from time to time, but only such executive powers as are explicitly delegated to it.

14. The Advisory Group’s responsibilities, subject to revision by the University WHS Committee, are to monitor, review and where appropriate make recommendations to the College or Portfolio Advisory Group. Their responsibility with respect to WHS is to:

   a. assist in the development and implementation of the University’s WHS strategy, including advising on appropriate levels of resourcing and management for mitigating WHS risk across the University;

   b. review incident reports of injuries, hazards and near misses, the results of inspection and audits as well as recommended corrective actions by auditors in order to maintain awareness of WHS risks and hazards in the Research School and identify strategies to reduce and eliminate WHS risk;

   c. improve performance, based on review of key performance indicators, WHS statistics in the Research School and outcomes of WHSMS reviews and audits

   d. review trending patterns of incidents and injuries in order to recommend proactive safety strategies;
e. facilitate cooperation between management and staff in the resolution of WHS issues; and

f. promote excellence in WHS and the pursuit of opportunities for continuous WHSMS improvement across the University.

15. Where the Advisory Group identifies issues of serious concern relating to workplace health and safety, it shall refer such matters immediately to the College/Portfolio WHS Advisory Group for consideration.

Responsibilities of Members

16. Members of the Advisory Group are expected to understand and observe the requirements of the ANU Code of Conduct, as it may pertain to participation in the Advisory Group.

17. Members are also expected to:
   • act in the interests of the University, its staff and students;
   • contribute the time needed to study and understand the papers provided; and
   • apply good analytical skills, objectivity and good judgment.

Responsibilities of the University

18. Members of the Advisory Group shall be allowed to spend all reasonable time necessary to attend meetings of the Advisory Group and carry out their functions as a member, and this shall be considered to form part of their ordinary duties as a worker for the duration of their appointment/election to the Advisory Group.

19. Committee members shall have access to adequate and appropriate resources to enable and support their consultation duties.

Reporting

20. The Advisory Group will report quarterly the College/Portfolio Advisory Group, on relevant matters pertaining to:
   • WHS strategies;
   • annual business plans;
   • performance indicators;
   • performance outcomes;
   • recommendations given for corrective actions; and
   • major WHS incidents and corrective actions.
21. The Advisory Group may, at any time, report to the College/Portfolio Advisory Group, on any other matter it determines of sufficient importance to do so.

22. The Advisory Group will receive quarterly reports from each School/Department Forum (if applicable).

23. The Advisory Group will receive monthly reports from:
   - individuals tasked with implementing WHS system requirements; and
   - individuals given corrective actions to perform.

**Administrative Arrangements**

**Meetings and Planning**

24. The Advisory Group shall meet quarterly on dates determined by the Chair.

25. The Chair may call an additional meeting if required to do so by the College/Portfolio Advisory Group.

26. The Chair is required to call an additional meeting if asked to do so by at least half of the Advisory Group members.

27. A forward meeting plan, including meeting dates, location and potential agenda items, will be agreed by the Advisory Group each year. The forward meeting plan will cover all of its responsibilities, as detailed in this Charter.

**Attendance at Meetings and Quorums**

28. A quorum shall consist of six Committee members, of which at least three must be elected members.

29. The President of the ANU Students’ Association (or their nominee), the President of the Postgraduate and Research Students’ Association (or their nominee), and one representative of the National Tertiary Education Union (NTEU) may attend each Committee meeting and contribute to its deliberations.

30. Representatives from Work Environment Group may attend Committee meetings and, when invited, contribute to its deliberations.

31. Representatives from Specialist Advisory Groups may, when invited, attend Committee meetings and contribute to its deliberations.

**Secretariat**

32. The secretariat will be provided by the Chair.

33. The Secretariat will ensure the agenda and supporting papers for each meeting are circulated, after approval from the Chair and at least 5 days before the meeting.
34. The Chair may structure the agenda to suit the needs of the Advisory Group, but the standing agenda will ordinarily include:

- **Part 1 - Procedural Items**
  - Attendance/apologies
  - Confirmation of minutes of the previous meeting
  - Action items from previous meetings

- **Part 2 – Key Business Items**
  - Review progress towards WHS objectives and targets
  - Report(s) regarding effectiveness of corrective actions from incident investigations
  - Review of significant incidents that have occurred since the last meeting
    - Review serious Incident Reports and Investigations
    - Nominate an appropriate person to monitor the effectiveness of the corrective actions

- **Part 3 – Strategic Issues**

- **Part 4 – Other Matters for Recommendations**

- **Part 5 – Other Matters for Noting**
  - Minutes and reports received from other Committees
  - Report(s) and correspondence received by the Advisory Group

- **Part 6 – Other Business**

35. The Secretariat will ensure the minutes of the meetings are prepared and maintained. Minutes shall be approved by the Chair and circulated to each member of the Advisory Group for confirmation at the next meeting.

36. The confirmed minutes of each meeting will be made accessible to all University staff through the Work Environment Group website.

**Conflicts of Interest**

37. Committee members shall declare any material personal interests at the start of each meeting or before discussion of the relevant agenda item or topic. Details of material personal interests declared by Committee members, and actions taken, will be appropriately recorded in the minutes.
Induction

38. Committee members will be required to complete relevant induction and training for their role as a Committee member, which shall be organised by the Secretariat.

Assessment and Review

39. The Chair of the Advisory Group, in consultation with the College/Portfolio Advisory Group, shall initiate biennially a review of the performance of the Advisory Group, and this Charter, with appropriate input sought from relevant stakeholders, as determined by the Advisory Group. The review of performance will be conducted on a self-assessment basis unless otherwise determined by the Advisory Group or the University WHS Committee.

Approved by <Research School> Advisory Group on <date>.
School/Department WHS Forum Charter

Introduction
1. The School/Department WHS Forum (‘the Forum’) is an internal consultative body for the Work Health and Safety Management System (WHSMS) at the School/Department level.
2. This Charter sets out the Forum’s objective, authority, composition and tenure, roles and responsibilities, reporting and administrative arrangements.

Purpose
3. The purpose of the Forum, in co-operation with worker representation and senior management, is to advise and assist the University WHS committee in ensuring the continuing suitability and effectiveness of the WHSMS.

Composition and Tenure
4. The Forum will include members of management and worker representatives, and shall consist of:
   - ex officio, Head of School, Head of Department;
   - ex officio, School Manager, Senior Administrator (or their nominee); and
   - ex officio, WHS Officer or their position equivalent.
5. Additional members will be made up of those choosing to attend the Forum.
6. The Forum Chair will be the ex officio, Head of School, Head of Department member.

Roles and Responsibilities
7. The Forum’s responsibilities, subject to revision by the University WHS Committee, are to monitor, review and where appropriate make recommendations to the Research School Advisory Group. Their responsibility with respect to WHS is to:
   a. assist in the development and implementation of the University’s WHS management system;
b. review incident reports of injuries, hazards and near misses, the results of inspection and audits as well as recommended corrective actions by auditors in order to maintain awareness of WHS risks and hazards in the School/Department and identify strategies to reduce and eliminate WHS risk.

c. encourage engagement and ownership of WHS within the School/Department by the establishing two-way communication between workers and the committee to provide consultation on WHS matters;

d. facilitate cooperation between management and staff in the resolution of WHS issues; and

e. promote of excellence in WHS and the pursuit of opportunities for continuous WHSMS improvement across the University.

8. Where the Forum identifies issues of serious concern relating to workplace health and safety, it shall refer such matters immediately to the Research School WHS Advisory Group for consideration.

Responsibilities of Members

9. Members and Attendees of the Forum are expected to understand and observe the requirements of the ANU Code of Conduct, as it may pertain to participation in the Forum.

10. Members and Attendees are also expected to:

- act in the interests of the University, its staff and students;
- contribute the time needed to study and understand any papers provided; and
- apply good analytical skills, objectivity and good judgment.

Responsibilities of the University

11. Members of the Forum shall be allowed to spend all reasonable time necessary to attend meetings of the Forum and carry out their functions as a member, and this shall be considered to form part of their ordinary duties as a worker for the duration of their appointment/election to the Forum.

12. Committee members shall have access to adequate and appropriate resources to enable and support their consultation duties.

Reporting

13. The Forum may, at any time, report to the Research School Advisory Group, on any matter it determines of sufficient importance to do so.

Administrative Arrangements

Meetings and Planning

15. The Forum shall meet quarterly on dates determined by the Chair.

16. The Chair may call additional meetings if required to do so by the Research School Advisory Group.

17. A forward meeting plan, including meeting dates, location and potential agenda items, will be agreed by the Forum each year. The forward meeting plan will cover all of its responsibilities, as detailed in this Charter.

Attendance at Meetings and Quorums

18. The President of the ANU Students’ Association (or their nominee), and the President of the Postgraduate and Research Students’ Association (or their nominee) may attend each Committee meeting and contribute to its deliberations.

19. Representatives from Work Environment Group may attend Committee meetings and, when invited, contribute to its deliberations.

20. Representatives from Research School Advisory Groups may, when invited, attend Committee meetings and contribute to its deliberations.

21. Representatives from College/Portfolio Advisory Groups may, when invited, attend Committee meetings and contribute to its deliberations.

22. Representatives from Specialist Advisory Groups may, when invited, attend Committee meetings and contribute to its deliberations.

Secretariat

23. The secretariat will be provided by the Work Environment Group.

24. The Secretariat will ensure the agenda for each meeting is circulated, after approval from the Chair and at least 5 days before the meeting.

25. The Chair may structure the agenda to suit the needs of the Forum, but the standing agenda will ordinarily include:

   - Part 1 - Procedural Items
     - Confirmation of summary notes of the previous meeting
     - Action items from previous summary notes
   - Part 2 – Key Business Items
     - Review progress towards WHS objectives and targets
• Report(s) regarding effectiveness of corrective actions from incident investigations

• Review of significant incidents that have occurred since the last meeting
  • Review serious Incident Reports and Investigations
  • Nominate an appropriate person to monitor the effectiveness of the corrective actions

• Part 3 – Strategic Issues

• Part 4 – Other Matters for Recommendations

• Part 5 – Other Matters for Noting
  • Minutes and reports received from other Committees
  • Report(s) and correspondence received by the Forum

• Part 6 – Other Business

26. The Secretariat will ensure the summary notes of the meetings are prepared and maintained. Summary note shall be approved by the Chair and circulated within the school/department prior to the next meeting.

27. The summary notes of each meeting will be made accessible to all University staff through the Work Environment Group website.

Induction

28. Committee members may complete relevant induction and training for the role of Committee member, which shall be organised by the Secretariat.

Assessment and Review

29. The Chair of the Forum, in consultation with the College/Portfolio Advisory Group, shall initiate biennially a review of the performance of the Forum, and this Charter, with appropriate input sought from relevant stakeholders, as determined by the Forum. The review of performance will be conducted on a self-assessment basis unless otherwise determined by the Forum or the University WHS Committee.

Approved by <School/Department> Forum on <date>.
Specialist Advisory Group Charter

Introduction

1. The Specialist Advisory Group (‘the Advisory Group’) is the key internal advisory body for the Work Health and Safety Management System (WHSMS) in <specialised topic> safety.

2. This Charter sets out the Advisory Group’s objective, authority, composition and tenure, roles and responsibilities, reporting and administrative arrangements.

Purpose

3. The purpose of the Advisory Group, in co-operation with worker representation and senior management, is to advise and assist the University WHS committee on matter relating to <specialised topic> safety.

4. The Advisory Group provides the main source of technical advice in regards to relevant legislation, regulation, codes of practice and Australian standards relating to <specialised topic> safety.

Authority

5. The University WHS Committee authorises the Advisory Group, within the scope of its role and responsibilities, to obtain any information it needs relating to workplace hazards and risks at the University, as well as the workplace health and safety of the workers of the University.

6. The Advisory Group will not have access to any personal or medical information concerning a worker without the worker’s consent. Any information provided will be in a form that does not identify the worker and could not reasonably be expected to lead to the identification of the worker.

Composition and Tenure

7. The Advisory Group members shall consist of:

   • ex officio, <specialised topic> Safety Officers; and

8. two members, elected by and from workers in a role that interacts with <specialised topic>.
9. The Advisory Group will elect annually a Chair from amongst the members, who shall be elected at the first meeting of the Advisory Group each year.

10. The Advisory Group will elect annually a Deputy Chair from amongst its members, who shall be elected at the first meeting of the Advisory Group each year.

11. Members shall be appointed/elected for two years and are eligible for re-appointment/election.

12. The Chair will have regard to the University’s objectives on gender equity, in communicating with and electing a member to the Advisory Group.

Roles and Responsibilities

13. The Advisory Group exercises such functions, responsibilities and authorities as may be assigned or delegated to it by the University WHS Committee from time to time, but only such executive powers as are explicitly delegated to it.

14. The Advisory Group’s responsibilities, subject to revision by the University WHS Committee, are to monitor, review and where appropriate make recommendations to the University WHS Committee. Their responsibility with respect to WHS is to:

   a. assist in the development and implementation of the University’s WHS strategy, including advising on appropriate levels of resourcing and management for mitigating WHS risk across the University in relation to <specialised topic>;

   b. review incident reports of injuries, hazards and near misses, the results of inspection and audits and recommended corrective actions by auditors in order to maintain awareness of WHS risks and hazards relating to <specialised topic> and identify strategies to reduce and eliminate these risks;

   c. improve <specialised topic> safety performance, based on review of key performance indicators, WHS statistics, and outcomes of WHSMS reviews and audits;

   d. facilitate of cooperation between management and staff in the resolution of WHS issues relating to <specialised topic>; and

   e. promote of excellence in WHS and the pursuit of opportunities for continuous WHSMS improvement across the University for <specialised topic> safety.

15. Where the Advisory Group identifies issues of serious concern relating to workplace health and safety, it shall refer such matters immediately to the University WHS Committee for consideration.
Responsibilities of Members

16. Members of the Advisory Group are expected to understand and observe the requirements of the *ANU Code of Conduct*, as it may pertain to participation in the Advisory Group.

17. Members are also expected to:
   - act in the interests of the University, its staff and students;
   - contribute the time needed to study and understand the papers provided; and
   - apply good analytical skills, objectivity and good judgment.

Responsibilities of the University

18. Members of the Advisory Group shall be allowed to spend all reasonable time necessary to attend meetings of the Advisory Group and carry out their functions as a member, and this shall be considered to form part of their ordinary duties as a worker for the duration of their appointment/election to the Advisory Group.

19. Committee members shall have access to adequate and appropriate resources to enable and support their consultation duties.

Reporting

20. The Advisory Group will report quarterly the University WHS Committee, on relevant matters in relation to *specialised topic* safety and pertaining to:
   - WHS strategies;
   - annual business plans;
   - performance indicators;
   - performance outcomes;
   - recommendations given for corrective actions; and
   - major WHS incidents and corrective actions

21. The Advisory Group may, at any time, report to the University WHS Committee, on any other matter it determines of sufficient importance to do so.

22. The Advisory Group will receive bi-annual reports from each Specialist Advisory Group.

23. The Advisory Group will receive monthly reports from:
   - individuals tasked with implementing WHS system requirements; and
   - individuals given corrective actions to perform.
Administrative Arrangements

Meetings and Planning

24. The Advisory Group shall meet quarterly on dates determined by the Chair.
25. The Chair may call an additional meeting if required to do so by the University WHS Committee.
26. The Chair is required to call an additional meeting if asked to do so by at least half of the Advisory Group members.
27. A forward meeting plan, including meeting dates, location and potential agenda items, will be agreed by the Advisory Group each year. The forward meeting plan will cover all of its responsibilities, as detailed in this Charter.

Attendance at Meetings and Quorums

28. A quorum shall consist of four Committee members.
29. The President of the ANU Students’ Association (or their nominee) and the President of the Postgraduate and Research Students’ Association (or their nominee), may attend each Committee meeting and contribute to its deliberations.
30. Representatives from Work Environment Group may attend Committee meetings and, when invited, contribute to its deliberations.
31. Representatives from College/Portfolio Advisory Groups may, when invited, attend Committee meetings and contribute to its deliberations.
32. Representatives from Research School Advisory Groups may, when invited, attend Committee meetings and contribute to its deliberations.

Secretariat

33. The secretariat will be provided by the Work Environment Group.
34. The Secretariat will ensure the agenda and supporting papers for each meeting are circulated, after approval from the Chair and at least 5 days before the meeting.
35. The Chair may structure the agenda to suit the needs of the Advisory Group, but the standing agenda will ordinarily include:
   - Part 1 - Procedural Items
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- Part 6 – Other Business

36. The Secretariat will ensure the minutes of the meetings are prepared and maintained. Minutes shall be approved by the Chair and circulated to each member of the Advisory Group for confirmation at the next meeting.

37. The confirmed minutes of each meeting will be made accessible to all University staff through the Work Environment Group website.

**Conflicts of Interest**

38. Committee members shall declare any material personal interests at the start of each meeting or before discussion of the relevant agenda item or topic. Details of material personal interests declared by Committee members, and actions taken, will be appropriately recorded in the minutes.

**Induction**

39. Committee members will be required to complete relevant induction and training for their role as a Committee member, which shall be organised by the Secretariat.

**Assessment and Review**

40. The Chair of the Advisory Group, in consultation with the University WHS Committee, shall initiate biennially a review of the performance of the Advisory Group, and this Charter, with appropriate input sought from relevant stakeholders, as determined by the Advisory Group. The review of performance will be conducted on a self-assessment basis unless otherwise determined by the Advisory Group or the University WHS Committee.
Approved by <Specialist> Advisory Group on <date>.
23. **2016 ANNUAL AUDIT WORK PLAN**

**PURPOSE**  
To present the 2016 Internal Audit Work Plan for Council approval.

**PREPARED BY**  
Auditor, Corporate Governance and Risk

**REVIEWED BY**  
Manager, Audit and Risk, Corporate Governance and Risk Office

**APPROVED BY**  
Director, Corporate Governance and Risk Office

**SPONSOR**  
Chair, Audit and Risk Management Committee

**RECOMMENDATION**  
That Council approve the 2016 Internal Audit Work Plan.

**ACTION REQUIRED**  
For discussion ☑  For decision ☐  For information ☑

**CONSULTATION**  
Staff ☑  Students ☐  Alumni ☐  Government ☐  Other ☐  Not applicable ☐

Consultation has taken place with the Audit and Risk Management Committee and the Executive Director (Administration and Planning) in respect of internal audit priorities for 2016.

**BACKGROUND**

The 2016 Internal Audit Work Plan (IAWP) was developed in consultation with the Corporate Governance & Risk Office (CGRO). In developing the 2016 IAWP the following documents were considered:

- ANU Entity-wide Risk Management Framework;
- ANU Entity-wide Risk Profile;
- Australian National Audit Office audit activity; and
- Previous audit activities, findings or issues.

Additionally, the ANU Executive and Service Division Directors were consulted to seek their advice on potential audit topics and areas of focus.

The IAWP incorporates a broad range of internal audits including compliance-based audits, performance improvement audits, post-implementation audits, health check audits and operational control audits. Proposed internal audit topics include:

<table>
<thead>
<tr>
<th>Internal Audit Topic</th>
<th>Timeframes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Education Services for Overseas Students (ESOS)</td>
<td>Quarter 1</td>
</tr>
<tr>
<td>Major Project Governance</td>
<td>Quarter 1</td>
</tr>
<tr>
<td>ANU Website</td>
<td>Quarter 2</td>
</tr>
<tr>
<td>Procurement and Contract Management Processes</td>
<td>Quarter 2</td>
</tr>
<tr>
<td>IT Functional Review – Service Division level</td>
<td>Quarter 2</td>
</tr>
<tr>
<td>Annual Appeal process</td>
<td>Quarter 3</td>
</tr>
<tr>
<td>Finance and Business Services (FBS) Transformation</td>
<td>Quarter 3</td>
</tr>
<tr>
<td>IT Security Health Check – College level</td>
<td>Quarter 3</td>
</tr>
<tr>
<td>Physical Security</td>
<td>Quarter 4</td>
</tr>
<tr>
<td>ANU Investment Office</td>
<td>Quarter 4</td>
</tr>
</tbody>
</table>

**ATTACHMENT**

COMMUNICATION
For public release ☐  For internal release ☐  Not for release ☑
Draft 2016 Internal Audit Work Plan

Australian National University

26 November 2015
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Inherent Limitations

Due to the inherent limitations of any internal control structure, it is possible that fraud, error or non-compliance with laws and regulations may occur and not be detected. Further, the internal control structure, within which the control procedures that have been subject to internal audit operate, has not been reviewed in its entirety and, therefore, no opinion or view is expressed as to its effectiveness of the greater internal control structure. An internal audit is not designed to detect all weaknesses in control procedures as it is not performed continuously throughout the period and the tests performed on the control procedures are on a sample basis. Any projection of the evaluation of control procedures to future periods is subject to the risk that the procedures may become inadequate because of changes in conditions, or that the degree of compliance with them may deteriorate.

We believe that the statements made in this report are accurate, but no warranty of completeness, accuracy or reliability is given in relation to the statements and representations made by, and the information and documentation provided by the Australian National University’s (ANU) management and personnel. We have indicated within this report the sources of the information provided. We have not sought to independently verify those sources unless otherwise noted with the report. We are under no obligation in any circumstance to update this report, in either oral or written form, for events occurring after the report has been issued in final form unless specifically agreed with ANU. The internal audit findings expressed in this report have been formed on the above basis.

Third party reliance

This report is solely for the purpose set out in Section 1.2 of this report and for the University’s information, and is not to be used for any other purpose or distributed to any other party without Ernst & Young’s prior written consent.

The services are being undertaken at the request of the ANU. The ANU is fully and solely responsible for making implementation decisions, if any, and to determine further course of action with respect to any matters addressed in any advice, recommendations, services, reports or other work product or deliverables provided by us. Other than our responsibility to the Management of the ANU, neither Ernst & Young nor any member or employee of Ernst & Young undertakes responsibility arising in any way from reliance placed by a third party, including but not limited to University’s external auditor, on this internal audit report. Any reliance placed is that party’s sole responsibility.
1. Introduction

1.1 Overview

ANU by 2020 is a plan that aims to build on the distinctive excellence of the Australian National University (ANU/University) both as Australia’s national university and Australia’s finest university. The ANU has a distinct national mission which differentiates it from other higher education institutions, and unique concentrations of excellence which have given ANU a reputation second to none. ANU is a research-intensive, research-led university. Research is central to everything ANU does. That research culture shapes its other core objectives of education provision and being a national and international policy resource. At the same time, ANU is one of Australia’s leading teaching universities, and these goals are reflected in its corporate strategy goals:

- Enhancing the distinctive excellence of ANU;
- Strategies for Success: Core objectives - Excellence in Research, Excellence in Education, Excellence as a National Policy Resource; and

1.2 Purpose of this document

The Internal Audit Work Plan (Plan) is designed to inform management of the focus, and the timing, for proposed audit activities during the year, and how they will support achievement of the University’s activities and objectives. Its aim is to provide specifications, in the form of proposed objectives, which describe the knowledge which management requires from each assignment. In so doing, it provides a solid basis from which to build and deliver the audit work in a structured and cooperative manner.

1.3 What is the ANU seeking to achieve through this Internal Audit activity?

‘Internal Audit is an independent, objective assurance and advisory activity designed to add value to and improve the University’s operations. Internal Audit helps the ANU to achieve its objectives by bringing a systematic and disciplined approach to evaluate and improve the effectiveness of risk management, control and governance processes.’ (ANU Internal Audit Charter, March 2014).

Corporate Governance & Risk Office’s (CGRO) and EY’s objectives for the provision of internal audit services to the ANU are to:

- Provide high quality services which deliver relevant knowledge outcomes within agreed timeframes;
- Provide accurate, reliable and useful advice to managers and executive;
- Undertake internal audit engagements that assist the ANU to manage risk and develop a control framework that is functioning effectively and efficiently;
- Work cooperatively with management and staff to improve, where necessary, the University’s observance of accountability requirements; and
- Work cooperatively with the ANAO to minimise duplication of audit activity and maximise the University’s preparedness for external scrutiny.
1.4 Approach

The 2016 IAWP was developed in consultation with the Corporate Governance & Risk Office. When developing the 2016 IAWP the following documentation was considered:

- ANU Entity-wide Risk Management Framework and Risk Profile;
- Previous audit activities, findings or issues; and
- Emerging issues across the Tertiary Education sector.

Additionally, interviews were conducted with a number of the ANU Executive to seek their advice on potential audit topics and areas of focus. Interviews included:

- Deputy Vice-Chancellor (Research);
- Deputy Vice-Chancellor (Academic); and
- Executive Director (Administration & Planning).
2. ANU Entity-wide Risk Profile

Table 1 on the following page is an extract from the University’s Entity-wide Risk Profile (dated September 2014). The internal audit plan has been structured to specifically respond to this profile, to ensure that risks are subject to the most effective audit regime, with every risk receiving a proportionate amount of assurance in response to the exposure it represents to the ANU.

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.

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.
Table 1: Extract from the University's Entity-wide Risk Profile

AUSTRALIAN NATIONAL UNIVERSITY – RISK PROFILE

Tier 1

Tier 2

Tier 1

Tier 2
3. Mapping of Internal Audit Activity to the ANU’s Risk Profile

The proposed internal audit activity to address the University’s Risk Profile is represented in Table 2 below. Please note other forms of assurance over risks are not represented in this table, however in addition to the internal audit activities listed, the ANU also relies upon the following forms of assurance to address risk:

- ANU-wide control self-assessment;
- Grant acquittal process;
- Completion of the ANU Fraud risk profiles every two years;
- Annual updates to the business continuity plans; and
- Integrating risk management plans in the operational plans (future project).

The internal audit plan has been structured to specifically respond to the risk profile of, and other assurance activities undertaken by, the ANU. As outlined in Table 2 below, every risk is receiving a proportionate amount of assurance in response to the exposure it represents to the ANU as determined by management.
## Table 2: Internal Audit coverage of University's Risk Profile

<table>
<thead>
<tr>
<th>Internal Audit Topics</th>
<th>ANU Entity-wide Risks</th>
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<td>Governance</td>
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<td></td>
<td>Leadership</td>
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<td><strong>Proposed for 2016</strong></td>
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<td>Education Services for Overseas Students</td>
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<td>ANU Investment Office</td>
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<td><strong>Completed in 2015</strong></td>
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<td>1</td>
<td>Commercialisation of Intellectual Property</td>
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<td>Learning &amp; Development for Academic Staff</td>
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</tr>
<tr>
<td>9</td>
<td>NHMRC and ARC Grants</td>
</tr>
</tbody>
</table>
### Internal Audit Topics

#### ANU Entity-wide Risks

<table>
<thead>
<tr>
<th>Internal Audit Topics</th>
<th>Governance</th>
<th>Research, Teaching &amp; Learning</th>
<th>Reputation</th>
<th>Financial Management</th>
<th>Information Technology</th>
<th>Business Administration</th>
<th>People</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Leadership</td>
<td>Internal Controls</td>
<td>Compliance</td>
<td>Research</td>
<td>Teaching and Learning</td>
<td>Brand</td>
<td>External Affairs</td>
</tr>
<tr>
<td>Completed in 2014</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1 Alumni Relations</td>
<td>✓</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2 Marketing and Brand Management</td>
<td>✓  ✓</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3 Identity and Access Management Phase 2</td>
<td>✓  ✓</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4 Student Fee Setting</td>
<td>✓</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5 Contract Management</td>
<td>✓</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6 Social Media</td>
<td>✓</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7 Crises Management Phase 2 – excluding IT Disaster Recovery</td>
<td>✓  ✓</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8 Managing Enterprise Systems</td>
<td>✓  ✓</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>9 Delegations Framework</td>
<td>✓  ✓</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10 HR Controls – Leave Management</td>
<td>✓  ✓</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Completed in 2013</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1 Strategic and Operational Planning</td>
<td>✓  ✓</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2 Commercial and Non-Commercial Operations on ANU Campuses</td>
<td>✓  ✓</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3 Preferred Supplier Arrangements</td>
<td>✓  ✓</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4 IT Enterprise Architecture</td>
<td>✓  ✓</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5 Identity Access &amp; Management Phase 1</td>
<td>✓  ✓</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6 Policy and Procedures Framework</td>
<td>✓  ✓</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7 Student Lifecycle – Establishment</td>
<td>✓  ✓</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8 Research Ethics Approval Processes</td>
<td>✓  ✓</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Figure 1 below highlights internal audit coverage over the University's Entity-wide Risks. The graph highlights that each category of Risk has been addressed through internal audit engagements over the period 2013 to 2016.

Figure 1: Coverage of Entity-wide Risk Category
4. Proposed 2016 Internal Audit Work Plan (A List)

The Plan incorporates a broad range of internal audits including compliance based audits, performance improvement audits, data processing audits and operational control audits. The Plan aims to ensure, in line with management and the Audit and Risk Management Committee (ARMC) requirements, that the focus of our activity is directed to risk areas where management and the ARMC believe the greatest value can be added.

In the conduct of internal audit engagements, we will draw on our proprietary internal audit differentiators to ensure that:

1. Internal Audits are planned and structured appropriately in respect of the nature of the engagement and associated complexity. This will be achieved through the use of the Audit Response Methodology (ARM). Refer to Appendix A for further details; and
2. Explicit consideration is made of the underlying behaviours and culture upon which the University’s controls are built and implemented. The Behavioural Auditing Methodology (BEAM) allows internal audit to improve the University’s control environment through consideration of the behavioural root cause of issues. Refer to Appendix B for further details.

<table>
<thead>
<tr>
<th>Ref</th>
<th>Internal Audit Topic</th>
<th>ANU Executive Portfolio</th>
<th>Proposed Objectives</th>
<th>ARM</th>
<th>Proposed Audit duration</th>
<th>Timeframes</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Education Services for Overseas Students (ESOS)</td>
<td>Academic</td>
<td>The objective of this review is to assess the University’s compliance obligations under The National Code of Practice for Registration Authorities and Providers of Education and Training to Overseas Students 2007.</td>
<td>Compliance Audit</td>
<td>25 Days</td>
<td>Q1</td>
</tr>
<tr>
<td>2</td>
<td>Major Project Governance</td>
<td>Administration &amp; Planning</td>
<td>The objectives of this review are to: • Assess the relevance, fit and use of the Service Improvement Group’s (SIG) project management methodology within the University, including an assessment against the EY Project Management Assessment framework; and</td>
<td>Performance Review – Deep Dive</td>
<td>40 Days</td>
<td>Q1</td>
</tr>
</tbody>
</table>

1 Additional scope information is provided at Appendix D.
2 The Audit Response Menu (ARM) provides a sophisticated and broad methodology to planning and delivering internal audit engagements. It is based on the complexity and nature of the risk and controls being audited. The purpose of using the ARM is to identify the most appropriate audit response to the specific requirements and objectives. Refer to Appendix A for further details.
3 Days listed here are estimates and will be confirmed during the detailed audit scoping phase in line with final management approval.
<table>
<thead>
<tr>
<th>Ref</th>
<th>Internal Audit Topic</th>
<th>ANU Executive Portfolio</th>
<th>Proposed Objectives</th>
<th>ARM²</th>
<th>Proposed Audit duration³</th>
<th>Timeframes</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Assessment of the SIG's project management</td>
<td>Portfolio</td>
<td>• Assess the effectiveness of the SIG's project management methodology through reviewing a sample of major capital projects. The review will exclude IT projects which are the focus of a separate internal audit.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>ANU Website</td>
<td>Administration &amp; Planning</td>
<td>Review the useability of the ANU website to assess whether it is providing an effective means of communication with the community and an effective means of marketing ANU to prospective students.</td>
<td></td>
<td>20 Days</td>
<td>Q2</td>
</tr>
<tr>
<td>4</td>
<td>Procurement and Contract Management Processes</td>
<td>Administration &amp; Planning</td>
<td>The objective of this review is to assess the University's implementation of recommendations raised in the: • Internal Audit of Contract Management, 2014; and • Internal Audit of Procurement Processes, 2012.</td>
<td></td>
<td>25 Days</td>
<td>Q2</td>
</tr>
<tr>
<td>5</td>
<td>IT Functional Review - Service Division level</td>
<td>Administration &amp; Planning</td>
<td>The IT Functional Review will assess the maturity of the ITS function operating at a Service Division level. This review, will consider at a high level, the key components of the ITS function including: organisational structure, operating model, policies and procedures. This IT Functional Review will be performed on a Service Division to be selected based on discussion with key sponsors and stakeholders as part of the planning process for the review. Insights and considerations from the review, where relevant, will be factored into the IT Security Health Check planned for all the Colleges in quarter 3 of 2016.</td>
<td></td>
<td>30 Days</td>
<td>Q2</td>
</tr>
<tr>
<td>6</td>
<td>Annual Appeal Process</td>
<td>Innovation &amp; Advancement</td>
<td>The University will be undertaking its first annual appeal within the Alumni Relations and Philanthropy area. This audit will review the inaugural annual appeal process and identify business improvement opportunities.</td>
<td></td>
<td>20 Days</td>
<td>Q3</td>
</tr>
<tr>
<td>Ref</td>
<td>Internal Audit Topic</td>
<td>ANU Executive Portfolio</td>
<td>Proposed Objectives</td>
<td>ARM</td>
<td>Proposed Audit duration</td>
<td>Timeframes</td>
</tr>
<tr>
<td>-----</td>
<td>----------------------</td>
<td>-------------------------</td>
<td>--------------------</td>
<td>-----</td>
<td>-------------------------</td>
<td>------------</td>
</tr>
<tr>
<td>7</td>
<td>Finance and Business Services (FBS) Transformation</td>
<td>Administration &amp; Planning</td>
<td>The objective of this review is to conduct a post-implementation review of the implementation of the Finance and Business Services’ Integrated Shared Services Transformation Project. The focus of the audit will be the measurement and realisation of benefits/efficiencies across the division.</td>
<td>Post-implementation review</td>
<td>25 Days</td>
<td>Q3</td>
</tr>
<tr>
<td>8</td>
<td>IT Security Health Check - College level</td>
<td>Administration &amp; Planning</td>
<td>Based on the outcomes of the IT Security Health Check Review for the University’s Central ITS function in 2015, it was recommended that this review be extended to include all of the seven Colleges for the 2016 IAWP. The objective of this review is to perform a desktop maturity assessment of IT Security Controls against a consistent framework to establish a common benchmark and potentially inform a whole university IT security roadmap for ANU.</td>
<td>Health check / diagnostic</td>
<td>30 Days</td>
<td>Q3</td>
</tr>
<tr>
<td>9</td>
<td>Physical Security</td>
<td>Administration &amp; Planning/Pro Vice-Chancellor (Student Experience)</td>
<td>The objective of this review is to assess the University’s progress in the implementation of measures to address physical security issues. The review will focus on previously raised recommendations in relation to promoting a safe environment and culture within the University. Alternately, using geospatial technology, EY can perform data analytics of the ANU campus to identify high risk physical security areas.</td>
<td>Control Process Review</td>
<td>30 Days</td>
<td>Q4</td>
</tr>
<tr>
<td>10</td>
<td>ANU Investment Office</td>
<td>Administration &amp; Planning</td>
<td>The objective of this review is to assess compliance of the University’s external domestic equity portfolio manager (Plato) against the University’s internal investment policies and guidelines.</td>
<td>Compliance Audit</td>
<td>25 Days</td>
<td>Q4</td>
</tr>
</tbody>
</table>

TOTAL | 270 days |
5. **Timeline of Internal Audit Activity**

Table 3 below provides indicative timeframes for when each internal audit engagement is planned to commence.

**Table 3: Timeline of Internal Audit Activity**

<table>
<thead>
<tr>
<th>Ref</th>
<th>Internal Audit Topic</th>
<th>Quarter 1</th>
<th>Quarter 2</th>
<th>Quarter 3</th>
<th>Quarter 4</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Jan</td>
<td>Feb</td>
<td>Mar</td>
<td>Apr</td>
</tr>
<tr>
<td>1</td>
<td>Education Services for Overseas Students (ESOS)</td>
<td>✓</td>
<td>✓</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Major Project Governance</td>
<td></td>
<td></td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>3</td>
<td>ANU Website</td>
<td></td>
<td></td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>4</td>
<td>Procurement and Contract Management Processes</td>
<td></td>
<td></td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>5</td>
<td>IT Functional Review - Service Division level</td>
<td></td>
<td></td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>6</td>
<td>Annual Appeal Process</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>Finance and Business Services (FBS) Transformation</td>
<td></td>
<td></td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>8</td>
<td>IT Security Health Check - College level</td>
<td></td>
<td></td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>9</td>
<td>Physical Security</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>ANU Investment Office</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
6. Reserve topics for the Internal Work Audit Plan (B list)

The following B list of suggested internal audit topics are held in reserve for either future year internal audit work plan consideration or potential current year engagements if priorities change during the course of the 2016 financial year. The order of topics in the following list reflects the order of priority.

<table>
<thead>
<tr>
<th>Ref</th>
<th>Suggested Internal Audit Topic</th>
<th>Proposed Objectives</th>
<th>ARM</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>ANU readiness for self-insurance</td>
<td>To evaluate the University’s readiness for self-insurance in accordance with Comcare obligations and other financial implications.</td>
<td>Project / Programme monitoring</td>
</tr>
<tr>
<td>2</td>
<td>University’s Change Management process</td>
<td>To assess the success of ANU in relation to change management process, specifically in relation to People, Processes and Systems.</td>
<td>Control framework overview</td>
</tr>
<tr>
<td>3</td>
<td>External Engagement – Communications</td>
<td>Taking into consideration the findings from the previous internal audits in 2014, the objective of the audit is to examine how the ANU disseminates information to external parties and whether there are consistent messages which are aligned to the ANU strategic plan and the 2020 vision.</td>
<td>Control process review</td>
</tr>
<tr>
<td>4</td>
<td>University Accommodation Services (including ANU Apartments)</td>
<td>To evaluate the overall management of University Accommodation Services, including the setting of accommodation fees, and consider whether the governance structure results in the provision of an efficient and effective service which meets the needs of students.</td>
<td>Control process review</td>
</tr>
<tr>
<td>5</td>
<td>Academic and Administration Physical Space Management</td>
<td>To evaluate the overall management and allocation of University Academic and Administration Physical Space and consider whether the governance structure results in the provision of an efficient and effective service which meets the needs of staff and students.</td>
<td>Control process review</td>
</tr>
<tr>
<td>6</td>
<td>Overseas HELP Loans Process</td>
<td>Compliance in relation to the administration of the Overseas Help Loan and relevant legislation.</td>
<td>Compliance audit</td>
</tr>
<tr>
<td>7</td>
<td>Budgeting Process</td>
<td>This audit will examine the processes followed in preparing the University’s annual budget, including the processes for allocating resources (and re-allocating unspent funds) in accordance with strategic and operational objectives. The assumptions developed to support the budget preparation will be tested and the adequacy of the transparency and stakeholder communication processes in relation to the budget process will be examined.</td>
<td>End to end process audit</td>
</tr>
</tbody>
</table>
| 8   | Privacy Impact Assessment | Using the Privacy Impact Assessment (PIA) tool:  
  - Analyse the possible privacy impacts on individuals' privacy;  
  - Identify and recommend options for managing, minimising or eradicating these impacts (for e.g. help identify when particular personal information collection may be unnecessary); and  
  - Analyse the effect on individual privacy. | Control framework overview |
<table>
<thead>
<tr>
<th>Ref</th>
<th>Suggested Internal Audit Topic</th>
<th>Proposed Objectives</th>
<th>ARM</th>
</tr>
</thead>
<tbody>
<tr>
<td>9</td>
<td>Policy Framework</td>
<td>To assess the success of ANU in relation to the consolidation, streamlining and staff understanding of the Policy framework across the ANU.</td>
<td>Control framework review</td>
</tr>
<tr>
<td>10</td>
<td>Advancement Services</td>
<td>To evaluate the governance and business processes around the capturing and use of alumni data as well as compliance with the Privacy Act 1988.</td>
<td>Project / Programme monitoring</td>
</tr>
<tr>
<td>11</td>
<td>ANU Car Parking</td>
<td>This audit will evaluate the adequacy of the design and operating effectiveness of the new ANU Car Parking framework.</td>
<td>Project / Programme monitoring</td>
</tr>
<tr>
<td>12</td>
<td>Performance Management</td>
<td>Follow up review of the further maturity of the performance management framework and the adequacy of the implementation of the recommendations provided by the 2009 Internal Audit in this area.</td>
<td>Project / Programme monitoring</td>
</tr>
<tr>
<td>13</td>
<td>Facilities Management / Asset Maintenance</td>
<td>To assess the effectiveness of the University’s Facilities Management and Asset Maintenance processes.</td>
<td>Control Process Review</td>
</tr>
</tbody>
</table>
| 14  | On-boarding Process           | To review the University’s processes for the on-boarding of Academic and Professional staff, including:  
- Induction programs  
- Learning and Development Programs  
- Supervision and mentoring | Performance Review |
| 15  | International Student Recruitment | To assess the University’s processes and procedures in relation to the attraction and recruitment of International Students. | Performance Review |
| 16  | ANU Carshare Initiative       | To assess the effectiveness of the ANU Carshare initiative in achieving its objective of improving the management and utilisation of ANU pool vehicles. | Post-implementation Review |
| 17  | Electronic Records Management System (Library) | The objective of this review is to conduct a post-implementation review of the implementation of the Electronic Records Management System at the ANU Library. The focus of the audit will be the measurement and realisation of benefits. | Post-implementation Review |
7. Allocation of planned audit activity

This section illustrates the suggested number of internal audits by ANU Executive Portfolio and also by audit response type.

7.1 Planned audit activity by ANU Executive Portfolio

Table 4 below highlights the number of audits by ANU Executive Portfolio that will be conducted in 2016.

<table>
<thead>
<tr>
<th>ANU Executive Portfolio</th>
<th>2015</th>
<th>2016</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vice-Chancellor</td>
<td>Staff Recruitment</td>
<td>Major Project Governance</td>
</tr>
<tr>
<td></td>
<td>Academic Career</td>
<td>ANU Website</td>
</tr>
<tr>
<td></td>
<td>Development (shared</td>
<td>Procurement and Contract Management</td>
</tr>
<tr>
<td></td>
<td>with Academic)</td>
<td>Processes</td>
</tr>
<tr>
<td>Administration &amp; Planning</td>
<td>IT Project Management</td>
<td>IT Functional Review - Service Division</td>
</tr>
<tr>
<td></td>
<td>Commercial Spaces</td>
<td>level</td>
</tr>
<tr>
<td></td>
<td>Remote Sites</td>
<td>Finance and Business Services (FBS)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Transformation</td>
</tr>
<tr>
<td></td>
<td></td>
<td>IT Security Health Check - College level</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Physical Security (split between two</td>
</tr>
<tr>
<td></td>
<td></td>
<td>portfolios)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>ANU Investment Office</td>
</tr>
<tr>
<td>Research</td>
<td>HERDC Process</td>
<td>Nil</td>
</tr>
<tr>
<td></td>
<td>NHMRC and ARC Grants</td>
<td></td>
</tr>
<tr>
<td>Academic</td>
<td>Academic Career</td>
<td>Education Services for Overseas Students</td>
</tr>
<tr>
<td></td>
<td>Development (shared</td>
<td>(ESOS)</td>
</tr>
<tr>
<td></td>
<td>with Administration &amp; Planning</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Learning Management System</td>
<td></td>
</tr>
<tr>
<td>Innovation &amp; Advancement</td>
<td>Commercialisation of</td>
<td>Nil</td>
</tr>
<tr>
<td></td>
<td>Intellectual Property</td>
<td></td>
</tr>
<tr>
<td>International &amp; Outreach</td>
<td>Nil</td>
<td>Nil</td>
</tr>
<tr>
<td>Student Experience</td>
<td>Nil</td>
<td>Physical Security (split between two</td>
</tr>
<tr>
<td></td>
<td></td>
<td>portfolios)</td>
</tr>
<tr>
<td>TOTAL</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>10</td>
<td></td>
</tr>
<tr>
<td></td>
<td>10</td>
<td></td>
</tr>
</tbody>
</table>

Figure 2 below shows the allocation of internal audit activity by ANU Executive Portfolio for the period 2015 – 2016:

Figure 2: Internal Audit Activity by Portfolio
### 7.2 Planned audit activity by audit response type

Table 5 below provides a breakdown of the 2016 internal audits by the audit response type from Appendix A Audit Response Menu.

**Table 5: Audit response type used for each audit topic**

<table>
<thead>
<tr>
<th>Audit Response Category</th>
<th>Audit response</th>
<th>Number of Audits</th>
</tr>
</thead>
<tbody>
<tr>
<td>'Standard' audits</td>
<td>1. Health check/diagnostic</td>
<td>2</td>
</tr>
<tr>
<td></td>
<td>2. 'Standard' sample testing audit</td>
<td>-</td>
</tr>
<tr>
<td></td>
<td>3. Project/programme monitoring</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>4. Pre-implementation review</td>
<td>-</td>
</tr>
<tr>
<td></td>
<td>5. Post-implementation review</td>
<td>2</td>
</tr>
<tr>
<td></td>
<td>6. Compliance audit</td>
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</tr>
<tr>
<td>Risk and control framework reviews</td>
<td>7. Risk interviews/verbal advice</td>
<td>-</td>
</tr>
<tr>
<td></td>
<td>8. Project management framework</td>
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</tr>
<tr>
<td></td>
<td>9. Control framework overview</td>
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<tr>
<td></td>
<td>10. Control process review</td>
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</tr>
<tr>
<td>'Complex' audits</td>
<td>11. End to end process audit</td>
<td>-</td>
</tr>
<tr>
<td></td>
<td>12. Performance review – deep dive</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>13. Investigation</td>
<td>-</td>
</tr>
<tr>
<td></td>
<td>14. Probity Audit</td>
<td>-</td>
</tr>
<tr>
<td>Education</td>
<td>15. Business Coaching/Education</td>
<td>-</td>
</tr>
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<td><strong>TOTAL</strong></td>
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<td><strong>10</strong></td>
</tr>
</tbody>
</table>
Appendix A  Audit Response Menu

The Audit Response Menu (ARM) provides a sophisticated and broad approach to planning and delivering internal audit engagements. It is based on the complexity and nature of the risk and controls being audited. The purpose of using the ARM is to identify the most appropriate audit response to the specific requirements and objectives.

Factors impacting audit response
- Operating environment
- Organisational objectives
- Need for assurance
- Stakeholders
- Known instances of non-compliance or fraud
- Regulatory standards
- Risks and controls
- Impact on financial reporting
- Impact on other business areas
- Past results

Planning process

<table>
<thead>
<tr>
<th>Audit Response Category</th>
<th>Audit response</th>
</tr>
</thead>
<tbody>
<tr>
<td>'Standard' audits</td>
<td></td>
</tr>
<tr>
<td>1. Health check/diagnostic</td>
<td></td>
</tr>
<tr>
<td>2. 'Standard' sample testing audit</td>
<td></td>
</tr>
<tr>
<td>3. Project/programme monitoring</td>
<td></td>
</tr>
<tr>
<td>4. Pre-implementation review</td>
<td></td>
</tr>
<tr>
<td>5. Post-implementation review</td>
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</tr>
<tr>
<td>6. Compliance audit</td>
<td></td>
</tr>
<tr>
<td>'Complex' audits</td>
<td></td>
</tr>
<tr>
<td>7. Risk interviews/verbal advice</td>
<td></td>
</tr>
<tr>
<td>8. Project management framework</td>
<td></td>
</tr>
<tr>
<td>9. Control process overview</td>
<td></td>
</tr>
<tr>
<td>10. Control process review</td>
<td></td>
</tr>
<tr>
<td>Education</td>
<td></td>
</tr>
<tr>
<td>11. End to end process audit</td>
<td></td>
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<tr>
<td>12. Performance review – deep dive</td>
<td></td>
</tr>
<tr>
<td>13. Investigation</td>
<td></td>
</tr>
<tr>
<td>14. Probity Audit</td>
<td></td>
</tr>
<tr>
<td>15. Business Coaching/Education</td>
<td></td>
</tr>
</tbody>
</table>

Time and resources

Iterate scope considering factors, reporting and response

Finalise scope and resources
Appendix B  Behavioural Auditing Methodology

Explicit consideration is made of the underlying behaviours and culture upon which the University’s controls are built and implemented, and therefore, the best way to modify them to improve compliance and performance. The introduction of behavioural auditing techniques allows Internal Audit to look at an issue to determine the behavioural root cause of issues, leading to an improved control environment – not just additional controls.

Figure 3 - Behavioural Auditing Model

Table 6 - Description of the BEAM model elements

<table>
<thead>
<tr>
<th>Success Factors</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Information</td>
<td>Good information is information provided to the right people in the right level of detail and on time to help them to carry out their responsibilities efficiently and effectively. Information seeks to understand the quality and sources of policy and procedure information that supports individuals in doing their jobs and to identify where there is a need for different information or where information developed would be worth considering throughout the organisation.</td>
</tr>
<tr>
<td>Resources</td>
<td>A good practice business environment is one where the organisation identifies and provides adequate resources to help people fulfil responsibilities within the organisation, and to achieve organisational objectives. Resources seek to understand whether you are being provided with the right resources to support individuals in the day-to-day activities.</td>
</tr>
<tr>
<td>Incentives</td>
<td>Providing employees with appropriate feedback, incentives and rewards makes for a better business environment as individuals are motivated to achieve organisational objectives. Incentives seek to understand whether employees are being provided with the right feedback and rewards to motivate performance in their roles.</td>
</tr>
<tr>
<td>Competencies</td>
<td>Management support of employee growth and competence increases the likelihood of employee’s commitment and adherence to policies and procedures and the overall direction of the organisation. Competencies seek to understand whether employees are being provided with the appropriate management support to enable them to understand the skills and competencies required in their day-to-day activities.</td>
</tr>
<tr>
<td>Application</td>
<td>Where people are made aware of their responsibilities supported to improve and provided with the necessary information to be able to make educated decisions for themselves. Application seeks to understand whether individuals/teams are supported by management in their day-to-day activities.</td>
</tr>
<tr>
<td>Motivation</td>
<td>A good business provides equitable support and reward for individual performance. Clear links exist between the efforts of the individual, the team and the organisation as a whole. Motivation seeks to understand whether individuals/teams are being motivated to perform their day-to-day activities.</td>
</tr>
</tbody>
</table>
Appendix C  Internal Audit Plan Assessment

Table 7 below addresses the ANAO Better Practice Guide on Public Sector Audit Committees (August 2011) suggestions that Audit Committees should consider about the annual internal audit coverage and audit plans.

Table 7: ANAO Better Practice Guide on Public Sector Audit Committees suggestions

<table>
<thead>
<tr>
<th>#</th>
<th>Question(s)/Task</th>
<th>Commentary</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>How has the proposed internal audit coverage been developed? In particular, does the proposed coverage align with the ANU’s documented strategic and operational risks?</td>
<td>The plan was developed after consultation with members of the executive management staff. All reviews, where relevant, are linked to the available entity-wide risk information.</td>
</tr>
<tr>
<td>2</td>
<td>Does the internal audit work plan support the independence of the internal audit function from the activities it audits?</td>
<td>Yes. No member of the internal audit review team has been responsible for operational or management work of any area under review within the last 12 months.</td>
</tr>
<tr>
<td>3</td>
<td>Does the prioritisation of proposed audit topics align with the entity’s risk management plan and internal audit’s own risk assessment?</td>
<td>Yes. These topics were selected following a review of the entity-wide risks of the ANU and through discussions with management.</td>
</tr>
<tr>
<td>4</td>
<td>Does the internal audit work plan take into account past internal and external audit activity, findings and recommendations?</td>
<td>Yes. Past internal and external audit activity have contributed to the development of this plan.</td>
</tr>
<tr>
<td>5</td>
<td>Is the internal audit plan an appropriate mix between compliance audits, performance improvement audits and advisory services?</td>
<td>Yes. A detailed table and graph provides an overview of the audit topics included within this plan.</td>
</tr>
<tr>
<td>6</td>
<td>Does the audit work plan adequately detail the objective, scope, resource requirements and timeframe for each of the audit topics proposed?</td>
<td>Yes. The Internal Audit Work Plan includes a detailed table that provides an overview of the objective, scope, resource requirements and timeframe for each proposed audit topic.</td>
</tr>
<tr>
<td>7</td>
<td>Has the scope of proposed internal audit activity been impacted adversely by resource constraints?</td>
<td>No. The internal audit coverage is driven by the ANU’s entity-wide risks and this informs the program. Resource constraints were not a factor in the development of this plan.</td>
</tr>
</tbody>
</table>
About EY

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*24. ANU ENTERPRISE PTY LTD BUSINESS PLAN – IMPLEMENTATION UPDATE

PURPOSE  To present the ANU Enterprise 2016-2018 Business Plan implementation update.

PREPARED BY  CEO ANU Enterprise Pty Ltd

REVIEWS BY  Chief Financial Officer

APPROVED BY  Chief Financial Officer

SPONSOR  Pro-Vice Chancellor (Innovation & Advancement) and CEO ANU Enterprise

RECOMMENDATION  That Council note the ANU Enterprise 2016-2018 Business Plan implementation update.

ACTION REQUIRED

For discussion ☑  For decision ☐  For information ☑

CONSULTATION

Staff ☐  Students ☐  Alumni ☐  Government ☐  Other ☐  Not applicable ☑

BACKGROUND

As of 2015, the ANU Enterprise Pty Ltd, a wholly owned entity of the ANU, consists of two subsidiary companies, Australian Scientific Instruments and the Social Research Centre, and two internal business lines, Projects and Consulting and Executive Education. These areas are supported by a corporate services activity providing operational and overall company support.

The company is halfway through a significant restructure. The sale of ANU College, the acquisition of the Social Research Centre Pty Ltd, the repositioning of Australian Scientific Instruments Pty Ltd for divestment and the refocusing of Projects and Consulting activities as a service to the University are significant changes to the business model of the company. The attached paper provides a rolling plan for the next three years to stabilise the company and provide the basis for sustainable and achievable growth that supports the mission of the ANU.

ATTACHMENTS

24.1 ANU Enterprise Presentation (976/2015).

COMMUNICATION

For public release ☐  For internal release ☑  Not for release ☑
ANU Enterprise

Business Plan 2016-2018

Vision into Action
KEY OBJECTIVES FOR 2016-2018

Mission: To provide ANU with a corporate environment for external engagement that allows the development and management of commercial activities for the benefit to the University and its stakeholders

- To grow a sustainable and profitable Consulting and Projects business line
- To grow a sustainable and profitable Executive Education business line
- Position ASI for sustainable growth and divest ownership from ANUE
- To grow revenues in SRC without compromising profitability developing new business opportunities through synergies with the ANU
- To provide efficient, effective and appropriate operational support to ANUE business entities and other areas of the ANU
- Continue to bring the company closer to the University operationally through clearer definition of roles and relationships
**ANU Enterprise needs to be seen as a valued provider of services to the ANU constituents and external clients**

**Actions:**

- Articulate a value proposition for business lines
- Promote value propositions to active Colleges, Schools and Centres
- Demonstrate capability
- Identify key external clients
- Communicate success
- Integrate with the wider Innovation ANU
- Support ANU costing and pricing policy
- Undertake satisfaction survey

**Measures of Performance:**

- Contribute $4M HERDC Category 2 & 3 research revenue for ANU
- Number of individual consulting contracts
- Number of key internal ANU group relationships
- At least 3 documented case studies of supporting ANU areas per year
- Positive outcomes from external client and ANU constituent satisfaction survey
CAPABILITY AND CAPACITY: PROVIDE CAPABILITY AND CAPACITY TO ENSURE EXCELLENCE IN ENGAGEMENT AND DELIVERY

Ensure all ANUE business units have the capability and capacity to undertake their operations and deliver on their plans

Actions:

- Monitor subsidiary capability and capacity to ensure that plans are achieved
- Develop succession planning for key leadership roles in ANUE, SRC and ASI
- Develop capability structure based around key ANUE business lines
- Maintain effective and efficient corporate support activities
- Ensure adherence to strong policies, procedures and management systems
- Improve quality management practices and systems
- Provide training and professional development programs to enhance capability
- Adopt an internal and external CRM approach for business development
- Undertake targeted recruitment in line with business growth
- Implement consistent and effective systems for reporting financial, accounting, sales pipeline and project progress reporting

Measures of Performance:

- Professional project and quality management systems in use
- Succession planning in place
- Costs managed in line with revenue
- Customer relationship management tool applied
- Training program completions
SUSTAINABLE AND PROFITABLE CONSULTING AND PROJECT BUSINESS: PROVIDE SUSTAINABLE CONSULTING AND PROJECT SUPPORT TO ANU

**Identify, bid for and manage short, focused consulting projects that build on the University’s expertise**

**Actions:**

- Rolling 3 year business plan for Consulting and Projects business line
- Develop ANU capability map to provide external value proposition
- Build structured CRM approach to build interdisciplinary based consulting work
- Secure repeat work from current clients
- Target soft funded research centres to show value and grow consulting activity.
- Aim for 15% growth per year in revenue
- Adopt a target 23% gross margin increasing to 25%
- Control costs to be sustainable with an achieved 25% gross margin

**Measures of Performance:**

- Contribute $4M HERDC Category 2 & 3 research revenue for ANU
- Number of individual consulting contracts
- Number of key internal ANU group relationships
- At least 3 documented case studies of supporting ANU areas per year
- Positive outcomes from external client and ANU constituent satisfaction survey
SUSTAINABLE AND PROFITABLE EXECUTIVE EDUCATION BUSINESS: PROVIDE SUSTAINABLE EXECUTIVE EDUCATION PROGRAMS

Complement and enhance executive education programs offered by other parts of the University

Actions:

• Rolling 3 year business plan for Executive Education business line
• Develop ANU capability map to provide external value proposition
• Secure repeat work from current clients
• Through a structured CRM approach secure executive education contracts
• Aim for 15% growth per year in revenue
• Adopt a target 35% gross margin increasing to 37%
• Control costs to be sustainable with an achieved 35% gross margin

Measures of Performance:

• Contribute $4M HERDC Category 2 & 3 research revenue for ANU
• Number of individual consulting contracts
• Number of key internal ANU group relationships
• At least 3 documented case studies of supporting ANU areas per year
• Positive outcomes from external client and ANU constituent satisfaction survey
<table>
<thead>
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<th></th>
<th>2014 Actual Yr</th>
<th>2015 Projected Yr</th>
<th>2016 Budget Yr</th>
<th>2017 Budget Yr</th>
<th>2018 Budget Yr</th>
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<td>11,648</td>
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<td>(316)</td>
<td>593</td>
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<td>2,657</td>
<td>3,326</td>
<td>3,871</td>
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<td>Employee Superannuation Entitlement Expense</td>
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<td><strong>Total Investment Related Revenue/Expenditure</strong></td>
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<td>3,326</td>
<td>3,871</td>
<td>1,258</td>
</tr>
<tr>
<td><strong>Net Operating Result before Revenue/Expenditure</strong></td>
<td>(1,634)</td>
<td>1,550</td>
<td>3,008</td>
<td>3,963</td>
<td>1,712</td>
</tr>
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<td>Net Result Before Capital Grants</td>
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<td>1,550</td>
<td>3,008</td>
<td>3,963</td>
<td>1,712</td>
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<td>Income Tax Benefit/(Expense)</td>
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<tr>
<td><strong>Net Result from Continuing Operations</strong></td>
<td>(1,634)</td>
<td>1,550</td>
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<td>3,963</td>
<td>1,712</td>
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<td>Result from Discontinued Operations</td>
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<tr>
<td><strong>Net Result</strong></td>
<td>(634)</td>
<td>1,550</td>
<td>3,008</td>
<td>3,963</td>
<td>1,712</td>
</tr>
</tbody>
</table>
Continue along the divestment path by pursing a range of options to achieve this within a 2 year time frame

Actions:

• Support ASI in delivery of its 2016-2018 operational plans
• Maintain marketing and sales capability to build front log of secured orders
• Continue operational restructure to align capability with company strategy and control costs
• Develop divestment strategy based on securing between $2M-$3M of new capital
• Develop alternate divestment strategy based on sale or transfer of assets
• Maintain oversight of financial performance and risk management
• Provide financial and other support in line with recommendations from Board and ANU as shareholder

Measures of Performance:

• New contracts secured for all product lines
• Overall revenue and cost budget met
• Global channel partners in place
• Series A funding round completed and/or alternative divestment plan developed
### Australian Scientific Instruments Pty Limited

**Income Statement**


<table>
<thead>
<tr>
<th></th>
<th>2014 Actual Yr</th>
<th>2015 Projected Yr</th>
<th>2016 Budget Yr</th>
<th>2017 Budget Yr</th>
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</thead>
<tbody>
<tr>
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<td>$’000</td>
<td>$’000</td>
<td>$’000</td>
<td>$’000</td>
</tr>
<tr>
<td><strong>REVENUE FROM ORDINARY ACTIVITIES</strong></td>
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</tr>
<tr>
<td>Total Revenue from Ordinary Activities</td>
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<td><strong>EXPENSES FROM ORDINARY ACTIVITIES</strong></td>
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<td>6,490</td>
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<td>6,643</td>
</tr>
<tr>
<td><strong>Net Operating Result before Depreciation, Financing, Investments and Capital Grants</strong></td>
<td>(1,070)</td>
<td>(3,566)</td>
<td>(459)</td>
<td>61</td>
</tr>
<tr>
<td>Depreciation and amortisation</td>
<td>72</td>
<td>405</td>
<td>387</td>
<td>387</td>
</tr>
<tr>
<td><strong>Net Operating Result before Financing, Investments and Capital Grants</strong></td>
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<td>(846)</td>
<td>(326)</td>
</tr>
<tr>
<td>Finance Cost</td>
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</tr>
<tr>
<td><strong>Net Operating Result before Investments and Capital Grants</strong></td>
<td>(1,142)</td>
<td>(3,971)</td>
<td>(846)</td>
<td>(326)</td>
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<td><strong>Investments Related Revenue/(Expenditure)</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Investment Revenue (Dividend and Interest)</td>
<td>98</td>
<td>18</td>
<td>0</td>
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</tr>
<tr>
<td>Employee Superannuation Entitlement Expense</td>
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<td>(3,953)</td>
<td>(846)</td>
<td>(326)</td>
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<td><strong>Net Operating Result before Capital Grants</strong></td>
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<td>(846)</td>
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<tr>
<td>Capital Grants</td>
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<td>(846)</td>
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<td>Income Tax Benefit/(Expense)</td>
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<td><strong>Net Result from Continuing Operations</strong></td>
<td>(970)</td>
<td>(3,953)</td>
<td>(846)</td>
<td>(326)</td>
</tr>
<tr>
<td>Result from Discontinued Operations</td>
<td>0</td>
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<td></td>
<td></td>
</tr>
<tr>
<td><strong>Net Result</strong></td>
<td>(970)</td>
<td>(3,953)</td>
<td>(846)</td>
<td>(326)</td>
</tr>
</tbody>
</table>
**Maintain SRC as an independent company with its own strategic growth plan**

**Actions:**

- Support SRC in delivery of its 2016-2018 operational plans
- Provide sustainable revenue growth targets in line with business diversification investment strategy
- Maintain and expand Melbourne headquarters
- Oversee succession planning for key leadership roles
- Oversee diversification of survey methods used
- Support and complement projects within Australian Centre for Social Research and Methods
- Facilitate building stronger links to other ANU areas of potential collaboration
- Aim for 15% growth per year matching cost base to secured revenue

**Measures of Performance:**

- Annual revenue of $20.5M in 2016
- Overall revenue and profit and loss budgets met
- Contribute $3M HERDC Category 2 & 3 research revenue for ANU
- Staff succession plan in place
- Less than 40% of revenue derived from CATI based contracts
The Social Research Centre Pty Limited

Income Statement


<table>
<thead>
<tr>
<th></th>
<th>2014 Actual (5 mths)</th>
<th>2015 Projected Yr</th>
<th>2016 Budget Yr</th>
<th>2017 Budget Yr</th>
<th>2018 Budget Yr</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>$'000</td>
<td>$'000</td>
<td>$'000</td>
<td>$'000</td>
<td>$'000</td>
</tr>
<tr>
<td><strong>REVENUE FROM ORDINARY ACTIVITIES</strong></td>
<td></td>
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<tr>
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<td>22,727</td>
<td>20,601</td>
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<td><strong>EXPENSES FROM ORDINARY ACTIVITIES</strong></td>
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<tr>
<td>Total Expenses from Ordinary Activities</td>
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<td>19,690</td>
<td>17,420</td>
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<td>2,702</td>
<td>2,753</td>
<td>3,626</td>
<td>3,775</td>
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<tr>
<td>Finance Cost</td>
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<tr>
<td>Investments Related Revenue/(Expenditure)</td>
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<tr>
<td>Investment Revenue (Dividend and Interest)</td>
<td>27</td>
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<td>84</td>
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<td>Employee Superannuation Entitlement Expense</td>
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<tr>
<td><strong>Total Investment Related Revenue/Expenditure</strong></td>
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<td>65</td>
<td>84</td>
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<tr>
<td><strong>Net Operating Result before Capital Grants</strong></td>
<td>2,275</td>
<td>2,767</td>
<td>2,837</td>
<td>3,710</td>
<td>3,859</td>
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<td>Capital Grants</td>
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<tr>
<td><strong>Net Result Before Tax</strong></td>
<td>2,275</td>
<td>2,767</td>
<td>2,837</td>
<td>3,710</td>
<td>3,859</td>
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<td>Income Tax Benefit/(Expense)</td>
<td>(729)</td>
<td>(830)</td>
<td>(851)</td>
<td>(1,113)</td>
<td>(1,158)</td>
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<tr>
<td><strong>Net Result from Continuing Operations</strong></td>
<td>1,546</td>
<td>1,937</td>
<td>1,986</td>
<td>2,597</td>
<td>2,701</td>
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<tr>
<td>Result from Discontinued Operations</td>
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<td></td>
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**ANU Enterprise Pty Limited**  
**Consolidated Income Statement**  

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<th></th>
<th>2014 Actual Yr</th>
<th>2015 Projected Yr</th>
<th>2016 Budget Yr</th>
<th>2017 Budget Yr</th>
<th>2018 Budget Yr</th>
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<td>31,536</td>
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<td>(845)</td>
<td>3,315</td>
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<td>Investments Related Revenue/(Expenditure)</td>
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</tr>
<tr>
<td>Investment Revenue (Dividend and Interest)</td>
<td>217</td>
<td>2,740</td>
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<td>3,955</td>
<td>1,342</td>
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<td>Employee Superannuation Entitlement Expense</td>
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<td>3,955</td>
<td>1,342</td>
</tr>
<tr>
<td>Net Operating Result before Capital Grants</td>
<td>(1,107)</td>
<td>(821)</td>
<td>4,523</td>
<td>6,871</td>
<td>5,571</td>
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<tr>
<td>Capital Grants</td>
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<td></td>
<td></td>
</tr>
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<td>5,571</td>
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<tr>
<td>Income Tax Benefit/(Expense)</td>
<td>(444)</td>
<td>(474)</td>
<td>(708)</td>
<td>(970)</td>
<td>(1,158)</td>
</tr>
<tr>
<td>Net Result from Continuing Operations</td>
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<td>(1,295)</td>
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<tr>
<td>Result from Discontinued Operations</td>
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</tr>
<tr>
<td><strong>Net Result</strong></td>
<td>(551)</td>
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## Vision Into Action 2016-2018 - ANU Enterprise

**Mission:** To provide ANU with a corporate environment for external engagement that allows the development and management of commercial activities for the benefit to the University and its stakeholders.

### Objectives

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<td>Develop sustainable projects and consulting support to ANU</td>
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<td>Demonstrate capability and value</td>
<td>Develop capability structure around business lines with phased implementation</td>
<td>Target new and existing research centres of University each year</td>
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<td>Identify key external clients with which to develop valued relationships</td>
<td>Maintain an effective and efficient corporate support</td>
<td>Aim for 15% growth per year matching cost base to secured revenue</td>
<td>Annual revenue of $5M</td>
<td>Develop alternative investment strategy based on sale or transfer of assets in whole or part</td>
<td>Overseas diversification of survey methods</td>
</tr>
<tr>
<td></td>
<td>Communicate access to ANU &amp; key stakeholders</td>
<td>Ensure adherence to strong policies, procedures and systems</td>
<td>Adopt a target 30% gross margin on tender work</td>
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### Actions

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<td>Overall revenue and cost budget met</td>
<td></td>
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</tr>
</tbody>
</table>

### ANU ENTERPRISE PRESENTATION
Business Plan 2016-2018
ANU Enterprise Business Plan 2016-2018

Context

Since its establishment as ANUTech in 1979, ANU Enterprise has had significant changes in its business model and personnel. As of 2015, the company consists of two subsidiary companies, Australian Scientific Instruments and the Social Research Centre, and two internal business lines, Consulting and Projects and Executive Education. These areas are supported by a corporate services activity providing business line operational and overall company support.

Vision into Action 2016-2018

The 2016-2018 plan is presented as a Vision Into Action format as in previous years.

ANU Enterprise Pty Ltd, as a wholly owned subsidiary of ANU, provides the University with a corporate structure to achieve the goals set out in ANU by 2020. It has the ability to provide flexibility and a different operational environment to the internal University structures to achieve required outcomes. It needs to be recognised that ANU Enterprise is part of the University and externally is seen as one and the same.

Key Objectives for 2016-2018 are:

- To grow a sustainable and profitable Consulting and Projects business line supported by ANU expertise and capability
- To grow a sustainable and profitable Executive Education business line supported by ANU expertise and capability
- Position ASI for sustainable growth and divest of ownership from ANUE
- To grow revenues in SRC without compromising profitability developing new business opportunities through synergies with the ANU
- To provide efficient, effective and appropriate operational support to ANUE business entities and other areas of the ANU
- Continue to bring the company closer to the University operationally through clearer definition of roles and relationships

Mission: To provide ANU with a corporate environment for external engagement that allows the development and management of commercial activities for the benefit to the University and its stakeholders
**Vision into Action Objectives**

**Earn the Right: To be trusted provider of consulting and business engagement opportunities**

ANU Enterprise needs to be seen as a valued provider of services to the ANU constituents and external clients. At present the view of ANUE varies across the University. Some areas are very happy with the support given and see real benefit. Other areas are deeply sceptical with bad experiences in the past. A clear understanding of the role and value needs to be continuously articulated and conveyed widely to build trust. This needs to be supported by professional and responsive delivery to all clients, both internal to the ANU and external.

**Actions:**

- Articulate a value proposition for supporting and managing the bidding and execution of individual staff consulting and executive education opportunities
- Articulate a value proposition for supporting and managing the bidding and execution of larger cross institutional and interdisciplinary based consulting and executive education opportunities that include research or educational elements that align with the University’s expertise
- Identify and promote value propositions to active College and School based soft funded research centres and establish a facilitation relationship to assist in securing new contracts
- Demonstrate capability and value as an identifier of external consulting & engagement opportunities
- Identify key external clients such as Managing Contactors, DFAT and APEC with which to develop valued relationships to build business opportunities
- Communicate success to ANU & key stakeholders
- Integrate with the wider Innovation ANU portfolio with clearly defined roles and responsibilities
- Effectively support engaged areas use the ANU costing and pricing policy to ensure appropriate recoveries and competitive pricing
- Undertake external client and ANU constituent satisfaction survey

**Measures of Performance:**

- Contribute $3M HERDC Category 2 & 3 research revenue for ANU
- Number of individual consulting contracts
- Number of key internal ANU group relationships
- At least 3 documented case studies of supporting ANU areas per year
- Positive outcomes from external client and ANU constituent satisfaction survey

**Capability and Capacity: Provide capability and capacity to ensure excellence in engagement and delivery**

As separate entities of ANU Enterprise, ASI and SRC update the capability and capacity to undertake their operations and deliver on their plans under the review of their specific Boards. From the point of view of ANU Enterprise as the single shareholder in both companies, the key capability required is that of the CEO.

- Dr Bruce Godfrey is the full time CEO of ASI and is the key leadership position for the company. As such, retention of Dr Godfrey is key to the divestment plan for ASI.
- Darren Penney continues as CEO of SRC. Following acquisition of SRC by ANUE, Mr Penney is locked into this until July 2017. Succession planning is a key item for the SRC’s strategic plan which needs to be presented to the Board of ANUE by December 2016.
The key position of CEO at ANU Enterprise will continue to be filled by the Pro-Vice Chancellor (Innovation). This dual role will ensure that the objectives of the company align with the strategic directions of the ANU and allow company representation at the appropriate level inside the University. The key positions in ANUE are therefore:

- Professor Michael Cardew-Hall who will continue on the CEO role
- Frank Papa will continue to fill the role of COO supporting the CEO and company operations
- The positions of Executive- Director Projects and Consulting and Executive Director- Executive Education have been filled Anthony Pages and Exmond DeCruz. Both are key appointments in leading the growth of those business lines in ANUE.

Significant restructuring of staff capability within ANUE has been undertaken. This has brought the cost base of these operations under control and in line with achievable revenues. The capability as of 2015 has been structured around a business development capability, a delivery capability and a corporate support capability. As new projects are identified and pass through the business development/delivery pipeline, resources are allocated to the project teams to match the need.

As the volume of activity and projects grow in both business lines, staff capability will be restructured into business lines teams that encompass business development and delivery. This is to enable a more effective transition of projects through the business development/delivery cycle and to allow more in depth skills, expertise and targeted relationships to be built up.

The company will ensure that effective management and reporting systems need to be in place for finance and accounting, business development and project management and delivery.

**Actions**

- Through the CEO’s and Boards of ASI and SRC, monitor subsidiary capability and capacity to ensure that plans are achieved
- Develop succession planning for key leadership roles in ANUE, SRC and ASI
- Develop capability structure based around key ANUE business lines with phased implementation to match business needs and resource flexibility
- Maintain an effective and efficient corporate support activities that are aligned with business needs of company
- Ensure adherence to strong policies, procedures and project management systems
- Improve quality management practices and systems
- Provide training and professional development programs to enhance capability
- Adopt an internal and external client relationship management approach for business development
- Undertake targeted recruitment in line with business growth
- Implement consistent and effective systems for reporting financial, accounting, sales pipeline and project progress reporting

**Measures of Performance:**

- Professional project and quality management systems in use
- Succession planning in place
- Costs in line with revenue
- Customer relationship management tool applied
- Training program completions

**Sustainable and Profitable Consulting and Project Business: Provide sustainable consulting and project support to ANU**
Consulting and related activities are a key engagement strategy for the University both at the individual academic level and also at a larger institutional level. Having a responsive, focused operation that can identify, bid for and manage short, focused consulting projects that build on the University’s expertise is needed. Such an activity allows impact of research to be effectively delivered to business, government departments and other agencies both national and international.

To achieve this ANUE must build strong relationships with key engaged areas within the ANU. In addition the company needs to build key relationships with external clients and funders and provide professional and quality services to both client groups

Actions

- Develop rolling 3 year business plan for Consulting and Projects business line of ANUE
- Develop ANU capability map to provide external value proposition
- Through a structured client relationship management approach build individual consulting and larger cross institutional and interdisciplinary based consulting work
- Secure repeat work from current clients
- Target 4 new soft funded research centres of University each year to show value and grow consulting based activity.
- Aim for 15% growth per year in revenue
- Adopt a target 23% gross margin increasing to 25%
- Control costs to be sustainable with an achieved 25% gross margin

Measures of Performance:

- Annual revenue of $5.4M growing to $6.2M
- GP 23% average increasing to 25%
- Consulting business maintains overall profitability
- Strategic external engagement plans for 4 Colleges/Schools/ Centres completed
- Overall budget met

Sustainable and Profitable Executive Education Business: Provide sustainable Executive Education programs

Executive Education has the potential to provide ANUE with a stable business line with growth capacity. Focusing as a niche service business rather than a product based offering, business will be built on the ANU’s capability and reputation in the region. There will be a particular focus on creating capability development programs in China, Indonesia, Vietnam, Myanmar and PNG. The key revenue streams will come from:

- Subscription courses
- Customised courses for domestic clients
- Customised courses for international clients
- Australian based residential courses
- International immersion study tours
- Training tenders

The aim will be to complement executive education programs offered by other parts of the University and provide a service and framework for cross disciplinary and cross College offerings.

To achieve this ANUE must build strong relationships with key engaged areas within the ANU. In addition the company needs to build key relationships with external clients and funders and provide professional and quality services to both client groups
Actions

- Develop rolling 3 year business plan for Executive business line of ANUE
- Develop ANU capability map to provide external value proposition
- Secure repeat work from current clients
- Through a structured client relationship management approach secure executive education contracts
- Aim for 15% growth per year in revenue
- Adopt a target 35% gross margin increasing to 37%
- Control costs to be sustainable with an achieved 25% gross margin

Measures of Performance:

- Annual revenue of $3.1M growing to $5.0M
- GP 35% average increasing to 37%
- Executive Education business maintains overall profitability
- Strategic external engagement plans for 4 Colleges/Schools/ Centres completed
- Overall ANUE budget met

Position ASI for growth and divest from ANUE

ASI has undergone a significant change in its business operations. Whilst still reliant on securing orders for SHRIMP machines, it is no longer a SHRIMP company, but a scientific instrument company more broadly. With the acquisition of the RESOlution machine product line to complement ALPHAcron and RESOcron product lines, the company now has a range of products and associated revenue lines. The operational cost base of the company has been restructured and significant sales and marketing capability not present previously added. In addition, ASI has been set up with completely separate corporate support in order to position it for divestment. Whilst actions to date have provided the company with a new and potentially sustainable direction, as of 2015 the trading position of ASI is challenging. From an ANUE perspective, the intent is to continue along the divestment path by pursing a range of options to achieve this within a 2 year time frame.

Actions

- Support ASI in delivery of its 2016-2018 operational plans
- Maintain marketing and sales capability to build front log of secured orders
- Continue operational restructure to align capability with change in company strategy and control costs
- Develop divestment strategy based on securing between $2M-$3M of new capital in the company
- Develop alternate divestment strategy based on sale or transfer of assets in whole or part
- Maintain oversight of financial performance and risk management
- Provide financial and other support in line with recommendations from Board and ANU as shareholder

Measures of Performance:

- New contracts secured for all product lines
- Overall revenue and cost budget met
- Global channel partners in place
- Series A funding round completed and/or alternative divestment plan developed
Sustainable and Profitable SRC

The Social Research Centre is a profitable and well-run company with its own management team and Board of Directors. All operations are based in Melbourne in William Street. From a consolidated ANU Enterprise perspective the objective is to maintain SRC as an independent company with its own strategic growth plan. Through its involvement in Australian Centre for Social Research and Methods, the research centre established with CASS, the SRC will explore wider opportunities to build off the ANU expertise that allow it to grow business.

Key to the future success of SRC is the migration from CATI based survey methods to newer approach such as dual frame and on line panels. The company is engaged in a transition strategy to achieve this over the next 3 years.

Actions

- Support SRC in delivery of its 2016-2018 operational plans
- Provide sustainable revenue growth targets in line with business diversification investment strategy
- Maintain and expand Melbourne headquarters
- Oversee succession planning for key leadership roles
- Oversee diversification of survey methods used match changing demographic and engagement strategies, in particular dual frame and on line panel approaches
- Support and complement projects within Australian Centre for Social Research and Methods, and be involved with management and governance of the Centre
- Facilitate building stronger links to other ANU areas of potential collaboration
- Aim for 15% growth per year matching cost base to secured revenue

Measures of Performance:

- Annual revenue of $20.5M in 2016
- Overall revenue and profit and loss budgets met
- Staff succession plan in place
- Less than 40% of revenue derived from CATI based contracts
**Financial Targets 2016-2018**

**Consolidated**

Overall on a consolidated basis ANU Enterprise is projected to be weak at the end of 2015. This is reflective of the transitional position of the company. On a consolidated basis the company has current net assets of $26.8MM of which $8.3M is cash. The consolidated target revenue and profit for ANE for 2016-2018 are:

<table>
<thead>
<tr>
<th></th>
<th>2014 Actual Yr $’000</th>
<th>2015 Projected Yr $’000</th>
<th>2016 Budget Yr $’000</th>
<th>2017 Budget Yr $’000</th>
<th>2018 Budget Yr $’000</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>REVENUE FROM ORDINARY ACTIVITIES</strong></td>
<td></td>
<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td>Fees and Charges</td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Consultancy and Contracts</td>
<td>20,889</td>
<td>27,156</td>
<td>29,110</td>
<td>32,733</td>
<td>35,335</td>
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<td>Other Revenue</td>
<td>6,853</td>
<td>3,946</td>
<td>7,276</td>
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<td><strong>Total Revenue from Ordinary Activities</strong></td>
<td><strong>27,742</strong></td>
<td><strong>31,102</strong></td>
<td><strong>36,386</strong></td>
<td><strong>40,945</strong></td>
<td><strong>36,878</strong></td>
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<td><strong>EXPENSES FROM ORDINARY ACTIVITIES</strong></td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Employees (incl payroll tax and workers' compensation)</td>
<td>8,902</td>
<td>18,505</td>
<td>15,575</td>
<td>17,249</td>
<td>15,487</td>
</tr>
<tr>
<td>Academic</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Professional</td>
<td>8,902</td>
<td>18,505</td>
<td>15,575</td>
<td>17,249</td>
<td>15,487</td>
</tr>
<tr>
<td>Services</td>
<td>18,417</td>
<td>12,660</td>
<td>17,386</td>
<td>18,392</td>
<td>16,049</td>
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<td></td>
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<td>Write-down and Impairment of Assets</td>
<td>389</td>
<td>782</td>
<td>110</td>
<td>312</td>
<td>0</td>
</tr>
<tr>
<td>Losses/(Gain) on disposal of assets</td>
<td></td>
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</tr>
<tr>
<td><strong>Total Expenses from Ordinary Activities</strong></td>
<td><strong>27,708</strong></td>
<td><strong>31,947</strong></td>
<td><strong>33,071</strong></td>
<td><strong>35,953</strong></td>
<td><strong>31,536</strong></td>
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<tr>
<td><strong>Net Operating Result before Depreciation, Financing, Investments and Capital Grants</strong></td>
<td><strong>34</strong></td>
<td><strong>(845)</strong></td>
<td><strong>3,315</strong></td>
<td><strong>4,992</strong></td>
<td><strong>5,342</strong></td>
</tr>
<tr>
<td><strong>Depreciation and amortisation</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>1,358</td>
<td>2,333</td>
<td>1,721</td>
<td>1,729</td>
<td>875</td>
</tr>
<tr>
<td><strong>Net Operating Result before Financing, Investments and Capital Grants</strong></td>
<td><strong>1,324</strong></td>
<td><strong>(3,178)</strong></td>
<td><strong>1,594</strong></td>
<td><strong>3,263</strong></td>
<td><strong>4,467</strong></td>
</tr>
<tr>
<td><strong>Finance Cost</strong></td>
<td>383</td>
<td>481</td>
<td>347</td>
<td>238</td>
<td></td>
</tr>
<tr>
<td><strong>Net Operating Result before Investments and Capital Grants</strong></td>
<td><strong>1,324</strong></td>
<td><strong>(3,561)</strong></td>
<td><strong>1,113</strong></td>
<td><strong>2,916</strong></td>
<td><strong>4,229</strong></td>
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<tr>
<td><strong>Investments Related Revenue/Expenditure</strong></td>
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<td></td>
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<tr>
<td>Investment Revenue (Dividend and Interest)</td>
<td>217</td>
<td>2,740</td>
<td>3,410</td>
<td>3,955</td>
<td>1,342</td>
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<tr>
<td>Employee Superannuation Entitlement Expense</td>
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<td></td>
<td></td>
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</tr>
<tr>
<td><strong>Total Investment Related Revenue/Expenditure</strong></td>
<td><strong>217</strong></td>
<td><strong>2,740</strong></td>
<td><strong>3,410</strong></td>
<td><strong>3,955</strong></td>
<td><strong>1,342</strong></td>
</tr>
<tr>
<td><strong>Net Operating Result before Capital Grants</strong></td>
<td><strong>(1,107)</strong></td>
<td><strong>(821)</strong></td>
<td><strong>4,523</strong></td>
<td><strong>6,871</strong></td>
<td><strong>5,571</strong></td>
</tr>
<tr>
<td><strong>Net Result Before Tax</strong></td>
<td><strong>(1,107)</strong></td>
<td><strong>(821)</strong></td>
<td><strong>4,523</strong></td>
<td><strong>6,871</strong></td>
<td><strong>5,571</strong></td>
</tr>
<tr>
<td><strong>Income Tax Benefit/(Expense)</strong></td>
<td><strong>(444)</strong></td>
<td><strong>(474)</strong></td>
<td><strong>(708)</strong></td>
<td><strong>(970)</strong></td>
<td><strong>(1,156)</strong></td>
</tr>
<tr>
<td><strong>Net Result from Continuing Operations</strong></td>
<td><strong>(1,551)</strong></td>
<td><strong>(1,295)</strong></td>
<td><strong>3,815</strong></td>
<td><strong>5,901</strong></td>
<td><strong>4,413</strong></td>
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<tr>
<td>Result from Discontinued Operations</td>
<td>1,000</td>
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</tr>
<tr>
<td><strong>Net Result</strong></td>
<td><strong>(551)</strong></td>
<td><strong>(1,295)</strong></td>
<td><strong>3,815</strong></td>
<td><strong>5,901</strong></td>
<td><strong>4,413</strong></td>
</tr>
</tbody>
</table>

**Social Research Centre**
The performance of SRC remain strong. Revenues are subject in work contract cycles in the near term which will be managed to ensure little impact on profitability. Future growth is projected as diversification of delivery approach opens up new business opportunities. The target revenues and profit for SRC for 2016-2018 are;

<table>
<thead>
<tr>
<th>Year</th>
<th>2014 Actual (5 mths)</th>
<th>2015 Projected Yr</th>
<th>2016 Budget Yr</th>
<th>2017 Budget Yr</th>
<th>2018 Budget Yr</th>
</tr>
</thead>
<tbody>
<tr>
<td>REVENUE FROM ORDINARY ACTIVITIES</td>
<td>$'000</td>
<td>$'000</td>
<td>$'000</td>
<td>$'000</td>
<td>$'000</td>
</tr>
<tr>
<td>Fees and Charges</td>
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<td>22,656</td>
<td>20,576</td>
<td>22,934</td>
<td>24,081</td>
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<td>Consultancy and Contracts</td>
<td>146</td>
<td>25</td>
<td>26</td>
<td>27</td>
<td>27</td>
</tr>
<tr>
<td>Other Revenue</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total Revenue from Ordinary Activities</td>
<td>10,472</td>
<td>22,727</td>
<td>20,601</td>
<td>22,960</td>
<td>24,108</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Year</th>
<th>2014 Actual (5 mths)</th>
<th>2015 Projected Yr</th>
<th>2016 Budget Yr</th>
<th>2017 Budget Yr</th>
<th>2018 Budget Yr</th>
</tr>
</thead>
<tbody>
<tr>
<td>EXPENSES FROM ORDINARY ACTIVITIES</td>
<td>$'000</td>
<td>$'000</td>
<td>$'000</td>
<td>$'000</td>
<td>$'000</td>
</tr>
<tr>
<td>Employees (incl payroll tax and workers' compensation)</td>
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<td>13,457</td>
<td>11,308</td>
<td>12,527</td>
<td>13,054</td>
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<tr>
<td>Academic Professional</td>
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<td></td>
</tr>
<tr>
<td>Services</td>
<td>3,105</td>
<td>6,233</td>
<td>6,112</td>
<td>6,371</td>
<td>6,834</td>
</tr>
<tr>
<td>Losses/(Gain) on disposal of assets</td>
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<tr>
<td>Total Expenses from Ordinary Activities</td>
<td>8,099</td>
<td>19,690</td>
<td>17,420</td>
<td>18,898</td>
<td>19,888</td>
</tr>
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Net Operating Result before Depreciation, Financing, Investments and Capital Grants 2,373 3,037 3,181 4,062 4,220
Depreciation and amortisation 125 335 428 436 445
Net Operating Result before Financing, Investments and Capital Grants 2,248 2,702 2,753 3,626 3,775
Finance Cost
Net Operating Result before Investments and Capital Grants 2,248 2,702 2,753 3,626 3,775
Investments Related Revenue/(Expenditure) Investment Revenue (Dividend and Interest) 27 65 84 84 84
Employee Superannuation Entitlement Expense
Total Investment Related Revenue/Expenditure 27 65 84 84 84
Net Operating Result before Capital Grants 2,275 2,767 2,837 3,710 3,859
Capital Grants
Net Result Before Tax 2,275 2,767 2,837 3,710 3,859
Income Tax Benefit/(Expense) (729) (830) (851) (1,113) (1,158)
Net Result from Continuing Operations 1,546 1,937 1,986 2,597 2,701
Result from Discontinued Operations
Net Result 1,546 1,937 1,986 2,597 2,701
**Australian Scientific Instruments**

The performance of Australian Scientific Instruments remains weak. Whilst all efforts to control and realign costs in line with operational changes to support growth business lines are being taken, the company needs to secure $3M-$5M of new investment to cover working capital and invest in new product lines. Assuming no new capital is raised and ASI has not been divested over the next 2 years, the target revenues and profit for 2016-2017 based on realistic projections are:

<table>
<thead>
<tr>
<th></th>
<th>2014 Actual Yr</th>
<th>2015 Projected Yr</th>
<th>2016 Budget Yr</th>
<th>2017 Budget Yr</th>
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<tr>
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<tr>
<td>Fees and Charges</td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Consultancy and Contracts</td>
<td>0</td>
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<td></td>
</tr>
<tr>
<td>Other Revenue</td>
<td>5,420</td>
<td>2,758</td>
<td>5,811</td>
<td>6,704</td>
</tr>
<tr>
<td>Total Revenue from Ordinary Activities</td>
<td>5,420</td>
<td>2,758</td>
<td>5,811</td>
<td>6,704</td>
</tr>
<tr>
<td><strong>EXPENSES FROM ORDINARY ACTIVITIES</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Employees (incl payroll tax and workers' compensation)</td>
<td>1,471</td>
<td>3,169</td>
<td>2,195</td>
<td>2,476</td>
</tr>
<tr>
<td>Academic Professional</td>
<td>1,471</td>
<td>3,169</td>
<td>2,195</td>
<td>2,476</td>
</tr>
<tr>
<td>Services</td>
<td>4,630</td>
<td>2,373</td>
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<td>3,855</td>
</tr>
<tr>
<td>Bad and doubtful debts</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Write-down and Impairment of Assets</td>
<td>389</td>
<td>782</td>
<td>110</td>
<td>312</td>
</tr>
<tr>
<td>Losses/(Gain) on disposal of assets</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total Expenses from Ordinary Activities</td>
<td>6,490</td>
<td>6,324</td>
<td>6,270</td>
<td>6,643</td>
</tr>
<tr>
<td><strong>Net Operating Result before Depreciation, Financing, Investments and Capital Grants</strong></td>
<td>(1,070)</td>
<td>(3,566)</td>
<td>(459)</td>
<td>61</td>
</tr>
<tr>
<td><strong>Depreciation and amortisation</strong></td>
<td>72</td>
<td>405</td>
<td>387</td>
<td>387</td>
</tr>
<tr>
<td><strong>Net Operating Result before Financing, Investments and Capital Grants</strong></td>
<td>(1,142)</td>
<td>(3,971)</td>
<td>(846)</td>
<td>(326)</td>
</tr>
<tr>
<td><strong>Finance Cost</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Net Operating Result before Investments and Capital Grants</strong></td>
<td>(1,142)</td>
<td>(3,971)</td>
<td>(846)</td>
<td>(326)</td>
</tr>
<tr>
<td><strong>Investments Related Revenue/(Expenditure)</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Investment Revenue (Dividend and Interest)</td>
<td>98</td>
<td>18</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Employee Superannuation Entitlement Expense</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total Investment Related Revenue/Expenditure</td>
<td>98</td>
<td>18</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td><strong>Net Operating Result before Capital Grants</strong></td>
<td>(1,044)</td>
<td>(3,953)</td>
<td>(846)</td>
<td>(326)</td>
</tr>
<tr>
<td><strong>Net Result Before Tax</strong></td>
<td>(1,044)</td>
<td>(3,953)</td>
<td>(846)</td>
<td>(326)</td>
</tr>
<tr>
<td><strong>Income Tax Benefit/(Expense)</strong></td>
<td>(74)</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td><strong>Net Result from Continuing Operations</strong></td>
<td>(970)</td>
<td>(3,953)</td>
<td>(846)</td>
<td>(326)</td>
</tr>
<tr>
<td>Result from Discontinued Operations</td>
<td>0</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Net Result</strong></td>
<td>(970)</td>
<td>(3,953)</td>
<td>(846)</td>
<td>(326)</td>
</tr>
</tbody>
</table>

**ANU Enterprise Business Lines**

From a financial management and targets perspective the Projects and Consulting, Executive Education and Corporate support activities are treated as a single reporting unit under ANUE. The performance of these units in 2015 was weak, However, the underlying change in net operating
performance before extraordinary items from 2014 to 2015 is projected to be $998k indicating a positive trajectory for 2016-2018 projections.

<table>
<thead>
<tr>
<th>Year</th>
<th>2014 Actual Yr $'000</th>
<th>2015 Projected Yr $'000</th>
<th>2016 Budget Yr $'000</th>
<th>2017 Budget Yr $'000</th>
<th>2018 Budget Yr $'000</th>
</tr>
</thead>
<tbody>
<tr>
<td>REVENUE FROM ORDINARY ACTIVITIES</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Fees and Charges</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Consultancy and Contracts</td>
<td>10,563</td>
<td>4,500</td>
<td>8,534</td>
<td>9,799</td>
<td>11,254</td>
</tr>
<tr>
<td>Other Revenue</td>
<td>1,287</td>
<td>1,117</td>
<td>1,440</td>
<td>1,482</td>
<td>1,516</td>
</tr>
<tr>
<td>Total Revenue from Ordinary Activities</td>
<td>11,850</td>
<td>5,617</td>
<td>9,974</td>
<td>11,281</td>
<td>12,770</td>
</tr>
<tr>
<td>EXPENSES FROM ORDINARY ACTIVITIES</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Employees (incl payroll tax and workers' compensation)</td>
<td>2,437</td>
<td>1,879</td>
<td>2,072</td>
<td>2,246</td>
<td>2,433</td>
</tr>
<tr>
<td>Academic</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Professional</td>
<td>2,437</td>
<td>1,879</td>
<td>2,072</td>
<td>2,246</td>
<td>2,433</td>
</tr>
<tr>
<td>Services</td>
<td>10,727</td>
<td>4,054</td>
<td>7,309</td>
<td>8,166</td>
<td>9,215</td>
</tr>
<tr>
<td>Bad and doubtful debts</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Write-down and Impairment of Assets</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Losses/(Gain) on disposal of assets</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total Expenses from Ordinary Activities</td>
<td>13,164</td>
<td>5,933</td>
<td>9,381</td>
<td>10,412</td>
<td>11,648</td>
</tr>
<tr>
<td>Net Operating Result before Depreciation, Financing, Investments and Capital Grants</td>
<td>(1,314)</td>
<td>(316)</td>
<td>593</td>
<td>869</td>
<td>1,122</td>
</tr>
<tr>
<td>Depreciation and amortisation</td>
<td>412</td>
<td>408</td>
<td>430</td>
<td>430</td>
<td>430</td>
</tr>
<tr>
<td>Net Operating Result before Financing, Investments and Capital Grants</td>
<td>(1,726)</td>
<td>(724)</td>
<td>163</td>
<td>439</td>
<td>692</td>
</tr>
<tr>
<td>Finance Cost</td>
<td>383</td>
<td>481</td>
<td>347</td>
<td>238</td>
<td></td>
</tr>
<tr>
<td>Net Operating Result before Investments and Capital Grants</td>
<td>(1,726)</td>
<td>(1,107)</td>
<td>(318)</td>
<td>92</td>
<td>454</td>
</tr>
<tr>
<td>Investments Related Revenue/(Expenditure)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Investment Revenue (Dividend and Interest)</td>
<td>92</td>
<td>2,657</td>
<td>3,326</td>
<td>3,871</td>
<td>1,258</td>
</tr>
<tr>
<td>Employee Superannuation Entitlement Expense</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total Investment Related Revenue/Expenditure</td>
<td>92</td>
<td>2,657</td>
<td>3,326</td>
<td>3,871</td>
<td>1,258</td>
</tr>
<tr>
<td>Net Operating Result before Capital Grants</td>
<td>(1,634)</td>
<td>1,550</td>
<td>3,008</td>
<td>3,963</td>
<td>1,712</td>
</tr>
<tr>
<td>Net Result Before Tax</td>
<td>(1,634)</td>
<td>1,550</td>
<td>3,008</td>
<td>3,963</td>
<td>1,712</td>
</tr>
<tr>
<td>Income Tax Benefit/(Expense)</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Net Result from Continuing Operations</td>
<td>(1,634)</td>
<td>1,550</td>
<td>3,008</td>
<td>3,963</td>
<td>1,712</td>
</tr>
<tr>
<td>Result from Discontinued Operations</td>
<td>1,000</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Net Result</td>
<td>(634)</td>
<td>1,550</td>
<td>3,008</td>
<td>3,963</td>
<td>1,712</td>
</tr>
</tbody>
</table>
Vision Into Action 2016-2018 - ANU Enterprise

To provide ANU with a corporate environment for external engagement that allows the development and management of commercial activities for the benefit to the University and its stakeholders.

**Objectives**

**Earn the Right**
- To be trusted provider of consulting and business engagement opportunities
- Articulate a value proposition for consulting and executive education opportunities
- Identify and promote value propositions to Colleges
- Demonstrate capability and value
- Identify key external clients with which to develop valued relationships
- Communicate success to ANU & key stakeholders
- Integrate with the wider Innovation ANU portfolio
- Effectively support the ANU costing and pricing
- Undertake external client and ANU constituent satisfaction surveys

**Capability and Capacity**
- Through the CEO’s and Boards monitor capability and capacity
- Develop a strategic engagement plan for ANU, SRC and ASI
- Develop capability structure around business lines with phased implementation
- Maintain an effective and efficient corporate support
- Ensure adherence to strong policies, procedures and systems
- Provide training and professional development
- Adopt an internal and external client relationship management approach
- Undertake targeted interviews in line with business growth
- Implement consistent and effective reporting systems

**Sustainable & Profitable Projects & Consulting**
- Develop a rolling 3 year business plan for Projects and Consulting business
- Develop ANU capability map
- Adopt a structured client relationship management approach
- Secure repeat work from current clients
- Target 4 new soft funded research centres of University each year
- Aim for 15% growth per year matching cost base to revenue
- Adopt a target 30% gross margin on tender work
- Adopt a target 15% gross margin on individual consulting work
- Control costs to be sustainable with an achieved 25% gross margin

**Sustainable & Profitable Executive Education**
- Develop a rolling 3 year business plan for Executive business line of ANU
- Develop ANU capability map
- Adopt a structured client relationship management approach
- Secure repeat work from current clients
- Target 6 new soft funded research centres of University each year
- Aim for 15% growth per year matching cost base to revenue
- Adopt a target 30% gross margin on tender work
- Control costs to be sustainable with an achieved 25% gross margin

**Position ASI for growth and development from ANU**
- Support ASI in delivery of its 2016-2018 operational plans
- Maintain marketing and sales capability to build front line
- Continual operational restructuring to align capability with change in company strategy
- Develop and implement strategy based on securing between 25M-50M of new capital
- Develop alternative diversification strategy based on sales or transfer of assets in whole or part
- Maintain oversight of financial performance and risk management
- Provide financial and other support in line with recommendations from Board and ANU shareholder

**Sustainable and Profitable SRC**
- Support SRC in delivery of its 2016-2018 operational plans
- Provide sustainable revenue growth in line with business diversification strategy
- Maintain and expand Melbourne headquarters
- Oversee succession planning for key leadership roles
- Oversee diversification of survey methods
- Support management and complement projects within Australian Centre for Social Research and Methods
- Facilitate building stronger ties to other research areas of potential collaboration
- Aim for 15% growth per year matching cost base to revenue

**Actions**

**KPIs**
- Contribute $5M HERDC Category 2 & 3 revenue
- Number of Individual consulting contracts
- Number of key external ANU group relationships
- At least 3 documented case studies per year
- Positive outcomes from external client and ANU constituent satisfaction survey
- Professional project and quality management and reporting systems in place
- Succession planning in place
- Costs in line with revenue
- Customer relationship management plan is applied
- Training program completions
- Annual revenue of $5M
- GP 30% for mature business, 25% average
- Consulting business maintains overall profitability
- Strategic external engagement plans for 4 Colleges/Schools/ Centres completed
- Overall budget met
- Annual revenue of $4M
- GP 50% for mature business, 25% average
- Executive Education business maintains overall profitability
- Strategic external engagement plans for 4 Colleges/Schools/ Centres completed
- Overall ANU budget met
- New contracts secured for all product lines
- Overall revenue and cost budget met
- Global channel partners in place
- Series A funding round completed and/or alternative investment plan developed
- Annual revenue of $20.5M in 2016
- Overall revenue and profit and loss budgets met
- Staff succession plan in place
- Less than 40% of revenue derived from CATI based contracts

**Values**

- Excellence
- Relationships
- Commercial
- Quality
- Integrity
- Our People
25. **AUDIT AND RISK MANAGEMENT COMMITTEE – REPORT ON 2015 PERFORMANCE**

**PURPOSE**
To provide the Audit and Risk Management Committee's 2015 report on performance.

**PREPARED BY**
Auditor, Corporate Governance and Risk

**REVIEWED BY**
Manager, Audit and Risk, Corporate Governance and Risk Office
Director, Corporate Governance and Risk Office

**APPROVED BY**
ARMC Chair

**SPONSOR**
AMRC Chair

**RECOMMENDATION**
That Council consider the Audit and Risk Management Committee's report on 2015 performance.

**ACTION REQUIRED**
For decision

**CONSULTATION**
Staff
Students
Alumni
Government
Other
Not applicable

Members of the Committee were invited to complete a survey instrument to assess its effectiveness, management responsiveness to Committee requests for information and support provided by the Corporate Governance and Risk Office.

**BACKGROUND**
Clause 33 of the ANU Audit & Risk Management Committee (ARMC) Charter requires that the ARMC conducts a review of its performance on a self-assessment basis each year.

On behalf of the ARMC, Corporate Governance & Risk Office (CGRO) developed a survey based on the Public Sector Audit Committee Better Practice Guide published by the ANAO. The survey was subsequently circulated to all ARMC members and regular ARMC meeting attendees to provide for the opportunity to evaluate the performance of the ARMC.

The respondents strongly agreed that:

- The mix of skills on the Committee allows it to effectively perform its assigned responsibilities;
- The Committee's overall financial literacy is adequate in light of its responsibilities;
- The Committee meetings are well run and productive with adequate service delivery and support from CGRO;
- The agenda setting process allows sufficient time for all necessary items to be included;
- The agenda is structured to allow sufficient time to discuss the most complex and critical issues;
- The ARMC Charter facilitates and supports the effective operation of the Committee; and
- The objectives of risk management are well understood by the Committee.

The ARMC complemented the excellent service from CGRO in preparing the agenda and ARMC meetings.

The respondents noted improvement opportunities in the areas outlined below:

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**PART 4 – OTHER MATTERS FOR DECISION**
- Increase visibility on key risks deriving from major projects covered in the Finance Committee papers and how they are managed;
- For Council to deliberate on non-financial related risks, the Entity Wide Risk Management Framework and ICT redevelopment; and
- Increase visibility on the Vice-Chancellor or Council communications in regard to the ARMC.

Overall, respondents agreed that the ARMC is an effective Committee of Council.

ATTACHMENT

COMMUNICATION
For public release ☐  For internal release ☐  Not for release ☑
# 2015 ANU ARMC SELF ASSESSMENT SURVEY

## 1. ARMC CHARTER

<table>
<thead>
<tr>
<th>QUESTIONS</th>
<th>AGGREGATED RESPONSES</th>
</tr>
</thead>
<tbody>
<tr>
<td>The ARMC Charter articulates the Committee’s responsibilities and provides the Committee with the necessary authority to fulfil them.</td>
<td>Agree</td>
</tr>
<tr>
<td>The ARMC Charter facilitates and supports the effective operation of the Committee.</td>
<td>Agree</td>
</tr>
<tr>
<td>The Committee adequately addressed all of its responsibilities as detailed in its Charter during the past 12 months.</td>
<td>Agree</td>
</tr>
</tbody>
</table>

## 2. SKILLS AND EXPERIENCE

<table>
<thead>
<tr>
<th>QUESTIONS</th>
<th>AGGREGATED RESPONSES</th>
</tr>
</thead>
<tbody>
<tr>
<td>The mix of skills on the Committee allows it to effectively perform its assigned responsibilities.</td>
<td>Strongly Agree</td>
</tr>
<tr>
<td>The Committee has been able to analyse and critically evaluate information presented to it by management.</td>
<td>Agree</td>
</tr>
<tr>
<td>There is a clear process that Committee members can follow to access advice and / or training to improve their skills and knowledge.</td>
<td>Agree</td>
</tr>
<tr>
<td>The Committee’s overall financial literacy is adequate in light of its responsibilities.</td>
<td>Strongly Agree</td>
</tr>
<tr>
<td>The Committee has responded appropriately or taken the required action where significant risks and/or control breakdowns have been brought to its attention.</td>
<td>Agree</td>
</tr>
<tr>
<td>The Committee has access to appropriate internal and / or external resources to assist it in understanding and dealing with complex and difficult matters on a timely basis.</td>
<td>Agree</td>
</tr>
<tr>
<td>The Committee has shown an openness to new ideas and different views in its deliberations.</td>
<td>Agree</td>
</tr>
<tr>
<td>The Committee has been sufficiently probing and challenging in its deliberations.</td>
<td>Agree</td>
</tr>
<tr>
<td>The Committee demonstrated a positive attitude of continuous improvement in its dealings with management.</td>
<td>Agree</td>
</tr>
<tr>
<td>The Committee receives appropriate training/briefings on existing and emerging risks, and developments in the areas of auditing and accounting standards, financial reporting and the environment in which the ANU operates.</td>
<td>Agree</td>
</tr>
</tbody>
</table>

## 3. UNDERSTANDING OF THE ANU

<table>
<thead>
<tr>
<th>QUESTIONS</th>
<th>AGGREGATED RESPONSES</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Committee has sufficient understanding and appreciation of the University’s:</td>
<td></td>
</tr>
<tr>
<td>Entity-wide Risk Management Framework</td>
<td>Agree</td>
</tr>
<tr>
<td>Internal controls to mitigate significant risks</td>
<td>Agree</td>
</tr>
<tr>
<td>Financial and statutory reporting requirements</td>
<td>Agree</td>
</tr>
<tr>
<td>Legislative and policy arrangements</td>
<td>Agree</td>
</tr>
</tbody>
</table>
### 4. MEETING ADMINISTRATION CONDUCT

<table>
<thead>
<tr>
<th>Description</th>
<th>Agreement</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Committee has the appropriate number of meetings to properly discharge its duties.</td>
<td>Strongly Agree</td>
</tr>
<tr>
<td>The agenda-setting process allows for all necessary items to be included.</td>
<td>Strongly Agree</td>
</tr>
<tr>
<td>The agenda is structured to allow sufficient time to discuss the most complex and critical issues.</td>
<td>Strongly Agree</td>
</tr>
<tr>
<td>The Committee receives agenda items and supporting papers with sufficient time prior to meetings.</td>
<td>Strongly Agree</td>
</tr>
<tr>
<td>Committee members are given the opportunity to be briefed prior to meetings and these briefings are useful.</td>
<td>Agree</td>
</tr>
<tr>
<td>The Committee agenda and supporting papers are of sufficient clarity and quality to make informed decisions.</td>
<td>Strongly Agree</td>
</tr>
<tr>
<td>The Committee meetings are well run and productive.</td>
<td>Strongly Agree</td>
</tr>
<tr>
<td>Committee minutes are appropriately maintained and of good quality.</td>
<td>Strongly Agree</td>
</tr>
<tr>
<td>The Committee has sufficient engagement with key University stakeholders as appropriate.</td>
<td>Agree</td>
</tr>
<tr>
<td>The Corporate Governance &amp; Risk Office is responsive and provides adequate service delivery to support the Committee.</td>
<td>Strongly Agree</td>
</tr>
</tbody>
</table>

### 5. VICE-CHANCELLOR / COUNCIL COMMUNICATIONS

<table>
<thead>
<tr>
<th>Description</th>
<th>Agreement</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Committee's communications to the Council / Vice-Chancellor about the Committee's deliberations and activity are of an appropriate quality.</td>
<td>Agree</td>
</tr>
<tr>
<td>The Council / Vice-Chancellor is well informed, on a timely basis, of the Committee's deliberations and activities.</td>
<td>Agree</td>
</tr>
</tbody>
</table>

### 6. MANAGEMENT INPUT

Information presented by management (nature, clarity, quality and timeliness) meets the Committee's expectations in respect of:

<table>
<thead>
<tr>
<th>Description</th>
<th>Agreement</th>
</tr>
</thead>
<tbody>
<tr>
<td>(a) Risk identification and assessment, including the process to identify entity risks for possible financial reporting implications.</td>
<td>Agree</td>
</tr>
<tr>
<td>(b) The internal control framework designed by management to identify and mitigate risks, including fraud risks.</td>
<td>Strongly Agree</td>
</tr>
<tr>
<td>(c) Arrangements established by management to ensure compliance with regulations and internal policies.</td>
<td>Agree</td>
</tr>
<tr>
<td>(d) Financial reporting processes and requirements.</td>
<td>Strongly Agree</td>
</tr>
</tbody>
</table>
### 7. INTERNAL AUDIT

<table>
<thead>
<tr>
<th>Statement</th>
<th>Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Committee appropriately reviewed and approved the annual internal audit plan.</td>
<td>Strongly Agree</td>
</tr>
<tr>
<td>The Committee appropriately reviewed and approved any significant changes to the annual internal audit plan.</td>
<td>Strongly Agree</td>
</tr>
<tr>
<td>The Committee appropriately considered the performance of internal audit.</td>
<td>Agree</td>
</tr>
<tr>
<td>The Committee addressed its responsibilities in respect of its review and consideration of internal audit reports and identified issues.</td>
<td>Agree</td>
</tr>
<tr>
<td>The Committee reviews the Internal Audit Charter to ensure that appropriate structures, authority, access and reporting arrangements are in place.</td>
<td>Strongly Agree</td>
</tr>
</tbody>
</table>

### 8. EXTERNAL AUDIT

<table>
<thead>
<tr>
<th>Statement</th>
<th>Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Committee appropriately considered and understood the external audit plan.</td>
<td>Strongly Agree</td>
</tr>
<tr>
<td>The Committee reviewed external audit reports and management letters and considered management responses to findings and recommendations.</td>
<td>Agree</td>
</tr>
<tr>
<td>The Committee provided input and feedback on external audit coverage and performance.</td>
<td>Agree</td>
</tr>
</tbody>
</table>

### 9. RISK MANAGEMENT

<table>
<thead>
<tr>
<th>Statement</th>
<th>Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td>The objectives of risk management are well understood by the Committee.</td>
<td>Strongly Agree</td>
</tr>
<tr>
<td>The Committee has sufficient understanding and appreciation of the University's Entity-wide Risk Management Framework.</td>
<td>Agree</td>
</tr>
<tr>
<td>The Committee is adequately informed about risk management processes in place at ANU and can effectively monitor outcomes.</td>
<td>Agree</td>
</tr>
</tbody>
</table>

### 10. EFFECTIVE CONSIDERATIONS

In which of the areas outlined below has the Committee added value to the ANU?

<table>
<thead>
<tr>
<th>Area</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Policies and practices</td>
<td>83%</td>
</tr>
<tr>
<td>Risk Management</td>
<td>83%</td>
</tr>
<tr>
<td>Control environment</td>
<td>100%</td>
</tr>
<tr>
<td>Legislative and policy compliance</td>
<td>33%</td>
</tr>
<tr>
<td>External accountability</td>
<td>67%</td>
</tr>
</tbody>
</table>
### 11. GENERAL

| I believe the strengths of the ARMC are: | Financial and accounting expertise;  
| Depth and breadth of skills and experience of the Members and their commitment to the ARMC;  
| Application of the Members skills and expertise over the ANU and its functions;  
| Business focus; and  
| Well managed agendas and secretariat support. |
|---|---|
| I believe the weaknesses of the ARMC are: | Not sufficient focus on the non-financial risks to the ANU; and Limited risk management discussion. |
| Are there issues that you consider Council should focus on in respect of audit and risk management during the coming year? | Risks other than financial risk;  
| Entity wide Risk Management Framework;  
| ICT redevelopment including governance and security; and  
| Financial risk management |
| How might the ARMC plan and operate in the future? | Planning discussions. |
| Does the ARMC need to consider adding/changing membership? | Facilitate a discussion with Council. |
| Does the ARMC need to reconsider how it interacts with Council? If yes, how? |  |
| Other comments / issues not covered above? |  |

### 12. OVERALL ASSESSMENT

| The ARMC is an effective Committee of Council | Agree |
*26. FINANCE COMMITTEE – REPORT ON 2015 PERFORMANCE

PURPOSE
To provide a summary of the Finance Committee’s report on 2015 performance.

PREPARED BY
Manager, Audit and Risk

REVIEWED BY
Director, Corporate Governance and Risk Office

APPROVED BY
Director, Corporate Governance and Risk Office

SPONSOR
Finance Committee

RECOMMENDATION
That Council consider the Finance Committee’s report on 2015 performance.

ACTION REQUIRED
For discussion ☑  For decision ☐  For information ☑

CONSULTATION
Staff ☐  Students ☐  Alumni ☐  Government ☐  Other ☑  Not applicable ☐

Members of the Committee were invited to complete a survey instrument to assess its effectiveness, management responsiveness to Committee requests for information and support provided by the Corporate Governance and Risk Office.

SUMMARY
Clause 36 of the ANU Finance Committee Charter requires that the Finance Committee conducts a review of its performance each year. A self-assessment survey was circulated to all members of the Committee to provide an opportunity for evaluation of the Committee’s performance.

Respondents provided the following positive feedback:
- The Committee has a good, broad suite of skills and is well equipped to analyse the issues at hand;
- The quality of papers has improved over the last 12 months.

Respondents noted improvement opportunities in the areas outlined below:
- Need for improved time management to enable thorough consideration of, and discussion about, substantive and key business issues;
- Increase the visibility of, and feedback to, members in respect of Council’s adoption of Finance Committee recommendations;
- Enhance management’s communication of important issues to Committee/Council;
- Include discussion about the robustness of cost controls at the University; and
- Increase focus on subsidiary reporting.

Overall, respondents agreed that the Finance Committee is an effective Committee of Council.

ATTACHMENT

COMMUNICATION
For public release ☐  For internal release ☐  Not for release ☑
## QUESTIONS

<table>
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<tr>
<th>1. FINANCE COMMITTEE TERMS OF REFERENCE</th>
<th>Aggregated Responses</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Finance Committee's Charter articulates the Committee's responsibilities and provides the Committee with the necessary authority to fulfill them.</td>
<td>Agree</td>
</tr>
<tr>
<td>The Finance Committee's Charter facilitates and supports the effective operation of the Committee.</td>
<td>Agree</td>
</tr>
<tr>
<td>The Committee adequately addressed all of its responsibilities as detailed in its Charter during the past 12 months.</td>
<td>Agree</td>
</tr>
</tbody>
</table>

**Comments/Suggestions for improvement:**
From time to time, the Finance Committee can spend an excessive amount of time on some issues, at the expense of certain other, more critical items. We need to be diligent about making sure time is managed carefully.

The Committee is often assumed to be the place to test ideas for which it does not have the skills.

<table>
<thead>
<tr>
<th>2. SKILLS AND EXPERIENCE</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>The mix of skills on the Committee allows it to effectively perform its assigned responsibilities.</td>
<td>Agree</td>
</tr>
<tr>
<td>The Committee has been able to analyse and critically evaluate information presented to it by management.</td>
<td>Agree</td>
</tr>
<tr>
<td>There is a clear process that Committee members can follow to access advice and / or training to improve their skills and knowledge.</td>
<td>Neither Disagree or Agree</td>
</tr>
<tr>
<td>The Committee’s overall financial literacy is adequate in light of its responsibilities.</td>
<td>Agree</td>
</tr>
<tr>
<td>The Committee has responded appropriately or taken the required action where significant risks and/or control breakdowns have been brought to its attention.</td>
<td>Agree</td>
</tr>
<tr>
<td>The Committee has access to appropriate internal and / or external resources to assist it in understanding and dealing with complex and difficult matters on a timely basis.</td>
<td>Agree</td>
</tr>
<tr>
<td>The Committee has shown an openness to new ideas and different views in its deliberations.</td>
<td>Agree</td>
</tr>
<tr>
<td>The Committee has been sufficiently probing and challenging in its deliberations.</td>
<td>Agree</td>
</tr>
<tr>
<td>The Committee demonstrated a positive attitude of continuous improvement in its dealings with management.</td>
<td>Agree</td>
</tr>
</tbody>
</table>

**Comments/Suggestions for improvement:**
N/A

---

**Finance Report on 2015 Performance**
# ANU FINANCE COMMITTEE’S RESULTS ON 2015 PERFORMANCE

## 3. UNDERSTANDING OF THE ANU

<table>
<thead>
<tr>
<th>Questions</th>
<th>Aggregated Responses</th>
</tr>
</thead>
<tbody>
<tr>
<td>New members of the Finance Committee are provided with sufficient information about the ANU and the higher education sector as part of induction program.</td>
<td>Agree</td>
</tr>
<tr>
<td>The Committee is well informed about financial and budgetary issues affecting the University</td>
<td>Agree</td>
</tr>
</tbody>
</table>

## 4. MEETING ADMINISTRATION & CONDUCT

<table>
<thead>
<tr>
<th>Questions</th>
<th>Aggregated Responses</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Committee has the appropriate number of meetings to properly discharge its duties.</td>
<td>Agree</td>
</tr>
<tr>
<td>The agenda-setting process allows for all necessary items to be included.</td>
<td>Agree</td>
</tr>
<tr>
<td>The Chair is actively involved in setting key agenda items for Committee consideration and approving the agenda for upcoming meetings.</td>
<td>Agree</td>
</tr>
<tr>
<td>The Committee receives agenda items and supporting papers with sufficient time prior to meetings.</td>
<td>Agree</td>
</tr>
<tr>
<td>Committee members are given the opportunity to be briefed prior to meetings and these briefings are useful.</td>
<td>Neither Disagree or Agree</td>
</tr>
<tr>
<td>The Committee agenda and supporting papers are of sufficient clarity and quality to make informed decisions.</td>
<td>Agree</td>
</tr>
<tr>
<td>The Committee meetings are well run and productive.</td>
<td>Neither Disagree or Agree</td>
</tr>
<tr>
<td>Committee minutes are appropriately maintained and of good quality.</td>
<td>Agree</td>
</tr>
<tr>
<td>The Corporate Governance &amp; Risk Office is responsive and provides adequate service delivery to support the Committee.</td>
<td>Agree</td>
</tr>
<tr>
<td>The agenda is structured to allow sufficient time to discuss the most complex and critical issues.</td>
<td>Agree</td>
</tr>
</tbody>
</table>

### Comments/Suggestions for improvement:

- I would prefer for the Chair to be slightly more inclusive.
- There have been some significant issues for consideration by the finance committee in the last 12 months and perhaps a larger time availability to consider those elements may have been beneficial (eg redevelopment of union court and implications of student accommodation)
- The meetings frequently go off track and consequently take longer on side issues than is desirable when there are so many large issues to be discussed
- Regularly, key issues that warrant detailed discussion are somewhat rushed. I don’t think we need to add time so much as reduce time spent on certain less important matters. / / One suggestion - when items appear regularly, it might be useful to clearly note at the start of the briefing note precisely what was agreed at the last meeting - to avoid revisiting these issues.
- Management has shown a few instances where communication of important issues with Committee/Council has been deficient.
- Generally, the quality of papers has improved over the last 12 months—more succinct. This has proven to be particularly challenging for the Campus redevelopment papers, with the last set presented at the combined Finance and Strategy committee meeting being well presented and focussed on key issues.

## 5. VICE-CHANCELLOR / COUNCIL COMMUNICATIONS

<table>
<thead>
<tr>
<th>Questions</th>
<th>Aggregated Responses</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Committee's communications to the Council / Vice-Chancellor about the Committee's deliberations and activity are of an appropriate quality.</td>
<td>Agree</td>
</tr>
</tbody>
</table>
ANU FINANCE COMMITTEE'S RESULTS ON 2015 PERFORMANCE

<table>
<thead>
<tr>
<th>QUESTIONS</th>
<th>Aggregated Responses</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Council / Vice-Chancellor is well informed, on a timely basis, of the Committee's deliberations and activities.</td>
<td>Neither Disagree or Agree</td>
</tr>
</tbody>
</table>

Comments/Suggestions for improvement:

- The VC has a tough job and has been very approachable
- Increased visibility and feedback on vice chancellor and council adoption of finance committee recommendations is something worthy of consideration

6. PERFORMANCE MONITORING

<table>
<thead>
<tr>
<th>QUESTIONS</th>
<th>Aggregated Responses</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Committee is provided with sufficient information to enable it to obtain assurance that the University is complying with the financial management aspect of the University's statutory and regulatory obligations.</td>
<td>Agree</td>
</tr>
<tr>
<td>There is sufficient detail in the financial reports received by the Committee to enable the Committee to discharge its responsibilities.</td>
<td>Agree</td>
</tr>
</tbody>
</table>

Comments/Suggestions for improvement:

- Financial reporting and budgets are very good. / / I have some concern about the robustness of cost controls in the university - which we should discuss at a meeting.
- Financial reports have improved.

7. EFFECTIVE CONSIDERATIONS

In which of the areas outlined below has the Committee added value to the ANU?

<table>
<thead>
<tr>
<th>Area</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Financial Performance Management</td>
<td>86%</td>
</tr>
<tr>
<td>Policies and practices</td>
<td>29%</td>
</tr>
<tr>
<td>Risk Management</td>
<td>86%</td>
</tr>
<tr>
<td>Control environment</td>
<td>43%</td>
</tr>
<tr>
<td>Legislative and policy compliance</td>
<td>14%</td>
</tr>
<tr>
<td>External accountability</td>
<td>57%</td>
</tr>
</tbody>
</table>
## ANU Finance Committee's Results on 2015 Performance

<table>
<thead>
<tr>
<th>Questions</th>
<th>Aggregated Responses</th>
</tr>
</thead>
</table>
| **8. General**                                                            | - Analysis, evaluation and realistic recommendations  
- Members of the committee have a broad cross section of skills and are equipped to analyse the issues coming to committee  
- Independent financial expertise of a high order  
- Diversity of membership and experience  
- Its independence of thought  
- Financial literacy and depth of practical financial experience of Committee members; external networks and relationships  
- Experience  
- Too risk adverse  
- A tendency to spend too much time on side tracks not enough on the big issues.  
- A tendency to get distracted / not focus on the main issues  
- Variable quality of materials presented to it.  
- Addressing the campus redevelopment issues--- believe this to be now significantly improved with new governance framework, better staging of this major project by management and improved presentation of papers to the Committee  
- Commonwealth policy regarding funding  
- I believe the recommendation of looking at core activities and pension fund P&L separately is important. This is being actioned.  
- The several major capital works underway  
- Cost controls  
- Stricter budget control and administrative reform.  
- Major projects and investment performance  
- Projects on hand  
- Have a planning session without mgt.  
- If significant issues arise for consideration I think being open to ad-hoc or additional meetings may be beneficial  
- Much as it already does with more discipline around time management  
- Closer liason between the Chair and the Executive in presentation of materials.  
- No  
- Although we should fill the vacancy  
- Understand one vacancy exists. Potentially could be filled by a CFO, current or recently retired, who has been in a significant change environment |

---

**ATTACHMENT 26.1**

930/2015

FINANCE REPORT ON 2015 PERFORMANCE
## ANU Finance Committee's Results on 2015 Performance

<table>
<thead>
<tr>
<th>Questions</th>
<th>Aggregated Responses</th>
</tr>
</thead>
</table>
| **Does the Finance Committee need to reconsider how it interacts with Council? If yes, how?** | - No  
- Better feedback  
- For finance committee members not on council it may be beneficial to have further feedback on the decisions that have been considered by finance committee |
| **Other comments / issues not covered above?**                             | Sub committee to deal with subsidiary reporting. Inadequate attention in 2015 despite considerable issues requiring attention. |

### 9. Overall Assessment

The Finance Committee is an effective Committee of Council  

| Agree |
27. AMENDMENT TO BURGMANN COLLEGE INCORPORATED RULES 2004

PURPOSE To consider recent amendments to the Burgmann College Inc. Rules 2004.

AUTHOR Bettina Söderbaum, Secretary, Burgmann College Inc.

SPONSOR Vice-Chancellor

RECOMMENDATION That Council approve the amendments to the Burgmann College Incorporated Rules 2004 following adoption of the attached Special Resolution dated 24 September 2015 by the Council of Burgmann College Incorporated.

ACTION REQUIRED For discussion ☐  For decision ☑  For information ☐

CONSULTATION Staff ☐  Students ☐  Alumni ☐  Government ☐  Other ☑  Not applicable ☐

The College has considered and resolved to adopt the amendments, subject to Council approval. The proposal is submitted under the sponsorship of the Vice-Chancellor, who has been involved in the matter leading to the proposed rule change.

BACKGROUND AND SUMMARY OF ISSUES

This item concerns an amendment to the College Rules which was adopted by the College Council at its meeting of 24 September 2015, and which now needs to be approved by the ANU Council, as it impinges on the College's financial administration.

1. Background
   1.1. Burgmann College ("the College") is an independent residential college affiliated with the ANU.
   1.2. The activities of the College are subject to and authorised by the Burgmann College Incorporated Rules 2004 ("the Rules").
   1.3. The Rules may be amended by special resolution of a general meeting of the Council of Burgmann College. Amendments may only become effective upon approval by the Council of the Australian National University.

2. Special Resolution dated 24 September 2015
   2.1. On 24 September 2015, the annual electoral (general) meeting of the Council of Burgmann College passed a special resolution to amend the Rules. The special resolution appears at Attachment 27.1. A marked-up version of the Rules appears at Attachment 27.2, and is provided for the purpose of placing the amendments in their context.

3. Summary of amendments
   3.1. This amendment changes our Rules to explicitly provide for use of derivatives.
   3.2. The College has operated with Interest Rate Swaps (IRS) in place in conjunction with loan arrangements with ANZ Bank since 2003 under the current College Rules. An IRS is a derivative that is a risk reduction mechanism for the College. It delivers certainty for both costs and cashflow.
   3.3. When re-financing our loan earlier this year the College was informed by ANZ that in recent years some courts have found that some derivative contracts were unenforceable by banks
against their clients where constitutions were silent on derivatives. Therefore ANZ made it a condition of the loan that the College amend our Rules to explicitly provide for derivatives.

ATTACHMENTS
27.1 Special Resolution of the Council of Burgmann College dated 24 September 2015 (977/2015).
27.2 Burgmann College Incorporated Rules 2004, marked-up to reflect proposed operation of Special Resolution dated 24 September 2015 (931/2015).

COMMUNICATION
For public release ☐   For internal release ☐   Not for release ☑
SPECIAL RESOLUTION TO AMEND BURGMANN COLLEGE INC. RULES 2004
Passed by the Council of Burgmann College at its annual electoral (general) meeting,
24 September 2015

The Council RESOLVED to amend rule 6.2 to insert a new subsection (o) as follows:
"(m) the purchase or acquisition, and undertaking, of all or any part of the property, assets,
liabilities, and engagements of any association with which Burgmann Council may at any time
become amalgamated in accordance with the provisions of the Act and these Rules; and

(n) the doing of all such other lawful things, including the employment or retaining of persons, as
are incidental or conducive to the attainment of those object; and

(o) the entrance into derivative transactions (including without limitation any interest rate or
currency swap or any "derivative" as defined in the Corporations Act 2001 (Cth)) for risk
management purposes and any hedging agreement or derivative master agreement governing
such derivative transactions."

SPECIAL RESOLUTION: BURGMANN COLLEGE COUNCIL
BURGMANN COLLEGE INCORPORATED RULES 2004

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<td></td>
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<tr>
<td>46</td>
<td>Vacancies</td>
<td>190</td>
</tr>
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<td>47</td>
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<td>191</td>
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<tr>
<td>49</td>
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<td>192</td>
</tr>
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BURGMANN COLLEGE INCORPORATED RULES 2004
PART 1: PRELIMINARY

1 Citation
1.1 These Rules are the Burgmann College Incorporated Rules 2004.

2 Commencement
2.1 These Rules commence on 1 January 2005.

3 Interpretation
3.1 In these Rules, unless the contrary intention appears:

academic staff of the College means the Principal, Deputy Principal and tutorial staff of the College;

Act means the Associations Incorporation Act 1991 of the Australian Capital Territory;

annual general meeting means an annual general meeting of Burgmann Council convened in accordance with rule 15;

Board of Management means the Board of Management of Burgmann Council constituted under rule 21;

[NOTE: For the Act, the Board of Management is the Committee of the Association.]

BRA means the Burgmann Residents’ Association Incorporated or, if that body ceases to exist, an Association with similar objects nominated by the Board of Management;

Burgmann Council means the Council of Burgmann College Incorporated, an association incorporated under the Act, being the Council for the College;

[NOTE: For the Act, Burgmann Council is the Association.]

College means the residential interdenominational college affiliated with the University, known as Burgmann College;

Convocation includes:

(a) the academic staff of the University who, after invitation by the Council, elect to become members of the Convocation of the College by notification to the Principal; and

(b) Alumni, being present and former resident student members of the College who have resided in the College for at least one year; and

(c) present and former full-time staff of the College who have been employed by the College for at least 1 year; and
(d) present and former members of Burgmann Council; and
(e) such other persons as a general meeting of Burgmann Council or a meeting of the Board of Management decides to invite, and who agree, to become members of the Convocation;

Councillor means a member of Burgmann Council under subrule 7.1;
executive staff means the Principal, Deputy Principal and such other executive staff as Burgmann Council or the Board of Management may from time to time nominate;
finance committee means the committee constituted under rule 26;
general meeting means an annual general meeting, a meeting mentioned in subrule 16.2 or a special general meeting, as the case requires;
guest means a person permitted by the Principal to lodge temporarily within the College;

member of Burgmann Council means a person referred to in subrule 7.1;
member of the College includes resident and non-resident members of the College;
non-resident member of the College includes those persons admitted to membership of the College in accordance with section 7 of the Statute;
officer of Burgmann Council means the officers referred to in subrule 8.1.
ordinary Board of Management member means a member of the Board of Management, other than an ex officio member;
ordinary member of staff means an employee of the College, except a member of the academic or executive staff;

postgraduate facilities means the residential accommodation constructed at the College in 2003 and 2004;
resident member of the College includes a resident of the College admitted to membership in a manner that does not contravene subsection 6(1) of the Statute or who is admitted to resident membership under subsection 6(2) of the Statute;
special general meeting means a special general meeting of Burgmann Council convened in accordance with rule 16;
special resolution means a resolution passed by three quarters of those personally present and voting;

Statute means the Residential Colleges (Affiliation) Statute;
student includes a member of the College proceeding to an award within the University;
University means the Australian National University.

3.2 If the context so requires, a reference to Burgmann Council includes a reference to the Association under the Burgmann College Incorporated Rules 1971 as amended and in force immediately before the commencement of these Rules

4 Notice

4.1 Notice, including notice of a meeting, may be given either personally or by sending it through the post in a pre-paid letter addressed to the intended recipient at his or her usual or last-known residential address, or by sending it by facsimile to his or her
usual or last-known facsimile number, or by sending it by e-mail to his or her usual or last-known e-mail address.

5 Participating churches

5.1 Each of the following is a participating church for these Rules:
   (a) the Anglican Church of Australia;
   (b) the Uniting Church in Australia;
   (c) the Presbyterian Church of Australia;
   (d) the Baptist Union of Australia;
   (e) the Churches of Christ in Australia.

5.2 A participating church may withdraw from participation after giving at least 12 months’ notice to Burgmann Council, and Burgmann Council may, from time to time, admit another Church into participation by resolution at a general meeting.

PART 2: BURGMANN COUNCIL

6 Objects of Burgmann Council

6.1 The objects of Burgmann Council are the provision, through the sponsorship of the participating Churches, of a residential College within and affiliated with the University, for undergraduate students, postgraduate students, University staff and guests, drawn from all over Australia and overseas, emphasising:
   (a) a vital community; and
   (b) pastoral care, including a chapel and chaplaincy service for the College community and, if possible, a wider University population; and
   (c) tuition; and
   (d) supervision of students, of a kind that involves maximum co-operation with student bodies and is flexible in meeting modern needs; and
   (e) theological work at an advanced academic level; and
   (f) the meeting of University persons with persons from outside the University world.

6.2 The powers of Burgmann Council in relation to the objects mentioned in subrule 6.1 include:
   (a) the purchase, taking on lease or in exchange, and the hiring or otherwise acquiring of any real or personal property; and
   (b) the buying, selling and supplying of, and dealing in, goods and services of all kinds; and
   (c) the construction, maintenance, and alteration of buildings or works; and
   (d) the accepting of any gift, whether subject to a special trust or not, for any one or more of those objects; and
(e) the taking of such steps from time to time as the Board of Management finds expedient for the purpose of procuring contributions to the funds of Burgmann Council, whether by way of donation, subscriptions, or otherwise; and

(f) the printing and publishing of such newspapers, periodicals, books, leaflets, or other documents as the Board of Management thinks desirable for the promotion of the objects of Burgmann Council; and

(g) the borrowing and raising of money in such manner and on such terms as the Board of Management thinks fit or as may be approved or directed by resolution passed at a general meeting; and

(h) subject to the provisions of the Trustee Act 1925 of the Australian Capital Territory, the investment of any moneys of Burgmann Council not immediately required for any of its objects or purposes in such a manner as the Board of Management may from time to time determine; and

(i) the making of gifts, subscriptions, or donations to any of the funds, authorities, or institutions to which Division 30 of the Income Tax Assessment Act 1997 of the Commonwealth relates; and

(j) the establishment and support, or aiding in the establishment and support, of associations, institutions, funds, trusts, schemes, and conveniences calculated to benefit employees or past employees of Burgmann Council and their dependants, and the granting of pensions, allowances, or other benefits to employees or past employees of Burgmann Council and their dependants, and the making of payments towards insurance in relation to any of those purposes; and

(k) the establishment and support, or aiding in the establishment or support of any other association formed for any of those objects; and

(l) the absorption of, affiliation with, amalgamation with or entering any other relation, whether formal or informal, with any company, institute, society, association or other body having similar objects or purposes and subscribing to become a member of or to cooperate with any such body, provided that:

(i) Burgmann Council must not absorb or amalgamate with any company, institute, society, association or other body unless the body prohibits the distribution of its income and property among its members; and

(ii) unless the prior consent of the Council of the University is obtained; and

(m) the purchase or acquisition, and undertaking, of all or any part of the property, assets, liabilities, and engagements of any association with which Burgmann Council may at any time become amalgamated in accordance with the provisions of the Act and these Rules; and

(n) the doing of all such other lawful things, including the employment or retaining of persons, as are incidental or conducive to the attainment of those objects; and
the entrance into derivative transactions (including without limitation any interest rate or currency swap or any "derivative" as defined in the Corporations Act 2001 (Cth)) for risk management purposes and any hedging agreement or derivative master agreement governing such derivative transactions.

6.3 However, the powers of Burgmann Council mentioned in subrule 6.2 are to be exercised:
   (a) by the Board of Management; and
   (b) in accordance with any strategic parameters or directions determined by Burgmann Council.

7 Membership of Burgmann Council

7.1 Burgmann Council consists of the following Councillors:
   (a) 12 Councillors chosen from among the participating churches;
   (b) 2 Councillors appointed by the Vice-Chancellor of the University;
   (c) the Principal of the College (ex officio);
   (d) the Deputy Principal of the College (ex officio);
   (e) 3 Councillors elected from the academic staff of the College by the academic and executive staff of the College, each of whom must be a resident member of the College;
   (f) 4 Councillors chosen by and from Convocation, at least 2 of whom must be former residents of the College;
   (g) the President of the BRA (ex officio);
   (h) 5 Councillors (not being members of the academic and executive staff of the College), elected, in a manner approved by Burgmann Council, by the resident members of the College (including the academic and executive staff of the College) from among their number, provided that at least 1 of these Councillors shall be resident in the postgraduate facilities and at least 1 of these Councillors shall be resident elsewhere in the College;
   (i) 5 additional persons elected by Burgmann Council.

7.2 Each participating church must nominate a person or body in the church to appoint Councillors for paragraph 7.1(a).

7.3 For paragraph 7.1(a), Burgmann Council may determine the number of persons that a person or body mentioned in subrule 7.2 may, for a participating church, appoint as Councillors.

7.4 Councillors, other than those who hold ex officio appointments and persons elected under paragraphs 7.1(e) and 7.1(h), hold office for 4 years.

7.5 Councillors elected under paragraphs 7.1(e) and 7.1(h) hold office for 1 year.
7.6 A Councillor’s term of office commences on 1 January next following his or her appointment.

7.7 Councillors are eligible for reappointment.

7.8 A person elected under paragraph 7.1(e) or 7.1(h) ceases to be a Councillor on ceasing to be a resident member of the College.

7.9 A right, privilege, or obligation of a person obtained by virtue of holding a position as a Councillor:
   (a) is not capable of being transferred or transmitted to another person; and
   (b) terminates upon the person ceasing to be a Councillor.

8 Officers of Burgmann Council

8.1 The following officers of Burgmann Council must be elected by and from the Councillors at a general meeting mentioned in subrule 16.2:
   (a) a Chair;
   (b) a Secretary;
   (c) a Treasurer.

8.2 Each officer of Burgmann Council holds office for 2 years commencing on 1 January next following the officer’s election (or until he or she ceases to be a Councillor, whichever first occurs), and may be eligible for re-election.

9 The Principal

9.1 The Principal of the College is to be appointed by a general meeting of Burgmann Council and must have qualifications for participating, where appropriate, in the academic life of the University.

9.2 The Principal is the chief executive officer, and a member, of the College.

9.3 The staff of the College and those occupied in the work and conduct of the College are under the general control of the Principal.

9.4 Subject to the Orders, the Principal may, on behalf of the Board of Management, appoint and dismiss members of the staff and is responsible to the Council for the good government of the College.

9.5 The Principal, in the conduct of his or her office, is subject to the general control and authority of the Board of Management.
10 The Deputy Principal

10.1 For paragraph 7.1(d), if there is no Deputy Principal, the Staff Tutor, Dean or person holding an equivalent office or if there is more than one person holding such an office, the most senior appointee, is to be regarded as the Deputy Principal.

11 The Public Officer

11.1 For the purposes of the Act, the Secretary, or another Councillor determined by the Board of Management, is the Public Officer of Burgmann Council.

12 The Visitor

12.1 Burgmann Council must, from time to time, appoint a suitable person to act as the Visitor to the College for the term and for the purposes determined by Burgmann Council.

12.2 The Visitor may perform such functions as the Council of the University from time to time approves.

[See paragraph 10(1)(b) of the Residential Colleges (Affiliation) Statute 2007.]

13 Burgmann Council’s office

13.1 The registered office of Burgmann Council is to be at the College or at such other place as the Board of Management from time to time determines.

14 Seal of Burgmann Council

14.1 The Seal of Burgmann Council is to be in the form of a rubber stamp, inscribed with the name of Burgmann Council encircling the word ‘seal’.

14.2 The Seal of Burgmann Council is not to be affixed to any instrument except by the authority of the Board of Management.

14.3 The affixing of the Seal to any document must be attested by 2 members of the Board of Management or 1 member of the Board of Management and the Public Officer or such other person as the Board of Management may appoint for that purpose.

14.4 The attestation of the application of the Seal is sufficient evidence for all purposes that the Seal was affixed by the authority of the Board of Management.

14.5 The Seal must remain in the custody of the Secretary.

14.6 The Secretary must keep a record of each affixing of the Seal and the authority by which the Seal was affixed.
15  **Annual general meeting**

15.1 Burgmann Council must hold an annual general meeting in March in each year on a day determined by the Board of Management.

15.2 The annual general meeting must be specified as such in the notice convening it.

15.3 The ordinary business of the annual general meeting is:
   (a) to confirm the minutes of the last preceding general meeting;
   (b) to receive from the Board of Management, Auditor, and employees of Burgmann Council reports upon the transactions of Burgmann Council during the last preceding financial year; and
   (c) to appoint the Auditor.

15.4 The annual general meeting may transact ordinary business and other business of which notice is given with the notice of the meeting.

16  **General meetings and special general meetings**

16.1 All general meetings other than the annual general meeting and the meeting mentioned in subrule 16.2 are to be called *special general meetings*.

16.2 Burgmann Council must hold a general meeting in September in each year on a day determined by the Board of Management.

16.3 The ordinary business of a general meeting held in September in a year includes the election of the officers of Burgmann Council (if their terms are to expire before 1 January next following the general meeting) and the election of ordinary Board of Management members.

16.4 The Board of Management may convene a special general meeting whenever it thinks fit.

16.5 The Board of Management must, on the request of the Principal or on the request in writing of not less than 6 Councillors, convene a special general meeting.

16.6 A request for a special general meeting must state the objects of the meeting and be signed by the persons requesting it and must be lodged at the office of Burgmann Council.

16.7 If the Board of Management does not convene a special general meeting within 21 days from the date on which a request is lodged at the office of Burgmann Council, the persons making the request, or any of them, may convene the meeting; but any meeting so convened must not be held after 3 months from the date of the lodging of the request.

16.8 A special general meeting convened under subrule 16.7 must be convened in a manner similar to that in which those meetings are convened by the Board of
Management, and all reasonable expenses incurred in convening the meeting are to be refunded by Burgmann Council to the persons incurring them.

16.9 A general meeting and a special general meeting may transact ordinary business and other business of which notice is given with the notice of the meeting.

16.10 A special general meeting may not be convened without the concurrence of the Principal unless the meeting is convened when the Principal is unable to attend through death, incapacity or absence overseas, or when the terms and conditions of his or her dismissal are to be discussed.

16.11 The notice of a general meeting is to include a call for nominations for any positions to be filled by election at that meeting.

PART 3: THE COLLEGE

17 Affiliation with the University
17.1 The College must seek to remain affiliated to the University under the Statute.

18 Compliance with Statute
18.1 The Board of Management must ensure that the College complies with sections 6 to 10 of the Statute.

[NOTE: Sections 6 to 10 of the Statute provide variously for membership of the College, that a religious test may not be imposed on members, the establishment of a tutorial system and the constitution of the College and the appointment of a Visitor.]

19 Expulsion of members of the College
19.1 The Principal may terminate a person’s membership of the College for reasonable cause.

19.2 In subrule 19.1, a reference to reasonable cause includes, but is not limited to, a reference to:
   (a) unsatisfactory academic progress; or
   (b) the failure by a member to pay any fee or charge payable by that member within 30 days after the due date for payment; or
   (c) behaviour that Burgmann Council or the Board of Management regards as being contrary to the interests of the College.

19.3 The Orders may set out other reasons, and the method the Principal must adopt, for terminating the membership of a member of the College.

19.4 If a person’s membership is terminated, the person ceases to be a member when the person is informed by the Principal accordingly.
19.5 A person whose membership of the College is terminated may not, without the express permission of the Principal, reside at the College or enter or remain on the premises of the College.

19.6 The termination of a person’s membership does not affect the person’s liability for any fees or charges:
   (a) payable by the person; and
   (b) falling due before the termination of his or her membership.

19.7 Orders under subrule 19.3 must set out the right of a person to appeal the decision to terminate the person’s membership and must provide for the conduct of the appeal by the Board of Management or a panel appointed for the purpose by the Board of Management.

19.8 Orders under subrule 19.3 must also provide that notice of an appeal by a resident member must be lodged with the Secretary within a specified number of days, not being fewer than 14, of the decision to terminate the person’s membership being notified to that member.

PART 4: THE BOARD OF MANAGEMENT

20 Powers of the Board of Management

20.1 The affairs of Burgmann Council are to be managed by the Board of Management.

20.2 The Board of Management may engage and employ for any of the purposes of the College such persons and on such terms as it may from time to time think fit.

[NOTE: Subrule 9.4 provides for the Principal to appoint and dismiss staff on behalf of the Board of Management.]

20.3 The Board of Management is responsible for the finances of the College.

20.4 The Board of Management:
   (a) may do everything necessary or convenient to further the objects of Burgmann Council set out in subrule 6.1; and
   (b) may exercise the powers and functions that may be exercised by Burgmann Council, other than those powers and functions that are required by these Rules to be exercised by general meetings of Councillors; and
   (c) may perform all such acts and things as appear to the Board of Management to be essential for the proper management of the business and affairs of Burgmann Council; and
   (d) may appoint, subject to ratification by Burgmann Council, a person to act as Principal if the Principal is absent from the College, is ill, or is otherwise
unable to perform his or her duties, or if there is any vacancy in the office of Principal.

21 Constitution of the Board of Management

21.1 The Board of Management is to consist of:
   (a) the officers of Burgmann Council;
   (b) 1 of the Burgmann Councillors appointed by the Vice-Chancellor of the University;
   (c) the president of the BRA;
   (d) 2 Councillors, being representatives of the resident members of the College, at least one of whom is to be a representative of the academic staff;
   (e) 4 other Councillors;
   (f) the Principal; and
   (g) the Deputy Principal.

provided that at least 1 member of the Board of Management is to be a representative of 1 of the participating churches.

21.2 The ordinary Board of Management members are to be elected by and from Burgmann Councillors at a general meeting mentioned in subrule 16.2.

21.3 If the Board of Management member referred to in paragraph 21.1(b) is not present at a meeting of the Board of Management, the other Burgmann Councillor appointed by the Vice-Chancellor of the University may take the place of that member at that meeting, and may vote on questions arising at that meeting.

21.4 Each ordinary Board of Management member holds office for 1 year commencing on 1 January next following the member’s election (or until the member ceases to be eligible to be a Councillor, whichever first occurs), and may be eligible for re-election.

22 Meetings of the Board of Management

22.1 The Board of Management is to meet at least 10 times in each calendar year as determined by the Board of Management.

22.2 A special meeting of the Board of Management may be convened by the Chair or by the Principal or by any 4 of its members.

22.3 Notice is to be given to members of the Board of Management of any special meeting, specifying the time and place for the meeting and the general nature of the business to be transacted.

22.4 Within 14 days after a meeting of the Board of Management, the Chair must send to each Councillor the minutes of the meeting (whether or not the minutes have been confirmed).
22.5 A meeting of the Board of Management may not be convened without the concurrence of the Principal unless the meeting is convened when the Principal is unable to attend through death, incapacity or absence overseas or when the terms and conditions of his or her dismissal are to be discussed.

PART 5: THE EXECUTIVE COMMITTEE

23 Constitution of the Executive Committee
23.1 The officers of Burgmann Council, the Principal and the President of the BRA constitute the Executive Committee of Burgmann Council.

24 Powers of the Executive Committee
24.1 The Executive Committee may direct the Public Officer and the employees of Burgmann Council in matters of urgency connected with the management of the affairs of Burgmann Council during the intervals between meetings of the Board of Management.

24.2 If any such instructions are issued, the Executive Committee must report on the circumstances and the outcome of the matter to the next meeting of the Board of Management.

24.3 The Board of Management may delegate any of its powers and functions to the Executive Committee except the power to make Orders and this power of delegation.

PART 6: COMMITTEES

25 Committees
25.1 Burgmann Council or the Board of Management may, at any time, appoint a committee from among its members.

25.2 Burgmann Council or the Board of Management may, when appointing a committee:
   (a) appoint 1 of the members of that committee as the chair of the committee; and
   (b) specify the terms, not exceeding 2 years, that members may serve on the committee and whether members of committee are eligible for reappointment; and
   (c) co-opt as non-voting members of the committee such persons as it thinks fit, whether or not those persons are Councillors.
25.3 The Chair of Burgmann Council has the right to attend, address and vote at any meeting of a committee.

25.4 The Principal has the right to attend and address, but not vote, at a meeting of a committee.

26 Finance and Audit and Risk Committees

26.1 There is to be a finance committee, appointed by Burgmann Council or the Board of Management and chaired by the Treasurer.

26.2 The finance committee is responsible for assisting the Treasurer in financial matters and the preparation of the budget.

26.3 There is to be an Audit and Risk committee, appointed by Burgmann Council or the Board of Management and chaired by a person appointed by the Council or Board of Management.

26.4 The Audit and Risk committee is responsible for assisting the Council or Board with compliance with regulatory and management requirements.

PART 7: FINANCES ETC.

27 Financial year

27.1 The financial year of Burgmann Council ends on 31 December in each year.

28 Income and property of Burgmann Council

28.1 The assets and income of Burgmann Council are to be applied solely in furtherance of the objects and purposes of Burgmann Council and no portion may be distributed directly or indirectly to Burgmann Councillors except as bona fide compensation for services rendered or expenses incurred on behalf of Burgmann Council.

28.2 Burgmann Council must not:
   (a) appoint a person who is a Councillor to any office in the gift of Burgmann Council to the holder of which there is payable any remuneration by way of salary, fees or allowances, or
   (b) pay to any such person any remuneration or other benefit in money or money’s worth (other than the repayment of out-of-pocket expenses).

28.3 Nothing in this rule prevents the payment in good faith to an employee of Burgmann Council, the College or a Councillor for:
   (a) remuneration in return for the services as employee of Burgmann Council whether as Principal or as a member of the academic, executive or ordinary staff of the College, if those services have actually been or are being
rendered to the College by that person, or for goods supplied to Burgmann Council (which are necessary to enable Burgmann Council to fulfil its objects) by the employee or Councillor in the ordinary course of business; or

(b) interest at a rate not exceeding the current bank rate on moneys lent to Burgmann Council by the employee or Councillor; or

(c) a reasonable and proper sum by way of rent for premises let to Burgmann Council by the employee or Councillor.

29 Winding up

29.1 If Burgmann Council is wound-up, no member is liable to contribute towards the payment of its debts and liabilities, or the costs, charges and expenses of the winding-up.

29.2 If Burgmann Council is wound up, any surplus assets remaining after the payment of Burgmann Council’s liabilities are to be transferred to the University for distribution to another organisation with similar purposes.

30 Accounts of receipts, expenditure, etc.

30.1 True accounts must be kept:

(a) of all sums of money received and expended by Burgmann Council and the matter in respect of which the receipt of expenditure takes place; and

(b) of the property, credits and liabilities of Burgmann Council

and, subject to any reasonable restrictions as to time and manner of inspecting them that may be imposed by the Board of Management, those accounts are to be open to the inspection of the Councillors.

30.2 The Treasurer of Burgmann Council must keep all general records, accounting books, and records of receipts and expenditure connected with the operations and business of Burgmann Council as directed by the Board of Management.

30.3 The accounts, books and records referred to in subrules 30.1 and 30.2 must be kept at Burgmann Council’s office or at such other place as the Board of Management determines.

31 Banking and finance

31.1 The Treasurer of Burgmann Council must, on behalf of Burgmann Council receive all moneys paid to Burgmann Council and issue relevant receipts.

31.2 The Board of Management must open a banking account in the name of Burgmann Council into which all moneys received are to be paid by the Treasurer as soon as possible after receipt.

31.3 The Board of Management may direct the limits on authorities to pay money from its accounts and must authorise or ratify all such payments.
31.4 However, any amount of capital expenditure exceeding 10% of the annual turnover of Burgmann Council in the previous financial year must not be made without the approval of Burgmann Council.

31.5 All cheques, drafts, bills of exchange, promissory notes, and other negotiable instruments must be signed by any 2 of those persons authorised by the Board of Management to sign on its behalf.

32 Disclosure of interest in contracts etc.

32.1 If a Councillor has any direct or indirect pecuniary interest in a contract or proposed contract to which Burgmann Council is or may be a party that Councillor must:

(a) if the Councillor is a member of the Board of Management, as soon as the interest becomes apparent to him or her—disclose the nature and extent of the interest to the Board of Management; and

(b) disclose the nature and extent of the interest at the next general meeting of Burgmann Council.

32.2 No member of Burgmann Council or the Board of Management may vote as a member of Burgmann Council or the Board of Management in respect of any contract or arrangement in which he or she is interested and if he or she does so vote his or her vote must not be counted.

33 Auditor

33.1 At each annual general meeting of Burgmann Council the Councillors present must appoint a person who is qualified under subsections (2) and (3) of section 74 of the Act and who is not a Councillor, as the Auditor of Burgmann Council.

33.2 A person so appointed holds office until the annual general meeting next after that at which he or she is appointed, and is eligible for reappointment.

33.3 If an appointment is not made at an annual general meeting the Board of Management must appoint an Auditor of Burgmann Council for the then current financial year of Burgmann Council.

33.4 The Auditor may only be removed from office by resolution at a general meeting of Burgmann Council.

33.5 If a casual vacancy occurs in the office of Auditor during the course of a financial year of Burgmann Council, the Board of Management must appoint another person as the Auditor and the person so appointed holds office until the next succeeding annual general meeting.
34  Audit of accounts

34.1 At least once in each financial year of Burgmann Council, the accounts of Burgmann Council must be examined by the Auditor.

34.2 The Auditor must certify as to the correctness of the accounts of Burgmann Council and is to report on those accounts to the Councillors present at the annual general meeting.

34.3 In the Auditor’s report, and in certifying to the accounts, the Auditor must state:
   (a) whether he or she has obtained the information required by the Auditor;
   (b) whether, in the Auditor’s opinion, the accounts are properly drawn up so as to exhibit a true and correct view of the financial position of Burgmann Council according to the information at his or her disposal and the explanations given to the Auditor and as shown by the books of Burgmann Council; and
   (c) whether the rules relating to the administration of the funds of Burgmann Council have been observed.

34.4 The Treasurer of Burgmann Council must deliver to the Auditor a list of all the accounts, books and records of Burgmann Council.

34.5 The Auditor:
   (a) has a right of access to the accounts, books, records, vouchers and documents of Burgmann Council;
   (b) may require from the employees of Burgmann Council such information and explanations as may be necessary for the performance of his or her duties as Auditor;
   (c) may employ persons to assist him or her in investigating the accounts of Burgmann Council; and
   (d) may, in relation to the accounts of Burgmann Council, examine any member of the Board of Management or any employee of Burgmann Council.

35  Custody of documents

35.1 The Secretary has custody of any books, documents or securities of Burgmann Council, excluding those referred to in rule 30 kept by the Treasurer.

35.2 The books, documents and securities referred to in subrule 35.1 are to be kept at Burgmann Council’s office or at such other place as the Board of Management determines.
36 Inspection of documents

36.1 Upon receipt of a request in writing from a Councillor, the Secretary must within 14 days grant to the Councillor access to books or documents produced by Burgmann Council, its officers or employees.

36.2 However, the Secretary may restrict access to protect the confidentiality of any books or documents.

36.3 Access to any books or documents not produced by Burgmann Council, its officers or employees, but which have been submitted to or are held by Burgmann Council explicitly or implicitly in confidence, may only be granted with the permission of the person or persons who produced those books or documents.

36.4 All disputes concerning access to books or documents are to be resolved by the Board of Management.

PART 8: MEETINGS

37 Application of this Part

37.1 Unless the contrary intention appears, this Part applies to all general meetings, meetings of the Board of Management, meetings of the Executive Committee, and meetings of committees.

38 Chair

38.1 The Chair of Burgmann Council is to chair every meeting.

38.2 However, the Councillor who is specified as the Chair of a committee under paragraph 25.2(a) or subrule 26.1 is to chair meetings of that committee.

38.3 Also, if the Chair who is required to chair a meeting is absent from a meeting (or part of a meeting) or declares that he or she does not wish to chair that meeting (or part of that meeting), or if the meeting is of a committee and no chair has been appointed under paragraph 25.2(a), the Councillors present at that meeting may elect 1 of their number to chair that meeting (or part of that meeting).

39 Notice

39.1 The Chair of a meeting must give all people entitled to attend the meeting notice of a meeting.

39.2 For general meetings, at least 14 days’ notice is to be given.

39.3 In all other cases, reasonable notice is to be given.
40 Quorum

40.1 No item of business may be transacted at a meeting unless a quorum of Councillors entitled under these Rules to vote at the meeting is personally present during the time when the meeting is considering that item.

40.2 A quorum for a general meeting is at least one third of the Councillors.

40.3 A quorum for a meeting of the Board of Management is 6 members of the Board of Management.

40.4 A quorum for a meeting of the Executive Committee is 3 members of the Executive Committee.

40.5 A quorum for a meeting of a committee (including the Finance Committee) is, unless Burgmann Council or the Board of Management otherwise determines, at least half of the Councillors appointed to that committee.

40.6 If within 1 hour after the appointed time for the commencement of a meeting a quorum is not present, the meeting:

(a) if it is a special general meeting, is to be dissolved; and
(b) in any other case, stands adjourned to a day in the next week, at the same time and place or at another time and place determined by the Chair at the time of the adjournment or by written notice to Councillors given before the day to which the meeting is adjourned, and if at the adjourned meeting a quorum is not present within 1 hour after the time appointed for the commencement of the meeting, the meeting is to be dissolved.

41 Adjournment

41.1 The Chair of a meeting at which a quorum is present may, with the consent of the meeting, adjourn the meeting from time to time and place to place, but no business may be transacted at an adjourned meeting other than the business left unfinished at the meeting at which the adjournment took place.

41.2 If a meeting is adjourned for 14 days or more, notice of the adjourned meeting must be given to all people entitled to attend the meeting.

41.3 However, it is not necessary to give any notice of an adjournment or of the business to be transacted at an adjourned meeting.

42 Determination of questions arising

42.1 A question arising at a meeting is to be determined on a show of hands or (at the request of any Councillor, before the show of hands or on the declaration of the result of the show of hands) by the taking of a poll.
42.2 After a show of hands, or the taking of a poll, the Chair must declare that the resolution has been carried, or carried unanimously, or carried by a particular majority, or lost.

43 Votes
43.1 At a meeting, a Councillor has 1 vote on a resolution only.
43.2 However, the Chair of a meeting has a deliberative as well as a casting vote.
43.3 All votes must be given personally.
43.4 No member of the executive staff other than the Principal and Deputy Principal may vote at a meeting, although they may be heard.

44 Taking of poll
44.1 If at a meeting, a poll on any question is requested it must be taken at that meeting in a manner determined by the Chair, and the result of the poll is to be regarded as being the resolution of the meeting on that question.
44.2 However, if at least one third of the Councillors present at the meeting and entitled to vote request it, the Chair must determine a manner of taking the poll that ensures that the votes of individual Councillors are not revealed.

45 When poll to be taken
45.1 A poll that is requested on the election of a Chair, or on a question of adjournment, must be taken immediately, and a poll that is requested on any other question must be taken before the close of the meeting as directed by the Chair.

PART 9: VACANCIES

46 Vacancies
46.1 A Councillor may at any time resign from Burgmann Council by writing to the Secretary (or, in the case of the Secretary, to the Chair).
46.2 An officer of Burgmann Council may at any time resign from his or her office by writing to the Secretary (or, in the case of the Secretary, to the Chair).
46.3 A member of the Board of Management or of a committee may resign his or her position on the Board or committee by writing to the Secretary (or, in the case of the Secretary, to the Chair).
46.4 A Councillor’s seat becomes vacant if he or she:
   (a) dies; or
   (b) becomes bankrupt or applies to take or takes advantage of any law relating
to bankrupt or insolvent debtors or compounds with his or her creditors, or
makes any assignment of his or her estate for their benefit; or
   (c) becomes of unsound mind; or
   (d) resigns his or her office by writing to the Secretary (or, in the case of the
Secretary, to the Chair).

46.5 If a Councillor is absent from 3 consecutive general meetings without leave of
absence or good cause shown, his or her seat may be declared vacant, by Burgmann
Council or by the Board of Management.

46.6 If a member of the Board of Management is absent from 4 consecutive meetings
of the Board without leave of absence or good cause shown, his or her position on the
Board may be declared vacant by the Board.

47 Removal of persons from office
47.1 Burgmann Council may remove from office:
   (a) an officer of Burgmann Council; and
   (b) the Principal; and
   (c) a member of the Board of Management; and
   (d) a member of a Committee;
if the person concerned is in breach of these Rules or otherwise by resolution of
Burgmann Council for inappropriate behaviour.

48 Filling casual vacancies
48.1 If a casual vacancy arises in an office of Councillor, another person must be
appointed to fill the vacancy by the original appointing body.

48.2 If a casual vacancy occurs in the office of one of the officers of Burgmann
Council, Burgmann Council must appoint a Councillor to the vacant office.

48.3 If a casual vacancy occurs in the office of an ordinary Board of Management
member, Burgmann Council or the Board of Management may appoint a Councillor to
the vacant office.

48.4 If a casual vacancy arises on a committee, Burgmann Council or the Board of
Management may appoint a Councillor to fill the vacancy.

48.5 A person appointed to fill a casual vacancy under this rule is appointed for the
remainder of the term to which his or her predecessor had been appointed or elected and
is be eligible for re-appointment or re-election.
PART 10: ORDERS

49 Orders
49.1 The Board of Management may make Orders, not inconsistent with these Rules, relating to the governance or ordering of the College.
49.2 However, no Order affecting the Principal may be made or amended without the Principal’s concurrence.
49.3 If an Order is made under these Rules, a copy of it must be sent as soon as possible after it is made to the Council and Boards Secretariat of the University.

PART 11: AMENDMENT OF RULES

50 Amendment of rules
50.1 These Rules may be amended by special resolution of a general meeting.
50.2 No amendment is to become effective until approved by the Council of the University.
50.3 At least 21 days’ written notice of any proposed amendment of these Rules must be sent to all Councillors.
50.4 However, no rule affecting the Principal may be amended during the Principal’s term of employment without the Principal’s concurrence.
28. HONORARY DEGREES POLICY AMENDMENT

PURPOSE
To consider an amendment to the Honorary Degrees Policy.

PREPARED BY
Manager, Corporate Governance and Policy

REVIEWED BY
Director, Corporate Governance and Risk Office

APPROVED BY
Chancellor

SPONSOR
Chancellor

RECOMMENDATION
Subject to recommendation by the Honorary Degrees Committee, that Council approve the amendment to the Honorary Degrees Policy to provide that the awarding of an honorary degree to a person who is when nominated, a member of the staff of the University is only considered in exceptional circumstances.

ACTION REQUIRED
For discussion ☑️ For decision ☑️ For information ☐

CONSULTATION
Staff ☐ Students ☐ Alumni ☐ Government ☐ Other ☑️ Not applicable ☐

The amendment to the Honorary Degrees Policy is being considered by the Honorary Degrees Committee is not substantial, and so wider consultation has not occurred.

BACKGROUND
The Honorary Degrees Framework (of which the Honorary Degrees policy forms part), was adopted by Council on 29 May 2015. Subsequent to this approval, the Honorary Degrees Committee is further considering the application of the policy and the prospect for further amendment. The Committee will consider a proposed amendment at its meeting on 3 December 2015, and its recommendation will be conveyed to Council at the 4 December meeting.

SUMMARY OF ISSUES
The former Honorary Degrees Rules 2014 (which were repealed by the Honorary Degrees Rules 2015) provided that:

*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.*

In the process of writing the new (current) Honorary Degrees Framework, this provision was omitted from policy. Subject to the recommendation of the Honorary Degrees Committee at its meeting on 3 December 2015, Council is asked to consider an amendment to the policy which would not wholly rule out the prospect of awarding an honorary degree to a member of staff of the University, but to only do so, in exceptional circumstances.

ATTACHMENT
28.1 Amended Honorary Degrees Policy (943/2015).

COMMUNICATION
For public release ☐ For internal release ☑️ Not for release ☐
An internal communication will not be released. However the policy will be posted to the Council and Council Committee webpages and the University’s Policy Library (website), consistent with standard practice.
Policy: Honorary degrees

Purpose
To outline the standards which underpin the awarding of honorary degrees at ANU.

Overview
This policy sets out principles that underpin the awarding of honorary degrees to highly eminent individuals in recognition for their significant contributions to the work, reputation or standing of the University; for their outstanding achievement as a scholar; or for their outstanding contributions in the service of society.

Scope
This policy is to apply to all nominations and awards of honorary awards under the Honorary Degree Rules 2015.

Policy statement
1. The University confers four kinds of honorary doctorate:

<table>
<thead>
<tr>
<th>Honorary Award</th>
<th>Honorary Doctor of Science</th>
<th>Honorary Doctor of Letters</th>
<th>Honorary Doctor of Laws</th>
<th>Honorary Doctor of the University</th>
</tr>
</thead>
<tbody>
<tr>
<td>Eligibility</td>
<td>Highly eminent individuals who have made an exceptional contributions to science that is recognised internationally</td>
<td>Highly eminent individuals who have made an exceptional contributions to a disciplinary or interdisciplinary field or endeavour, including legal learning but excluding science that is recognised internationally</td>
<td>Highly eminent individuals who have made an exceptional contributions in public service or the practice of law that is recognised nationally or internationally</td>
<td>Highly eminent individuals who have made an exceptional contributions to the work, standing or reputation of the University that is recognised nationally or internationally</td>
</tr>
<tr>
<td>Postnominals</td>
<td>HonDSc</td>
<td>HonLittD</td>
<td>HonLLD</td>
<td>HonDUniv</td>
</tr>
</tbody>
</table>
Use of title

2. Use of the title “Dr”, associated with an honorary degree of the University, is only permitted when participating in an activity or event associated with the University.

Limitations on eligibility

3. An Honorary Doctor of Science is to be awarded only with regards to the disciplinary fields of science, technology, engineering or mathematics.

4. In rare cases, the University may award an honorary degree to a serving politician or public servant.

5. The award of an honorary degree to a person who is, when nominated, a member of the staff of the University, is only considered in exceptional circumstances.

Conferral

5.6. An honorary degree is not conferred in absentia.

6.7. An honorary degree is conferred posthumously if the secretary of the Honorary Degrees Committee had received the relevant proposal before the death of the nominee.
PART 5 – OTHER MATTERS FOR NOTING

*C29 - 30.  Confidential to Council Members
**31. REPORT ON RESEARCH GRANT FUNDING**

**PURPOSE**
To consider updates on Australian Research Council and National Health and Medical Research Council schemes.

**PREPARED BY**
Executive Officer to the Deputy Vice-Chancellor (Research)

**REVIEWED BY**
Deputy Vice-Chancellor (Research)

**APPROVED BY**
Deputy Vice-Chancellor (Research)

**SPONSOR**
Vice-Chancellor

**RECOMMENDATION**
That Council note the updates on funding for Australian Research Council and National Health and Medical Research Council schemes.

**ACTION REQUIRED**
For discussion ☐ For decision ☐ For information ☑

**CONSULTATION**
Staff ☐ Students ☐ Alumni ☐ Government ☐ Other ☐ Not applicable ☑

**BACKGROUND**

The Australian Research Council (ARC) and the National Health and Medical Research Council (NHMRC) are Australia’s two most important funders of competitive research grants, announcing over $1 billion in research grant funding each year. ANU reported 2014 research income of $81 million for ARC, and $14 million for NHMRC.

A paper was provided to Council meeting of May 2015 outlining the major round grant applications. Major grant schemes were announced in late October and early November.

**FUNDING SNAPSHOT**

ANU is maintaining a strong position in the sector for ARC grants and fellowships, but is well behind Group of Eight competitors for NHMRC grants and fellowships.

The graphs below show total ARC/NHMRC funding across all schemes announced in 2015, as at 11 November 2015. 50 ARC Future Fellowships (across the sector) will be announced later in November.
Figure 1 – Group of Eight comparison of ARC and NHMRC Funding Announced in 2015

*ARC excludes targeted Special Research Initiatives; Future Fellowships TBA at time of writing.

COMMENTARY

The Commonwealth Government is not growing ARC and NHMRC funding pools, and is increasingly targeting funding to strategic priorities (such as dementia research, and industry partnerships). As a result, success rates for ARC and NHMRC competitive grants are down on previous years and total funding for ARC and NHMRC cannot be expected to increase for future years.

ANU is excellent in the ARC Discovery Programme, but is well below par for schemes requiring industry engagement and partnerships, particularly ARC Linkage Projects, ARC Industrial Transformation Research Program (ITRP) and NHMRC Partnership Grants. This reflects the University’s history and culture of basic research. Further support is being provided to encourage and support industry and business partnerships through Innovation ANU; this includes targeting competitive grants tied to industry as well as direct contract research.

The footprint of ANU health and medical research is small relative to competitors. Strategic initiatives were put in place in late 2014 and early 2015 to increase application numbers and support quality applications. Strategies include structured peer review of proposals, grant writing workshops targeted to early-career researchers, staff mentoring, and offers of temporary safety-net positions at the completion of fellowships. As a result, NHMRC fellowship applications increased from 17 last year to 36 this year; however, the total number awarded only increased from 4 to 7 in an increasingly difficult funding climate. ANU success rates for NHMRC Project Grants were well below sector averages (8.3% compared to 13.7%), however the John Curtin School of Medical Research achieved a good success rate of 16.7%.

ATTACHMENT

31.1 – Appendix 1: ARC and NHMRC 2015 Outcomes Summary (934/2015).

COMMUNICATION

For public release ☐ For internal release ☐ Not for release ☑
Appendix 1. ARC and NHMRC Summary of Key Outcomes

ARC Outcomes Summary

<table>
<thead>
<tr>
<th>Scheme</th>
<th>ANU Applications Assessed</th>
<th>ANU Applications Successful</th>
<th>ANU Amount awarded</th>
<th>Sector Funding ($ millions)</th>
<th>Proportion of sector funding</th>
<th>ANU Success Rate</th>
<th>National Success Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>Discovery Projects</td>
<td>238</td>
<td>60</td>
<td>$23,665,031</td>
<td>$244,935,035</td>
<td>9.67%</td>
<td>25.21%</td>
<td>17.7%</td>
</tr>
<tr>
<td>Discovery ECR Awards</td>
<td>88</td>
<td>21</td>
<td>$7,568,237</td>
<td>$70,736,647</td>
<td>10.7%</td>
<td>23.9%</td>
<td>16.4%</td>
</tr>
<tr>
<td>Discovery Indigenous</td>
<td>0</td>
<td>0</td>
<td>$0</td>
<td>$4,059,356</td>
<td>0%</td>
<td>--</td>
<td>32.3%</td>
</tr>
<tr>
<td>Linkage Projects</td>
<td>24</td>
<td>8</td>
<td>$2,998,799</td>
<td>$86,927,155</td>
<td>3.5%</td>
<td>33.3%</td>
<td>35.5%</td>
</tr>
<tr>
<td>Linkage Infrastructure</td>
<td>9</td>
<td>2</td>
<td>$13,000,000</td>
<td>$37,973,900</td>
<td>34.2%</td>
<td>22.2%</td>
<td>31.2%</td>
</tr>
<tr>
<td>Laureate Fellowship</td>
<td>12</td>
<td>3</td>
<td>$8,160,992</td>
<td>$42,025,000</td>
<td>19.4%</td>
<td>25%</td>
<td>13.1%</td>
</tr>
<tr>
<td>Future Fellowship</td>
<td>18</td>
<td>TBA</td>
<td>TBA</td>
<td>TBA</td>
<td>TBA</td>
<td>TBA</td>
<td>TBA</td>
</tr>
<tr>
<td>Ind. Trans. Research Hub</td>
<td>0</td>
<td>0</td>
<td>$0</td>
<td>$18,681,869</td>
<td>0%</td>
<td>--</td>
<td>26.7%</td>
</tr>
<tr>
<td>Ind. Trans. Training Centre</td>
<td>0</td>
<td>0</td>
<td>$0</td>
<td>$20,895,677</td>
<td>0%</td>
<td>--</td>
<td>29.4%</td>
</tr>
<tr>
<td>Grand Total (excl. Future Fellowships)</td>
<td>362</td>
<td>94</td>
<td>$55,393,059</td>
<td>$526,234,639</td>
<td>10.53%</td>
<td>25.97%</td>
<td>20.04%</td>
</tr>
</tbody>
</table>

(a) ARC Discovery Projects
- The total ARC pool of funding is $5 million smaller than last year, ($12 million down on two years ago). The number of approved proposals is reduced from 703 to 635 in two years.
- ANU has the highest success rate of any research-intensive University in Australia (25.2%), against the national success rate of 17.7%.
- The return rate of funding approved on successful projects was 65.7%. An emphasis on return rates has seen success rates fall to allow return rates to rise (from 50% in 2010).
- The trend data below shows that other than University of Melbourne, other Group of Eight universities are relatively flat or below previous years in terms of number of projects awarded.

• The graph below of Group of Eight success rates demonstrates the gradual tightening of funds in the Discovery Projects scheme. ANU consistently leads the sector by success rate.

ARC & NHMRC SUMMARY OF KEY OUTCOMES
(b) ARC Discovery Early Career Researcher Awards

- ANU success rate was 23.9%. The sector success rate was 16.4% (Go8 18%).
- ANU received the 2nd most grants and funding in the sector this year, behind UQ.

(c) ARC Linkage Projects

- Although the ANU success rate is broadly on par with the national average, submission numbers are well below leading Group of Eight universities, leading to ANU receiving a small proportion of the total funding pool.
NHMRC Outcomes Summary

<table>
<thead>
<tr>
<th>Scheme</th>
<th>ANU Applications Assessed</th>
<th>ANU Applications Successful</th>
<th>ANU Amount awarded ($ millions)</th>
<th>Sector Funding ($ millions)</th>
<th>Proportion of sector funding</th>
<th>ANU Success Rate</th>
<th>National Success Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project Grants</td>
<td>71</td>
<td>6</td>
<td>$4,253,352</td>
<td>$419,719,973</td>
<td>1.02%</td>
<td>8.5%</td>
<td>13.7%</td>
</tr>
<tr>
<td>Centres of Res. Excellence</td>
<td>2</td>
<td>1</td>
<td>$2,499,872</td>
<td>$36,826,720</td>
<td>6.79%</td>
<td>50%</td>
<td>17.2%</td>
</tr>
<tr>
<td>Research Fellowships</td>
<td>6</td>
<td>3</td>
<td>$1,996,610</td>
<td>$51,239,170</td>
<td>3.90%</td>
<td>50%</td>
<td>23.8%</td>
</tr>
<tr>
<td>Career Dev. F'ships (CDF)</td>
<td>11</td>
<td>0</td>
<td>$0</td>
<td>$23,915,192</td>
<td>0%</td>
<td>11.9%</td>
<td>11.9%</td>
</tr>
<tr>
<td>Early Career F'ships (ECF)</td>
<td>15</td>
<td>4</td>
<td>$1,235,771</td>
<td>$35,823,120</td>
<td>3.45%</td>
<td>26.7%</td>
<td>21.4%</td>
</tr>
<tr>
<td>Dementia Research Initiative</td>
<td>6</td>
<td>1</td>
<td>$600,627</td>
<td>$81,871,200</td>
<td>0.74%</td>
<td>16.7%</td>
<td>55.1%</td>
</tr>
<tr>
<td>Genomics Targeted Call</td>
<td>0</td>
<td>0</td>
<td>$0</td>
<td>$25,000,000</td>
<td>0%</td>
<td>--</td>
<td>100.0%</td>
</tr>
<tr>
<td>Development Grants</td>
<td>0</td>
<td>0</td>
<td>$0</td>
<td>$14,142,312</td>
<td>0%</td>
<td>--</td>
<td>25.0%</td>
</tr>
<tr>
<td>Practitioner Fellowships</td>
<td>0</td>
<td>0</td>
<td>$0</td>
<td>$7,299,065</td>
<td>0%</td>
<td>--</td>
<td>29.4%</td>
</tr>
<tr>
<td>Partnership Projects</td>
<td>0</td>
<td>0</td>
<td>$0</td>
<td>$6,757,914</td>
<td>0%</td>
<td>--</td>
<td>38.1%</td>
</tr>
<tr>
<td>International Partnerships</td>
<td>1</td>
<td>1</td>
<td>$427,959</td>
<td>$14,616,079</td>
<td>2.93%</td>
<td>100%</td>
<td>60.0%</td>
</tr>
<tr>
<td>Translating Research into Practice (TRIP) Fellowships</td>
<td>1</td>
<td>1</td>
<td>$175,303</td>
<td>$2,278,939</td>
<td>7.70%</td>
<td>100%</td>
<td>25.5%</td>
</tr>
<tr>
<td><strong>Total Competitive Schemes</strong></td>
<td><strong>113</strong></td>
<td><strong>17</strong></td>
<td><strong>$11,191,494</strong></td>
<td><strong>$719,489,683</strong></td>
<td><strong>1.56%</strong></td>
<td><strong>15.05%</strong></td>
<td><strong>16.8%</strong></td>
</tr>
</tbody>
</table>

(a) NHMRC Project Grants

- ANU received the 19th-most projects (6), and 1.02% of all Project Grant funding (c.f. 9.66% of ARC Discovery Projects pool).
- Group of Eight Universities are generally trending down, losing market share of the NHMRC Projects pool over three consecutive years.
Success rates for Project Grants are trending down; however ANU took a particularly bad hit except for the John Curtin School of Medical Research (5 from 30, above national average)

(b) NHMRC Fellowships

Group of Eight – Fellowship totals for 2015 announced funding

<table>
<thead>
<tr>
<th>Administering Institution</th>
<th>Total F/ship applications</th>
<th>Total F/ship awarded</th>
<th>Success</th>
</tr>
</thead>
<tbody>
<tr>
<td>Monash University</td>
<td>144</td>
<td>32</td>
<td>22.2%</td>
</tr>
<tr>
<td>University of Melbourne</td>
<td>148</td>
<td>29</td>
<td>19.6%</td>
</tr>
<tr>
<td>University of Sydney</td>
<td>148</td>
<td>29</td>
<td>19.6%</td>
</tr>
<tr>
<td>University of Queensland</td>
<td>101</td>
<td>28</td>
<td>27.7%</td>
</tr>
<tr>
<td>University of New South Wales</td>
<td>101</td>
<td>15</td>
<td>14.9%</td>
</tr>
<tr>
<td>University of Adelaide</td>
<td>59</td>
<td>12</td>
<td>20.3%</td>
</tr>
<tr>
<td>Australian National University</td>
<td>32</td>
<td>7</td>
<td>21.9%</td>
</tr>
<tr>
<td>University of Western Australia</td>
<td>53</td>
<td>6</td>
<td>11.3%</td>
</tr>
<tr>
<td><strong>Grand Total</strong></td>
<td><strong>786</strong></td>
<td><strong>158</strong></td>
<td><strong>20.1%</strong></td>
</tr>
</tbody>
</table>
Includes Early Career Fellowships, Career Development Fellowships, Research Fellowships and Translating Research into Practice Fellowships. Excludes targeted Dementia Fellowships.

- Overall, ANU put in a record number of submissions this year. However, Career Development Fellowship results were highly disappointing (0 from 11).
- The table below shows numbers of key fellowships awarded by year:

<table>
<thead>
<tr>
<th>Scheme</th>
<th>2012</th>
<th>2013</th>
<th>2014</th>
<th>2015</th>
<th>2016</th>
</tr>
</thead>
<tbody>
<tr>
<td>Early Career Fellowship</td>
<td>4</td>
<td>1</td>
<td>3</td>
<td>2</td>
<td>3</td>
</tr>
<tr>
<td>Career Development Fellowship</td>
<td>2</td>
<td>2</td>
<td>0</td>
<td>2</td>
<td>0</td>
</tr>
<tr>
<td>Principal Research Fellowship</td>
<td>2</td>
<td>2</td>
<td>1</td>
<td>0</td>
<td>3</td>
</tr>
</tbody>
</table>

- In addition, ANU was awarded 1 Dementia Research Development Fellowship (from 5 applications). Dementia is a strategic investment from the Commonwealth Government. 76 fellowships were awarded in the sector at a success rate of 55%.

(b) NHMRC Centre of Research Excellence

- ANU was awarded 1 Centre from 2 applications. ANU is also a partner on 1 externally-led Centre led by UNSW.

Centre of Research Excellence in Cognitive Health: Evidence, intervention and population modelling

Lead CI: Prof. Kaarin Anstey

Funding: $2,499,872 over 5 years

Partners: Baker IDI, Bangor University, Deakin University, University of Melbourne, UNSW

Summary: Our Centre of Research Excellence focuses on the integrally linked areas of optimising cognitive health and the prevention of cognitive decline. The centre aims to:

1. Build the evidence base in cognitive health promotion and prevention of cognitive decline, focussing on evaluating putative new risks and under researched areas.
2. Develop methods of transferring, translating and implementing established findings, through the development and evaluation of interventions.
3. Model population level impacts of cognitive impairment and risk modification to quantify potential economic benefits of risk reduction and to inform policy.
*32. 2015 WORLD UNIVERSITY RANKINGS OVERVIEW

PURPOSE
To provide an overview of the world rankings results for 2015.

PREPARED BY
Deputy Director Planning & Performance Management

REVIEWED BY
Deputy Vice-Chancellor (Research)

APPROVED BY
Deputy Vice-Chancellor (Research)

SPONSOR
Vice-Chancellor

RECOMMENDATION
That Council note the outcomes in the world university rankings report for 2015.

ACTION REQUIRED
For discussion ☑️  For decision ☐  For information ☑️

CONSULTATION
Staff ☐  Students ☐  Alumni ☐  Government ☐  Other ☐  Not applicable ☑️

SUMMARY OF ISSUES

Ranking position is vital to attracting the top students (and staff) across the world. ANU performance across the three main world university rankings is as follows:

- QS ranking improved 6 places to 19 in the world; 1st in Australia, ahead of Melbourne (42)
- Times Higher Education (THE) ranking fell 7 places to 52; 2nd in Australia behind Melbourne (33)
- Academic Ranking of World Universities (ARWU) fell 3 places to 77; equal 2nd in Australia with UQ, behind Melbourne (44).

ANU re-entered the top 20 on the QS university rankings for the first time since 2010.

While rankings move around from year to year, and we have seen a significant bump in the QS ranking due to a change in methodology that better acknowledges arts and social sciences disciplines where ANU is particularly strong, the underlying research performance of the university is of some concern.

TREND DATA SNAPSHOT

Comparison of QS, THE and ARWU rankings for 2011-2015 for ANU and University of Melbourne is as follows:
Full data and analysis on each ranking agency is included in Appendices A-C, below.

IMPLICATIONS FOR ANU

A study by Hobsons in 2014 reported that approximately 70% of international students listed international rankings as the top decision-making factor for where to undertake their international study. Recent projections estimate ANU will grow its international student numbers 50% by 2025. Competition is increasing with the governments of China, Russian, France and Japan announcing funding (in some instances in the billions) and strategies to improve ranking performance of their institutions.

There are three types of measures used by ranking agencies:

- **Reputational surveys** - ANU performs very well in reputation surveys, which are used extensively by QS and Times Higher Education.
- **Objective external data such as citations and publications** – citation performance has generally fallen for ANU, although this varies by discipline. Papers in high-impact journals (Nature and Science) have fallen.
- **Data requested from each institution, such as staff and student numbers** – this has been optimised with positive results in the relevant criteria, any further optimisation will likely have minimal impact.

ANU has an excellent international reputation based on research excellence across a number of fields. However, data shows that, although previously the University’s research performance was far ahead of other Australian universities, competitors such as University of Melbourne and the University of Queensland have improved at a greater rate than ANU.

There are few short-cuts to improving citation metrics and increasing top-tier journal publications. At a fundamental level, the discipline mix of ANU is less focused on citations than our competitors, due to our strengths in humanities, social sciences and basic scientific discovery (e.g. pure mathematics and theoretical physics).

Discussions on measures of research quality held recently at the University Research Council, and the implementation of Statements of Academic Activity, will improve transparency of individual and university performance and promote clear communications around discipline-specific publication strategies to maximise quality and impact.

Further changes to the ARWU ranking methodology in 2016 will negatively impact the ANU ranking.
SUBJECT RANKINGS

In addition to the university ranking, QS breaks down rankings at a subject level. ANU performed well in this ranking, with 3 broad disciplines and 11 subjects ranked by QS as being in the top 20:

<table>
<thead>
<tr>
<th>Subject</th>
<th>Ranking</th>
</tr>
</thead>
<tbody>
<tr>
<td>ARTS &amp; HUMANITIES</td>
<td>12</td>
</tr>
<tr>
<td>History</td>
<td>9</td>
</tr>
<tr>
<td>Linguistics</td>
<td>16</td>
</tr>
<tr>
<td>Philosophy</td>
<td>19</td>
</tr>
<tr>
<td>SOCIAL SCIENCES &amp; MANAGEMENT</td>
<td>18</td>
</tr>
<tr>
<td>Development Studies (NEW 2015)</td>
<td>10</td>
</tr>
<tr>
<td>Law and Legal Studies</td>
<td>16</td>
</tr>
<tr>
<td>Politics &amp; International Studies</td>
<td>7</td>
</tr>
<tr>
<td>Sociology</td>
<td>16</td>
</tr>
<tr>
<td>LIFE SCIENCES &amp; MEDICINE</td>
<td></td>
</tr>
<tr>
<td>Agriculture &amp; Forestry</td>
<td>7</td>
</tr>
<tr>
<td>NATURAL SCIENCES</td>
<td>20</td>
</tr>
<tr>
<td>Earth &amp; Marine Sciences</td>
<td>12</td>
</tr>
<tr>
<td>Environmental Sciences</td>
<td>17</td>
</tr>
<tr>
<td>Geography</td>
<td>15</td>
</tr>
</tbody>
</table>

ANU is also ranked 16th in the world for Arts & Humanities by Times Higher Education.

ATTACHMENTS

32.1 Appendices A to C – Detailed Analysis of QS, Times Higher Education and AWRU world rankings (935/2015).

COMMUNICATION

For public release □   For internal release □   Not for release ✓
QS WORLD RANKING

QS World Ranking was released on 15 September 2015. ANU improved its position from 25 in the world up to equal 19, shared with King’s College London. This was the largest improvement across the Group of Eight (Go8). Adelaide had the greatest fall with a loss of 13 places. Melbourne and UWA both dropped nine places (figure 2).

Figure 2 – QS world rank by Go8

<table>
<thead>
<tr>
<th>Institution</th>
<th>2013</th>
<th>2014</th>
<th>2015</th>
<th>Diff</th>
</tr>
</thead>
<tbody>
<tr>
<td>Australian National University</td>
<td>27</td>
<td>25</td>
<td>19</td>
<td>6</td>
</tr>
<tr>
<td>The University of Melbourne</td>
<td>31</td>
<td>33</td>
<td>42</td>
<td>-9</td>
</tr>
<tr>
<td>The University of Sydney</td>
<td>38</td>
<td>37</td>
<td>45</td>
<td>-8</td>
</tr>
<tr>
<td>The University of Queensland</td>
<td>43</td>
<td>43</td>
<td>46</td>
<td>-3</td>
</tr>
<tr>
<td>The University of New South Wales</td>
<td>52</td>
<td>48</td>
<td>46</td>
<td>2</td>
</tr>
<tr>
<td>Monash University</td>
<td>69</td>
<td>70</td>
<td>67</td>
<td>3</td>
</tr>
<tr>
<td>The University of Western Australia</td>
<td>84</td>
<td>89</td>
<td>98</td>
<td>-9</td>
</tr>
<tr>
<td>The University of Adelaide</td>
<td>104</td>
<td>100</td>
<td>113</td>
<td>-13</td>
</tr>
</tbody>
</table>

Figure 3 - Comparison of QS world ranking with key competitors

Performance by indicator

QS use six indicators to rank institutions. Each score is calculated proportionally from the top ranked institution equalling 100 points (currently Massachusetts Institute of Technology). The performance against each of the ranking criteria are shown in figure 4.

Figure 4 – ANU QS score by indicator

<table>
<thead>
<tr>
<th></th>
<th>Weight</th>
<th>2011</th>
<th>2012</th>
<th>2013</th>
<th>2014</th>
<th>2015</th>
<th>Diff</th>
<th>Weighted score diff.</th>
</tr>
</thead>
<tbody>
<tr>
<td>World rank</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>core</td>
<td></td>
<td>85.7</td>
<td>87.61</td>
<td>88.5</td>
<td>89.7</td>
<td>91</td>
<td>1.3</td>
<td></td>
</tr>
<tr>
<td>rank</td>
<td></td>
<td>26</td>
<td>24</td>
<td>27</td>
<td>25</td>
<td>19</td>
<td>6</td>
<td></td>
</tr>
<tr>
<td>Academic Reputation</td>
<td>40%</td>
<td>score</td>
<td>99.8</td>
<td>99.7</td>
<td>99.7</td>
<td>99.6</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>rank</td>
<td></td>
<td>15</td>
<td>21</td>
<td>23</td>
<td>25</td>
<td>26</td>
<td>-1</td>
<td></td>
</tr>
<tr>
<td>Employer Reputation</td>
<td>10%</td>
<td>score</td>
<td>59.4</td>
<td>82.5</td>
<td>92.4</td>
<td>95.8</td>
<td>94.4</td>
<td>-1.4</td>
</tr>
<tr>
<td>rank</td>
<td></td>
<td>47</td>
<td>56</td>
<td>44</td>
<td>47</td>
<td>59</td>
<td>-12</td>
<td>-0.14</td>
</tr>
<tr>
<td>Faculty Student</td>
<td>20%</td>
<td>score</td>
<td>71.7</td>
<td>79.6</td>
<td>83.4</td>
<td>76.9</td>
<td>68.9</td>
<td>-8</td>
</tr>
<tr>
<td>rank</td>
<td></td>
<td>119</td>
<td>109</td>
<td>100</td>
<td>147</td>
<td>191</td>
<td>-44</td>
<td>-1.6</td>
</tr>
</tbody>
</table>

1 Methodology can be found at [http://www.topuniversities.com/university-rankings-articles/world-university-rankings/q...](http://www.topuniversities.com/university-rankings-articles/world-university-rankings/q...
The most significant score improvement was in **Citations per Faculty**, increasing 15.2 points placing us at 61 in the world in this criteria. This is the top result in Australia, UQ is next at 5.4 point behind. The improvement is mainly the result of two factors. Firstly, there was a methodology change to this criteria to provide a more balanced weighting for the arts, humanities and social sciences. Secondly, further work was done to optimise the academic staff numbers submitted (within the specifications), though this is partially offset by a fall in **Faculty Student ratio** which lost 8 points. Though ranked at 191 in the world, ANU is still top ranked in Australia in this criterion.

The underlying data shows that the total ANU citation count has fallen by 7.1% from last year. However, when this is normalised by Faculty under the new methodology this reduces to a 1.8% fall. It is estimated that the optimisation of staffing numbers resulted in an improved Normalised Citation rate per Faculty from 54.7 to 58.7.

There was no change in score for **Academic Reputation** maintaining a very high score of 99.6. **Employee Reputation** fell 1.4 points to 94.4; ranked at 59 in the world and 5 in Australia behind Melbourne, UNSW, Sydney and Monash. ANU maintained the top possible score of 100 for **International Faculty**. **International Students** improved 0.3 points but fell three placed to 53.

**Ranking by indicator competitor comparison**

The most significant variation to ranking position was **Citations per Faculty** resulting from the change in methodology outlined previously. ANU increased its rank by 68 places to 61 in the world (Figure 5). The greatest loss was Adelaide falling 60 places in this criteria, a significant contributor to their overall loss of 13 places.

*Figure 5 – Citations per Faculty rank*

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Australian National University</td>
<td>134</td>
<td>145</td>
<td>129</td>
<td>61</td>
<td>68</td>
</tr>
<tr>
<td>The University of Melbourne</td>
<td>92</td>
<td>65</td>
<td>74</td>
<td>100</td>
<td>-26</td>
</tr>
<tr>
<td>The University of Sydney</td>
<td>162</td>
<td>113</td>
<td>125</td>
<td>141</td>
<td>-16</td>
</tr>
<tr>
<td>The University of Queensland</td>
<td>138</td>
<td>107</td>
<td>113</td>
<td>88</td>
<td>25</td>
</tr>
<tr>
<td>The University of New South Wales</td>
<td>204</td>
<td>158</td>
<td>133</td>
<td>106</td>
<td>27</td>
</tr>
<tr>
<td>Monash University</td>
<td>268</td>
<td>222</td>
<td>189</td>
<td>169</td>
<td>20</td>
</tr>
<tr>
<td>The University of Western Australia</td>
<td>80</td>
<td>130</td>
<td>-50</td>
<td></td>
<td></td>
</tr>
<tr>
<td>The University of Adelaide</td>
<td>210</td>
<td>270</td>
<td></td>
<td>-60</td>
<td></td>
</tr>
</tbody>
</table>

The scores for **Faculty to student ratio** fell across most of the Go8s. For ANU this was mostly due to the planned counterbalance with **Citations per Faculty** (varying staff levels will result in one going up and the other going down). However, this doesn’t appear to be the case for the other Go8s.
TIMES HIGHER EDUCATION

Times Higher World Ranking was released on 1 October 2015. There were some significant changes this year. Though the methodology itself did not vary, there were other modifications that resulted in significant fluctuations of outcomes. Key changes included a change of supplier from Thomson Reuters to Scopus, increasing the number ranked institutions from 400 to 800 and improving the geographic spread of survey respondents. These changes make it difficult to compare with previous years. This should be kept in mind when considering the results below.

ANU fell from 45 down to 52 in the world. Though falling 7 places, the overall score did improve by 3 points; the most significant factor was the Research criterion which contributed 1.9 to those points (weighted contribution). Scores improved across all criteria, however at a lower rate than our competitors resulting in a fall in rank in all but the Research criterion (figure 7). The greatest fall was industry income dropping 98 places, weighted at 2.5%. Citations fell 75 places to 223 in the world (30% weight); the change in provider to Scopus making it difficult to assess underlying performance in this criteria.

Figure 7 – Times Higher score and rank

<table>
<thead>
<tr>
<th></th>
<th>Weight</th>
<th>2013</th>
<th>2014</th>
<th>2015</th>
<th>Diff.</th>
<th>Weighted</th>
</tr>
</thead>
<tbody>
<tr>
<td>Teaching</td>
<td>30%</td>
<td>51.8</td>
<td>53.7</td>
<td>54.7</td>
<td>1.0</td>
<td>0.3</td>
</tr>
<tr>
<td>Research</td>
<td>30%</td>
<td>65.1</td>
<td>70.9</td>
<td>77.3</td>
<td>6.4</td>
<td>1.9</td>
</tr>
<tr>
<td>Citations</td>
<td>30%</td>
<td>71.2</td>
<td>71.1</td>
<td>72.3</td>
<td>1.2</td>
<td>0.4</td>
</tr>
<tr>
<td>International Outlook</td>
<td>7.5%</td>
<td>91.4</td>
<td>91.3</td>
<td>93.3</td>
<td>2.0</td>
<td>0.2</td>
</tr>
<tr>
<td>Industry Income</td>
<td>2.5%</td>
<td>44.8</td>
<td>38.9</td>
<td>48</td>
<td>9.1</td>
<td>0.2</td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td>64.4</td>
<td>66.5</td>
<td>69.5</td>
<td>3.0</td>
<td></td>
</tr>
<tr>
<td>World Rank</td>
<td></td>
<td>48</td>
<td>45</td>
<td>52</td>
<td>-7</td>
<td></td>
</tr>
</tbody>
</table>

Times Higher scores are derived from sub-measures (figure 8). Only the top level performance is published in the ranking, though the more detailed level is provided to the institution. As shown below the research reputation survey was main contributor to the overall research result. Teaching reputation also improved. As is also the case with QS, ANU has a very high reliance on the reputation surveys for our ranking outcomes, this is not supported by some of the underlying performance metrics.

Figure 8 – Times Higher Scores

<table>
<thead>
<tr>
<th></th>
<th>Weight</th>
<th>2013</th>
<th>2014</th>
<th>2015</th>
<th>Diff.</th>
<th>Weighted</th>
</tr>
</thead>
<tbody>
<tr>
<td>Teaching Indicators</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Academic staff/students</td>
<td>30%</td>
<td>51.8</td>
<td>53.7</td>
<td>54.7</td>
<td>1</td>
<td>0.3</td>
</tr>
<tr>
<td>PhD awarded/UG awarded</td>
<td>2%</td>
<td>47</td>
<td>46</td>
<td>49.6</td>
<td>3.6</td>
<td>0.08</td>
</tr>
<tr>
<td>PhD awarded/FTE staff</td>
<td>6%</td>
<td>89</td>
<td>77</td>
<td>81.5</td>
<td>4.5</td>
<td>0.27</td>
</tr>
<tr>
<td>Teaching reputation</td>
<td>15%</td>
<td>38</td>
<td>45</td>
<td>48.5</td>
<td>3.5</td>
<td>0.53</td>
</tr>
<tr>
<td>Inst Income per FTE</td>
<td>2.25%</td>
<td>83</td>
<td>84</td>
<td>61.5</td>
<td>-22.5</td>
<td>-0.51</td>
</tr>
<tr>
<td>Research Indicators</td>
<td>30.0%</td>
<td>65.1</td>
<td>70.9</td>
<td>77.3</td>
<td>6.4</td>
<td>1.92</td>
</tr>
<tr>
<td>Papers per FTE</td>
<td>6%</td>
<td>89</td>
<td>96</td>
<td>96.5</td>
<td>0.5</td>
<td>0.03</td>
</tr>
<tr>
<td>Income per FTE</td>
<td>6%</td>
<td>100</td>
<td>100</td>
<td>100</td>
<td>0</td>
<td>0.00</td>
</tr>
<tr>
<td>Research Reputation</td>
<td>18%</td>
<td>46</td>
<td>53</td>
<td>63.3</td>
<td>10.3</td>
<td>1.85</td>
</tr>
<tr>
<td>Citations</td>
<td>30.0%</td>
<td>71.2</td>
<td>71.1</td>
<td>72.3</td>
<td>1.2</td>
<td>0.36</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>2011</th>
<th>2012</th>
<th>2013</th>
<th>2014</th>
<th>2015</th>
</tr>
</thead>
<tbody>
<tr>
<td>Citations per paper</td>
<td>30%</td>
<td>71</td>
<td>71</td>
<td>72</td>
<td>1.2</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>0.36</td>
</tr>
<tr>
<td>International Outlook Indicators</td>
<td>7.5%</td>
<td>91.4</td>
<td>91</td>
<td>93.3</td>
<td>2.3</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>0.17</td>
</tr>
<tr>
<td>Int'l to domestic FTE</td>
<td>2.5%</td>
<td>97</td>
<td>97</td>
<td>99.6</td>
<td>2.6</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>0.06</td>
</tr>
<tr>
<td>Int'l to domestic EFTSL</td>
<td>2.5%</td>
<td>96</td>
<td>95</td>
<td>98.2</td>
<td>3.2</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>0.08</td>
</tr>
<tr>
<td>Int'l co-authorship</td>
<td>2.5%</td>
<td>81</td>
<td>82</td>
<td>82.2</td>
<td>0.2</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>0.01</td>
</tr>
<tr>
<td>Industry Income</td>
<td>2.5%</td>
<td>44.8</td>
<td>38.9</td>
<td>48</td>
<td>9.1</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>0.23</td>
</tr>
<tr>
<td>Industry Income per FTE</td>
<td>2.5%</td>
<td>44.8</td>
<td>38.9</td>
<td>48</td>
<td>9.1</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>0.23</td>
</tr>
</tbody>
</table>

ANU has had a steady decline in the Times Higher ranking since its separation from QS in 2010. All other Go8 institutions have improved their position over this period, most notably UNSW improving 91 places and Monash by 44 places.

*Figure 9 – Times Higher key competitor performance comparison*
ACADEMIC RANKING OF WORLD UNIVERSITIES (ARWU – Shanghai Jiao Tong)

ARWU was released on 15 August 2015. ANU has fallen from 74 in the world down to 77 in the ARWU ranking was released by Shanghai Jiao Tong University on 15 August. Melbourne retained their position at 44. The remaining Go8 institutions all improved their position, most notably UQ improving 8 ranks to equal ANU at 77.

Figure 10 – ARWU rank for Australian Institutions

<table>
<thead>
<tr>
<th>National</th>
<th>University</th>
<th>2011</th>
<th>2012</th>
<th>2013</th>
<th>2014</th>
<th>2015*</th>
<th>Diff</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>University of Melbourne</td>
<td>60</td>
<td>57</td>
<td>54</td>
<td>44</td>
<td>44</td>
<td>=</td>
</tr>
<tr>
<td>2</td>
<td>The Australian National University</td>
<td>70</td>
<td>64</td>
<td>66</td>
<td>74</td>
<td>77</td>
<td>-3</td>
</tr>
<tr>
<td>3</td>
<td>The University of Queensland</td>
<td>86</td>
<td>90</td>
<td>85</td>
<td>85</td>
<td>77</td>
<td>+8</td>
</tr>
<tr>
<td>4</td>
<td>The University of Western Australia</td>
<td>111</td>
<td>96</td>
<td>91</td>
<td>88</td>
<td>87</td>
<td>-1</td>
</tr>
<tr>
<td>5</td>
<td>Monash University</td>
<td>159</td>
<td>137</td>
<td>134</td>
<td>115</td>
<td>114</td>
<td>+1</td>
</tr>
<tr>
<td>6</td>
<td>University of Sydney</td>
<td>96</td>
<td>93</td>
<td>98</td>
<td>117</td>
<td>115</td>
<td>+2</td>
</tr>
<tr>
<td>7</td>
<td>University of New South Wales</td>
<td>150</td>
<td>141</td>
<td>132</td>
<td>129</td>
<td>124</td>
<td>+5</td>
</tr>
<tr>
<td>8</td>
<td>The University of Adelaide</td>
<td>207</td>
<td>221</td>
<td>249</td>
<td>184</td>
<td>169</td>
<td>+15</td>
</tr>
</tbody>
</table>

*For those ranked below the top 100 a score is derived from data provided.

Figure 11 - Comparison of world ranking with key competitors

Summary performance by indicator

ARWU uses six indicators to rank institutions. Each score is calculated proportionally from the top ranked institution equalling 100 points. The performance against each of the ranking criteria are shown in Figure 12. The Highly Cited Researcher (HiCi) list was not revised this year, the score remained the same. ANU stayed relatively steady on most other criteria except papers published in Nature & Science (N&S) where the score fell by 2.7 points. If ANU had maintained its score in this criteria our ranking position would have been 4 places higher at 73 (up from 74 last year).

Figure 12 – ANU ARWU score by indicator

Australian National University | Uni Melb.
---|---
---|---|---|---|---|---|---|---
Alumni | 15.1 | 15.1 | 15.6 | 14.3 | 14.1 | 13.9 | 13.6 | 17
Award | 12.6 | 12.6 | 12.6 | 19.8 | 19.4 | 19.2 | 19.2 | 13.3
HiCi | 36 | 36 | 33.9 | 32.3 | 32.3 | 24.8 | 24.8 | 28.6
Nature & Science | 27.8 | 27.8 | 26.3 | 24.4 | 24 | 22.8 | 20.1 | 25.3
Publications | 43.8 | 43.8 | 43.5 | 43.1 | 43 | 45.1 | 45.1 | 66.9
Per Capita | 31.1 | 31.1 | 29.2 | 28.9 | 29.3 | 29.1 | 29.1 | 30.2
Total | 29.6 | 29.6 | 28.6 | 29.1 | 28.9 | 27.4 | 26.7 | 32.3
World Rank | 59 | 59 | 70 | 64 | 66 | 74 | 77 | 44
National | 1 | 1 | 2 | 2 | 2 | 2 | 2 | 1

Ranking by indicator
ANU fell in all indicators except number of publications which increased by 5 places to 125, the points in this criteria stayed the same. The largest fall was in N&S, from 87 down to 113 in the world (Figure 13).

**Figure 13 – ANU rank by indicator**

| | 2011 | 2012 | 2013 | 2014 | 2015 | diff |
---|---|---|---|---|---|---|
Alumni | 112 | 112 | 114 | 116 | 117 | -1 |
Award | 123 | 69 | 71 | 73 | 77 | -4 |
HiCi | 47 | 55 | 55 | 86 | 88 | -2 |
Nature & Science | 63 | 73 | 80 | 87 | 113 | -26 |
Publications | 132 | 142 | 139 | 130 | 125 | 5 |
Per Capita | 45 | 41 | 45 | 56 | 64 | -8 |
Total | 70 | 64 | 66 | 74 | 77 | -3 |

The most significant improvement in performance was UQ across three key indicators N&S, Pubs and Per Capita, resulting in an overall jump of eight places to equal ANU. Adelaide also had strong improvements but from a relatively low base (Figure 14).

**Figure 14 – Go8 change in points from previous year**

The University of Melbourne | The Australian National University | The University of Queensland | The University of Western Australia | Monash University | The University of New South Wales | University of Sydney | The University of Adelaide
---|---|---|---|---|---|---|---
Alumni | Award | HiCi | N&S | Pub | PCP

-3.0 | -2.0 | -1.0 | 0.0 | 1.0 | 2.0 | 3.0
*33. **ANNUAL GOVERNANCE CONFORMANCE STATEMENT 2015**

**PURPOSE**
To consider the University’s conformance with the governance requirements of the *Australian National University Act 1991, Public Governance, Performance and Accountability Act 2013, Higher Education Standards Framework (Threshold Standards) 2011: Section 3 Corporate and academic governance*, and *Voluntary Code of Best Practice for the Governance of Australian Universities*.

**PREPARED BY**
Manager, Corporate Governance and Policy

**REVIEWED BY**
Director, Corporate Governance and Risk Office

**APPROVED BY**
Vice-Chancellor

**SPONSOR**
Chancellor

**RECOMMENDATION**
That, for the 2015 reporting period, Council confirm the University’s conformance with the:

- *Australian National University Act 1991*,
- *Public Governance, Performance and Accountability Act 2013*,
- *Higher Education Standards Framework (Threshold Standards) 2011: Section 3 Corporate and academic governance*, and
- *Voluntary Code of Best Practice for the Governance of Australian Universities*.

**ACTION REQUIRED**

<table>
<thead>
<tr>
<th>For discussion</th>
<th>For decision</th>
<th>For information</th>
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</table>

**CONSULTATION**

Staff ○   Students ○   Alumni ○   Government ○   Other ○   Not applicable ○

**BACKGROUND**

The corporate and academic governance arrangements and processes for the University are governed by three statutory mandates, those being the *Australian National University Act 1991, Public Governance, Performance and Accountability Act 2013, Higher Education Standards Framework (Threshold Standards) 2011: Section 3 Corporate and academic governance*. In addition, Council adopted the *Voluntary Code of Best Practice for the Governance of Australian Universities* on 23 September 2011.

The *Voluntary Code* requires that:

*Principle 6: On an annual basis, the governing body should also review its conformance with this Code of Best Practice and identify needed skills and expertise for the future.*

*Principle 14: A university should disclose in its annual report its compliance with this Code of Best Practice and provide reasons for any areas of non-compliance.*

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PART 5 – OTHER MATTERS FOR NOTING
Consistent with this, the 2015 review has considered all sources of authority for governance, to provide Council with a comprehensive account of conformance with mandated governance arrangements and processes.

**SUMMARY OF ISSUES**

Council is aware of the outcomes of the *Review of the Australian National University (ANU) Act 1991 and the governance arrangements of the ANU* conducted by Emeritus Professor Sally Walker, which found that ANU is a highly successful university, consistently ranking among the top universities in Australia and the world, and that there is much about the governance of the ANU that is exemplary. The review report made 29 recommendations which are intended to ensure that already good governance arrangements are made even better.

With these findings in mind, the Corporate Governance and Risk Office (CGRO) has undertaken an assessment of each individual requirement within the four source authorities for the governance arrangements and processes of the University. The full assessment of conformance is extensive in length, and somewhat repetitive, given the nature of stated requirements and the University’s conformance response to each category. It remains a key source document for the Corporate Governance and Risk Office but has not been included in the Council papers. It is available on the Council secure server (December 2015 meeting folder) for Council members to review, should they wish. A summary of the analysis is presented below:

**Australian National University Act 1991**

Consistent with the findings and recommendations of the Walker Review 2014 the University continues to demonstrate a high standard of governance. Substantive work, led by CGRO, has seen almost all of the Walker Review recommendations implemented, thus further lifting the standard of governance in the University.

The detailed analysis by CGRO also confirms compliance with all requirements of the *Australian National University Act 1991* for the 2015 reporting period.

**Public Governance, Performance and Accountability Act 2013**

Since commencement of the *Public Governance, Performance and Accountability Act 2013* (and the repeal of the *Commonwealth Authorities and Companies Act 1997*) the University has been working to adjust relevant existing arrangements, and put in place new arrangements, to conform to legislative requirements. The detailed analysis by CGRO also confirms that in 2015 the University has in place arrangements to respond and comply with all requirements.

Council should note that certain obligations under the *Public Governance, Performance and Accountability Act 2013*, do not become due for compliance until the first half of 2016. These matters relate to the preparation and submission to government of corporate plans and performance statements (within the annual report). The Vice-Chancellor has arrangements and processes in place in response to these requirements as they become due.

**Higher Education Standards Framework (Threshold Standards) 2011: Section 3 Corporate and Academic Governance**

The detailed analysis by CGRO also confirms compliance in 2015 with all requirements of the *Higher Education Standards Framework (Threshold Standards) 2011*.

In addition, Council should note that the *Higher Education Standards Framework (Threshold Standards) 2015* have been enacted by the Australian Government, and come into effect on 1 January 2017. These replace the current *Higher Education Standards Framework (Threshold Standards) 2011*. A preliminary assessment of the new threshold standards in respect of ‘Governance and Accountability’ suggests that the University will continue to satisfy conformance requirements.
Voluntary Code of Best Practice for the Governance of Australian Universities

In response to the Walker Review recommendations, the University has further strengthened its governance arrangements processes. There has been no diminution of governance standards since the last occasion the Council affirmed its view that the University complied with the requirements of the Voluntary Code. The detailed analysis by CGRO also confirms compliance with all requirements of the Voluntary Code over the 2015 reporting period.

ATTACHMENT

33.1 Voluntary Code of Best Practice in University Governance (147/2011)

COMMUNICATION

For public release ☑ For internal release ☐ Not for release ☐

A statement confirming Council’s attestation that the University conforms to the mandated and voluntary governance requirements will be included in the 2015 Annual Report.
VOLUNTARY CODE OF BEST PRACTICE FOR THE GOVERNANCE OF AUSTRALIAN UNIVERSITIES

1: A university should have its objectives and/or functions specified in its enabling legislation\(^1\).

2: A university’s governing body should adopt a statement of its primary responsibilities, to include:
   (a) appointing the Vice-Chancellor as the Chief Executive Officer of the university, and monitoring his/her performance;
   (b) appointing other senior officers of the university as considered appropriate;
   (c) approving the mission and strategic direction of the university, as well as the annual budget and business plan;
   (d) overseeing and reviewing the management of the university and its performance;
   (e) establishing policy and procedural principles, consistent with legal requirements and community expectations;
   (f) approving and monitoring systems of control and accountability, including general overview of any controlled entities. A controlled entity is one that satisfies the test of control in s.50AA of the Corporations Act;
   (g) overseeing and monitoring the assessment and management of risk across the university, including commercial undertakings;
   (h) overseeing and monitoring the academic activities of the university;
   (i) approving significant commercial activities of the university.

A university’s governing body, while retaining its ultimate governance responsibilities, may have an appropriate system of delegations to ensure the effective discharge of these responsibilities.

3: A university should have the duties of the members of its governing body and sanctions for the breach of these duties

\(^1\) In the case of a university established under the Corporations Act, a reference to enabling legislation is taken to mean its constitution and/or, where applicable, the Corporations Act.
specified in its enabling legislation. Other than the Chancellor, the Vice-Chancellor and the Presiding Member of the Academic Board, each member should be appointed or elected ad personam. All members of the governing body should be responsible and accountable to the governing body. When exercising the functions of a member of the governing body, a member of the governing body should always act in the best interests of the university.

Duties of members should include the requirements to:
(a) act always in the best interests of the university as a whole, with this obligation to be observed in priority to any duty a member may owe to those electing or appointing him or her;
(b) act in good faith, honestly and for a proper purpose;
(c) exercise appropriate care and diligence;
(d) not improperly use their position to gain an advantage for themselves or someone else; and
(e) disclose and avoid conflicts of interest (with appropriate procedures for that purpose similar to those for public companies).

There should be safeguards, exemptions and protections for members of a university's governing body for matters or things done or omitted in good faith in pursuance of the relevant legislation. Without limitation, this should include such safeguards, exemptions and protections as are the equivalent of those that would be available were the member a director under the Corporations Act. A university (with the exception of those subject to the Corporations Act) should have a requirement included in its enabling legislation that its governing body has the power (by a two-thirds majority) to remove any member of the governing body from office if the member breaches the duties specified above. A member should be required, automatically, to vacate the office if he or she is, or becomes, disqualified from acting as a Director of a company or managing corporations under Part 2D.6 of the Corporations Act.

4: If permitted by its enabling legislation, a university should develop procedures;
a) to provide that the Chancellor and Deputy Chancellor hold office subject to retaining the confidence of the governing body; and
b) to deal with removal from office if the governing body determines that such confidence is no longer held.

5: Each governing body should make available a programme of induction and professional development for members to build the expertise of the governing body and to ensure that all members are aware of the nature of their duties and responsibilities.

6: On a regular basis, at least once each two years, the governing body should assess its performance, the performance of its members and the performance of its committees. The Chancellor should have responsibility for organising the assessment process, drawing on external resources if required. On an annual basis, the governing body should also review its conformance with this Code of Best Practice and identify needed skills and expertise for the future.

7: The size of the governing body should not exceed 22 members. There should be at least two members having financial expertise (as demonstrated by relevant qualifications and financial management experience at a senior level in the public or private sector) and at least one member with commercial expertise (as demonstrated by relevant experience at a senior level in the public or private sector). Where the size of the governing body is limited to less than 10 members, one member with financial expertise and one with commercial expertise would be considered as meeting the requirements. There should be a majority of external independent members who are neither enrolled as a student nor employed by the university. There should not be current members of any State or Commonwealth parliament or legislative assembly other than where specifically selected by the governing body itself.

8: A university should adopt systematic procedures for the nomination of prospective members of the governing body for those categories of members that are not elected. The responsibility for proposing such nominations for the governing body may be delegated to a nominations committee.
of the governing body that the Chancellor would ordinarily chair.

Members so appointed should be selected on the basis of their ability to contribute to the effective working of the governing body by having needed skills, knowledge and experience, an appreciation of the values of a university and its core activities of teaching and research, its independence and academic freedom and the capacity to appreciate what a university's external community needs from it.

To provide for the introduction of new members consistent with maintaining continuity and experience, members' terms should generally overlap and governing bodies should establish a maximum continuous period to be served. This should not generally exceed 12 years unless otherwise specifically agreed by the majority of the governing body.

9: A university should codify its internal grievance procedures and publish them with information about the procedure for submitting complaints to the relevant ombudsman or the equivalent relevant agency.

10: The annual report of a university should be used for reporting on high level outcomes.

11: The annual report of a university should include a report on risk management within the organisation.

12: The governing body should oversee controlled entities by:
   (a) ensuring that the entity's board possesses the skills, knowledge and experience necessary to provide proper stewardship and control of the entity;
   (b) appointing some directors to the board of the entity who are not members of the governing body or officers or students of the university;
   (c) ensuring that the board of the entity adopts and regularly evaluates a written statement of its own governance principles;
   (d) ensuring that the board documents a clear corporate and business strategy which reports on and updates annually the entity's long-term objectives and includes an annual
business plan containing achievable and measurable performance targets and milestones; and
(e) establishing and documenting clear expectations of reporting to the governing body, such as a draft business plan for consideration and approval before the commencement of each financial year and at least quarterly reports against the business plan.

13: A university should assess the risk arising from its involvement in the ownership of any entity (including an associated company as defined in the Accounting Standards issued by the Australian Accounting Standards Board), partnership and joint venture. The governing body of a university should, where appropriate in light of the risk assessment, use its best endeavours to obtain an auditor's report (including audit certification and management letter) of the entity by a State, Territory or Commonwealth Auditor-General or by an external auditor.

14: A University should disclose in its Annual Report its compliance with this Code of Best Practice and provide reasons for any areas of non-compliance.
34. **2016 COUNCIL AGENDA**

**PURPOSE**
To note the agreed 2016 Council meeting dates and key business items.

**PREPARED BY**
Director, Corporate Governance and Risk Office

**REVIEWED BY**
Director, Corporate Governance and Risk Office

**APPROVED BY**
Vice-Chancellor

**SPONSOR**
Chancellor

**RECOMMENDATION**
That Council note the agreed 2016 Council meeting dates and key business items.

**ACTION REQUIRED**
For discussion ☐  For decision ☑  For information ☑

**CONSULTATION**
Staff ☐  Students ☐  Alumni ☐  Government ☐  Other ☐  Not applicable ☑

**BACKGROUND**
At its meeting on 2 October 2015, Council approved meeting dates for 2016, together with key business agenda items for the year ahead.

This paper is provided as a reminder for members. The agreed Council meeting dates for 2016 are:

- 18 and 19 February 2016 (ANU House, Melbourne)
- 1 April 2016 (noting that Good Friday is on 25 March 2016)
- 27 May 2016
- 22 July 2016
- 30 September 2016
- 2 December 2016

For 2016, the following strategic discussion topics are proposed:

- ANU by 2025 (Council Planning Day)
- Strategic marketing, reputation and brand awareness
- International student diversity
- Excellence in education
- Public policy
- Excellence in research

In addition, site visits which complement the strategic discussion topics are proposed, as follows:

- School of Art/School of Music
- ANU College of Business & Economics
- Language laboratories
- College public policy briefings (hosted at Crawford School of Public Policy)
- Mt Stromlo
Council is further advised of the proposed meeting dates for 2017, as follows:

- Thursday 16 and Friday 17 February 2017
- Friday 31 March 2017
- Friday 26 May 2017
- Friday 21 July 2017
- Friday 29 September 2017
- Friday 1 December 2017

**COMMUNICATION**

- For public release ☐
- For internal release ☐
- Not for release ☑

2016 Council meeting dates will be posted to the Council webpage on the University’s website.
**C35 - 36  Confidential to Council Members**
37. ENDOWMENT FOR EXCELLENCE BOARD OF GOVERNORS MEMBERSHIP

PURPOSE
To appoint the student position on the Endowment for Excellence Board of Governors.

PREPARED BY
Manager, Corporate Governance and Policy

REVIEWED BY
Director, Corporate Governance and Risk Office

APPROVED BY
Vice-Chancellor

SPONSOR
Vice-Chancellor

RECOMMENDATION
That Council, in accordance with section 3(1)(e) of The Australian National University Endowment for Excellence Rules 2012, appoint Mr Benjamin Gill, President of the Australian National University Students’ Association Incorporated, to the student position on the Endowment for Excellence Board of Governors, for a term concluding on 30 November 2016.

ACTION REQUIRED
For decision □

CONSULTATION
Staff □ Students □ Alumni □ Government □ Other □ Not applicable □

BACKGROUND
Section 3(1) of The Australian National University Endowment for Excellence Rules 2012 provides for the membership of the Board as being:

- a President appointed by the Council;
- a Vice-President appointed by the Council;
- the Chancellor, the Pro-Chancellor and the Vice-Chancellor as ex officio Governors;
- not less than 3 other Governors appointed by the Council;
- 1 person appointed by the Council, being a person who holds a position of responsibility in The Australian National University Students’ Association Incorporated, or the Postgraduate and Research Students’ Association Incorporated.

Mr Benjamin Niles, former President of the Postgraduate and Research Students’ Association Incorporated, has concluded his term as the student position on the Board, effective from 29 November 2015 and that position is now vacant.

The other current members of the Board of Governors are:

<table>
<thead>
<tr>
<th>Role</th>
<th>Incumbent</th>
<th>Term expiry</th>
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<tbody>
<tr>
<td>President</td>
<td>Dr Vince Fitzgerald</td>
<td>31 May 2018</td>
</tr>
<tr>
<td>Vice-President</td>
<td>Dr David Chessell</td>
<td>19 February 2017</td>
</tr>
<tr>
<td>Chancellor</td>
<td>Professor Gareth Evans AC QC</td>
<td>Ex officio</td>
</tr>
<tr>
<td>Pro-Chancellor</td>
<td>Ms Robin Hughes AO</td>
<td>Ex officio</td>
</tr>
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PART 5 – OTHER MATTERS FOR NOTING
SUMMARY OF ISSUES

An informal convention has existed in relation to the appointment of a student, whereby the appointment alternates between the President of the Postgraduate and Research Students’ Association Incorporated and the President of the Australian National University Students’ Association Incorporated.

Using this convention, it would now fall to the President of the Australian National University Students’ Association Incorporated, Mr Benjamin Gill, to fill the vacancy.

It is recommended that Council approve the appointment of Mr Benjamin Gill, President of the Australian National University Students’ Association Incorporated, to the Endowment for Excellence Board of Governors for a term concluding on 30 November 2016.

COMMUNICATION

For public release ☐ For internal release ☑ Not for release ☐

All appointments to the Endowment for Excellence Board of Governors are listed on the relevant webpage (http://www.anu.edu.au/giving/recognition/endowment-for-excellence-board-of-governors).
38. ACADEMIC BOARD REPORT

PURPOSE To note the report from the Academic Board from its meeting held on 29 September 2015.

AUTHOR Chair, Academic Board

SPONSOR Vice-Chancellor

RECOMMENDATION That Council note reports from meetings of the Academic Board held on 29 September 2015 (392/2015).

ACTION REQUIRED For discussion ☐ For decision ☐ For information ☑

CONSULTATION Staff ☐ Students ☐ Alumni ☐ Government ☐ Other ☐ Not applicable ☑

ATTACHMENT 38.1 Academic Board report (392/2015)

COMMUNICATION For public release ☐ For internal release ☐ Not for release ☑
ACADEMIC BOARD

Meeting No. 5/2015 of the Academic Board was held on Tuesday 29 September 2015 at 9.30 am in the RC Mills Room, Chancelry.

Present: Professor Glasgow (Chair), Professor Young, Professor Hughes-Warrington, Professor Harding, Professor Cardew-Hall, Dr Lithander, Professor Corbett, Professor Baker, Ms Angel (for Mr Erickson), Professor Pickering, Professor McKibbin (for Professor Taylor), Professor Leitch, Professor Rothwell (for Professor Bottomley), Professor Kirk, Professor van Leeuwen (for Professor Roberts), Associate Professor Newitt, Ms Missingham, Professor Abhayapala, Dr Whiting, Professor Dovers, Professor Raymer, Associate Professor Ferris, Dr Schmidt, Professor Elliott, Professor Powers, Professor Ng (for Professor Fargher), Professor Pitchford, Professor Renz, Associate Professor Gani, Professor Lindesay, Associate Professor Kramer, Professor Eggins (for Professor Ireland), Associate Professor Jerjen (for Professor Kewley), Mr Gill, Professor Dodson, Ms Martin, Associate Professor Sadeghi, Ms Stewart, Ms Willis.

Observers: Mr Evans, Dr Eedle, Ms Jenks, Dr Kennedy, Professor Wesley.

Apologies: Professor Cribb, Professor Bottomley, Dr McKinnon, Ms Veness, Professor Carver, Ms Mathey, Professor Ireland, Professor Kewley, Professor Fargher, Dr Fahrer, Dr Orthia, Professor Taylor, Mr Erickson, Professor Huntington.

In Attendance: Ms Easton.

Unconfirmed Minutes

Part 1 – Procedural Items

Item 1 Apologies and Announcements

Item 1.1 Apologies
The apologies recorded above were noted.

Item 1.2 Announcements
The Chair, on behalf of the Academic Board:

- Welcomed Dr Bronwen Whiting who joins the Board from this meeting. This appointment was made under the category ‘Four 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’.
- Bid farewell to Dr Erik Lithander who will be leaving the University to take up a new position as Pro Vice-Chancellor at the University of Bristol.
- Noted that Professor Shirley Leitch, Dean of the ANU College of Business and Economics, will fill the role of Pro Vice-Chancellor (International & Outreach). She will hold this position concurrently with her role as Dean. Professor Leitch will commence in this new role on Monday 2 November.
- Congratulated Ben Gill who has been re-elected as president of ANUSA and will remain on the Board for another 12 months.
• Noted thanks to Ewan Evans, the team in the Academic Quality and Standards Office and staff in the Colleges that had worked hard to prepare the large volume of proposals in time for University Education Committee and the Academic Board.

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: 1-6, 10 – 14, 16 – 20, 22, 23, 28, 33 – 36. The unstarred items were dealt with as proposed in the agenda.

Resolution
The Academic Board resolved to approve unstarred items.

Item 4  Minutes
The Board discussed the Minutes with reference to item 13 ‘Hot Topic: University Medals’ and endorsed the following amendment to the Minutes:
- The Minutes will be amended to reflect that the Agenda item was for discussion only and not for decision as indicated in the Agenda papers.
- The resolution will be amended as below.

The Academic Board discussed the issues and noted the following recommendations would be further considered by the Vice-Chancellor:
1. Support of University medals review Resolutions 2, 3, 4, 6, 8, 9, 12 and 13 as expressed in Appendix 13A.
2. Support of University medals review Resolutions 1, 5, 7, 10 and 11 as amended in Appendix 13A following feedback and consideration.
3. Note that once the final Resolutions are approved by the Vice-Chancellor, an implementation plan will be prepared by the University Medals Committee secretariat in consultation with Colleges.
4. That the implementation plan includes training processes to build capacity in the colleges to accommodate the review changes.
5. That the Awards subgroup be reconstituted and that each college be represented at the Awards subgroup by their longest serving honours convenor.
6. That the College Awards subgroup member be a member of their College Medal Committee. Members do not act as advocates of their particular College's nominees when considering nominations at the ASG meetings, but rather as a resource for more detailed background academic information.
7. That the ANU College of Law be provided an exemption for two years from the 6.5 GPA requirement to allow for recent grading changes to be implemented.

Resolution
Following the amendment outlined above the Academic Board accepted the minutes (381/2015) of meeting 4/2015 of the Academic Board held on 4 August 2015 as a true and accurate record.

Item 5  Matters Arising from the Minutes & Action Items

Resolution
The Academic Board noted the current action items list (803a/2014) and updates on action items as reported.
Item 6  Academic Board Operating Procedures

The Chair advised that the Academic Board operating procedures have been updated to allow an increase in observers from ten to a maximum of fifteen.

Resolution
The Academic Board approved the updated operating procedures.

Item 7  Academic Board Handbook

Resolution
The Academic Board approved the updated handbook.

Item 8  2016 Academic Board meeting dates

<table>
<thead>
<tr>
<th>Meeting</th>
<th>Date</th>
<th>Agenda deadline *</th>
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<tbody>
<tr>
<td>1/2016</td>
<td>Tuesday 8 March</td>
<td>23 February</td>
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<tr>
<td>2/2016</td>
<td>Tuesday 3 May</td>
<td>19 April</td>
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<tr>
<td>3/2016</td>
<td>Tuesday 21 June</td>
<td>7 June</td>
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<tr>
<td>4/2016</td>
<td>Tuesday 2 August</td>
<td>19 July</td>
</tr>
<tr>
<td>5/2016</td>
<td>Tuesday 4 October</td>
<td>20 September</td>
</tr>
<tr>
<td>6/2016</td>
<td>Tuesday 6 December</td>
<td>22 November</td>
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Meetings to be held at 9.30am in the Mills Room.

Resolution
The Academic Board approved the 2016 meeting dates.

Item 9  Appeal Panel appointments

Resolution
The Academic Board approved the appointment of Dr Peter Dean (CAP), Dr Anthony Hopkins (CoL) and the re-appointment of Dr Christine Helliwell (CASS) to the Appeals Panel in accordance with section 13 of the Appeals Rules 2014 for a term of 2 years commencing on 30 September 2015.

Item 10  Confidential Items

There were no confidential items on the Agenda.

Part 2 – Information Flow

Item 11  Report from the Vice-Chancellor

The Vice-Chancellor provided the Board with some commentary on his thoughts on the current politician situation and potential implications for higher education including:

- Recent changes to the prime ministership have seen the appointment of a new Minister for Education, Senator the Hon Simon Birmingham.
- The Australian Labor Party has released its higher education policy. This details a 27% increase in student funding. In reality this would mitigate the Coalition’s proposed 20% cut and add only a very small additional amount.
- Under Minister Pyne we had been advised that the Higher Education reforms that had been stalled in the Senate would be re-considered before the end of the year. At this stage it is possible that the new Education Minister or the Prime Minster might pull the legislation.
- If the government was to take a step away from the legislative reforms we would essentially see the status quo continue for student funding.
- It is assumed at this stage that cuts flagged to research funding will continue as they are decided at the Minsters discretion, rather than requiring a legislative change go through parliament.
• In structuring budget decisions for 2016 the University has assumed that the cuts to research funding will occur.
• Prime Minster Turnbull has been making favourable comments about education and research in the media.
• The Group of Eight is assuming that student funding will maintain the status quo for now and will focus attention on the critical issues relating to research funding.

Resolution
The Academic Board noted the Report and comments made in discussion.

Item 12 Report from the Deputy Vice-Chancellor (Academic)
The Deputy Vice-Chancellor (Academic) provided a written report in the Agenda papers and noted the following updates;
• Three ANU academics have been awarded Office for Learning and Teaching (OLT) Citations for Outstanding Contributions to Student Learning. Dr Tony Foley from the ANU College of Law, and the team of Dr John Debs and Associate Professor Nick Robins from ANU College of Physical and Mathematical Sciences, were officially recognised at a ceremony at Sydney’s Museum of Contemporary Art, at which it was noted how well ANU had done in the world rankings
• edX enrolments for ANU have now past 188,000 students. Currently ‘How to Survive your PhD’ is underway with 1200 enrolled. ‘Introduction to Actuarial Studies’ which commences next month was featured recently in the Australian Financial Review.
• Tertiary Admission Centres: ANU has had applications for membership rejected by SATAC and QTAC. The University will continue to pursue national marketing and admission for our degrees.
• Beonics and Echo360 data reports will be on the Agenda for consideration at the next Senior Management. Results from the first roll out have been interesting, showing a marked drop in lecture attendance from week 3 and a peak in downloading in week 13. It is apparent from the data that many students are neither attending nor listening to lectures. Review of this data present opportunities for a balanced discussion in accommodating the needs of staff and students.

The Board discussed the Beonics and Echo360 reports and noted;
• Does the technology need re-evaluating if students are only using it in week 13? The DVC-A advised that the issue is not the technology alone. The teaching approach may also be a component of the problem. The DVC-A is happy to have further discussion about if the technology is right, but if students are not going to lectures and not listening and still passing the course then teaching activity needs to be examined.
• Reviews of results over recent years have not shown any decline in student performance. If students can pass without lecture materials then that needs to be addressed. If there are concerns about soft marking or declines in student performance then the DVC-A wants to hear about them.
• Discussion of the data will require honing in on appropriate teaching for staff and students.
• Old data from DLD is not useful for comparison as it did not allow fine grained or flexible reporting such as is now available.
• Raw data will be made available to the Colleges so areas can undertake their own analysis. It will not identify individual courses or staff. Currently the equipment is in lecture rooms used predominately for undergraduate teaching covering about 50% of our teaching space. In the next roll out we will be seeking to extend to approximately 98% of our teaching venues. This will allow access to more data in relation to postgraduate courses.

Resolution
The Academic Board noted the Report.
Item 13  Report from the Deputy Vice-Chancellor (Research)
The Deputy Vice-Chancellor (Research) provided a written report in the Agenda papers and noted the following:

- Review of Research Policy and Funding Arrangements: Thank you to Colleges who contributed to the ANU institutional response. The group of Eight DVC-R’s will be meeting with Dr Iain Watt who is conducting the review in about a fortnight.
- The latest QS World University Rankings result for ANU was excellent. The Times Higher Education World University Rankings will be released later this week and are not likely to be as outstanding.
- Colleges and Schools have been asked to identify two research quality measures relevant for that area – citations, h-index, m-index, publishers, journal list, journal impact factor, others etc. – suitable for initial inclusion on the Academic Activity Statement as they evolve to include more comprehensive data for research and education. The University Research Committee will provide further input into the development of appropriate indicators for the University.
- URC discussed how well we support our early career researchers. A Nectar survey will be undertaken to identify whether there are more things we should be doing at the university level. It is important to collect data from our early career researchers as opposed to making assumptions. This topic will come back to the Board for discussion in due course.

Resolution
The Academic Board noted the Report.

Item 14  Report from the Chair
The Chair provided a written report in the Agenda papers and in addition advised Board members that the biennial review of the activities of the Board will take place in October/November this year.

Resolution
The Academic Board noted the Report.

Item 15  Approval by Executive Action
Details of approval by Executive Action;

- Executive Action by the Chair 4/2015
  - Item 1: CBE/RSFAS Foundation Admissions Agreement Template
  - Item 2: CBE/RSFAS Pre-Masters Admission Agreement Template
- Executive Action by the Chair 5/2015
  - CBE transnational program with Tsinghua University
- Executive Action by the Chair 6/2015
  - Appeals Panel appointments
- Executive Action by the Chair 7/2015
  - PhD in Clinical Psychology

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

Item 16 General Question Time
The Deputy Chair of the Board submitted a question for the University Librarian: Would the University Librarian report on the current moratorium on monograph purchases for the Library? The moratorium has been in place for some months now. If it continues without any remedial action it will have significant consequences for ANU research.

The University Librarian provided an overview of the Library’s position noting:

- ANU Library collection building: Based on purchasing and donations. Note some libraries – Oxford, Cambridge, Trinity, national libraries acquire their national output gratis through legal deposit legislation (including these days electronic legal deposit).
- Budget provided by the university ($8.8 m last year and this year).
- Factors affecting purchasing:
Serials and databases have been increasing by approximately 7% per annum for the past 4 years.
Overseas currency – ANU Library expenditure is 12% in local currency. USD is the largest spend – ~66% of payments are for invoices in USD.
Change to exchange rates in the last 3 years:
2013  104.25 cents at beginning of year
2016 we are now below 70 cents
TOTAL fall from 2013 – 31 cents in the dollar (30%)

Collection process
- new serial titles have been purchased by cancelling existing subscriptions
- 2015 review process serials and databases: Ask academics for views (in the case of ABR 5 academics were asked for their views). Obtain information on use. Review cost and cost per use. Consider options for access.

Effect on collection:
- Monographs purchasing texts and priority collection requests – less budget available
- Over 60,000 titles added to the collection so far this year
- Serials and databases – cancellations spread across each major area – G&S (cross disciplinary collections), social science and humanities & business and economics, science & computer science, law, Asia/Pacific

The Board queried whether it wouldn’t be more sensible to set the Library budget in terms of US dollars instead of Australia dollars. The Vice-Chancellor advised that would just transfer the financial issues to another part of the University budget.

Resolution
The Board noted the matters raised.

Part 3 – Strategy & Planning

Item 17    Hot Topic: National Institutes Grant
The Vice-Chancellor introduced this Hot Topic and ask the Board to note the background report provided on the National Institute Grant (NIG). The Vice-Chancellor reported;

- The NIG—$190 million in 2014—accounts for only 3.4 per cent of the Commonwealth’s annual university research investment.
- It is the only research expenditure by the federal government that requires no reporting. The previous Education Minister drew this to the ANU’s attention noting it would make the Minister’s job easier if there was report available on the return it provides and the long term benefit to the nation.
- ANU is a relatively small university, however, it has developed an enviable international reputation. ANU would not be the institution it is without the NIG.
- The NIG over the history of ANU has declined in real dollar terms. This presents a budget challenge.
- The Vice-Chancellor and his successor intend to lobby to retain and also to increase the NIG.

The Vice-Chancellor noted the questions that had been posed for consideration;
1. How can ANU ensure the performance of staff and the university as a whole reaches the highest levels?
2. Should ANU target how it spends the NIG to ensure there is a focus on activities in the national interest? If so, how should ANU do this?
3. Traditionally, the NIG has been used to support research. Should the NIG also support other activities such as education in the national interest or public policy?

The Chair thanked the Vice-Chancellor for his comments and the Board discussed the issues noting;
- It is difficult to know where funding actually goes within the College budgets. The university allocates to Colleges then Colleges decide how the money is allocated. This decision is up to the College Executive and the Dean. The main challenge is that accounting and reporting is not currently sophisticated enough to pin point the spending. The University currently has account codes R, Q, S etc. The NIG sits in the R account but is mixed in with other money.
Discussion have been had about potentially setting up a specific code for NIG money (N?) to allow greater transparency in reporting. Over time we will likely need to be able to account in a more detailed manner but the current finance system is not configured for this.

- The impact the investment has is important. We need to look at how the money is spent not just where it is spent.
- Is the NIG background report a public document? The Vice-Chancellor advised that the report has been provided to the Minister, it is not confidential and can be distributed within Colleges. It is not currently on the ANU web site but the Vice-Chancellor has no objection to it being published. However as a published document he would not want to see the financials broken down into any more detail than is currently provided.
- If more detailed financial reporting was required it would present challenges. The Vice-Chancellor noted no decision has been made yet as to more detailed reporting requirements. There have been some broad discussion with finance people but no definite plans. The only way it may be possible is to divide out the money into a separate category (N?) and then bring in a whole level of additional administration and financial reporting. But the institution would first have to decide if this additional cost was worth the return.
- In considering how we measure the outcome of expenditure, in terms of reporting on outstanding staff there may be other ways to identify ‘outstanding’. As a general observation the number of women looked like no more than 25% in any category. The image the report presents is that there are not that many outstanding women.
- In reporting on the NIG the institution has focused on excellence in areas of the national interest. However if the allocation was to optimise university rankings we probably would expend the money in the way that we do.
- If you wanted to re-allocate money, investing in a new activity, there is a pipeline effect and it could be 10 years before the area becomes self-sustaining.
- The Vice-Chancellor advised the University has made no clear decision to re-allocate the NIG. If indeed the institution decided a new initiative deserved funding then you’d have to harvest it from where it is spent now. No decision has been made, what has been discussed is simply broad ideas. The University needs to consider over time how it might invest in emerging new areas rather than being locked into a historical allocation of funds. A brutal approach would be to cut down spending in an area. Another approach would be an incremental decline, removing a percentage of allocation over time and using that for strategic developments.
- Should the NIG also support other activities such as education in the national interest or public policy? Could the spend on NIG better emphasise research led education practices? Research funding may be used to subsidise education but in some areas education income is used to cross subsidise research. Figures across the sector on this are difficult to obtain.
- Important for transparency of discussion around these issues is reporting on student revenue and how reliant some area are on it.
- Ultimately the funding is for research and it could be politically dangerous to spend on other areas. There are some select areas of national importance such as indigenous education and languages where you may be able to make a strong claim but others might be on shaky ground.

The Chair thanked the Board for their contribution to this discussion and noted that the NIG is an extraordinary gift that makes ANU unique and yet present challenges in moving forward. The questions posed by the Vice-Chancellor are important and Board members are asked to consider them further.

Resolution
The Academic Board discussed the National Institutes Grant.

Item 18  Vice-Chancellors Course – Group Project Report: Women in STEM
The Pro Vice-Chancellor (Student Experience) provided an overview of the report from students undertaking a Vice-Chancellor's course – Group Project Report: Women in STEM. This group project report was by; Allissa Li, Jonathan Tjandra, Meaghan Powell, Katie Ward.

The Pro Vice-Chancellor (Student Experience) noted;
• The students were unable to attend this meeting as they are presenting their report at an Australian conference on undergraduate research.
• The survey had managed to include 1000 respondents which was an excellent achievement.
• Figure 6 in the Report was highlighted: The percentage of male and female students who stated that they have felt uncomfortable or isolated in their respective study environments. In areas that have typically more males, almost 50% of females stated that they have felt uncomfortable or isolated.
• The comments in Appendix 4 are disturbing, the University is obligated to address these issues.
• Right through the student portfolio there has been encouragement for bystander intervention, ‘the standard you walk past is the standard you accept’.
• The Pro Vice-Chancellor (Student Experience) encouraged Board members to read carefully and consider in other disciplines which are male dominated at the university.

The Chair on behalf of the Board noted thanks to the students for their outstanding work on the report.

The Deputy Vice-Chancellor (Academic) noted that this report presented serious issues that the University needed to consider and discuss. If women are not applying for level D and E position maybe there are some issues that stem back to our pipeline in education. Diversity is not an obligation it is desirable.

The Board noted that this is a serious issue that has been presented in many types of research but there is still no clear indication of how it should be addressed. Asking students to speak up about these issues can be intimidating for them. A big consideration is how can we address staff that are having a negative impact, how can we turn this issue around?

There are initiatives under way across campus: including activity in ANUSA women’s department, ANU College of Engineering and Computer Science. Science have distributed this report widely and it is being discussed in disciplines. This has been a pivotal report in focusing attention on these issues.

The Board agreed that the report was an excellent piece of work by the students and the findings were shocking and needed urgent addressing.

Resolution
The Academic Board noted the report and congratulates the authors. The Board was shocked and disturbed by the content given years of discussion about these matters. We recognise it is a cultural problem reflective of ongoing cultural issues of this institution and as a Board we are support of activities to change this culture.

Action
The Vice-Chancellor will discuss this report with the gender insight committee and report back to the Academic Board.
The Chair will send a message to the University community, on behalf of the Board, highlighting this discussion and calling for action to address it.

Part 4 – Academic Quality and Standards

Item 19 Academic Calendar
The Deputy Vice-Chancellor (Academic) provided an overview of the proposal for an Academic Calendar for introduction from 2017. This issue has been discussed extensively across the education committees. In 2017 a critical driver for the decision is the lunar calendar and the timing of graduations. University Education Committee looked at the possibility of adjusting dates. The
University is loath to reduce any time for marking. Students have strongly indicated that the mid semester break is important to them. Therefore the only option left is that the length of the semester had to give. The largest concern in these discussion has been around the floating break. The Registrar (Student Administration) will work with University Education Committee and try to keep these as flexible as possible.

The Board discussed the proposal and Science noted that the 2018 dates had some drastic implications for their teaching. It was agreed that the third recommendation in the agenda would be amended to endorse the 2017 dates and that the 2018 dates would go back to University Education Committee for further discussion.

The Board also noted that this discussion only relates to the standard Semester 1 and Semester 2 timetable. Areas that have specialist timetables (such as Medical School) are not affected.

One Board member, Associate Professor Sadeghi asked that her objection to this proposal be recorded.

Resolution
The Academic Board approved the following recommendations:
1. A 12-week semester with a two week teaching break for introduction in 2017;
2. That the default model for teaching be 6-2-6, with the possibility of moving the teaching break a week to allow for public holidays (i.e. potentially 5-2-7 or 7-2-5);
3. The revised dates for the 2017 Academic Calendar, noting that the 2018 dates will be discussed further by University Education Committee
4. That the Division of Student Administration prepare a list of implementation considerations and provide a progress report to UEC1/2016.

*2017 dates accepted noting that at University Education Committee Science wish to discuss the floating break for S1, 2017 further to mitigate any impact on teaching patterns.

Item 20 Audit of low enrolment courses from 2014
The Deputy Vice-Chancellor (Academic) advised this is a report on the annual process to review courses with low enrolment numbers from the Colleges and to propose an enhanced approach to the audit of low enrolment courses (from 2015) for 2016.

The Deputy Vice-Chancellor (Academic) had requested the advice of College General Managers (GMs) on administrative strategies that might improve the management of micro-load and low enrolment courses across the University. Recommendation from the GMs were included in the report. Courses designated as being of strategic national importance could perhaps be coded so they are made universally available or available online to external students. Areas such as Persian and Vietnamese have made their courses online and have subsequently seen an increase in enrolment.

Resolution
The Academic Board approved the following recommendations:
1. That the courses indicated in Appendix 20A 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 6/2015.
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 20A.
4. The enhanced low enrolment courses process, including the following key to be used:
   - A = retain for national significance
   - B = retain courses that demonstrably contribute to the research training mission of the University
   - C = retain courses that ensure program flexibility to support mid-year admission processes
   - D = retain courses that are co-badged
   - E = retain courses that are shells for exchange and internships
   - F = under review
   - G = cease intake from X date
5. That nationally significant courses should encourage increased enrolment as part of the ANU mission as the national university. These courses will be open as electives to students from any college and program across campus (noting prerequisite requirements for some of these courses).

6. Note the proposed revised KPI on low enrolment courses of 1 EFSTL for 2016 that is being discussed with college deans.

### Item 21 Results of the national 2014 University Experience Survey

**Resolution**

The Academic Board noted the large-scale initiatives to address the issue of learning engagement provided by the colleges.

### Item 22 Vertical double degrees

The Deputy Vice-Chancellor (Academic) advised this is an update for Board members on the progress of the development of flexible vertical double degrees. It will not change any allocation of commonwealth supported places.

**Resolution**

That Academic Board approve the following recommendations:

1. That further development of flexible vertical double degrees continue, with acknowledgement that finalised models and credit arrangements would come back through UEC and Academic Board after further development of the principles below by the Double Degree Project Management Group in consultation with colleges.
   a. That the bachelor component of the vertical double degree is treated as a pathway, similar to 3+1 honours.
   b. The pathway option is built into existing bachelor program orders so students can ‘opt in’ to the pathway during their bachelor degree.
   c. The bachelor/master package is 192 units (4 years).
   d. 3 year single pass degrees are proposed for the first phase of the model.
   e. 2 year master degrees are proposed for the first phase of the model (not masters advanced or extended).
   f. Cross credit, as specified credit would consist of 24 units of master courses which would contribute towards completion of the bachelor degree (electives) and 24 units of the bachelor degree would contribute towards the masters.
   g. That master degrees in the model would need to identify 24 units of courses that can be appropriately substituted by advanced (3000 level) undergraduate courses, courses from specified cognate subject areas or free electives.
   h. Program orders would be designed to create universal statements of requirements.
   i. All 96 unit master degrees would include 24 units of introductory courses, a 48 unit core (which may include a 24 unit specialisation) and 24 units of free electives.
   j. Students would be advised on program choice to recommend appropriate sequencing (e.g. undertake introductory courses first).

2. The indicative degrees (both bachelor and master) from the colleges (see Appendix 22A feedback sheet) would be included in the revised flexible vertical doubles.

3. Note that students will always be informed about the fee basis of their enrolment, especially for the full fee-paying masters courses and that this will be incorporated into a comprehensive communication campaign and user testing of the letter of offer to ensure students understand the fee requirements of the vertical double degrees.

4. That a model to accommodate master degrees of more than 2 years duration (e.g. Juris Doctor) would be further developed by the DDPMG in consultation with the ANU College of Law.

5. That masters advanced degrees would not comply with the flexible vertical double degree model at this time.

6. That the Coursework Admissions and Awards Committee provide a recommendation to the University Education Committee on a consistent hurdle requirement over the first 96 units undertaken to allow students to enrol in the master courses in the final 48 units and that hurdle requirement is consistent with external admission standards for the masters degree.
Item 23  Proposal to establish a common framework for ANU internships
The Pro Vice-Chancellor (Student Experience) provided an overview of the proposal to establish a Group to develop an “ANU internship” course which would be available across the University; and a structure to enable better coordination of the development of internship opportunities and ongoing coordination of established internship offerings across ANU.

The Pro Vice-Chancellor (Student Experience) noted that the proposal is to set up a working party and that the working party has actually already met. This is not proposing replacing any existing programs.

The Pro Vice-Chancellor (Research & Research Training) noted that there would be value in including HDR in these discussion. The Pro Vice-Chancellor (Student Experience) noted that PARSA had already raised some issues and they could discuss this issue further offline.

Resolution
That Academic Board endorse the following recommendations:
(i) the establishment of an Internships Project Management Group to further develop the proposal to establish a University-wide internships program, commencing with domestic internships in the first instance.
(ii) taking into consideration issues raised in feedback from UEC.
(iii) membership of the Group will include a member of academic staff from each of the ANU Colleges; Registrar, Division of Student Life or nominee; Registrar, Division of Student Administration or nominee; representatives from ANUSA and PARSA. The Group will be chaired by the Pro Vice-Chancellor (Student Experience) Professor Richard Baker.
(iv) the Group will report to UEC 1/2016, with an interim report, including terms of reference, to be provided to UEC 6/2015.

Item 24 Program Levels and Awards

Resolution
The Academic Board approved the following recommendations:
1. That the Chancellor’s Letter of Commendation be ceased for graduate coursework;
2. That the criteria for the Chancellor’s Letter of Commendation for undergraduate students be revised to a GPA of 7; and
3. That the following key principles for the awarding of exit levels be adopted and incorporated into the Coursework Award Rules and the Student Assessment (Coursework) policy for effect from 1 January 2016:
   • Exit levels are universally awarded and calculated in Master degree programs, unless an exemption request is received and approved by Academic Board;
   • That 'with Commendation’ is awarded to students with weighted average of 80% higher;
   • The calculation for an exit level includes all ANU courses taken in a graduate degree and counting towards the degree being awarded, whether taken in the degree being awarded or under another ANU graduate degree and awarded as credit to the degree being awarded; and
   • The calculation excludes all courses taken at another higher education institution or in an undergraduate degree that have been credited.

Item 25 Medical School Student Fraud and Academic Integrity

Resolution
The Academic Board noted the information on actions undertaken by the ANU Medical School to ensure robust academic integrity practices.

Item 26  Graduations Documents and Publications

Resolution
The Academic Board approved changes to graduation document delivery so that graduands are provided with a tube on stage that contains their Testamur(s) and have their AHEGS and transcript available in digital version only on Digitary®.
Item 27  Postgraduate Research Experience Survey (PRES) Report

Resolution
The Academic Board noted the preliminary results of the Postgraduate Research Experience survey.

Item 28  Online Trimesters 2016
The Deputy Vice-Chancellor (Academic) outlined the proposed implementation of a trimester model from 2016 for programs delivered completely online. Noting that other Colleges that are not delivering wholly online programs are not invited to participate.

ANU College of Law advised that they were now not intending to use the model as the program was not wholly online. The Deputy Vice-Chancellor (Academic) indicated she would discuss this further with ANU College of Law offline.

The Board queried how this proposal fits in with the University enterprise bargaining agreement. The Deputy Vice-Chancellor (Academic) advised that the EB does not specify hours and this is in alignment with the principles in the EB.

Resolution
The Academic Board approved:
1. The proposed trimester model for programs approved for fully online delivery in trimesters for implementation from Trimester 2 2016; and
2. The proposed 2016 trimester dates.

Part 5 – Policy

Item 29  Supervision and Candidature Policy Framework

Resolution
1. The Academic Board endorsed the following new policy documents effective from 1 January 2016 for transmission to the Vice-Chancellor for approval:
   a. The new Higher Degree by Research: Supervision Policy;
   b. The new Higher Degree by Research: Supervision Procedure;
   c. The new Higher Degree by Research: Candidature Policy;
   d. The new Higher Degree by Research: Candidature Procedure;
2. The Board endorsed the repeal of the following policy documents from 1 January 2016:
   a. Code of Practice – Supervision in Higher Degrees by Research Policy; and

Item 30  Glossary: Student Policies and Procedures

Resolution
The Academic Board approved the proposed new definitions for the Glossary: Student Policies and Procedures.

Part 6 – Reports

Item 31  Report from University Education Committee

Resolution
The Academic Board noted the report.

Item 32  Report from University Research Committee

Resolution
The Academic Board noted the report.
Part 7 – Accreditation

*Item 33 Undergraduate Awards

*33.1 New Undergraduate Awards

Resolution

The Academic Board approved the following undergraduate Award be accredited as detailed below.

Bachelor of Philosophy (Honours) – Asia-Pacific; APASP

*33.2 Amendments to Undergraduate Awards

Resolution

The Academic Board approved the amendments to undergraduate Awards be accredited as detailed below.

<table>
<thead>
<tr>
<th>College</th>
<th>Code</th>
<th>Award</th>
<th>Summary</th>
<th>Comment</th>
</tr>
</thead>
<tbody>
<tr>
<td>CAP</td>
<td>HINSS</td>
<td>Bachelor of International Security Studies (Honours)</td>
<td>Honours Amendment for compliance with the Honours Working Party Recommendations</td>
<td></td>
</tr>
<tr>
<td>CASS</td>
<td>BAHCR</td>
<td>Bachelor of Art History and Curatorship</td>
<td>This amendment reflects the removal of a disestablished major and addition of courses newly available to the program.</td>
<td></td>
</tr>
<tr>
<td>CASS</td>
<td>BPLSC</td>
<td>Bachelor of Political Science</td>
<td>This amendment adds a first year course to the program orders to allow it to articulate properly in the flexible double degrees.</td>
<td></td>
</tr>
<tr>
<td>CASS</td>
<td>HLANG</td>
<td>Bachelor of Languages (Honours)</td>
<td>The Bachelor of Languages Honours is amended to make it consistent with the recommendations of the CASS AQF Level 8 Inquiry. The amendments are consistent with ANU Honours Working Party Final Report dated 26 August. All new courses required for this proposal have been approved and submitted to Course Registry. This amendment replaces a 48 unit shell with 24 units of coursework including a minimum of 12 units of research training, and a 24 unit CASS-wide thesis</td>
<td></td>
</tr>
<tr>
<td>CECS</td>
<td>BIT</td>
<td>Bachelor of Information Technology</td>
<td>Changes to the core requirements to provide an alternate pathway that allows for a more phased introduction to programming, instead of the existing pathway of COMP1100 and COMP1110. This alternate pathway involves the use of three courses:</td>
<td></td>
</tr>
</tbody>
</table>
### ATTACHMENT 38.1

**COMP1030** The Art of Computing (existing VC’s course with a new course code);  
**COMP1040** The Craft of Computing (existing course) and  
**COMP2140** Java Programming (a new course - NB. This is, in effect, reactivating a currently inactive course COMP2750 Java Programming for New Media). We strongly feel that this will result in increased student satisfaction and retention in the program.

### Amendments to:

- The program’s admission requirements – the current requirements are convoluted and quite difficult for students to understand and staff to enforce. This amendment sees a simplification of the requirements.
- The program’s requirements – there are several feeder degrees for the BAPS(YiA) which is available for internal transfer only. One of the degrees is the Bachelor of Asian Studies which no longer requires majors/minors to be taken. In order to accommodate students transferring from multiple origin degrees, mention of majors and minors have been removed from the program orders and replaced with direct reference to the requirements of the origin degrees themselves.
- Minor wording update to program description on Programs and Courses
- The program’s learning outcomes – revised to be more appropriate to structure of program.

### CAP BAPYA

Bachelor of Asia Pacific Studies (Year in Asia)

### CAP BASIA

Bachelor of Asian Studies

The Bachelor of Asian Studies Steering Committee met several
<table>
<thead>
<tr>
<th>University</th>
<th>Course Code</th>
<th>Degree</th>
<th>Changes</th>
</tr>
</thead>
<tbody>
<tr>
<td>CAP</td>
<td>BINSS</td>
<td>Bachelor of International Security Studies</td>
<td>Addition of Chinese Studies and Historical International Security Minors to program requirements. Remove Classical Chinese from the available minors in the program requirements. Update the &quot;Peace Conflict &amp; War Minor&quot; title to the new name - &quot;Peace and Conflict Studies&quot; - in the program requirements.</td>
</tr>
<tr>
<td>CAP</td>
<td>HASIA</td>
<td>Bachelor of Asian Studies (Honours)</td>
<td>Honours Amendment for compliance with the Honours Working Party Recommendations</td>
</tr>
<tr>
<td>CASS</td>
<td>APHAR</td>
<td>Bachelor of Philosophy (Honours)</td>
<td>Amendment to the award rules to reflect the availability of addition majors to the degree, and removal of one major that will be disestablished. It also implements changes required by the PhB working party.</td>
</tr>
<tr>
<td>CASS</td>
<td>BARTS</td>
<td>Bachelor of Arts</td>
<td>This amendment reflects the removal of disestablished majors and minors and addition of minors newly available to the program</td>
</tr>
<tr>
<td>CASS</td>
<td>ELANG</td>
<td>Diploma of Languages</td>
<td>The Diploma of Languages requires completion of the learning outcomes of a major. Initially, this could only be done by completing a major. However, for students who have prior knowledge of a language, CASS has developed minors in Advanced Languages that require completion of the “upper half” of a major. Characteristics of these minors are that they have identical learning outcomes to the major, require 3000-level courses, and contain no 1000-level courses. This creates a more flexible diploma where students can complete a minor in an Advanced Language and either a second minor or a selection of other language courses.</td>
</tr>
<tr>
<td>Institution</td>
<td>Program</td>
<td>Description</td>
<td></td>
</tr>
<tr>
<td>-------------</td>
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<td></td>
</tr>
<tr>
<td>CASS HARTS</td>
<td>Bachelor of Arts (Honours)</td>
<td>With the creation of Sub-plans for Honours Specialisations, we are amending the Program to remove all the individual admission statements and orders for each discipline or field, which are now transferred into the admission statements and orders for each Honours Specialisation.</td>
<td></td>
</tr>
<tr>
<td>CASS HART2</td>
<td>Bachelor of Arts (Honours) 2</td>
<td>With the creation of Sub-plans for Honours Specialisations, we are amending the Program to remove all the individual admission statements and orders for each discipline or field, which are now transferred into the admission statements and orders for each Honours Specialisation.</td>
<td></td>
</tr>
<tr>
<td>CBE BFINN</td>
<td>Bachelor of Finance</td>
<td>Two amendments are proposed. The first amendment to the Bachelor of Finance is to introduce a new major within the program, the major in Asian Capital Markets. The new major was devised following discussions with Singapore Management University in March 2015. As part of the new major, students will have the option of attending one semester on exchange at an Asian university resulting in exposure to the study and practice of finance within Asia. The second amendment is to include ECON2101 Microeconomics 2 as a compulsory course in the degree. At present, students can choose 12 units of list 1 courses in the College of Business and Economics. This will change to 6 units of list 1 elective courses in the College of Business and Economics.</td>
<td></td>
</tr>
<tr>
<td>CBE HACCT</td>
<td>Bachelor of Accounting (Honours)</td>
<td>Honours Amendment for compliance with the Honours Working Party Recommendations</td>
<td></td>
</tr>
<tr>
<td>CBE HACTS</td>
<td>Bachelor of Actuarial Studies (Honours)</td>
<td>Honours Amendment for compliance with the Honours Working Party Recommendations</td>
<td></td>
</tr>
<tr>
<td>CBE HBUSA</td>
<td>Bachelor of Business Administration (Honours)</td>
<td>Honours Amendment for compliance with the Honours Working Party Recommendations</td>
<td></td>
</tr>
<tr>
<td>CBE</td>
<td>HCOMM</td>
<td>Bachelor of Commerce (Honours)</td>
<td>Honours Amendment for compliance with the Honours Working Party Recommendations</td>
</tr>
<tr>
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<td>--------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>CBE</td>
<td>HFINN</td>
<td>Bachelor of Finance (Honours)</td>
<td>Honours Amendment for compliance with the Honours Working Party Recommendations</td>
</tr>
<tr>
<td>CBE</td>
<td>HSTAT</td>
<td>Bachelor of Statistics (Honours)</td>
<td>Honours Amendment for compliance with the Honours Working Party Recommendations</td>
</tr>
<tr>
<td>CMBE</td>
<td>APSYC</td>
<td>Bachelor of Psychology (Honours)</td>
<td>Honours Amendment for compliance with the Honours Working Party Recommendations</td>
</tr>
<tr>
<td>Science</td>
<td>APHSC</td>
<td>Bachelor Philosophy (Honours)</td>
<td>Honours Amendment for compliance with the Honours Working Party Recommendations</td>
</tr>
<tr>
<td>Science</td>
<td>APNSC</td>
<td>Bachelor Philosophy (Honours)/Bachelor of Science (Honours) – ANU as home</td>
<td>Honours Amendment for compliance with the Honours Working Party Recommendations</td>
</tr>
<tr>
<td>Science</td>
<td>APNSN</td>
<td>Bachelor Philosophy (Honours)/Bachelor of Science (Honours) – NUS as home</td>
<td>Honours Amendment for compliance with the Honours Working Party Recommendations</td>
</tr>
<tr>
<td>Science</td>
<td>ASCAD</td>
<td>Bachelor of Science (Advanced) (Honours)</td>
<td>Honours Amendment for compliance with the Honours Working Party Recommendations</td>
</tr>
<tr>
<td>CBE</td>
<td>AFEST</td>
<td>Bachelor of Finance, Economics and Statistics (Honours)</td>
<td>This proposal is to satisfy the UEC condition that was placed on accrediting the BFES, namely that the “Bachelor of Finance, Economics and Statistics (Honours): Accredit until 31 December 2020 subject to revisions being endorsed by UEC 5/2015 to be compliant with the Honours Working Party Recommendations.” Specifically, this proposal changes the study requirements and orders for the honours component of the BFES to reflect that students should complete 48 units from completion on an honours specialisation in finance, economics or statistics.</td>
</tr>
<tr>
<td>CBE</td>
<td>HECON</td>
<td>Bachelor of Economics (Honours)</td>
<td>Honours Amendment for compliance with the Honours Working Party Recommendations</td>
</tr>
</tbody>
</table>
*33.3 New Undergraduate Majors, Minor and Specialisations*

**Resolution**

The Academic Board approved the following undergraduate majors, minors and specialisations be accredited as recommended by the relevant College Education Committee or as specified under ‘Comments’ below.

<table>
<thead>
<tr>
<th>Specialisation Type</th>
<th>College</th>
<th>Code</th>
<th>Name</th>
<th>Comment</th>
</tr>
</thead>
<tbody>
<tr>
<td>Honours Specialisation</td>
<td>CASS</td>
<td>ANTH-HSPC</td>
<td>Anthropology</td>
<td></td>
</tr>
<tr>
<td>Honours Specialisation</td>
<td>CASS</td>
<td>ARCH-HSPC</td>
<td>Archaeology</td>
<td></td>
</tr>
<tr>
<td>Honours Specialisation</td>
<td>CASS</td>
<td>ARTH-HSPC</td>
<td>Art History and Theory</td>
<td></td>
</tr>
<tr>
<td>Honours Specialisation</td>
<td>CASS</td>
<td>BIAN-HSPC</td>
<td>Biological Anthropology</td>
<td></td>
</tr>
<tr>
<td>Honours Specialisation</td>
<td>CASS</td>
<td>CLAS-HSPC</td>
<td>Classical Studies</td>
<td></td>
</tr>
<tr>
<td>Honours Specialisation</td>
<td>CASS</td>
<td>DEST-HSPC</td>
<td>Development Studies</td>
<td></td>
</tr>
<tr>
<td>Honours Specialisation</td>
<td>CASS</td>
<td>DIGH-HSPC</td>
<td>Digital Humanities</td>
<td></td>
</tr>
<tr>
<td>Honours Specialisation</td>
<td>CASS</td>
<td>ENGL-HSPC</td>
<td>English</td>
<td></td>
</tr>
<tr>
<td>Honours Specialisation</td>
<td>CASS</td>
<td>EURO-HSPC</td>
<td>Contemporary Europe</td>
<td></td>
</tr>
<tr>
<td>Honours Specialisation</td>
<td>CASS</td>
<td>GSXC-HSPC</td>
<td>Gender, Sexuality and Culture</td>
<td></td>
</tr>
<tr>
<td>Honours Specialisation</td>
<td>CASS</td>
<td>MECA-HSPC</td>
<td>Middle Eastern and Central Asian Studies</td>
<td></td>
</tr>
<tr>
<td>Honours Specialisation</td>
<td>CASS</td>
<td>MUSI-HSPC</td>
<td>Music</td>
<td></td>
</tr>
<tr>
<td>Honours Specialisation</td>
<td>CASS</td>
<td>PHIL-HSPC</td>
<td>Philosophy</td>
<td></td>
</tr>
<tr>
<td>Honours Specialisation</td>
<td>CASS</td>
<td>SOCY-HSPC</td>
<td>Sociology</td>
<td></td>
</tr>
<tr>
<td>Honours Specialisation</td>
<td>CMBE</td>
<td>POTE-HSPC</td>
<td>Physics of the Earth</td>
<td></td>
</tr>
<tr>
<td>Honours Specialisation</td>
<td>CPMS</td>
<td>DEST-HSPC</td>
<td>Science Communication</td>
<td></td>
</tr>
<tr>
<td>Honours Specialisation</td>
<td>CPMS</td>
<td>ASTR-HSPC</td>
<td>Astronomy and Astrophysics</td>
<td></td>
</tr>
<tr>
<td>Honours Specialisation</td>
<td>CMBE/CPMS</td>
<td>MAAC-HSPC</td>
<td>Mathematical Applications and Computations</td>
<td></td>
</tr>
<tr>
<td>Honours Specialisation</td>
<td>CPMS</td>
<td>MATH-HSPC</td>
<td>Mathematics</td>
<td></td>
</tr>
<tr>
<td>Honours Specialisation</td>
<td>CPMS</td>
<td>PHYS-HSPC</td>
<td>Physics</td>
<td></td>
</tr>
<tr>
<td>Major</td>
<td>CBE</td>
<td>ACMK-MAJ</td>
<td>Asian Capital Markets</td>
<td></td>
</tr>
<tr>
<td>Minor</td>
<td>CASS</td>
<td>ALAT-MIN</td>
<td>Advanced Latin</td>
<td></td>
</tr>
<tr>
<td>Minor</td>
<td>CASS</td>
<td>FOLI-MIN</td>
<td>Forensic Linguistics</td>
<td></td>
</tr>
<tr>
<td>Minor</td>
<td>CAP</td>
<td>HINS-MIN</td>
<td>Historical International Security</td>
<td></td>
</tr>
<tr>
<td>Honours Specialisation</td>
<td>CASS</td>
<td>ASPA-HSPC</td>
<td>Asia-Pacific Studies</td>
<td></td>
</tr>
</tbody>
</table>
Honours Specialisation | College | Code | Name |
--- | --- | --- | --- |
CASS | AINS-HSPC | Australian Indigenous Studies |
CASS | HIST-HSPC | History |
CASS | LANG-HSPC | Language Studies |
CASS | PSIR-HSPC | Politics and International Relations |
CBE | ACCT-HSPC | Accounting |
CBE | BISS-HSPC | Business Information Systems |
CBE | FINM-HSPC | Finance |
CBE | INBS-HSPC | International Business |
CBE | MGMT-HSPC | Management |
CBE | MKTG-HSPC | Marketing |
CBE | STAT-HSPC | Statistics |
CAP | PECO-MAJ | Peace and Conflict Studies |
CAP | PECO-MIN | Peace and Conflict Studies |
CASS | DIHU-MAJ | Digital Humanities |
CASS | AAGR-MIN | Advanced Ancient Greek |
CBE | APEC-HSPC | Applied Economics |

*33.4 Disestablishment of Undergraduate Minors and Specialisations*

**Resolution**
The Academic Board approved the following undergraduate minor and specialisations be disestablish as recommended by the relevant College Education Committee and University Education Committee.

<table>
<thead>
<tr>
<th>Specialisation Type</th>
<th>College</th>
<th>Code</th>
<th>Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>Major</td>
<td>CASS</td>
<td>ASAH-MAJ</td>
<td>Asian Art History</td>
</tr>
<tr>
<td>Minor</td>
<td>CASS</td>
<td>CULT-MIN</td>
<td>Cultural Studies</td>
</tr>
<tr>
<td>Major</td>
<td>CAP</td>
<td>PCWS-MAJ</td>
<td>Peace, Conflict &amp; War Studies</td>
</tr>
<tr>
<td>Minor</td>
<td>CAP</td>
<td>PCWS-MIN</td>
<td>Peace, Conflict &amp; War Studies</td>
</tr>
</tbody>
</table>

33.5 College-approved changes for noting

**Resolution**
The Academic Board noted that amendments to the following undergraduate Awards, majors, minors and specialisations have been approved by the relevant ANU College.
**Item 34  Graduate Coursework Awards**

*34.1  New Graduate Awards*

**Resolution**

The Academic Board approved the following graduate coursework Awards be accredited as recommended by the relevant College Education Committee and University Education Committee.

<table>
<thead>
<tr>
<th>College</th>
<th>Code</th>
<th>Award</th>
<th>Summary</th>
</tr>
</thead>
<tbody>
<tr>
<td>CAP</td>
<td>MEMOL</td>
<td>Master of Environmental Management and Development - Online</td>
<td>The Master of Environmental Management and Development - Online takes the existing on-campus MEMD and creates a fully online offering designed to deliver the same quality of learning outcomes and experience for fully online students. The teaching program is working with Digital Learning Project of the ANU College of Asia and the Pacific to harness the academic expertise, research-led education focus and powerful professional networking experience of the on-campus degree and design and deliver a world-class online degree, purpose-built and informed by both the pedagogy of online teaching and learning, and the undoubted depth of experience in the current teaching staff. The program is conducted online and will not be registered on CRICOS.</td>
</tr>
<tr>
<td>CAP</td>
<td>VDIPL</td>
<td>Master of Diplomacy (Advanced)</td>
<td>The Master of Diplomacy (Advanced) Award comprises (i) a 72 unit coursework component and (ii) a 24 unit thesis component. It provides students with knowledge and skills that enhance their study and career options: in particular with a pathway to doctoral programs that have a research thesis as a prerequisite and to careers in diplomacy, including in the research units of diplomacy organisations. The Award provides Diplomacy students with the same study options, including pathways to doctoral study, as other graduate students in the Coral Bell School and supports the new requirements for entry into ANU (and other) doctoral programs. The proposed coursework component will be similar to the Master of Diplomacy (amendment to which is currently pending approval) but has an additional 12 unit course on research and methodology skills.</td>
</tr>
<tr>
<td>CAP</td>
<td>DIAFF</td>
<td>Graduate Diploma of International Affairs</td>
<td>The Graduate Diploma of International Affairs (GDIA) provides a unique program of study across a breadth of courses allowing students to understand international and strategic affairs, with particular reference to the governance and politics of the Asia Pacific region, and Australia’s place in it. It thus contributes both to the aims of the University as stated in ‘ANU by 2020’, and to the Bell School’s strategic goal of producing the world’s best graduate and professional education in international relations, strategic studies, diplomacy and Asia Pacific politics. The Graduate Diploma aligns with University’s aims as stated in ‘ANU by 2020’ to enhance postgraduate coursework numbers, and to develop the provision and use of a diverse range of entry mechanisms for students, allowing a broad range of students to have access to ANU’s educational experience. The</td>
</tr>
</tbody>
</table>
Graduate Diploma provides more flexible entry and exit pathways to and from graduate studies that can accommodate student needs and shifting circumstances. Through this, it enhances opportunities for training and education, particularly for part-time students from the public and government sector seeking to build their knowledge of and skills in regional and international politics, security and diplomacy. The program will contribute to the University’s goal of building a critical mass of research and education in public and international policy.

Item 34.2 Amendments to Graduate Coursework Awards

Recommendation
That the Committee recommend the amendments to graduate coursework Awards be approved and accredited as detailed below.

<table>
<thead>
<tr>
<th>College</th>
<th>Code</th>
<th>Award</th>
<th>Summary</th>
</tr>
</thead>
<tbody>
<tr>
<td>CASS</td>
<td>CARTS</td>
<td>Graduate Certificate of Arts</td>
<td>Amendment to the program rules to include the newly created Humanities Specialisation</td>
</tr>
<tr>
<td>CASS</td>
<td>CSTUD</td>
<td>Graduate Certificate of Studies</td>
<td>This amendment changes the mode of delivery to include an online version. This is manageable for a small program and is being carried out to offset the removal of the Master of Studies as an online program.</td>
</tr>
<tr>
<td>CASS</td>
<td>CSTOL</td>
<td></td>
<td></td>
</tr>
<tr>
<td>CASS</td>
<td>MAHCS</td>
<td>Master of Art History and Curatorial Studies</td>
<td>This amendment removes one disestablished course from the degree and adds newly created courses to the elective list. We also update the admission statement.</td>
</tr>
<tr>
<td>CASS</td>
<td>MARSC</td>
<td>Master of Archaeological Science</td>
<td>This amendment updates and adds newly created courses to the award rules, updates the description and admission statement.</td>
</tr>
<tr>
<td>CASS</td>
<td>MBIAN</td>
<td>Master of Biological Anthropology</td>
<td>This amendment updates the award orders, admission statement and cognate disciplines</td>
</tr>
<tr>
<td>CASS</td>
<td>MDIGA</td>
<td>Master of Digital Arts</td>
<td>This amendment updates the admission statement. We add a no double counting rule to the award orders.</td>
</tr>
<tr>
<td>CASS</td>
<td>MHIST</td>
<td>Master of History</td>
<td>This amendment adds new courses created in the last year to the award order, adds a double counting rule; updates the admission requirements.</td>
</tr>
<tr>
<td>CASS</td>
<td>MMUSI</td>
<td>Master of Music</td>
<td>This amendment updates the admission statement. We add a</td>
</tr>
<tr>
<td>Program</td>
<td>Course Code</td>
<td>Degree Name</td>
<td>Description</td>
</tr>
<tr>
<td>--------------</td>
<td>-------------</td>
<td>-------------------------------------------</td>
<td>---------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>CASS</td>
<td>MTRAN</td>
<td>Master of Translation</td>
<td>This amendment removes disestablished structures from the award order, adds a double counting rule, and updates the cognate disciplines and admission requirements.</td>
</tr>
<tr>
<td>CASS</td>
<td>MVISA</td>
<td>Master of Visual Arts</td>
<td>This amendment moves a course between lists and adds a no double counting rule in the orders. We update the admission statement.</td>
</tr>
<tr>
<td>CASS</td>
<td>VAHCS</td>
<td>Master of Art History and Curatorial Studies (Advanced)</td>
<td>This amendment removes one disestablished course from the degree and adds newly created courses to the elective list. We also update the admission statement.</td>
</tr>
<tr>
<td>CASS</td>
<td>VBIAN</td>
<td>Master of Biological Anthropology (Advanced)</td>
<td>This amendment updates the award orders, admission statement and cognate disciplines.</td>
</tr>
<tr>
<td>CASS</td>
<td>VHIST</td>
<td>Master of History (Advanced)</td>
<td>This amendment adds new courses created in the last year to the award order, adds a double counting rule; updates the admission requirements.</td>
</tr>
<tr>
<td>CASS</td>
<td>VIIMW</td>
<td>Master of Islam in the Modern World (Advanced)</td>
<td>This amendment updates the admission statement. We add a no double counting rule to the award orders.</td>
</tr>
<tr>
<td>CASS</td>
<td>VMUHS</td>
<td>Master of Museum and Heritage Studies (Advanced)</td>
<td>This amendment adds two courses to the award orders, updates the Thesis course, adds a double counting rule, and updates the admission requirements.</td>
</tr>
<tr>
<td>CASS</td>
<td>VTRAN</td>
<td>Master of Translation (Advanced)</td>
<td>This amendment removes disestablished structures from the award order, adds a double counting rule, and updates the cognate disciplines and admission requirements.</td>
</tr>
<tr>
<td>CASS</td>
<td>VVISA</td>
<td>Master of Visual Arts (Advanced)</td>
<td>This amendment moves a course between lists and adds a no double counting rule in the orders. We update the admission statement.</td>
</tr>
<tr>
<td>CBE</td>
<td>7418XMFIN</td>
<td>Master of Finance</td>
<td>This proposal recommends increasing the number of electives available to students enrolled in the Master of Finance. Currently students have one elective in their initial component, and no electives in the concluding component. This proposal allows students to have 12 units of specified electives in their concluding component.</td>
</tr>
<tr>
<td>Program</td>
<td>Description</td>
<td></td>
<td></td>
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<tr>
<td>---------</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Further, currently students who do not achieve the 60% weighted average mark in the initial component are transferred to the Graduate Diploma in Finance, Actuarial Studies and Applied Statistics with a specialisation in Finance. This proposal recommends changing this requirement to: students who do not achieve the 60% weighted average mark in the initial component are transferred to the Master of Applied Finance. The Master of Applied Finance does not have a hurdle rate.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>CAP</td>
<td>MAPST</td>
<td>Master of Asia-Pacific Studies</td>
<td></td>
</tr>
<tr>
<td>It has become evident that the structure of the new MAPS is flawed due to the lack of appropriate core courses to meet the objectives of the program and the interest of the students. This amendment adds a number of new dedicated graduate courses and a number of courses from elsewhere in the College.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>CAP</td>
<td>MPUAD</td>
<td>Master of Public Administration</td>
<td></td>
</tr>
<tr>
<td>Update to the program description, update to courses offered within the non-compulsory/elective section of the program orders and update to admission requirement. Minor changes to Learning Outcomes</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>CAP</td>
<td>MSTST</td>
<td>Master of Strategic Studies</td>
<td></td>
</tr>
<tr>
<td>Changing program rules – new sequencing of course structure. Modification of existing courses to better meet the learning outcomes of the Masters.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>CAP</td>
<td>VSTST</td>
<td>Master of Strategic Studies (Advanced)</td>
<td></td>
</tr>
<tr>
<td>Changing program rules – new sequencing of course structure. Modification of existing courses to better meet the learning outcomes of the Masters.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>CASS</td>
<td>MAAOL</td>
<td>Master of Applied Anthropology and Participatory Development – Online</td>
<td></td>
</tr>
<tr>
<td>The amendment streamlines the award rules to make them more easily understood. This has been achieved by combining lists and removing multiple either or statements. Some course titles have been updated and a couple of courses have been removed with one new courses added.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>CASS</td>
<td>MAAPD</td>
<td>Master of Applied Anthropology and Participatory Development</td>
<td></td>
</tr>
</tbody>
</table>
| The amendment streamlines the award rules to make them more easily understood. This has been achieved by combining lists and removing multiple either or statements. Some course titles have been updated and a couple
<table>
<thead>
<tr>
<th>CASS</th>
<th>Program</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>CASS</td>
<td>MANTH Master of Anthropology</td>
<td>Addition of two cognate disciplines, adding a no double counting rule to award orders.</td>
</tr>
<tr>
<td>CASS</td>
<td>MCRIM Master of Criminology</td>
<td>This amendment updates the description, adds cognate disciplines, updates course lists and admission statement, and adds the double counting rule in the program requirements.</td>
</tr>
<tr>
<td>CASS</td>
<td>MLING Master of General and Applied Linguistics</td>
<td>This amendment adds one new course to and moves a course in, the award orders, adds a double counting rule, and updates the cognate disciplines and admission requirements.</td>
</tr>
<tr>
<td>CASS</td>
<td>MMUHS Master of Museum and Heritage Studies</td>
<td>This amendment adds two courses to the award orders, adds a double counting rule, and updates the admission requirements.</td>
</tr>
<tr>
<td>CASS</td>
<td>MSRES Master of Social Research</td>
<td>This amendment adds a new course to the award order, adds a double counting rule, and updates the admission requirements.</td>
</tr>
<tr>
<td>CASS</td>
<td>VAAOL Master of Applied Anthropology and Participatory Development (Adv) Online</td>
<td>The amendment streamlines the award rules to make them more easily understood. This has been achieved by combining lists and removing multiple either or statements. Some course titles have been updated and a couple of courses have been removed with one new courses added. An update has also been made so students will have the option of completing the CAP or CASS thesis course.</td>
</tr>
<tr>
<td>CASS</td>
<td>VAAPD Master of Applied Anthropology and Participatory Development (Advanced)</td>
<td>The amendment streamlines the award rules to make them more easily understood. This has been achieved by combining lists and removing multiple either or statements. Some course titles have been updated and a couple of courses have been removed with one new courses added. An update has also been made so students will have the option of completing the CAP or CASS thesis course.</td>
</tr>
<tr>
<td>CASS</td>
<td>VANTH Master of Anthropology (Advanced)</td>
<td>Addition of two cognate disciplines, admission statement and no double counting rule added to the award orders.</td>
</tr>
<tr>
<td>CASS</td>
<td>VARSC Master of Archaeological</td>
<td>This amendment updates and adds newly created courses to the award rules, updates the</td>
</tr>
<tr>
<td>Program Area</td>
<td>Description</td>
<td>Details</td>
</tr>
<tr>
<td>--------------</td>
<td>-------------</td>
<td>---------</td>
</tr>
<tr>
<td>Science (Advanced)</td>
<td>Science description and admission statement.</td>
<td>This amendment updates the program description and admission statement. We add a no double counting rule to the award orders.</td>
</tr>
<tr>
<td>CASS VCLAS</td>
<td>Master of Classical Studies (Advanced)</td>
<td>This amendment updates the admission statement, adds cognate disciplines, updates course lists, and adds the double counting rule in the program requirements.</td>
</tr>
<tr>
<td>CASS VCRIM</td>
<td>Master of Criminology (Advanced)</td>
<td>This amendment adds one new course to and moves a course in, the award orders, adds a double counting rule, and updates cognate disciplines and admission requirements.</td>
</tr>
<tr>
<td>CASS VDIGA</td>
<td>Master of Digital Arts (Advanced)</td>
<td>We add a no double counting rule to the award orders.</td>
</tr>
<tr>
<td>CASS VLING</td>
<td>Master of General and Applied Linguistics (Advanced)</td>
<td>We add a no double counting rule to the award orders.</td>
</tr>
<tr>
<td>CASS VMECA</td>
<td>Master of Middle Eastern and Central Asian Studies (Advanced)</td>
<td>We add a no double counting rule to the award orders.</td>
</tr>
<tr>
<td>CASS VMUSI</td>
<td>Master of Music (Advanced)</td>
<td>We add a no double counting rule to the award orders.</td>
</tr>
<tr>
<td>CASS VSRES</td>
<td>Master of Social Research (Advanced)</td>
<td>This amendment adds a new course to the award order, adds a double counting rule.</td>
</tr>
<tr>
<td>CBE 7421XMAPFN</td>
<td>Master of Applied Finance</td>
<td>This proposal recommends increasing the number of electives available to students enrolled in the Master of Applied Finance. Currently, students can choose 12 units of electives from a list of 4 subjects. RSFAS would like to change the electives to: 6 units from a list of two subjects (ECON8069 Business Economics and STAT6046 Financial Mathematics to match the Master of Finance) and 6 units from a list of six electives (FINM8009 Derivatives: Markets, Valuation and Risk Management, FINM8014 Applied Financial Intermediation and Debt Markets, FINM8017 Trading and Markets, STAT7026 Graphical Data Analysis, STAT7040 Statistical Learning and STAT7016 Introduction to Bayesian Data Analysis). Further, FINM8009 would no longer be a compulsory subject, but rather an elective. FINM7045 Asian Capital Markets would become a new compulsory course in the program, meeting</td>
</tr>
<tr>
<td>Code</td>
<td>Program</td>
<td>Award Rules</td>
</tr>
<tr>
<td>--------</td>
<td>---------------</td>
<td>--------------------------------------------------</td>
</tr>
<tr>
<td>CMBE</td>
<td>MBIOT</td>
<td>Master of Biotechnology</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Change the cognate disciplines to biochemistry, molecular biology and gene technology fields. Admission Requirements will also need to be tightened to “A Bachelor degree or international equivalent with an average mark of at least 70% for the degree as a whole plus at least 70% average mark for 8 courses in the cognate disciplines.</td>
</tr>
<tr>
<td>CMBE</td>
<td>VBIOT</td>
<td>Master of Biotechnology (Advanced)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Change the cognate disciplines to biochemistry, molecular biology and gene technology fields. Admission Requirements will also need to be tightened to “A Bachelor degree or international equivalent with an average mark of at least 70% for the degree as a whole plus at least 70% average mark for 8 courses in the cognate disciplines.</td>
</tr>
<tr>
<td>CAP</td>
<td>MINTR</td>
<td>Master of International Relations</td>
</tr>
<tr>
<td></td>
<td></td>
<td>See proposal.</td>
</tr>
<tr>
<td>CAP</td>
<td>VINTR</td>
<td>Master of International Relations (Advanced)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>See proposal.</td>
</tr>
<tr>
<td>CASS</td>
<td>MGLOB</td>
<td>Master of Globalisation</td>
</tr>
<tr>
<td></td>
<td></td>
<td>This amendment adds courses to the award rules.</td>
</tr>
<tr>
<td>CASS</td>
<td>VGLOB</td>
<td>Master of Globalisation (Advanced)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>This amendment adds courses to the award rules.</td>
</tr>
<tr>
<td>CASS</td>
<td>MCHAM</td>
<td>Master of Culture, Health and Medicine</td>
</tr>
<tr>
<td></td>
<td></td>
<td>This amendment removes one course from the award order, adds a double counting rule, and updates the admission requirements.</td>
</tr>
<tr>
<td>CASS</td>
<td>VCHAM</td>
<td>Master of Culture, Health and Medicine (Advanced)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>This amendment removes one course from the award order, adds a double counting rule, and updates the admission requirements.</td>
</tr>
<tr>
<td>CASS</td>
<td>VARTS</td>
<td>Master of Arts (Advanced)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>This amendment updates the admission statement and includes a new course in the award rules.</td>
</tr>
<tr>
<td>CASS</td>
<td>MCLAS</td>
<td>Master of Classical Studies</td>
</tr>
<tr>
<td></td>
<td></td>
<td>This amendment updates the admission statement. We add a no double counting rule to the award orders.</td>
</tr>
<tr>
<td>CMBE</td>
<td>8950XMCHD</td>
<td>Doctor of Medicine and Surgery</td>
</tr>
<tr>
<td></td>
<td></td>
<td>The proposal introduces new co-requisite zero unit courses at each Year level of the MChD</td>
</tr>
</tbody>
</table>
program that assess course outcome related to Professional Behaviours expected of medical students. The Medical School Orders have been drafted in anticipation of this change with assistance from ASQO. The proposal also rectifies the non-compliance of MEDI8013 as a zero unit course. From 2016 commencing students will only enrol in MEDI8013 in sem-1 and sem-2 of Year 2 as a sequence of 2 x 3 unit courses. To accommodate this change both MEDI8020A and MEDI8020B will be reduced from 24 units to 21 units each.

34.3 Review of Graduate Coursework Programs

Resolution
The Academic Board approved the following requests for exemption from the Coursework Review Schedule as detailed below:

**ANUCAP**
Graduate Certificate of Public Policy; CPUBP

**ANUCoL**
Graduate Certificate of Military Law; CMILL
Graduate Diploma of Military Law; DMILL

34.4 Disestablishment of Graduate Coursework Programs

Resolution
The Academic Board approved the disestablishment of the Master of Studies – Online.

Master of Studies - Online; MSTOL

34.5 New Graduate Coursework Specialisations

Resolution
The Academic Board approved the following graduate coursework specialisation be accredited as recommended by the relevant College Education Committee and University Education Committee.

Humanities; HUMN-SPEC

34.6 College-approved changes for noting

Resolution
The Academic Board noted that amendments to the following graduate coursework Awards and specialisations have been approved by the relevant ANU College.

**Item 35** New Grading Scheme for LAWS8161 Military Legal Practice

Resolution
The Academic Board approved the new grading scheme for LAWS8161 Military Legal Practice.
Part 8 – Items of Other Business

Item 36 Any other business

There was no other business raised.

MTE
1/10/15
39. POWER OF ATTORNEY

PURPOSE
To note a list of documents signed under Power of Attorney by the Investment Manager, and Acting Investment Manager, between 8 September 2015 and 9 November 2015.

AUTHOR
Investment Manager

REVIEWED BY
Chief Financial Officer

APPROVED BY
Chief Financial Officer

SPONSOR
Vice-Chancellor

RECOMMENDATION
That Council note the list of transactions over which the Investment Manager, and Acting Investment Manager, exercised Power of Attorney between 8 September 2015 and 9 November 2015.

ACTION REQUIRED
For discussion ☐ For decision ☐ For information ☑

CONSULTATION
Staff ☐ Students ☐ Alumni ☐ Government ☐ Other ☐ Not applicable ☑

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

Attachment 39.1 provides the list of transactions signed under Power of Attorney by the Investment Manager, between 8 September 2015 and 9 November 2015.

ATTACHMENT
39.1 List of transactions signed under Power of Attorney between 8 September 2015 and 9 November 2015 (938/2015).

COMMUNICATION
For public release ☐ For internal release ☐ Not for release ☑
<table>
<thead>
<tr>
<th>No.</th>
<th>Date</th>
<th>Reference</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1239</td>
<td>08/09/2015</td>
<td></td>
<td>Request for Direct Credit of Payments re the University’s second holding in Commonwealth Bank Perls VII on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1240</td>
<td>11/09/2015</td>
<td></td>
<td>New Account Agreement with Pershing LLC on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1241</td>
<td>11/09/2015</td>
<td></td>
<td>Request for Direct Credit of Payments re the University’s holding in APA Group on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1242</td>
<td>22/09/2015</td>
<td></td>
<td>Address Change Notification Advice re the University’s holding in APA Group on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1243</td>
<td>22/09/2015</td>
<td></td>
<td>Request for Direct Credit of Payments re the University’s holding in Westpac Capital Notes 2 on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1244</td>
<td>22/09/2015</td>
<td></td>
<td>Account Nomination Form re the University’s holding in Westpac Capital Notes 3 on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1245</td>
<td>22/09/2015</td>
<td></td>
<td>Address Change Notification Advice re the University’s holding in Westpac Capital Notes 3 on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1246</td>
<td>29/09/2015</td>
<td></td>
<td>Fee Rebate Agreement (in duplicate) for Magellan Infrastructure Fund (Unhedged) on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1247</td>
<td>29/09/2015</td>
<td></td>
<td>Chess Transfer Request 30 holdings (ABC AMP AZJ ANZ BHP CGF CPU CSL (2) HSO HGG (3) JBH (2) MPL (3) NAB (2) PRG QBE RIO SGM SHL S32 TOX WES WPL WOW) held on Computershare Registry to RBC Investor and Treasury Services for outsourcing of domestic equities on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1248</td>
<td>29/09/2015</td>
<td></td>
<td>Chess Transfer Request 15 holdings (AAD BXB CBA (2) IPL (2) MQG OZL SUL (2) SUN (2) TLS (2) WBC) held on Link Market Services Registry to RBC Investor and Treasury Services for outsourcing of domestic equities on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1249</td>
<td>29/09/2015</td>
<td></td>
<td>Chess Transfer Request Magellan Financial Group Limited (MFG) held on Boardroom Registry to RBC Investor and Treasury Services for outsourcing of domestic equities on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1250</td>
<td>06/10/2015</td>
<td></td>
<td>Change of Address Notification re the University’s holding in NABHA National Income Securities on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1251</td>
<td>09/10/2015</td>
<td></td>
<td>Standard Transfer Form re transfer of 108,000 National Australia Bank ordinary shares held as Chess Sponsored with Bell Potter Securities to RBC Investor Services as part of the outsourcing of the domestic equities on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1252</td>
<td>09/10/2015</td>
<td></td>
<td>Transfer Form for Off Market transactions re the University’s holding of 20,000 PCAPA held by UBS Wealth in nominees account on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>No.</td>
<td>Date</td>
<td>Reference</td>
<td>Description</td>
</tr>
<tr>
<td>-----</td>
<td>------------</td>
<td>-------------------------</td>
<td>-----------------------------------------------------------------------------</td>
</tr>
<tr>
<td>1253</td>
<td>21/10/2015</td>
<td>Account Transfer Form</td>
<td>re transfer of Twenty First Century Fox Inc stock to the University's account with Evans and Partners to enable sale of stock on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1254</td>
<td>21/10/2015</td>
<td>Irrevocable Stock or</td>
<td>Power Form re the transfer of Barrick Gold Corporation stocks to the University's account with Evans and Partners to enable sale of stock on behalf of the Endowment Fund</td>
</tr>
<tr>
<td>1255</td>
<td>21/10/2015</td>
<td>Request for Direct</td>
<td>Credit of Payments re the University's holding in Westpac PTS Trust on behalf of the Long Term Investment Pool</td>
</tr>
</tbody>
</table>
40. UNIVERSITY SEAL REPORT

PURPOSE
To inform Council of the uses of the University Seal.

AUTHOR
Manager, Vice-Chancellor’s Office

SPONSOR
Vice-Chancellor

RECOMMENDATION
That Council note that there have been no documents to which the University Seal has been affixed since the meeting of Council held on 2 October 2015.

ACTION REQUIRED
For discussion ☐ For decision ☐ For information ☑

CONSULTATION
Staff ☐ Students ☐ Alumni ☐ Government ☐ Other ☐ Not applicable ☑

BACKGROUND AND SUMMARY OF ISSUES

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.

There have been no documents to which the University Seal has been affixed since the meeting of Council held on 2 October 2015.

COMMUNICATION
For public release ☐ For internal release ☐ Not for release ☑
41. SIGNIFICANT VISITS AND EVENTS, GRANTS AND CONSULTANCIES

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

AUTHOR
Communications Officer (Special Events)
Office of Research Excellence

REVIEWED BY
Vice-Chancellor

APPROVED BY
Vice-Chancellor

SPONSOR
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
41.1 Report of significant visits and events, grants and consultancies (939/2015).
Significant Events from 8 September – 11 November 2015

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.

SEPTEMBER

Media Conference
Office of the Chief Minister
Monday 7 September 2015
Media conference regarding joint announcement of the ANU/University of Canberra vertical double degree in science teaching with ANU Vice-Chancellor Professor Ian Young AO and UC Vice-Chancellor Professor Stephen Parker AO.

Conference
ANU College of Asia and the Pacific
Monday 7 September 2015
The Hon Julie Bishop MP, Minister for Foreign Affairs, opened the State of the Pacific Conference. The following dignitaries were in attendance:

- His Excellency Mr Lepani, High Commissioner for Papua New Guinea
- Ms Fiona Indu, Acting High Commissioner for Solomon Islands High Commission to Australia
- Hon Ralph Regenvanu MP, Member for Port Vila, Parliament of Vanuatu
- Hon Chief John Momis, President of the Autonomous Region of Bougainville
- Hon Chief Sir Salamo Injia Kt, GCL, Chief Justice, Papua New Guinea
- Nahau Rooney CBE CMS, former Member of the Parliament of Papua New Guinea.

Hosted by the State Society and Governance in Melanesia

Conference
ANU College of Asia and the Pacific
Tuesday 8 September 2015
The Hon Matt Thistlethwaite MP, Member for Kingsford Smith participated in a panel discussion on Pacific-Centred Responses to Climate Change as part of the State of the Pacific 2015 Conference.

Hosted by: State Society and Governance in Melanesia

VIP Lecture
ANU College of Arts and Social Sciences
Wednesday 9 September 2015
His Excellency Mr Abdolhossein Vahaji, Ambassador of The Islamic Republic of Iran, discussed Iran’s nuclear program agreement with the five permanent members of the UN Security Council and Germany, (P5+1). The following dignitaries were in attendance:

- Her Excellency Mrs Rima Alaadeen, Ambassador, Embassy of Jordan
- His Excellency Mr Kazi Imtiaz Hossain, High Commissioner for Bangladesh
• His Excellency Mr Saleh, Ambassador, Embassy of Iraq
• His Excellency Mr Bakir Sadovic, Ambassador, Embassy of Bosnia and Herzegovina;
  His Excellency Mr Jamshidov, Ambassador, Embassy of Azerbaijan
• Mr Mohammad Al-Jabir, Charge d'affaires, Embassy of Qatar.

Hosted by the Centre for Arab and Islamic Studies

VIP Conference
Unimutual Conference
**Thursday 10 September 2015**
The Vice-Chancellor participated in the conference for the higher education. The meeting involved universities and other higher education institutions who participate in the sector-owned insurance mutual, called Unimutual, as well as guests from non-member institutions.
Hosted by the Office of the Vice-Chancellor

VIP Lecture
ANU College of Medicine, Biology and Environment
**Thursday 10 September 2015**
Professor Patrick McGorry AO, 2010 Australian of the Year, presented the Psychology Annual Lecture titled: *Early intervention and youth mental health reform paradigms for 21st century mental health.*
Hosted by the Research School of Psychology

VIP Tour
National Computation Infrastructure (NCI)
**Monday 14 September 2015**
The Hon Karen Andrews MP, Parliamentary Secretary to the Minister for Industry and Science and Federal Member for McPherson, and Hon Paul Fletcher MP, Parliamentary Secretary to the Minister for Communications and Federal Member for Bradfield met with the Director of NCI and toured the facilities.

Book Launch
ANU College of Asia and Pacific
**Monday 14 September 2015**
Hosted by the Coral Bell School of Asia Pacific Affairs

VIP Conference
Tax and Transfer Policy Institute
**Wednesday 16 September 2015**
Professor Margaret Harding, Deputy Vice-Chancellor (Research), welcomed the Hon Josh Frydenberg MP, Parliamentary Secretary to the Prime and Minister and Assistant Treasurer, before he addressed participants in *The Future of Australia’s GST: Good Design for the Real World* conference.
Hosted by the Crawford School of Public Policy
VIP Event
ANU Enterprise
Wednesday 16 September 2015
Professor Michael Cardew-Hall, Pro Vice-Chancellor (Innovation) hosted a breakfast session celebrating the 40th Anniversary of Independence for Papua New Guinea.

Meeting
Wednesday 16 September 2015
Professor Donald Rothwell, Professor Amin Saikal, Adjunct Professor Bob Bowker and Associate-Professor David Letts briefed Greens Leader Senator Di Natale, Co-Deputy Leader Senator Ludlam and Senator Whish-Wilson on Australian involvement in Syria and the Middle East.

VIP Conference
ANU Centre for Social Research and Methods
Thursday 17 September 2015
The Vice-Chancellor welcomed The Hon Scott Morrison MP, Minister for Social Services, who delivered the opening address of the International Conference on Welfare Reform – Meeting the Policy Challenges of Change. The Vice-Chancellor also announced the launch of the ANU Centre for Social Research and Methods, formerly known as AusCen. Hosted by the ANU Centre for Social Research and Methods

Public Lecture
ANU/The Canberra Times Meet the Author Series
Thursday 17 September 2015
Professor Tim Flannery discussed his latest book Atmosphere of Hope: Searching for Solutions to the Climate Crisis. The event was hosted with the support of The Climate Council. More than 200 people were in attendance.

VIP Event
ANU Crawford School of Public Policy
Thursday 17 September 2015
David Uren, Economics Editor at The Australian, discussed his latest book Takeover with economist and Shadow Assistant Treasurer The Hon Andrew Leigh MP.

Conference
International Conference on Welfare Reform
Friday 18 September 2015
Keynote address by the Hon Janny Macklin, MP, Labor Member for Jagga Jagga. Hosted by The Australian Centre for Applied Social Research Methods, Social Policy Institute, Crawford School of Public Policy, Tax and Transfer Policy Institute and The Sir Roland Wilson Foundation.

Conference
ANU Gender Institute
Friday 18 September 2015
Her Excellency Ms Naela Chohan, High Commissioner for Pakistan, attended the symposium titled Power to Persuade.
VIP Event
Library Communications, Scholarly Information Services
Friday 18 September 2015
The Vice-Chancellor hosted the opening of the exhibition celebrating the 40th Anniversary of Papua New Guinea’s independence. His Excellency Mr Charles Lepani, High Commissioner of Papua New Guinea was in attendance.

Book Launch
ANU College of Asia and the Pacific
Friday 18 September 2015
Professor Michael Wesley and Professor Geremie Barmé launched Stephen FitzGerald’s latest book *Comrade Ambassador – Whitlam's Beijing*. Stephen FitzGerald began his career as a diplomat, became an academic, was China adviser to Gough Whitlam, and from 1973 to 1976 was Australia's first ambassador to the People's Republic of China. More than 200 people were in attendance.
Hosted by the Australian Centre on China in the World

Donor Event
ANU College of Arts and Social Sciences
Saturday 19 September 2015
The finals were held for the inaugural Whitworth Roach classical music performance competition.
Hosted by the ANU School of Music

Major Event
ANU College of Arts and Social Sciences
Sunday 20 September 2015
The ANU School of Music celebrated its 50th Anniversary with a one-day event featuring a number of ANU ensembles, community groups and student-curated exhibitions.
Hosted by the ANU School of Music

Public Lecture
ANU College of Business and Economics
Tuesday 22 September 2015
Professor Giles Hirst examined why connecting leaders with their passions and values must be the first step of leadership development in order to create a solid foundation for subsequent growth. More than 250 people were in attendance

Public Lecture
ANU/The Canberra Times Meet the Author Series
Wednesday 23 September 2015
Annabel Crabb joined George Megalogenis in conversation to discuss his latest book *Australia’s Second Chance*. More than 450 people were in attendance.

Book Launch
ANU College of Asia and the Pacific
Thursday 24 September 2015
Lieutenant General Angus Campbell launched Dr John Blaxland’s latest book *East Timor Intervention: A retrospective on INTERFET.*

**VIP Event**  
**ANU Information Technology Services**  
*Friday 25 September 2015*  
The Vice-Chancellor opened the W K Hancock refurbished area for Information Technology Services.

**Major Event**  
**ANU Research School of Astronomy and Astrophysics**  
*Friday 25 September 2015*  
Mount Stromlo Observatory, in conjunction with the Canberra Astronomical Society, held one of their regular stargazing evenings for the Canberra community.

**Public Lecture**  
**ANU/The Canberra Times Meet the Author Series**  
*Tuesday 29 September 2015*  
Laura Tingle joined David Marr in conversation to discuss his latest Quarterly Essay on the Hon Bill Shorten. More than 400 people were in attendance.

**OCTOBER**

**VIP Event**  
**Chifley Research Centre Futures program**  
*Thursday 1 & Friday 2 October 2015*  
ANU hosted Terri Butler MP (Federal Labor Member for Griffith, Queensland), Dr Jim Chalmers MP (Federal Labor Member for Rankin, Queensland), Ed Husic MP (Federal Labor Member for Chifley, New South Wales), Clare O’Neil MP, (Federal Labor Member for Hotham, Victoria), Chris Minns MP (NSW Labor Member for Kogarah, New South Wales), Michael Cooney (Executive Director, Chifley Research Centre) and Silvana Anthony (Program Manager, Chifley Research Centre) for seven seminars on areas of research excellence for ANU. The Deputy Vice-Chancellor (Research) also hosted dinner for the group and all academics involved. This program was instigated by the Chifley Research Centre, the Australia Labor aligned think-tank.

**VIP Event**  
**International Student Association**  
*Friday 2 October 2015*  
The Vice-Chancellor highlighted the importance of international students at ANU before presenting certificates of appreciation to the leaders of ANU Clubs and Societies and Officers of the International Students’ Department.

**Literary Dinner**  
**Eat, drink and be literary event**  
*Friday 2 October 2015*  
Amanda Whitley from Her Canberra joined Magda Szubanski in conversation to discuss her latest book *Reckoning.* More than 190 paying guests in attendance.

**Major Event**  
**StarFest 2015**
Friday 2 October to Sunday 4 October 2015
Siding Spring Observatory hosted its annual celebrations which featured an Open Day, public lectures and astronomy nights.

VIP Visit
ANU College of Asia and Pacific
Wednesday 7 October to Friday 9 October 2015

The University hosted a visit by Professor Dr Pho Kaung, Acting Rector; Professor Dr Kyaw Naing, Pro-Rector and Professor Dr Hla Swe, Head of Academic Affairs from Yangon University as part of the Federal Government Partnerships for Development program (GPFd, funded by DFAT) to support collaboration between ANU and University of Yangon. The Vice-Chancellor, Deputy Vice-Chancellor (Academic) and Deputy Vice-Chancellor (Research) meet with the delegation during their visit.
Hosted by the Department of Political and Social Change, Coral Bell School of Asia Pacific Affairs

VIP Visit
ANU College of Asia and the Pacific
Monday 12 October 2015

Mr Bui Van Ga, Vice Minister, Ministry of Education and Training in Vietnam, led a delegation of six to ANU to learn about creating study options and pathway qualifications and in particular the Diploma in Computing (ANU College) and Bachelor of Information Technology. Following discussions with the Pro Vice-Chancellor (International) and the ANU College the delegation toured the ANU School of Art.
Hosted by the Department of Political and Social Change, Coral Bell School of Asia Pacific Affairs

Public Lecture
OAA-ANU Lecture
Monday 12 October 2015

The Order of Australia Association (OAA)-ACT Branch in partnership with ANU presented their annual lecture with Professor Andrew Podger discussing Federalism and Australia’s National Health and Health Insurance System.

Conference
ANU College of Asia and the Pacific
Japan Update 2015
Monday 12 October 2015

The Australia-Japan Research Centre (AJRC) and the ANU Japan Institute co-hosted the annual Japan Update which gave a comprehensive overview of Japan’s current economic and political landscape, and future directions.

VIP Dinner
Tuesday 13 October 2015

The Deputy Vice-Chancellor (Research) hosted dinner with Greens Leader Senator Di Natale, Co-Deputy Leader Senator Ludlam and Senator Whish-Wilson with Professor Amin Saikal
AM, FASSA, Professor Clive Williams MG, Professor Hilary Charlesworth and Mr Peter Hughes to discuss Syria and defence policy.

Parliamentary Lecture
Parliamentary Library
Wednesday 14 October 2015
Professor Amin Saikal AM, FASSA, delivered a lecture in the Parliamentary Lecture series titled ‘Islamic State’ in a zone of conflicts within conflicts to an audience of 60 Parliamentarians and staffers, including the Hon Philip Ruddock MP, Liberal Member for Berowra and Mr Dan Tehan MP, Liberal Member for Wannon.

Public Lecture
ANU College of Physical and Mathematical Sciences
Thursday 15 October 2015
Emeritus Professor Patrick De Deckker AM FAA gave a talk celebrating 200 years of the Smith Map - the first geological map of a nation ever produced, showing the geological strata of England, Wales and a part of Scotland. More than 200 people were in attendance. Hosted by the ANU Research School of Earth Science

VIP Event
ANU Gender Institute and the Women’s International League for Peace and Freedom
Thursday 15 October 2015
Pro Vice-Chancellor (Student Experience) escorted the Hon Tanya Plibersek MP, the Hon Teresa Gambaro MP, Assistant Commissioner Scott Lee, AFP Major General Shane Caughey and Deputy Commander Joint Operations to the Annual Civil Society Dialogue on Women, Peace and Security. Her Excellency Ms Naela Chohan, High Commissioner for Pakistan was also in attendance.

Partner visit
Shandong University, China
Thursday 15 October 2015
A delegation from Shandong University, Weihai (SDUW), led by Vice-President Liu Hai, visited ANU to further discussions regarding the potential SDUW-ANU joint college. They met with Pro Vice-Chancellor (International), Professor Shirley Leitch, Dr Davina Potts, and representatives of the Research School of Finance, Actuarial Studies and Statistics; Mathematical Sciences Institute; School of Biology; and Research School of Physics and Engineering to discuss academic matters before meeting with Ms Joan Angel and Mr Ewan Evans to discuss the proposed agreement.

Potential Partner Visit
University of Twente, Netherlands
Monday 19 October 2015,
A delegation from University of Twente, led by President Mr Victor van der Chijs, visited ANU to discuss potential collaboration and student exchange possibilities. They met with Professor Margaret Harding as Acting Vice-Chancellor, and representatives of the ANU College of Engineering and Computer Science, led by Professor Robert Mahoney.
Public Lecture
ANU College of Physical and Mathematical Sciences
Tuesday 20 October 2015
Dr Peter Riggs gave a talk titled: *Why are we constrained to exist only in the Present Moment?*
More than 200 people were in attendance.

Parliamentary Lecture
Parliamentary Library
Wednesday 21 October 2015
Professor Miranda Stewart, Director, Tax and Transfer Policy Institute, delivered a lecture in the Parliamentary Lecture series titled: *What is tax reform for and what can it do?* An audience of 60 parliamentarians and staffers, including Terri Butler MP, Labor Member for Griffith attended.

VIP Visit
German Delegation as Guest of the Australian Government
Thursday 22 October 2015
The Vice-Chancellor and Deputy Vice-Chancellor (Research) held discussions with the following members of the German Delegation:

- Professor Maria Böhmer, German Minister of State, Federal Foreign Office
- Ms Isabella Groegor-Cechiowicz, Member of the Australia-German Advisory Group
- Mr Karl-Matthias Klause, Chief of Staff, Office of Professor Böhmer
- Dr Birgit Ramscheid, Member of Staff, Office of Professor Böhmer
- His Excellency Dr Christoph Müller, Ambassador to the Federal Republic of Germany, Canberra
- His Excellency Mr David Ritchie AO, Australia’s Ambassador to Germany

VIP Lecture
ANU Law Students Association
Thursday 22 October 2015
The Hon Michael Kirby AC, CMG presented the inaugural lecture for the students association.

VIP Event
VC Student Leadership Program Reception
Thursday 22 October 2015
The Vice-Chancellor spoke at the reception and presented completion certificates for students who had participated in the program.
Hosted by the Pro Vice-Chancellor (Student Experience)

VIP Event
ANU Research School of Biology
Friday 23 October 2015
The Vice-Chancellor spoke at a reception held to celebrate Professor Farquhar’s announcement as the recipient of the Prime Minister’s Prize for Science Award.

Concert
SoundBites ACT
Saturday 24 October 2015
INXS founder and HC Coombs Fellow Andrew Farriss celebrated his residency at ANU with a special concert at the ANU Bar.
Hosted by the ANU School of Music

VIP Event
Official opening of the Australian Centre on China in the World building
ANU College of Asia and the Pacific
Tuesday 27 October 2015

The Vice-Chancellor welcomed Senator the Hon Simon Birmingham, Minister for Education, who officially opened the building. Other VIP’s in attendance included:

- His Excellency Mr Armando Alvarez, Ambassador of Mexico
- His Excellency Enoch Nkururo, High Commissioner for Uganda
- Ms Mercy Matlho, Acting High Commissioner of Botswana High Commission
- Mr Daniel Haener, Deputy Head of Mission, Embassy of Switzerland in Australia
- Mr Mark Engler, Coordinator for Science, Technology & Education, Embassy of Switzerland in Australia
- Mr Hadaoheuang, Minister Counsellor of the Lao Embassy
- Mr Tamas Deutsch, the Trade Commissioner at the Embassy of Hungary
- Mr William Lin, Deputy Representative, Taipei Economic and Cultural Office in Australia
- Mr Peter Ting, Executive Director, Taipei Economic and Cultural Office in Australia
- Mr Andy Bi, Executive Director, Education Division, Taipei Economic and Cultural Office in Australia
- Mr Ross Maddock, Chairman of the Australia-Taiwan Business Council
- Ms Jessie Borthwick, Acting Deputy Secretary, Higher Education, Research and Training
- Mr Gerald Szeto, Building designer architect

Hosted by the Australian Centre on China in the World

VIP Event
National Youth Science Forum
Thursday 29 October 2015
The Vice-Chancellor spoke at the launch of the 2016 National Science Youth Forum program.

VIP Event
Burgmann College
Thursday 29 October 2015
The Vice-Chancellor spoke at the dinner arranged by students to acknowledge the work of Dr Philip and Mrs Valerie Dutton.

NOVEMBER

VIP Event
Office of the ACT Chief Minister
Monday 2 November 2015
ACT Chief Minister Mr Andrew Barr MLA, undertook a tour of the Mount Stromlo facility and announced $50,000 for a Space Research and Innovation Hub to be based at Mount Stromlo. Hosted by ANU Research School of Astronomy and Astrophysics

Literary Dinner
Eat, drink and be literary event
Friday 2 October 2015

VIP Reception
Embassy of Switzerland
Tuesday 3 November 2015
The Vice-Chancellor joined His Excellency Mr Marcel Stutz, Ambassador for Switzerland, at his residence for the annual presentations of the Swiss Awards.

Public Lecture
ANU/The Canberra Times Meet the Author Series
Wednesday 4 November 2015
Alex Sloan joined Peter Garrett in conversation to discuss his latest book *Big Blue Sky*. Nearly 500 people were in attendance.

Book Launch/Public Lecture
Australian Centre on China in the World
Thursday 5 November 2015
*The China Story Yearbook 2014: Shared Destiny* was launched by Professor the Hon Gareth Evans AC QC, Chancellor, ANU. A panel discussion titled 'Shared Destiny: China under Xi Jinping' with Professor Geremie R Barmé, Professor Gloria Davies and Dr Jane Golley followed. The event was held in Melbourne.

VIP Conference
FRAME Meeting
Thursday 5 November 2015
Acting Vice-Chancellor Professor Harding welcomed the Minister for Health, The Hon Susan Ley MP, who opened the gathering of Rural Health Multi-disciplinary Training Program leaders. Hosted by the Rural Clinical School, ANU Medical School

VIP Conference
Organising an international conference on informal mining
ANU College of Asia and the Pacific
Thursday 5 November 2015
Pro Vice-Chancellor (Innovation) represented the Vice-Chancellor to welcome over 100 international and domestic guests to this conference on informal mining. Hosted by: Resource Environment and Development Program, Crawford School of Public Policy

VIP Event
ANU College of Asia and the Pacific

SIGNIFICANT VISITS & EVENTS, GRANTS & CONSULTANCIES
Friday 6 November 2015
On behalf of the University the Vice-Chancellor offered an apology, and in conjunction with Willandra Elders Council organised for the transfer of the remains of Mungo Man to the National Museum as plans for their repatriation to country are prepared.

VIP Event
National Health and Medical Research Council grant announcement
Monday 9 November 2015
The Hon Sussan Ley MP, The Minister for Health, toured the lab of Professor Ross Hannan, received a brief presentation from Associate Professor Rebecca McKetin on methamphetamine treatment and then congratulated the successful candidates of NHMRC grants during a press conference held at The John Curtin School of Medical Research.

VIP Event
ANU Science Europe Day
ANU College of Physical and Mathematics Sciences and ANU College of Medicine, Biology and Environment
Tuesday 10 November 2015
Ambassadors from Estonia, Croatia and Romania attended the morning event highlighting life sciences, physical sciences and engineering and computer science.
Hosted by: Joint Colleges of Science

VIP Meeting
Climate Change Institute
Wednesday 11 November 2015
Professor Mark Howden, Director, ANU Climate Change Institute and Adjunct Professor Howard Bamsey briefed Greens Co-Deputy Leader, Senator Larissa Waters on the Paris Climate Negotiations in December.

VIP Meeting
Climate Change Institute
Wednesday 11 November 2015
Professor Mark Howden, Director, ANU Climate Change Institute and Adjunct Professor Howard Bamsey briefed Shadow Minister for Climate Change, the Hon Mark Butler MP on the Paris Climate Negotiations in December.

VIP Lecture
National Centre for Indigenous Studies and ANU College of Law
Wednesday 11 November 2015
The Hon Mr Kevin Rudd, 26th Prime Minister of Australia, delivered the Annual Reconciliation Lecture. During the day Mr Rudd also undertook a tour of the Australian Centre of China in the World and met with researchers of the Centre. He also met with ANU Donors before the lecture and concluded the evening with a dinner hosted by the Acting Vice-Chancellor Professor Margaret Harding.
Australian National University - Research Services Division

Grants and Consultancies
Awarded between 1 Sept 2015 and 11 Nov 2015

College of Arts and Social Sciences ................................................................................................................................. 2
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Administrative Division .................................................................................................................................................. 21

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.
<table>
<thead>
<tr>
<th>Primary Funds Provider</th>
<th>Primary Investigator</th>
<th>Title</th>
<th>Total Amount Awarded</th>
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<tbody>
<tr>
<td>Australian Research Council (ARC)</td>
<td>Dr John Carty</td>
<td>Anthropological Art History: New Approaches to Aboriginal Desert Art</td>
<td>$380,009</td>
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<tr>
<td>Australian Research Council (ARC)</td>
<td>Dr Benjamin Jones</td>
<td>Aristotle's Australia: Civic Republicanism from Federation to the Apology</td>
<td>$308,820</td>
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<td>Australian Research Council (ARC)</td>
<td>Mr Glenn Roe</td>
<td>The Anxiety of Authority: Authorship Practices in the Age of Enlightenment</td>
<td>$345,000</td>
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<td>Australian Research Council (ARC)</td>
<td>Dr Svitlana Chernykh</td>
<td>The Dilemma of Compliance: Political Parties and Post-election Disputes</td>
<td>$368,000</td>
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<td>Australian Research Council (ARC)</td>
<td>Dr Kynan Gentry</td>
<td>The Presence of the Past: Historic places &amp; community identity in Australia</td>
<td>$330,757</td>
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<td>Australian Research Council (ARC)</td>
<td>Dr James Flexner</td>
<td>3000 Years of settlement and interaction in southern Vanuatu</td>
<td>$317,698</td>
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<td>Australian Research Council (ARC)</td>
<td>Ms Catherine Frieman</td>
<td>Beyond migration and diffusion: The prehistoric mobility of people &amp; ideas</td>
<td>$502,246</td>
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<td>Australian Research Council (ARC)</td>
<td>Dr Martyn Jolly</td>
<td>Heritage in the limelight: the magic lantern in Australia and the world</td>
<td>$260,000</td>
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<td>Dr David Bissell</td>
<td>Living apart together: how mobile work is transforming Australian homes</td>
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<td>Australian Research Council (ARC)</td>
<td>Prof Ian McAllister</td>
<td>Political Engagement Among the Young: The 2016-19 Australian Election Study</td>
<td>$406,890</td>
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<td>Australian Research Council (ARC)</td>
<td>Mr Sverre Molland</td>
<td>What is safe about “safe migration”? Migration management in the Mekong</td>
<td>$195,000</td>
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<td>Australian Research Council (ARC)</td>
<td>Mr Duncan Wright</td>
<td>History Places: Wellington Range rock art in a global context</td>
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<td>Commonwealth Department of Immigration and Border Protection</td>
<td>Prof James Raymer</td>
<td>Afghan Migration: Aspirations, Movements, Demography and Integration</td>
<td>$46,900</td>
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<td>Commonwealth Attorney-Generals Department</td>
<td>Dr Raihan Ismail</td>
<td>NICT Political Islam Seminars</td>
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<td>NZ Department of Internal Affairs</td>
<td>Ms Kylie Moloney</td>
<td>Strengthening the Kiribati National Library and Archives</td>
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<td>The Effects of Energy Subsidy Reform: The Case of Indonesia</td>
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<td>Australian Research Council (ARC)</td>
<td>Dr Nicholas Cheesman</td>
<td>The politics of torture in Myanmar and Thailand</td>
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<td>Prof Chester (John) Powers</td>
<td>A Buddhist Debate and Its Contemporary Relevance</td>
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<td>Dr Joanne Wallis</td>
<td>Doing state-building better? Practising 'hybridity' in Melanesia</td>
<td>$156,345</td>
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<td>Dr Luke Glanville</td>
<td>Duties beyond borders: A historical approach to protecting the vulnerable</td>
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<td>Dr David Stern</td>
<td>Energy Efficiency Innovation, Diffusion and the Rebound Effect</td>
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<td>Australian Research Council (ARC)</td>
<td>Prof Peter McDonald</td>
<td>Meeting the needs of older persons in Indonesia</td>
<td>$427,700</td>
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<td>Prof Joan Beaumont</td>
<td>Second shock: Australia's Great Depression and the legacy of World War I</td>
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<td>Dr Andrew McWilliam</td>
<td>Spiritual Ecologies and Customary Governance in Post-conflict East Timor</td>
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<td>Prof John Makeham</td>
<td>The Awakening of Faith and New Confucian Philosophy</td>
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<td>Dr Janelle Stevenson</td>
<td>The pace and rhythm of climate: 600,000 years in a biological hotspot</td>
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<td>Dr Geoffrey Clark</td>
<td>Warfare and the Archaic State in Oceania</td>
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<td>National Health and Medical Research Council (NHMRC)</td>
<td>Dr Gemma Carey</td>
<td>Pursuing health equity through the implementation of public policy: Making the National Disability Scheme Equitable</td>
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<td>Australian Taxation Office</td>
<td>Prof Matthew Gray</td>
<td>Australian Taxation Office Research Services Panel (RFT)</td>
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<td>Commonwealth Department of Foreign Affairs and Trade (DFAT)</td>
<td>Dr Brendan Taylor</td>
<td>AusCSCAP DFAT 2015/16</td>
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<td>Dr Nicole Haley</td>
<td>Timor Leste Update 2015</td>
<td>$18,182</td>
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<td>Nomura Research Institute Ltd</td>
<td>Dr Tatsuyoshi Okimoto</td>
<td>Expected Inflation and Monetary Policy Regimes</td>
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<td>Australian Research Council (ARC)</td>
<td>Dr Boris Buchmann</td>
<td>Frontiers of Risk Modelling: Dependence and Extremes of Levy Processes</td>
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<td>Dr Emma Schultz</td>
<td>The Aging Population, Superannuation and Corporate Dividend Policy</td>
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<td>Dr Peter Christen</td>
<td>Creating the social genome: Advanced techniques for linking dynamic data</td>
<td>$327,000</td>
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<td>Prof Tamas (Tom) Gedeon</td>
<td>Probabilistic modeling of human responses in complex interaction</td>
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<td>Australian Research Council (ARC)</td>
<td>Dr Woei Ming (Steve) Lee</td>
<td>Regulating gene delivery with light</td>
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<td>Mr Fiacre Rougieux</td>
<td>Silicon 2.0: The nature of grown-in defects in very high-purity silicon</td>
<td>$375,000</td>
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<td>Dr Antonio Tricoli</td>
<td>Ultra-Porous Devices by Synergistic Aerosol and Atomic Layer Depositions</td>
<td>$375,000</td>
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<td>Australian Research Council (ARC)</td>
<td>Dr Changbin (Brad) Yu</td>
<td>Control and Optimization of Distributed Multiagent Formations</td>
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<td>Australian Research Council (ARC)</td>
<td>Dr Jochen Trumpf</td>
<td>Sensing a complex world: Infinite dimensional observer theory for robots</td>
<td>$313,300</td>
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<td>Prof Qing Hua Qin</td>
<td>Topology optimisation of mechanical metamaterials with additive manufacture</td>
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<td>Ian Potter Foundation</td>
<td>Dr Nan Yang</td>
<td>Travel Grant - Global Communications Conference (GLOBECOM) 2015-2016</td>
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<td>Australian Synchrotron</td>
<td>Dr David Nisbet</td>
<td>Investigation of the Co-Assembly of Fluorenylmethyloxycarbonyl Self-Assembling Peptides for the Presentation of Multiple Bioactive Epitopes in a Single Nanostructured Assembly</td>
<td>$1,720</td>
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<td>Evolution at extremes: Macroevolutionary responses to harsh environments</td>
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<td>Ms Angela McGaughran</td>
<td>Historical pest genomes inform debate about how rapid evolution proceeds</td>
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<td>Australian Research Council (ARC)</td>
<td>Dr Simon Williams</td>
<td>How do effector proteins from necrotrophic fungi cause disease in plants?</td>
<td>$364,000</td>
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<td>Australian Research Council (ARC)</td>
<td>Dr Adele Lehane</td>
<td>Ion regulation in Apicomplexan parasites</td>
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<td>Australian Research Council (ARC)</td>
<td>Dr Dan Rosauer</td>
<td>Why are biodiversity hotspots found where they are?</td>
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<td>Australian Research Council (ARC)</td>
<td>Prof Hal Kendig</td>
<td>Ageing in China and Australia: Promoting health, productivity and wellbeing</td>
<td>$369,900</td>
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<td>Australian Research Council (ARC)</td>
<td>Dr Denisse Leyton</td>
<td>Autotransporter folding: insights advancing recombinant protein production</td>
<td>$346,800</td>
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<td>Australian Research Council (ARC)</td>
<td>Dr Evan Kidd</td>
<td>Discovering sources of individual differences in first language acquisition</td>
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<td>Australian Research Council (ARC)</td>
<td>Prof Ryszard Maleszka</td>
<td>Epigenetic reprogramming of development by nutritional factors in honeybee</td>
<td>$398,800</td>
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<td>Australian Research Council (ARC)</td>
<td>Dr Allen Rodrigo</td>
<td>Evolutionary analyses of short-read sequences from pooled samples</td>
<td>$491,900</td>
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<td>Australian Research Council (ARC)</td>
<td>Prof Patricia Backwell</td>
<td>Lucky in Love: the role of chance in sexual selection</td>
<td>$337,400</td>
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<td>Australian Research Council (ARC)</td>
<td>Prof Michael Jennions</td>
<td>Population divergence and the thermal ecology of sexual conflict</td>
<td>$379,400</td>
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<td>Australian Research Council (ARC)</td>
<td>A/Prof Marcel Cardillo</td>
<td>Testing the links between ecological processes and evolutionary radiations</td>
<td>$359,400</td>
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<td>Australian Research Council (ARC)</td>
<td>Prof Michael Platow</td>
<td>Toward a social-psychology of prejudice reduction: Examining lay beliefs</td>
<td>$322,000</td>
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<td>Australian Research Council (ARC)</td>
<td>Dr Peter Butterworth</td>
<td>Welfare reform and welfare stigma: scroungers, slackers and bludgers?</td>
<td>$601,150</td>
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<td>National Health and Medical Research Council (NHMRC)</td>
<td>Prof Kaarin Anstey</td>
<td>Centre of Research Excellence in cognitive health: Evidence, intervention and population modelling</td>
<td>$2,499,872</td>
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<td>National Health and Medical Research Council (NHMRC)</td>
<td>Dr Matthew Cook</td>
<td>How does NF-kB2 regulate central T cell tolerance to prevent organ-specific autoimmune disease</td>
<td>$787,600</td>
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<td>National Health and Medical Research Council (NHMRC)</td>
<td>Prof Ross Hannan</td>
<td>Regulation of ribosomal gene chromatin during malignant transformation</td>
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<td>Dr Peter Butterworth</td>
<td>Mental health and the PATH to midlife</td>
<td>$707,823</td>
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<td>National Health and Medical Research Council (NHMRC)</td>
<td>Prof Kaarin Anstey</td>
<td>Research to reduce cognitive decline and optimise ageing well</td>
<td>$753,300</td>
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<td>National Health and Medical Research Council (NHMRC)</td>
<td>Dr Robyn Lucas</td>
<td>Sun exposure, vitamin D and photohealth over the lifetime</td>
<td>$622,655</td>
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<td>National Health and Medical Research Council (NHMRC)</td>
<td>Dr David Tscharke</td>
<td>A proteome-wide approach to anti-viral immunity and vaccine development</td>
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<td>National Health and Medical Research Council (NHMRC)</td>
<td>Prof David Tremethick</td>
<td>The special role of histone variants in regulating the inheritance and 3-dimensional organisation of the epigenome</td>
<td>$962,716</td>
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<td>Dr Brian Billups</td>
<td>Dynamic trafficking of amino acid transporters at synapses and their role in regulating neurotransmission</td>
<td>$421,219</td>
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<td>Dr Vincent Daria</td>
<td>Understanding the roles of dendritic domains in neuronal function</td>
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<td>Dr Mehdi Adibi</td>
<td>The role of corticothalamic feedback on the response dynamics of thalamic neurons</td>
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<td>National Health and Medical Research Council (NHMRC)</td>
<td>Dr Moyra Mortby</td>
<td>BPSD-CARE: a person-centred approach to managing behavioural and psychological symptoms of dementia in residential care</td>
<td>$600,627</td>
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<td>National Health and Medical Research Council (NHMRC)</td>
<td>Dr. Kathryn Bowen</td>
<td>TRIP Fellowship to strengthen the implementation of local heatwave planning in Victoria</td>
<td>$175,303</td>
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<td>Bill and Melinda Gates Foundation</td>
<td>Dr Susana Vaz da Silva de Castro Nery</td>
<td>Should integrated deworming and WASH programs for STH control be delivered in schools or the community?</td>
<td>$137,340</td>
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<td>Ophthalmic Research Institute of Australia</td>
<td>Dr Riccardo Natoli</td>
<td>Investigation of the therapeutic potential of microRNA miR-124 and miR-155 in the regulation and progression of retinal degenerations</td>
<td>$48,000</td>
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<td>Australian Academy of Science</td>
<td>Dr Robert Sharwood</td>
<td>Unlocking the diversity of Rubisco catalysis from deep-sea ocean α-cyanobacteria and their transplantation into higher plant chloroplasts to improve photosynthetic CO2 assimilation</td>
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<td>Mr Ross Crates</td>
<td>Ecology and conservation of the critically endangered regent honeyeater</td>
<td>$7,000</td>
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<td>Ms Robyn Shaw</td>
<td>Halting Australia’s mammal declines: a demographic, ecological and genetic approach to fire response in native rodents</td>
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<td>Hunter Bird Observers Club</td>
<td>Mr Ross Crates</td>
<td>Ecology and conservation of the Regent Honeyeater - Wilma Barden Memorial Grant</td>
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<td>Ms Constanza Leon</td>
<td>Complex cooperation and the effects of climate on white-winged choughs</td>
<td>$4,800</td>
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<td>Flinders University</td>
<td>Prof Anthony Jakeman</td>
<td>Murray Darling Basin Authority: Strategic Research Program</td>
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<td>Monika Srivastava</td>
<td>Ian Potter Foundation Travel Grant 2015</td>
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<td>Royal Zoological Society of NSW</td>
<td>Ms Robyn Shaw</td>
<td>Halting Australia’s mammal declines: a demographic, ecological and genetic approach to fire response in native rodents</td>
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<td>ACT Environment and Sustainable Development Directorate</td>
<td>A/Prof Adrian Manning</td>
<td>Understanding Canberra’s Superb Parrots</td>
<td>$58,656</td>
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<td>Oxfam Community Aid Abroad</td>
<td>A/Prof James Pittock</td>
<td>Irrigation in Cambodia</td>
<td>$20,601</td>
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<td>World Health Organisation (WHO)</td>
<td>Prof Hal Kendig</td>
<td>Asia Pacific Observatory on Health Systems and Policies: Fellowship Program - Tranche 5 of 6</td>
<td>$29,627</td>
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<td>ACT Health</td>
<td>Dr Rebecca McKetin</td>
<td>Research into methamphetamine use in the ACT</td>
<td>$38,265</td>
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<td>ANU Connect Ventures Pty Ltd</td>
<td>Ms Kylie Bennett (previously Brittliffe)</td>
<td>Preparing moodgym for market</td>
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<td>The Mohamed bin Zayed Species Conservation Fund</td>
<td>Mr Ross Crates</td>
<td>Uncovering the movement patterns and habitat selection of the critically endangered Regent Honeyeater</td>
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<td>ANU Connect Ventures Pty Ltd</td>
<td>Dr Charmaine Simeonovic</td>
<td>Biomarker for beta cell destruction in Type 1 diabetes (DTF215)</td>
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## College of Physical and Mathematical Sciences

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42. LEGISLATION

PURPOSE
For Council to note legislation made by the Vice-Chancellor.

PREPARED BY
Manager, Corporate Governance and Policy

REVIEWED BY
Director, Corporate Governance and Risk Office

APPROVED BY
Vice-Chancellor

SPONSOR
Vice-Chancellor

RECOMMENDATION
That Council note the Higher Doctorates Rule 2015 as approved by the Vice-Chancellor.

ACTION REQUIRED
For decision ☐ For information ☑

CONSULTATION
Staff ☑ Students ☐ Alumni ☐ Government ☐ Other ☐ Not applicable ☐

The Division of Student Administration, the Pro Vice-Chancellor (Research & Research Training), and the Dean of the ANU Medical School, were all consulted during the drafting process. The Deputy Vice-Chancellor (Research) endorsed the instrument approval by the Vice-Chancellor.

BACKGROUND
The Higher Doctorates Rule 2015 is made under section 8 of the Programs and Awards Statute 2013. Under section 50(3) of the Australian National University Act 1991 a statute may empower any authority or officer of the University to make rules or orders. Section 9.5 of the Vice-Chancellorship Statute 2013 authorises the Vice-Chancellor to make rules and orders for a number of statutes, including the Programs and Awards Statute. If the Vice-Chancellor exercises this power, he must report it to the Council at the next meeting of the Council after the Rule or Order concerned was made.

SUMMARY OF ISSUES
The current Higher Doctorates Rules (No. 2) 2014 provide that the Deputy Vice-Chancellor is empowered to award higher doctorates of the University. The Vice-Chancellor has requested that the Corporate Governance and Risk Office examine this arrangement with a view to amending the Rule, so that the Vice-Chancellor is the sole awarding authority for the University's highest doctorate.

The Higher Doctorates Rule 2015 (attached) was prepared, under the supervision of the Deputy Vice-Chancellor (Research). In addition to reflecting changes regarding the awarding authority, the opportunity has been taken to modernise the Rule to reflect contemporary legislative drafting practices. The Vice-Chancellor approved the Rule on 6 November 2015.

ATTACHMENT
42.1 - Higher Doctorates Rule 2015 (940/2015).

COMMUNICATION
For public release ☑ For internal release ☐ Not for release ☐

The new Rule will be published on the ANU legislation webpage and the ComLaw website. An announcement of the Rule change will also be made on the ANU Services website.
THE AUSTRALIAN NATIONAL UNIVERSITY

Higher Doctorates Rule 2015

I, Professor Ian Young AO, Vice-Chancellor of the Australian National University, make the following rule.

Dated 6 November 2015

Professor Ian Young AO
Vice-Chancellor
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Part 1—Preliminary

1 Name

This is the Higher Doctorates Rule 2015.

2 Commencement

This instrument commences on the day after it is registered.

3 Authority

This instrument is made under section 8 of the Programs and Awards Statute 2013.

[Note: Under section 50(3) of the Australian University Act 1991 a statute may empower any authority or officer of the University to make rules or orders. Section 9.5 of the Vice-Chancellorship Statute authorises the Vice-Chancellor to make rules and orders for a number of statutes, including the Programs and Awards Statute.]

4 Definitions

In this instrument:

higher doctorate means a degree that the University may confer under section 5.

published work means work that is readily available for public criticism.

work includes the following:

(a) a book or article, however published;
(b) other printed material;
(c) a composition or recording of music;
(d) a video recording, film or other work of visual or sonic art;
(e) an exhibition, performance or folio of work;
(f) computer software, digital material or other non-written material.
Part 2—Higher doctorate degrees

5 Higher doctorate degrees conferred by University

(1) This section specifies under section 3 of the Programs and Awards Statute 2013 the higher doctorate degrees that the University may confer.

(2) The University may confer the following higher doctorate degrees:
   (a) Doctor of Fine Arts (DFA);
   (b) Doctor of Laws (LLD);
   (c) Doctor of Letters (DLitt);
   (d) Doctor of Medicine (MD);
   (e) Doctor of Music (DMus);
   (f) Doctor of Science (DSc).

6 Vice-Chancellor approval for higher doctorate degrees

The Vice-Chancellor may approve the award of higher doctorate degrees on the recommendation of the Deputy Vice-Chancellor.
Part 3—Candidates for doctorates other than Doctor of Medicine

7 Application to become candidate: doctorates other than Doctor of Medicine

(1) A person may apply to the Deputy Vice-Chancellor to be admitted as a candidate for the degree of Doctor of Fine Arts, Doctor of Laws, Doctor of Letters, Doctor of Music or Doctor of Science.

(2) The application must:
(a) be in writing; and
(b) state the higher doctorate for which admission as a candidate is sought; and
(c) include complete details of the person’s qualifications and, if relevant, professional experience.

[Note 1: If a form is approved under s 23 (Approved forms) for this provision, the form must be used.]

[Note 2: Giving false or misleading information, or producing a false or misleading document, may be a criminal offence against the Criminal Code.]

(3) However, if the person applied at any time during the previous 5 years to be admitted as a candidate for a higher doctorate, the person may make an application under this section only if the Deputy Vice-Chancellor agrees that the application may be made in the exceptional circumstances of the case.

(4) The Deputy Vice-Chancellor may, by written notice given to the applicant, require the applicant to provide any information or document that the Deputy Vice-Chancellor reasonably needs to consider the application.

(5) If the Deputy Vice-Chancellor requires the applicant to provide information or a document, the Deputy Vice-Chancellor need not consider the application until the applicant complies with the requirement.

(6) The Deputy Vice-Chancellor may, in writing, determine procedures to be followed by an applicant under this Part to be admitted as a candidate for a higher doctorate.

8 Establishment and proceedings of panel: doctorates other than Doctor of Medicine

(1) This section applies if a person applies under this Part to be admitted as a candidate for a higher doctorate.

(2) The applicant is eligible to be considered for admission as a candidate for the higher doctorate if:
(a) the applicant:
   (i) holds a degree of the University; or
   (ii) holds an award of another university that, in the Deputy Vice-Chancellor’s opinion, is equivalent to a degree of the University; or
   (iii) the applicant is, in the Deputy Vice-Chancellor’s opinion, otherwise qualified to be a candidate because of the applicant’s eminence in learning or creative achievements; and
(b) the applicant:
(i) is a full-time member of the academic staff of the University and, during the previous 10 years, has been employed as a full-time member of the academic staff of the University for a total at least 3 years; or

(ii) has, or has had, a connection with the University that, in the Deputy Vice-Chancellor’s opinion, is at least as equivalent as the connection mentioned in subparagraph (i).

(3) If the applicant is eligible to be considered for admission as a candidate for the higher doctorate, the Deputy Vice-Chancellor must establish a panel for the application.

(4) If the applicant is not eligible to be considered for admission as a candidate for the higher doctorate, the Deputy Vice-Chancellor must, by written notice given to the applicant, tell the applicant that the applicant is not eligible to be considered for admission as a candidate for the higher doctorate.

(5) If the Deputy Vice-Chancellor is to establish a panel for the application, the panel must consist of the following members:
   (a) the Deputy Vice-Chancellor or a person nominated, in writing, by the Deputy Vice-Chancellor;
   (b) 3 staff members of the University appointed, in writing, by the Deputy Vice-Chancellor who have, in the Deputy Vice-Chancellor’s opinion, appropriate expertise in all or part of the field of the applicant’s work;
   (c) the Associate Dean of each ANU College that has coverage of all or part of the field of the applicant’s work.

(6) The Deputy Vice-Chancellor or the Deputy Vice-Chancellor’s nominee under subsection (5)(a) is the chair of the panel.

(7) The panel must conduct its proceedings (including its meetings) as the Deputy Vice-Chancellor directs in writing.

(8) Subject to this instrument and to any directions of the Deputy Vice-Chancellor under subsection (7), the panel may conduct its proceeding (including its meetings) as it considers appropriate.

9 Initial assessment and recommendation by panel: doctorates other than Doctor of Medicine

(1) This section applies if the Deputy Vice-Chancellor establishes a panel under this Part for an application made by a person to be admitted as a candidate for a higher doctorate.

(2) The panel must assess whether the applicant’s published work appears, prima facie, to be worthy of examination for the higher doctorate.

(3) The Deputy Vice-Chancellor may, in writing, require or permit the panel to obtain stated information in relation to the application.

(4) The panel must make its assessment having regard to the applicant’s application and any information obtained under subsection (3).

(5) Without limiting subsections (3) and (4), the panel must not seek referee reports for the applicant unless it is required or permitted to do so under subsection (3).
(6) If the panel’s assessment is that the applicant’s published work appears, *prima facie*, to be worthy of examination for the higher doctorate, the panel must recommend to the Deputy Vice-Chancellor that the applicant be admitted as a candidate for the higher doctorate.

(7) If the panel’s assessment is that the applicant’s published work does not appear, *prima facie*, to be worthy of examination for the higher doctorate, the panel must recommend to the Deputy Vice-Chancellor that the applicant not be admitted as a candidate for the higher doctorate.

(8) If the panel recommends that the applicant not be admitted as a candidate for the higher doctorate, the Deputy Vice-Chancellor must, by written notice given to the applicant, tell the applicant that the applicant has not been admitted as a candidate for the higher doctorate.

10 **Admission of applicant as candidate: doctorates other than Doctor of Medicine**

(1) This section applies if:
   (a) a panel is established under this Part for an application made by a person to be admitted as a candidate for a higher doctorate; and
   (b) the panel recommends that the person be admitted as a candidate for the higher doctorate.

(2) The Deputy Vice-Chancellor must admit the person as a candidate for the higher doctorate.

(3) If the Deputy Vice-Chancellor admits the person as a candidate, the Deputy Vice-Chancellor must tell the person and the Registrar that the person has been admitted as a candidate for the higher doctorate.

11 **Submission of works by candidate: doctorates other than Doctor of Medicine**

(1) This section applies if a person (the candidate) is admitted under this Part as a candidate for a higher doctorate.

(2) The candidate must submit to the Registrar 4 paper copies and 1 digital copy of published works, of which the candidate is the author or joint author, that are to be examined for the award of the higher doctorate.

(3) However, the Deputy Vice-Chancellor may, in writing:
   (a) approve the submission of all or part of the candidate’s published works in another format and determine the number of copies to be given to the Registrar by the candidate in that format; or
   (b) determine that the candidate give the Registrar a different number of paper copies of the published works.

(4) To remove any doubt, subsection (3) does not affect the candidate’s obligation under subsection (2) to submit 1 digital copy of the published works.

(5) The candidate must not submit any material that has been previously submitted by the candidate for the purpose of obtaining a degree from any university or other tertiary educational institution.
(6) If the candidate is the joint author of any of the submitted works, the candidate must give
the Deputy Vice-Chancellor:
(a) a written statement that clearly indicates the parts of the works of which the
candidate is the author; and
(b) the supporting material that the Deputy Vice-Chancellor requires by written notice
given to the candidate.

12 Examination of submitted works: doctorates other than Doctor of Medicine

(1) This section applies if a candidate for a higher doctorate under this Part submits works
for examination for the award of the higher doctorate.

(2) The Deputy Vice-Chancellor must, in writing, appoint at least 3 examiners to examine
the submitted works.

(3) Each person appointed as examiner must have international standing and not hold an
academic or honorary academic appointment of the University.

(4) The examiners may require the candidate to attend an oral examination at a time and
place decided by the examiners.

(5) Each examiner must give the Registrar a written report on the examiner’s examination of
the submitted works.

[Note: If a form is approved under s 23 (Approved forms) for this provision, the form must be used.]

(6) The report must recommend that the candidate be granted or not granted the higher
doctorate.

13 Recommendation by panel on submitted works: doctorates other than Doctor of
Medicine

(1) This section applies if the submitted works of a candidate for a higher doctorate are
examined under this Part.

(2) The Registrar must give a copy of the examiners’ reports to the panel established for the
candidate’s application to be admitted as a candidate for the higher doctorate.

(3) The panel must consider the examiners’ reports.

(4) The panel must recommend to the Deputy Vice-Chancellor that the candidate be granted
the higher doctorate if, after considering the examiners’ reports, the panel is of the
opinion that the submitted works:
(a) represent outstanding creative achievement or an outstanding contribution to the
field of knowledge in which the submitted works fall; or
(b) exhibit a level of originality that stamp the candidate as a major authority in that
field.

(5) The panel must recommend to the Deputy Vice-Chancellor that the candidate not be
granted the higher doctorate if, after considering the examiners’ reports, the panel is not
of the opinion mentioned in subsection (4).

(6) If the panel recommends to the Deputy Vice-Chancellor that the candidate not be granted
the higher doctorate, the Deputy Vice-Chancellor must, by written notice given to the
applicant, tell the applicant that the applicant is not to be awarded the higher doctorate.
14 Recommendation by Deputy Vice-Chancellor: doctorates other than Doctor of Medicine

(1) This section applies if the panel established under this Part for a candidate’s application to be admitted as a candidate for a higher doctorate recommends to the Deputy Vice-Chancellor that the candidate be granted the higher doctorate.

(2) The Deputy Vice-Chancellor must consider the examiners’ reports and the panel’s recommendation.

(3) The Deputy Vice-Chancellor must recommend to the Vice-Chancellor that the candidate be awarded the higher doctorate if, after considering the examiners’ reports and the panel’s recommendation, the Deputy Vice-Chancellor is of the opinion that the submitted works:

(a) represent outstanding creative achievement or an outstanding contribution to the field of knowledge in which the submitted works fall; or
(b) exhibit a level of originality that stamp the candidate as a major authority in that field.

(4) If, after considering the examiners’ reports and the panel’s recommendation, the Deputy Vice-Chancellor is not of the opinion mentioned in subsection (3), the Deputy Vice-Chancellor must, by written notice given to the candidate, tell the candidate that the candidate is not to be awarded the higher doctorate.
Part 4—Candidates for Doctor of Medicine

15 Application to become candidate: Doctor of Medicine

(1) A person may apply to the Dean of the ANU Medical School to be admitted as a candidate for the degree of Doctor of Medicine.

(2) The application must:
   (a) be in writing; and
   (b) include complete details of the person’s qualifications and, if relevant, professional experience.

[Note 1: If a form is approved under s 23 (Approved forms) for this provision, the form must be used.]

[Note 2: Giving false or misleading information, or producing a false or misleading document, may be a criminal offence against the Criminal Code.]

(3) However, if the person applied at any time during the previous 5 years to be admitted as a candidate for the degree, the person may make an application under this section only if the Dean agrees that the application may be made in the exceptional circumstances of the case.

(4) The Dean may, by written notice given to the applicant, require the applicant to provide any information or document that the Dean reasonably needs to consider the application.

(5) If the Dean requires the applicant to provide information or a document, the Dean need not consider the application until the applicant complies with the requirement.

(6) The Dean may, in writing, determine procedures to be followed by an applicant to be admitted as a candidate for the degree of Doctor of Medicine.

16 Establishment and proceedings of panel: Doctor of Medicine

(1) This section applies if a person applies under this Part to be admitted as a candidate for the degree of Doctor of Medicine.

(2) The applicant is eligible to be considered for admission as a candidate for the degree if:
   (a) the applicant:
      (i) holds a medical degree of the University, and has held that degree for at least 5 years; or
      (ii) holds a similar degree of another university that, in the Dean’s opinion, is equivalent to a medical degree of the University, and has held that degree for at least 5 years; or
      (iii) the applicant is, in the Dean’s opinion, otherwise qualified to be a candidate because of the applicant’s eminence in learning or creative achievements; and
   (b) the applicant:
(i) is a full-time member of the academic staff of the University and, during the previous 10 years, has been employed as a full-time member of the academic staff of the University for a total of at least 3 years; or
(ii) has, or has had, a connection with the University that, in the Dean’s opinion, is at least as equivalent as the connection mentioned in subparagraph (i).

(3) If the applicant is eligible to be considered for admission as a candidate for the degree, the Dean must establish a panel for the application.

(4) If the applicant is not eligible to be considered for admission as a candidate for the degree, the Dean must, by written notice given to the applicant, tell the applicant that the applicant is not eligible to be considered for admission as a candidate for the degree.

(5) If the Dean is to establish a panel for the application, the panel must consist of the following members:
   (a) the Dean or a person nominated, in writing, by the Dean;
   (b) 3 staff members of the University appointed, in writing, by the Dean who have, in the Dean’s opinion, appropriate expertise in all or part of the field of the applicant’s work.

(6) The Dean or the Dean’s nominee under subsection (5)(a) is the chair of the panel.

(7) The panel must conduct its proceedings (including its meetings) as the Dean directs in writing.

(8) Subject to this instrument and to any directions of the Dean under subsection (7), the panel may conduct its proceeding (including its meetings) as it considers appropriate.

(9) In this section:

   medical degree, of the University, means any of the following degrees:
   (a) Bachelor of Medicine, Bachelor of Surgery;
   (b) Medicinae ac Chirurgiae Doctoranda;
   (c) Doctor of Medicine and Surgery.

17 Initial assessment and recommendation by panel: Doctor of Medicine

(1) This section applies if the Dean of the ANU Medical School establishes a panel under this Part for an application made by a person to be admitted as a candidate for the degree of Doctor of Medicine.

(2) The panel must assess whether the applicant’s published work appears, prima facie, to be worthy of examination for the degree.

(3) The Dean may, in writing, require or permit the panel to obtain stated information in relation to the application.

(4) The panel must make its assessment having regard to the applicant’s application and any information obtained under subsection (3).

(5) Without limiting subsections (3) and (4), the panel must not seek referee reports for the applicant unless it is required or permitted to do so under subsection (3).
(6) If the panel’s assessment is that the applicant’s published work appears, *prima facie*, to be worthy of examination for the degree, the panel must recommend to the Dean that the applicant be admitted as a candidate for the degree.

(7) If the panel’s assessment is that the applicant’s published work does not appear, *prima facie*, to be worthy of examination for the degree, the panel must recommend to the Dean that the applicant not be admitted as a candidate for the degree.

(8) If the panel recommends that the applicant not be admitted as a candidate for the degree, the Dean must, by written notice given to the applicant, tell the applicant that the applicant has not been admitted as a candidate for the degree.

18 Admission of applicant as candidate: Doctor of Medicine

(1) This section applies if:
   (a) a panel is established under this Part for an application made by a person to be admitted as a candidate for the degree of Doctor of Medicine; and
   (b) the panel recommends that the person be admitted as a candidate for the degree.

(2) The Dean of the ANU Medical School must admit the person as a candidate for the degree.

(3) If the Dean admits the person as a candidate, the Dean must tell the person and the Registrar that the person has been admitted as a candidate for the degree.

19 Submission of works by candidate: Doctor of Medicine

(1) This section applies if a person (the *candidate*) is admitted under this Part as a candidate for the degree of Doctor of Medicine.

(2) The candidate must submit to the Registrar 4 paper copies and 1 digital copy of published works, of which the candidate is the author or joint author, that are to be examined for the award of the degree.

(3) However, the Dean of the ANU Medical School may, in writing:
   (a) approve the submission of all or part of the candidate’s published works in another format and determine the number of copies to be given to the Registrar by the candidate in that format; or
   (b) determine that the candidate give the Registrar a different number of paper copies of the published works.

(4) To remove any doubt, subsection (3) does not affect the candidate’s obligation under subsection (2) to submit 1 digital copy of the published works.

(5) The candidate must not submit any material that has been previously submitted by the candidate for the purpose of obtaining a degree from any university or other tertiary educational institution.

(6) If the candidate is the joint author of any of the submitted works, the candidate must give the Dean:
   (a) a written statement that clearly indicates the parts of the works of which the candidate is the author; and
   (b) the supporting material that the Dean requires by written notice given to the candidate.
20 Examination of submitted works: Doctor of Medicine

(1) This section applies if a candidate for the degree of Doctor of Medicine under this Part submits works for examination for the award of the degree.

(2) The Dean of the ANU Medical School must, in writing, appoint at least 3 examiners to examine the submitted works.

(3) Each person appointed as examiner must have international standing and not hold an academic or honorary academic appointment of the University.

(4) The examiners may require the candidate to attend an oral examination at a time and place decided by the examiners.

(5) Each examiner must give the Dean a written report on the examiner’s examination of the submitted works.

[Note: If a form is approved under s 23 (Approved forms) for this provision, the form must be used.]

(6) The report must recommend that the candidate be granted or not granted the degree of Doctor of Medicine.

21 Recommendation by panel on submitted works: Doctor of Medicine

(1) This section applies if the submitted works of a candidate for the degree of Doctor of Medicine are examined under this Part.

(2) The Dean of the ANU Medical School must give a copy of the examiners’ reports to the panel established for the candidate’s application to be admitted as a candidate for the degree.

(3) The panel must consider the examiners’ reports.

(4) The panel must recommend to the Deputy Vice-Chancellor that the candidate be granted the degree if, after considering the examiners’ reports, the panel is of the opinion that the submitted works:
   (a) represent a substantial, original and important contribution to the advancement of medical knowledge on a coherent theme; and
   (b) are of sufficient merit for conferral of the degree.

(5) The panel must recommend to the Deputy Vice-Chancellor that the candidate not be granted the degree if, after considering the examiners’ reports, the panel is not of the opinion mentioned in subsection (4).

(6) If the panel recommends to the Deputy Vice-Chancellor that the candidate not be granted the degree, the Deputy Vice-Chancellor must, by written notice given to the applicant, tell the applicant that the applicant is not to be awarded the degree.

22 Recommendation by Deputy Vice-Chancellor: Doctor of Medicine

(1) This section applies if the panel established under this Part for a candidate’s application to be admitted as a candidate for the degree of Doctor of Medicine recommends to the Deputy Vice-Chancellor that the candidate be granted the degree.

(2) The Deputy Vice-Chancellor must consider the examiners’ reports and the panel’s recommendation.
(3) The Deputy Vice-Chancellor must recommend to the Vice-Chancellor that the candidate be awarded the degree if, after considering the examiners’ reports and the panel’s recommendation, the Deputy Vice-Chancellor is of the opinion that the submitted works:

(a) represent a substantial, original and important contribution to the advancement of medical knowledge on a coherent theme; and

(b) are of sufficient merit for conferral of the degree.

(4) If, after considering the examiners’ reports and the panel’s recommendation, the Deputy Vice-Chancellor is not of the opinion mentioned in subsection (3), the Deputy Vice-Chancellor must, by written notice given to the candidate, tell the candidate that the candidate is not to be awarded the degree.
Part 5—Miscellaneous

23 Approved forms

(1) The Registrar may, in writing, approve forms for this instrument.

(2) If the Registrar approves a form for a particular purpose, the form must be used for that purpose.

(3) The Registrar must ensure that approved forms are publicly available on the University’s website or any other way that the Registrar considers appropriate.

24 Repeal

The Higher Doctorates Rules (No. 2) 2014 are repealed.
C43. Confidential to Council Members
PART 6 – OTHER BUSINESS

*44. 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 ☐
**45. 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 ☐
46. 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 18 and 19 February 2016, at ANU House, Melbourne.

ACTION REQUIRED
For discussion ☐ For decision ☐ For information ☑